Grant Guidelines for the

RECOVERY ACT

BROADBAND TECHNOLOGY OPPORTUNITIES PROGRAM (BTOP)

U.S. Department of Commerce

National Telecommunications and Information Administration

Version 2.0 – July 31, 2009

This guidance is the initial version to assist applicants applying for BTOP funds. Revised guidelines will be updated and posted online to www.broadbandusa.gov.

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Section A: Program Participation

1. Before You Get Started

Before submitting an application, applicants are encouraged to read the Notice of Funds Availability (NOFA), these Guidelines, and to the extent necessary, the Frequently Asked Questions (FAQ). All of these materials are available at http://www.broadbandusa.gov. NTIA anticipates a large volume of applications from highly qualified entities. By carefully reviewing these materials, applicants will help ensure that their applications are complete and satisfy the requirements of the Broadband Technology Opportunities Program (BTOP).

These Guidelines include a number of text boxes with explanations, definitions and advice for applicants. Applicants should pay special attention to them to help guide them through the application process.

> Applicants are required to obtain several registrations and/or certifications to be eligible to receive grant awards. For example, all applicants are required to register with Grants.gov, obtain a Data Universal Numbering System (DUNS) number, and obtain a Central Contractor Registration (CCR). Because these registrations may take several days to complete, NTIA encourages applicants to begin these processes as soon as possible.

A. Program Eligibility

In order for a project to be considered for an award, the proposal must meet a number of eligibility factors. As part of your application, you must indicate your willingness to meet or exceed these requirements. You should review these eligibility factors carefully before you submit an application. ***If you cannot fulfill these eligibility requirements, your project will not be considered for funding.***

Eligible Entities. To be eligible for funding under BTOP, an applicant must be one of the following types of entities:

a. States, local governments, or any agency, subdivision, instrumentality, or political subdivision thereof;
b. the District of Columbia;
c. a territory or possession of the United States;
d. an Indian tribe (as defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. § 450(b));

e. a native Hawaiian organization;
f. a non-profit foundation, a non-profit corporation, a non-profit institution, or a non-profit association;
g. other non-profit entities;
h. for-profit corporations;
i. limited liability companies; or
j. cooperative or mutual organizations.

Note: All entities and organizations participating in a proposed project must be an eligible organization. Individuals, sole proprietorships and partnerships are not eligible for funding.

In addition, all applicants, regardless of category, must (1) submit a fully completed application, and (2) agree to substantially complete the project within 2 years and fully complete the project within three years. Additionally, applicants proposing broadband infrastructure projects must demonstrate the technical feasibility and long-term financial sustainability of the project.

B. Eligible Cost Purposes

As a general principle, grant funds must only be used to pay for eligible costs. Eligible costs are consistent with the cost principles identified in the applicable OMB circulars identified in the NOFA and in the program's authorizing legislation. In addition, costs must be reasonable, allocable, necessary to the project, and comply with the funding statute requirements. Any application that proposes to use any portion of the grant funds for any ineligible cost may be rejected. No grant will be awarded to an application that includes ineligible costs.

i. Broadband Infrastructure Projects

The NOFA lists several categories of eligible and ineligible costs for BIP and BTOP infrastructure projects and applicants should refer to the NOFA to determine whether the costs associated with their projects are eligible for funding. The eligible cost items are broadly crafted and include, among other things, expenses used to fund the construction or improvement of all facilities required to provide broadband service.

Eligible expenses falling within this category may include, but are not limited to:

- network and access equipment (switching, routing, or transport);
- outside plant (cables, conduits, ducts, poles, tower, or repeaters);
- buildings and land (new construction, improvements, renovations, or lease);
- customer premise equipment (modems, routers, etc.);

- billing and operational support systems (IT systems or software);
- operating equipment (vehicles, office equipment, etc.);
- professional services (engineering design, project management, or consulting);
- testing (network elements, IT system elements, user devices, test generators, lab furnishings, servers/computers); and
- site preparation.

Costs associated with facilities used to provide services other than broadband service are not recoverable under BTOP.

Eligible costs also include reasonable pre-application expenses not exceeding five percent of the award. Pre-application expenses include any reasonable expense incurred after the release of the NOFA to prepare an application, including engineering costs and accountant or consultant fees. Reasonable pre-application expenses, however, do not include lobbying fees. Additionally, the Recovery Act logo that must be posted on all construction projects funded by the Recovery Act, is an eligible cost for purposes of BTOP projects.

Other ineligible award expenses are detailed in the NOFA. They are repeated here in the Guidelines to underscore to applicants that these costs will not be recoverable through an award under BTOP.

These ineligible expenses include:

- operating expenses of the project, including fixed and recurring costs of a project [broadband infrastructure projects];
- costs incurred prior to the date on which the application is submitted, with the exception of eligible pre-application expenses;
- costs of an acquisition, including the acquisition of the stock of an affiliate, or the purchase or acquisition of any facilities or equipment of an affiliate;
- the purchase or lease of any vehicle other than those used primarily in construction or system improvements;
- broadband facilities leased under the terms of an operating lease;
- merger or consolidation of entities; and
- costs incurred in acquiring spectrum as part of an FCC auction or in a secondary market acquisition.

Applicants will be required to submit detailed information documenting all costs they seek to recover through an award under BTOP.

ii. Public Computer Centers

Grantees may use BTOP funding under this project category to expand computer center capacity by: (1) acquiring broadband-related equipment, instrumentation, networking

capability, hardware and software, and digital network technology for broadband services; (2) developing and providing training, education, support and awareness programs or web-based resources; (3) facilitating access to broadband services, including, but not limited to, making public computer centers accessible to people with disabilities; and (4) undertaking such other projects and activities as the Assistant Secretary finds to be consistent with the purposes for which the program is established.

Under the Recovery Act, projects under this category are aimed at expanding broadband access and capacity at community anchor institutions, organizations serving vulnerable populations (e.g., low-income, unemployed, and seniors) or job-creating strategic facilities located in state- or federally-designated economic development areas. Given the emphasis the Recovery Act places on job creation, it is reasonable to include job-training programs and job-related instruction as eligible costs under this project category. Expenses associated with computer training workshops, digital literacy programs and web-based resources are also considered eligible costs, as is reasonable compensation for qualified instructors for these types of programs. Additionally, eligible costs include the purchase of computer software, such as word processers; computer peripherals, such as mice and printers; and computer maintenance and trouble-shooting programs, such as systems guarding against computer viruses. BTOP applicants are expected to convincingly demonstrate the ability to sustain the projects beyond the funding period. In particular applicants should detail how any costs associated with training and/or other recurring expenses will be covered after the grant expires.

BTOP grant funds may not be used for expenses or purchases that are not used predominantly for expanding public access to broadband service or enhancing broadband capacity at public computer center locations.

iii. Sustainable Broadband Adoption

Grantees may use BTOP funding under this project category to encourage sustainable adoption of broadband services by: (1) acquiring broadband-related equipment, hardware and software, and digital network technology for broadband services; (2) developing and providing training, education, support and awareness programs or web-based content; (3) conducting broadband-related public education, outreach, support and awareness campaigns; (4) implementing innovative programs to facilitate greater access to broadband service, devices, and equipment; and (5) undertaking such other projects and activities as the Assistant Secretary finds to be consistent with the purposes for which the program is established.

Under the Recovery Act, projects under this category are aimed at providing broadband education, awareness, training, access, equipment, and support to community anchor institutions, organizations serving vulnerable populations (*e.g.*, low-income, unemployed,

aged), or job-creating strategic facilities located in state- or federally-designated economic development areas. Thus, expenses associated with conducting broadband awareness campaigns, computer training workshops, digital literacy programs and developing web-based content are considered eligible costs, as is reasonable compensation for qualified instructors for these types of programs. Applicants must demonstrate how any costs associated with training and/or other recurring expenses will be covered after the grant expires.

BTOP grant funds may not be used for expenses or purchases that are not used predominantly for the provision of broadband education, awareness, training, access, equipment and support.

C. Use of Program Income

Program income means gross income earned by the recipient that is either directly generated by a supported activity, or earned as a result of the award during the funding period. Grantees are required to account for any program income directly generated by projects financed in whole or in part with federal funds. Given the Recovery Act's objectives to spur job creation and stimulate long-term economic growth and opportunity, projects funded by BIP and BTOP grant recipients are expected to convincingly demonstrate the ability to sustain the projects beyond the funding period. While grant funds are intended to cover the capital costs of a Broadband Infrastructure project as part of the Recovery Act's effort to stimulate the economy, grant recipients for all programs are expected to present projects that will sustain long-term growth and viability.

For purposes of BTOP, any program income generated by a funded project during the grant period shall be retained by the grant recipient and shall be added to the funds committed to the project by NTIA and the recipient. The grant recipient should use program income to further eligible project objectives, including reinvestment in project facilities. Grant recipients shall have no obligation to the federal government regarding program income earned after the end of the project period. However, the federal government retains an interest in property in the event that it is sold, consistent with the guidance outlined in Section IX of the NOFA.

D. Standard Terms and Conditions for Department of Commerce Grants

In advance of accepting a BTOP award from NTIA, applicants should review the Department of Commerce's grant award document, the CD-450 "Financial Assistance Award". This document is available on the Department's website at http://oamweb.osec.doc.gov/docs/GRANTS/pdf/3B-CD450.pdf. Applicants should also familiarize themselves with the Department of Commerce's standard terms and conditions for grants. A document titled ""Financial Assistance Standard terms and Conditions", can be found on the Department's website at http://oam.ocs.doc.gov/docs/GRANTS/DOC%20STCsMAR08Rev.pdf.

2. Submitting a Proposal

A. Key Dates

The funding available under this broadband initiative will be distributed in three different rounds and will, therefore, have three different deadlines. The electronic application system at http://www.broadbandusa.gov will provide a date and time stamped confirmation number that will serve as proof of submission.

The deadline for the first round of applications is 5:00 p.m. EDT on August 14, 2009.

For applicants eligible to submit paper applications, their application must be postmarked by August 14, 2009, or hand-delivered no later than 5:00pm ET on August 14, 2009.

The deadlines for applications associated with the second and third rounds of funding will be prominently displayed on http://www.broadbandusa.gov once these dates are established.

B. Requirements for Electronic Submissions

The application packages for electronic and paper submissions are available at http://www.broadbandusa.gov. Electronic submissions of applications will allow for the expeditious review of an applicant's proposal. Applicants requesting more than $1 million in assistance **must** file their applications electronically. Applicants filing electronically will submit an electronic signature for their application by registering with www.ccr.gov.

Helpful Hint: Download a PDF copy of the application and develop the application responses offline prior to entering the information into the electronic application.

C. Requirements for Paper Submissions

Applicants may submit a paper application if they qualify under Section 508 of the Rehabilitation Act. In addition, applicants not qualifying under the Rehabilitation Act, who are requesting less than $1 million in assistance, may forego the electronic filing requirement, if filing electronically would impose hardship on the applicant. Applicants filing paper copies should submit one original and one copy of the application for efficient processing. If

applicants use electronic word processing software to create a paper submission, they should include in their filing, to the extent possible, an electronic copy of the paper application on appropriate media such as a CD.

Applications must include proof of mailing consisting of one of the following:

(1) A legibly dated U.S. Postal Service postmark. Please note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, applicants should check with their local post office.
(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
(3) A dated shipping label, invoice, or receipt from a commercial carrier.

Neither of the following will be accepted as proof of mailing: a private metered postmark; nor a mail receipt that is not dated by the U.S. Postal Service.

Applications with postmarked dates after August 14, 2009, will not be considered in the current grant round and will be returned to the applicant. Applications will NOT be accepted via facsimile machine transmission.

Completed applications must be mailed, shipped, or sent overnight express to:

NTIA
Broadband Technology Opportunities Program
National Telecommunications and Information Administration
U.S. Department of Commerce
1401 Constitution Avenue, NW
HCHB, Room 4812
Washington, DC 20230

or hand-delivered to:

Broadband Technology Opportunities Program
National Telecommunications and Information Administration
U.S. Department of Commerce
HCHB, Room 1874
1401 Constitution Avenue, NW
Washington, DC 20230
Room 1874 is located at entrance #10 on 15th Street NW, between Pennsylvania and Constitution Avenues.

United States Postal Service Priority Mail, First Class Mail, and Parcel Post packages delivered to the Department of Commerce are irradiated. Irradiation could result in damage to the contents, or delay the delivery of an application to the BTOP Program Office. Thus, applicants

are encouraged to consider the impact of these procedures in selecting their chosen method for application delivery**.**

Applicants filing in a paper format must submit an original signed copy of their application and certifications.

New

Applicants should note that the information provided as part of their application may be subject to disclosure under the Freedom of Information Act.

Broadband Infrastructure

1. General Application

Please follow the following instructions to help you complete the questions posed by the application.

1-A. Name, Address, and Federal ID for Applicant	
i. Legal Name:	*ii. Employer/Taxpayer Identification Number (EIN/TIN):*
Street 1: _____ *Street 2:* _____ *City:* _____ *County:* _____ *State:* _____ *Province:* _____ *Country:* _____ *Zip/Postal Code*_____	

Please provide identifying information for the applicant. If there are multiple organizations involved in the project, designate as "the applicant" the entity that would enter into a grant agreement with NTIA and assume operational and financial responsibility should an award be made (i.e., an Authorized Organizational Contact (AOC) as designated by CCR).

Applicants that involved multiple organizations and the key partnerships for the project should identify that information in the Executive Summary (Question #8), Organizational Readiness (Question #38), Organizational Chart (#39), and Government and Other Key Partnerships (Question #41).

1-B. Name and Contact Information of Person to be Contacted on Matters Involving this Application:	
Prefix: _____	*Telephone Number:* _____
First Name: _____	*Fax Number:* _____
Middle Name: _____	*Email:* _____
Last Name: _____	*Other (Specify):* _____
Suffix: _____	
Title: _____	

Enter full, accurate name and contact information for the person to be contacted on matters involving this application. It is crucial that we have accurate information, including a reliable phone, email, and fax number for rapid correspondence. Please complete this in full and attach a sheet if you want to provide additional contacts.

1-C. Other Required Identification Numbers	
*i. Organizational DUNS:*_____	*ii. CCR :*_____
*iii. Funding Opportunity #:*_____	*iv. Catalog of Federal Domestic Assistance #:*_____

As required by the Office of Management and Budget, all applicants must supply a Dun and Bradstreet Data Universal Numbering System (DUNS) number. Your organization can obtain a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1-866-705-5711 or via the Internet at http://www.dunandbradstreet.com. For more information about DUNS numbers, see http://fedgov.dnb.com/webform/pages/dunsnumber.jsp.
Please enter the applicant's Central Contractor Registration (CCR) number (also known as a CAGE number). If your organization does not have a current CCR (CAGE) number, you must register in the CCR system available at http://www.ccr.gov/StartRegistration.aspx.

If there are multiple organizations involved in the project, only "the applicant" will need to supply the Organizational DUNS and CCR information.

NOTE: You will need to have a DUNS number in order to obtain a CCR number.

The federal funding opportunity number for BTOP is 0660-ZA28. The CFDA number for BTOP is 11.557.

1-D Eligible Entities
Please classify your organization. (Note: If there are multiple organizations involved in the project, designate the lead applicant that would enter into a Loan or Grant agreement with the Agency and assume operational and financial responsibility should an award be made).
Local, State, or Other Government Entity
☐ *State or State Agency*
☐ *Political subdivision of a State, including Local or County Government*
☐ *District of Columbia*
☐ *Territory or Possession of the United States*
☐ *Indian Tribe*
Not for Profit Entity
☐ *Non-Profit Corporation*
☐ *Non-Profit Foundation*
☐ *Non-Profit Institution*
☐ *Non-Profit Association*
For Profit Entity
☐ *For-Profit Corporation*
☐ *Socially and economically disadvantaged small business concern (SDB) as defined by section 8(a) of the Small Business Act, 15 U.S.C. §637*
Other
☐ *Cooperative or Mutual*
☐ *Native Hawaiian organization*
☐ *Please identify any others: _____*

Please select the appropriate classification for your organization. This information will be used for reporting.

Applicants who are SDBs receive additional consideration in the review process. Note that the applicant need not be certified as an SDB, but must meet the definition of a SDB under the Small Business Act (15 U.S.C. § 637(a)(4)). For the purposes of this program, a small business concern is a firm that, together with its controlling interests and affiliates, satisfies the Small Business Administration's size standards for the applicant's industry classification, or is a broadband service or infrastructure provider with average gross revenues not exceeding $40 million for the preceding three years. To qualify as a SDB, the applicant must be a small business concern for which one or more socially and economically disadvantaged individuals or an economically disadvantaged Indian tribe or Native Hawaiian organization, control the small business concern's management and daily business operations and unconditionally own 51

percent of the business. The Small Business Act defines socially disadvantaged individuals as "those who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their individual qualities," and economically disadvantaged individuals as "those socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same business area who are not socially disadvantaged." NTIA may request documentation supporting the applicant's status as an SDB before granting an award.

1-E. RUS Borrower Status

Please check the appropriate box:

- ☐ *The applicant is, or has been, an RUS Title II Borrower.*
- ☐ *The applicant is not an RUS Title II Borrower.*

The guidelines will alert the applicant if the questions are only for Broadband Initiatives Program (BIP) or is only relevant for BTOP applicants. Applicants only need to respond for BTOP questions.

BTOP Applicants do not have answer Question #1-E.

1-F. Applicant Federal Debt Delinquency Explanation

Is the Applicant Delinquent On Any Federal Debt?

☐ *Yes* ☐ *No*

(If "Yes", provide explanation.) _____

Indicate whether or not the applicant is delinquent on any Federal Debt by checking the appropriate box. If the answer is "Yes", the applicant should submit an explanation.

NOTE: Consistent with Department of Commerce policy, no award of Federal funds shall be made to an applicant that has an outstanding delinquent Federal debt until:

(1) The delinquent account is paid in full;
(2) A negotiated repayment schedule is established and at least one payment is received; or
(3) Other arrangements satisfactory to the Department of Commerce are made.

2a. Project Title
Identify a title for your project. [Limit 100 characters]

Please provide a title for your project.

