



MASSACHUSETTS GAMING COMMISSION
PUBLIC MEETING#314

July 30, 2020
10:00 a.m.

VIA CONFERENCE CALL NUMBER: 1-646-741-5292
PARTICIPANT CODE: 112 074 4154



Massachusetts Gaming Commission



NOTICE OF MEETING and AGENDA
July 30, 2020 – 10:00 a.m.

PLEASE NOTE: Given the unprecedented circumstances resulting from the global Coronavirus pandemic, Governor Charles Baker issued an order to provide limited relief from certain provisions of the Open Meeting Law to protect the health and safety of individuals interested in attending public meetings. In keeping with the guidance provided, the Commission will conduct a public meeting utilizing remote collaboration technology. If there is any technical problem with our remote connection, an alternative conference line will be noticed immediately on our website: MassGaming.com.

Pursuant to the Massachusetts Open Meeting Law, G.L. c. 30A, §§ 18-25, notice is hereby given of a meeting of the Massachusetts Gaming Commission. The meeting will take place:

Thursday, July 30, 2020
10:00 a.m.

Massachusetts Gaming Commission
VIA CONFERENCE CALL NUMBER: 1-646-741-5292
PARTICIPANT CODE: 112 074 4154

All documents and presentations related to this agenda will be available for your review on the morning of July 30, 2020 by [clicking here](#).

PUBLIC MEETING - #314

1. Call to order
2. Approval of Minutes
 - a. June 18, 2020
3. Administrative Update –
 - a. Current Casino and Racing Update – Loretta Lillios, Chief Enforcement Counsel/Deputy Director; Dr. Alex Lightbown, Director of Racing
 - b. Legislative Development Update – Todd Grossman, Interim General Counsel



Massachusetts Gaming Commission

4. Investigations and Enforcement Bureau – Karen Wells, Interim Executive Director/ Director of IEB
 - a. Plainridge Park Casino Licensure, Suitability Determinations – Loretta Lillios, Chief Enforcement Counsel/Deputy Director; MSP Trooper Thomas Roger; Monica Chang, Financial Investigator Supervisor; Zong Fei Zou, Financial Investigator; Andrew Steffen, Senior Supervising Gaming Agent **VOTE**
5. Research and Responsible Gaming – Mark Vander Linden, Director of Research and Responsible Gaming
 - a. MAGIC Waves 1 – 4 – Mark Vander Linden; Dr. Robert Williams and Dr. Rachel Volberg, Research Analysts
6. Community Mitigation Fund – Joseph Delaney, Project Oversight Manager
 - a. West Springfield, Massachusetts Application Discussion – Joseph Delaney; Mary Thurlow, Program Manager **VOTE**
7. Commissioners Update
8. Other business – reserved for matters the Chair did not reasonably anticipate at the time of posting.

I certify that on this date, this Notice was posted as “Massachusetts Gaming Commission Meeting” at www.massgaming.com and emailed to: regs@sec.state.ma.us, melissa.andrade@state.ma.us.

July 28, 2020

Cathy Judd-Stein, Chair

Date Posted to Website: July 28, 2020 at 10:00 a.m.



Massachusetts Gaming Commission



Massachusetts Gaming Commission Meeting Minutes

Date/Time: June 18, 2020 – 10:00 a.m.

Place: Massachusetts Gaming Commission
VIA CONFERENCE CALL NUMBER: 1-646-741-5293
MEETING ID: 112 031 9597

Present: Chair Cathy Judd-Stein
Commissioner Gayle Cameron
Commissioner Enrique Zuniga
Commissioner Bruce Stebbins
Commissioner Eileen O'Brien

Given the unprecedented circumstances, Governor Charles Baker issued an order to provide limited relief from certain provisions of the Open Meeting Law to protect the health and safety of the public and individuals interested in attending public meetings during the global Coronavirus pandemic. In keeping with the guidance provided, the Commission conducted this public meeting utilizing remote collaboration technology.

Call to Order

10:45 a.m. Chair Cathy Judd-Stein called to order public meeting #308 of the Massachusetts Gaming Commission (Commission).

The Chair confirmed a quorum for the meeting with a Roll-Call Vote.

Commissioner Cameron: Aye.

Commissioner O'Brien: Aye.

Commissioner Zuniga: Aye.

Commissioner Stebbins: Aye.

Chair Judd-Stein: Aye.

Approval of Meeting Minutes

10:46 a.m. *Commissioner Stebbins moved to approve the minutes from the Commission meeting of June 4, 2020, subject to correction for typographical errors and other nonmaterial matters. The Chair requested that a reference to the Massachusetts*

Cultural Counsel be amended to state its formal title for uniformity.

Commissioner Cameron seconded the motion.

Roll-Call Vote:

Commissioner Cameron: Aye.

Commissioner O'Brien: Aye.

Commissioner Zuniga: Aye.

Commissioner Stebbins: Aye.

Chair Judd-Stein: Aye.

The motion passed unanimously, pending the edit.

Administrative Update

10:49 a.m.

Racing Legislation Update

Director of Racing Dr. Alex Lightbown provided the Commission with an update on the racing legislation. She noted that the law authorizing live racing and simulcasting expires on July 1, 2020, and that all licensees are aware and will respond by June 30, 2020.

Next, Dr. Lightbown directed the Commission to the reopening plans in the [Commissioners' Packet](#) that were submitted by Sterling Suffolk Racecourse ("Suffolk") and from Raynham Park Simulcast Center ("Raynham") for reopening their simulcast facilities.

10:51 a.m.

Suffolk/Raynham Simulcasting Update

Chip Tuttle, Chief Operating Officer of Suffolk, was present to answer any questions from the Commissioners regarding Suffolk. Commissioner Cameron asked Mr. Tuttle if there are any unique challenges to opening Suffolk that he may want to discuss with the Commission. He reported that Suffolk has begun reconfiguring the first floor and proposing a limitation of 250 people allowed on that floor's indoor and outdoor space. He added that Suffolk is following all state guidelines and that he is in contact with the City of Boston regarding the Boston Public Health Commission's guidelines. There will be signage in place and employees providing hand sanitizer and masks to patrons at designated entrance areas. In addition to the security team, there will be employees traversing the floor to remind patrons of the protocols.

10:54 a.m.

The Chair stated that she would like consistency across all licensed properties with the incorporation of uniform language in their protocols stating that masks are required (not optional), but with specific medical exceptions to be granted. Mr. Tuttle will edit this language in Suffolk's reopening plan.

10:57 a.m.

Commissioner Stebbins asked if there is adequate protection at the parimutuel windows for employees. Mr. Tuttle stated that they installed plexiglass at the windows and spaced operated windows to open every third, to ensure approximately eight feet of separation.

- [10:58 a.m.](#) Mr. Tuttle reported that occupancy limitations would be set at 50 percent. He then clarified that they would enforce social distancing at the clubhouse via marked areas for standing in front of televisions and para-mutual windows. There will be more televisions on the first floor and outside to allow people to view easier.
- [11:02 a.m.](#) Next, Commissioner Zuniga asked Mr. Tuttle to describe his protocols concerning beverage service. Mr. Tuttle stated that there would only be servers outdoors for outdoor service, consistent with Boston's Department of Public Health guidelines. Patrons will be required to follow mask protocols concerning food and beverage (remain seated with mask down to eat/drink, and then raise the mask to leave the table, and without any food or beverage hand). There will be no bar service.
- [11:06 a.m.](#) Mr. Tuttle will return to the Commission with an amended plan and ask for permission to raise the occupancy limit, should demand over the summer create the need to open the second floor of the property. The Chair asked that Mr. Tuttle add language in his plan to designate that consumption of food or drink will be limited to a designated seating area.
- [11:08 a.m.](#) Mr. Tuttle then confirmed for Commissioner Stebbins that patrons do pay for beverages at Suffolk. Commissioner Stebbins stated the need for initial communication to patrons stating that they will not be able to take their drink with them elsewhere (like the other casinos). Mr. Tuttle also stated that he plans for employee and communication plan training in anticipation of phase three on July 8, 9, and 10.
- [11:09 a.m.](#) Acting General Counsel Todd Grossman stated that Mr. Tuttle could make edits to his reopening plan in response to this discussion and bring it back to the Commission for review before the intended opening.
- [11:12 a.m.](#) Sue Rodrigues, Assistant General Manager of Raynham Park Simulcasting Center, reviewed Raynham's proposed guidelines. Owner George Carney and his team were also present. Ms. Rodrigues described the facility's reconfiguration, noting the installation of plexiglass in front of the parimutuel lines, and glass in front of the concession stand. She described the Personal Protective Equipment (PPE) requirements and queuing around the property and physical distancing requirements.
- [11:18 a.m.](#) Next, Ms. Rodrigues described the planned operations for the concession stand and the seating configuration around televisions. She also stated that there would be a Raynham police officer present to help enforce safety protocols. Ms. Rodrigues is confident that the implementation of the guidelines will be smooth. She also stated that expectations and protocols have been published on the Center's [Facebook page](#) and [website](#). They will also have an outgoing message on their telephone system for callers. There will be staff and signage at the entrance of the facility.

[11:26 a.m.](#) The Commission will vote on this matter at the next Commission meeting, as soon as possible.

Investigations and Enforcement Bureau (IEB)

[11:30 a.m.](#) Plainridge Park Casino License Renewal

Ms. Wells thanked IEB Chief Enforcement Counsel Loretta Lillios, Construction Project Oversight Manager Joe Delaney, Licensing Manager Bill Curtis, and their teams for their work on this project. She then stated that the agenda item today is for a vote on the completeness of the application.

[11:32 a.m.](#) Ms. Lillios stated to the Commission that PPC's five-year license term expires on June 24, 2020. She then summarized the timeline and process of the suitability portion of PPC's application. She stated that the licensee had made a timely submission of all required documents in the application. The IEB's financial report is almost complete, and Ms. Lillios intends to prepare a summary memorandum for the Commission that will accompany this report.

Ms. Lillios requested that the Commission deem the suitability portion of the application timely and complete and that a date for the suitability portion of the renewal is set at the next agenda-setting meeting.

[11:34 a.m.](#) Mr. Delaney reported the overall application status and the timeliness of the submission of the documents. PPC's application is complete. He recommends that the Commission accept the application as timely and sufficient. Early next week, there will be a meeting to determine a schedule for the deliberations. The Chair requested a timeline to discuss at the agenda-setting meeting next week.

[11:36 a.m.](#) *Commissioner Stebbins moved that the Commission find that Plainville Gaming & Redevelopment has made timely and sufficient application for renewing its Category 2 gaming license consistent with the procedures established in the February 28, 2020 letter. Accordingly, under General Law chapter 30A, section 13, the gaming license shall not expire until the Commission has made a final determination of whether to renew the license. Commissioner Zuniga seconded the motion.*

Roll-Call Vote:

Commissioner Cameron: Aye.

Commissioner Zuniga: Aye.

Commissioner Stebbins: Aye.

Chair Judd-Stein: Aye.

The motion passed 4-0 as Commissioner O'Brien was not present.

[11:38 a.m.](#) MGM Suitability Qualifier

IEB Enforcement Counsel Katherine Hartigan summarized the IEB's investigation of Mahmoud Sleiman, Executive Director of Development

Operations for MGM Resorts International, and reviewed his qualifications with the Commission. Ms. Hartigan recommended that the Commission find Mr. Sleiman suitable as a qualifier for MGM Springfield.

[11:40 a.m.](#) *Commissioner Cameron moved that the Commission find Mahmoud Sleiman, Executive Director of Development Operations for MGM Resorts International, suitable as a Qualifier for Blue Tarp reDevelopment, LLC. Commissioner Stebbins seconded the motion.*

Roll-Call Vote:

Commissioner Cameron: Aye.

Commissioner Zuniga: Aye.

Commissioner Stebbins: Aye.

Chair Judd-Stein: Aye.

The motion passed 4-0 as Commissioner O'Brien was not present.

[11:41 a.m.](#) **Encore Boston Harbor Suitability Qualifier**

Ms. Hartigan then summarized the IEB's investigation of Marcus Alexander Trummer, Senior Vice President and Chief Audit Executive for Wynn Resorts Ltd. and reviewed his qualifications with the Commission. Ms. Hartigan recommended that the Commission find Mr. Trummer suitable as a qualifier for Encore Boston Harbor.

[11:43 a.m.](#) *Commissioner Stebbins moved that the Commission find Marcus Alexander Trummer, Senior Vice President and Chief Audit Executive for Wynn Resorts Ltd., suitable as a Qualifier for Wynn MA, LLC. Commissioner Cameron seconded the motion.*

Roll-Call Vote:

Commissioner Cameron: Aye.

Commissioner Zuniga: Aye.

Commissioner Stebbins: Aye.

Chair Judd-Stein: Aye.

The motion passed 4-0, as Commissioner O'Brien was not present.

Community Mitigation Fund

[11:44 a.m.](#) **Community Mitigation Fund (CMF) Application Review – Group 1**
Construction Project Oversight Manager Joseph Delaney, with the CMF Review Team, reviewed the team's analysis of the applications for funding under the different components of the 2020 Community Mitigation Fund with the Commission.

Mr. Delaney noted that the team is being conservative with recommendations for 2020 in anticipation of fiscal effects in 2021 from the casino closings this year. Mr. Delaney reported target amounts for the grant categories, noting that some projects had to go unfunded or be funded at a reduced rate due to the requests totaling more than funds available. Now that casinos are open, the Review Team

asks grant applicants to demonstrate the casino's impact on their community as required by statute.

The Review Team received 37 grant applications, totaling over \$13M, which is higher than the Commission has ever received before; up 50 percent from the previous year. The CMF team sent the applications to the licensees and MassDOT for comments. The team is recommending awards totaling \$6,688,000.00.

[11:47 a.m.](#) Commissioner Stebbins noted going forward the commission could consider the potential for applying a clawback provision to unused reserve amounts and awards made in previous years that have not been utilized yet.

[11:48 a.m.](#) Mr. Delaney outlined that today the Commission will review Workforce Development Grants, Non-Transportation Planning Grants, and Transportation Planning Grants. The next meeting will cover the remainder of the Transportation Planning Grants, also Specific Impact Grants, and Transportation Construction Project Grants.

[11:50 a.m.](#) **Holyoke Community College (HCC)**
Director of Workforce Development Jill Griffin reviewed this grant application with the Commission. HCC initially requested \$450,000 to continue the Work Ready program into 2021, which was revised to \$350,000 in the supplemental information response. Work Ready 2021 is a collaborative effort of Holyoke Community College (HCC), Springfield Technical Community College (STCC), Springfield Public Schools (SPS), MGM Springfield, and the region's workforce development partners. The project proposes to provide a combination of Adult Basic Education (ABE), work readiness preparation, and occupational skills training to connect the un-/underemployed to employment opportunities currently available in the marketplace, including MGM Springfield's urgent need for line cooks, dealers, and hospitality workers.

Ms. Griffin stated that the Review Team is not recommending awarding the gaming school or the culinary/hospitality portions of the grant. They are, however, recommending awarding \$199,000 for the Hamden Prep and Springfield Public Schools part of the grant.

[11:56 a.m.](#) The Chair asked if students will be able to learn remotely, and Ms. Griffin replied in the affirmative. The Chair stated that she is pleased that the Commission can continue to support the adult education portion of the grant application, as it will allow people to study during this time.

[Mr. Delaney and the Chair noted that the Commission will vote at the next Commission meeting for all of the grant applications considered today and the remaining items discussed at that meeting.]

[12:00 p.m.](#) Commissioner Stebbins suggested that the Review Team continue to work with the Workforce applicants as the employment landscape becomes clearer over time. He noted that the Commission should be able to give the rest of this particular application serious consideration.

[12:05 p.m.](#) Ms. Griffin stated that the Review Team would likely request the Commission's approval to rollover funds from FY19 to be used this fiscal year.

[12:07 p.m.](#) **Masshire Metro North Workforce Board (MNWB) and the City of Boston** Next, Ms. Griffin stated that this grant application addresses hospitality sector needs. The Metro Boston Regional Gaming and Hospitality Consortium are proposing a project where residents are provided services that prepare them for careers in the hospitality sector, focusing on the hotel industry.

The Review Team recommends that the Commission does not fund the New England Center for Arts and Technology and BEST Hospitality Training portion of the proposal, resulting in a grant to the Metro Boston Regional Gaming and Hospitality Consortium in the amount of \$172,000 for the Community Engagement, Career Advising, and Employment Services as well as the Regional Need portions of the grant application.

The Commission meeting took a 20-minute recess to reconvene at 12:50 p.m.

[12:50 p.m.](#) The Commission reconvened. Mr. Delaney introduced the Non-Transportation Planning Grant applications to the Commission.

City of Everett Designated Port Area Study

The City of Everett is requesting \$100,000 for a Designated Port Area Study that will help them understand the district's impact on the local and regional economy, especially as it relates to the abutting entertainment district where Encore Boston Harbor is located. He described the Review Team's analysis. The Chair noted that Encore Boston Harbor supports this study, and thanked them for their continued collaboration.

The Review Team recommends the Commission award \$100,000 to the City of Everett for the Designated Port Area study.

[12:54 p.m.](#) **Medford Business Technical Assistance Program**

Next, the City of Medford is requesting \$100,000 for a Business Technical Assistance Program grant to contract a consultant to establish a business technical assistance program that should help local businesses secure additional business with Encore Boston Harbor.

The Review Team recommends a one-time award of \$100,000 to the City of Medford for an economic business development consultant to create a local

business technical assistance program. Commissioner Zuniga stated that he is in favor of a one-time grant.

[12:59 p.m.](#)

The Chair asked Mr. Delaney to explain what the follow-up for feedback would be on a grant of this nature to learn how these services would assist the relationship and coordination with Encore to achieve its goal. She stated that feedback would help if this grant is useful and could then be replicated for other cities. Mr. Delaney replied that the City of Medford's longer-term plan would be to hire an economic development director responsible for implementing this plan. He added that the other piece is building relationships, and the capacity to participate in contracts with Encore. The document would establish a framework for extensive use. The Chair requested that the Review Team solicit feedback on this grant's effectiveness to determine if it should be replicated for others.

[1:02 p.m.](#)

Northampton Marketing Program 2020

Northampton is seeking \$100,000 to continue operating and managing "northampton.live." Mr. Delaney recapped the analysis for this grant application, stating that this grant is not intended for continued operational funding.

The Review Team recommends that the Commission award \$50,000 to the City of Northampton to understand that these funds may only be used for the further development of the platform and not for routine operational costs.

[1:06 p.m.](#)

Mr. Delaney clarified for the Chair that the guidelines do not expressly prohibit the use of the CMF for operational costs. However, it is implied throughout that the applications are for a specific item, and that there should be a clear plan of implementation for that item.

The Chair would like a collaboration between the casinos and Northampton, leveraging this grant to enable further communication of cross-marketing efforts reflective of the current pandemic situation. There was a discussion around the recommendation. Mr. Delaney suggested that the Acting General Counsel Todd Grossman opines on any legal issues concerning the Commission's ability to utilize these funds for other purposes outside of planning.

[1:16 p.m.](#)

Revere Hospitality Advocate

The City of Revere is requesting \$100,000 to establish and sustain for 18 months, a new position in the Department of Strategic Planning and Economic Development to coordinate and facilitate business to business connections between Revere hospitality venues, regional travel and tourism, and Encore Boston Harbor.

Mr. Delaney stated that the Review Team does not recommend this award, based on the City's inability to establish an impact from the casino that this application would address.

- [1:20 p.m.](#) Commissioner Stebbins initiated a discussion around the purpose of Non-Transportation Planning Grants, noting that they were established to try to maximize the presence of the casino itself. He ultimately agrees with the recommendation but hopes that eventually, all of the host and surrounding communities will work with licensees to establish strong communication lines, including the Regional Tourism Council.
- [1:23 p.m.](#) The Chair suggested roundtable training that will allow applicants to exchange ideas with the Review Team. She added that the legislature has contemplated using the funds in this way and that the Commission wants to ensure that people can obtain these awards. The Review Team will work on creating a series of meetings and have a workshop stating requirements for a successful application.
- [1:27 p.m.](#) **Saugus Casino Related Business Development Specialist**
The City of Saugus is requesting \$100,000 to fund a Business Development Specialist position in the Planning and Development Department for a period of two years. The staffer will be responsible for growing business connections between Saugus businesses and Encore Boston Harbor. After two years it will then be included in the Town budget. Mr. Delaney reviewed the Review Team's analysis of the application with the Commission.
- The Review Team was unable to establish a firm connection between the businesses in Clifftondale Square and Encore. Therefore, the Review Team does not recommend the award of a grant to the Town of Saugus for a Business Development Specialist.
- [1:30 p.m.](#) **West Springfield Marketing and Video Campaign**
The Town of West Springfield is requesting \$50,000 to create a series of videos to market West Springfield's Attractions, Businesses, and Amenities. Mr. Delaney explained the Review Team's analysis. He stated the concerns with this application, saying that [similar to Revere and Saugus] there is again no firm connection to an impact from a casino. It was noted in the written recommendation that the completion of a look-back study, demonstrating any impacts from the casino, would benefit this application. He then asked Commissioner Stebbins to provide feedback.
- [1:33 p.m.](#) Commissioner Stebbins stated that he would favor a regional approach in collaboration with licensees to strategize the development of a more comprehensive planning grant application that would help the applicants articulate their connection to the licensees. The Chair noted that this could be included in the guidelines.
- [1:34 p.m.](#) Commissioner Zuniga then contributed ideas that might incentivize for a regional approach, and there was more discussion around this. There was discussion around the potential addition of another category in this application to promote regionalization.

[1:39 p.m.](#) Commissioner Cameron asked when the first look-back study would be completed, and Mr. Delaney stated that he will follow-up with Vice President and Legal Counsel of MGM Springfield Seth Stratton for status.

The Commission will address the remainder of the Non-Transportation Grants and the remaining grant categories at the next Commission meeting.

Research and Responsible Gaming

[1:48 p.m.](#) **Gambling Formats, Involvement and Problem Gambling**
Director of Research and Responsible Gaming Mark Vander Linden introduced UMass School of Public Health & Health Sciences Research Analyst Dr. Rachel Volberg's study entitled, "Which Types of Gambling are More Risky in Massachusetts?"

Mr. Vander Linden first described two studies previously conducted by Dr. Volberg (first was a general population baseline study of approximately 10,000 participants. The second was a baseline online panel of nearly 5,000 participants) where the resulting data sets afforded a more in-depth look into the causes of problem gambling. Mr. Vander Linden also noted that this paper had been published in BMC Public Health, a peer-reviewed journal.

[1:53 p.m.](#) Dr. Volberg led the Commission through a slide presentation that described the study. She described the factors involved with the different formats of gambling that individuals are engaged in.

[2:04 p.m.](#) Next, she reviewed and discussed four hypotheses with the Commission. The first hypothesis predicts that problem gambling is more closely related to some gambling formats than others. There was a discussion around the proportion of lottery vs. casino gambling.

She then reviewed their second hypotheses, which describes how problem gambling is positively related to high involvement in gambling.

The third hypothesis predicts that involvement in gambling is positively related to the intensity of gambling. Dr. Volberg stated that while not as strong, Massachusetts' results suggest that there is a positive relationship between involvement and intensity.

The fourth hypothesis estimates that gambling format mediates the relationship between involvement and problem gambling.

[2:28 p.m.](#) Dr. Volberg made closing remarks and recommended a follow-up online panel survey be added at a relatively low cost to replicate this particular analysis. She

also is interested in using this data in exploring relationships about age and socioeconomic status.

[2:33 p.m.](#)

Commissioner Zuniga will submit this presentation to the Department of Public Health, as it raises some concerns that he described. There was a discussion around a problem gambler's propensity to gamble at anything versus discerning what game they are addicted to. Dr. Volberg maintained that there is something about specific formats of gambling that are associated with particular gambling problems, and it is well documented across many jurisdictions.

Mr. Vander Linden noted that this discussion is connected with the Data Access Project agenda item that will be presented at the Commission meeting next week.

Finance and Accounting

[2:53 p.m.](#)

Budget Year 2021 Discussion

Chief Financial and Accounting Officer Derek Lennon reviewed and described budget recommendations for the F.Y. 2021 fiscal year for the Commission. With him was Finance and Budget Office Manager Agnes Beaulieu, and Revenue Manager Doug O'Donnell.

Mr. Lennon recommends an FY21 Gaming Control Fund budget of \$32.25M, a Research and Responsible Gaming budget funded from the Public Health Trust Fund of \$4.62M, for the first time, funding \$170K in staff costs from the Community Mitigation Fund, and an FY21 Racing Oversight and Development Fund budget of \$2.68M. He also recommends that the Commission consider providing some relief as to the timing of fees and assessments. Staff recommends posting the budget document for public comment and return to discuss and approve or change at a subsequent public meeting.

[3:00 p.m.](#)

Mr. Lennon pointed out for the Commission that the budget presented today does not include estimates for the racing capital and promotional trust funds, or grants from the Community Mitigation Fund.

[3:14 p.m.](#)

Mr. Lennon stated that he would like to put this document out for public comment and return to the next Commission meeting for a vote and/or adjustments.

[3:15 p.m.](#)

The Chair addressed an issue of overtime in the Gaming Enforcement Unit (GEU). She asked Commissioner Cameron and Commissioner O'Brien to provide regular reporting on this to aid Massachusetts State Police and GEU Captain Brian Connors.

[3:18 p.m.](#)

Commissioner Stebbins suggested that the Commission vote on using some of the CMF dollars for administrative purposes before voting on the full budget. There was a discussion around this.

The Chair requested that Ms. Wells follow up with Mr. Grossman for a legal perspective.

This item will be on the agenda for the July 2 Commission meeting, after the public comments have been received.

[3:32 p.m.](#)

Next, the Chair allowed Lobbyist for the Harness Horsemen's Association of New England Martin Corry to speak regarding the request of the horsemen concerning the renewal of their license (See letter in the Commissioners' Packet entitled, "**Request for Delay in Class 2 License Renewal of Penn National Gaming for Plainridge Park Casino**"). The Chair then stated that the letter he submitted in the Commission's records and that the schedule for the deliberations on the license renewal will be discussed at the next Commission meeting. She will ensure that Dr. Lightbown is in coordination with Mr. Corry on this.

[3:45 p.m.](#)

With no further business, Commissioner Stebbins moved to adjourn. Commissioner Cameron seconded the motion.

Roll Call Vote:

Commissioner Cameron: Aye.

Commissioner O'Brien: Aye.

Commissioner Zuniga: Aye.

Commissioner Stebbins: Aye.

Chair Judd-Stein: Aye.

The motion passed unanimously.

List of Documents and Other Items Used

1. Notice of Meeting and Agenda dated June 16, 2020
2. Draft Commission Meeting Minutes dated June 4, 2020
3. Suffolk Downs' letter re: resuming operations dated June 15, 2020
4. Raynham Park Reopening Plan
5. Letter from Martin Corry re: Request for Delay in Class 2 License Renewal of Penn National Gaming for Plainridge Park Casino
6. 2020 Community Mitigation Fund Analysis Memo dated June 15, 2020
7. SEIGMA study: Which types of gambling are more risky in Massachusetts?
8. Research Article: Gambling formats, involvement, and problem gambling: which types of gambling are more risky? – BMC Public Health
9. FY21 Budget Memorandum dated June 18, 2020, with attachments

/s/ Bruce Stebbins
Secretary



July 17, 2020

Cathy Judd-Stein, Chair
Gayle Cameron, Commissioner
Eileen O'Brien, Commissioner
Bruce Stebbins, Commissioner
Enrique Zuniga, Commissioner

Massachusetts Gaming Commission
101 Federal Street
Boston, MA 02110

RE: SUMMARY OF SUITABILITY INVESTIGATION OF PLAINRIDGE PARK
CASINO, APPLICANT FOR RENEWAL OF CATEGORY 2 GAMING
LICENSE

Dear Chair Judd-Stein and Commissioners:

The Investigations and Enforcement Bureau (“IEB”) of the Massachusetts Gaming Commission (“MGC” or “Commission”) submits this letter to summarize its recent investigation into the suitability of the Plainville Park Casino (“PPC”) in connection with PPC’s application for renewal of the category 2 license.¹

Plainville Gaming and Redevelopment, LLC (“PGR”),² DBA the Plainridge Park Casino, has applied to the Commission for renewal of its category 2 gaming license. *See* G.L. c. 23K, § 20(f). The Commission awarded the initial license to PGR on February 28, 2014 and issued the operations certificate on June 24, 2015, the day operations commenced. *See* 205 CMR 151.04. The five-year term of the license was set to expire on June 24, 2020, however at its open meeting on June 18, 2020, the Commission determined that PPC had “made timely and sufficient application for a renewal” and accordingly the license will not expire until the Commission makes a final determination on the renewal application. *See* G.L. c. 23K, § 20(f), and c. 30A, § 13. The matter is before the Commission now for a determination on the suitability aspect of PPC’s renewal application.