2b. Project Description
Provide three or four sentences that most concisely describe the proposed project. *Your answer will be published on recovery.gov and broadbandusa.gov to illustrate the types of proposals received. [Limit 500 characters]*

Please provide a few short sentences to describe your project. Because this brief description of the project will appear on publicly accessible websites, you should ensure that it describes your project fairly and in the light you want the public to see your proposal. For the same reason, you should avoid including any confidential or proprietary information in this description.

3. Multiple Submissions for BIP or BTOP
Identify in the table below any other applications that you have submitted for BIP or BTOP

Project Type	***Project Title***
BIP Infrastructure	
BTOP Infrastructure	
BTOP Public Computer Center	
BTOP Sustainable Broadband Adoption	

<u>Application for Multiple Projects</u>

If the applicant has submitted or plans to submit any other applications for BIP or BTOP funds, please indicate the project type for those applications in the table. Providing this information will allow NTIA to consider this application in the context of your overall bundle of proposals, which may include multiple submissions. If one entity provides complementary submissions for more than one BTOP category, the applicant will receive additional consideration under the evaluation of project purpose.

The next several questions on the application are designed to determine into which project category or categories your project will fit.

Funding Agency Considerations

BIP and BTOP offer different funding avenues. BIP is focused on Broadband Infrastructure projects in rural areas, while BTOP will fund Broadband Infrastructure projects in unserved and underserved areas throughout the nation, as well as projects to expand public computer centers capacity and sustainable adoption projects. Under the Recovery Act, RUS and NTIA may not both fund projects to provide broadband service in the same area.

BIP or BTOP

For BIP Broadband Infrastructure projects there are three categories: Last Mile Remote, Last Mile Non-remote, and Middle Mile. There are two categories for BTOP Broadband Infrastructure projects: Last Mile and Middle Mile.

The first step for an applicant applying for Broadband Infrastructure funding under BIP or BTOP is to determine to which agency to apply. This process is relatively straightforward: BIP will only fund broadband infrastructure projects in rural areas. Any project that is not a rural infrastructure project (this includes all Public Computer Center and Sustainable Broadband Adoption projects, as well as non-rural Broadband Infrastructure projects) will only be eligible for funding under BTOP. Applicants proposing to serve rural areas may apply for BTOP as well as BIP, since BTOP may also fund rural infrastructure projects in areas that do not receive BIP funding. Question #4 asks you to determine whether your project is a rural project.

4. Rural Area Determination: *Check the appropriate box based on the service area proposed to be funded by the applicant. The applicant's answer should be corroborated by the service area data in Question 13.*

At least 75 percent of the proposed funded service area to be funded falls within rural areas that are unserved or underserved. If you answer "yes," proceed to Question 5. If you answer "no" proceed to Question 6.

- ☐ *Yes*
- ☐ *No*

Defining Rural Areas

A rural area is defined as an area which is not located within:

(i) a city, town, or incorporated area that has a population of greater than 20,000 inhabitants; or
(ii) an urbanized area contiguous and adjacent to a city or town that has a population of greater than 50,000 inhabitants.

Applicants should utilize the latest decennial census of the U.S. Census Bureau in making this determination. An infrastructure project is considered to be a rural project if at least seventy-five percent of the proposed funded service area qualifies as a rural area under this definition.

If you answered "no" to Question #4, please move to Question #6.

Questions #5 and #6 require applicants to select into which BIP and/or BTOP project category their application fits. The following provide guidance on answering these questions.

Funding Path for Rural Projects

Applicants proposing rural infrastructure projects for funding under this program are required to apply to RUS for consideration in BIP. Applicants for rural infrastructure projects also have the option to apply for BTOP funding, but BTOP will consider these applications only after RUS reviews the application and determines not to fund it. If you submit an application for a rural infrastructure project, as defined above, only to BTOP and not also to BIP, it will be rejected.

Remote or Non-Remote (Rural Projects)

If you are filing a BIP application for a last mile project, you must additionally determine whether the project area is remote or non-remote. A remote area is a rural area that is fifty miles from the limits of a non-rural area. If the entire proposed service area qualifies as remote, you should categorize your project as a last mile remote area project. Otherwise, the project will be considered a last mile non-remote project. Question #5 asks you to determine, among other things, whether your project is remote or non-remote.

Last Mile or Middle Mile

The next step for both BIP and BTOP is to determine whether your project is a last mile or middle mile project. Last mile services are characterized by the provision of service directly to end-user premises or end users—these services bridge the "last mile" between a service distribution point and the end users. This typically may take the form of commercial or residential broadband service.

Broadband Infrastructure projects that do not predominantly provide service directly to end users are considered to be middle mile projects. Some examples of middle mile services include interoffice transport, backhaul, Internet connectivity, and special access. Because RUS and NTIA recognize that applicants may need to build middle mile infrastructure as part of a last mile deployment, these categorizations are not expected to be exclusive, and applicants are asked to choose whichever of these service types, last mile or middle mile, their project will predominantly provide. For a BTOP Broadband Infrastructure project or BIP middle mile project, this determination is sufficient to select the correct project category.

For example, where an applicant proposes to deploy backhaul for the express purpose of supporting a last mile deployment that is part of the same proposal, the applicant should characterize the project as predominantly a last mile project. If, by contrast, the last mile facilities deployed in the project are just one of many last mile networks that the backhaul facilities are expected to serve, the project would likely be better characterized as a middle mile project. Applicants proposing substantial last mile and middle mile components and planning to offer services independently on each component who are unable to designate their proposal as predominantly last mile or middle mile are advised to file separate applications for the last mile and middle mile components and to discuss the relation between components in the applications.

While the infrastructure project categories described above apply most clearly to projects designed to facilitate fixed or mobile consumer broadband, RUS and NTIA anticipate that some applicants will take a different approach—for example creating a regional fiber ring to connect schools, hospitals, or other community anchor institutions. RUS and NTIA welcome such proposals. A project of this nature should be characterized as a middle mile project as it is essentially a point-to-point network connecting a relatively small number of facilities (as distinguished from a last mile project which may provide access to community anchor institutions in additional all of the homes and businesses in the funded service area). Additionally, each point on the network may serve as a potential point of interconnection from which independent parties can construct a last mile network.

Unserved/Underserved Requirements

Infrastructure applicants should bear in mind that all infrastructure projects are required to provide service to unserved or underserved areas. For BTOP last mile projects, the entire proposed funded service area must be unserved or underserved. For BTOP middle mile projects, at least one interconnection point must terminate in an unserved or underserved area.

5. Applications for Rural Areas: *Please choose the funding program(s) to which you are submitting this application.*

a) If you answered Yes to Question 4, please choose the BIP broadband infrastructure category to which you are applying:

- ☐ *BIP– Last Mile Remote Area*
- ☐ *BIP– Last Mile Non-Remote Area*
- ☐ *BIP– Middle Mile Project*

b) Would you like this Application for Rural Areas to also be considered for BTOP funding?

- ☐ *Yes*
- ☐ *No (Implies Single Filing with BIP)*

(Note: If YES, the applicant must complete all BTOP requirements as well. This requires the applicant to complete two separate budget and financial forms. Per the NOFA, NTIA may make awards with respect to such an application it deems to be meritorious after RUS has reviewed the application and determined to not provide funding.)

c) If Yes, please choose the BTOP Infrastructure category for which you are applying.

- ☐ *Last Mile*
- ☐ *Middle Mile*

6. Applications for All Other Areas: *Per the NOFA, all applications to fund broadband infrastructure projects in areas that are less than 75% rural must be submitted to NTIA for consideration under BTOP.*

a) Please choose the BTOP broadband infrastructure category to which you are applying:

- ☐ *Last Mile*
- ☐ *Middle Mile*

Please be aware that, as stated in the Note in Question #5, if you opt to apply for both BIP and BTOP funding, you will be required to complete a separate budget and financial forms for BIP and BTOP. This allows applicants to accommodate the differences between the two programs with respect to loans, grants, and loan/grant combinations, matching fund requirements, and eligible costs.

2. BIP/BTOP Eligibility Factors

7. Application Submission: *Failure to comply with all eligibility factors set forth below will result in immediate rejection of your application.*

Factors for BIP and BTOP

a) Fully Completed Application*: Applicant has submitted a completed application and provided all supporting documentation required for the application.*

- ☐ *Yes*
- ☐ *No*

b) Timely Completion: *The Project will be substantially complete within the two years of the award date, and the project will be fully complete within three years of the award date.*

- ☐ *Yes*
- ☐ *No*

c) Technical Feasibility*: For broadband infrastructure projects seeking more than $1 million funding, the Applicant has submitted a certification, from a Professional Engineer, that attests that: a) the system will deliver the stated performance; and b) the proposed project will be substantially complete within two years, and fully complete within three years.*

- ☐ *Yes*
- ☐ *No*

d) Broadband Speed: *The Applicant provides two-way data transmission with advertised speeds of at least 768 kbps downstream and 200 kbps upstream.*

- ☐ *Yes*
- ☐ *No*

e) Nondiscrimination and Interconnection: *Applicant understands and agrees to comply with the nondiscrimination and interconnection obligations outlined in the NOFA.*

☐ *Yes*

☐ *No*

f) Last Mile Coverage Obligation*: If applying for a last mile Broadband Infrastructure project, applicant understands and agrees to comply with the last mile coverage obligations as outlined in the NOFA.*

☐ *Yes*

☐ *No*

Additional Factors for BIP

g) Eligible Service Area for BIP*: At least 75 percent of the proposed funded service area qualifies as unserved and underserved rural areas in accordance with the NOFA.*

☐ *Yes*

☐ *No*

h) Fully Funded: *Applicant understands and agrees that the project will be fully funded in accordance with the requirements of the NOFA.*

☐ *Yes*

☐ *No*

i) Financial Feasibility and Sustainability: *Applicant understands and agrees that only projects that RUS determines to be financially feasible and/or economically sustainable will be eligible under this NOFA.*

☐ *Yes*

☐ *No*

Additional Factors for BTOP

j) Conformity with Statutory Purposes: *The project advances at least one of the statutory purposes for BTOP.*

☐ *Yes*

☐ *No*

k) Cost Sharing/Matching: *Applicant is providing matching funds of at least 20 percent towards to the total eligible project costs or is requesting a waiver of the matching requirement*

☐ *Yes*

☐ *Requesting Waiver*

l) Demonstration the Project Could not be Implemented But For Federal Grant Assistance: *Applicant has provided documentation that the project would not have been implemented during the grant period without federal grant assistance.*

☐ *Yes*

☐ *No*

m) Reasonableness of Project Budget: *Applicant has provided a budget that is appropriate to the proposed technical solution and only includes eligible costs.*

☐ *Yes*

☐ *No*

Purpose of Section: Demonstrates Understanding of Eligibility Factors

Question #7 requires applicants to acknowledge the ability to meet the Eligibility Factors. Compliance with all of these requirements will be confirmed by responses to other questions throughout the application. BIP-only applicants are not required to answer the Additional BTOP Factors, and BTOP-only applicants are not required to answer the Additional Factors for BIP. An applicant should respond in the affirmative to all of these questions or their application will be immediately rejected. Please note that the applicants will be reviewed throughout the application to ensure compliance substantively with all of the eligibility factors.

Filing for Waiver: Basis and Process

If you are applying for a waiver of the 20 percent matching requirement, attach a letter that clearly defines your need. The applicant must demonstrate that complying with the Recovery Act's mandated 20 percent match of grant funds received under this program is a financial hardship for your organization. An applicant applying for a waiver should submit complete financial documentation, including its assets, liabilities, operating expenses and revenues, and any other documents that would demonstrate financial need, such as denial of funding from a public or private lending institution.

3. Executive Summary

8. Executive Summary of Project for BIP and BTOP: *Please provide an Executive Summary of the proposed Project. The Executive Summary should be a brief description of the Project, and address the following topics. [Three page limit]*

a. *Opportunity the proposed system seeks to address*
b. *A general description of the proposed funded service areas (location, number of communities, etc.)*
c. *Number of households and businesses passed*
d. *Number of community anchor institutions, public safety entities, and critical community organizations passed and/or involved with project (e.g., health care, education, libraries, etc.)*
e. *Proposed services and applications for the proposed funded service areas and users*
f. *Approach to addressing the non-discrimination and interconnection obligations*
g. *Type of broadband system that will be deployed (network type and technology standard)*
h. *Qualifications of the applicant that demonstrate the ability to implement and operate a broadband infrastructure, and/or be a sustainable broadband service provider*
i. *Overall infrastructure cost of the broadband system*
j. *Overall expected subscriber projections for the project*
k. *Number of jobs estimated to be created or saved as a result of this project*

Objective of Executive Summary

The executive summary is the applicant's opportunity to explain, as clearly and succinctly as possible, the most relevant points of their proposal – as defined above. The reviewers will read this section to receive a high-level, but comprehensive, introduction to the project. This summary must be limited to three pages. The summary should avoid highly technical terminology or jargon unless it is integral to the understanding of your proposal. We suggest the summary be written last, after having completed all other sections of the application. Applicants with involvement from multiple organizations and key partners should describe those relationships broadly here. ***The Executive Summary narrative should not introduce new information not included elsewhere in your application.***

Directions for Written Responses: Page limits for the written responses should be in 12 point font with one-inch margins.

Description of BTOP Project Purpose (BTOP Applicants Only)
(Questions #9, #10, and #11)

9. BTOP Statutory Purpose: *Please indicate which statutory purposes – as designated for the Broadband Technology Opportunities Program from the Recovery Act – you are addressing with this proposal. (Check all that apply. One is required.)*

- ☐ *Provide access to broadband service to consumers residing in "unserved" areas of the United States*
- ☐ *Provide improved access to broadband service to consumers residing in "underserved" areas of the United States*
- ☐ *Provide broadband education, awareness, training, access, equipment, and support to –*
  - *Schools, libraries, medical and healthcare providers, community colleges and other institutions of higher education, and other community support organizations by or through these organizations*
  - *Organizations and agencies that provide outreach, access, equipment, and support services to facilitate greater use of broadband service by low-income, unemployed, aged, and otherwise vulnerable populations*
  - *Job-creating strategic facilities located within a State-designated economic zone, Economic Development District designated by the Department of Commerce, Renewal Community or Empowerment Zone designated by the Department of Housing and Urban Development, or Enterprise Community designated by the Department of Agriculture*
- ☐ *Improve access to, and use of, broadband service by public safety agencies*
- ☐ *Stimulate the demand for broadband, economic growth, and job creation*

You should check all the statutory purposes your project is intended to address, and there is a minimum requirement to address at least one of the BTOP purposes. Your response should be consistent with your narrative in Question #10.

10. Description of BTOP Project Purpose: *Describe the purpose of the project and how it supports the statutory objectives of the BTOP program (as set forth above). Please include information to support your assumptions relative to the following. [Two Page Limit]*

a) Project addresses compelling problem or presents an opportunity consistent with the BTOP statutory goals;
b) Project offers an effective solution to that problem or addresses the opportunity;
c) Proposed solution demonstrates broad significance and includes developments that can be replicated to improve future projects;
d) Whether the proposed funded service area is in an unserved or underserved area; and
e) *The extent to which the project addresses more than one statutory purpose.*

In Question #10 you must explain how your project relates to BTOP's statutory purposes (these purposes are listed in Question #9 above). Applications that substantially address multiple statutory purposes will receive additional consideration, but it is not necessary to address multiple purposes in order to receive a high score for this criterion. If you are coordinating this project with one or more other projects, including projects in another category (*e.g.,* Public Computer Center or Sustainable Broadband Adoption), you should explain how the projects fit together to serve BTOP's multiple statutory purposes.

11. BTOP Enhanced Services for Health Care Delivery, Education, and Children: *Describe the depth and breadth of the project's ability to enhance broadband service for health care delivery, education and children as contemplated by the Recovery Act. Demonstrate how this project goes beyond providing broadband access to include a more robust health care, educational or related broadband service delivery. [One Page Limit]*

This question provides you an opportunity to outline how your proposed project will enhance broadband service for health care delivery, education, or children. Your answer should detail the impact your project will have on these key constituencies and explain how the project will, if approved, seek to benefit the greatest population of users.

4. Proposed Funded Service Areas

***12. Proposed Funded Service Area Maps**: Please attach service area maps for each proposed service area to be funded, identifying the service area as: a) unserved; b) underserved; or c) for BIP, at least 75% rural. If a proposed funded service area is designated as at least 75 % rural, identify the unserved and underserved rural areas at the census designated community level. For a middle mile project the maps must indicate the service areas that will benefit from the project. As per the NOFA, at least one interconnection point for a middle mile project must terminate in a proposed funded service area that qualifies as unserved or underserved for a last mile project.*

Service Area	*Map ID #*

Purpose of Maps and Requirements

A service area map is required for each proposed funded service area. The maps will illustrate the proposed funded service area and identify the contiguous census blocks for which the proposed project will provide service. For middle mile projects, the maps should indicate the area that will benefit from the project and show at least one interconnection point that will terminate in an area that qualifies as unserved or underserved.

Applicants for Last Mile projects should complete Question #13; applicants for Middle Mile projects should skip Question #13 and proceed to Question #14.

13. Proposed Funded Service Area (Last Mile Project): *For each proposed funded service area identified in Question 12 above, please provide the following information:*

- ☐ *Service Area Name*
- ☐ *List of the contiguous census blocks*
- ☐ *Total population using the last decennial Census*
- ☐ *Total number of Households*
- ☐ *Total number of Businesses*
- ☐ *Total number of Critical Community Facilities, Community Anchor Institutions and Public Safety Entities*
- ☐ *Individual census designated communities or "other areas"*
- ☐ *Status of census designated community or "other area" as rural. Identify individual census designated communities in the proposed funded service area as being rural as defined in the NOFA or non-rural, and specify the number of square miles in each census community. For areas that are not designated as part of a census community, identify these areas as an "other area" for the county and state in which they are located and specify whether such area is rural, as defined in the NOFA, or non-rural and the number of square miles in such area.*

- ☐ *For BIP only. Status of the census designated community or "other area" as unserved, underserved, or served*

  (A) Unserved. At least 90 % of households in the census designated community or "other area" lack access to facilities-based, terrestrial broadband service, either fixed or mobile, at the minimum broadband transmission speed; or

  (B) Underserved (Indicate all that apply. One is required)

  (1) No more than 50% of the households in the census designated community or "other area" have access to facilities-based, terrestrial broadband service at greater than the minimum broadband transmission speed;

  (2) No fixed or mobile broadband service provider advertises broadband transmission speeds of at least 3 mbps downstream in the census designated community or "other area;" or

  (3) The rate of broadband subscribership for the census designated community or "other area" is 40 % of households or less; or

  (C) For BIP only, Served. (Please note that no more than 25% of the proposed funded service area may not meet the unserved or underserved definition at the census designated community level or does not meet the rural definition.)

- *For BTOP only. Status of the proposed funded service area as unserved or underserved*
  - *(A) Unserved. At least 90 % of households in the proposed funded service area lack access to facilities-based, terrestrial broadband service, either fixed or mobile, at the minimum broadband transmission speed; or*
  - *(B) Underserved (Indicate all that apply. One is required.)*
    - *(1) No more than 50 % of the households in the proposed funded service area have access to facilities-based, terrestrial broadband service at greater than the minimum broadband transmission speed;*
    - *(2) No fixed or mobile broadband service provider advertises broadband transmission speeds of at least 3 mbps downstream in the proposed funded service area; or*
    - *(3) The rate of broadband subscribership for the proposed funded service area is 40 % of households or less*

Note: Middle mile applicants are not required to answer this question.

Last Mile Service Area: Required Data

The information above must be presented for every proposed funded service area for last mile projects. Otherwise, the application is deemed incomplete. The electronic application tool provides a field for every identified information component. Paper applicants can submit a table that summarizes this information. Regarding the penetration factor, the rate of broadband subscribership must be 40 percent or less of all households in the area and not a percentage based on the percentage of households passed.

14. Proposed Funded Service Area (Middle Mile Project): *For the proposed middle mile project, please provide the following information:*

a) Middle mile span name:

b) List of contiguous census blocks for proposed middle mile project

c) List of associated last mile service areas indicating the following:

- *Total population using the last decennial Census*
- *Total number of Households*
- *Total number of Businesses*
- *Identify Critical Community Facilities, Community Anchor Institutions and/or Public Safety Entities expected to be direct customers*

d) Status of census designated community or "other area" as rural. Clarify the individual census designated communities in the associated last mile service area as being rural as defined in the NOFA or non-rural, and specify the number of square miles in each census community. For areas that are not designated as part of a census community, identify these areas as an "other area" for the county and state in which they are located and specify whether such area is rural, as defined in the NOFA, or non-rural and the number of square miles in such area.

For BIP only. Status of the census designated community or "other area" as unserved, underserved, or served

(A) Unserved. At least 90 % of households in the census designated community or "other area" lack access to facilities-based, terrestrial broadband service, either fixed or mobile, at the minimum broadband transmission speed; or

(B) Underserved (indicate all that apply. One is required)

(1) No more than 50 % of the households in the census designated community or "other area" have access to facilities-based, terrestrial broadband service at greater than the minimum broadband transmission speed;

(2) No fixed or mobile broadband service provider advertises broadband transmission speeds of at least 3 mbps downstream in the census designated community or "other area;" or

(3) The rate of broadband subscribership for the census designated community or "other area" is 40 % of households or less; or

(C) For BIP only, Served. (Please note that no more than 25% of the proposed funded service area may not meet the unserved or underserved definition, or does not meet the rural definition)

e) For BTOP. Status of each of the proposed last mile service areas as unserved or underserved

Unserved

- ☐ *At least 90 % of households in the proposed funded service area lack access to facilities-based, terrestrial broadband service, either fixed or mobile, at the minimum broadband transmission speed; or*

Underserved (Indicate all that apply. One is required)

- ☐ *No more than 50 % of the households in the proposed funded service area have access to facilities-based, terrestrial broadband service at greater than the minimum broadband transmission speed;*
- ☐ *No fixed or mobile broadband service provider advertises broadband transmission speeds of at least 3 mbps downstream in the proposed funded service area; or*
- ☐ *The rate of broadband subscribership for the proposed funded service area is 40 % of households or less*

Note: Last mile applicants are not required to answer this question.

Middle Mile Project: Required Data

The information above must be presented for every proposed funded service area for middle mile projects. Otherwise, the Application is deemed incomplete. The electronic application tool provides a field for every identified information component. Applicants should identify the name of the middle mile span and identify where it begins and ends. The applicant should identify the corresponding contiguous census block information associated with the middle mile span. In response to 14(c) and 14(d), applicants should provide the requested information in terms of the "last mile service area" associated with the middle mile project, which are those areas the applicants have interconnection points and expect last mile providers to connect to their network. The "last mile service areas" refer to the areas in which end users will benefit from the middle mile network, either through last mile service providers or through community anchor institutions that are directly connected to the network. Applicants should provide the population, households, and business information pertinent to their last mile service areas. In addition, applicants should provide information on the critical community facilities, community anchor institutions, and/or public safety entities expected to be direct customers of the middle mile span.

15. Non-Funded Service Area (BIP only): *If applicable, for all areas of an applicant's service area that will not be funded by BIP, please provide the following information in the aggregate for such areas:*

- ☐ Total population using the last decennial Census
- ☐ Total number of Households
- ☐ Total number of Businesses
- ☐ Total subscriber numbers

Relevant for BIP Applicants

Question #15 is for BIP-only. BTOP-only applicants do not need to answer this question.

16. Coverage Waiver: *There is a presumption that applicant will provide service to the entire territory of each census block included in the proposed funded service area, unless the applicant provides a reasoned explanation as to why providing coverage for the entire census block is infeasible. Applicants may be permitted to serve less than the entire census block under certain conditions. For example, an applicant might request to be relieved of this requirement if the census block exceeds 100 square miles or more or is larger than the applicant's authorized operating territory, e.g., it splits a rural incumbent local exchange carrier's (ILEC's) study area or exceeds the boundaries of a wireless carrier's licensed territory.*

State whether the applicant is seeking a waiver for providing less than 100% coverage of a census block. If YES, please provide supporting documentation.

- ☐ *Yes (provide supporting documentation)*
- ☐ *No*

Approach for Coverage Waiver Submission

Project service areas must be comprised of contiguous census blocks. There is a presumption that last mile project will provide service to the entire territory of each census block included in the service area. Please note last mile applicants must present a highly convincing rationale in order to secure a waiver of this requirement, and rejection of a waiver request may result in the rejection of your application. You should not request a waiver of this coverage obligation unless covering the entire census block would truly be infeasible. Please provide a similar table for any proposed funded service area, and upload supporting documentation.

17. Methodology for Area Status: *Describe the methodology, source of data, and analytical approaches used to determine whether the proposed funded service areas are classified as "unserved," "underserved," or for BIP, at least 75% rural [Limit One Page]*

Basis for Reaching Unserved or Underserved Conclusion

Provide a summary of the methodology along with key data points and analytical findings used to conclude that an area met the definition of unserved or underserved. This must be stated for every proposed funded area. The answer to this question will be used to evaluate compliance with the definitions of unserved and underserved. Applicants must therefore thoroughly research the area(s) and carefully account for the market reality with regard to any existing broadband access, service provider speeds, or adoption rates. If the state in which the project is located has undertaken a broadband mapping effort, it will be to your advantage to utilize the data provided in that effort. Applicants may also wish to conduct market surveys or carrier surveys to get this information with respect to their proposed funded service area.

It is important to note that the status determination is dependent on the grouping of service areas in Questions #13 and #14. Whether a particular census block qualifies as underserved may turn on how you decide to arrange the service areas.

Assume that three census blocks each contain 100 households, and that only 20 households in Block 1 have access to facilities-based, terrestrial broadband service, 40 households in Block 2 have access, and 60 households in Block 3 have access. If each census block is presented as a separate service area, Blocks 1 and 2 will qualify as underserved on the basis that in each block fewer than 50 percent of households have access to facilities-based, terrestrial broadband. Block 3 would not qualify as underserved on that basis. If, however, the three blocks are combined into a single service area, only 120 out of 300 households will have access to facilities-based, terrestrial broadband, meaning that the service area as a whole (including Block 3) will qualify as underserved on the basis of fewer than 50 percent of households having access to facilities-based, terrestrial broadband service.

As mentioned above, these designations will be subject to challenge by other service providers. The loss of such a challenge, even if it applies to only part of your application's overall service area, may result in the rejection of your application. Consequently, you should think carefully about how to structure your service areas so that each has the strongest possible claim to classify unserved or underserved.

18. Middle Mile Benefits: Identify the last mile service areas for which your middle mile project will provide service. *List the service providers with whom the proposed network proposes to interconnect with as well as the critical community facilities, community anchor institutions and public safety entities that the network will target as direct customers. Please provide the projected end users that will be served by these proposed connections and the basis for these end-user projections. If applicable, describe the level of need or vulnerability and how such connections will enhance services to the community beyond providing broadband service.*

Last mile applicants are not required to complete Question #18. Middle mile applicants must identify the benefits that the project will deliver to the area that will be directly impacted by the project. If the project is designed to directly connect community anchor institutions or public safety entities, the applicant should describe the purpose of these connections, how end users will be served by them, and how they will benefit the community. This discussion should be consistent with the competition data provided in Question #21. Any projections for end-user subscriptions should be consistent with the data provided in Question #49.

5. Proposed Service Offerings

19. Broadband Service Offerings for Last Mile Project: *Please download and upload Attachment A describing the proposed broadband service features for download/upload speeds, latency, and price (if applicable). * For price, state the price that a subscriber would have to pay absent special promotions and discounts.*

Note: Middle mile applicants are not required to answer this question.

Attachment A will be available online. Applicants can download the attachment, complete the form, and upload the form back to the online tool.

<u>Scope of Information</u>

For each proposed funded service area, the applicant must identify their service offerings, which includes all relevant tiers for residential and business markets, advertised speeds, average speeds, latency, and monthly pricing plan. If you have different pricing plans across proposed funding areas, then submit a separate pricing schedule and identify the service area(s) associated with that pricing plan.

<u>Defining Average vs. Advertising Speeds</u>

Average speeds should be the average sustained actual, non-burst speeds that an end user would receive during a peak hour. For purposes of calculating these speeds, applicants should utilize their subscriber projections from Question #49 for year 5 of the project, and develop

subscriber utilization projections that are consistent with any additional services the applicant plans to offer in Question #49. For wireless broadband services, this speed should be an average of the speeds available across an entire cell. Beyond these general guidelines, due to the multiplicity of technical solutions that may be proposed, the applicants must use discretion to determine the most reasonable manner in which to estimate actual speeds on their network. Applicants should be prepared to provide the underlying documentation and assumptions used to calculate the speed in the due diligence verification process.

Example of Proposed Last Mile Services Table

To submit the data requested in Question #19, NTIA recommends that you create a spreadsheet similar to the example provided in the application, modified as necessary to accommodate the details of your proposal, including any variation of the service offering across the proposed funded service area. Applicants that intend to offer broadband service bundled with other services (*e.g.*, phone or video) are strongly encouraged to also include at least one unbundled broadband service offering. The review of technical feasibility will look to see that the network, as designed, will be capable of delivering the advertised and average speeds submitted in Question #19.

***20. Service Offerings for Middle Mile Project**: Please download and upload Attachment B describing the service offerings including speed, price, and other facts that demonstrate the value of your service. In addition, please provide a description of how you will make it available to the broadest group of users (e.g. libraries, hospitals, educational institutions, public safety, etc.) and if there are any restrictions on use. (Two Page Limit).*

Note: Last mile applicants are not required to complete this question.

Attachment B will be available online. Applicants can download the attachment, complete the form, and upload the form back to the online tool.

Scope of Information

For each proposed funded service area for middle mile projects, the applicant must identify their service offerings – which include distance band, minimum peak load network bandwidth capacity, monthly pricing, and other relevant information to describe the middle mile service offering.

If you have different pricing plans across multiple proposed funding areas, then submit a separate pricing schedule and identify the service area(s) associated with that pricing plan.

21. Existing Broadband Service Providers and Services Offered: *Please complete and upload a table based on the formats provided in Attachment C. For last mile projects, describe the service offerings currently being advertised in the proposed funded service area. For middle mile projects, describe the middle mile service offerings currently being advertised in the last mile service areas of the proposed middle mile proposal.*

Last mile applicants should complete a table describing each competitor's high-speed Internet service offering for each proposed funded service areas. For each competitor, explain the following: a) technology; b) service tiers; c) advertised speeds for residential and business; and d) pricing. Include any other comments to explain your findings if necessary (i.e., that the listed price includes bundled voice service, or that the offering caps usage at 5 GB/month.)

Middle mile applicants should complete a table providing data on middle mile service offerings for each last mile service area associated with the project. For each competitor, explain the following: a) technology; b) service tiers; c) distance band; and d) pricing. Include any other comments to explain your findings if necessary.

22. Description of Network Openness: *Please explain how the proposed project will be consistent with the NOFA's non-discrimination and network interconnection obligations. In addition, describe the interconnection, non-discrimination, and network management practices that would be adopted if you are awarded BIP or BTOP funds. [One Page Limit]*

For Question #22, you must describe in detail the interconnection, nondiscrimination and network management practices that would be adopted for the project facilities. Applicants should describe how they will comply with nondiscrimination and interconnection obligations, particularly with connectivity to the public Internet and physical interconnection for the exchange of traffic. In addition in describing network management practices, applicants should disclose any practices in place to block access to illegal or harmful content.

Description of BTOP Non-Discrimination and Interconnection (BTOP Applicants Only) (Questions #23, #24, and #25)

23. Non-Discrimination Obligations (applicable to Last Mile and Middle Mile Applicants): *Please check the following boxes as applicable. Regarding non-discrimination, you will:*

- ☐ *Adhere to the minimum non-discrimination requirements as set forth in the NOFA.*
- ☐ *Display the nondiscrimination practices in a prominent location on the service provider's web page, and provide notice to customers of changes to these policies.*

24. Interconnection Obligations (applicable to Last Mile Applicants): *Please check the following boxes as applicable. Regarding interconnection, you will:*

- ☐ *Adhere to the minimum interconnection requirements as set forth in the NOFA.*
- ☐ *Display the interconnection policies in a prominent location on the service provider's web page, and provide notice to customers of changes to these policies.*
- ☐ *Commit to offering wholesale access to the project facilities at reasonable rates and terms.*
- ☐ *Commit to binding private arbitration of disputes concerning interconnection obligations.*

25. Interconnection Obligations (applicable to Middle Mile Applicants): *Please check the following boxes as applicable. Regarding interconnection, you will:*

- ☐ *Adhere to the minimum interconnection requirements as set forth in the NOFA.*
- ☐ *Display the interconnection policies in a prominent location on the service provider's web page, and provide notice to customers of changes to these policies.*
- ☐ *Commit to offering wholesale access to network components and services such as wavelength or fibers at reasonable rates and terms.*
- ☐ *Commit to binding private arbitration of disputes concerning interconnection obligations.*

Questions #23 through #25, provide additional detail on the applicant's commitment to non-discrimination and interconnection requirements. Your answers to these questions should be consistent with your response to Question #22. Middle mile applicants are not required to answer Question #24 and last mile applicants are not required to answer Question #25.

New

The network interconnection obligations for infrastructure projects apply both to networks that wish to exchange traffic with the awardee's customers, and to networks that wish to use the awardee's network to deliver broadband traffic to the Internet backbone. In other words, a third party may request interconnection purely as a means to send traffic across the awardee's facilities."

26. Cost per Household (BTOP only): *For last mile projects, taking into account the total cost of the proposed project, estimate the cost per household (provide supporting data for the proposed pricing).*

For Question #26, the cost per household is calculated by dividing cost of the project (the sum across the bottom row of the budget table in Question #45) by the total number of households passed (as specified in Questions #13 and #15).

27. Affordability: *Explain why the pricing for your broadband service offerings are affordable in comparison to the pricing of existing broadband services in proposed funded service area. If there are no existing broadband services in the proposed funded service area, please explain why the proposed pricing is appropriate for the area (provide supporting data for the proposal).*

Applicants should explain how they determined the proposed pricing for the area and then provide the pricing in context with existing broadband services in the area. Projects will be evaluated on the pricing of the service offered compared to existing broadband services in the proposed funded service area. In areas where there are no existing competitors to compare pricing to, applicants may opt to compare pricing with services offered in adjacent areas where broadband service is available and where pricing factors (*e.g.* population density, terrain, customer demographics) are similar. If no such areas exist, applicants may choose to compare pricing with regional or national prices. Applicants should explain any variation in their pricing above the comparison benchmarks.

6. Technology Strategy

28. Technology Type: *Please identify the network technology(ies) that will be used to deliver service to the final link to customer premises. Check all that apply.*

- ☐ *Wireline*
  - ☐ *xDSL*
  - ☐ *Coaxial cable*
  - ☐ *Fiber-optic cable*
  - ☐ *Broadband over Power Line*
  - ☐ *Hybrid system – Please specify* _____
  - ☐ *Other Wireline – Please specify* _____
- ☐ *Wireless*
  - ☐ *Terrestrial Fixed Wireless*
  - ☐ *Terrestrial Mobile Wireless*
  - ☐ *Satellite*
- ☐ *Other*_____

For Question #28, you should indicate which technology or technologies, if appropriate, you will use to deliver services to end users in the proposed funded service area. Please note that applicants should check all that apply.

29. System Design: *Provide a description of the system design used to deliver the broadband service. Please address and provide sufficient detail for a reviewer to evaluate the soundness of the design. [Three Page Limit]*

- *The key network components that enable connectivity from the end-user to the Internet backbone – showing what will be funded versus what already exists*
- *For wireless access, state the frequency, how much spectrum is available, technology used, morphology of the area, topology of the area, power levels at the user devices, whether or not mobile*
- *Specific advantages for using this particular technology strategy, taking into account service offering capacity, speed, reliability, and cost effectiveness*
- *Paths to upgrade the system and add additional capabilities in the future*

Applicants should use this question to describe the technical feasibility of their system design. The applicant should highlight the key elements of the system and specify which components will be funded with BTOP assistance. You should also be certain to explain the reasons you chose this technology or group of technologies and the reasons you believe these technologies are the best fit for the area and its customers. For example, if you are proposing a wireline broadband solution for the proposed area, you should indicate why this technology is the best

solution for that market and why, for example, you did not choose to install a wireless technology instead. You should explain how the system can be upgraded, if applicable, to add additional capabilities in the future.