As an initial step in the suitability investigation, the Division of Licensing, together with the IEB, engaged in a re-scoping process. This re-scoping resulted in the designation of 22 individuals and seven entities as qualifiers for PPC’s renewal license. *See* 205 CMR 116.00 (*Persons Required to be Qualified*).

¹ The IEB has submitted to the Commission an Addendum to this letter which contains a comprehensive set of Checklists and Reports reflecting further details of this investigation.

² Originally, the company was named Springfield Gaming and Redevelopment, LLC. The official name of the company has been changed to Plainville Gaming and Redevelopment, LLC (“PGR”).

The IEB notes that this investigation was conducted in part during the period of the global coronavirus pandemic. The Commission voted to suspend operations at PPC (along with operations at the Commonwealth’s other two casinos) on March 15, 2020. PPC reopened on July 8, 2020, subject to detailed health and safety requirements. Operations at PNGI’s other properties across the country were similarly suspended; most have reopened as of the date of this letter.

Individual Qualifiers

The 22 individual qualifiers and their status with respect to suitability are listed below. The 16 individuals whose names are shaded were investigated as part of this review for the renewal license.

Individual Qualifier	Status of Suitability Determination
1. Jay Snowden, President, Chief Executive Officer, and Director – PNGI	Previously determined suitable in 2013; background review updated for this renewal application
2. David Handler, Chairman of the Board – PNGI	Previously determined suitable in 2013; background review updated for this renewal application
3. Carl Sottosanti, Executive Vice President, General Counsel, & Secretary – PNGI	Previously determined suitable in 2013; Suitability was updated in 2019 ³
4. David Williams, Chief Financial Officer – PNGI	Designated a New Qualifier in early 2020; background review in progress
5. Todd George, Executive Vice President of Operations – PNGI	Designated a New Qualifier in late 2019; background review completed for this renewal application
6. Chris Rogers, Senior Vice President & Chief Strategy Officer – PNGI	Designated a New Qualifier in late 2019; background review completed for this renewal application
7. Erin Chamberlin, Vice President of Regional Operations – PNGI	Designated a New Qualifier in late 2019; background review completed for this renewal application
8. Chris Soriano, Vice President of Regulatory Affairs – PNGI	Designated a New Qualifier in early 2020; background review in progress
9. Jane Scaccetti, Director – PNGI	Previously determined suitable in 2016; background review updated for this renewal application
10. Ronald Naples, Director – PNGI	Previously determined suitable in 2016; background review updated for this renewal application

³ In 2019, the IEB conducted suitability investigations into a number of individuals and entities in connection with a real estate investment trust (“REIT”) transaction, whereby the real estate associated with PPC was transferred to GLPI. The Commission issued positive determinations of suitability for all of the qualifiers investigated at that time, and approved the REIT transaction.

11. John Jacquemin, Director – PNGI	Previously determined suitable in 2013; background review updated for this renewal application
12. Barbara Shattuck Kohn, Director – PNGI	Previously determined suitable in 2013; background review updated for this renewal application
13. Peter Carlino, Chairman & CEO – GLPI; Director Emeritus – PNGI	Previously determined suitable in 2013; Suitability was updated in 2019 ⁴
14. Brandon Moore, Senior Vice President, General Counsel, & Secretary – GLPI	Previously determined suitable in 2019 ⁵
15. Steven Snyder, Senior Vice President, Chief Financial Officer – GLPI	Previously determined suitable in 2013; background review updated for this renewal application
16. Saul Reibstein, Director – GLPI	Previously determined suitable in 2013; background review updated for this renewal application
17. E. Scott Urdang, Outside Director – GLPI	Modified investigative protocol applied to this non-executive director of an entity qualifier ⁶
18. Joseph Marshall III, Outside Director – GLPI	Modified investigative protocol applied to this non-executive director of an entity qualifier ⁷
19. Earl Shanks, Outside Director – GLPI	Modified investigative protocol applied to this non-executive director of an entity qualifier ⁸
20. James Perry, Outside Director – GLPI	Modified investigative protocol applied to this non-executive director of an entity qualifier ⁹
21. Carol Lynton, Outside Director – GLPI	Modified investigative protocol applied to this non-executive director of an entity qualifier ¹⁰
22. Barry Schwartz, Outside Director – GLPI	Previously determined suitable in 2019 ¹¹

⁴ See *supra* note 3.

⁵ See *supra* note 3.

⁶ The Commission approved a modified investigative protocol for the six Independent Directors of GLPI. They submitted Independent Director application forms which do not allow for a net worth analysis to be performed.

⁷ See *supra* note 6.

⁸ See *supra* note 6.

⁹ See *supra* note 6.

¹⁰ See *supra* note 6.

¹¹ In 2019, the Commission issued a positive determination of suitability for Mr. Schwartz, a qualifier for the Bally Gaming, Inc. license.

Entity Qualifiers

The seven entity qualifiers and their status with respect to suitability are listed below. For purposes of this renewal application, PGR and Penn National Gaming, Inc. (“PNGI”), the publicly-traded ultimate parent company of PPC, were investigated. The Commission issued positive findings of suitability for each of the other six entity qualifiers in 2019, following the IEB’s investigation of them in connection with the PNGI-GLPI REIT transaction.

Entity Qualifier	Status of Suitability Determination
1. Penn National Gaming, Inc. (“PNGI”) (the publicly-traded ultimate parent company of PPC)	Previously determined suitable in 2013; background review updated for this renewal application
2. Penn Tenant LLC (a subsidiary of PNGI)	Previously determined suitable in 2019 ¹²
3. Delvest LLC (a subsidiary of PNGI)	Previously determined suitable in 2019 ¹³
4. Massachusetts Gaming Ventures, Inc. (a subsidiary of PNGI)	Previously determined suitable in 2019 ¹⁴
5. Gaming and Leisure Properties, Inc. (“GLPI,” the REIT holding the real property associated with PPC)	Previously determined suitable in 2019 ¹⁵
6. GLP Capital LP (a subsidiary of GLPI)	Previously determined suitable in 2019 ¹⁶
7. Gold Merger Sub LLC (a subsidiary of GLPI)	Previously determined suitable in 2019 ¹⁷

Scope of Review

We evaluated PPC and its qualifiers based upon the standards set forth in G.L. c. 23K, §§ 12, 13, 14, and 16, and 205 CMR 115.00 (*Phase I and New Qualifier Suitability Determination, Standards, and Procedures*), which include an evaluation of the licensee’s and qualifiers’ overall reputation, including, without limitation the following criteria:

- Integrity, honesty, good character, and reputation;
- Financial stability, integrity, and background;
- Business practices and the business ability to establish and maintain a successful gaming establishment;
- History of compliance with gaming licensing requirements in other jurisdictions;
- Whether the Applicant is a defendant in litigation at the time of application;

¹² See *supra* note 3.

¹³ See *supra* note 3.

¹⁴ See *supra* note 3.

¹⁵ See *supra* note 3.

¹⁶ See *supra* note 3.

¹⁷ See *supra* note 3.

- Suitability of all parties in interest to the gaming license, including affiliates and close associates and the financial resources of the applicant;
- Applicant's criminal history, if any; and
- Whether the applicant is disqualified from receiving a license under G.L. c.23K, § 16.

Under Massachusetts law, PPC is required to establish its qualifications for licensure by clear and convincing evidence. PPC and all qualifiers must maintain suitability on an ongoing basis. *See* G.L. c. 23K, § 13(a), 205 CMR 115.01(2),(4).

As part of our investigation, the IEB reviewed PPC's renewal application and the application submissions from each of the qualifiers that submitted applications as part of this renewal process. Investigators requested and reviewed supplemental information, gathered information from a variety of governmental and non-governmental sources and databases, conducted criminal records checks, reviewed updates on litigation matters, verified the accuracy of information provided as part of the application, and interviewed the three new individual qualifiers (Mr. George, Mr. Rogers, and Ms. Chamberlin). Investigators communicated throughout the course of the investigation directly with the individual qualifiers, with Ms. Tina Hable (Licensing Manager For PNGI), and with Ms. Melissa Furillo (Director of Licensing & Legal Affairs for GLPI). Investigators further reviewed investigative information from gaming regulators from other jurisdictions relative to other PNGI operations. Minutes of PNGI's Compliance Committee and Audit Committee meetings also were reviewed. And of course, Investigators reviewed PPC's five-year history of operations in Massachusetts, including its compliance record.

The IEB also evaluated PPC and its parent company, PNGI, for financial suitability (financial stability, integrity, and background) by performing financial analysis and verification of its financial information. This included a review of standalone operating results of PPC, as well as the consolidated operating results of PNGI and subsidiaries.¹⁸ The financial review encompassed an examination of audited financial statements, tax returns, credit histories, credit ratings, operating results since the COVID-19 pandemic, and the related financial mitigation measures put into place. As part of this financial review, Investigators had numerous discussions with Justin Sebastiano, Senior Vice President, Finance & Treasurer of PNGI; Todd George, Executive Vice President of Operations of PNGI; Chris Rogers, Senior Vice President & Chief Strategy Officer of PNGI; and Dana Fortney, Vice President of Finance of PPC.

Summary of the Investigation

a. General

Neither PPC nor any of its entity qualifiers has a criminal record. The investigation discovered no civil litigation that threatens the economic viability of the business or reflects any concerning pattern involving business practices. Research of available online and print media surfaced substantial media coverage of PNGI and PPC, but no material that would negatively impact suitability. Checks with other gaming jurisdictions revealed no systemic problems with operations at PNGI operated facilities.

¹⁸ PPC is a subsidiary of PNGI, so its financial results ultimately are consolidated into those of PNGI.

The IEB also performed the requisite background suitability investigation of the individual qualifiers as listed above. After performing all of the requisite inquiries and database checks on the individual qualifiers, no facts were discovered that would automatically disqualify any of them. Nor did the investigation reveal any information that would preclude a finding that each of the individual qualifiers possesses the requisite integrity, honesty, and good character to be deemed suitable under Massachusetts law.

b. PPC's Compliance History

The on-site Gaming Agents Division routinely brings observations of minor instances of noncompliance to the attention of the appropriate department manager at PPC. More serious issues are discussed directly with Lisa McKenney, PPC's Compliance Manager. The Gaming Agents Division reports that PPC has responded professionally, appropriately, and promptly to all concerns brought to PPC's attention and has updated internal control submissions, increased staff training, and implemented progressive discipline measures with employees as appropriate.

Of particular note, in its five years of operation, 43 individuals have been identified as underage on PPC's gaming floor. Of those 43, nine were observed gaming at a slot machine and one was reviewed via surveillance being served and consuming alcohol. Overall, PPC has taken very significant and effective steps to ensure that it meets its statutory and regulatory obligations regarding underage individuals at its property. *See* 23K, §§ 25(h), 26(c); 205 CMR 136.07.

The Gaming Agents Division has notified the IEB's undersigned Chief Enforcement Counsel of a number of more serious or repeated instances of noncompliance. These have led to the IEB's issuance of nine Notices of Noncompliance to PPC since it opened on June 24, 2015. In addition, the IEB issued two civil administrative penalties, in the amounts of \$10,000 (in 2016 for noncompliance with alcohol beverage storage and distribution requirements) and \$65,000 (in 2017 for noncompliance with minimum security staffing requirements). Early on in its operations, PPC had repeated issues around security staffing. As of 2017, however, the issues have been rectified. With respect to the all areas where Notices of Noncompliance issued, PPC put into place prompt and adequate remedial measures. PPC also promptly remitted the funds for the two administrative penalties.

c. Summary of Financial Review

PPC earned net incomes in three of the past five years (years ended December 31, 2016, 2017, and 2019) and incurred losses in two (years ended December 31, 2015 and 2018). PPC's revenues increased each year from its opening until 2019, and declined somewhat in 2019, the year Encore Boston Harbor opened. In the last five years, on average, 90.53% of PPC's total revenues derived from gaming, with the remaining derived from food, beverage, and other sources (including racing-related revenue).

The results from PNGI's audited financial statements showed positive earnings in the five-year time period for the years ended December 31, 2015 through December 31, 2019, compliance with all debt requirements, and compliance with the terms of the master lease agreements with GLPI. Subsequent to the 2019 year-end and within 10 days of its 41 casino property closures attributable to the coronavirus pandemic, PNGI adopted mitigation measures by reaching an

agreement with GLPI to address rental obligations, thereby reducing expenses and preserving liquidity. On May 11, 2020, PNGI announced public offerings of convertible senior notes and shares of common stock, further increasing its liquidity position. Taking into consideration the mitigation measures in place and a number of additional sources of liquidity available, the Investigators' review of PNGI did not present any indication that the consolidated group is unable to meet its short or long term obligations. As of July 10, 2020, PNGI has re-opened 37 of its 41 facilities with health and safety protocols in place. According to PNGI, these reopened facilities represent 90% of the company's portfolio of regional casino assets. PNGI is expected to benefit from resuming operations of its geographically diversified portfolio of properties.

In sum and in the context of the impacts of the coronavirus pandemic on the global economy, the IEB's review of PGR's and PNGI's financial results did not uncover any derogatory information.

Conclusion and Recommendation of the IEB

In conclusion, taking into consideration the entirety of the investigation and PPC's compliance history over the initial five year term of the category 2 license, the IEB recommends that the Commission issue positive determinations of suitability to PPC and the qualifiers that comprise this application and find PPC suitable under the criteria listed in the gaming law and regulations. *See* G.L. c. 23K, § 14(i), 205 CMR 115.03(2), 116.07(3).

Respectfully submitted,
Loretta M. Lillios

Loretta M. Lillios

Chief Enforcement Counsel/Deputy Director - IEB

cc: Karen Wells, Interim Executive Director – MGC/Director - IEB
Mass. State Police Captain Brian Connors - MGC
Bruce Band, Chief of Gaming Agents Division - MGC
Mass. State Police Trooper Thomas Rodger - MGC
Monica Chang, Supervisor of Financial investigations – MGC
Zong Fei Zou, Financial Investigator – MGC
Lance George – President, PPC



UNIVERSITY OF MASSACHUSETTS SCHOOL OF PUBLIC HEALTH AND HEALTH SCIENCES

MAGIC: TRANSITIONS ACROSS FOUR WAVES

July 2020

Robert J. Williams, PhD



MAGIC

- **Massachusetts Gambling Impact Cohort (MAGIC) is the first major cohort study of gambling in the United States**
- Began in 2013



Research Goals

1. Monitor changes in prevalence of gambling and problem gambling over time that might identify **impacts of MA-casino introduction**.
2. Determine **stability and course** of problem, at-risk, and recreational gambling.
3. Identify predictors of problem gambling onset, continuation, remission, and relapse for the purposes of developing an **etiological model of problem gambling**.
4. **Operationalize above findings to optimize treatment and prevention** of problem gambling in MA.



Details of Each Wave

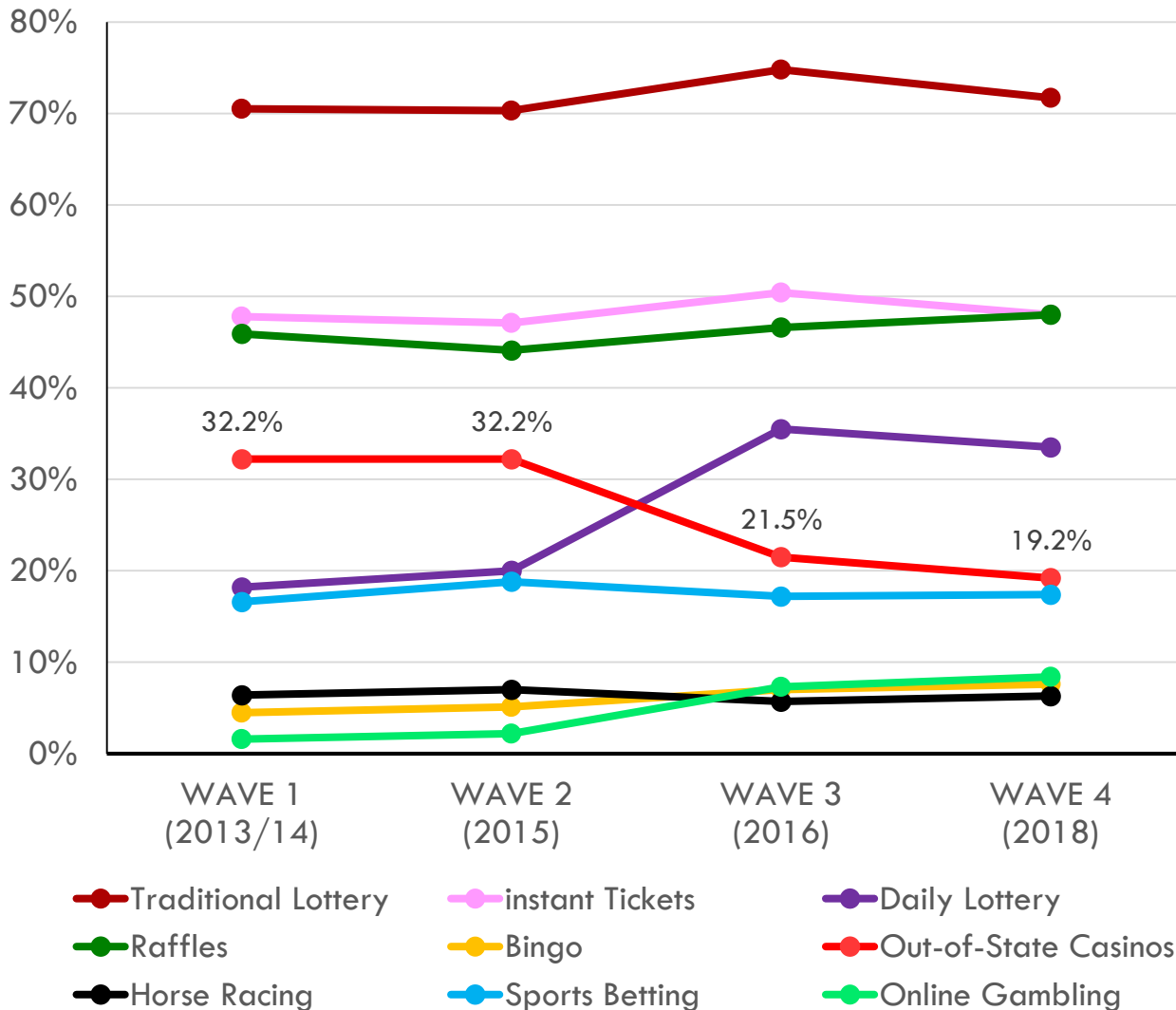
Wave	95% Assessment Window	Complete	Response/Retention
1	Sep 2013 – Apr 2014	3,096	36.6% response
2	Mar – Jun 2015	3,139	65.1% response
<i>Jun 24, 2015: Opening of Plainridge Park Casino</i>			
3	Apr – Jul 2016	2,450	78.1% retention
4	<i>Postponed due to budgetary constraints</i>		
4	Apr – Jun 2018	2,444	81.1% retention
<i>Aug 24, 2018: Opening of MGM Springfield</i>			

- Wave 1 over-selected for at-risk characteristics: all problem gamblers, at-risk gamblers, weekly gamblers, >\$1200 past year gambling expenditure, military service.
- Limited number of variables assessed in Wave 1 and 2; comprehensive set included in Waves 3 – 5.

**CHANGES IN PREVALENCE OF
GAMBLING AND PROBLEM GAMBLING
WITHIN THE COHORT THAT MIGHT
IDENTIFY IMPACTS OF MA-CASINO
INTRODUCTION**



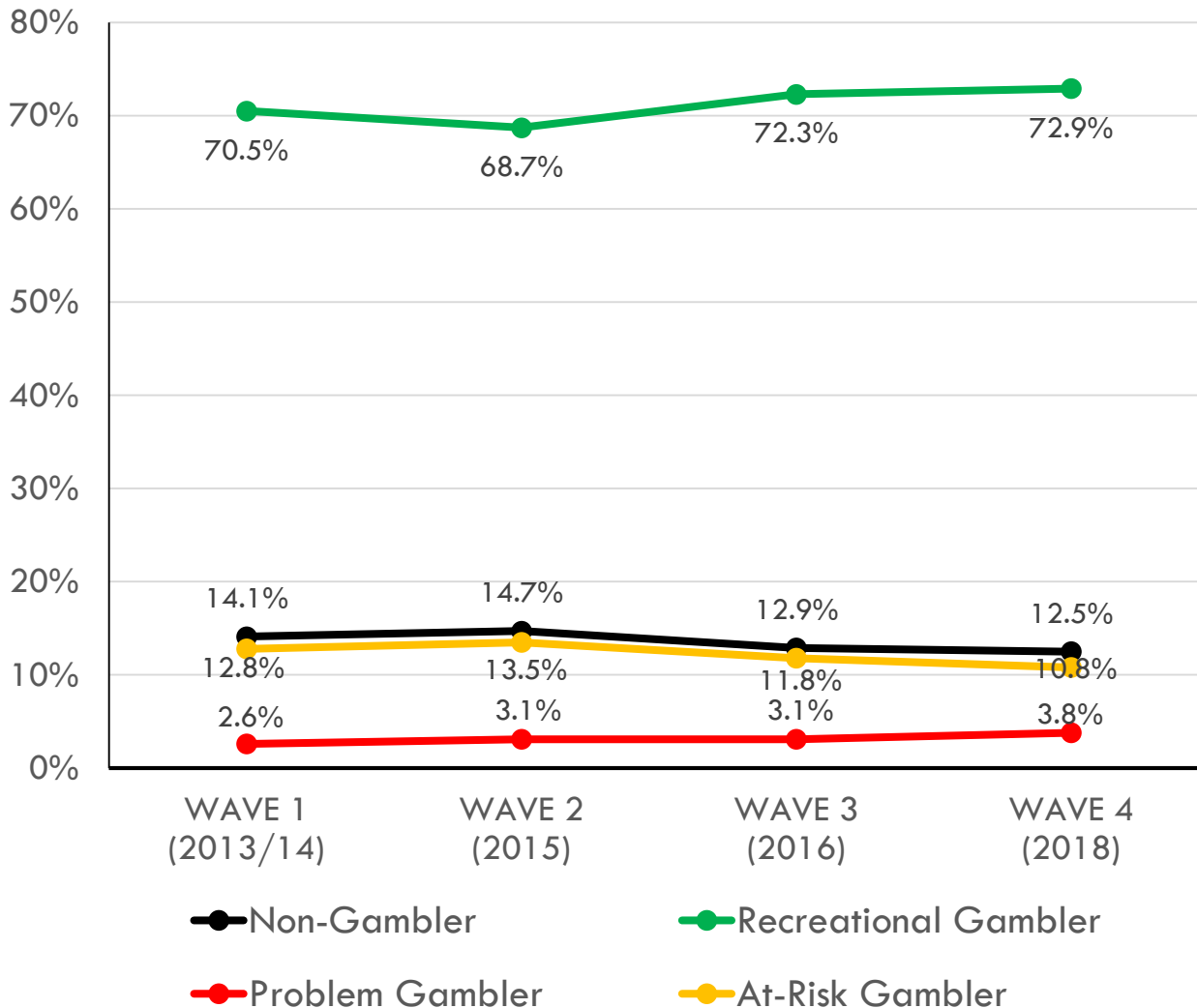
Gambling Participation within the Cohort Across Waves



- Wave 3 & 4 decrease in **out-of-state casinos** likely due to MA-casino introduction.
- Wave 3 increase in **traditional lottery, instant tickets, raffles** likely due to 2016 Powerball jackpot.
- Wave 3 increase in daily lottery, bingo, online gambling likely artifactual due to change in question wordings.



Gambling Categorizations within the Cohort Across Waves



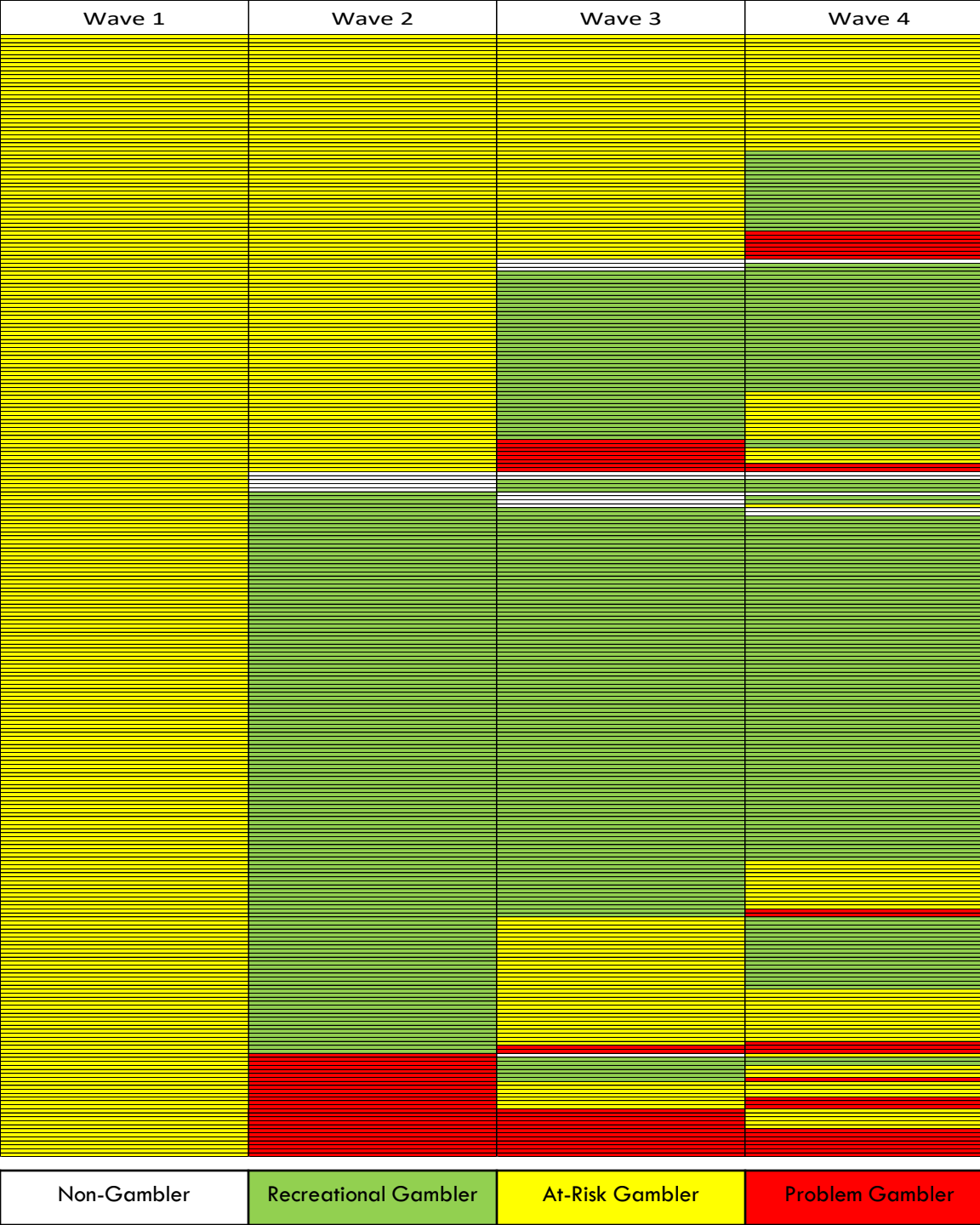
- Wave 3 & 4 increase in **Recreational Gambling** likely due to 2016 Powerball jackpot + changes in question wordings.
- Wave 4 increase in **Problem Gambling** plausibly related to casino introduction, but magnitude of change very small.

**INDIVIDUAL STABILITY OF NON-
GAMBLING, RECREATIONAL GAMBLING,
AT-RISK GAMBLING AND PROBLEM
GAMBLING ACROSS WAVES**

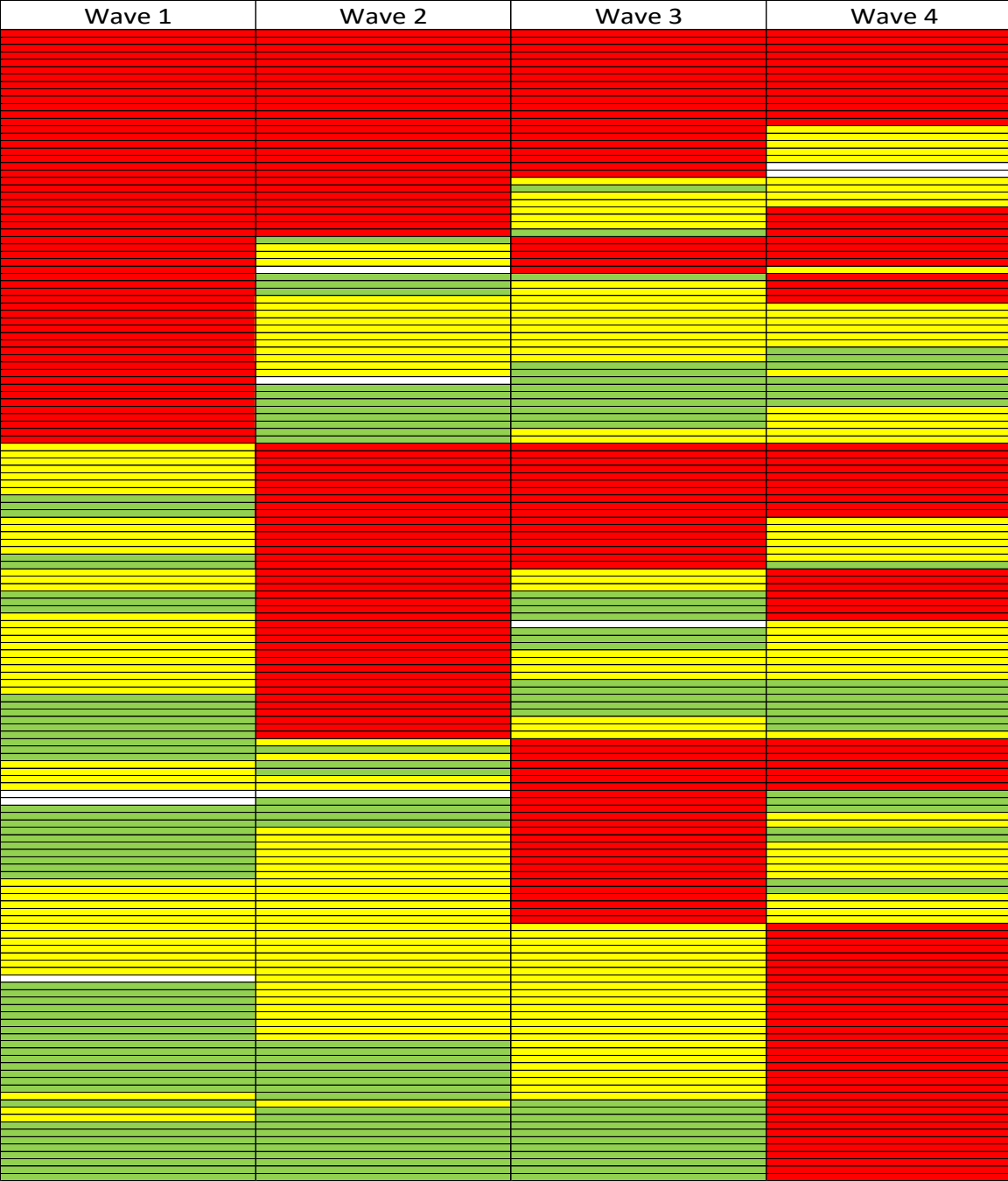


Non-Gambler	Recreational Gambler	At-Risk Gambler	Problem Gambler
-------------	----------------------	-----------------	-----------------

- N = 309; each row represents an individual
- **NON-GAMBLING** a fairly stable category, with majority in one wave continuing to be Non-Gamblers at the next wave.
- However, only minority Non-Gamblers in all 4 waves (38.2%). Majority (61.4%) transitioned to Recreational Gambling in Wave 2, 3, or 4, with minority transitioning back to Non-Gambling in following wave.



- $N = 280$; each row represents an individual
- **AT-RISK GAMBLING** an unstable category, with minority being in same category in the next wave and only 10.4% continuing in this category for four consecutive waves.
- Although a significant percentage of At-Risk Gamblers subsequently become Problem Gamblers (16.4%), a much more common route was transitioning back to Recreational Gambling.



- N = 156; each row represents an individual
- **PROBLEM GAMBLING** somewhat more stable than At-Risk Gambling, but still fairly unstable, with majority transitioning to At-Risk or Recreational Gambling in next wave.
- One year the modal duration of PG, occurring in 57.0%, with only 23.2% being PGs in all 4 waves. Risk of chronicity increased with each consecutive year of PG status.
- The short episode duration also means recovery rates are high. However, of those that recovered by Wave 2, 25.3% had relapsed in either Wave 3 or Wave 4. Longer-term relapse rate unknown, but likely much higher.

Non-Gambler	Recreational Gambler	At-Risk Gambler	Problem Gambler
-------------	----------------------	-----------------	-----------------



MAGIC: Transitions over 4 Waves

Questions?



UNIVERSITY OF MASSACHUSETTS SCHOOL OF PUBLIC HEALTH AND HEALTH SCIENCES

MA GAMBLING IMPACT COHORT (MAGIC): Transitions across Four Waves

**Robert J. Williams
Rachel A. Volberg
Martha Zorn
Edward J. Stanek III
Valerie Evans**

May 22, 2020

Authorship

Robert J. Williams, Professor, Faculty of Health Sciences, University of Lethbridge, Lethbridge, Alberta, is Co-Principal Investigator on the MAGIC study and provided oversight of the study design, implementation, and analysis. Dr. Williams is the lead author of the current report.

Rachel A. Volberg, Research Professor, University of Massachusetts Amherst School of Public Health and Health Sciences, is the study Principal Investigator and responsible for overall leadership of the project as well as oversight of the cohort study design, implementation, and analysis. Dr. Volberg is a co-author of the current report.

Martha Zorn, Data Manager, University of Massachusetts Amherst School of Public Health and Health Sciences, was responsible for data management, data cleaning, and data analysis and contributed to all sections of the report.

Edward J. Stanek, Professor Emeritus, University of Massachusetts Amherst School of Public Health and Health Sciences, provided technical oversight and review of the study design and analysis.

Valerie Evans, Biostatistician and SEIGMA/MAGIC Project Manager, University of Massachusetts Amherst School of Public Health and Health Sciences. Ms. Evans provided edits to the report.

Acknowledgements

Support for this study came from the Massachusetts Gaming Commission under ISA MGC10500001UMS15A establishing the Massachusetts Gambling Impact Cohort (MAGIC) study. This multi-year project was competitively bid via a Massachusetts Gaming Commission Request for Proposals (RFP) issued in November 20, 2013 and awarded to the University of Massachusetts Amherst in April 2014.

This study could not have been carried out without the cooperation and good will of the thousands of Massachusetts residents who agreed and continue to participate. We are also grateful to the many individuals at NORC at the University of Chicago who helped in collecting the data for this unique and important study.

We would like to thank the members of the Massachusetts Gaming Commission's Gaming Research Advisory Committee (GRAC) and Research Design and Analysis Subcommittee (RDASC). Members of these committees represent a range of perspectives and their careful review of draft versions of this report contributed to its clarity as well as utility to multiple audiences.

Finally, we would like to thank Mark Vander Linden, Director of Research and Responsible Gaming, and the Massachusetts Gaming Commission more generally, for their thoughtful input and clear guidance over the course of the project. The Commission's broad vision for the expansion of gambling in Massachusetts and commitment to the research needed to maximize the benefits and minimize harms related to gambling in the Commonwealth made this project possible.

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EXECUTIVE SUMMARY

The Massachusetts Gambling Impact Cohort (MAGIC) is a prospective study of gambling and problem gambling conducted in Massachusetts from 2013 to 2019. A group of 3,139 adults, 18 and older, was recruited via address-based sampling, with the sample over selected for factors that put them at higher risk of future problem gambling. Otherwise, the sample was roughly representative of the demographic profile of the Massachusetts population. The cohort had five assessment periods, with inter-assessment intervals ranging from 11.5 to 24 months. The vast majority of assessments were self-administered with most completed online and a minority completed on paper. The assessment collected comprehensive information on gambling-related behavior, attitudes, motivations, context, fallacies; problem gambling; physical health; mental health; substance use and abuse; social functioning; personality; and demographics. A retention rate of 81.1% was achieved in Wave 4 and 69.9% of participants completed all four waves.

MAGIC has three primary research goals. The first is to understand the stability and course of problem, at-risk, and recreational gambling. The second is to develop an etiological model of problem gambling. The third is to use the findings from the above research to optimize the treatment and prevention of problem gambling in Massachusetts. The present report is a **descriptive account of the stability and transitions of problem, at-risk, and recreational gambling over four Waves**. It follows the basic format of the two prior reports in this series, the Wave 1 to 2 report (Volberg, Williams, Stanek, Zorn & Mazar, 2017), and the Wave 1 to 3 report (Mazar et al., 2019). A comprehensive Final Report on the MAGIC study within the next 6 months will provide an interpretive account of the stability and transitions *over the full five waves* as well as present an etiological model of problem gambling and the relevant policy implications. The present report is primarily a methodological report of interest to researchers. That said, the present findings provide some preliminary data pertaining to a) the potential impact of casino introduction into Massachusetts on gambling and problem gambling (that will be explored in greater detail in future SEIGMA reports); and b) the inherent instability and relapse rates of problem gambling that is of relevance to public health interventions.

When restricting the analysis to individuals who completed all four waves, a significant difference across waves was observed in the past year self-reported participation in most individual types of gambling with the exception of horse/dog race betting and sports betting. In most cases this reflects self-reported increases in Wave 3 or 4 participation rates relative to either Wave 1 or 2 or both. However, there was a decrease in reported out-of-state casino patronization beginning in Wave 3. Statistically significant differences are commonly obtained with large sample sizes (over 2,000 in the present case) and do not necessarily denote meaningful differences. That said, the increases in participation rates for traditional lottery, instant tickets, and raffles parallel actual revenue increases in these formats during those time periods (likely driven by the unusually high Powerball jackpot in 2016). Changes in how the question was asked may have been responsible for the reported increases in daily lottery games, bingo, and online gambling participation.

When restricting the analysis to individuals who completed all four waves, there was also significant variation over time in the relative prevalence of the four gambling categories (Non-Gambling, Recreational Gambling, At-Risk Gambling, Problem Gambling). This reflected higher rates of Recreational Gambling in Waves 3 and 4 relative to Waves 1 and 2, along with a corresponding decrease in Non-Gambling in Waves 3 and 4 relative to Waves 1 and 2. At-Risk Gambling also decreased in Wave 4 relative to Wave 2. However, this was offset by an increase in problem gambling in Wave 4 relative to

Wave 1. Here again, large sample sizes facilitate statistically significant differences and do not always indicate meaningful differences.

The *individual stability* of gambling categories varied as a function of category. Non-Gambling was a fairly stable classification, with the majority of Non-Gamblers in one wave continuing to be Non-Gamblers at the next wave. That said, only a minority of Non-Gamblers (38.2%) were Non-Gamblers throughout all four waves. Rather, the majority (61.4%) transitioned to Recreational Gambling in either Wave 2, 3, or 4, with a minority of those transitioning back to Non-Gambling in the following wave.

Recreational Gamblers, who constitute the majority of the sample, had the most stable behavioral pattern, with the large majority of Recreational Gamblers continuing to be Recreational Gamblers in the next wave, and 64.7% continuing to be Recreational Gamblers throughout all four waves. A small percentage eventually transitioned into Non-Gambling (13.5%) or At-Risk Gambling (19.4%), and an even smaller percentage (2.3%) became Problem Gamblers at some point in the subsequent three waves.

In contrast, people with sub-clinical levels of problem gambling symptomatology ('At-Risk Gamblers') had an unstable trajectory, with only a minority continuing to be in this category in the next wave and only 10.4% continuing in this category for four consecutive waves. Although a significant percentage of At-Risk Gamblers subsequently become Problem Gamblers (16.4%), a much more common route was transitioning back to Recreational Gambling.

Problem gambling was somewhat more stable than At-Risk Gambling, but still fairly unstable, with the majority of Problem Gamblers transitioning to At-Risk or Recreational Gambling in the next wave. Indeed, one wave was the modal duration of Problem Gambling, occurring in 57.0% of problem gamblers. A longer duration did occur for a significant minority, with 23.2% being in this category in all four waves and many others being in this category for either two or three consecutive waves. Risk of chronic problem gambling tended to increase with each consecutive year of problem gambling status. The relatively short episode duration for most problem gamblers also meant that recovery rates tended to be high. However, of those that recovered by Wave 2, 25.3% had relapsed in either Wave 3 or Wave 4. The longer-term relapse rate beyond this time frame is unknown, but is expected to be significantly higher.

INTRODUCTION

Major longitudinal studies of gambling and problem gambling have been undertaken in Canada (el-Guebaly, Casey, Currie et al., 2015; Williams, Hann, Schopflocher et al, 2015), Australia (Billi, Stone, Marden, & Yeung, 2014), Sweden (Romild, Volberg & Abbott, 2014), and New Zealand (Abbott, Bellringer, & Garrett, 2018). Collectively, these studies have provided considerable information pertaining to the incidence, stability, and etiology of problem gambling. There is no doubt the results of these studies also apply to Massachusetts. However, there is also reason to suspect some differences as these studies were conducted at earlier time period (2006-2014) and in jurisdictions: (1) with much more pervasive availability of legal gambling than Massachusetts; (2) with a much more stable set of legal gambling offerings (including casino availability) over the study period; (3) having a younger legal age for casino gambling (i.e., 18)¹; (4) having some demographic differences with Massachusetts; and (5) having a different set of harm minimization protocols and strategies.

Because of these potential differences, and because there had never been any longitudinal research studies of gambling and problem gambling in Massachusetts (or the United States), a longitudinal study of gambling was commissioned by the Massachusetts Gaming Commission in April 2014. This is known as the **M**assachusetts **G**ambling **I**mpact **C**ohort: **MAGIC**. MAGIC has an important relationship to the other major gambling-related research initiative in Massachusetts, the **S**ocial and **E**conomic **I**mpacts of **G**ambling in **M**assachusetts (**SEIGMA**) study, which began in March 2013 to evaluate the impacts of casino introductions to the state between June 2015 and June 2019². The relationship between the two projects is due to (1) MAGIC also being able to shed some light on the impact of casino introduction by observed changes in the cohort in relation to casino openings; (2) both projects being conducted by the same research team from the University of Massachusetts (Amherst); (3) the fact that the MAGIC cohort originally derived from a Baseline General Population Survey (BGPS) of 9,578 Massachusetts adults (18+) conducted between September 2013 and May 2014 as part of the SEIGMA project.

MAGIC has three primary research goals:

1. **To understand the stability and course of problem, at-risk, and recreational gambling.**
Periodic cross-sectional assessments of the population provide snapshots of prevalence rates but provide no information on individual trajectories or the inherent stability of the entity being assessed. A stable prevalence rate across time can either reflect continuity in the same group of individuals, the rate of new cases being equivalent to the rate of remission, or something in between. These scenarios have much different implications for prevention and treatment, and which one is actually occurring can only be determined with a cohort study that tracks individual trajectories.
2. **Develop an etiological model of problem gambling.**
This is also related to the question of stability and course, but the purpose here is to more comprehensively identify the specific risk factors that lead to problem gambling onset, recovery, and relapse, with a particular interest in the role of casino availability. Internationally, considerable effort is currently going into the development of strategies to prevent problem gambling.

¹ Age 20 in New Zealand

² Plainridge Park Casino on June 24, 2015, MGM Springfield casino on August 24, 2018, and Encore Boston Harbor casino on June 24, 2019.

Unfortunately, the majority of these initiatives appear to be fairly ineffectual (Williams, West, & Simpson, 2012). This is partly due to the fact that most of these educational and policy initiatives have been put in place because they “seemed like good ideas” and/or were being used in other jurisdictions, rather than having demonstrated scientific efficacy or being derived from a clear understanding of effective prevention practices. However, it is also due to the fact that there is no comprehensive and well-established etiological model of problem gambling to guide these efforts.

While there are many well established correlates of problem gambling (e.g., gambling fallacies, mental health problems, etc.), their association with problem gambling may occur either because they *caused* problem gambling, developed *concurrently* with problem gambling, or developed as a *consequence* of problem gambling. From a prevention standpoint, knowing how and where to effectively intervene hinges on having research that clearly identifies the variables that are etiologically involved in problem gambling, their temporal sequence, and their causal connections. Similarly, knowing the factors implicated in sustained recovery from problem gambling is very important for the purposes of treatment. Longitudinal research is the best way of disentangling these complex relationships and understanding the chronology and causal directions, potentially allowing for the creation of a detailed etiological model of how gambling and problem gambling develops, continues, and remits. Longitudinal research has been applied successfully many times in the fields of health, mental health, and addiction to elucidate these connections. To date, however, comprehensive longitudinal studies are relatively uncommon in the area of gambling and problem gambling.

3. **To operationalize the above findings to optimize the treatment and prevention of problem gambling in Massachusetts.**

The ultimate purpose of all of this research is to achieve a better understanding of gambling and problem gambling so as to minimize its harm and maximize its benefits.

Originally, an additional research goal of MAGIC was to determine the **annual incidence of problem gambling in Massachusetts**. However, this has become a problematic determination for several reasons. For one, the MAGIC cohort established in Wave 2 consisted of a stratified unequal probability of selection sample derived from the BGPS, which itself is a stratified unequal probability of selection sample from the population. It was always uncertain whether weighting back to the population sufficiently adjusted for all sample bias, especially considering that new weights had to continually be created to account for the non-random loss of participants with each wave. One bias of particular concern was that prospective participants became aware in Wave 2 that MAGIC was primarily a study of gambling, rather than a survey of ‘health and recreation behavior’ as it was described in Wave 1 (which tends to lead to loss of non-gamblers and retention of heavy gamblers, Williams & Volberg (2009)). A final issue that makes the calculation of annual incidence untenable is that the inter-assessment interval from Wave 3 to Wave 4 was 24 months, compared to 16.8 months from Wave 1 to Wave 2 and 12 months from Wave 2 to Wave 3.

The focus on the present report is on **the stability and transitions of problem, at-risk, and recreational gambling over four Waves**. It follows the basic format of the two prior reports in this series, the Wave 1 to 2 report (Volberg, Williams, Stanek, Zorn & Mazar, 2017), and the Wave 1 to 3 report (Mazar et al., 2019). The present report is primarily a methodological report of interest to researchers. A comprehensive Final Report on the MAGIC study in the next 6 months will more fully examine the stability and transitions over the full five waves as well as present an etiological model of problem gambling and their relevant policy implications.

METHOD

Recruitment and Retention

BGPS/Wave 1

As mentioned, Wave 1 of MAGIC was derived from a Baseline General Population Survey (BGPS) of 9,578 Massachusetts adults (18+) that was conducted as part of the SEIGMA project (Volberg, Williams, Stanek, Zorn & Rodriguez-Monguio, 2017). Survey administration began in September 2013 and was undertaken by [NORC](#) at the University of Chicago on behalf of the University of Massachusetts (Amherst). Address-based sampling was employed followed by multi-modal recruitment. The specific steps were as follows:

1. A random sample of 33,368 residential mail delivery locations in Massachusetts were selected from the universe of 2,731,168 known residential locations as compiled by the U.S. Postal Service (with a degree of oversampling for western Massachusetts).
2. An attempt was made to match these addresses with landline telephone numbers, which was successfully achieved for 78% of addresses.
3. Regardless of whether a landline match was made, all addresses were mailed an invitation to participate in a 10-15 minute online survey of “health and recreation behavior in Massachusetts”, with the website identified in the letter. [Note: a ‘health and recreation’ description was utilized to prevent biasing the sample toward gamblers, which tends to occur when the survey is described as a ‘gambling survey’ (Williams & Volberg, 2009, 2010)]. The letter also indicated the adult (18+) in the household having the next birthday should be the person completing the survey. A \$1 incentive was enclosed and participants were informed they would receive a \$10 Amazon gift-code if they completed the survey within 14 days.
4. Postcards reminding participants of the survey and thanking them for completion if they had already completed it were sent one and two weeks after the initial invitation letter.
5. Participants who had not completed the online survey within four weeks were mailed a package that contained a paper version of the questionnaire, a postage-paid return envelope, a \$5 incentive and a letter that invited them to fill out either the online or paper versions of the questionnaire.
6. Two weeks later a reminder postcard was mailed out.
7. Two weeks later a second invitation letter was sent out along with a second paper copy of the questionnaire.
8. Addresses that did not complete either the paper or online survey and whose household had been matched to a landline were then contacted by phone and given the opportunity to complete the survey over the phone (via a computer-assisted telephone interview) as well as reminded of the paper and online options. All three of the BGPS data collection modalities (online, paper, phone) were available in both Spanish and English, with 1.5% ($n = 73$) of respondents completing the survey in Spanish.
9. People who could be contacted but did not wish to participate were contacted by phone at a later date by an experienced refusal converter as long as the initial refusal was not adamant.
10. People who could not be contacted via any of the three modes were sent to NORC’s Locating personnel, who checked for alternate phone numbers and additional contacts listed on the BGPS, as well as conducting Internet and reverse telephone number searches.
11. The final obtained sample was 9,578 completed surveys, with 40% of these done online, 52% on paper, and 7% by telephone interview. The first survey was completed on September 13, 2013 and the

last survey on July 1, 2014, with 95% completed by April 2, 2014. Overall response rate was 36.6% (AAPOR-RR3, 2015).

Wave 2

1. To formally establish the MAGIC cohort, a subsample of 4,860 from the BGPS was identified for recruitment into 'Wave 2'. The sample size of 4,860 was chosen to ensure it resulted in an ultimate cohort size of at least 2,600 individuals. The sample composition was chosen to ensure it contained a high portion of the individuals thought to be at most risk for future problem gambling. This included a) everyone identified as a problem gambler; b) everyone identified as an at-risk gambler; c) everyone who reported spending at least \$1200 on gambling in the past 12 months; d) everyone who reported gambling at least once a week or more in the past 12 months; e) everyone who had provided military service after September 2001. A random selection of all other individuals constituted the remainder of the cohort. (For further details see the Wave 1 – 2 report: Volberg, Williams, Stanek, Zorn & Mazar, 2017).
2. Wave 2 began in March 2015.³ The same multimodal recruitment procedure utilized in Wave 1 was utilized in Wave 2 with the exception being that the Spanish language option was eliminated. [Nonetheless, among the 73 individuals who completed Wave 1 in Spanish, 29 participated in Wave 2, 11 in Wave 3, and 14 in Wave 4]. The 4,860 selected individuals were first mailed an invitation letter explaining that the University of Massachusetts Amherst was conducting a 'longitudinal study about gambling'⁴ and would like to have the individual who completed the Wave 1 questionnaire to participate in an online Wave 2 survey. The letter contained a \$5 incentive, a PIN, and offered a \$20 Amazon gift code if they completed the survey within 14 days. To better ensure that the individual who completed Wave 1 was also the individual who completed Wave 2, respondent demographic information (name, age, and gender) collected during Wave 1 was preloaded into the screener question⁵ for the Wave 2 online questionnaire and telephone interviews.
3. In the end, of the 4,860 individuals selected for recruitment, 3,139 completed the Wave 2 questionnaire, which is a response rate of 65.1% (AAPOR-RR3, 2015). A total of 58% completed the survey online, 36% by paper, and 5% by phone. The first survey was completed on March 20, 2015 and the last on October 13, 2015, with 95% completed by June 23, 2015. [Note that Plainridge Park Casino opened on June 24, 2015]. Response rate by strata is detailed in Table 1.

Table 1. MAGIC Wave 2 Sampling Strategy and Achieved Response Rate

Strata from the BGPS	Sampling Fraction	Eligible <i>n</i>	Achieved Sample	Response Rate by Strata
Problem Gamblers	100%	133	81	61.4%
At-Risk Gamblers	100%	450	295	65.7%
Spent \$1200+ on gambling in past 12 months	100%	1088	726	67.2%

³ Although the MGC agreed to contract with the University of Massachusetts Amherst for the MAGIC study in April 2014, the start of Wave 2 was delayed until after the November 2014 election which included a ballot question regarding repeal of the Expanded Gaming Act permitting the introduction of casinos.

⁴ The more explicit description of the study as a 'gambling study' was necessitated by the fact that Wave 1 participants would now have been aware that the focus of the questionnaire was on gambling, which was made even more evident by the project name "Massachusetts Gambling Impact Cohort".

⁵ Online: "Please confirm that you are [NAME], the individual who completed the Massachusetts Survey of Health and Recreation in [INTERVIEW MONTH AND YEAR]". Telephone: "We would like to speak with [NAME]. In [INTERVIEW MONTH AND YEAR], (he/she) participated in a survey on health and recreation in Massachusetts. Is [NAME] available?"

Gambled weekly or more in past 12 months	100%	792	534	67.6%
Military Service (Sept 2001 or later)	100%	49	37	78.7%
All Others	33%	7066	1466	63.1%
TOTAL		9578	3139	65.1%

Table 2 compares key demographic characteristics of the obtained Wave 2 cohort with the Massachusetts adult population in 2015 from the American Community Survey. As seen, the cohort is reasonably representative, albeit with a) proportionally fewer people <35 years old and proportionally more >55 years old; b) proportionally fewer racial/ethnic minorities; and proportionally fewer individuals with lower educational attainment and proportionally more with higher educational attainment.

Table 2. Demographic Profile of the MAGIC Wave 2 Cohort relative to the MA Adult (18+) Population

		MAGIC Wave 2		MA 2015 ¹
		<i>n</i>	%	%
Gender	Male	1,458	46.5	47.9
	Female	1,678	53.5	52.1
Age	18-20	8	0.3	5.6
	21-24	37	1.2	7.3
	25-34	260	8.5	17.4
	35-54	887	29.1	33.6
	55-64	751	24.6	16.8
	65-79	846	27.7	13.9
	80+	264	8.6	5.3
Race/Ethnicity	Hispanic	131	4.3	9.6
	White	2,653	87.0	75.5
	Black	84	2.8	6.4
	Asian	95	3.1	6.4
	Some other race	24	0.8	0.8
	Two or more races	61	2.0	1.3
Educational Attainment	Less than high school	97	3.1	9.7
	High School diploma or GED	473	15.3	25.5
	Some college below Bachelor's	911	29.4	26.2
	Bachelor's Degree	758	24.5	22.4
	Graduate or professional degree	690	22.3	13.7
	Doctoral degree	166	5.4	2.4
Household Income	Less than \$15,000	176	6.7	6.9
	\$15,000-<\$30,000	300	11.4	8.7
	\$30,000-<\$50,000	427	16.2	12.6
	\$50,000-<\$100,000	842	32.0	27.9
	\$100,000-<\$150,000	474	18.0	20.6
	\$150,000 and more	409	15.6	23.2

1. U.S. Census Bureau (2015). *2015 American Community Survey 1-year Public Use Microdata Samples*.

Wave 3

1. Wave 3 recruitment began in April 2016.
2. The same multimodal recruitment procedure utilized in Wave 2 was utilized again in Wave 3 with the exceptions being that a) telephone interviewing was eliminated and was replaced by telephone prompting, that encouraged people to complete the survey either online or by paper; b) participants were offered a \$50 check for completing the survey as well as an additional \$20 if they completed it within 14 days; and c) there was no attempt at 'refusal conversion'. There was also a significant expansion of the questionnaire, as explained in the next section.
4. In the end, of the 3,139 eligible individuals, 2,450 completed the Wave 3 questionnaire, which is a retention rate of 78.1%. A total of 76% completed the survey online and 24% by paper. The first survey was completed on April 8, 2016 and the last on August 18, 2016, with 95% completing by July 8, 2016. (For further details see the Wave 1 – 3 report: Mazar et al., 2019).