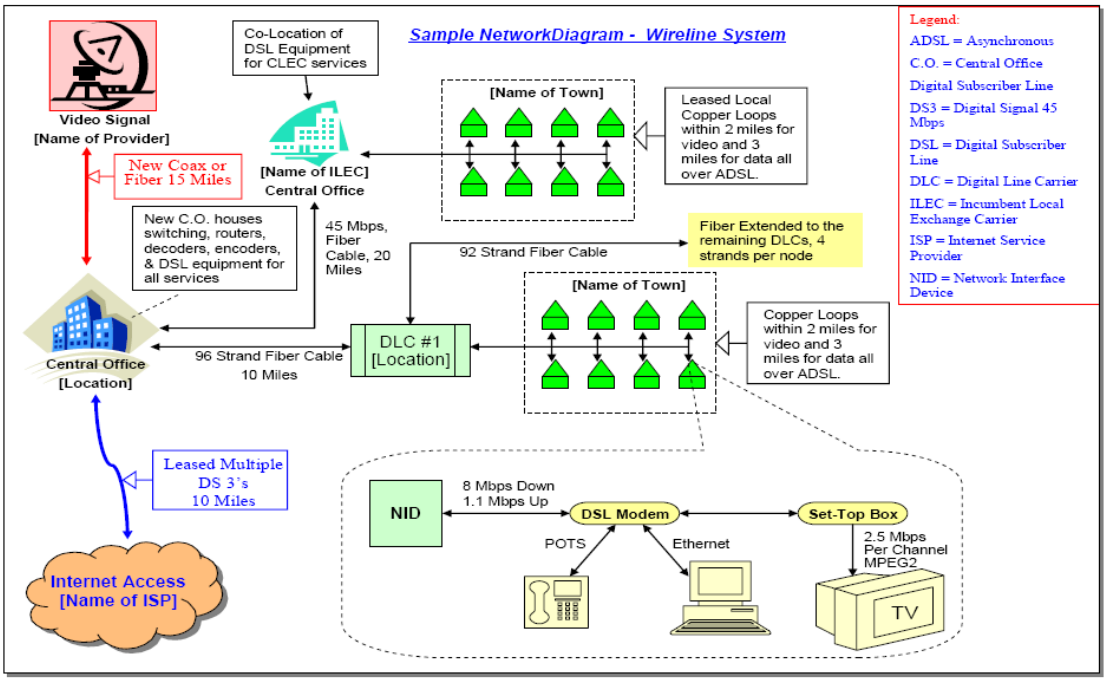
30. Network Diagram: *Provide a network diagram for your Project. An example is provided in the Guidelines for last-mile projects. The diagram must show:*

- *All the network elements and the capacity, facilities, and mileage between each element*
- *The types of facilities used in connecting all the network elements (fiber, copper, microwave, etc.)*
- *The points-of-connection with the backbone service providers, if applicable*
- *The proposed Aggregation Node facilities that will provide the egress point(s) from the broadband backbone to the networks of the selected service provider(s) and the selected Internet Service Provider(s) and any other value-added services that may be provided in the new infrastructure*
- *Wireless Systems: Please state the antennae height, cell site radius and approximate coverage area for each access point*
- *For middle mile projects, the points of interconnection in the proposed funded service area, including the extent to which these interconnection points are in unserved or underserved service area*

You should show how traffic originates on the network, and flows through the network, delineating which protocols are used on each link, and which technologies and standards are used at each junction. The diagram should include capacity constraints for each network element. The following diagrams illustrate the required level of depth.

Wireline Example

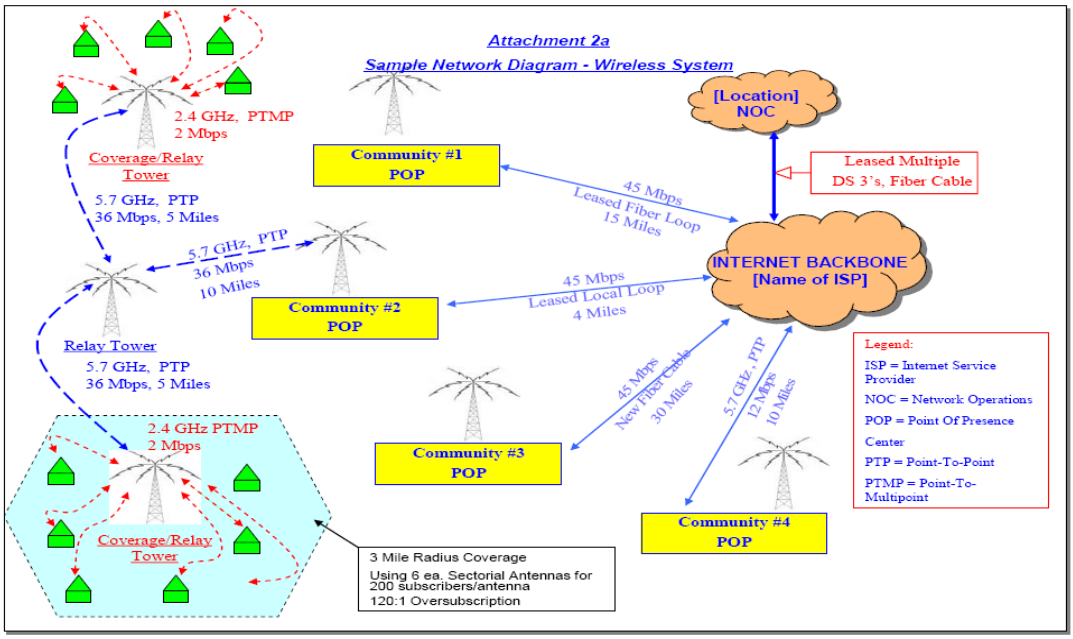
Sample Network Diagrams - Wireline



Wireless Example

ATTACHMENT 2b

Sample Network Diagrams - Wireless



31. Certification by Professional Engineer: *For Projects requesting more than $1 million in funding, the network diagram and system design must be certified by a Professional Engineer registered in the state(s) where the service will be provided. The certification must indicate that the proposed broadband system will work as described in the System Design and Network Diagram sections, and can deliver the proposed services outlined in the Service Offerings Section. Moreover, the certification must indicate that Applicant can meet the proposed build-out timeframe and will substantially complete the project within two years, and complete it within three years. Download and upload Attachment D.*

New

The information provided in Questions #30 and #31 must be certified by a professional engineer for projects requesting more than $1 million. For the purposes of BTOP, the certification must be from a professional engineer registered in any state irrespective of the location of the project(s).

32. Buy American Requirement: *Are you seeking a waiver of the Buy America provision?*

- ☐ *Yes. If yes, please provide a legal justification.*
- ☐ *No*

Applicants should be aware that the Recovery Act prohibits the use of funds that are used for the construction, alteration, maintenance, or repair of a public building or public work unless all of the iron, steel, and manufacturing goods used in the project are produced in the United States. This restriction is generally known as the Buy American provision. On July 1, 2009, the Secretary of Agriculture and the Secretary of Commerce each published a notice stating that they had granted a limited waiver of the Buy American provision with respect to BIP and BTOP funds used for certain broadband equipment. The scope of the waiver applies to the broadband equipment listed below.

Type of Broadband Equipment	**Purpose of the Broadband Equipment**
Broadband Switching Equipment	Equipment necessary to establish a broadband communications path between two points.
Broadband Routing Equipment	Equipment that routes data packets throughout a broadband network.
Broadband Transport Equipment	Equipment for providing interconnection within the broadband provider's network.

Broadband Access Equipment	Equipment facilitating the last mile connection to a broadband subscriber.
Broadband Customer Premises Equipment and End-User Devices	End-user equipment that connects to a broadband network.
Billing/Operations Systems	Equipment that is used to manage and operate a broadband network or offer a broadband service.

Note that the Buy American provision applies only to public works and public buildings. Private projects are exempt from the provision. If applicants form a public-private partnership (e.g., a corporation partnering with a local government), they will be treated as "public" and subject to the Buy American provision. If the applicant wishes to use iron, steel, or manufactured goods that are not covered by the Secretaries' waivers, it may request a limited waiver, on a case-by-case basis, as part of its application. The applicant's request must provide the legal justification for receiving the waiver. The items not currently subject to the waiver include fiber optic cables, coaxial cable, cell towers, and other facilities or goods that are produced in sufficient quantities in the United States.

33. Choice of Service Provider: *Does the project's infrastructure and the company's business plan allow more than one provider to serve end users in the proposed funded service area?*

- ☐ *Yes*
- ☐ *No*

The applicant should discuss whether more than one service provider will be able to offer services using the funded network facilities, and, if so, how such access would be facilitated from both a business and technical perspective. This question asks whether more than one service provider will be able to provide service to end users using the funded facilities. This answer should be consistent with the description of non-discrimination and interconnect for Question #22.

7. Project Milestones and Completion Factors

34. Infrastructure Build-out Timeline: *Using the format provided in Attachment E please complete and upload the build-out timeline showing the following on a quarterly basis for each year of the project (based on the date of award funding).*

- *Milestones: Milestones for key network build-out stages, including: a) network design; b) securing of all relevant licenses and agreements; c) site preparation d) equipment procurement; e) inside plant deployment f) outside plant deployment ; g) equipment deployment; h) network testing; and i) network complete and operational.*
- *Covered Households, Businesses and Community Anchor Institutions/Public Safety Entities: The number and percentage of households, businesses, community anchor institutions, public safety entities and/or critical community facilities in the proposed coverage footprint that will have access to the network.*
- *Challenges: Describe the key challenges, if any, to a timely completion of the project, including any applicable mitigation plans.*

Using the format in Attachment E, applicants should list the major network build-out phases and milestones that demonstrate that your entire project will be substantially complete by the end of Year 2. For BTOP, a project is considered "substantially complete" when the awardee has met 67 percent of the project milestones and received 67 percent of its award funds. Projects will be evaluated on the demonstrated ability of the applicant to promptly start the project and the reasonableness of the project timeline and associated milestones. NTIA encourages project schedules that will be completed in two years.

Indicate the milestones you set forth will demonstrate these completion objectives. The applicant should describe the milestones outlined in the question, as well as any other milestones that showcase progress. Many of these areas should be substantially completed by the end of Year 2 to demonstrate 67 percent total project completion.

Project inception (Year 0) starts at the date when the applicant receives notice that the project has been approved for funding. Please address the milestones listed in the table, and any others needed to demonstrate progress. On a separate sheet, describe the key challenges, if any, to the timely completion of the project, including any applicable mitigation plans.

35. Licenses, Regulatory Approvals and Agreements: *Please list all of the licenses and regulatory approvals required to implement and operate the proposed project, and indicate the status of each. Please address the following if relevant: Tower Leases, Equipment Leases, Building Leases, Land Leases, FCC Authorizations, State Authorizations, Video Franchise Agreements, Leasing of Local Loops, etc.*

When compiling this list for Question #35, applicants are encouraged to consider all federal, state and local approvals and licenses that may be required. These may include FCC licenses and certificates, state certifications, local rights of way, and local franchise agreements.

36. Construction and Vendor Contracts: *Identify the extent to which you intend to rely on contractors and/or vendors to deploy the network facilities. Please provide any evidence that contractors and/or vendors are ready to enter into agreements with the applicant, should the application be approved. Signed contracts or other signed agreements would carry the most weight with respect to evidence, but are not necessary.*

For Question #36, applicants should indicate whether they will deploy network facilities themselves or will be using contractors or vendors for this purpose. If you will be relying on contractors or vendors, please submit evidence such as signed contracts or letters from contractors and vendors that demonstrate your organization's preparedness to execute the proposed project in a manner that is consistent with the proposed timeline.

37. Management Team Resumes: *Provide resumes of the senior management team and project team members significant to the project's success. Please identify their years of experience and relevant expertise with projects of similar size, scope and complexity. Please identify specific prior (or current) projects, dates, and outcomes that showcase the management team's track record as relevant to executing this project. [Each resume can be up to one page; limit overall summary of track record to one page.]*

The answer to Question #37 should help to make the case for the proposed project's viability, all applicants will submit the resumes of persons with significant management responsibilities or other responsibilities vital to the success of the proposed program. In addition to the resumes, you will submit a summary of past projects that illustrate the preparedness and/or expertise of your team.

38. Organizational Readiness: *Describe key factors to indicate how your organization will be prepared to implement, manage and operate a broadband services network. Describe the organizational governance and management. Address how your organization will ensure that the necessary sales, operational, and billing support systems are in place to provide the proposed services (e.g., network management, provisioning, billing and customer care, etc.)*

Applicants should describe the organizational mechanisms you have established to handle the implementation, management, and operation of the proposed broadband services network. You should also discuss how you plan to handle functions such as network management, billing, and customer care, and indicate whether any of these systems are already in place. If multiple organizations and key partnerships are involved in the project, the applicant should describe how these additional partners will enhance the "organizational readiness" for the project.

39. Organizational Chart: *Please include an organizational chart that details the structure of your organization including any parent, subsidiary, affiliates, or partnership organizations.*

Applicants will submit a chart showing the governance and management structure of their organizations, and how the project team fits into the organization. If multiple agencies or key partnership are involved with the project, the organizational charts should reflect the partnership.

40. Legal Opinion: *Please complete and upload the attached legal opinion (Attachment F) that addresses the applicant's ability to enter into the award documents and that describes all pending litigation matters, and additionally for loan and loan/grant combinations, that addresses the applicant's ability to pledge security as required by the award documents.*

All applicants will submit a legal opinion that verifies that the applicant can enter into the loan, grant or loan/grant agreement. Additionally for BIP applicants seeking a loan or loan/grant combination, the legal opinion will address the applicant's ability to pledge security as required by the loan or loan/grant agreement.

BIP applicants should describe any pending litigation matters involving the applicant. BTOP-only applicants are only required to describe "material" litigation matters. For this purpose, "material" litigation means any litigation that is deemed significant to an applicant's financial health and would be required to be referenced in the applicant's annual audited financial statements, report to shareholders or similar documents.

41. Government and other Key Partnerships: *If applicable, please identify your strategy for partnering with unaffiliated organizations in the project area (from the public, non-profit, and private sectors), particularly community anchor institutions and public safety entities, that will play an integral role in the Project's planning and ongoing operations. Identify each organization, the type and degree of its role and/or contribution, and projected impact. Please provide documentation of support from each of the organizations identified. (½ Page limit for summary, no limit on supporting documentation)*

Applicants should describe all agencies and key partners involved with the project, as well as the role these agencies play in the success of the project. Applicants should also illustrate the level of local community participation in the proposed project. Please identify organizations from the public, non-profit, and private sectors, with particular attention to community anchor institutions and public safety entities, that will be involved in the project. For example, applicants could partner with a local government to offer Wi-Fi services throughout a city. You should also outline each organization's planned role in the project. Submit documentation, such as letters of support, from each of the organizations that will be involved in the project. You must provide the name and address for each partner organization, as well as the name and contact information (at minimum, a phone number or email address) for a contact person at each partner organization.

42. Recovery Act and Other Governmental Collaboration: *Describe how your project will leverage Recovery Act or other state or federal development programs such as Department of Energy, Department of Transportation and Department of Housing and Urban Development Recovery Act programs. Please identify the programs themselves and the dollar value of those programs. In addition, specify how collaboration can lead to greater project efficiencies. [One Page Limit]*

Applicants are encouraged to collaborate with other Federal or state government programs, including any other Recovery Act programs. Some examples of Federal programs are listed in the chart below:

Examples of federal programs that may be leveraged:

Department of Housing and Development:
- Public Housing Capital Fund Program
- Native American Housing Block Grant
- Assisted Housing Green Retrofit Program

National Science Foundation
- Academic Research Infrastructure Program: Recovery and Reinvestment (ARI-R^2)
- Major Research Instrumentation Program (MRI-R^2)

Department of Health and Human Services
- State and state designated entity grants for use of electronic health information

Department of Energy
- Smart Grid Investment Program

Department of Transportation
- Assistance for High Speed Rail Corridors and Intercity Passenger Service program.

Appalachian Regional Commission
- Area Development Program

Delta Regional Authority
- State grant funding program

BTOP Applicants Only
(Question #43)

43. Partnering with Disadvantaged Small Businesses: *If applicable, indicate whether you have established agreements in principle to contract with socially and economically disadvantaged small businesses (SDB), as defined by section 8(a) of the Small Business Act, 15 U.S.C. §637. If you have established a partnering relationship with an SDB, please specify the arrangements of that partnership. [1/2 Page Limit]*

All applicants should identify any agreements in principle that they have established with socially and economically disadvantaged businesses, as defined by Section 8(a) of the Small Business Act (15 U.S.C. § 637(a)(4)). To demonstrate that the partnership is valid, we recommend that applicants submit letters of support from any entity they list in this question.

8. Project Budgets

44. General Overall Budget: *Please fill out the following table.*

Budget							
	Loan Request	**Grant Request**	**Equity**	**Debt**	**Bonds**	**Other Funding**	**Total**
Network & Access Equipment (switching, routing, transport, access)							
Outside Plant (cables, conduits, ducts, poles, towers, repeaters, etc.)							
Buildings and Land – (new construction, improvements, renovations, lease)							
Customer Premise Equipment (modems, set-top boxes, inside wiring, etc.)							
Billing and Operational Support Systems (IT systems, software, etc.)							
Operating Equipment (vehicles, office equipment, other)							
Professional Services (engineering design, project management, consulting, etc.)							
Testing (network elements, IT system elements, user devices, test generators, lab furnishings, servers/computers, etc.)							
Site Preparation							
Other							
Total Broadband System							

All applicants for Broadband Infrastructure projects must complete the overall budget, which summarizes how the applicant plans to finance the major categories of project expenses. To

improve your chances of receiving a BTOP award, you should include the greatest possible cash match and the greatest possible overall match.

45. Detailed Budget: *Please download and upload Attachment G, a detailed budget of the proposed project.*

Attachment G will be available online. Applicants can download the attachment, complete the form, and upload the form back to the online tool. All applicants must provide a detailed budget in the standardized format provided. Please ensure that all costs listed are reasonable.