Wave 4

1. Wave 4 was planned for April 2017 but was delayed a year due to budgetary constraints. Thus, Wave 4 recruitment began in April 2018. The same multimodal recruitment procedure utilized in Wave 3 was utilized in Wave 4.
2. In the end, of the 3,015 eligible individuals, 2,444 completed the Wave 4 questionnaire, which is a retention rate of 81.1%. A total of 84% completed the survey online and 16% by paper. The first survey was completed on April 12, 2018 and the last on November 12, 2018, with 95% completed by June 27, 2018. [Note that MGM Springfield opened on August 24, 2018].

The table below provides basic details about each of the four waves of MAGIC.

Table 3. Details of the 4 Waves of MAGIC

Wave	Beginning and End Dates	95% Assessment Window	Inter-Assessment Interval	Eligible Sample	Completed Surveys	Questionnaire Length	Survey Administration Modality	Response Rate	Retention Rate
1	Sep 13, 2013 – Jul 1, 2014	6.75 months (Apr 2, 2014)	Not applicable	Not applicable	Not applicable ⁶	Short	44% online, 50% paper, 6% phone	36.6%	Not applicable
2	Mar 20, 2015 – Oct 13, 2015 (95.2% prior to PPC opening)	3.0 months (Jun 23, 2015)	16.8 months	4860	3139	Short	58% online; 36% paper; 5% phone	65.1%	Not applicable
June 24, 2015		Opening of Plainridge Park Casino (PPC)							
3	Apr 8, 2016 – Aug 18, 2016	3.0 months (Jul 8, 2016)	12.0 months	3139	2450	Comprehensive	76% online; 24% paper	Not applicable	78.1%
4	Apr 2017 – Jul 2017	Postponed due to budgetary constraints							
4	Apr 12, 2018 – Nov 12, 2018 (99.7% prior to MGM opening)	2.5 months (Jun 27, 2018)	24.0 months	3015	2444	Comprehensive	84% online; 16% paper	Not applicable	81.1%
August 24, 2018		Opening of MGM Springfield							

Beginning and End Dates: date of the first completed assessment to the last completed assessment

95% Assessment Window: number of months from the first completed assessment to the last completed assessment for 95% of respondents

Inter-Assessment Interval: length of time between the median completion in previous wave to the median completion in current wave

Eligible Sample: members of the designated cohort (i.e., people who completed Wave 2) minus individuals unable to participate due to death or permanent medical incapacitation

Completed Surveys: total number of surveys from the eligible sample deemed complete, defined as having completed at least 7 of the 10 primary questions on gambling participation

Questionnaire Length: refers to whether it was a relatively short survey focused on gambling or a more comprehensive survey that included potential etiological predictors of problem gambling

Survey Content: whether the survey was short, due to a focus on gambling behavior, or comprehensive due to a broader focus on the etiological predictors of problem gambling

Survey Modality: percent of surveys self-administered online; self-administered via a mailed paper survey; and administered via a telephone interview

Response Rate: completed surveys as a percentage of the sample eligible for recruitment

Retention Rate: completed surveys as a percentage of the eligible cohort membership

⁶ Of the 3139 participants in Wave 2, 3096 could be matched to the same survey participant and his/her survey in Wave 1.

Questionnaire

The purpose of the BGPS (Wave 1) was more circumscribed than the purpose of MAGIC in that the focus of the BGPS was to establish base rates of gambling and problem gambling prior to casino introduction, whereas MAGIC intended to also broadly examine the range of potential etiological contributors to problem gambling (Volberg, Williams, Stanek et al., 2017). The BGPS survey had three main sections, Comorbidities, Gambling, and Demographics.

The Wave 2 survey questionnaire was virtually the same as the Wave 1 questionnaire.

A significant expansion and reworking of the questionnaire occurred in Wave 3 primarily to more comprehensively capture the potential etiological contributors to problem gambling. Another major change was a more fine-grained assessment of gambling participation (e.g., specific questions about electronic gambling machines and casino table games now that they were available in Massachusetts; patronage of the new Plainridge Park Casino; more detailed questions about online gambling; more detailed questions about daily fantasy sports betting; more detailed questions about player card and ATM use). With the expansion of the questionnaire there was also a need to remove or reduce questions that were less essential and/or pertained more to the socioeconomic impact of casinos.

The Wave 4 questionnaire was virtually identical to the Wave 3 questionnaire. A copy of the Wave 4 questionnaire is contained in Appendix A.

Data Cleaning

Throughout data collection, SAS programs were run by NORC to identify any errors that occurred in the online or CATI systems. This allowed inconsistencies to be reconciled and to fix system or questionnaire errors as they occurred. Once data collection was complete, NORC reviewed verbatim responses for several questions that offered an “Other” response category. The verbatim responses were back-coded into existing response categories where appropriate.

After the dataset was received by UMass, skip patterns and outliers were reviewed and a cleaned dataset was created. Using the cleaned data, several additional summative and/or composite variables were created and added to the final dataset.

There were discrepancies in gender and/or year of birth for a small number of respondents ($n=87$, 3.0%) from Wave 1 to Wave 2, from Wave 2 to Wave 3 ($n=16$, 0.6%), and from Wave 2 to Wave 4 ($n=31$, 1.3%). Upon further investigation, 51% of the Wave 2 discrepancies were deemed to be the same individual who completed the Wave 1 questionnaire, 69% of Wave 3 discrepancies were deemed to be the same Wave 2 respondent and 65% of Wave 4 discrepancies were deemed to be the same Wave 2 respondent. The 43 respondents whose gender and/or year of birth could not be matched to Wave 1 data are included in the cohort beginning in Wave 2 but are deemed to have missing data for Wave 1. For Wave 3 five surveys were excluded as we suspect the survey was not completed by the right person. For Wave 4 a total of 11 surveys were excluded for the same reason.

Item non-response was similar for each of the data collection modes. Respondents were allowed to refuse to answer any question or to give a “don’t know” response. The percentage of complete responses was extremely high for nearly all of the individual questions. The non-response rate was greater than 10% for only one question in Wave 1 and Wave 2: household income. In Wave 3 and Wave

4, several additional variables had non-response rates of greater than 10%: life events; symptoms of post-traumatic stress; symptoms of substance use disorder; percentage of electronic gambling machine (EGM) and/or casino table spending at each location; and amount of money spent per out-of-state casino visit.

Retention

As reported earlier, MAGIC has achieved fairly high retention, with 81.1% of eligible participants completing Wave 4. Table 4 shows the completion patterns as a function of number of assessments completed up to Wave 4. Poor retention can compromise the validity of a longitudinal study, as attrition is not usually random. Rather, males, young people, ethnic minorities, substance users, and individuals with mental health problems are known to have higher attrition (Claus, Kindelberger & Dugan, 2002; de Graaf et al., 2000; Eaton et al., 1992). This is less of a concern in the present study as the analysis is restricted to a) changes *within the cohort*; b) the 2195 individuals who completed *all four surveys*; and c) the cohort contains a reasonably diverse array of individuals having a range of scores/values on the variables of etiological interest. Fuller examination of attrition patterns will be contained in our MAGIC Final Report later this year.

Table 4. MAGIC Completion Patterns among Eligible Participants

	<i>n</i>	%
Completed 4/4 Waves	2195	69.9
Completed 3/4 Waves	477	15.2
Completed 2/4 Waves	451	14.4
Completed 1/4 Waves	16	0.5

RESULTS

Prevalence of Gambling Participation across Waves

Table 5 shows the prevalence of past year gambling and individual types of gambling in each wave among individuals who completed all four waves. A Cochran Q test tested for significant variation across waves. There was significant variation between years on all types of gambling except horse/dog race betting and sports betting, which is not surprising considering the large sample sizes involved (over 2,000 in the present case).⁷ Pairwise McNemar comparisons ($p < .01$, 2-tail) established that this primarily reflected higher prevalence rates in later waves relative to earlier waves. Most specifically, prevalence rates were higher in Waves 3 relative to Waves 1 and 2 for traditional lottery, daily lottery, any lottery product, bingo, online gambling; higher in Wave 3 relative to Wave 2 for instant tickets; higher in Wave 4 relative to Waves 1 and 2 for daily lottery, any lottery product, bingo, and online gambling; and higher in Wave 4 relative to just Wave 2 for raffles. There were some exceptions to this pattern. Wave 4 rates were significantly *lower* than Wave 3 rates for traditional lottery and any lottery product, and out-of-state casino gambling also *decreased* in Waves 3 and 4 relative to Waves 1 and 2. It will be instructive to see whether out-of-state casino patronage declines further in Wave 5 as this survey was administered after the second casino opened.⁸

Some of these increases in participation rates are corroborated by parallel increases in actual revenue, as detailed in Table 6, whereas others are likely artifactual, due to changes in question wording.

- For example, an unusually large Powerball jackpot in 2016 (Wave 3) resulted in a 27.7% increase in **traditional lottery** revenue in fiscal 2016 relative to fiscal 2015. (This Powerball jackpot likely also contributed to the increases described below for instant tickets and raffles).
- Similarly, **instant tickets** had a small increase in sales in fiscal 2016 (2.6%) and a small decline (2.7%) in fiscal 2017.
- **Daily lottery games** (particularly Keno) also experienced a revenue increase in fiscal 2016 (5.2%). However, a change in the question wording in Wave 3 is likely responsible for part of the increase in reported participation rates, as the names of all four of the daily lotteries were listed as examples in Wave 3 and beyond (only Keno and Jackpot Poker were given as examples in Waves 1 and 2).
- There was a 9.1% increase in **raffle ticket revenue** in 2016 and a 9.4% increase in 2018, which provides some corroboration of the self-reported participation increases.
- In contrast, **bingo** revenue has continued to decline over time and yet self-reported participation rates have increased. It is quite possible that a question rewording in Wave 3 might be responsible for the reported increase in participation, as beginning in Wave 3 it was explicitly indicated that bingo participation included *online* bingo.

⁷ The effect size associated with a statistically significant difference usually provides a better indication of the meaningfulness of a statistically significant change. Unfortunately, in the present case, the effect sizes that can be utilized with Cochran's Q do not have a reference scale to guide interpretation. Thus, we have not presented them.

⁸ The decline in out-of-state casinos is almost certainly real. However, one caution is that there was only a single question about out-of-state casino patronage in Wave 2 (as MA-based EGMs and casino table games were not yet available), whereas in Wave 3 questions were asked about EGM participation, casino table game participation, and then out-of-state patronage of EGMs and/or table games (if they indicated they had played EGMs or table games). It is unclear whether the different question wordings could or would have any impact on obtained prevalence rates.

- The increase in reported **online gambling** participation is likely partly real and partly artifactual. It is partly real due to the fact that online gambling prevalence continues to increase in most western countries and, b) because fantasy sports betting (which is online) was legalized in Massachusetts in August 2016, as the first type of legal online gambling in the state. It is partly artifactual as online gambling was asked as a single question in Wave 2, whereas it was asked as a supplemental question for most individual types of gambling in Wave 3 (i.e., if the person indicated they participated in a particular type of gambling they were asked whether it was online or land-based participation). Obtained prevalence rates tend to increase when questions about involvement are asked in a repeated and more specific fashion such as this (Wood & Williams, 2007b).

Table 5. Changes in Past Year Gambling Participation within the Cohort from Wave 1 to 4 among those who completed all four waves (unweighted)

	<i>n</i>	Wave 1: 2013/14		Wave 2: 2015		Wave 3: 2016		Wave 4: 2018		p-value
		%	95% CI	%	95% CI	%	95% CI	%	95% CI	
Traditional Lottery	2,192	70.5	(68.5, 72.4)	70.3	(68.4, 72.2)	74.8	(73.0, 76.6)	71.7	(69.7, 73.5)	<0.0001
Instant Tickets	2,169	47.8	(45.7, 49.9)	47.1	(45.0, 49.2)	50.4	(48.3, 52.5)	48.0	(45.9, 50.1)	0.0074
Daily Lottery Games	2,165	18.2	(16.6, 19.8)	20.0	(18.4, 21.8)	35.5	(33.5, 37.5)	33.5	(31.5, 35.5)	<0.0001
Any Lottery Product	2,178	73.4	(71.5, 75.2)	73.3	(71.4, 75.1)	78.5	(76.7, 80.2)	75.6	(73.8, 77.4)	<0.0001
Raffle Tickets	2,161	45.9	(43.8, 48.0)	44.1	(42.0, 46.2)	46.6	(44.5, 48.8)	48.0	(45.9, 50.1)	0.0066
Bingo	2,156	4.5	(3.7, 5.4)	5.1	(4.2, 6.1)	7.0	(6.0, 8.2)	7.6	(6.5, 8.8)	<0.0001
EGMs	1,969	Not asked		Not asked		22.3	(20.5, 24.2)	21.5	(19.8, 23.4)	
Table Games	2,172	Not asked		Not asked		12.2	(10.9, 13.6)	13.2	(11.9, 14.7)	
Out of State Casinos	1,722	32.2	(30.1, 34.5)	32.2	(30.1, 34.5)	21.5	(19.7, 23.6)	19.2	(17.4, 21.1)	<0.0001
Horse/Dog Racing	2,167	6.4	(5.5, 7.5)	7.0	(6.0, 8.1)	5.7	(4.8, 6.8)	6.3	(5.4, 7.4)	0.1012
Sports Betting	2,163	16.6	(15.1, 18.3)	18.8	(17.2, 20.5)	17.2	(15.7, 18.8)	17.4	(15.8, 19.0)	0.0678
Private Betting	2,177	13.4	(12.0, 14.9)	14.7	(13.2, 16.2)	Not asked		Not asked		
Online Gambling	1,662	1.6	(1.1, 2.3)	2.2	(1.6, 3.1)	7.3	(6.1, 8.6)	8.4	(7.1, 9.8)	<0.0001
Other Gambling	2,172	Not asked		Not asked		4.5	(3.7, 5.5)	5.0	(4.2, 6.0)	
Any Past Year Gambling	2,189	85.7	(84.1, 87.1)	85.1	(83.6, 86.5)	87.1	(85.6, 88.4)	87.3	(85.9, 88.7)	0.0024

Plainridge Park Casino Opening

One Year Postponement

MGM Springfield Opening

Table 6. Lottery and Charitable Gaming Gross Revenue

	Fiscal 2014	Fiscal 2015	% change	Fiscal 2016	% change	Fiscal 2017	% change	Fiscal 2018	% change
Powerball	\$113,075,000	\$101,861,000		\$169,091,000		\$119,334,000		\$130,832,000	
MegaMillions	\$82,819,000	\$78,646,000		\$69,148,000		\$60,985,000		\$92,552,000	
Lucky for Life	\$32,112,000	\$27,524,000		\$27,317,000		\$25,614,000		\$25,028,000	
TRADITIONAL LOTTERY TOTAL	\$228,006,000	\$208,031,000	91.2%	\$265,556,000	127.7%	\$205,933,000	77.5%	\$248,412,000	120.6%

	Fiscal 2014	Fiscal 2015	% change	Fiscal 2016	% change	Fiscal 2017	% change	Fiscal 2018	% change
INSTANT TICKET TOTAL	\$3,382,841	\$3,522,390,000	104.1%	\$3,615,138,000	102.6%	\$3,517,783,000	97.3%	\$3,592,661,000	102.3%

	Fiscal 2014	Fiscal 2015	% change	Fiscal 2016	% change	Fiscal 2017	% change	Fiscal 2018	% change
Keno	\$814,158,000	\$850,487,000		\$904,967,000		\$914,787,000		\$966,794,000	
Numbers Game	\$322,649,000	\$322,813,000		\$329,372,000		\$324,506,000		\$325,158,000	
Mass Cash	\$73,027,000	\$75,052,000		\$79,626,000		\$78,861,000		\$81,808,000	
Jackpot Poker	\$6,550,000	\$2,780,000		\$2,170,000		\$2,000		\$0	
All or Nothing	\$0	\$0		\$0		\$18,814,000		\$9,679,000	
DAILY LOTTERY TOTAL	\$1,216,384,000	\$1,251,132,000	102.9%	\$1,316,135,000	105.2%	\$1,336,970,000	101.6%	\$1,383,439,000	103.5%

	Calendar 2014	Calendar 2015	% change	Calendar 2016	% change	Calendar 2017	% change	Calendar 2018	% change
RAFFLE TICKETS	\$18,542,537	\$17,595,734	94.9%	\$19,199,979	109.1%	\$19,015,374	99.0%	\$20,806,087	109.4%
BINGO	\$29,825,143	\$27,581,036	92.5%	\$26,987,266	97.8%	\$25,380,941	94.0%	\$23,685,765	93.3%

Sources: Massachusetts Lottery Commission (2019); Massachusetts Lottery Commission Charitable Gaming Division (2014,2015,2016,2017,2018)

Prevalence of Gambling Categorizations across Waves

Table 7 shows the change in the prevalence of Non-Gambling, Recreational, At-Risk, and Problem Gambling across the waves among individuals who completed all four waves. A Cochran Q test tested for significant variation across waves.

Significant variation over time is observed in all four categories. Pairwise McNemar comparisons ($p < .01$, 2-tail) established that this reflected higher rates of Recreational Gambling in Waves 3 and 4 relative to Waves 1 and 2, along with a corresponding decrease in Non-Gambling in Waves 3 and 4 relative to Waves 1 and 2. At-Risk Gambling also decreased in Wave 4 relative to Wave 2. However, this was offset by an increase in problem gambling in Wave 4 relative to Wave 1. The increase in problem gambling is of greatest concern. Further light will be shed on this issue in the next section.

Table 7. Changes in Gambling Categorization within the Cohort from Wave 1 to 4 among those who completed all four waves (unweighted)

	N	Wave 1: 2013/14		Wave 2: 2015		Plainridge Park Casino Opening	Wave 3: 2016		One Year Postponement	Wave 4: 2018		MGM Springfield Opening	p-value
		%	95% CI	%	95% CI		%	95% CI		%	95% CI		
Non-Gambler	2184	14.1	(12.7, 15.7)	14.7	(13.3, 16.2)		12.9	(11.5, 14.3)		12.5	(11.2, 14.0)		.0042
Recreational Gambler	2184	70.5	(68.5, 72.3)	68.7	(66.7, 70.6)		72.3	(70.3, 74.1)		72.9	(71.0, 74.7)		.0002
At-Risk Gambler	2184	12.8	(11.5, 14.3)	13.5	(12.1, 15.0)		11.8	(10.5, 13.2)		10.8	(9.5, 12.1)		.0060
Problem Gambler	2184	2.6	(2.0, 3.3)	3.1	(2.5, 3.9)		3.1	(2.4, 3.9)		3.8	(3.1, 4.7)		.0153

Individual Stability of Non-Gambling, Recreational Gambling, At-Risk Gambling, and Problem Gambling across Waves

Figure 1 depicts the stability of the PPGM **Non-Gambling** classification over the four waves for the 309 Non-Gamblers at Wave 1 who subsequently completed all assessments (i.e., had no missing assessments). Each row represents an individual, with white designating Non-Gambling, green designating Recreational Gambling, yellow designating At-Risk Gambling, and red designating Problem or Pathological Gambling. As can be seen, Non-Gambling is a reasonably stable category, with the majority of Non-Gamblers also being Non-Gamblers in the next wave (e.g., 63.4% of Non-Gamblers at Wave 1 were also Non-Gamblers at Wave 2). However, only a minority (38.2%) were Non-Gamblers throughout all four waves. Rather, it was common for Non-Gamblers to transition into Recreational Gambling at some point (altogether, 61.2% of Non-Gamblers at Wave 1 became Recreational Gamblers in either Wave 2, 3, or 4). However, it is also the case that among the Non-Gamblers who made a transition to Recreational Gambling, a minority transitioned back into Non-Gambling in the next wave. The movement back and forth from Non-Gambling to Recreational Gambling is to be expected considering that the single purchase of a lottery or raffle ticket is sufficient to be designated as a Recreational Gambler. Of final note, it was very uncommon for Non-Gamblers to directly transition into At-Risk or Problem Gambling in the next wave (occurring in 1.9% of the sample). Non-Gamblers at Wave 1 also had the lowest risk of ever becoming Problem Gamblers, occurring in just 3/309 (1.0%) of individuals.

Figure 2 depicts the stability of the PPGM **Recreational Gambling** classification over the four waves for the 1539 Recreational Gamblers at Wave 1 who subsequently completed all assessments. Each row represents 50 individuals, with green designating Recreational Gambling, white designating Non-Gambling, yellow designating At-Risk Gambling, and red designating Problem or Pathological Gambling. This figure illustrates that Recreational Gambling is a very stable category with the large majority of Recreational Gamblers also being Recreational Gamblers in the next wave (80.6% of people who were Recreational Gamblers in Wave 1 were also Recreational Gamblers in Wave 2). Furthermore, most (64.7%) Recreational Gamblers at Wave 1 continued to be Recreational Gamblers throughout all four waves, although a small percentage eventually transitioned into Non-Gambling (14.3%) or At-Risk Gambling (19.4%). (Thus, while it is common for Non-Gamblers to transition to Recreational Gambling, it is much less common for Recreational Gamblers to transition to Non-Gambling). Of final note, only 3.3% of Recreational Gamblers in Wave 1 became Problem Gamblers at some point in the subsequent three waves.

Figure 3 depicts the stability of the PPGM **At-Risk Gambling** classification over the four waves for the 280 At-Risk individuals at Wave 1 who completed all subsequent assessments. Each row represents an individual, with yellow designating At-Risk Gambling. As can be seen, this category displays considerably more instability compared to the Non-Gambling and Recreational Gambling categories. Only a minority of At-Risk individuals continued in this category in the next assessment period (only 38.9% from Wave 1 remained in this category in Wave 2) and only 10.4% of individuals remained in the At-Risk category in all four waves. It is also important to note that although a small but significant percentage of At-Risk Gamblers subsequently become Problem Gamblers ($46/280 = 16.4\%$), a much more common route was for At-Risk gamblers to transition back to Recreational Gambling.

Figure 4 depicts the stability of **Problem Gambling** in the four waves using a problem or pathological designation on the PPGM to designate problem gambling. The figure is restricted to the 156 individuals who were problem or pathological gamblers on the PPGM at any point during the MAGIC study and completed all four assessments. Each row represents an individual, with red designating Problem/Pathological Gambling, yellow designating At-Risk Gambling, green designating Recreational Gambling, and white designating Non-Problem Gambling. Problem Gambling was somewhat more stable than At-Risk Gambling, but still fairly unstable, with the majority of Problem Gamblers transitioning to At-Risk or Recreational Gambling in the next wave. Indeed, one wave was the modal duration of Problem Gambling, occurring in 56.4% of problem gamblers. A longer duration did occur for a significant minority, with 8.3% being in this category in all four waves and many others being in this category for either two or three consecutive waves. Risk of chronic problem gambling tended to increase with each consecutive year of problem gambling status. The relatively short episode duration for most problem gamblers also meant that recovery rates tended to be high, with the majority having at least one year of recovery over the four waves. However, of the 28 that had recovered by Wave 2, 32.1% (9/28) had relapsed either by Wave 3 or 4. The longer-term relapse rate beyond this time frame is unknown, but is expected to be significantly higher. It is instructive to note that almost no individuals transitioned to non-gambling in the following wave, which might account for the high rate of relapse. Our forthcoming Final Report will examine predictors of relapse, including treatment access and qualitative accounts of reasons for recovery. Of final note, although only 16.4% of At-Risk Gamblers subsequently became Problem Gamblers, the onset of Problem Gambling was preceded by being in the At-Risk category in the previous wave 56.9% of the time.

DISCUSSION

As mentioned, the primary purpose of the present report is to provide a descriptive account of the stability and transitions of problem, at-risk, and recreational gambling over four Waves. A comprehensive Final Report on the MAGIC study within the next 6 months will provide an in-depth interpretive account of the stability and transitions *over the full five waves* as well as present an etiological model of problem gambling and the relevant policy implications. That said, the present findings provide some preliminary data pertaining to a) the potential impact of casino introduction into Massachusetts on gambling and problem gambling (that will be explored in greater detail in future SEIGMA reports); and b) the inherent instability and relapse rates of problem gambling that is of relevance to public health interventions.

At this stage it suffices to restate the main findings thus far:

- Within the cohort there was a significant variation over time in the past year self-reported participation in most individual forms of gambling with the exception of horse race betting and sports betting. In most cases this reflects self-reported increases in Wave 3 or 4 participation rates relative to either Wave 1 or 2 or both. However, there was a decrease in report of out-of-state casino patronization beginning in Wave 3. These increases are coincident with objective evidence of revenue increases (in the case of traditional lottery, instant tickets, raffles). However, changes in how the question was asked likely contributed to the increase in daily lottery games, bingo, and online gambling.
- Within the cohort there was also significant changes in the relative prevalence of the four gambling categories. An increase in Recreational Gambling is evident beginning in Wave 3 along with a corresponding decrease in Non-Gambling. There was a decrease in the prevalence of At-Risk Gambling in Wave 4 that is offset somewhat by an increase in problem gambling in this wave.
- In both of the above situations, statistically significant differences are commonly obtained when utilizing large sample sizes (over 2,000 in the present case), and do not necessarily denote large meaningful differences between waves.
- The *individual stability* of PPGM gambling categories varied as a function of category.
 - Non-Gambling was a fairly stable classification, with the majority of Non-Gamblers in one wave continuing to be Non-Gamblers at the next wave. That said, transitioning to Recreational Gambling was not uncommon.
 - Recreational Gambling had the most stable behavioral patterns, with the large majority of Recreational Gamblers continuing to be Recreational Gamblers in the next wave, and 64.7% continuing to be Recreational Gamblers throughout all four waves.
 - At-Risk Gamblers had the most unstable pattern, with only a minority continuing to be in this category in the next wave and only 10.4% continuing in this category for four consecutive waves. Although a significant percentage of At-Risk Gamblers subsequently become Problem Gamblers (16.4%), a much more common route was transitioning back to Recreational Gambling.
 - Problem gambling was somewhat more stable than At-Risk Gambling, but still fairly unstable. One wave was the modal duration of Problem Gambling, occurring in 56.4% of problem gamblers. A longer duration did occur for a significant minority, with 28.3% being in this category in all four waves and a several others being in this category for either two or three consecutive waves. Risk of chronic problem gambling tended to increase with each consecutive year of problem gambling status. The relatively short episode duration for most problem gamblers also meant that recovery rates tended to be high. However, of those that

recovered by Wave 2, 32.1% relapsed in either Wave 3 or Wave 4. The longer-term relapse rate beyond this time frame is unknown, but is expected to be significantly higher.

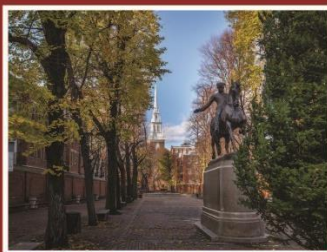
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APPENDIX A: WAVE 4 QUESTIONNAIRE

Massachusetts Gambling Impact Cohort Study



Please have the adult in your household (18 years or older)
who previously participated in the Massachusetts
Gambling Impact Cohort Study complete this survey.

MAGIC  MASSACHUSETTS GAMBLING
IMPACT COHORT STUDY

UNIVERSITY OF MASSACHUSETTS SCHOOL OF PUBLIC HEALTH AND HEALTH SCIENCES

Instructions for Completing the Booklet

This booklet contains several types of questions. Each question should be answered only about yourself, not anyone else in your household.

- For some questions, you answer the question by marking a box, like this:
 - ¹ Yes
 - ² No
- For some questions, you answer the question by filling in one number per box, like this:

0	9
---	---

 Number of Days
- You will sometimes be instructed to skip one or more questions. In this example, if your choice is 'No', you skip to question 10; otherwise, you continue to the next question.
 - ¹ Yes
 - ² No → GO TO 10
- This survey asks many questions about gambling as a recreational activity. We would like you to participate even if you have never gambled. It is important that we collect information that is representative of the state of Massachusetts.

Definitions

For the purposes of this survey, please refer to the definitions below for the following terms.

- “Non-medical” drug use means using it to get high or experience pleasurable effects, see what the effects are like, or use with friends.
- “Serious” means something that either you or someone else would say is considerable, important, or major, either because of its frequency or significance.
- A high risk stock is a stock from a company that has a real risk of going out of business and/or having their stock price double or triple in value in the next year.
- An “underground” casino is a place with unlicensed slot machines or casino game tables.
- A “sportsbook” is a venue where someone can place a bet on a sporting event.
- A “bookmaker” or “bookie” is an organization or person that takes bets on sporting events.
- “eSports” are professional video game competitions.

The University of Massachusetts is conducting a longitudinal study about gambling in Massachusetts. This survey is private and confidential. We have a Federal Certificate of Confidentiality that is designed to protect the confidentiality of your research data from a court order or subpoena. We can provide you with more information if you would like. You don't have to answer any question you don't want to, and you can stop at any time. Almost everyone will be able to finish the survey within 20 to 40 minutes.

If you have questions about the Federal Certificate of Confidentiality, please visit:

<http://grants.nih.gov/grants/policy/coc/faqs.htm#187>.

Health Section

We would like to start by asking you questions about your health.

1. Over the past 12 months, would you say that in general your health has been...

- 1 Excellent
 2 Very good
 3 Good
 4 Fair
 5 Poor

2. Do you have any physical disability or chronic health problem that limits the amount or kind of activity you can do at home, work or school?

- 1 Yes
 2 No

3. In the past 12 months, how would you rate your overall level of stress? Would you say...

- 1 Very high
 2 High
 3 Moderate
 4 Low
 5 Very low

4. Check off any events that have happened to you in the past 12 months. Check all that apply.

Work/School

- 1 Started school
 2 Experienced significant difficulties at school
 3 Dropped out of school
 4 Started a new job
 5 Had a significant change in work hours, work demands, or work type
 6 Received an important promotion
 7 Had serious conflict(s) at work
 8 Suffered a significant business loss or failure
 9 Had difficulty finding employment
 10 Was laid off or fired
 11 Retired

Family and Friends

- 12 Moved to new location/house
 13 Became pregnant (or spouse became pregnant)
 14 Experienced a miscarriage or abortion

Family and Friends (continued)

- 15 Had a new addition to the family through birth or adoption
 16 Son or daughter left home
 17 Started a relationship with a new boyfriend/girlfriend
 18 Got married
 19 Had serious conflicts or difficulties with spouse or partner
 20 Broke up with boyfriend/girlfriend
 21 Separated or divorced
 22 Had serious conflicts with family member(s)
 23 Had serious conflicts with close friend(s)
 24 Had serious conflicts with neighbor(s)
 25 Had serious conflicts with ex-spouse
 26 Death of spouse or partner
 27 Death of other close family member
 28 Death of close friend
 29 Serious illness or injury in family member or close friend
 30 Death of important family pet

Property and Finances

- 31 Suffered a significant financial loss
 32 Declared bankruptcy
 33 Went on social support or welfare
 34 Suffered a significant loss or damage of property
 35 Borrowed a significant amount of money (e.g., mortgage)
 36 Had a significant financial improvement

Legal Matters/Crime

- 37 Arrested or charged with a crime
 38 Placed in jail
 39 Became involved in lawsuit
 40 Received serious threats or harassment
 41 Was assaulted
 42 Was robbed
 43 Was a victim of some other crime
 44 Caused a serious accident that injured or killed someone

Health

- 45 Witnessed a serious accident that injured or killed someone
 46 Suffered a serious injury as a result of an accident
 47 Became seriously overweight or underweight
 48 Developed a serious physical illness
 49 Developed a serious mental illness
 50 Developed a drug or alcohol addiction

If at Question 4, you selected any of the options below, please continue to Question 5. If none of these items were selected, please go to Question 6.

- Death of spouse or partner
- Death of other close family member
- Death of close friend
- Serious illness or injury in family member or close friend
- Received serious threats or harassment
- Was assaulted
- Was robbed
- Was a victim of some other crime
- Caused a serious accident that injured or killed someone
- Witnessed a serious accident that injured or killed someone
- Suffered a serious injury as a result of an accident

5. Did any of the following symptoms occur for at least a month as a result of one or more of the options listed in the instructions to the left?

Check all that apply.

- 1 Recurrent intrusive distressing memories of the event
- 2 Recurrent distressing dreams about the event
- 3 Flashbacks, in which you felt you were reliving the event
- 4 Intense psychological distress to reminders of the event
- 5 Intense physical reactions to reminders of the event
- 6 Avoidance of distressing memories, thoughts, or feelings about the event
- 7 Avoidance of external reminders (people, places, etc.) that might lead to memories, thoughts, or feelings about the event
- 8 Inability to remember an important part of the event
- 9 Persistent and exaggerated negative beliefs or expectations about oneself, others, or the world (e.g., "I am bad", "No one can be trusted", "The world is dangerous")
- 10 Persistent, distorted beliefs about the cause or consequences of the event that has led you to blame yourself or others
- 11 Persistent negative emotions (fear, horror, anger, guilt, shame)
- 12 Markedly decreased interest or participation in activities
- 13 Feelings of detachment from others
- 14 Persistent inability to experience positive emotions
- 15 Irritable behavior and angry outbursts
- 16 Reckless or self-destructive behavior
- 17 Over-vigilance or over-alertness
- 18 Exaggerated startled response
- 19 Difficulty concentrating
- 20 Difficulty sleeping

6. In the past 12 months, how would you rate your overall level of happiness? Would you say...

- 1 Very high
- 2 High
- 3 Moderate
- 4 Low
- 5 Very low

7. Have you used tobacco or e-cigarettes in the past 12 months (includes cigarettes, cigars, pipe tobacco, shisha tobacco, chewing tobacco, dipping tobacco, snuff)?

- ¹ Yes
² No → GO TO 10

8. Which of the following products have you used? *Check all that apply.*

- ¹ Cigarettes
² Electronic cigarettes (e-cigarettes)
³ Cigars
⁴ Pipe tobacco
⁵ Shisha tobacco
⁶ Chewing tobacco
⁷ Dipping tobacco
⁸ Snuff

9. Have you used tobacco or e-cigarettes in the past 30 days (includes cigarettes, cigars, pipe tobacco, shisha tobacco, chewing tobacco, dipping tobacco, snuff)?

- ¹ Yes
² No

10. How often have you used alcohol in the past 12 months?

- ¹ 4 or more times a week
² 2-3 times a week
³ Once a week
⁴ 2-3 times a month
⁵ Once a month
⁶ Less than once a month
⁷ Not at all

11. In the past 12 months how often have you used any marijuana, hallucinogens (such as LSD, mushrooms, or PCP), cocaine, amphetamines, heroin, opium, fentanyl, or any other drugs not intended for medical use? *If you are not sure what is considered non-medical drug use, please refer to the definitions on the inside cover.*

- ¹ 4 or more times a week
² 2-3 times a week
³ Once a week
⁴ 2-3 times a month
⁵ Once a month
⁶ Less than once a month
⁷ Not at all

12. Which drugs have you used for nonmedical purposes in the past 12 months? *Check all that apply.*

- ¹ Cannabis (marijuana, hashish, weed, pot)
² Benzodiazepines (downers)
³ Amphetamines (methamphetamine, ice, uppers, crystal, speed)
⁴ Ecstasy/MDMA
⁵ Cocaine (coke, crack)
⁶ Opiates and Opioids (opium, morphine, codeine, Oxycontin, fentanyl, heroin, Demerol, Talwin, Percocet)
⁷ Hallucinogens (LSD, mushrooms, PCP, mescaline/peyote, ayahuasca)
⁸ Other (khat, bath salts, salvia)

*If you selected "Less than once a month" or "Not at all" for Question 10 **AND** Question 11, go to Question 15. Otherwise, continue to Question 13.*

13. In the past 12 months has your use of alcohol or other drugs been associated with any of the following? *Check all that apply.*

- ¹ Often taken in larger amounts or over a longer period than intended
² A persistent desire or unsuccessful efforts to cut down or control use
³ A great deal of time spent in activities necessary to obtain the substance
⁴ Strong cravings for the substance
⁵ Recurrent use resulting in a failure to fulfill major role obligations at work, school, or home
⁶ Continued use despite the substance causing or worsening social or interpersonal problems
⁷ Continued use despite the substance causing or worsening a physical or psychological problem
⁸ Important social, occupational, or recreational activities given up or reduced because of use
⁹ Recurrent use in situations in which it was physically dangerous
¹⁰ Tolerance to the substance (needing more of it to have the same effect)
¹¹ Withdrawal symptoms when not using the substance

14. During the past 12 months, have you sought help for your use of alcohol or drugs?

- ¹ Yes
² No

If you would like information regarding treatment resources, please see page 21 for contact information.

15. **Prior to the past 12 months, have you had any significant problems with overuse of drugs or alcohol?**
- ¹ Yes
² No
16. **In the past 12 months have you had any problems with other behavior such as overeating, sex or pornography, shopping, exercise, Internet chat lines, or other things? What we mean is difficulties controlling the behavior which has led to significant negative consequences for you or other people.**
- ¹ Yes
² No → GO TO 18
17. **Which specific activities have you had problems with? Check all that apply.**
- ¹ Overeating
² Sex or pornography
³ Exercise
⁴ Shopping
⁵ Internet chat lines
⁶ Video or internet gaming
⁹ Other
18. **Prior to the past 12 months, have you had any significant problems with excessive involvement in overeating, sex or pornography, shopping, exercise, Internet chat lines, or other things?**
- ¹ Yes
² No
19. **In the past 12 months, was there ever a period of 2 weeks or longer where you had a depressed mood most of the day nearly every day and/or a loss of interest or pleasure in most activities?**
- ¹ Yes
² No → GO TO 21
20. **Check off any of the following that occurred during this time period. Check all that apply.**
- ¹ Significant weight loss or weight gain or an increase or decrease in appetite
² Problems sleeping or excessive sleeping nearly every day
³ Physical agitation or being slowed down nearly every day
⁴ Fatigue or loss of energy nearly every day
⁵ Feelings of worthlessness or excessive or inappropriate guilt
⁶ Decreased ability to think or concentrate or indecisiveness nearly every day
⁷ Recurrent thoughts of death or suicide
21. **Would you describe yourself as chronically anxious? (i.e., having excessive anxiety and worry most days about a variety of things)?**
- ¹ Yes
² No → GO TO 24 ON PAGE 5
22. **Does this anxiety cause significant distress or impairment in your social functioning, employment, or other areas?**
- ¹ Yes
² No → GO TO 24 ON PAGE 5
23. **Do you also have any of the following symptoms? Check all that apply.**
- ¹ Restlessness or feeling keyed up or on edge
² Easily fatigued
³ Difficulty concentrating or mind going blank
⁴ Irritability
⁵ Muscle tension
⁶ Difficulty sleeping

24. In the past 12 months have you had recurrent unexpected panic attacks during which 4 or more of the following symptoms occur:

- Pounding heart
- Sweating
- Trembling
- Shortness of breath
- Feelings of choking
- Chest pain
- Nausea
- Dizziness
- Chills or hot flashes
- Numbness
- Feelings of unreality
- Fear of losing control
- Fear of dying?

¹ Yes

² No → GO TO 26

25. Have these attacks been followed by either a persistent worry about having additional attacks and/or avoidance of activities (e.g., exercise) or unfamiliar places?

¹ Yes

² No

26. In the past 12 months have you had *any other* significant mental health problem that has not been mentioned (e.g., bipolar disorder, schizophrenia, bulimia, obsessive-compulsive disorder, agoraphobia)?

¹ Yes

² No

If you would like information regarding mental health treatment resources, please see page 21 for contact information.

Gambling Attitudes

For the following words, write down the very first word or phrase that comes to mind after reading the word (e.g., salt: pepper; black: white; water: drink).

27. **Streak:**

28. **Ticket:**

29. **Win:**

30. **Game:**

31. **Money:**

32. **Loss:**

For the following phrases, write down the very first behavior that comes to mind. For example: feeling hungry: have a snack; feeling tired: nap. Keep your answers short; limit yourself to a single word or phrase.

33. **Feeling bored:**

34. **Have fun:**

35. **Feeling lonely:**

36. **Pass the time:**

37. **Do something thrilling:**

38. **Make money:**

These questions ask you to categorize your previous answers. For each answer indicate the category or categories you believe your answer best fits into or relates to. Please do not change any previous responses when answering this series.

39. Streak: [your response to 27]

- ¹ Recreation/leisure
- ² Gambling
- ³ Food
- ⁴ Friends/Family
- ⁵ Alcohol
- ⁶ Other

40. Ticket: [your response to 28]

- ¹ Recreation/leisure
- ² Gambling
- ³ Food
- ⁴ Friends/Family
- ⁵ Alcohol
- ⁶ Other

41. Win: [your response to 29]

- ¹ Recreation/leisure
- ² Gambling
- ³ Food
- ⁴ Friends/Family
- ⁵ Alcohol
- ⁶ Other

42. Game: [your response to 30]

- ¹ Recreation/leisure
- ² Gambling
- ³ Food
- ⁴ Friends/Family
- ⁵ Alcohol
- ⁶ Other

43. Money: [your response to 31]

- ¹ Recreation/leisure
- ² Gambling
- ³ Food
- ⁴ Friends/Family
- ⁵ Alcohol
- ⁶ Other

44. Loss: [your response to 32]

- ¹ Recreation/leisure
- ² Gambling
- ³ Food
- ⁴ Friends/Family
- ⁵ Alcohol
- ⁶ Other

45. Feeling bored: [your response to 33]

- ¹ Recreation/leisure
- ² Gambling
- ³ Food
- ⁴ Friends/Family
- ⁵ Alcohol
- ⁶ Other

46. Have fun: [your response to 34]

- ¹ Recreation/leisure
- ² Gambling
- ³ Food
- ⁴ Friends/Family
- ⁵ Alcohol
- ⁶ Other

47. Feeling lonely: [your response to 35]

- ¹ Recreation/leisure
- ² Gambling
- ³ Food
- ⁴ Friends/Family
- ⁵ Alcohol
- ⁶ Other

48. Pass the time: [your response to 36]

- ¹ Recreation/leisure
- ² Gambling
- ³ Food
- ⁴ Friends/Family
- ⁵ Alcohol
- ⁶ Other

49. Do something thrilling: [your response to 37]

- ¹ Recreation/leisure
- ² Gambling
- ³ Food
- ⁴ Friends/Family
- ⁵ Alcohol
- ⁶ Other

50. Make money: [your response to 38]

- ¹ Recreation/leisure
- ² Gambling
- ³ Food
- ⁴ Friends/Family
- ⁵ Alcohol
- ⁶ Other

Now we would like to ask you some questions about gambling.

We define gambling as betting money or material goods on an event with an uncertain outcome in the hopes of winning additional money or material goods. It includes things such as lottery tickets, scratch tickets, bingo, betting against a friend on a game of skill or chance, betting on horse racing or sports, investing in high risk stocks, etc.

51. Which best describes your belief about the benefit or harm that gambling has for society? Would you say...
- ¹ The harm far outweighs the benefits
 - ² The harm somewhat outweighs the benefits
 - ³ The benefits are about equal to the harm
 - ⁴ The benefits somewhat outweigh the harm
 - ⁵ The benefits far outweigh the harm
52. Do you believe that gambling is morally wrong?
- ¹ Yes
 - ² No
53. Which of the following best describes your opinion about *legalized* gambling? Would you say...
- ¹ All types of gambling should be legal
 - ² Some types of gambling should be legal and some should be illegal
 - ³ All types of gambling should be illegal
54. Which of the following best describes your opinion about gambling opportunities in Massachusetts? Would you say...
- ¹ Gambling is too widely available
 - ² Gambling is not available enough
 - ³ The current availability of gambling is fine

Past Gambling Behaviors

The following questions ask about frequency of participation and spending on each type of gambling. Spend means how much you are ahead (+\$) or behind (-\$), or your net win or loss in an average month in the past 12 months.

55. In the past 12 months, how often have you purchased *lottery tickets* such as *Megabucks, Powerball, or Lucky for Life*? This does not include daily lottery games (e.g., *Mass Cash, Numbers Game, Keno, All or Nothing*) or instant tickets, pull tabs, or raffle tickets. Would you say...
- ¹ 4 or more times a week
 - ² 2-3 times a week
 - ³ Once a week
 - ⁴ 2-3 times a month
 - ⁵ Once a month
 - ⁶ Less than once a month
 - ⁷ Not at all → GO TO 58
56. Roughly how much money do you spend on lottery tickets in a typical month?
- \$, ,
57. Did you purchase these *lottery tickets* in person or online? Check all that apply.
- ¹ In-person
 - ² Online
58. In the past 12 months, how often have you purchased instant tickets or pull tabs? Would you say...
- ¹ 4 or more times a week
 - ² 2-3 times a week
 - ³ Once a week
 - ⁴ 2-3 times a month
 - ⁵ Once a month
 - ⁶ Less than once a month
 - ⁷ Not at all → GO TO 61 ON PAGE 8
59. Roughly how much money do you spend on instant tickets or pull tabs in a typical month?
- \$, ,
60. Did you purchase these *instant tickets* or *pull tabs* in person or online? Check all that apply.
- ¹ In-person
 - ² Online

61. In the past 12 months, how often have you purchased *raffle tickets*? Would you say...?

- ¹ 4 or more times a week
² 2-3 times a week
³ Once a week
⁴ 2-3 times a month
⁵ Once a month
⁶ Less than once a month
⁷ Not at all → GO TO 63

62. Roughly how much money do you spend on raffle tickets in a typical month?

- \$, ,

63. In the past 12 months, how often have you played *daily lottery games* such as *Mass Cash, Keno, All or Nothing, Numbers Game*? Would you say...

- ¹ 4 or more times a week
² 2-3 times a week
³ Once a week
⁴ 2-3 times a month
⁵ Once a month
⁶ Less than once a month
⁷ Not at all → GO TO 65

64. Roughly how much money do you spend on daily lottery games in a typical month?

- \$, ,

65. In the past 12 months, how often have you bet money or gambled on *sports* (this includes social betting, online betting, fantasy sports, and eSports)? Would you say...

- ¹ 4 or more times a week
² 2-3 times a week
³ Once a week
⁴ 2-3 times a month
⁵ Once a month
⁶ Less than once a month
⁷ Not at all → GO TO 75 ON PAGE 9

66. Roughly how much money do you spend on sports betting in a typical month?

- \$, ,

67. What type of sports betting did you engage in? For a definition of *sportsbook* or *eSports*, please refer to inside cover. Check all that apply.

- ¹ Office sports pools or social betting against friends or family
² Placing bets with a legal land-based sportsbook outside of Massachusetts
³ Placing bets with an illegal/underground land-based sportsbook or bookmaker in Massachusetts
⁴ Placing bets on sporting events with an online sportsbook
⁵ Online fantasy sports
⁶ eSports

If you selected "Online fantasy sports" for Question 67, then continue to Question 68. Otherwise, go to Question 75 on page 9.

68. Do you play traditional fantasy sports (where results are determined at the end of the season) or daily fantasy sports (where results are determined on a daily or weekly basis)?

- ¹ Traditional fantasy sports → GO TO 75 ON PAGE 9
² Daily fantasy sports
³ Both traditional and daily fantasy sports

69. Which internet sites do you most often use to play daily fantasy sports?

Check all that apply.

- ¹ DraftKings
² FanDuel
³ DraftDay
⁹¹ Other (specify)

70. In the past 30 days, on the days that you played, how many hours on average did you spend on daily fantasy sports?

71. In the past 30 days, what has your usual balance been in your daily fantasy sports account(s)?

\$, ,

72. In the past 30 days, how much have you deposited into your daily fantasy sports account(s)?

\$, ,

73. In the past 30 days, how much money have you cashed out from your daily fantasy sports account(s)?

\$, ,

74. Considering all the time you spend on all your gambling activities, what percentage of time involves playing daily fantasy sports?

%

75. In the past 12 months, how often have you played *bingo* either in person or online (this includes electronic bingo machines)?

Would you say...

- ¹ 4 or more times a week
² 2-3 times a week
³ Once a week
⁴ 2-3 times a month
⁵ Once a month
⁶ Less than once a month
⁷ Not at all → GO TO 80
76. Roughly how much money do you spend on bingo in a typical month?

- \$, ,

77. How and where do you play bingo?

Check all that apply.

- ¹ In person at a bingo hall in Massachusetts
² In person at a bingo hall outside Massachusetts
³ At an online bingo site
78. In the past 12 months, how often have you spent money on *electronic gambling machines* (i.e., slot machines, video lottery terminals, electronic casino table games) either in person or online?

- ¹ 4 or more times a week
² 2-3 times a week
³ Once a week
⁴ 2-3 times a month
⁵ Once a month
⁶ Less than once a month
⁷ Not at all → GO TO 80

79. Roughly how much money do you spend on electronic gambling machines in a typical month?

- \$, ,

80. In the past 12 months how often have you bet money on any *casino table game* such as poker, blackjack, baccarat, roulette, craps, mah-jong, sic-bo, pai gow, either in person or online?

This does not include automated electronic versions of these games, which should be reported in the question about electronic gambling machines.

- ¹ 4 or more times a week
² 2-3 times a week
³ Once a week
⁴ 2-3 times a month
⁵ Once a month
⁶ Less than once a month
⁷ Not at all
81. Roughly how much money do you spend on casino table games in a typical month?

- \$, ,

If you did not bet money on electronic gambling machines or casino table games in the past 12 months, please go to Question 92 on page 10. Otherwise, continue to Question 82.

82. Where did you play these electronic gambling machines and/or casino table games? Check all that apply.

- ¹ At the Plainridge Park Casino in Plainville, Massachusetts
² At a land-based casino, slot parlor, slots at racetrack, or card room outside of Massachusetts
³ At an online casino or card/poker room
⁴ At an underground/illegal casino, slot parlor, or card room in Massachusetts
⁵ At a private residence

83. Roughly what percentage of your spending on electronic gambling machines and/or casino table games is done at each location? *The percentages should add up to 100%.*

1 % Plainridge Park Casino in Plainville, Massachusetts

2 % Land-based casino, slot parlor, slots at racetrack, or card room outside of Massachusetts

3 % Online casino or card/poker room

4 % Underground/illegal casinos, slot parlor, or card room in Massachusetts

5 % At a private residence

*If you selected "At a land-based casino, slot parlor, slots at racetrack, or card room outside of Massachusetts" at Question 82, continue to Question 84. If you did **NOT** select this option, go to Question 88.*

84. In the past 12 months, how many times have you played electronic gambling machines or casino table games at a casino, slots parlor, slots at racetrack, or card room outside of Massachusetts?

number of times

85. In the past 12 months, roughly how much money did you spend on *gambling* per visit in out of state casinos, slots parlors, slots at racetracks, and card rooms?

- \$, ,

86. In the past 12 months, roughly how much money did you spend on *nongambling activities* (such as food, travel, lodging, entertainment) per visit in out of state casinos, slots parlors, slots at racetracks, and card rooms?

\$,

87. Which specific casino or slots parlor do you most often go to?

- 1 Atlantic City Casino (NJ)
- 2 Nevada Casino
- 3 Empire City (Yonkers, NY)
- 4 Foxwoods (Ledyard, CT)
- 5 Hollywood Slots (Bangor, ME)
- 6 Mohegan Sun (Uncasville, CT)
- 7 Monticello (Monticello, NY)
- 8 Newport Grand (Newport, RI)
- 9 Oxford Casino (Oxford, ME)
- 10 Resorts World (Queens, NY)
- 11 Rivers Casino & Resort (Schenectady, NY)
- 12 Saratoga Casino & Raceway (Saratoga, NY)
- 13 Tiverton Casino (RI)
- 14 Turning Stone (Verona, NY)
- 15 Twin River (Lincoln, RI)
- 16 Vernon Downs (Vernon, NY)
- 91 Other

88. Do you have a casino player rewards card (e.g., Marquee Rewards)?

- 1 Yes
- 2 No → GO TO 92

89. Is this a rewards card for a Massachusetts casino?

- 1 Yes
- 2 No → GO TO 92

90. Have you used the PlayMyWay tool on your card allowing you to set spending limits?

- 1 Yes
- 2 No → GO TO 92

91. Have you found this tool useful in managing your gambling?

- 1 Yes
- 2 No

92. In the past 12 months, how often have you bet on *horse racing* or *dog racing* either in person, by phone, or online? Would you say...?

- 1 4 or more times a week
- 2 2-3 times a week
- 3 Once a week
- 4 2-3 times a month
- 5 Once a month
- 6 Less than once a month
- 7 Not at all → GO TO 95 ON PAGE 11

93. Roughly how much money do you spend on horse or dog racing in a typical month?
 - \$, ,
94. Where do you most often bet on horse or dog racing?
¹ Suffolk Downs
² Plainridge Racecourse
³ Raynham Park
⁴ Other Massachusetts racecourse (e.g., Brockton)
⁵ Online racebook
⁹¹ Other
95. In the past 12 months how often have you gambled or bet money on *other types of gambling* that have not yet been mentioned, such as betting on card games other than poker, blackjack, and baccarat; board games (e.g., chess, backgammon); television events; political events; video games; cock fighting; dog fights; financial indices betting on a gambling website (including spread betting); or anything else?
¹ 4 or more times a week
² 2-3 times a week
³ Once a week
⁴ 2-3 times a month
⁵ Once a month
⁶ Less than once a month
⁷ Not at all → GO TO 99
96. What are these other types of gambling you bet money on? *Check all that apply.*
¹ Non-casino card games
² Board games
³ Television events
⁴ Political events
⁵ Video games
⁶ Cock fights
⁷ Dog fights
⁸ Financial indices betting
⁹¹ Other
97. Did you make these bets in person or remotely via a computer, phone, television, or other device? *Check all that apply.*
¹ In person
² Remotely via a computer, phone, television, or other device
98. Roughly how much money do you spend on these other types of gambling in a typical month?
 - \$, ,
99. Do you personally manage most of your own *stock market* investments (i.e., make your own decisions and purchases of stocks, bonds, etc. independent of a financial advisor or fund manager)?
¹ Yes
² No → GO TO 102
³ I have no stock market investments → GO TO 102
100. In the past 12 months, which of the following financial products/activities have you purchased, sold, or engaged in? *Check all that apply.*
¹ Mutual funds
² Bonds
³ Individual stocks
⁴ Penny stocks
⁵ Options
⁶ Futures
⁷ Other derivatives (e.g., Swaps)
⁸ Shorting stocks
⁹ Day trading
101. What do you estimate your net loss or gain in a typical month is from your stock market activity?
 - \$, ,
102. To what extent do you agree with the statement: "wealth is a good measure of success in life"?
¹ Strongly agree
² Agree
³ Neutral
⁴ Disagree
⁵ Strongly disagree
103. How often do you use automatic teller machines at casinos, slot parlors, racetracks, or bingo halls?
¹ Never
² Occasionally
³ Most times that I go

104. In the past 12 months what was the largest amount of money you have won gambling in a single day?

- ¹ \$0
² +\$1 to +\$199
³ +\$200 to +\$499
⁴ +\$500 to +\$999
⁵ +\$1000 to +\$1999
⁶ +\$2000 or more

105. In the past 12 months what was the largest amount of money you have lost gambling in a single day?

- ¹ \$0
² -\$1 to -\$199
³ -\$200 to -\$499
⁴ -\$500 to -\$999
⁵ -\$1000 to -\$1999
⁶ -\$2000 or more

Gambling Activity and Availability

The following questions ask about your current gambling activities and the availability of gambling in your area.

106. What would you say is the main reason that you gamble? Would you say...

- ¹ For excitement/entertainment
² To win money
³ To escape or distract yourself
⁴ To socialize with family or friends
⁵ To support worthy causes
⁶ Because it makes you feel good about yourself
⁹¹ Other

107. How important is gambling to you as a recreational activity? Would you say...

- ¹ Very important
² Somewhat important
³ Not very important
⁴ Not at all important

108. Has gambling replaced other recreational activities for you in the past year?

- ¹ Yes
² No → GO TO 110

109. Which recreational activities has gambling replaced?

110. Do you typically gamble alone or with friends?

- ¹ More often alone
² More often with friends

111. How available are gambling opportunities at your workplace or school?

- ¹ Not available
² Somewhat available
³ Extensively available

112. How close is the nearest casino to you?

- ¹ More than a 30 minute drive from either home, work, or school
² A 16 to 30 minute drive from either home, work, or school
³ A 5 to 15 minute drive from either home, work, or school
⁴ Less than a 5 minute drive from either home, work, or school

113. At what age do you recall gambling for money for the first time?

- ⁸⁸ Have never gambled for money

114. Have any of your parents, brothers or sisters, or children ever been regular gamblers?

- ¹ Yes
² No → GO TO 116 ON PAGE 13
³ Unsure

115. Have any of your parents, brothers or sisters, or children ever been problem gamblers (i.e., had difficulty controlling their gambling to the extent that it caused significant problems)?