46. Reasonableness: *Concisely and convincingly explain why the unit price and total number of units required for this project are reasonable to deliver your proposed services in the designated proposed funded service areas. Provide any relevant data and summaries of your analysis (e.g., industry benchmarks around units required per household or institutions served, etc.) [One Page Limit]*

For Question #46, all applicants must submit a narrative that the total number of units and price of units in the proposed project budget is reasonable, necessary, and appropriate for the project being proposed. Cost breakdowns by categories should be captured in the detailed budget for all pertinent line items you feel are of particular importance to your program. At a minimum, you should discuss cost and revenue breakdowns by major categories as appropriate and you may make note of any special cost or revenue concerns that reviewers should know about when reviewing your application. Where possible, you should link costs to the benefits and end results of those expenditures, and justify these costs by describing your process to ensure that with each budget line item, you are spending the least amount possible for the largest program impact, and executing your program as a careful steward of the funds under your control.

47. Historical Financial Statements: *Please provide the following financial statements for the last two (2) years: a) Income Statement; b) Balance Sheet; and c) Statement of Cash Flows (CPA audits if available); start-up firms should provide the most recent financial statements.*

The applicants must submit a detailed set of financial statements or reports associated with their organization's regular operating activities and financial status. A standard annual Income Statement, Balance Sheet, and Statement of Cash Flows based on generally accepted accounting principles (GAAP) is preferable. If multiple agencies or key partnerships are involved in the proposed project, the applicant may use discretion on whether to include the historical financial statements for the partners.

If your organization cannot readily produce this data in a standard format, you should explain why not, and provide comparable data, such as figures collected in your most recent IRS Form 990 report, or in an annual accounting and financial audit, that provides as detailed a picture as possible of your financial history for a minimum of two years (or, if less, the length of time your organization has been in business) prior to your submission of this application. If appropriate, you may include Notes on Financial Statements to include explanation of cost and revenue breakdowns by major categories as appropriate, and you may make note of any abnormal or one-time charges, large liabilities or asset transactions, legal actions, and any other financial events you feel require explanation.

48. Broadband Subscriber Estimates: *Please download and upload Attachment H, regarding subscriber projections, including households, businesses, community anchor institutions, public safety entities, and/or critical community facilities for each of your service offerings, along with a brief description of the methodology used to forecast this on a separate sheet. For last mile subscribers, provide your estimated take rate (the percentage of total customers passed who will subscriber to your service), along with a brief description of the methodology used to forecast this.*

Attachment H will be available online. Applicants can download the attachment, complete the form, and upload the form back to the online tool.

All applicants for last mile infrastructure projects should indicate their subscriber forecasts with a breakdown by type of subscriber (households, businesses, community anchor institutions, public safety entities, and critical community facilities) and service offerings. Last mile applicants also must provide an estimate of the "take rate," which is the number of customers that will subscribe to the applicant's proposed service divided by the total number of customers passed by the applicant's proposed facilities. They may do this on a separate sheet of paper.

Finally, last mile applicants must explain the methodology used to derive these forecasts and estimates, including the assumptions and data upon which each of the forecasts and estimates is based.

Middle mile applicants should indicate their subscriber forecasts in terms of the end users served via the last mile service providers that are connected to their middle mile network. Middle mile applicants should also provide a reasoned basis for these subscriber forecasts (*e.g.* agreements in principle with existing or planned last mile service providers, market studies, etc). Applicants may do this on a separate sheet.

49. Other Services (BIP Only): *Please download and upload Attachments I and J, regarding other services that you plan to sell or provide in addition to broadband Internet access service. (e.g., Voice, Video, etc).*

BTOP-only applicants do not need to fill out Question #49.

50. Pro Forma 5-Year Financial Forecast and Assumptions: *Please submit the following pro-forma financial statements (on an annual basis) for a five (5) year forecast period as applicable: Balance Sheet, Income Statement, and Statement of Cash Flows. Please use Attachment K, L, and M to document the components of the financials.*
In addition, please upload a table(s) that list all assumptions used to produce the financials and a brief explanation of why each assumption is reasonable for your business case.

All applicants for infrastructure projects must submit five years worth of annual pro forma financial forecasts. This information should show that if the applicant receives the requested funding, the project will be financially sustainable five years from the award date. You should detail projected revenues from sources other than this grant program, and your expectations of how those funding levels may change over time. Please note that the applicant should create and upload the table listing all assumptions used to produce the financials.

If your organization cannot readily produce this data in a standard format, you should explain why not, and provide comparable data.

51. Commitment of Capital Funding Support: *Please identify all sources of funding committed to the project (other than the funding sought through the BIP or BTOP award) including the funds from federal and non-federal sources. Please include the following:*

- *Name of Party*
- *Funding Amount [and % of project cost]*
- *Type of Funding (e.g., grant match, equity, debt, internal, other)*
- *Use of Funding (infrastructure, working capital, operating losses, other)*
- *Key Financing Terms and Conditions*

You must provide all sources for project funding, including funds from other federal sources. If your project moves to Step 2, then you would be responsible for confirming these sources of funding. A failure to provide supporting detail could result in rejection of application.
An example is provided below.

BTOP Applicants Only
(Questions #52, #53, #54, and #55)

52. Matching Funds: *Please specify the percentage of matching funds you will contribute to the project, as well as the total amount of the contribution, as well as the specific amounts that are in cash, in-kind, and/or a combination thereof. If you have requested a waiver of the matching requirement, provide a letter attachment clearly defining your financial need. An applicant applying for a waiver should submit complete financial documentation, including its assets, liabilities, operating expenses and revenues, and any other documents that would demonstrate financial need, such as a denial of funding from a public or private lending institution.*

- ☐ *_____%*
- ☐ *Total Contribution $_____*
- ☐ *Cash $_____*
- ☐ *In-kind $_____*

All applicants must describe the matching fund amounts, both cash and in-kind, that your organization and its funding sources will provide directly to the execution of this project. You will receive additional consideration for exceeding the 20 percent federal match minimum threshold, and you are strongly encouraged to use every means possible to consolidate additional cash funds to apply to this project from any sources available to you, including state and local government, charitable and other non-profit grants, donations, economic development funds, and financial assistance programs. You are also encouraged to seek in-kind

contributions to be directly used in the execution of this project. These in-kind contribution costs must be directly attributable to a budget item you have identified for executing your project, and must be an "eligible cost" as defined in the Notice of Funds Availability for this program. Such costs may be products, services, equipment, or other forms of direct assistance to your proposed project. In-kind contributions that are shared-use with other activities or projects not directly involved with this program will not be eligible for application to matching fund amounts in most cases, and should be included only if you can clearly demonstrate the proportion of those shared-use contributions that will apply directly to your proposed project.

As provided in 48 U.S.C. § 1469a, the requirement for local matching funds under $200,000 (including in-kind contributions) is waived for the Territorial governments in Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands. Grant funds under this program will be released in direct proportion to the documented expenditure of matching funds.

53. Demonstration of Financial Need: *Please explain the reasons regarding why the project would not have been implemented "but for" federal grant assistance. Provide any key data points and analysis to substantiate this case. The NOFA provides examples of documentation that can be used to make this case.*

In Question #53, all applicants must clearly outline how and why their proposed project requires federal grant assistance and would not have been possible during the grant period without these funds. You may provide evidence such as a denial of funding from a public or private lending institution, denial of a funding request from RUS for a loan or loan/grant combination, a current fiscal year budget that shows the lack of available revenue options for funding the project, or a business case that demonstrates that the project would not be economically feasible without grant financing. If you have never applied for funding of any kind before, you should articulate why you have not, and why funds provided under the BTOP program are appropriate.

54. Unjust Enrichment: *Please state whether this project is receiving or if you have applied for any Federal support for non-recurring costs in the area for which you are seeking an award. If so, please state how much and from which federal program.*

In Question #54, all applicants must disclose whether they (or their projects) are receiving, or have requested, Federal support for non-recurring costs in the service area for which they are seeking an award. Non-recurring costs are one-time capital expenses. In awarding grants under BTOP, NTIA will consider whether an award for a proposed infrastructure project will

result in unjust enrichment through support for project-related non-recurring costs through another federal program. Note that applicants are encouraged to leverage funding from this program with funding from other federal programs. Such leveraging will not be considered unjust enrichment unless applicants receive duplicative federal funding to cover the same costs.

55. Disclosure of Federal and/or State Funding Sources: *Disclose the source and amount of other federal or state funding including, but not limited to all Universal Service Funds, the applicant has received or has requested for activities or projects to which the application relates.*

In Question #55, all applicants must disclose the source and amount of other federal or state funding the applicant has received, or has requested, for projects to which the application relates. This disclosure must include funding from all Universal Service Fund funds including, but not limited to, funding from the Schools and Libraries Program, Rural Health Care Program and Pilot Program, and the High Cost Program.

56. Self Scoring Sheet: Please complete the self-scoring chart for the applicant's proposal.

BTOP-only applicants do not need to fill out Question #56.

9. Certifications Requirements for BTOP

Certifications

(i) I certify that I am authorized to submit this grant application on behalf of the eligible entity(ies) listed on this application, that I have examined this application, that all of the information and responses in this application, including certifications, and forms submitted, all of which are part of this grant application, are material representations of fact and true and correct to the best of my knowledge, that the entity(ies) that is requesting grant funding pursuant to this application and any subgrantees and subcontractors will comply with the terms, conditions, purposes, and federal requirements of the grant program; that no kickbacks were paid to anyone; and that a false, fictitious, or fraudulent statements or claims on this application are grounds for denial or termination of a grant award, and/or possible punishment by a fine or imprisonment as provided in 18 U.S.C. §1001 and civil violations of the False Claims Act.

(ii) I certify that the entity(ies) I represent have and will comply with all applicable federal, state, and local laws, rules, regulations, ordinances, codes, orders and programmatic rules and requirements relating to the project. I acknowledge that failure to do so may result in rejection or deobligation of the grant or loan award. I acknowledge that failure to comply with all federal and program rules could result in civil or criminal prosecution by the appropriate law enforcement authorities.

(iii) I certify that the entity(ies) I represent has and will comply with all applicable administrative and federal statutory, regulatory, and policy requirements set forth in the DOC Pre-Award Notification, published in the Federal Register on February 11, 2008 (73 FR 7696), as amended; DOC Financial Assistance Standard Terms and Conditions (Mar. 8, 2009); DOC American Recovery and Reinvestment Act Award Terms (April 9, 2009); and any Special Award Terms and Conditions that are included by the Grants Officer in the award."

Authorized Representative's Signature _____Date_____

Name: _____

Title: _____

Other Federal Forms and Certification Requirements
BTOP Applicants Only SF-424D, Construction Programs (Attachment N) CD-511, Certification Regarding Lobbying (Attachment O) SF-LLL, Disclosure of Lobbying Activities (Attachment P) CD-512, Certification Regarding Lobbying—Lower-Tier Covered Transactions (Attachment Q)
BIP Applicants Only Equal Opportunity and Nondiscrimination Certification Certification Regarding Architectural Barriers Uniform Relocation Assistance and Real Property Acquisition Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions Certification Regarding Lobbying for Contracts, Grants, Loans and Cooperative Agreements
Both BIP and BTOP Applicants Network Design and Implementation Plan Certification (Attachment D) Schedule: A-1 Congressional Districts (Part L of the Broadband Infrastructure Application) Legal Opinion (Attachment F)

Attachments N, O, P, and Q are standard forms and will be available on www.broadbandusa.gov. Applicants can download the attachments, complete the forms, and upload the forms back to the online tool.

The documents listed above need to be certified and completed by the applicant to ensure compliance with Federal Statutes and regulations. All applicants must complete the certifications section of the application. You should read each certification carefully to ensure

that you understand and agree to it before signing. Using the forms, schedules and attachments "as-is" will expedite application processing.

10. Step Two

For the purposes of the Step Two process, applicants will be asked to submit additional information to further substantiate the representations made in their applications.

Step Two – *The following will be required in Step Two for BIP and BTOP Broadband Infrastructure Applications:*

1. ***Outstanding Obligations:*** *The applicant must provide a list of all outstanding and contingent obligations, including copies of existing notes, loan and security agreements, and guarantees;*

2. ***Working Capital****: The applicant must provide a detailed description of working capital requirements and the source of these funds;*

3. ***Detailed Network Design****: A detailed description of the proposed technology that will be used to provide service at the proposed broadband speed. This description must clearly demonstrate that all households in the proposed funded service area will be offered service at the proposed broadband speed;*

4. ***Detailed Build-Out Schedule:*** *The application must provide a detailed construction build-out schedule that includes a description of the necessary work force, a timeline demonstrating project completion within the required timeframe, a depreciation schedule for the proposed facilities, the appropriate environmental review documentation prepared in accordance with 7 CFR Part 1794 and other applicable environmental requirements, and other information listed as required within the online application;*

5. ***Environmental Questionnaire:*** *the applicant must download and upload the environmental questionnaire and any other applicable documents;*

6. ***Underlying Documentation****: applicants will need to be prepared to provide any of the underlying documentation that is referenced in the application, as appropriate; and*

7. ***Service Metric****:* ***For BIP applicants only****, the applicant must provide a description of measurable service metrics and target service level objectives (SLOs) (e.g., the speed with which new service will be established, service availability, and response time for reports of system failure at a residence) that will be provided to the customer, and a description of the approach and methodology for monitoring ongoing service delivery and service quality for the services being employed.*

After the eligibility screening and the initial peer/expert reviews, applications that are considered the most highly qualified for BIP or BTOP will advance to the step 2, "due diligence," review for further consideration by the relevant agency. At that time, applicants will be asked to submit the additional information listed above to further substantiate the representations made in their application. This phase of the review process will be announced no earlier than September 14, 2009. The information must then be submitted to the agencies online at http://www.broadbandusa.gov by October 15, 2009 or, alternatively, 30 days after the applicant has received a request from RUS or NTIA to provide such information, whichever is later.

Environmental Questionnaire (included in Step Two)

Applicants for broadband infrastructure projects whose applications reach step 2 of the review process must complete the environmental questionnaire below to comply with the National Environmental Policy Act, the National Historic Preservation Act, and the Endangered Species Act.

i. Project Description: *Describe all project-related construction activities, including, but not limited to building construction related to installing pre-fabricated buildings; internal modifications, or equipment additions to buildings or other structures (e.g., relocating interior walls or adding computer facilities); the construction and installation of buried cable; or installation of telecommunications transmission facilities including construction of new monopole towers, satellite dishes. Complete descriptions must be provided for each site affected by project-related construction activities.*

ii. Map: *Include a map for each site affected by construction (recommend U.S. Geological Survey 7.5-minute quadrangle maps at a map scale of 1:24,000; larger scale maps may be provided for site-specific proposals). USGS maps may be obtained and purchased at the following website: http://www.usgs.gov/pubprod/maps.html. If appropriate, photographs or aerial photographs of site-specific proposals may be provided.*

iii. Property Changes: *Describe and indicate the amount of property to be cleared, excavated, fenced, or otherwise disturbed by the project and describe the current land use and zoning for each project site affected by construction including whether the project is proposed to be located on public land owned or managed by the federal government.*

iv. Buildings: *Describe buildings or other structures (i.e., transmission facilities), including dimensions, to be constructed or modified. For linear projects, state whether the project is to be located on or within previously disturbed public rights-of-way.*

v. Wetlands: *Describe and indicate whether wetlands are present on or near the project site(s) affected by construction (maps of wetlands may be obtained from the U.S. Fish and Wildlife Service's National Wetland Inventory website: http://www.fws.gov/wetlands/ or from soil maps obtained from the USDA, Natural Resource Conservation Service's website: http://websoilsurvey.nrcs.usda.gov/app/HomePage.htm).*

vi. Critical Habitats: *Describe and indicate whether any project site(s) include or are near critical habitats or will affect any threatened, endangered or candidate species. Applicants must provide species lists and appropriate specie accounts obtained from the U.S. Fish and Wildlife Service's website: http://ecos.fws.gov/tess_public/ for each county affected by construction of the project.*

vii. Floodplains: *Describe whether or not any facility(ies) or site(s) are located within a 100 or 500-year floodplain. Information related to floodplains and National Flood Insurance Maps may be obtained from the Federal Emergency Management Agency's (FEMA) website http://www.msc.fema.gov/webapp/wcs/stores/servlet/CategoryDisplay?catalogId=10001&storeId=10001&categoryId=12001&langId=-1&userType=G&type=1. If any project-related construction activities are within floodplains, a copy of the FEMA, "FIRMette" with construction activities depicted on the map must be included. For obtaining FIRMettes review the tutorial provided by FEMA*

viii. Protected Lands: *Describe any cultural resources, including historic properties, i.e., properties listed in or eligible for listing in the National Register of Historic Places, which are located in or within a one-mile radius of the project area and how they may be impacted by the project. Information related to historic properties can be obtained from the State Historic Preservation Office (SHPO) in your respective State – see the website of the National Conference of SHPO: http://www.ncshpo.org/find/index.htm or from the Tribal Historic Preservation Officer (THPO) when tribal lands are involved. Applicants must gather information about the nature and location of these properties from the SHPO. SHPOs should be asked the following questions:*

1. *Is the proposed project located on, within or adjacent to any properties listed in or eligible for listing in the National Register of Historic Places? Is the proposed project located on, within or adjacent to a National Historic Landmark? If the answer is yes, describe and indicate the geographic relationship between the project and property with maps.*
2. *Will the proposed project impact, use or alter a building or structure that was constructed more than 50 years ago? If so, describe the building/structure with a statement of its condition, including photographs, and document its age.*
3. *Is any portion of the project located on tribal lands, meaning lands within the exterior boundaries of any Indian reservation and all dependent Indian communities?*

4. *Applicants must provide SHOP/THPO responses/information to these questions including any correspondence with the SHPO/THPO, as applicable.*

ix. Coastal Areas: *Determine whether or not the project is within the boundaries of a coastal zone management area (CZMA). For boundary related and contact information related to CZMA, see National Oceanic and Atmospheric Administration, Office of Ocean and Coastal Resource Management's website: http://coastalmanagement.noaa.gov/consistency/welcome.html.*

x. Brownfields: *Determine whether the project is located within a brownfield site. Per 42 U.S.C. 9601, the term "brownfield site" means real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant. Maps and locations of sites, facilities and properties that have been contaminated by hazardous materials and are being, or have been, cleaned up under EPA's Superfund, RCRA and/or brownfields cleanup programs can be found at the following website: http://iaspub.epa.gov/Cleanups/*

Note: The applicant may submit a copy of any environmental review document that has been prepared in connection with obtaining permits, approvals, or other financing for the proposed project from State, local or other federal bodies. Such material, to the extent relevant, may be used to meet the requirements herein.