- ¹ Yes
² No
³ Unsure

Gambling Beliefs

The next set of questions will ask your opinion about various gambling situations.

116. Which of the following set of lottery numbers has the greatest probability of being selected as the winning combination?

- ¹ 1, 2, 3, 4, 5, 6
- ² 8, 18, 3, 55, 32, 28
- ³ Each of the above have an equal probability of being selected

117. Which gives you the best chance of winning the jackpot on a slot machine?

- ¹ Playing a slot machine that has not had a jackpot in over a month.
- ² Playing a slot machine that had a jackpot an hour ago.
- ³ Your chances of winning the jackpot are the same on both machines.

118. How lucky are you? If 10 people's names were put into a hat and one name drawn for a prize, how likely is it that your name would be chosen?

- ¹ About the same likelihood as everyone else
- ² Less likely than other people
- ³ More likely than other people

119. If you were to buy a lottery ticket, which would be the best place to buy it from?

- ¹ A place that has sold many previous winning tickets
- ² A place that has sold few previous winning tickets
- ³ One place is as good as another

120. A positive attitude or doing good deeds increases your likelihood of winning money when gambling.

- ¹ Disagree
- ² Agree

121. A gambler goes to the casino and wins 75% of the time. How many times has he or she likely gone to the casino?

- ¹ 4 times
- ² 100 times
- ³ It is just as likely that he has gone either 4 or 100 times

122. You go to a casino with \$100 hoping to double your money. Which strategy gives you the best chance of doing this?

- ¹ Betting all your money on a single bet
- ² Betting small amounts of money on several different bets
- ³ Either strategy gives you an equal chance of doubling your money

123. Which game can you consistently win money at if you use the right strategy?

- ¹ Slot machines
- ² Roulette
- ³ Bingo
- ⁴ None of the above

124. Your chances of winning a lottery are better if you are able to choose your own numbers.

- ¹ Disagree
- ² Agree

125. You have flipped a coin and correctly guessed 'heads' 5 times in a row. What are the odds that heads will come up on the next flip. Would you say...

- ¹ 50%
- ² More than 50%
- ³ Or less than 50%

Prevention Awareness

Now we would like to ask you a few questions about media campaigns and gambling behaviors.

126. In the past 12 months have you seen or heard any media campaigns to prevent problem gambling in Massachusetts?

- ¹ Yes
- ² No

127. In the past 12 months have you been aware of any programs to prevent problem gambling (other than media campaigns) offered at your school, your place of work, in your community or elsewhere?

- ¹ Yes
- ² No

If you selected "No" to both Question 126 **AND** Question 127, then go to Question 130 on Page 14. Otherwise, continue to Question 128 on Page 14.

128. Did you participate in any of the problem gambling prevention programs that you heard of in the past 12 months?

- ¹ Yes
² No

129. Did any of these media campaigns or programs cause you to alter your own gambling behavior?

- ¹ Yes
² No

130. What portion of your close friends and family members are regular gamblers? Would you say...

- ¹ None of them
² Some of them
³ Most of them
⁴ All of them

131. During the last 12 months, has there been any person in your life that you consider gambles too much?

- ¹ Yes
² No → GO TO 133

132. What is this person's relationship to you?

- ¹ Spouse/partner
² Parent/step parent
³ Child/step child
⁴ Other person (in your household)
⁵ Other family member (not living in your household)
⁶ Ex-partner
⁷ Work colleague
⁸ Friend
⁹ Neighbor
⁹¹ Someone else

Gambling Outcomes

Please answer all of the following questions, even if you think they do not apply to you.

133. In the past 12 months, have you bet more than you could really afford to lose? Would you say...

- ¹ Never
² Sometimes
³ Most of the time
⁴ Almost always

134. In the past 12 months, have you felt guilty about the way you gamble or what happens when you gamble? Would you say...

- ¹ Never
² Sometimes
³ Most of the time
⁴ Almost always

135. In the past 12 months, have you needed to gamble with larger amounts of money to get the same feeling of excitement? Would you say...

- ¹ Never
² Sometimes
³ Most of the time
⁴ Almost always

136. In the past 12 months, when you gambled, did you go back another day to try to win back the money you lost? Would you say...

- ¹ Never
² Sometimes
³ Most of the time
⁴ Almost always

137. In the past 12 months, have you borrowed money or sold anything to get money to gamble? Would you say...

- ¹ Never
² Sometimes
³ Most of the time
⁴ Almost always

138. In the past 12 months, has your gambling caused any financial problems for you or your household? Would you say...

- ¹ Never
² Sometimes
³ Most of the time
⁴ Almost always

139. In the past 12 months, has your gambling caused you any health problems, including stress or anxiety? Would you say...
- ¹ Never
² Sometimes
³ Most of the time
⁴ Almost always
140. In the past 12 months, have people criticized your betting or told you that you had a gambling problem, regardless of whether or not you thought it was true? Would you say...
- ¹ Never
² Sometimes
³ Most of the time
⁴ Almost always
141. In the past 12 months, have you felt that you might have a problem with gambling? Would you say...
- ¹ Never
² Sometimes
³ Most of the time
⁴ Almost always
142. Has your involvement in gambling caused significant mental stress in the form of guilt, anxiety, or depression for you or someone close to you in the past 12 months?
- ¹ Yes
² No
143. Has your involvement in gambling caused significant problems in your relationship with your spouse/partner or important friends or family in the past 12 months?
- ¹ Yes
² No
144. In the past 12 months, has your involvement in gambling caused you to repeatedly neglect your children or family?
- ¹ Yes
² No
145. Has your involvement in gambling caused significant work or school problems for you or someone close to you in the past 12 months or caused you to miss a significant amount of time off work or school?
- ¹ Yes
² No
146. In the past 12 months, has your involvement in gambling caused you or someone close to you to write bad checks, take money that didn't belong to you or commit other illegal acts to support your gambling?
- ¹ Yes
² No
147. In the past 12 months, have you often gambled longer, with more money or more frequently than you intended to?
- ¹ Yes
² No
148. In the past 12 months, have you made attempts to either cut down, control or stop gambling?
- ¹ Yes
² No → GO TO 150
149. Were you successful in these attempts to cut down, control or stop gambling?
- ¹ Yes
² No
150. In the past 12 months, is there anyone else who would say that you had difficulty controlling your gambling, regardless of whether you agreed with them or not?
- ¹ Yes
² No
151. In the past 12 months, would you say you have been preoccupied with gambling?
- ¹ Yes
² No
152. In the past 12 months, when you did try cutting down or stopping did you find you were very restless or irritable or that you had strong cravings for it?
- ¹ Yes
² No
153. In the past 12 months, did you find you needed to gamble with larger and larger amounts of money to achieve the same level of excitement?
- ¹ Yes
² No
154. Are there particular types of gambling that have contributed to your problems more than others?
- ¹ Yes
² No → GO TO 156 ON PAGE 16

155. Which types of gambling have contributed to your problems? *Check all that apply.*

- ¹ Lottery
 ² Instant ticket
 ³ Daily lotteries
 ⁴ Bingo
 ⁵ Slot machines or video lottery terminals
 ⁶ Casino table games (i.e., Blackjack, Baccarat, Roulette, Craps, etc.)
 ⁷ Poker
 ⁸ Horse racing or dog racing
 ⁹ Sports betting
 ¹⁰ Speculative high risk stocks, options, futures, or day trading
 ¹¹ Online gambling
 ⁹¹ Other

156. Have you *wanted* help for gambling problems in the past 12 months?

- ¹ Yes
 ² No → GO TO 160

157. Have you *sought* help for gambling problems in the past 12 months?

- ¹ Yes
 ² No → GO TO 160

158. Where did you seek help from?

Check all that apply.

- ¹ Friends or family
 ² GameSense Information Center
 ³ Gamblers Anonymous
 ⁴ Gam Anon (This is a support group for friends/family of problem gamblers)
 ⁵ Family doctor
 ⁶ Private Psychologist/Psychiatrist/Counselor
 ⁷ Problem gambling treatment center/clinic
 ⁸ Pastor/Minister/Priest/etc.
 ⁹ Telephone help/hotline
 ¹⁰ Online help
 ⁹¹ Other

159. How helpful was this? Would you say...

- ¹ Very helpful
 ² Somewhat helpful
 ³ Not very helpful
 ⁴ Not at all helpful

160. Have you excluded yourself from any casino or slots parlor in the past 12 months?

- ¹ Yes
 ² No → GO TO 162

161. In which states have you excluded yourself? *Check all that apply.*

- ¹ Massachusetts
 ² Connecticut
 ³ Rhode Island
 ⁴ New Jersey
 ⁵ New York
 ⁶ Pennsylvania
 ⁷ Maine
 ⁸ Nevada
 ⁹¹ Other

162. What would you say have been the main cause or causes of your gambling problems (provide as much detail as needed)?

163. Do you believe you are having fewer gambling problems than last year?

- ¹ Yes
 ² No → GO TO 165 ON PAGE 17

164. What would you say is responsible for this improvement (provide as much detail as needed)?

If you would like information regarding treatment resources, please see page 21 for contact information.

Social Relationships

Now we'd like to ask your opinion on several items.

For each statement, select the response that best represents your opinion.

	Strongly disagree	Disagree	Neutral	Agree	Strongly Agree
165. I am not a worrier.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
166. I try to be courteous to everyone I meet.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
167. I keep my belongings neat and clean.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
168. I rarely feel fearful or anxious.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
169. I often get into arguments with my family and co-workers.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
170. I have little difficulty resisting temptation.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
171. I'm pretty stable emotionally.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
172. I rarely overindulge in anything.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
173. I'm pretty good about pacing myself so as to get things done on time.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
174. When I am having my favorite foods, I tend to eat too much.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
175. I often feel tense and jittery.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
176. I often crave excitement.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
177. Some people think I'm selfish and egotistical.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
178. I seldom give in to my impulses.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
179. I sometimes eat myself sick.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
180. I am not a very methodical person.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
181. I often get angry at the way people treat me.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
182. I would rather cooperate with others than compete with them.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
183. I try to perform all the tasks assigned to me conscientiously.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
184. At times I have been so ashamed I just wanted to hide.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
185. I tend to be cynical and sceptical of others' intentions.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
186. I have a clear set of goals and work toward them in an orderly fashion.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
187. I often feel inferior to others.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
188. I believe that most people will take advantage of you if you let them.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
189. I waste a lot of time before settling down to work.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
190. I rarely feel lonely or blue.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
191. Most people I know like me.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
192. When I make a commitment, I can always be counted on to follow through.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
193. Sometimes I feel completely worthless.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>

For each statement, select the response that best represents your opinion.

	Strongly disagree	Disagree	Neutral	Agree	Strongly Agree
194. Some people think of me as cold and calculating.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
195. Sometimes I'm not as dependable or reliable as I should be.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
196. I am seldom sad or depressed.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
197. I'm hard-headed and tough-minded in my attitudes.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
198. I tend to avoid movies that are shocking or scary.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
199. I love the excitement of roller coasters.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
200. I am a productive person who always gets the job done.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
201. Too often, when things go wrong, I get discouraged and feel like giving up.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
202. I generally try to be thoughtful and considerate.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
203. I like being part of the crowd at sporting events.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
204. I keep a cool head in emergencies.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
205. I work hard to accomplish my goals.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
206. I often feel helpless and want someone else to solve my problems.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
207. It's often hard for me to make up my mind.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
208. If I don't like people, I let them know it.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
209. I never seem to be able to get organized.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
210. When I'm under a great deal of stress, sometimes I feel like I'm going to pieces.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
211. I like to be where the action is.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
212. If necessary, I am willing to manipulate people to get what I want.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
213. I strive for excellence in everything I do.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
214. I feel I am capable of coping with most of my problems.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
215. I'm attracted to bright colors and flashy styles.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
216. I can handle myself pretty well in a crisis.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
217. When everything seems to be going wrong, I can still make good decisions.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
218. I have trouble resisting my cravings.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
219. Sometimes I do things on impulse that I later regret.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
220. I wouldn't enjoy vacationing in Las Vegas.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
221. I am always able to keep my feelings under control.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
222. I have sometimes done things just for "kicks" or "thrills."	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>

We would now like to switch focus and ask a few questions about family and social relationships.

223. How would you rate your current family relationships?

- 1 Excellent
 2 Very good
 3 Average
 4 Below average
 5 Poor

224. How would you rate your current marital relationship?

- 1 Excellent
 2 Very good
 3 Average
 4 Below average
 5 Poor
 6 Not applicable

225. How would you rate your current level of social support?

- 1 Excellent
 2 Very good
 3 Average
 4 Below average
 5 Poor

226. How important is religion in your life?

- 1 Very important
 2 Somewhat important
 3 Not too important
 4 Not at all important

227. Have you committed any illegal activities in the past year?

- 1 Yes
 2 No

228. Do you have a criminal record?

- 1 Yes
 2 No

Demographics

The last few questions are about your background so we can keep track of the characteristics of people who respond to the survey.

229. Are you male or female?

- 1 Male
 2 Female

230. In what year were you born?

Year

231. At present are you...

- 1 Married
 2 Living with your partner
 3 Separated, but still legally married
 4 Divorced
 5 Widowed
 6 Never been married

232. How many children under 18 years old live in your household?

Number of children

233. What is the highest degree or level of school you have completed?

- 1 Never attended school or only attended kindergarten
 2 Grades 1 through 8
 3 Grades 9 through 11
 4 Regular High School Diploma or GED
 5 Some college credit, but less than 1 year of college credit
 6 1 or more years of college credit, but no degree
 7 Associate Degree
 8 Bachelor's Degree
 9 Master's Degree
 10 Professional Degree beyond a Bachelor's Degree
 11 Doctorate Degree

234. Are you currently...

- 1 Employed for wages
 2 Self-employed
 3 Out of work for more than 1 year
 4 Out of work for less than 1 year
 5 A Homemaker
 6 A Student
 7 Retired
 8 Unable to work

235. Have you ever served on active duty in the U.S. Armed Forces, military Reserves, or National Guard? Active duty does not include training for the Reserves or National Guard, but DOES include activation, for example, for the Persian Gulf War.
- 1 Yes, now on active duty
 - 2 Yes, on active duty in the past, but not during the last 12 months
 - 3 No, training for Reserves or National Guard only
 - 4 No, never served in the military
236. Do you own the place where you currently live, pay rent or something else?
- 1 Own
 - 2 Rent
 - 3 Something else
237. Is your approximate annual household income from all sources...
- 1 Less than \$15,000
 - 2 \$15,000 - \$29,999
 - 3 \$30,000 - \$49,999
 - 4 \$50,000 - \$69,999
 - 5 \$70,000 - \$99,999
 - 6 \$100,000 - \$124,999
 - 7 \$125,000 - \$149,999
 - 8 \$150,000 or more
238. What do you estimate your current debt to be? Please include mortgages, credit cards, loans, car payments, etc.
- 1 \$0 (no debt)
 - 2 Less than \$10,000
 - 3 \$10,000 - \$19,999
 - 4 \$20,000 - \$39,999
 - 5 \$40,000 - \$59,999
 - 6 \$60,000 - \$79,999
 - 7 \$80,000 - \$99,999
 - 8 \$100,000 - \$119,999
 - 9 \$120,000 - \$139,999
 - 10 \$140,000 - \$159,999
 - 11 \$160,000 - \$179,999
 - 12 \$180,000 - \$199,999
 - 13 \$200,000 - \$299,999
 - 14 \$300,000 - \$399,999
 - 15 \$400,000 - \$499,999
 - 16 \$500,000 or more
239. Were you born in the United States?
- 1 Yes
 - 2 No
240. Many people only live in Massachusetts for part of the year. Do you live in Massachusetts for 6 or more months out of the year? *If you recently moved to Massachusetts and plan on staying for 6 months or longer, mark yes. If you are planning on moving out of Massachusetts but have lived there for at least 6 months in 2015, mark yes.*
- 1 Yes
 - 2 No
241. Are you Hispanic or Latino?
- 1 Yes
 - 2 No
242. Which one or more of the following would you say is your race? *Check all that apply.*
- 1 White or Caucasian
 - 2 Black or African American
 - 3 Asian
 - 4 Native Hawaiian or Other Pacific Islander
 - 5 Native American or Alaskan Native
 - 91 Some other race
-
243. How many members of your household, including yourself, are 18 years of age or older?
- Number of adults (18 or older)
244. Do you have an internet connection either at home or at work?
- 1 Yes
 - 2 No
245. Overall, how often do you use the Internet?
- 1 Daily
 - 2 A few times a week
 - 3 A few times a month
 - 4 A few times a year
 - 5 Not at all

Because we are interested in how opinions change over time, you may be re-contacted in the future to participate in related studies. If you are contacted to participate in future surveys, you have the right to refuse. To document who completed the survey from your household, please enter your first name, last name, email, and phone number.

246. First Name:

247. Last Name:

248. What is the best phone number to reach you if we have more questions about your household?

This number will only be used to contact you about this study. We are prohibited from sharing, distributing, or selling your information to anyone outside this project.

() -

249. Please enter your email address.

You have reached the end of the survey. You will be re-contacted again each year about this same time to retake the survey. If any of your contact information changes in the next year please contact NORC via email or by phone at MACohort@NORC.org or 877-346-9979. It is also possible you may be re-contacted to participate in related studies. If you are contacted to participate in any future surveys you have the right to refuse. I'd like to thank you on behalf of the University of Massachusetts for the time and effort you've spent answering these questions. If you have any questions about this survey, you may contact Dr. Rachel Volberg at 413-545-6700.

Thank you again.

If you would like information regarding treatment resources, please contact:

Massachusetts Substance Abuse Information and Education Helpline 800-327-5050 TTY: 617-536-5872	National Alliance on Mental Illness 1-800-950-6264 Samaritans 877-870-4673 National Suicide Prevention Lifeline 1-800-273-8255 1-800-799-4889
Drug & Alcohol Treatment Hotline 800-662-HELP	

To help us contact you, please provide the names and contact information for three people who are likely to know where you can be reached. *Please do not include someone who lives in your household.*

Contact #1
Name

Address

Phone

Email

Contact #2
Name

Address

Phone

Email

Contact #3
Name

Address

Phone

Email



TO: Chair Cathy Judd-Stein, Commissioners Gayle Cameron,
Eileen O'Brien, Bruce Stebbins and Enrique Zuniga

FROM: Joseph E. Delaney

CC: Karen Wells, Interim Executive Director

DATE: July 27, 2020

RE: West Springfield Police and Fire Community Mitigation Fund Application

On June 25, 2020, the Massachusetts Gaming Commission (the Commission) deferred the decision on the West Springfield Police and Fire Community Mitigation Fund (CMF) application. The primary issues remaining are the “supplement” vs. “supplant” argument and the appropriateness of the costs. In addition, the Commission had several questions regarding the application, which were sent to the applicant. Their responses are attached.

While the responses to the questions provided some additional insight into the application, the question on whether these funds are supplementing West Springfield’s existing budget or supplanting funds from their budget still remains. As outlined in our original memo, an argument can be made either way. Over the intervening month, we have viewed the supplement argument in a more favorable light. Because West Springfield is losing grant funds, it is asking the Commission to supplement their existing funds to make up for this loss. When we think of supplanting funds, it is more typically replacing an existing source of funds with another source so that the money can be used elsewhere. This is not the case here. Therefore, we recommend that the Commission consider these funds supplementing the West Springfield budget.

The second issue that remains is whether the amount of funding is appropriate. MGL Ch 23k states that the CMF is to be used to offset costs associated with the operation of the casino. While we agree that the applicant has identified an impact associated with the casino, we are less clear on what the cost of that impact is. Absent a completed look back study, which is supposed to identify the costs associated with casino impacts, we cannot make a true assessment of the cost of the impact. We know the cost of the additional staff that West Springfield added, but that does not necessarily correlate to the cost of the impact. However, the \$200,000 request is only about 19% of the cost of those positions.



Massachusetts Gaming Commission

Since the completion of the look back study is the responsibility of MGM, we do not want to unnecessarily hold up funding to West Springfield. As a way of coming to a resolution on this matter, we are recommending that the Commission issue a one-time only grant in the amount of \$200,000 to West Springfield. This will assist them in absorbing the loss of grant funds in the short term. We also recommend that no additional funding be provided for these uses unless the completed look back study identifies impact costs in excess of the surrounding community payments received by West Springfield.



Massachusetts Gaming Commission

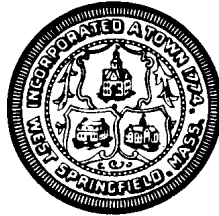
TOWN OF WEST SPRINGFIELD, MASSACHUSETTS

DEPARTMENT OF MUNICIPAL FINANCE OFFICE OF CHIEF FINANCIAL OFFICER

Municipal Office Building
26 Central Street
West Springfield, MA 01089

Sharon A. Wilcox
Chief Financial Officer/
Town Accountant

Phone: (413)263-3028



Sandra E. Wrona
Deputy Accountant/
Purchasing Agent

Fax: (413) 263-3029

July 17, 2020

Joseph E. Delaney
Katherine Muxie-Hartigan
Massachusetts Gaming Commission

Dear Mr. Delaney and Ms. Muxie-Hartigan:

I am providing the following responses to your questions regarding the Town of West Springfield's 2020 Specific Impact Grant application.

1. *How was the need for 16 additional personnel determined? Was there any kind of staffing study undertaken by the city that resulted in the 16 additional positions?*

A staffing study was not undertaken to determine the number of additional positions added to public safety. The positions added were determined as follows:

8 Firefighters: Eight firefighters were added to increase the City's Fire Department minimum manning from 14 members per group to 16 members per group. The Fire Department operations consist of four workgroups each group working an average of 42 hours per week. Prior to the City obtaining a SAFER Grant in 2018, each group was staffed with 16 members and that staffing allowed the Fire Department to run two ambulances. The addition of eight firefighters allowed the City to add two firefighters to each workgroup and therefore provided adequate staffing to run a third ambulance with each group. The addition of eight firefighters was determined via internal review of our minimum staffing requirements with a goal of adding a third ambulance to each workgroup. Due to the anticipated traffic impact and increased hotel/motel occupancy, the City determined it would be prudent to add a third ambulance to our service for the anticipated increase in call volume. Adding this third ambulance proved invaluable in allowing the Department to respond to the increased calls for service that followed the opening of the MGM facility.

4 Dispatchers: The City added four dispatchers to include a full complement of dispatchers on each shift. Prior to the addition of four positions, the overnight dispatch shifts were manned with police officers, thereby preventing these officers from undertaking regular patrols and other law enforcement duties. The City determined that it was beneficial to have trained dispatch personnel

working all shifts and therefore free police officers for the police work they were hired to do. The anticipated increase in calls to dispatch as a result of the opening of MGM Springfield would be better served with fully trained dispatch personnel in place. Ultimately, the City determined that four trained dispatchers were required through an internal review of the staffing necessary to fill all shifts.

4 Police Officers: Four police officers were added to the police department for traffic enforcement. It was determined through internal review that the addition of four police officers would provide necessary coverage for response to traffic related incidents and accident reconstruction resulting from the anticipated increase in motor vehicle traffic throughout the major traffic routes in the City as patrons travel to and from the MGM Springfield Casino.

2. *May we have a copy of the SAFER grant application that was the original funding source of the 16 positions?*

A copy of the SAFER Grant application is attached. The SAFER grant is applicable to only the 8 Firefighter positions.

3. *Can the city provide a breakdown on how they use funds currently coming to the town from their SCA with MGM?*

The City of West Springfield currently receives an annual payment of \$375,000 as mitigation for the impact of the MGM Casino to West Springfield. Currently, the full \$375,000 is allocated to public safety positions. The annual cost of the 16 positions described in our application for FY 2021 is \$1,061,737. With the expiration of the SAFER Grant funding for the 8 firefighters in January of 2021, the FY 2022 cost for the additional public safety personnel is estimated to be \$1,177,353 (plus any future negotiated cost of living increases). The current SCA annual payment of \$375,000 does not fully cover the current public safety costs and does provide funding for any other impacts, such as public works road maintenance. If the Commission approves West Springfield's \$200,000 grant request, West Springfield will still be paying over 50% of the FY 2021 cost of these positions, and that is without allocating any of the SCA payments to other impacts beyond public safety costs.

4. *Does the town expect to seek reimbursement for the public safety positions from MGM after completion of the look back study?*

The look back study with MGM has been halted as a result of the COVID-19 pandemic. This is through no fault of West Springfield, which timely provided all information requested by the consultant retained by MGM to undertake the look back study and has regularly inquired of the consultant regarding the status of the study. However, the City certainly intends to pursue funding for all costs identified as a result of the look back study.

5. *How has the City absorbed the additional costs of these positions since the grant expired?*

Funding from the SAFER Grant expires in January of 2021. The City's FY 2020 Operating budget funded the net cost of the 16 positions. The City currently plans to fund all 16 positions (net of SAFER Grant proceeds) in FY 2021, however as a result of the economic uncertainty that has resulted from the COVID-19 Pandemic, four vacant police positions have been frozen until the State releases the 2021 State Budget and the City determines the amount of State Aid that is

available.

The City respectfully submits that it acted prudently and in accordance with sound public safety planning principles in making the staffing decisions that underlie this grant request. In doing so, the City was able to address the increase in calls for service and other public safety needs that occurred subsequent to MGM's commencement of operations. Thank you for your time and your review of this grant application. I hope the responses provided answer your questions relative to our 2020 Specific Impact Grant application.

Sincerely,

A handwritten signature in black ink that reads "Sharon A. Wilcox". The signature is written in a cursive, flowing style.

Sharon A. Wilcox
Chief Financial Officer

Entire Application

Applicant's Acknowledgements

- * I certify the DUNS number in this application is our only DUNS number and we have confirmed it is active in SAM.gov as the correct number.
- * As required per 2 CFR § 25, I certify that prior to submission of this application I have checked the DUNS number listed in this application against the SAM.gov website and it is valid and active at time of submission.
- * I certify that the applicant organization has consulted the appropriate Notice of Funding Opportunity and that all requested activities are programmatically allowable, technically feasible and can be completed within the award's Period of Performance (POP).
- * I certify that the applicant organization is aware that this application period is open from 01/09 to 02/10/2017 and will close at 5 PM ET; further that the applicant organization is aware that once an application is submitted, even if the application period is still open, a submitted application cannot be changed or released back to the applicant for modification.
- * I certify that the applicant organization is aware that it is solely the applicant organization's responsibility to ensure that all activities funded by this award(s) comply with Federal Environmental planning and Historic Preservation (EHP) regulations, laws, and Executive Orders as applicable. The EHP Screening Form designed to initiate and facilitate the EHP Review is available at: http://www.fema.gov/media-library-data/1431970163011-80ce3cd907072a91295b1627c56d8fd2/gpd_ehp_screening_form_51815.pdf.
- * I certify that the applicant organization is aware that the applicant organization is ultimately responsible for the accuracy of all application information submitted. Regardless of the applicant's intent, the submission of information that is false or misleading may result in actions by FEMA that include, but are not limited to: the submitted application not being considered for award, an existing award being locked pending investigation, or referral to the Office of the Inspector General.
- * I certify that the applicant organization is aware that the grants awarded under this funding opportunity are provided a recruitment period, which begins when the application is approved for award. The recruitment period for grants awarded under the Hiring of Firefighters Activity is 180-days and the period of performance automatically starts after the recruitment period, regardless of whether the grantee has successfully hired the requested firefighters. The recruitment period for Recruitment & Retention of Volunteer Firefighters Activity is 90-days and the period of performance automatically starts after the recruitment period.
- * I certify that the applicant organization will, to the extent practicable, seek, recruit, and hire members of racial and ethnic minority groups and women to increase their ranks within their organization.
- * I certify that, if awarded under the Hiring of Firefighters Activity, the applicant organization, will assure a policy will be put into place, or is currently in place, ensuring that positions filled under this grant are not discriminated against, or prohibited from, engaging in volunteer firefighting activities in another jurisdiction during off-duty hours. (If applying under the Recruitment and Retention of Volunteer Firefighters Activity, this does not apply, however, in order to move forward in the application process, you must complete this question).

Signed by **William M Flaherty** on **2017-01-11 03:49:52.0**

Overview

* Are you a member, or are you currently involved in the management of the fire department or organization applying for this grant with this application?	
Yes, I am a member/officer of this applicant	

If you answered **No**, you must please complete the preparer information below. If you answered **Yes**, please skip the Preparer Information section.

Note: Fields marked with an asterisk (*) are required.

Preparer Information	
Preparer's Name	

Address 1	
Address 2	
City	
State	
Zip	- Need help for ZIP+4?
Primary Phone	Ext. Select
Email	

In the space below please list the person your fire department or organization has selected to be the **Primary Point of Contact** for this grant. This should be an officer, member, or employee of the fire department or organization applying for the grant that will see the grant through completion, has the authority to make decisions on and to act upon this grant application.

The Primary Contact, as listed below, is the person for which all exchanges of information will be made relative to the application; all information provided must be specific to the contact listed. The Primary Contact must be an employee of the fire department or organization applying for the grant and shall not be a grant writer or a non-employee of the fire department or organization.

In addition to the Primary Contact information, you will be asked to provide two (2) Alternate Points of Contact on the next page. The Alternate Contacts must be familiar with the application and must be able to answer any questions relative to this application in the event that Primary Point of Contact is unavailable. When you are finished, click the Save and Continue button below.

Reminder: Please list only phone numbers and an email address where we can get in *direct contact* with the respective point of contact(s). If this contact changes at any time during the period of performance please update this information.

Note: Fields marked with an asterisk (*) are required.

Primary Point of Contact	
* Title	Chief
Prefix	Select
* First Name	William
Middle Initial	M
* Last Name	Flaherty
* Primary Phone	413-263-3226 Ext. Type work
* Secondary Phone	413-739-4255 Ext. Type home
Optional Phone	Ext. Type Select
Fax	413-736-0087
* Email	wflaherty@townofwestspringfield.org

Contact Information

Alternate Contact 1 Information	
* Title	Deputy Chief
Prefix	N/A
* First Name	Michael
Middle Initial	A
* Last Name	Culver
* Primary Phone	413-263-3385 Ext. Type work
* Secondary Phone	413-567-7829 Ext. Type home
Optional Phone	413-237-3320 Ext. Type cell
Fax	413-736-0087
* Email	mculver@townofwestspringfield.org

Alternate Contact 2 Information	
* Title	Deputy Chief
Prefix	N/A
* First Name	Daniel
Middle Initial	E
* Last Name	Culver
* Primary Phone	413-263-3384 Ext. Type work
* Secondary Phone	413-737-0087 Ext. Type home
Optional Phone	Ext. Type Select
Fax	413-736-0087
* Email	dculver@townofwestspringfield.org

Applicant Information

EMW-2016-FH-00135

Originally submitted on 02/08/2017 by William Flaherty (Userid: wsfid)

Contact Information:

Address: 44 Van Deene Ave.

City: W. Springfield

State: Massachusetts

Zip: 01089

Day Phone: 4132633226

Evening Phone: 4137394255

Cell Phone: 4132460992

Email: wflaherty@townofwestspringfield.org

Application number is EMW-2016-FH-00135

Applicant Information	
* Organization Name	West Springfield, Town of
* What kind of organization do you represent?	All Paid/Career
If you answered "Combination" above, what is the percentage of career members in your organization?	%
* Type of Jurisdiction Served	City
If "Other", please enter the type of jurisdiction served	
* In what county/parish is your organization physically located? If you have more than one station, in what county/parish is your main station located?	Hampden County
SAM.gov (System For Award Management)	
* What is the legal name of your Entity as it appears in SAM.gov ? Note: This information must match your SAM.gov profile if your organization is using the DUNS number of your Jurisdiction.	West Springfield, City of
* What is the legal business address of your Entity as it appears in SAM.gov ? Note: This information must match your SAM.gov profile if your organization is using the DUNS number of your Jurisdiction.	
* Mailing Address 1	26 Central ST. STE 8
Mailing Address 2	
* City	West Springfield
* State	Massachusetts
* Zip	01089 - 3214 Need help for ZIP+4?
* Employer Identification Number (e.g. 12-3456789)	04-6001352

Note: This information must match your SAM.gov profile.	
* Is your organization using the DUNS number of your Jurisdiction?	Yes
* I certify that my organization is authorized to use the DUNS number of my Jurisdiction provided in this application. (Required if you select Yes above)	<input checked="" type="checkbox"/>
* What is your 9 digit DUNS number ?	079216669 (call 1-866-705-5711 to get a DUNS number)
If you were issued a 4 digit number (DUNS plus 4) by your Jurisdiction in addition to your 9 digit number please enter it here. Note: This is only required if you are using your Jurisdiction's DUNS number and have a separate bank account from your Jurisdiction. Leave the field blank if you are using your Jurisdiction's bank account or have your own DUNS number and bank account separate from your Jurisdiction.	
* Is your DUNS Number registered in SAM.gov (System for Award Management previously CCR.gov)?	Yes
* I certify that my organization/entity is registered and active at SAM.gov and registration will be renewed annually in compliance with Federal regulations. I acknowledge that the information submitted in this application is accurate, current and consistent with my organization's/entity's SAM.gov record.	<input checked="" type="checkbox"/>
Headquarters or Main Station Physical Address	
* Physical Address 1	26 Central ST. STE 8
Physical Address 2	
* City	West Springfield
* State	Massachusetts
* Zip	01089 - 3214 Need help for ZIP+4?
Mailing Address	
* Mailing Address 1	26 Central ST. STE 8
Mailing Address 2	
* City	West Springfield
* State	Massachusetts
* Zip	01089 - 3214 Need help for ZIP+4?
Bank Account Information	
* The bank account being used is: (Please select one from right)	Note: If this is selected, a 4 digit DUNS plus 4 is required if you answered "YES" to using the DUNS number of your Jurisdiction. Maintained by my Jurisdiction
Note: The following banking information must match your SAM.gov profile.	
* Type of bank account	Checking
* Bank routing number - 9 digit number on the bottom left hand corner of your check	011304478
* Your account number	2938008097
Additional Information	
* For this fiscal year (Federal) is your jurisdiction receiving Federal funding from any other grant program that may duplicate the purpose and/or scope of this grant request?	No
* If awarded, will your organization expend more than \$750,000 in Federal funds during your organization's fiscal year? If yes, your organization may be required to undergo an A-133 audit. <i>Under the Recruitment and Retention of</i>	No

<p><i>Volunteer Firefighters Activity</i>, reasonable costs incurred for an A-133 audit is an eligible expenditure and should be included in the applicant's proposed budget. Please enter audit costs only once in the "Request Details" section of the application.</p>	
<p>* Is the applicant delinquent on any federal debt?</p>	No
<p>If you answered "Yes" to any of the additional questions above, please provide an explanation in the space provided below (4000 characters) :</p>	

Applicant Characteristics (Part I)

<p>* Is this application being submitted on behalf of a Federal Fire Department or organization contracted by the Federal government which is solely responsible for the suppression of fires on Federal property?</p>	No
<p>* Please indicate the type of community your organization serves.</p>	Suburban
<p>* Please describe your organization and/or the community that you serve (2000 characters) .</p>	<p>The West Springfield Fire Department (WSFD) is located in southwestern Massachusetts, in Hampden County. The city has a population of 28,391 and is often referred to as "West Side" due to the fact that it is on the western side of the Connecticut River from Springfield, which has a population of 153,060 and is the 3rd largest city in Massachusetts, and which the WSFD responds to for primary mutual aid.</p> <p>The West Springfield Fire Department is a full time career department with 68 uniform members. Staffing consists of 1 Chief, 5 Deputy Chiefs, 14 Lieutenants and 48 Firefighters. Since 1985 all members have been required to attend and complete recruit training at the Massachusetts Firefighting Academy. Upon graduation they are trained to the Firefighter II level. We operate from 3 fire stations and provide 24/7/365 emergency fire/rescue coverage to our community. Line personnel work 24 hour shifts. All members are cross-trained in firefighting/EMS skills (first responder thru paramedic) and have completed NIMS and ICS training commensurate with their rank (ICS-200 thru ICS-400). The following information and statistics represent our department:</p> <p>A. In 2016, our department responded to 7,120 calls consisting of structure fires, search and rescue, medical emergencies, motor vehicle collisions, hazardous materials responses and many others. In 2015, call volume was 6,885 and in 2014, call volume was 6,451. That is an average of 6,819 incidents per year for the last three years. This is accomplished with minimal staffing and members cross-manning apparatus.</p> <p>B. Mutual aid responses in 2016 totaled 479 incidents. 305 calls were for aid received and 174 calls were for aid given.</p> <p>C. We responded to 3,894 ambulance incidents in 2016. These were all emergency transports, as we do not provide inter-facility transfers.</p> <p>D. Engine company medical assists in 2016 totaled 770.</p>
<p>* What is the square mileage of your first-due response area? Primary/First Due Response Area is a geographical area proximate to a fire or rescue facility and normally served by the personnel and apparatus from that facility in</p>	18

the event of a fire or other emergency and does not include daily or seasonal population surges.		
* What percentage of your primary response area is protected by hydrants?	85 %	
* Does your organization protect critical infrastructure?	Yes	
If Yes, please describe the critical infrastructure protected (3000 characters) .		
<p>Our department provides fire suppression and EMS to the following "critical infrastructures" in our city:</p> <p>1. The Eastern States Exposition -The Big E, one of the largest agricultural fairs in the Country, is a 17 day fair that regularly attracts in excess of 1 million visitors. In 2016, over 1.4 million people attended the Big E. Three of the 17 days had over 100,000 fairgoers. In excess of 100 shows are also held on the grounds of the Eastern States Exposition throughout the year. These are trade, commerce and agricultural shows. Fire prevention inspections, fire protection and EMS details are provided by the members of our department to the Big E and these shows.</p> <p>2. CSX Railyard and Intermodal Facility- The total Hazardous Materials traffic handled through this yard was 10,947 shipments in the first 3 quarters of 2014 alone. This number excludes intermodal shipments (numbers are per CSX Density Report). Within the intermodal facility, CSX re-distributes thousands of shipments annually. This includes intermodal tanks, trailers and containers on flat cars. CSX has spent millions of dollars in local improvements to accommodate an increased level of rail traffic and shipments. Amtrak passenger trains pass through our town daily.</p> <p>3. Essential Power- This is an electrical power generating plant on a 52 acre site. This plant generates approximately 230 megawatts to the New England power grid. The plant is fueled by natural gas and oil. The substation, which is owned by Eversource, is currently finishing up a \$58.5 million upgrade.</p> <p>4. Energy USA Propane- Propane storage facility consisting of 12 mounded propane tanks with a water capacity of 80,000 gallons each. Propane is delivered by both truck and rail. This is a "shared facility" with Columbia Gas of Massachusetts which provides additional gas into the grid during peak demand.</p> <p>7. West Springfield experiences extraordinary heavy average daily traffic volume (ADT) due to the major highways. Interstate 91, Interstate 90 Massachusetts Turnpike, U.S. Route 5, and U.S. Route 20 pass through our city. The combination of these major highways, U.S. Routes and the city's 148 miles of roadway account for in excess of 205,000 vehicles daily that use the roadway infrastructure within our city.</p> <p>8. There are over over 18 hotels/motels with 1,500+ rooms; 6,300+ single family houses; 885+ multi-family apartment units; 850+ commercial/industrial businesses. The town is approximately 70% residential and 30% business with thousands of acres of open/wooded land.</p> <p>9. Six bridges spanning 2 rivers connect our city with 3 other surrounding communities. Interstate 91 and Massachusetts Turnpike account for 2 of these bridges.</p> <p>In closing the community of West Springfield and its critical infrastructure presents many diverse and challenging emergency responses to the members of the West Springfield Fire Department.</p>		
(Percentages in three answers below must sum up to 100%)		
* How much of your primary response area is for agriculture, wildland, open space, or undeveloped properties?	10%	
* What percentage of your primary response area is for commercial and industrial purposes?	35 %	
* What percentage of your primary response area is used for residential purposes?	55 %	
* How many occupied structures (commercial, industrial, residential, or institutional) in your primary response area are more than three (3) stories tall? Do not include structures which are not regularly occupied such as silos, towers, steeples, etc.	16	
* What is the permanent resident population of your Primary/First-Due Response Area or jurisdiction served?	28391	
* Do you have a seasonal increase in population?	No	
If Yes what is your seasonal increase in population?		
* How many stations are operated by your organization?	3	
* Please indicate if your department has a formal automatic/mutual aid agreement with another community or fire department and the type of agreement that exists.	Mutual aid	
* What services does your organization provide?		
Advanced Life Support	Emergency Medical Responder	Rescue Operational Level

Basic Life Support

Haz-Mat Operational Level
Haz-Mat Technical LevelRescue Technical Level
Structural Fire Suppression
Wildland Fire Suppression

Active Firefighting Staff, use these definitions to answer the questions about "firefighter" positions.

Active Firefighter Position	An individual having the legal authority and responsibility to engage in fire suppression; being employed by a fire department of a municipality, county, or fire district; being engaged in the prevention, control, and extinguishing of fires; and/or responding to emergency situations in which life, property, or the environment is at risk. This individual must be trained in fire suppression, but may also be trained in emergency medical care, hazardous materials awareness, rescue techniques, and any other related duties provided by the fire department.
Full-time Paid Firefighter Position	Full-time positions are those that are funded for at least 2,080 hours per year (i.e., 40 hours per week, 52 weeks per year.) The program office will also consider funding the sharing of a full-time position with sufficient justification. A job-share position is a full-time position that is occupied by more than one person.
Part-time Paid Firefighter Position	Part-time paid firefighters receive pay for being on duty at the fire station, whether or not they respond to any alarms. They may or may not receive benefits.
Volunteer Firefighter Position	Volunteer firefighters receive no financial compensation for their services other than life/health insurance, workers compensation insurance, and/or stipend per call.

SAFER intends to improve local fire departments' staffing and deployment capabilities so they may more effectively respond to emergencies. With the enhanced staffing, a SAFER grantee's response time will be reduced sufficiently and an appropriate number of trained personnel will be assembled at the incident scene. The following questions are designed to help us understand the staffing changes that have occurred in your department over the past several years and how the grant will assist in improving your staffing levels.

Use the following definitions when completing the table below.

Total # of Operational Career Personnel — this number represents the total number of **authorized and funded active, full-time uniformed/operational career personnel** employed by your department on the dates indicated. (Note: only operational personnel — including operational officers - should be included)

Operational Officers — of the operational career personnel indicated in the "Total # of Operational Career Personnel" question, how many of those serve in **operational officer-level (both command and company) positions**?

NFPA Compliance — of the "Total # of Operational Career Personnel" indicated, how many are assigned to **field or response apparatus positions that directly support the department's compliance** with NFPA 1710 (Section 5.2.4.1 — Single-Family Dwelling Initial Full Alarm Assignment Capability) or NFPA 1720 (Section 4.3 — Staffing and Deployment)? (**Note:** Officers should **only** be included in this number if they **directly support the department's compliance** with NFPA 1710 or NFPA 1720 compliance)

Note: The number of **career personnel** in any of these fields should include positions which are job-shared. Job-shared positions will be counted as one (1) regardless of how many personnel fill those positions.

For more information regarding these standards please see the Notice of Funding Opportunity or go to www.nfpa.org

	Total # of Operational Career Personnel	# Operational Officers	# NFPA Support
* Staffing levels at the start of the application period	68	16	63
* Staffing levels at one year prior to the start of the application period	68	16	63
* Staffing levels at two years prior to the start of the application period	68	16	63
* If awarded this grant, what will the staffing levels be in your department? (Whole Numbers only)	76	16	71

* Please provide details on the department's existing staffing model (i.e., number of shifts, number of positions per shift, contracted work hours, etc.) (3000 characters)

The West Springfield Fire Department is a full time career department with 68 uniform members. Staffing consists of 1 Chief, 5 Deputy Chiefs, 14 Lieutenants and 48 Firefighters. Since 1985 all members have been required to attend and complete recruit training at the Massachusetts Firefighting Academy. Upon graduation they are trained to the Firefighter II level. Newly promoted Lieutenants attend Fire Officer 1 and newly promoted Deputy Chiefs attend the Chief Fire Officer Management Program. Both of these promotional courses are through the Massachusetts Firefighting Academy. We operate from 3 fire stations and provide 24/7/365 emergency fire/rescue coverage to our community. The line personnel staff four duty shifts that work 24 hours on, 24 hours off, 24 hours on and five days off. The minimum staffing of the department is 14 personnel, with a full shift of 16. A Lt. and Two FF's staff and engine at stations 2 and 3, with the remaining personnel assigned to HQ. Minimum staffing at HQ consists of 1 Dep. Chief, a Lt. and 2 FF's on an engine, 2 FF/paramedics on an ambulance, 1 aerial driver/operator and 1 emergency medical dispatcher. All members are cross-trained in firefighting/EMS skills (first responder thru paramedic). All members have completed NIMS and ICS training commensurate with their rank (ICS-200 thru ICS-400).

Three staff positions: a Deputy Chief in Fire Prevention, a Lieutenant assigned as Superintendent of Fire Alarms and a Lieutenant assigned as EMS Training Officer, regularly provide coverage on weekday day shifts on the line. The Fire Prevention Deputy will assume responsibilities for both his office and the on-duty group. The Superintendent of Fire Alarms will assume a fire alarm dispatch or Company Officer position and the EMS Training Officer will also assume the Company Officer position. This policy has been in effect for years in an attempt to save overtime funds.

Limited staffing and additional responsibilities mean members continue to cross-man apparatus. When the 2nd ambulance is dispatched to respond to a medical, the 2 personnel are taken off of the engine and it is placed out of service. The Lt. assigned to the engine then assumes the Lt. position on the aerial with the driver/operator. Ladder 1 then has a 2 person crew. Due to our call volume, this occurs often on a daily basis.

With the exception of one EMS Training Officer position, which was added 3 years ago, the WSFD is currently operating with the same number of line personnel that we were at 23 years ago, in 1994.

* Does your department utilize part-time paid firefighters?	No
If Yes, please provide details on how the part-time firefighters are used within your department to include the number of part-time firefighters, the number of full-time, NFPA compliant positions these part-time firefighters occupy, if applicable, and how they are scheduled to meet your staffing needs (3000 characters) .	
* Does your department utilize reserve/relief paid firefighters?	No
If yes, please provide details on how the reserve/relief firefighters are used within your department to include the number of reserve/relief firefighters, the number of full-time, NFPA compliant positions these part-time firefighters occupy, if applicable, and how they are scheduled to meet your staffing needs (3000 characters) .	
* Do you currently report to the National Fire Incident Reporting System (NFIRS)? Note: You will be required to report to NFIRS for the entire period of the grant.	Yes

Applicant Characteristics (Part II)

	2016	2015	2014
* What is the total number of fire-related civilian fatalities in your jurisdiction over the last three calendar years?	0	0	0
* What is the total number of fire-related civilian injuries in your jurisdiction over the last three calendar years?	1	0	0
* What is the total number of line of duty member fatalities in your jurisdiction over the last three calendar years?	0	0	0
* What is the total number of line of duty <u>member injuries</u> in your jurisdiction over the last three calendar years?	4	8	2
* What is your department's operating budget (i.e., personnel, maintenance of apparatus, equipment, facilities, utility costs, purchasing expendable items, etc.) for the current (at time of application) fiscal year?	Fiscal Year: 2017 Budget: 6042375		
* What was your department's operating budget (i.e., personnel, maintenance of apparatus, equipment, facilities, utility costs, purchasing expendable items, etc.) for the 2001, 2002, and 2003 fiscal years?	Fiscal Year 2003 Budget: 3953797 Fiscal Year 2002 Budget: 3830901		

If you are unable to provide the information, please enter 0 into each budget field and explain, in the Financial Need section of the narrative, why you are unable to provide this information.	Fiscal Year 2001 Budget: 3722068
* What percentage of your operating budget is dedicated to personnel costs (salary, benefits, overtime costs, etc.)?	89 %
* Does your department have any rainy day funds, rainy day reserves, or emergency funds?	No
If yes, what is the total amount currently set aside?	
If yes, what are the funds ear-marked for (1000 characters) ?	
* What percentage of your annual operating budget is derived from: Enter numbers only, percentages must sum up to 100%	

<u>Taxes?</u>	76 %
Bond Issues?	0 %
<u>EMS Billing?</u>	24 %
Grants?	0 %
Donations?	0 %
Fund drives?	0 %
<u>Fee for Service?</u>	0 %
Other?	0 %
If you entered a value into the "Other" field (other than 0), please explain (1000 characters) :	

* How many **frontline** vehicles does your organization have in each of the types or classes of vehicle listed below that respond to first alarm assignments in support of NFPA 1710/1720? You must include vehicles that are leased or on long-term loan as well as any vehicles that have been ordered or otherwise currently under contract for purchase or lease by your organization but not yet in your possession. If you have multiple vehicles of the same type which have a different number of riding positions, please use the "average" number and provide additional information in the text box provided. Enter numbers only and enter 0 if you do not have any of the vehicles below.

Type or Class of Vehicle	Number of Frontline Vehicles	Number of Available Riding Positions per Frontline Vehicle	Number of Filled Riding Positions per Frontline Vehicle per first alarm assignment
Engines or Pumpers (pumping capacity of 750 gpm or greater and water capacity of 300 gallons or more): Pumper, Pumper/Tanker, Rescue/Pumper, Foam Pumper, CAFS Pumper, Type I or Type II Engine Urban Interface	3	12	6
Ambulances for transport and/or emergency response	3	6	2
Tankers or Tenders (pumping capacity of less than 750 gallons per minute (gpm) and water capacity of 1,000 gallons or more):	0	0	0
Aerial Apparatus: Aerial Ladder Truck, Telescoping, Articulating, Ladder Towers, Platform, Tiller Ladder Truck, Quint	2	8	4
Brush/Quick attack (pumping capacity of less than 750 gpm and water carrying capacity of at least 300 gallons): Brush Truck, Patrol Unit (Pickup w/ Skid Unit), Quick Attack Unit, Mini-Pumper, Type III Engine, Type IV Engine, Type V Engine, Type VI Engine, Type VII Engine	1	4	0
Rescue Vehicles: Rescue Squad, Rescue (Light, Medium, Heavy), Technical Rescue Vehicle, Hazardous Materials Unit	0	0	0

Additional Vehicles: EMS Chase Vehicle, Air/Light Unit, Rehab Units, Bomb Unit, Technical Support (Command, Operational Support/Supply), Hose Tender, Salvage Truck, ARFF (Aircraft Rescue Firefighting), Command/Mobile Communications Vehicle	1	1	1
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Please use this comments section if you wish to provide any additional information with regards to the **Type or Class of Vehicle** section above (2000 characters) .

Department Call Volume

	2016	2015	2014
* Summary of responses per year by category (Enter whole number only. If you have no calls for any of the categories, Enter 0)			
Fire - NFIRS Series 100	108	130	125
Overpressure Rupture, Explosion, Overheat (No Fire) - NFIRS Series 200	3	1	5
Rescue & Emergency Medical Service Incident - NFIRS Series 300	5991	5614	5173
Hazardous Condition (No Fire) - NFIRS Series 400	128	158	173
Service Call - NFIRS Series 500	285	310	303
Good Intent Call - NFIRS Series 600	207	215	234
False Alarm & False Call - NFIRS Series 700	388	446	423
Severe Weather & Natural Disaster - NFIRS Series 800	0	1	1
Special Incident Type - NFIRS Series 900	10	10	14
Total	7120	6885	6451

FIRES

* How many responses per year by category? (Enter whole number only. If you have no calls for any of the categories, Enter 0)

Of the NFIRS Series 100 calls, how many are "Structure Fire" (NFIRS Codes 111-120)	57	66	74
Of the NFIRS Series 100 calls, how many are "Vehicle Fire" (NFIRS Codes 130-138)	11	15	31
Of the NFIRS Series 100 calls, how many are "Vegetation Fire" (NFIRS Codes 140-143)	25	27	13
Total	93	108	118
What is the total acreage of all vegetation fires?	4	5	9

RESCUE AND EMERGENCY MEDICAL SERVICE INCIDENTS

* How many responses per year by category? (Enter whole number only. If you have no calls for any of the categories, Enter 0)

Of the NFIRS Series 300 calls, how many are "Motor Vehicle Accidents" (NFIRS Codes 322-324)	313	218	210
Of the NFIRS Series 300 calls, how many are "Extractions from Vehicles" (NFIRS Code 352)	3	1	11
Of the NFIRS Series 300 calls, how many are "Rescues" (NFIRS Codes 300, 351, 353-381)	69	291	179
How many EMS-BLS Response Calls	510	1336	1484
How many EMS-ALS Response Calls	3482	2487	2254
How many EMS-BLS Scheduled Transports	0	0	0
How many EMS-ALS Scheduled Transports	0	0	0
How many Community Paramedic Response Calls	0	0	0
Total	4377	4333	4138

MUTUAL AND AUTOMATIC AID

* How many responses per year by category? (Enter whole number only. If you have no calls for any of the categories, Enter 0)

How many times did your organization receive Mutual Aid?	305	348	304
How many times did your organization receive Automatic Aid?	0	0	0
How many times did your organization provide Mutual Aid?	174	189	197
How many times did your organization provide Automatic Aid?	0	0	0
Of the Mutual and Automatic Aid responses, how many were structure fires?	10	12	46

Request Details

The activity for your organization is listed in the table below.

Activity	Number of Entries	Total Cost
Hiring of Firefighters	1	2031552

Hiring of Firefighters

* 1. Select which line-item below best describes your organization and the NFPA standard you are attempting to meet.

NFPA Requirements

Check One	NFPA Standard (see the Notice of Funding Opportunity for more detail regarding these standards)	Department Characteristics	Demographic	Assembly Staffing	Response Time	Frequency of Time
X	1710	Career	With Aerial	15	8 min	90%
	1710	Career	Without Aerial	14	8 min	90%
	1720 - Urban	Urban Combo/Vol	> 1,000 pop/square mile	15	9 min	90%
	1720 - Suburban	Suburban Combo/Vol	500 - 1,000 pop/square mile	10	10 min	80%
	1720 - Rural	Rural Combo/Vol	< 500 pop/square mile	6	14 min	80%
	1720 - Remote	Remote Combo/Vol	Travel > 8 mi	4	n/a	90%

* 2. Given your **current staffing** levels, how often does your department meet the NFPA assembly requirements as indicated in the table above for the department's primary/first due response area?

NOTE: If your department utilizes overtime to fill positions to ensure you are meeting applicable NFPA staffing and deployment standards, you will want to remove the number of positions filled by overtime from your calculations.

Rarely (1 to 19%)

[Help](#)

* 2a. If awarded the number of positions requested in this application, how often do you anticipate that your department will meet the NFPA assembly requirements as indicated in the table above?