Printed Legal Name of Applicant:

Signature: Date:

The applicant's representative certifies to the best of his/her knowledge and belief that the information contained herein is accurate. Any false information may result in disqualification for consideration of financial assistance or the rescission of financial assistance.

Section B: Public Computer Centers

1. General Application Information

The Public Computer Center category will fund projects that expand public access to broadband service and enhance broadband capacity at entities that permit the public or a specific vulnerable population to use these computing centers. Potential sponsors of, and locations for, public computer centers include, but are not limited to, community colleges, libraries, schools, youth centers, employment service centers, Native American chapter houses, community centers, senior centers, assistive technology centers for people with disabilities, community health centers, and Neighborhood Network Centers in public housing developments.

Projects must create or expand a public computing center in a manner that meets a specific public need for broadband service, including but not limited to education, employment, economic development, and enhanced service for health care delivery, children and vulnerable populations.

The instructions below will help you complete the questions posed by the application.

1-A. Name, Address, and Federal ID for Applicant	
i. Legal Name:	*ii. Employer/Taxpayer Identification Number (EIN/TIN*
Street 1: _____ *Street 2:* _____ *City:* _____ *County:* _____ *State:* _____ *Province:* _____ *Country:* _____ *Zip/Postal Code*_____	

Please provide identifying information for the applicant. If there are multiple organizations involved in the project, designate as "the applicant" the entity that would enter into a grant with NTIA and assume operational and financial responsibility should an award be made (i.e., an Authorized Organizational Contact (AOC) as designated by CCR).

Applicants that involved multiple organizations and the key partnerships for the project should identify that information in the Executive Summary (Question #7), Organizational Chart (#26), and Government and Other Key Partnerships (Question #27).

1-B. Name and Contact Information of Person to be Contacted on Matters Involving this Application:	
Prefix: _____	*Telephone Number:* _____
First Name: _____	*Fax Number:* _____
Middle Name: _____	*Email:* _____
Last Name: _____	*Other (Specify):* _____
Suffix: _____	
Title: _____	

Enter full, accurate name and contact information for the person to be contacted on matters involving this application. It is crucial that we have accurate information, including a reliable phone, email, and fax number for rapid correspondence. Please complete this in full and attach a sheet if you want to provide additional contacts.

1-C. Other Required Identification Numbers	
*i. Organizational DUNS:*_____	*ii. CCR :*_____
*iii. Funding Opportunity #:*_____	*iv. Catalog of Federal Domestic Assistance #:*_____

As required by the Office of Management and Budget, all applicants must supply a Dun and Bradstreet Data Universal Numbering System (DUNS) number. Your organization can obtain a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1-866-705-5711 or via the Internet at http://www.dunandbradstreet.com. For more information about DUNS numbers, see http://fedgov.dnb.com/webform/pages/dunsnumber.jsp.

Please enter the applicant's Central Contractor Registration (CCR) number (also known as a CAGE number). If your organization does not have a current CCR (CAGE) number, you must register in the CCR system available at http://www.ccr.gov/StartRegistration.aspx.

If there are multiple organizations involved in the project, only "the applicant" will need to supply the Organizational DUNS and CCR information.

NOTE: You will need to have a DUNS number in order to obtain a CCR number.

The federal funding opportunity number for BTOP is 0660-ZA28.
The CFDA number for BTOP is 11.557.

1-D Eligible Entities
Please classify your organization. (Note: If there are multiple organizations involved in the project, designate the lead applicant that would enter into a Loan or Grant agreement with the Agency and assume operational and financial responsibility should an award be made).
Local, State, or Other Government Entity
☐ *State or State Agency*
☐ *Political subdivision of a State, including Local or County Government*
☐ *District of Columbia*
☐ *Territory or Possession of the United States*
☐ *Indian Tribe*
Not for Profit Entity
☐ *Non-Profit Corporation*
☐ *Non-Profit Foundation*
☐ *Non-Profit Institution*
☐ *Non-Profit Association*
For Profit Entity
☐ *For-Profit Corporation, LLC*
☐ *Socially and economically disadvantaged small business concern (SDB) as defined by section 8(a) of the Small Business Act, 15 U.S.C. §637*
Other
☐ *Cooperative or Mutual*
☐ *Native Hawaiian organization*
☐ *Please identify any others: _____*

Please select the appropriate classification for your organization. This information will be used for reporting.

Applicants who are SDBs receive additional consideration in the review process. Note that the applicant need not be certified as an SDB, but must meet the definition of a SDB under the Small Business Act (15 U.S.C. § 637(a)(4)). For the purposes of this program, a small business concern is a firm that, together with its controlling interests and affiliates, satisfies the Small Business Administration's size standards for the applicant's industry classification, or is a broadband service or infrastructure provider with average gross revenues not exceeding $40 million for the preceding three years. To qualify as a SDB, the applicant must be a small

business concern for which one or more socially and economically disadvantaged individuals or an economically disadvantaged Indian tribe or Native Hawaiian organization, control the small business concern's management and daily business operations and unconditionally own 51 percent of the business. The Small Business Act defines socially disadvantaged individuals as "those who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their individual qualities," and economically disadvantaged individuals as "those socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same business area who are not socially disadvantaged." NTIA may request documentation supporting the applicant's status as an SDB before granting an award.

1-E. Applicant Federal Debt Delinquency Explanation
*Is the **Applicant** Delinquent On Any Federal Debt?* ☐ *Yes* ☐ *No* *(If "Yes", provide explanation.)*

Indicate whether or not the applicant is delinquent on any Federal Debt by checking the appropriate box. If the answer is "Yes", the applicant should submit an explanation.

NOTE: Consistent with Department of Commerce policy, no award of Federal funds shall be made to an applicant that has an outstanding delinquent Federal debt until:

(1) The delinquent account is paid in full;

(2) A negotiated repayment schedule is established and at least one payment is received; or

(3) Other arrangements satisfactory to the Department of Commerce are made.

1-F. Congressional Districts of:
a. Applicant HQ *b. Project Service Area*

The applicant should list the Congressional District(s) in which the proposed project(s) would be located. The applicant should also indicate the Congressional District(s) in which the organization's facilities, including the organization's headquarters, are located.

2a. Project Title
Identify a title for your project. [Limit 100 characters]

Please provide a title for your project.

2b. Project Description
Provide three or four sentences that most concisely describe the proposed project. *Your answer will be published on recovery.gov and broadbandusa.gov to illustrate the types of proposals received. [Limit 500 characters]*

Please provide a few short sentences to describe your project. Because this brief description of the project will appear on publicly accessible websites, you should ensure that it describes your project fairly and in the light you want the public to see your proposal. For the same reason, you should avoid including any confidential or proprietary information in this description.

3. Multiple Submissions for BIP or BTOP
Identify in the table below any other applications that you have submitted for BIP or BTOP

Project Type	***Project Title***
BIP Infrastructure	
BTOP Infrastructure	
BTOP Public Computer Center	
BTOP Sustainable Broadband Adoption	

<u>Application for Multiple Projects</u>

If the applicant has submitted, or plans to submit, any other applications for BIP or BTOP funds, please indicate the project type for those applications in the table. Providing this information will allow NTIA to consider this application in the context of your overall bundle of proposals, which may include multiple submissions. If one entity provides complementary submissions for more than one BTOP category, the applicant will receive additional consideration under the evaluation of project purpose.

4. Application ID for Multiple Submissions for Identified Service Areas
Please identify any other applications that you have submitted to BIP or BTOP *Project Type: _____* *ID Number: _____*

The applicants do not need to be concerned about the Application ID number. The electronic application system will auto-generate the number for each application.

5. Estimated Funding ($):		
**a. Federal*		
**b. Applicant*		
**c. State*		
**d. Local*		
**e. Other*		
**f. Program Income*		
**g. TOTAL*		

For Question #5, please enter the amount that you are requesting for the Federal government in (a). In (b) input the total matching funds the applicant organization is providing, both in cash and in-kind. Lines (c), (d), (e) should include any matching funds (both in cash and in-kind) from partners in your project. Finally, if you expect to generate income as part of your project, include the total amount of income in line (f). Total all of this in line (g). This total should be **identical to the total project cost** on line 5, column (g) of the budget form (SF424A).

2. Eligibility Factors

6. Eligibility Factors. *As a prerequisite to a full review against the evaluation criteria, each application must satisfy a number of Eligibility Factors. These verify an applicant's basic compliance with mandatory program requirements.* ***Failure to comply with all Eligibility Factors WILL RESULT IN IMMEDIATE REJECTION OF YOUR APPLICATION.***

- *This application satisfies all of the Eligibility Factors listed below:*
  - ☐ *Yes*
  - ☐ *No*
  - *The application must be completed fully, and all required supplemental documentation must be attached.*
  - *Applicants must commit to substantially completing their Project (as defined in the NOFA) within two years of the award date, and completing the Project within three years of the award date.*
  - *Applicants must credibly demonstrate that their Project advances at least one of the five statutory purposes for BTOP.*
  - *Applicant is providing matching funds of at least 20 percent towards to the total eligible project costs* ***or*** *is requesting a waiver of the matching requirement*
    - ☐ *Yes, Providing at Least 20% Match*
    - ☐ *No, Requesting Waiver*
  - *Applicants must demonstrate that but for Federal funding they would not have been able to complete their project during the grant period.*
  - *The budget for the project must be reasonable and all costs must be eligible.*

Purpose of Section: Demonstrates Understanding of Eligibility Factors

Question #6 requires applicants to acknowledge the ability to meet the Eligibility Factors. Compliance with all of these requirements will be confirmed by responses to other questions throughout the application. An applicant should respond in the affirmative to all of these questions or their application will be immediately rejected; however, the affirmative information will be reviewed throughout the application to ensure compliance substantively with all of the eligibility factors.

Filing for Waiver: Basis and Process

If you are applying for a waiver of the 20 percent matching requirement, attach a letter that clearly defines your need. The applicant must demonstrate that complying with the Recovery

Act's mandated 20 percent match of grant funds received under this program is a financial hardship for your organization. An applicant applying for a waiver should submit complete financial documentation, including its assets, liabilities, operating expenses and revenues, and any other documents that would demonstrate financial need, such as denial of funding from a public or private lending institution.

3. Executive Summary

Directions for Written Responses: Page limits are designated for all requested written responses. Per instructions in the NOFA, please use 12 point font with one-inch margins.

7. Executive Summary of Overall Proposal: *Please provide an Executive Summary of the proposed Project. The Executive Summary should be a brief description of the Project, and address the following topics. [Two Page Limit]*

- *A statement of the problem or need your project addresses*
- *Your overall approach to addressing the need*
- *Area(s) to be served; population of the target area(s), including demographic information; and estimated number of potential users of your public computer center(s)*
- *Qualifications of the applicant that demonstrate the ability to implement the project and achieve its intended results*
- *Jobs to be saved or created*
- *Overall cost of the proposed project*

The executive summary is the applicant's opportunity to explain, as clearly and succinctly as possible, the most relevant points of their proposal – as defined above. The reviewers will read this section to receive a high-level, but comprehensive, introduction to the project. This summary must be limited to three pages. The summary should avoid highly technical terminology or jargon unless it is integral to the understanding of your proposal. We suggest the summary be written last, after having completed all other sections of the application. Applicants with involvement from multiple organizations and key partners should describe those relationships broadly here. ***The Executive Summary narrative should not introduce new information not included elsewhere in your application.***

Directions for Written Responses: Page limits for the written responses should be in 12 point font with one-inch margins.

4. Project Purpose

8. Project Purpose: *Referring to Application Guidelines for this section, in a comprehensive*

overview of your Project, please clearly and concisely describe the following. Please provide specific data and relevant analysis to back your claims. [Two Page Limit]

- *The significance of the problem to be addressed*
- *The degree to which the proposed solution effectively addresses the problem and could be replicated by other organizations*
- *The degree to which both the problem and proposed solution advance at least one of the five BTOP statutory purposes.*
    - *Provide broadband access to consumers in unserved areas*
    - *Provide improved broadband access to consumers in underserved areas*
    - *Provide broadband education, awareness, training, access, equipment, and support to community anchor institutions, job-creating strategic facilities, and vulnerable populations*
    - *Improve access to and use of broadband by public safety agencies*
    - *Stimulate demand for broadband*
- *If your Project incorporates more than one BTOP program category (Broadband Infrastructure, Public Computer Centers, and Sustainable Broadband Adoption) or statutory purpose (listed above), please describe how this Project will reinforce your other program objectives.*

You should check all the statutory purposes your project is intended to address, and there is a minimum requirement to address at least one of the BTOP purposes.

Your response to this question is your opportunity to present a compelling rationale for the project you are proposing. You should describe the problem(s) you are trying to solve in specific detail and include background information that supports your case. For example, if you are a library proposing to expand an existing computer center, you might cite usage data for your current facilities, the size and needs of the local population, and how your library offers specific information or assistance that addresses those needs.

If your project addresses more than one of the statutory purposes, such as serving both job-creating facilities and public safety agencies, explain how the combination will result in a stronger and more cohesive program.

9. Recovery Act and Other Governmental Collaboration: *Describe how your project will leverage Recovery Act or other federal or state developmental programs. Please identify the*

programs themselves and the dollar value associated with each. In addition, describe how the collaboration can lead to greater project efficiencies.

Applicants are encouraged to collaborate with other Federal or state government programs, including any other Recovery Act programs. Some examples of Federal programs are listed in the chart below:

Some examples of federal programs that may be leveraged:

Department of Housing and Development:
- Public Housing Capital Fund Program
- Native American Housing Block Grant
- Assisted Housing Green Retrofit Program

National Science Foundation
- Academic Research Infrastructure Program: Recovery and Reinvestment (ARI-R^2)
- Major Research Instrumentation Program (MRI-R^2)

Department of Health and Human Services
- State and state designated entity grants for use of electronic health information

Department of Energy
- Smart Grid Investment Program

Department of Transportation
- Assistance for High Speed Rail Corridors and Intercity Passenger Service program.

Appalachian Regional Commission
- Area Development Program

Delta Regional Authority
- State grant funding program

10. Enhanced Services for Health Care Delivery, Education, and Children. *If applicable, describe how your project will enhance broadband service for health care delivery, education, and children as contemplated by the Recovery Act. Projects would need to demonstrate that they go beyond providing access to broadband to include more robust educational, health care, or related broadband service delivery. [One Page Limit]*

This question provides you an opportunity to outline how your proposed project will enhance broadband service for health care delivery, education, or children. Your answer should detail the impact your project will have on these key constituencies and explain how the project will, if approved, seek to benefit the greatest population of users.

***11. Small and Disadvantaged Business Involvement**. If applicable, indicate whether you have established agreements in principle to partner with any socially and economically disadvantaged small business concerns, as defined by Section 8(a) of the Small Business Act, 15 USC 637, that may include a sub-awardee, contractor, subcontractor or vendor.*

All applicants should identify any agreements in principle that they have established with socially and economically disadvantaged businesses, as defined by Section 8(a) of the Small Business Act (15 U.S.C. § 637(a)(4)). To demonstrate that the partnership is valid, we recommend that applicants submit letters of support from any entity they list in this question.

5. Project Benefits

***12. Public Availability.** Will your facility be available to all members of the general public, or a specific population only? Please explain. If you charge membership dues or other fees for the population you are proposing to serve, please explain how these charges are consistent with the public interest. [One Page Limit]*

All applicants must clearly explain whether facilities funded under this grant program would be open to the general public or to a particular subset of the public served by your institution. If one or more of your facilities limits access to specific groups, such as youth or seniors, you must explain how this is consistent with the public interest and describe the reasoning behind this focus, paying particular attention to the "vulnerable populations" identified in the Notice of Funding Availability. For example, if you operate a senior citizens' center with programs, equipment, and personnel designed to serve the elderly, you might describe your need to maintain a safe, secure, accessible, and quiet environment by limiting access to citizens over the age of 55.

If your organization charges membership dues or other fees for the general public or for a specific population as identified above, you must also clearly show that these fees are reasonable and in the public interest. For example, if you operate a Boys and Girls Club, YWCA, or local community center and charge a modest membership fee to offset operating expenses, you should describe your fees in relation to the budgetary and financial data you describe in other sections of this application, and detail any provisions for waiving fees in circumstances of demonstrated hardship.

13. Restrictions on Center Use. *If the use of your center(s) is restricted to certain purposes,*

please identify those and explain the reasons for the restrictions. [1/2 Page Limit]

If your center is used for a single purpose rather than for general public access, please explain the rationale for this, clearly stating why you believe this is in the public interest. For example, if your center offers job training and employment counseling only, you might note that your workstations are customized to provide ready access to employment databases, skills training software, and similar tools, and that the demand for your services is so great that it precludes offering general access.

14. Accessibility. *Please describe the ways in which your center(s) will be accessible and welcoming to people with disabilities. [1 page Limit]*

Public computer centers funded by BTOP should be accessible (physically, technologically, and culturally) to people with disabilities, such as limited mobility, vision, or hearing. Physical facilities and computer workstations should accommodate these disabilities by providing specialized furniture, software, monitors, input devices, and other tools as needed to make centers fully accessible. In addition, your outreach programs and training or educational offerings should consider the needs of people with disabilities, ensuring that they are aware of your services and can participate fully in the activities you offer. Staff should be trained and comfortable in serving people with disabilities. Funding to make centers and programs accessible is an eligible expense under BTOP.

15. Center Locations. *What is/are the location(s) of your new/expanded Public Computer*

Center(s)?					
Public Computer Center	Address Line 1	Address Line 2	City	State	Zip
St. Charles Computer Center (Current)	123 Broad Street		New Orleans	LA	70119

All applicant street addresses of any current or proposed centers that are involved in the grant application should be identified on the chart. Indicate whether it is current or proposed after the name of the center.

16*. Center Capacity.* *Please complete the following key metrics chart, referring to sample and Guidelines:*

Computer Center Name / Type	**Current Hours Open** to Public Per 120-hour Business Week	**Current Hours Open** to Public Per 48-hour Weekend	**Proposed Hours Open** to Public Per 120-hour Business Week	**Proposed Hours Open** to Public Per 48-hour Weekend	**Current** # of Broadband Workstations	**Proposed** # of Broadband Workstations	**Current** Facility Broadband Connection Speed (MBps)	**Proposed** Facility Broadband Connection Speed (MBps)
M.L. King Community Center/City Facility	50	8			20	50	.768	10

The BTOP provisions of the Recovery Act identify a core goal of providing broadband access to more people. The information you provide here will help us determine what the capacity of your center(s) is now and how that will change as result of your BTOP project if it is funded. All applicants will complete a table that identifies the hours of operation, number of workstations, and facility broadband speed for each of the public computing centers included in the grant application. The chart should also include, to the extent practical, the expected changes in the hours of operation, number of workstations, and facility broadband speed that would occur if the applicant's proposal received funding.

17. Size and Scope of Target Audience. *For the computer center locations you described above, please complete the following table indicating the size and scope of your target population, and targets for persons served in each center, referring to the sample.*

Computer Center Name	Estimated # of *Total Persons* in your Service Area or Specific Population Sub-Group	Service Area Identifier (Neighborhood, Municipality, County, District, Census Tract, or any other area designation)	# of Persons served per 120-hour business week (current)	# of Persons served per 48-hour weekend (current)	# of Persons served per 120-hour business week (proposed target)	# of Persons served per 48-hour weekend (proposed target)
Little Falls Public Library	50,000	Grant County	150	45	500	200

All applicants will complete a chart that identifies the number of persons residing in the geographical area served by each of your current centers, the number of persons served per 120-hour business week, and the number per 48-hour weekend. The chart should also include targets for the number of additional persons served if the applicant's proposal received funding.

18. Population Demographics. *Indicate the demographic category or categories your program will serve by completing the questions below.*

a. Age distribution [Checkboxes with Census-level age categories]
b. Ethnicity or ethnicities [Checkboxes with Census-level ethnicity categories]
c. Gender [checkboxes Male/Female]
d. Median Household Income [checkboxes with Census data]
e. Educational levels [Box select: None, elementary, middle, secondary, college, masters, doctorate/post-doctorate
f. Disabilities status [physically disability, other disability]
g. Unemployment rate
h. Speakers of English as a second language, or non-English speaking status

If your project will address the needs of specific groups, you should provide information here about those groups. You can check all of the categories that apply to your project. Several resources provided by the U.S. Census Bureau can aid an applicant in providing demographic and other about local vulnerable populations, including:

- The DataWeb (http://www.thedataweb.org/index.html). The DataWeb is a network of online data libraries that the DataFerrett (http://dataferrett.census.gov/index.html) uses to access statistical information. Topics include census data, as well as economic, health, income, population, labor, employment, crime, and vital statistics data.
- U.S. Census Bureau's Guide to Census Tract Resources (http://www.census.gov/geo/www/tractez.html)
- U.S. Census Bureau Data Access Tools (http://www.census.gov/main/www/access.html)

19. Outreach. *Please describe your outreach strategy to ensure usage of services and equipment provided in your program proposal, and why you have chosen this strategy. [One Page Limit]*

One component of a sound sustainability plan is an outreach strategy that supports continued use and growth of demand for the services being proposed. Such a strategy depends on community involvement in the project, and having a clear understanding of your target audience. Outreach strategies must communicate to potential users that their needs will be addressed and encourage participation in broadband education and use of broadband for improving their daily lives. In your answer, describe your audience first, and then summarize your plans for reaching them. Community partners are an integral part of the project planning and operation and their outreach contributions should be mentioned here.

20. Peripherals and Equipment. *What specific types of personal computing peripherals and/or broadband equipment do you intend to provide for each workstation? [list all that apply]*

Examples of this kind of equipment include network interface cards, wireless adapters, video cameras ("webcams"), headsets, scanners, printers, speakers/microphone, and input devices (such as joysticks).

21. Workstation Software. *What type of software do you intend to provide for each workstation? [list up to 20 programs/applications]*

Examples of workstation software include the Microsoft Office Suite, VOIP (voice over IP) software (such as Skype), web browsers, media players, data compression software (such as WinZIP and StuffIt), GED software, ESOL software, and other training software.

22. Training and Education Programs. *Please describe your primary training and educational programs, including curricula, student certification programs, number of instructors and their*

qualifications. Explain how these relate to demonstrated needs within your community, and detail any lessons learned from prior programs. [Two Page Limit]

Training and educational programs should respond to the needs of your community and the population you serve. They might include computer skills, job search skills, or homework help; they could be designed to promote economic recovery and provide assistance to those most impacted by the recession. Further, training and education programs should be informed by the participation of community partners along with education, business, and industry partners. These may provide training, curricula, or certification programs that will prepare students for the modern workforce. If your center(s) primarily provide public access and computer skills training, please give examples of how your programs identify and respond to community needs. Also discuss the qualifications of your education/training/support staff and the size of this staff. Finally, if you have "lessons learned" from prior experience, explain how you will use that information to improve your proposed offerings.

6. Project Viability

***23. Technology Strategy**: Please describe the overall technology plan you intend to deploy in your program. If appropriate, please include engineering certifications for broadband network WAN / LAN build-outs, what primary types of network equipment and technology you plan to use, and how you will ensure a reliable, secure and user-friendly system for the public users of your broadband access facilities. [Two Page Limit]*

All applicants will submit a detailed technology plan associated with their public computing center program. The plan should outline the major types of equipment and technology the applicant will use and explain how the applicant will ensure a reliable, secure, and user-friendly system. If applicable, submit any network design or technical implementation plans, or engineering documents for broadband network WAN and LAN build-outs.

NOTE: In the Public Computer Centers submission, applicants may propose local area network or small wide-area network design within your facilities; however, any larger infrastructure projects will need to apply for a Broadband Infrastructure grant.

***24. Management Resumes:** Provide resumes and/or biographical summaries for the members of your senior management team and project team, emphasizing skills and experience relevant*

to the proposed program. Please refer to specific projects and outcomes that demonstrate the team's ability to execute this project based on past experience, and to manage federal funds effectively. [Each resume can be up to one page; limit biographical summaries to 1/2 page.]

The answer to Question #24 should help to make the case for the proposed project's viability, all applicants will submit the resumes of persons with significant management responsibilities or other responsibilities vital to the success of the proposed program. In addition to the resumes, you will submit a summary of past projects that illustrate the preparedness and/or expertise of your team.

25. Organizational Readiness: *Please describe key factors that demonstrate your organization will be prepared to implement, operate and sustain a public computer center program using federal funds. Include past experience in managing projects of comparable size and complexity. [One Page Limit]*

Applicants will submit a summary of the organization's track record in executing projects similar to the one proposed. This summary should include the number of years the organization has been in existence, the number of years the organization has been successfully managing projects similar to the one proposed, and an evaluation of the organization's preparedness to implement, operate and sustain a public computer center.

26. Organizational Chart: *Please attach a chart describing how the project team relates to the overall structure of your organization.*

Applicants will submit a chart showing the governance and management structure of their organizations, and how the project team fits into the organization. If multiple agencies or key partnership are involved with the project, the organizational charts should reflect the partnership.

27. ***Key Partners:*** *Provide a list of key partners (from the public, private and non-profit sectors), including community anchor institutions and public safety entities, community organizations,*

vendors or contributors of in-kind or cash support, and/or other resources which are integral to the success of this project. For each, include the name and title of a contact person, the organization's name, and its role in or contribution to the project. Support from partners may include funding, educational or training services, technical advice or support, outreach, facilities, or other products or services.

Applicants will use this question to illustrate the level of local community participation in the proposed project. Please identify organizations from the public, non-profit, and private sectors, with particular attention to community anchor institutions and public safety entities, that will be involved in the project. The list might include community organizations, subcontractors, vendors, public safety entities, or institutions such as universities and libraries. You should also outline each organization's planned role in the project. Submit documentation, such as letters of support, from each of the organizations that will be involved in the project. You must provide the name and address for each partner, as well as the name and contact information (at minimum, a phone number or email address) for a contact person at each partner organization.

28. Partnering with Disadvantaged Businesses: *If applicable, indicate whether you have established agreements in principle to partner with socially and economically disadvantaged small businesses (SDB), as defined by Section 8(a) of the Small Business Act, 15 U.S.C. 637. Please list the company, a contact person, and briefly describe the partnership purpose. (Limit ½ Page)*

All applicants should identify any agreements in principle that they have established with socially and economically disadvantaged businesses, as defined by Section 8(a) of the Small Business Act (15 U.S.C. § 637(a)(4)). To demonstrate that the partnership is valid, we recommend that applicants submit letters of support from any entity they list in this question.

29. Project Timeline and Challenges. *Please provide a detailed implementation plan on a quarterly basis that shows the phases of the project and establishes key milestones. Include*

such activities as construction, staffing and hiring, resource development, staff training, equipment purchases, and installation. Also, include a description of key challenges or risks to the timely completion of the project, including any mitigation plans to address the risks. [Two Page Limit]

Applicants will submit a plan for the period of the proposed project. The plan should include at least quarterly milestones, though the applicant may set more frequent milestones if desired. Be certain to cover any areas that will aid reviewers in assessing how the applicant plans to achieve each goal or milestone. Milestones might include hiring of key staff, finalizing of program curricula, purchase of equipment, installation and configuration of new computer terminals or in-building networking, a "grand opening" of new or improved facilities, timelines for graduating classes from new training programs, or other items critical to the success of the proposed project. The schedule should clearly identify the start dates and expected completion of different phases of the project.

Additionally, applicants will describe issues or barriers that could delay the proposed project's implementation. Applicants will assess the likelihood of each risk or challenge, estimate the impact each would have on the project and the project schedule, and outline a mitigation plan for addressing it.

For BTOP, a project is considered "substantially complete" when the awardee has met 67 percent of the project milestones and received 67 percent of its award funds. Projects will be evaluated on the demonstrated ability of the applicant to promptly start the project and the reasonableness of the project timeline and associated milestones. NTIA encourages project schedules that will be completed in two years.

30. Licenses and Regulatory Approvals*. If applicable, please list any local, state or federal licenses and regulatory approvals required to complete your project, and indicate the status of each.*

All applicants will submit a list of any licenses and regulatory approvals that are required to provide the proposed services. These might include construction permits, wireless service licenses, fire and safety permits, etc. Please indicate the status of each (such as "not applied for", "pending", or "approved").

31. Legal Opinion. *Please attach a legal opinion that addresses the Applicant's ability to enter into the award agreement and briefly describe any relevant pending litigation matters.*

All applicants will submit a legal opinion that verifies that the applicant can enter into the grant. BTOP-only applicants are only required to describe "material" litigation matters. For this purpose, "material" litigation means any litigation that is deemed significant to an applicant's financial health and would be required to be referenced in the applicant's annual audited financial statements, report to shareholders or similar documents.

7. Project Budget and Sustainability

32. Budget Narrative. *Please provide a narrative that explains the project budget (as proposed on SF-424 A and/or SF-424 C) and spending plan (timeline) in sufficient detail for reviewers to determine whether the expenditures are necessary and appropriate to the solution you are proposing. [Two Page Limit]*

Applicants must submit a concise narrative that explains how the proposed budget is necessary and appropriate for the program you are proposing. **It is critically important to make it easy for reviewers and the NTIA to understand how the budget is related to the specific activities you are proposing.** If they are not able to determine whether your budget is complete and sensible, your proposal may be rejected without further review.

Applicants should include cost breakdowns by category that may or may not be captured in the SF-424A and/or SF-424C. For line items of particular importance to your program, such as personnel, contracts, or equipment, the budget narrative should describe the necessity and appropriateness of these expenditures. Explain how and when you expect to spend the funds provided by BTOP as well as any matching contributions (in cash or in kind). If travel is included, explain why it is necessary to achieve your objectives. Including any pertinent "ratios" of cost/benefit in dollars spent per expected program result (such as $/training program graduate) is also helpful for reviewers.

New

Note: All applicants are required to submit as an attachment to this application a completed budget in the form of OMB Standard Form 424A - Budget Information for Non-Construction Programs or OMB Standard Form 424C - Budget Information for Construction Programs, as well as the corresponding Standard Form 424 B or D - Assurances document. This form should be referenced in creating your response to this question. When the major purpose of the project or program is construction, land acquisition or land development, applicants shall use Budget Information and Assurance Forms for Construction Programs. Instructions for the SF-424 form are available via this link http://www07.grants.gov/agencies/forms_instruction_information.jsp to the www.grants.gov website.

33. Budget Reasonableness. *Concisely and convincingly explain why the costs you propose are reasonable to carry out your project, are eligible, and the allocation of funds will be sufficient to*

complete the tasks outlined in the project plan. Provide any relevant data and summaries of your analysis. [One Page Limit]

In this section, justify the costs you are proposing based on past experience, competitive bids, published prices, local norms, or other specific metrics. Please follow closely your budget narrative. Describe how you arrived at particular costs and why you believe they are reasonable based on the tasks you will undertake. Ensure that each cost is eligible for funding under this program. Explain why your budget is sufficient to carry out your project.

34. Demonstration of Financial Need*. Provide documentation that the project would not have been implemented during the grant period without federal grant assistance. This documentation may consist of, but is not limited to, such items as a denial of funding from a public or private lending institution, denial of a funding request from a foundation or other organization, or a current fiscal year budget that shows the lack of available revenue options for funding the project. [One Page Limit]*

All applicants must clearly outline how and why their proposed project requires federal grant assistance and may not have been possible without these funds. You may include denied funding requests or budgetary data that shows you would not have been able to pay for proposed programs on your own or with readily-available alternate funding sources, but if these rejections suggest that your program budgets are wasteful, mismanaged, or unreasonable this will be insufficient demonstration. You may also describe any efforts to obtain funding that have been unsuccessful due to economic issues in your state or locality. If you have never applied for funding of any kind before, you should articulate why you have not, and why funds provided under the BTOP program would not be provided by another funding source.

35. Historical Financial Statements. *Provide detailed organization financial statements for the last two years: a) Income Statement; b) Balance Sheet; c) Statement of Cash Flows. If your organization was established less than two years ago, provide all available information.*

All applicants must submit recent financial statements or reports based on their organization's regular operating activities to aid reviewers and the NTIA in assessing the financial health of the applicant. A standard annual Income Statement, Balance Sheet and Statement of Cash Flows based on generally accepted accounting principles are preferable. If your organization cannot readily produce this data in a standard format, you should explain why not, and provide comparable data, such as your most recent IRS Form 990 or annual audit, that provides as detailed a picture as possible of your financial history for a minimum of one year prior to your

submission of this application. If appropriate, you may include Notes on Financial Statements that explain costs and revenues by major categories, and you may make note of any abnormal or one-time charges, large liabilities or asset transactions, legal actions, or other financial events you feel require explanation.

36. Sustainability. *Explain how your project will enable your centers to sustain themselves, providing ongoing services and maintaining community support beyond the scope of this grant. [One Page Limit]*

All applicants will submit a plan describing how programs funded by this grant program will sustain themselves without ongoing federal grant assistance after the funding period has ended. BTOP seeks to support organizations that need funds to expand services but have a demonstrated ability to provide services beyond the scope of the grant period. To the extent the application seeks funding for operational expenses during the grant period, it will be vitally important for the applicant to demonstrate how it will secure funds to cover those costs at the conclusion of the grant program. The applicant should provide information about its past history as well as any substantiating data on other sources of funding for their organization where possible.

BTOP applicants are expected to convincingly demonstrate the ability to sustain the projects beyond the funding period. In particular applicants should detail how any costs associated with training and/or other recurring expenses will be covered after the grant expires.

37. Matching Funds*. Please describe the matching funds (both cash and in-kind) you plan to devote to this project and document their source(s), including the percentage of your match and whether the match is all cash. Attach letters of commitment from proposed sources****. If you have requested a waiver of the matching requirement, provide a letter attachment clearly defining your need. An applicant applying for a waiver should submit complete financial documentation, including its assets, liabilities, operating expenses and revenues, and any other documents that would demonstrate financial need, such as denial of funding from a public or private lending institution.***

All applicants must describe the matching fund amounts, both cash and in-kind, that your organization and its funding sources will provide directly to the execution of this project. If you cannot provide the full 20 percent cost share, please describe what you can provide and file for a waiver of the rest. You will receive higher scores for exceeding the 20 percent minimum cost sharing requirement, and you are strongly encouraged to use every means possible to consolidate additional cash funds to apply to this project from sources such as state, local, and

philanthropic organizations, economic development funds, and financial assistance programs. You are also encouraged to seek in-kind contributions to be directly used in the project. These in-kind contributions must be directly attributable to budget items you have identified for your project, and must be "eligible costs" as defined in the Notice of Funding Availability. Such costs may be products, services, equipment, or other forms of direct assistance to your proposed program. In-kind contributions which are shared-use with other activities or projects not directly related to this program will not be eligible for application to matching fund amounts in most cases, and should only be included if you can clearly demonstrate the portion of those shared-use contributions which will directly apply to your proposed project.

If you are applying for a waiver, you must clearly demonstrate that complying with the Recovery Act's mandated 20 percent match of grant funds received under this program is a financial hardship for your organization with concrete documentation that you have attempted to seek funding to meet the 20 percent match requirement through every means reasonably possible, but have not been successful. Your accounting statements, budgets, and financial information will be scrutinized to validate a requested waiver of mandated matching funds for both validity and reasonableness.

38. Unjust Enrichment: *Please state whether this project is receiving, or if you have applied for, any Federal support for non-recurring costs in the area for which you are seeking an award. If so, please state how much and from which federal program.*

In Question #38, all applicants must disclose whether they (or their projects) are receiving, or have requested, Federal support for non-recurring costs in the service area for which they are seeking an award. Non-recurring costs are one-time capital expenses. In awarding grants under BTOP, NTIA will consider whether an award for a proposed infrastructure project will result in unjust enrichment through support for project-related non-recurring costs through another federal program. Note that applicants are encouraged to leverage funding from this program with funding from other federal programs. Such leveraging will not be considered unjust enrichment unless applicants receive duplicative federal funding to cover the same costs.