Most of the Time (80 to 99%)

[Help](#)

* 3. Given your **current staffing** levels and **without** using overtime to fill vacant positions, what is the average actual staffing level on your first arriving engine company or vehicle capable of initiating suppression activities on the number of structure fires indicated in the "Department Call Volume" section of your application? (Up to one decimal i.e., 2.5)

3

NOTE: If your department utilizes overtime to fill positions to ensure you are meeting applicable NFPA staffing and deployment standards, you will

want to remove the number of positions filled by overtime from your calculations.	
* 3a. If awarded the number of positions requested in this application, what will be the average actual staffing level on your first arriving engine company or vehicle capable of initiating suppression activities on the number of structure fires indicated in the "Department Call Volume" section of your application? (Up to one decimal i.e. 2.5)	3.5
* 4. Please describe the departments hiring practices and timelines including how long after award will you be able to start a recruit class and how many recruits can be trained in one class. If you are requesting more positions than can be trained in one recruit class, please discuss when you will be able to hold the second class. If your department will need governing body approval before the award can be accepted, please be sure to include details on the timeline needed for acceptance (2000 characters).	<p>It is the policy of the City of West Springfield to afford equal opportunity employment to all qualified persons in accordance with Massachusetts Civil Service rules and regulations.</p> <p>Eligible candidates for hire on the WSFD are selected from the Civil Service lists provided by the state of Massachusetts. The candidates are placed on these lists according to their score, which is a combination of the civil service firefighter's entrance exam score and physical abilities test score. Candidates are also placed on these lists according to their veteran/veteran disability status. The candidates are then notified through the West Springfield HR Dept. of interview dates with the Public Safety Commission. Prior to the interviews with the Public Safety Commission, the candidates are interviewed internally by the Chief and five Deputy Chiefs. Background checks, previous employment and personal references are reviewed and verified prior to these interviews. A recommendation from the Chief and Deputy Chiefs is made to the Public Safety Commission, who then give a written recommendation to the Mayor who is the appointing authority.</p> <p>All new hires are required to successfully complete a NFPA 1582 pre-employment physical, a psychological exam and physical agility test prior to the start of employment. As a condition employment, all new hires must also successfully complete the 10-week Massachusetts Firefighting Academy Recruit Training Program. Upon graduation of the MFA, the new hires will be certified to the Firefighter I/II level. The state of Massachusetts opened a second firefighting academy last year in our neighboring city of Springfield. This Academy runs 2 recruit training programs each year, so we would have the opportunity to stagger the new hires. New hires begin work immediately and from date of hire to date of academy completion is approximately 6 months.</p>
* 5. Is your request for hiring firefighters based on a risk analysis and/or a staffing needs analysis?	Yes
5a. If Yes, describe how the analysis was conducted (1000 characters).	The WSFD conducted an internal staffing needs analysis in 2016. This analysis was based on call volume, response times, population, coverage area and staffing levels of fire departments of similar communities. As a result of this survey, it was determined that our department was understaffed and that an additional 8 firefighters were necessary in order to maintain proper coverage and response needs of our community. The Chief proposed this staffing increase to the Mayor, who was

	receptive to the additional staffing, but due to lack of funds, was unable to fill any of the needed positions. Currently, due to the continued lack of available funds, the Mayor has requested the submission of this SAFER grant. A SAFER grant award for these positions at this time would allow our department the ability to transition into the higher staffing numbers and allow the Mayor the ability to allocate funds to maintain these positions after the period of performance of the grant.
* 6. If awarded a grant, will you provide the new recruits with entry-level physicals in accordance with NFPA 1582, Standard on Comprehensive Occupational Medical Program for Fire Departments 2003 Edition, Chapter 6?	Yes, NFPA 1582 compliant
* 7. Do you currently provide annual medical/physical exams in accordance with NFPA 1582, Standard on Comprehensive Occupational Medical Program for Fire Departments 2003 Edition, Chapter 6?	No
* 8. Will the personnel hired meet the minimum local or State EMS training and certification requirements, as designated by your agency?	Yes
* 9. Does your department currently have a policy in place to recruit and hire veterans?	Yes
9a. If yes, please provide a brief description of the policy in place (1000 characters).	The West Springfield Fire Dept. hires all new candidates IAW Civil Service Rules and Regulations. It is Mass. Civil Service policy that disabled veterans and veterans be placed at the top of the eligible hire list. During review of applications in the hiring process, military experience is positively credited toward the applicant as work experience and credit to personal character. Veterans are given preference among equally qualified candidates.
* 10. Is it your department's intent to sustain the positions filled under this grant after the completion of the period of performance?	Yes
10a. If yes, please provide a brief description on how the positions will be sustained.	Sustainability of these positions will come from a number of sources. First, would be the reduction of overtime cost. We have already depleted the \$175,000 budgeted for overtime for the fiscal year in order to maintain our minimum staffing requirements. Reduction of LOD injury increases available staff, thereby decreasing the need for overtime. Savings on insurance costs associated with LOD payments is an additional savings that can go towards the sustainability of the new positions. Also, the additional personnel will allow us the ability to staff a third ambulance and recognize approximately \$80,000 in annual revenue. This revenue will be placed in the ambulance enterprise fund, which will further be used to assist in maintaining these positions in the future. Finally, at the completion of a new casino in 2018 in our neighboring city of Springfield, the Mayor will have the ability to use mitigation funds from this casino to further assist in the sustainability of these positions.

Budget Item

As you are aware, grants awarded under the *Hiring of Firefighters*

Activity requires grantees to maintain their staffing levels and incur no lay-offs during the period of performance of the grant. Therefore, it is imperative that your department have the support of your governing body.

In order to ensure that there is a clear understanding of the long-term obligations of a SAFER grant and that, if awarded, all parties involved are committed to fulfilling those requirements upon acceptance of the award; we are requesting a letter from your governing body stating their commitment of the above requirement.

The letter should be prepared on your governing body's letterhead and addressed to:

Catherine Patterson, Branch Chief
Assistance to Firefighters Grants Branch

If you have received the letter, you may attach it here. **(Note: only .doc and .pdf files will be accepted)**

If you do not have the letter at this time, you may submit a signed copy of the letter as soon as you are able via fax to 1-866-274-0942 or via e-mail to firegrants@fema.dhs.gov.

◆ File Name: Mayor Reicheltns SAFER Letter.pdf

Description:

Name	Description
Mayor Reicheltns SAFER Letter.pdf	

* How many full-time firefighter positions, including job-shares, are you requesting?

"Full-time" is considered 2,080 hours or more worked per year and entitles the employee to receive benefits earned by the other full-time employees in the organization. "Job-share" is the term used to describe the hiring of more than one person to fill one full-time position. Part-time positions are less than 2,080 hours per year. Often part-time employees do not earn benefits or do not earn them at the same rate or level as full-time employees

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If you are requesting to fund a **full-time position(s)** that will be "shared" by more than one individual (i.e., job-shared), please indicate how many individuals will fill that position, how they will be used and scheduled to fill the position(s), and provide an explanation as to why the position will be shared. (800 characters)

* Currently, what are the usual annual costs of a first-year firefighter in your department?

"Usual annual costs" include base salary and the typical benefits package offered to a first-year firefighter.

Annual Salary:	\$ 62702
Annual Benefits:	\$ 21946

* What costs are included in the typical benefits package your department provides to first-year firefighters (2000 characters) ?

Benefits offered to the employees of the West Springfield Fire Department are health Ins., pension, medicare, vacation time, sick time and holiday time. Lieutenants and Firefighters are members of the Local Union, which include membership in the IAFF and PFFM.

Budget

Hiring of Firefighters:

There is a three-year period of performance for grants awarded under the Hiring of Firefighters Activity. The amount of Federal funding provided to a recipient for hiring a firefighter in any fiscal year may not exceed -

- **Year One: 75 percent of the usual annual costs of a first-year firefighter as provided in the Request Details section;**
- **Year Two: 75 percent of the usual annual cost of a first-year firefighter as provided in the Request Details section;**
- **Year Three: 35 percent of the usual annual cost of a first-year firefighter as provided in the Request Details section.**

Review and confirm the budget information below. If you need to change any of the budget amounts on the matrix, you will need to update the salary and benefit information on the previous Request Details screen.

When you are finished, press the *Save and Continue* button below.

Budget Matrix				
	First 12-Month Period	Second 12-Month Period	Third 12-Month Period	Total
Personnel	501,616	501,616	501,616	1,504,848
Benefits	175,568	175,568	175,568	526,704
Total:	677,184	677,184	677,184	2,031,552
Total Applicant Share	169,296	169,296	440,170	778,762
Total Federal Share	507,888	507,888	237,014	1,252,790

Narrative Statement for Hiring of FireFighters

* Element #1 - Project Description (30%):

* 1a. Why does the department need the positions requested in this application? If your request is based on a needs assessment or Insurance Services Office rating, please provide details of those outcomes. (3000 characters)

The West Springfield Fire Department is requesting funding under the SAFER Grant to hire (8) full-time firefighters to bring us into NFPA 1710 compliance, increase the life safety of our citizens and department personnel and improve our ability in keeping up with the increased service demands of our community.

The WSFD is currently operating at the same staffing level we were at 23 years ago, in 1994. Although population, call volume and new construction have increased substantially, the number of line personnel on the fire department remains unchanged. Our call volume in 2016 was 7,120, which is over double the call volume of 3,482 back in 1994. As a result of the steady increase of service demands placed on our department over the years, we have had to continually adapt to doing more with fewer resources.

Due to declining revenues at both the local and state level, as well as extreme financial limitations in our city, we are unable to fund these positions from within our annual operating budget. The WSFD has been proactive in trying to fill the gap for proper and safe staffing, but despite these efforts, we are still forced to respond to incidents with less than adequate personnel, severely compromising the establishment of effective and safe fire suppression operations.

Firefighters continue to be placed in dangerous environments without proper backup or establishment of a RIT. Priority task assignments at a fire incident are delayed and the firefighters we do have on scene are required to carry out multiple tasks simultaneously, reducing our effectiveness and capabilities in maintaining life safety, incident stabilization and property conservation. Inadequate staffing levels on emergency incidents result in increased workloads and physical exertion, leading to stress, fatigue and an increase in LOD injuries and illness. Responding our second ambulance for a medical call, results in taking an engine out of service. This increases our response times by having to respond an apparatus out of district or calling for mutual coverage, further increasing the risk of injury or death of our citizens and firefighters.

The WSFD conducted an internal staffing needs analysis in 2015. This analysis was based on call volume, response times, population, coverage area and staffing levels of fire departments of similar communities. As a result of this survey, it was determined that our department was understaffed and that an additional 8 firefighters were necessary in order to maintain proper coverage and response needs of our community. A SAFER grant award for these positions at this time would be an ideal opportunity to transition into the adequate staffing level and allow the Mayor and city officials the ability to allocate funds to maintain these positions after the completion of the period if performance Continued operations at our current staffing level continue to have a severe detrimental impact in our ability to carry out our daily operations.

* 1b. How will the positions requested in this application be used within the department (i.e., 4th on engine, open a new station, eliminate browned out stations, reduce overtime)? What are the specific benefits the positions will provide to the department and community? (2000 characters)

The additional firefighters will have a positive impact on the West Springfield Fire Department and citizens of our community, as well as address numerous shortfalls within the department.

First, the positions will bring us in compliance with NFPA 1710 (section 5.2.4.2) Initial Full Assignment Capability recommendation of 15 personnel on the fire scene within 8 minutes 90% of the time. We would have the ability to increase our minimum staffing from 14 to 16 personnel. With a minimum staffing to 16 personnel, one emergency medical dispatcher would remain in dispatch while the remaining 15 members would be available to respond to all fire calls. This would also allow us the capability to implement a rapid intervention crew and not have to rely on mutual aid resources to carry out this responsibility of protecting our own. In addition, these positions would allow us the ability to add a 4th member to both our engine and ladder companies on all four groups at our fire headquarters. Resources from this station responded to 5,046 out of 7,120 incidents in 2016.

Second, having additional personnel on scene translates directly into reduced LOD injuries that may result from having to multitask due to lack of adequate personnel. The reduction of LOD injuries would have a direct impact in reducing our overtime expenditures significantly.

And most importantly, these positions will greatly enhance the safety and protection of our members, as well as the citizens of our community. With the ability to provide adequate manpower on the initial alarm assignment, this will reduce the risk of more severe fires to the community and improve the safety and survival of both firefighters and civilians. With compliance of 1710(section 5.2.4.2) and the addition of 4 personnel on the apparatus at HQ, we would have the ability to provide an increased level of life safety, incident stabilization and property conservation to the city of West Springfield

*** 1c. Please describe how the awarding of this grant would enhance the department's ability to protect the critical infrastructure discussed in the Applicant Characteristics section of the application. (1000 characters)**

The WSFD protects numerous critical community and regional based infrastructure within the city. The additional positions will be used to staff a 4 man engine and aerial at HQ, which covers the majority of our critical infrastructure within the city. Some of this critical infrastructure is: a CSX railyard and intermodal facility with thousands of hazmat shipments daily, a 230 megawatt regional electrical power generating plant on a 52acre site, a propane storage facility of 12-80,000 gal. mounded tanks, and the Eastern States Exposition fairgrounds, which attract over 1.5 million people annually over a 17 day period. These are all located in HQ's primary response district. In addition, these positions will be used to bring the WSFD in compliance with NFPA 1710 (5.2.4.2) recommendation of 15 personnel on scene within 8 min. on 90% of all full alarm assignments, providing protection of all critical infrastructure within the city in order for them to operate safely and efficiently.

***Element #2 - Impact on Daily Operations (30%):**

*** 2a. How are the community and the current firefighters employed by the department at risk without the positions requested in this application? How will that risk be reduced if awarded? (2000 characters)**

Currently, our inadequate staffing levels at emergency incidents create an environment that is unsafe for our responders and fosters greater risks to the community. The limited manpower on initial arriving apparatus prevents us from performing critical life safety and property conservation operations. Due to our current staffing level, we do not have the ability to respond a 4 person engine on the first arriving company. This has a direct impact on our ability to carry out life saving measures with our first engine on scene. With the additional firefighters, we would have the ability to respond both a 4-person engine and aerial out of our busiest station on 90% of all fire calls. With the 4 personnel on the aerial, we would also have the ability to establish a RIT team to provide immediate protection of the first arriving engine company. These additional personnel would allow our crews to enter IDLH environments and search for victims faster and with less risk, providing the greatest chance of survival for people trapped by fire. Also, the increased staffing would allow us the ability to complete more fire ground operations simultaneously and provide incident stabilization and mitigation in a shorter period of time. As proven in the Report on Residential Fireground Field Experiments, NIST Tech.Note 1661, fire risks grow exponentially and each minute of delay is critical to the safety of the occupants and firefighters, and is directly related to property damage. Time is of the essence in structure fires and having the additional personnel available to fight a fire in its incipient phase dramatically decreases the risks of injury and death of victims and firefighters, as well as reduce the amount of property damage. Structures lost as a result of fire reduces the tax base of the city, affecting other community and social services that are funded by the city.

*** 2b. What impact will the positions requested in this application have on the departments NFPA compliance, if awarded? (2000 characters)**

The additional FF positions will positively impact the WSFD's daily operations and bring us into compliance with NFPA 1710 (Section 5.2.4.2) Initial Full Alarm Assignment Capability, allowing us the ability to respond 15 personnel

on an initial full alarm assignment within a 8 minute travel time to 90% of all structure fires. We currently operate at a minimum staffing of 14 personnel, but 1 Emergency Medical Dispatcher remains in the dispatch center in order to provide life-saving instructions for 911 calls. In addition, when there is a second medical call, the FF's assigned to the engine at HQ staff and respond to the medical call in our second ambulance, which takes the engine out of service. With these personnel unavailable to respond to fire calls, this reduces our initial full alarm assignment to only 9 personnel. This happens on a daily basis.

The 2 additional positions for each of the 4 duty groups would allow us the ability to staff both our engine and aerial out of HQ with 4 personnel when we are fully staffed. By increasing our minimum staffing to 16, not only would we not have to take an engine out of service for a second medical call, but it would also allow us the ability to respond with the NFPA 1710 recommendation of 15 personnel at structure fires.

As proven in the Report on Residential Fireground Field Experiments, NIST Tech. Note 1661, four-person firefighting crews were able to complete 22 essential firefighting and rescue tasks in a typical residential structure 25% faster than three-person crews. One of those essential tasks we would have the ability to deploy immediately with the additional positions would be a RIT. With the proper staffing on fire scenes and the ability to carry out multiple tasks simultaneously, victims of fire have a better chance of survival and by bringing us into NFPA 1710 compliance, we have the ability to provide a higher level of protection to both both our citizens and our own firefighters.

***Element #3 - Financial Need (30%):**

*** 3a. Please provide additional details on the department's current operating budget. This must include an income verse expenses breakdown of the current annual budget indicated in Applicant Characteristics section of the application. If you were unable to provide the department's operating budget for the 2001, 2002, and 2003 fiscal years, please provide details on why you were not able to provide the information. (2000 characters)**

The West Springfield Fire Department has a current operating budget of \$6,042,375, of which 89% is dedicated for personnel costs. The remaining 11% is utilized for the daily operations of the fire department such as building maintenance, apparatus maintenance and repair, fuel, PPE, tools/equipment, station supplies and training. Our revenue by source is as follows: tax levy- 69%, state aid- 5%, local receipts (ambulance)- 24.6% and other available- 1.4%. If it were not for the ambulance receipts, our current staffing would not be possible, as 10.5 of our current firefighter positions are funded through our ambulance enterprise fund. Allocation of the funding generated from both the tax levy and local receipts is at the discretion of the Mayor, with the option of allocating these funds elsewhere as necessary, which has been the case in years past.

Our city is subject to Proposition 2 ½ which limits the annual increase from the previous year's property tax level. Property tax is our largest revenue generator to fund our municipal budget. Due to the tax levy limitations imposed by Proposition 2 ½, the ability to raise additional revenue through property tax does not exist. Proposition 2 ½ is a Massachusetts statute which limits property tax increases by Massachusetts municipalities. The rising costs of health insurance continue to absorb the majority of this 2 ½ % increase each year.

Due to declining revenues at both the local and state level, the Mayor and City Council have requested we level fund our fire department budget for the 16th consecutive year. The Mayor has also requested from the Chief, budget scenarios reflecting a 5% reduction and level funded figures, due to the uncertainty of funds at both the state and local level. Only 19% of all capital improvement requests are currently being funded by the town. Because of extreme financial limitations in our city we are unable to fund these positions from within our annual operating budget.

*** 3b. Please describe the department's budget shortfalls and the inability to address the financial needs without federal assistance. What other actions have you taken to obtain funding elsewhere (i.e., state assistance programs, other grant programs, etc.)? (2000 characters)**

The WSFD is financially constrained by the continuing demand to keep the tax base within the community at the very minimum and provide a cost-effective emergency based service. Our revenue by source is as follows: tax levy - 69%, state aid- 5%, local receipts- 24.6% and other available 1.4%. Our town is subject to Proposition 2 ½ which limits the annual increase from the previous year's property tax level. Property tax is our largest revenue generator to fund our municipal budget. Due to the tax levy limitations imposed by Proposition 2 ½, the ability to raise additional revenue through property tax does not exist. Proposition 2 ½ is a Massachusetts statute which limits property tax increases by municipalities. The rising costs of health insurance continue to absorb the majority of this 2 ½ % increase each year. West Springfield's unemployment rate was 5.6% in 2015. From 2011-2014, 11% of the town's residents were living below the poverty level. During this same time, the average median household income in Massachusetts was \$67,846.00. The average median household income for our primary response area was \$52,806.00. This figure is over 20% less than the median household income for Massachusetts. This is a further indication that our town does

not have the funds to additional staffing.

Reductions in state aid, unrestricted local aid, along with other fiscal losses, have made it difficult to simply maintain current staffing levels. Three staff positions: a Dep. Chief in Fire Prevention, a Lt. assigned as Superintendent of Fire Alarms and a Lt. assigned as EMS Training Officer, regularly provide coverage on weekday day shifts on the line. The Fire Prevention Dep. will assume responsibilities for both his office and the on-duty group. The Supt. of Fire Alarms will assume a fire dispatcher or Company Officer position and the EMS Training Officer will also assume the Company Officer position. This policy has been in effect for years in an attempt to save overtime funds.

*** 3c. How are the critical functions of your department affected without this funding? (2000 characters)**

Funding of these additional positions is critical to the WSFD's ability to carry out the daily operations of protecting the citizens of West Springfield, as well as the members of the West Springfield Fire Department. The WSFD has been proactive in trying to fill the gap for proper and safe staffing, but despite these efforts we are still forced to respond to incidents with less than adequate personnel, severely compromising the establishment of effective and safe fire suppression operations. Firefighters continue to be placed in dangerous environments without proper backup or establishment of a RIT. Priority task assignments at a fire incident are delayed and the firefighters we do have on scene are required to carry out multiple tasks simultaneously, reducing our effectiveness and capabilities in incident stabilization. Inadequate staffing levels on emergency incidents result in increased workloads and physical exertion, leading to stress, fatigue and an increase in LOD injuries and illness. Responding our second ambulance for a medical call, results in taking an engine out of service. This further reduces our first alarm assignment to only 9 personnel, much less than the NFPA 1710 (Section 5.2.4.2) recommendation of 15 personnel for a working structure fire. It also increases our response times by responding an apparatus out of district or calling for mutual aid, further increasing the risk of injury or death of our citizens or firefighters.

Compliance of NFPA 1710 (Section 5.2.4.2) has always been a goal of the WSFD and we understand that this standard was developed for the safety of firefighters, citizens they serve, as well as properties within their community. Critical fire ground operations continue to be delayed at each incident due to our staffing shortages and is only a matter of time before we are faced with a civilian death or firefighter LODD for our department; most assuredly, a situation we wish to avoid at all costs.

***Element #4 - Cost Benefit (10%):**

*** Please describe the benefits (i.e., anticipated savings, efficiencies) the department and community will realize if awarded the positions requested in this application. (3000 characters)**

The most important benefit the additional firefighters will provide is the increased safety and protection of the citizens of West Springfield and members of the WSFD. It would also bring us in compliance with NFPA 1710 (Section 5.2.4.2) by responding 15 personnel to the scene within 8 minutes to 90% of structure fires. With the ability to respond more firefighters on the initial alarm assignment, the department will have the ability to initiate a coordinated attack that will increase the rescue of victims trapped by fire, as well as reduce property losses. The ability to staff an engine and aerial with the 2 additional personnel per group out of our busiest station will allow us to more efficiently and safely conduct our fire ground operations. One of the most essential tasks we currently do not have the ability to deploy, given the amount of personnel on our initial alarm assignment, is the establishment of a RIT. With the additional firefighters, we would not have to rely on the delayed response of a mutual aid company to carry out this potentially life-saving task. Our ability to deploy more firefighters to an incident will also reduce the amount LOD injuries. As proven in the Report on Residential Fireground Field Experiments, NIST Tech.Note 1661, four-person firefighting crews were able to complete 22 essential firefighting and rescue tasks in a typical residential structure 25% faster than three-person crews and that an increased staffing count reduces the risk of injuries because of a reduction in tasks that a single firefighter must perform. With the reduction of LOD injuries, fire department overtime expenditures would be decreased dramatically.

In addition, by increasing our minimum staffing, these additional positions allow the department to address the steady increase in medical calls and significantly reduce the department's reliance on mutual aid. It will allow us the ability to respond a third ambulance to respond to a medical call when necessary. Being able to respond the third ambulance when needed will increase the department revenue by approximately \$85,000 annually, which can be used to further reduce overtime expenditures.

This grant request of \$1,252,790 spread over the 28,391 citizens of West Springfield over the three years of the performance period, results in a cost of \$14.71. The increase to the safety of these citizens and fire department members is something on which you cannot put a price. Life safety is the basis and very foundation of why we do what we do.

Element #5 - Additional Information : If you have any additional information you would like to include about the department and/or this application in general, please provide below. (2000 characters)

I would like to take this opportunity to express my sincere gratitude to the reviewers for their time and consideration of all of the applications associated with this grant program. Adequate staffing for fire departments is absolutely vital to ensure the safety of all of our communities and the firefighters of every department. This program, and those who dedicate their time and effort towards it is something for which I am truly grateful.

I very much appreciate your consideration of this, and all requests you receive through this program.
Thank you.

[Hiring Narrative Supplemental Information](#)

Assurances and Certifications

FEMA Form SF 424B

You must read and sign these assurances. These documents contain the Federal requirements attached to all Federal grants including the right of the Federal government to review the grant activity. You should read over the documents to become aware of the requirements. The Assurances and Certifications must be read, signed, and submitted as a part of the application.

Note: Fields marked with an asterisk (*) are required.

O.M.B Control Number 4040-0007

Assurances Non-Construction Programs

Note: Certain of these assurances may not be applicable to your project or program. If you have any questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. Section 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. Sections 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. Section 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. Sections 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of

- alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Acts of 1968 (42 U.S.C. Section 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Title II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interest in real property acquired for project purposes regardless of Federal participation in purchases.
 8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
 9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
 10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
 11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
 12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. Section 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
 13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
 14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
 15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
 16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. Section 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
 17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
 18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signed by **William M Flaherty** on **02/08/2017**

Form 20-16C

You must read and sign these assurances.

Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters and Drug-Free Workplace Requirements.

Note: Fields marked with an asterisk (*) are required.

O.M.B Control Number 1660-0025

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 44 CFR Part 18, "New Restrictions on Lobbying" and 44 CFR Part 17, "Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Homeland Security (DHS) determines to award the covered transaction, grant, or cooperative agreement.

1. Lobbying

A. As required by the section 1352, Title 31 of the US Code, and implemented at 44 CFR Part 18 for persons (entering) into a grant or cooperative agreement over \$100,000, as defined at 44 CFR Part 18, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement and extension, continuation, renewal amendment or modification of any Federal grant or cooperative agreement.

(b) If any other funds than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities", in accordance with its instructions.

(c) The undersigned shall require that the language of this certification be included in the award documents for all the sub awards at all tiers (including sub grants, contracts under grants and cooperative agreements and sub contract(s)) and that all sub recipients shall certify and disclose accordingly.

2. Debarment, Suspension and Other Responsibility Matters (Direct Recipient)

A. As required by Executive Order 12549, Debarment and Suspension, and implemented at 44 CFR Part 67, for prospective participants in primary covered transactions, as defined at 44 CFR Part 17, Section 17.510-A, the applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency.

(b) Have not within a three-year period preceding this application been convicted of or had a civilian judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or perform a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application. (4000 characters)

3. Drug-Free Workplace (Grantees other than individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 44 CFR Part 17, Subpart F, for grantees, as defined at 44 CFR part 17, Sections 17.615 and 17.620:

(A) The applicant certifies that it will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug free awareness program to inform employees about:

- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant to be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

- (1) Abide by the terms of the statement; and
- (2) Notify the employee in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.

(e) Notifying the agency, in writing within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to the applicable awarding office.

(f) Taking one of the following actions, against such an employee, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement or other appropriate agency.

(g) Making a good faith effort to continue to maintain a drug free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance				
Street	City	State	Zip	Action

If your place of performance is different from the physical address provided by you in the Applicant Information, press *Add Place of Performance* button above to ensure that the correct place of performance has been specified. You can add multiple addresses by repeating this process multiple times.

Section 17.630 of the regulations provide that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for FEMA funding. States and State agencies may elect to use a Statewide certification.

Signed by **William M Flaherty** on **02/08/2017**

FEMA Standard Form LLL

Only complete if applying for a grant for more than \$100,000 and have lobbying activities. See Form 20-16C for lobbying activities definition.

Submit Application

Application 100% complete, Submitted

Please click on any of the following links to visit a particular section of your application. Once all areas of your application are complete, you may submit your application.

Application Area	Status
Applicant's Acknowledgements	Complete
Overview	Complete
Contact Information	Complete
Applicant Information	Complete
Applicant Characteristics (I)	Complete
Applicant Characteristics (II)	Complete
Department Call Volume	Complete
Request Details	Complete
Budget	Complete
Narrative Statement	Complete
Assurances and Certifications	Complete

PLEASE READ THE FOLLOWING STATEMENTS BEFORE YOU SUBMIT.

- **YOU WILL NOT BE ALLOWED TO EDIT THIS APPLICATION ONCE IT HAS BEEN SUBMITTED.** Therefore, please be sure you have thoroughly reviewed the application before you submit; if "placeholders" were used, be sure to update with the correct information before submitting. If you are not yet ready to submit this application, save it, and log out until you feel that you have no more changes.
- When you submit this application, you, as an authorized representative of the organization applying for this grant, are certifying that the following statements are true:

To the best of my knowledge and belief, all data submitted in this application are true and correct.

This application has been duly authorized by the governing body of the applicant and the applicant will comply with the terms of the Notice of Funding Opportunity, comply with all the terms and conditions of the grant award, including any special conditions in accordance with the articles of agreement, and comply with all applicable Federal statutory and regulatory requirements, if awarded.

To sign your application, check the box below and enter your password in the space provided. To submit your application, click the Submit Application button below to officially submit your application to FEMA.

Note: The Primary Point Of Contact will be responsible for signing and submitting the application. Fields marked with an asterisk (*) are required.

I, William M Flaherty, am hereby providing my signature for this application as of 08-Feb-2017.