39. Disclosure of Federal and/or State Funding Sources. *Please disclose the source and amount of other federal or state funding received or requested for activities or projects to which this project relates. Please specify all Universal Service Fund (USF) funding delineated by specific program.*

All applicants must disclose the source and amount of other federal or state funding the applicant has received, or has requested, for projects to which the application relates. This

disclosure must include funding from all Universal Service Fund funds including, but not limited to, funding from the Schools and Libraries Program, Rural Health Care Program and Pilot Program, and the High Cost Program.

40. Buy American Requirement: *Are you seeking a waiver of the Buy America provision?*

- ☐ *Yes. If yes, please provide a legal justification.*
- ☐ *No*

Applicants should be aware that the Recovery Act prohibits the use of funds that are used for the construction, alteration, maintenance, or repair of a public building or public work unless all of the iron, steel, and manufacturing goods used in the project are produced in the United States. This restriction is generally known as the Buy American provision. On July 1, 2009, the Secretary of Agriculture and the Secretary of Commerce each published a notice stating that they had granted a limited waiver of the Buy American provision with respect to BIP and BTOP funds used for certain broadband equipment. The scope of the waiver applies to the broadband equipment listed below.

Type of Broadband Equipment	**Purpose of the Broadband Equipment**
Broadband Switching Equipment	Equipment necessary to establish a broadband communications path between two points.
Broadband Routing Equipment	Equipment that routes data packets throughout a broadband network.
Broadband Transport Equipment	Equipment for providing interconnection within the broadband provider's network.
Broadband Access Equipment	Equipment facilitating the last mile connection to a broadband subscriber.
Broadband Customer Premises Equipment and End-User Devices	End-user equipment that connects to a broadband network.
Billing/Operations Systems	Equipment that is used to manage and operate a broadband network or offer a broadband service.

Note that the Buy American provision applies only to public works and public buildings. Private projects are exempt from the provision. If applicants form a public-private partnership (e.g., a

corporation partnering with a local government), they will be treated as "public" and will be subject to the Buy American provision. If the applicant wishes to use iron, steel, or manufactured goods that are not covered by the Secretaries' waivers, it may request a limited waiver, on a case-by-case basis, as part of its application. The applicant's request must provide the legal justification for receiving the waiver. The list of items not currently subject to the waiver, include fiber optic cables, coaxial cable, cell towers, and other facilities or goods that are produced in sufficient quantities in the United States.

8. DOC Environmental Checklist

41. This section is to be completed for those projects historically shown not to create significant environmental impacts to the human or natural environment. Any answer of "No" or "Not Applicable" may require additional documentation or review.

a. Is the proposed action solely a procurement action for materials intended to be installed, stored or operated in an existing building or structure?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

b. If the proposed action involves procurement of electronic equipment, will the equipment be disposed of in an environmentally sound manner at the end of its useful life?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

c. Does the proposed action involve only minor interior renovations to a structure, facility, or installation?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

d. Is the proposed action solely for the production and/or distribution of informational materials, brochures, or newsletters?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

e. Does the proposed action consist solely of training, teaching, or meeting facilitation at an existing facility or structure?

- ☐ Yes
- ☐ No

☐ Not Applicable

New

The applicant must complete and upload the environmental questionnaire and any applicable documents. Applicants may be required to certify that for all projects that involve the rehabilitation of existing buildings, that no environmental hazards or contamination exist that might significantly impede or prevent the proposed project from going forward in a timely manner. Contamination issues which could affect the successful outcome of a proposed project might include asbestos or lead paint remediation, leaking underground storage tanks, PCB electrical transformers, and other similar problems related to older buildings.

9. Compliance and Certification

Certifications

(i) I certify that I am authorized to submit this grant application on behalf of the eligible entity(ies) listed on this application, that I have examined this application, that all of the information and responses in this application, including certifications, and forms submitted, all of which are part of this grant application, are material representations of fact and true and correct to the best of my knowledge, that the entity(ies) that is requesting grant funding pursuant to this application and any subgrantees and subcontractors will comply with the terms, conditions, purposes, and federal requirements of the grant program; that no kickbacks were paid to anyone; and that a false, fictitious, or fraudulent statements or claims on this application are grounds for denial or termination of a grant award, and/or possible punishment by a fine or imprisonment as provided in 18 U.S.C. §1001 and civil violations of the False Claims Act.

(ii) I certify that the entity(ies) I represent have and will comply with all applicable federal, state, and local laws, rules, regulations, ordinances, codes, orders and programmatic rules and requirements relating to the project. I acknowledge that failure to do so may result in rejection or deobligation of the grant or loan award. I acknowledge that failure to comply with all federal and program rules could result in civil or criminal prosecution by the appropriate law enforcement authorities.

(iii) I certify that the entity(ies) I represent has and will comply with all applicable administrative and federal statutory, regulatory, and policy requirements set forth in the DOC Pre-Award Notification, published in the Federal Register on February 11, 2008 (73 FR 7696), as amended; DOC Financial Assistance Standard Terms and Conditions (Mar. 8, 2009); DOC American Recovery and Reinvestment Act Award Terms (April 9, 2009); and any Special Award Terms and Conditions that are included by the Grants Officer in the award."

Authorized Representative's Signature _____**Date**_____

Name: _____

Title: _____

Other Federal Forms and Certification Requirements

SF-424A, Budget Information—Non-Construction Programs

SF-424B, Assurances—Non-Construction Programs

SF-424C, Budget Information—Construction Programs

SF-424D Assurances—Construction Programs

CD-511, Certification Regarding Lobbying

CD-512, Certification Regarding Lobbying—Lower-Tier Covered Transactions

SF-LLL, Disclosure of Lobbying Activities

Legal Opinion

New

The documents listed above need to be certified and completed by the applicant to ensure compliance with Federal Statutes and regulations. All applicants must complete the certifications section of the application. You should read each certification carefully to ensure that you understand and agree to it before signing. Using the forms, schedules and attachments "as-is" will expedite application processing. Applicants should note that Commerce Department form CD-346 is not required.

Section C: Sustainable Adoption

1. General Application Information

The Sustainable Broadband Adoption category will fund innovative projects that promote broadband demand and affordability. Projects providing broadband education, awareness, training, access, equipment or support, particularly among vulnerable population groups where broadband technology has traditionally been underutilized, will be considered in this category.

Applicants should demonstrate a sustainable increase in demand for subscribership to broadband services. Successful applicants will show how demand stimulation strategies, such as awareness-building, development of relevant content and demand aggregation, would promote sustainable broadband adoption.

The instructions below will help you complete the questions posed by the application.

1-A. Name, Address, and Federal ID for Applicant	
i. Legal Name:	*ii. Employer/Taxpayer Identification Number (EIN/TIN*
Street 1: _____ *Street 2:* _____ *City:* _____ *County:* _____ *State:* _____ *Province:* _____ *Country:* _____ *Zip/Postal Code*_____	

Please provide identifying information for the applicant. If there are multiple organizations involved in the project, designate as "the applicant" the entity that would enter into a grant agreement with NTIA and assume operational and financial responsibility should an award be made (i.e., an Authorized Organizational Contact (AOC) as designated by CCR).

Applicants that involved multiple organizations and the key partnerships for the project should indicate that information in the Executive Summary (Question #7), Organizational Chart (#31), and Government and Other Key Partnerships (Question #32).

1-B. Name and Contact Information of Person to be Contacted on Matters Involving this Application:	
Prefix: _____	*Telephone Number:* _____
First Name: _____	*Fax Number:* _____
Middle Name: _____	*Email:* _____
Last Name: _____	*Other (Specify):* _____
Suffix: _____	
Title: _____	

Enter full, accurate name and contact information for the person to be contacted on matters involving this application. It is crucial that we have accurate information, including a reliable phone, email, and fax number for rapid correspondence. Please complete this in full and attach a sheet if you want to provide additional contacts.

1-C. Other Required Identification Numbers	
*i. Organizational DUNS:*_____	*ii. CCR :*_____
*iii. Funding Opportunity #:*_____	*iv. Catalog of Federal Domestic Assistance #:*_____

As required by the Office of Management and Budget, all applicants must supply a Dun and Bradstreet Data Universal Numbering System (DUNS) number. Your organization can obtain a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1-866-705-5711 or via the Internet at http://www.dunandbradstreet.com. For more information about DUNS numbers, see http://fedgov.dnb.com/webform/pages/dunsnumber.jsp.
Please enter the applicant's Central Contractor Registration (CCR) number (also known as a CAGE number). If your organization does not have a current CCR (CAGE) number, you must register in the CCR system available at http://www.ccr.gov/StartRegistration.aspx.

If there are multiple organizations involved in the project, only "the applicant" will need to supply the Organizational DUNS and CCR information.

NOTE: You will need to have a DUNS number in order to obtain a CCR number.

The federal funding opportunity number for BTOP is 0660-ZA28.
The CFDA number for BTOP is 11.557.

1-D Eligible Entities
Please classify your organization. (Note: If there are multiple organizations involved in the project, designate the lead applicant that would enter into a Loan or Grant agreement with the Agency and assume operational and financial responsibility should an award be made).
Local, State, or Other Government Entity
☐ *State or State Agency*
☐ *Political subdivision of a State, including Local or County Government*
☐ *District of Columbia*
☐ *Territory or Possession of the United States*
☐ *Indian Tribe*
Not for Profit Entity
☐ *Non-Profit Corporation*
☐ *Non-Profit Foundation*
☐ *Non-Profit Institution*
☐ *Non-Profit Association*
For Profit Entity
☐ *For-Profit Corporation, LLC*
☐ *Socially and economically disadvantaged small business concern (SDB) as defined by section 8(a) of the Small Business Act, 15 U.S.C. §637*
Other
☐ *Cooperative or Mutual*
☐ *Native Hawaiian organization*
☐ *Please identify any others: _____*

Please select the appropriate classification for your organization. This information will be used for reporting.

Applicants who are SDBs receive additional consideration in the review process. Note that the applicant need not be certified as an SDB, but must meet the definition of a SDB under the Small Business Act (15 U.S.C. § 637(a)(4)). For the purposes of this program, a small business concern is a firm that, together with its controlling interests and affiliates, satisfies the Small Business Administration's size standards for the applicant's industry classification, or is a broadband service or infrastructure provider with average gross revenues not exceeding $40 million for the preceding three years. To qualify as a SDB, the applicant must be a small business concern for which one or more socially and economically disadvantaged individuals or an economically disadvantaged Indian tribe or Native Hawaiian organization, control the small business concern's management and daily business operations and unconditionally own 51

percent of the business. The Small Business Act defines socially disadvantaged individuals as "those who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their individual qualities," and economically disadvantaged individuals as "those socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same business area who are not socially disadvantaged." NTIA may request documentation supporting the applicant's status as an SDB before granting an award.

1-E. Applicant Federal Debt Delinquency Explanation
*Is the **Applicant** Delinquent On Any Federal Debt?* ☐ *Yes* ☐ *No* *(If "Yes", provide explanation.)*

Indicate whether or not the applicant is delinquent on any Federal Debt by checking the appropriate box. If the answer is "Yes", the applicant should submit an explanation.

NOTE: Consistent with Department of Commerce policy, no award of Federal funds shall be made to an applicant that has an outstanding delinquent Federal debt until:

(1) The delinquent account is paid in full;

(2) A negotiated repayment schedule is established and at least one payment is received; or

(3) Other arrangements satisfactory to the Department of Commerce are made.

1-F. Congressional Districts of:
c. Applicant HQ *d. Project Service Area*

The applicant should list the Congressional District(s) in which the proposed project(s) would be located. The applicant should also indicate the Congressional District(s) in which the organization's facilities, including the organization's headquarters, are located.

2a. Project Title
Identify a title for your project. [Limit 100 characters]

Please provide a title for your project.

2b. Project Description
Provide three or four sentences that most concisely describe the proposed project. *Your answer will be published on recovery.gov and broadbandusa.gov to illustrate the types of proposals received. [Limit 500 characters]*

Please provide a few short sentences to describe your project. Because this brief description of the project will appear on publicly accessible websites, you should ensure that it describes your project fairly and in the light you want the public to see your proposal. For the same reason, you should avoid including any confidential or proprietary information in this description.

3. Multiple Submissions for BIP or BTOP
Identify in the table below any other applications that you have submitted for BIP or BTOP

Project Type	***Project Title***
BIP Infrastructure	
BTOP Infrastructure	
BTOP Public Computer Center	
BTOP Sustainable Broadband Adoption	

Application for Multiple Projects

If the applicant has submitted, or plans to submit, any other applications for BIP or BTOP funds, please indicate the project type for those applications in the table. Providing this information will allow NTIA to consider this application in the context of your overall bundle of proposals, which may include multiple submissions. If one entity provides complementary submissions for more than one BTOP category, the applicant will receive additional consideration under the evaluation of project purpose.

4. Application ID for Multiple Submissions for Identified Service Areas
Please identify any other applications that you have submitted to BIP or BTOP *Project Type: _____* *ID Number: _____*

The applicants do not need to be concerned about the Application ID number. The electronic application system will auto-generate the number for each application.

5. Estimated Funding ($):		
**a. Federal*		
**b. Applicant*		
**c. State*		
**d. Local*		
**e. Other*		
**f. Program Income*		
**g. TOTAL*		

For Question #5, please enter the amount that you are requesting for the Federal government in (a). In (b) input the total matching funds the applicant organization is providing, both in cash and in-kind. Lines (c), (d), (e) should include any matching funds (both in cash and in-kind) from partners in your project. Finally, if you expect to generate income as part of your project, include the total amount of income in line (f). Total all of this in line (g). This total should be **identical to the total project cost** on line 5, column (g) of the budget form (SF424A).

2. Eligibility Factors

6. *Eligibility Factors.* *As a prerequisite to a full review against the evaluation criteria, each application must satisfy a number of Eligibility Factors. These verify an applicant's basic compliance with mandatory program requirements.* ***Failure to comply with all Eligibility Factors WILL RESULT IN IMMEDIATE REJECTION OF YOUR APPLICATION****.*

- *This application satisfies all of the Eligibility Factors listed below:*
  - ☐ *Yes*
  - ☐ *No*
  - *The application must be completed fully, and all required supplemental documentation must be attached.*
  - *Applicants must commit to substantially completing their Project (as defined in the NOFA) within two years of the award date, and completing the Project within three years of the award date.*
  - *Applicants must credibly demonstrate that their Project advances at least one of the five statutory purposes for BTOP.*
  - *Applicant is providing matching funds of at least 20 percent towards to the total eligible project costs or is requesting a waiver of the matching requirement*
    - ☐ *Yes, Providing at Least 20% Match*
    - ☐ *No, Requesting Waiver*
  - *Applicants must demonstrate that but for Federal funding they would not have been able to complete their project during the grant period.*
  - *The budget for the project must be reasonable and all costs must be eligible.*

<u>Purpose of Section: Demonstrates Understanding of Eligibility Factors</u>

Question #6 requires applicants to acknowledge the ability to meet the Eligibility Factors. Compliance with all of these requirements will be confirmed by responses to other questions throughout the application. An applicant should respond in the affirmative to all of these questions or their application will be immediately rejected; however, the affirmative information will be reviewed throughout the application to ensure compliance substantively with all of the eligibility factors.

Filing for Waiver: Basis and Process

If you are applying for a waiver of the 20 percent matching requirement, attach a letter that clearly defines your need. The applicant must demonstrate that complying with the Recovery Act's mandated 20 percent match of grant funds received under this program is a financial hardship for your organization. An applicant applying for a waiver should submit complete financial documentation, including its assets, liabilities, operating expenses and revenues, and any other documents that would demonstrate financial need, such as denial of funding from a public or private lending institution.

3. Executive Summary

Directions for Written Responses: *Page limits are designated for all requested written responses. Per instructions in the NOFA, please use 12 point font with one-inch margins.*

7. Executive Summary of Overall Proposal: *Please provide an Executive Summary of the proposed Project. The Executive Summary should be a brief description of the Project, and address the following topics. [Two Page Limit]*

- *A statement of the problem or need your project addresses with regard to improving broadband service adoption rates*
- *Your overall approach to addressing the need, and how your approach is innovative*
- *Area(s) to be served; population of the target area(s), including demographic information; and for Sustainable Broadband Adoption projects the estimated number of potential broadband subscribers your project will reach*
- *Qualifications of the applicant that demonstrate the ability to implement the project and achieve its intended results*
- *Jobs to be saved or created*
- *Overall cost of the proposed project*

The executive summary is the applicant's opportunity to explain, as clearly and succinctly as possible, the most relevant points of their proposal – as defined above. The reviewers will read this section to receive a high-level, but comprehensive, introduction to the project. This summary must be limited to three pages. The summary should avoid highly technical terminology or jargon unless it is integral to the understanding of your proposal. We suggest the summary be written last, after having completed all other sections of the application. Applicants with involvement from multiple organizations and key partners should describe those relationships broadly here. ***The Executive Summary narrative should not introduce new information not included elsewhere in your application.***

Directions for Written Responses: Page limits for the written responses should be in 12 point font with one-inch margins.

4. Project Purpose

8. Project Purpose: *Referring to Application Guidelines for this section, in a comprehensive overview of your Project, please clearly and concisely describe the following. Please provide specific data and relevant analysis to back your claims. [Two Page Limit]*

- *The significance of the problem to be addressed*
- *The degree to which the proposed solution effectively addresses the problem and could be replicated by other organizations*
- *The degree to which both the problem and proposed solution advance at least one of the five BTOP statutory purposes.*
    - *Provide broadband access to consumers in unserved areas*
    - *Provide improved broadband access to consumers in underserved areas*
    - *Provide broadband education, awareness, training, access, equipment, and support to community anchor institutions, job-creating strategic facilities, and vulnerable populations*
    - *Improve access to and use of broadband by public safety agencies*
    - *Stimulate demand for broadband*
- *If your Project incorporates more than one BTOP program category (Broadband Infrastructure, Public Computer Centers, and Sustainable Broadband Adoption) or statutory purpose (list above), please describe how this Project will reinforce your other program objectives.*

You should check all the statutory purposes your project is intended to address, and there is a minimum requirement to address at least one of the BTOP purposes.

Your response to this question is your opportunity to present a compelling rationale for the project you are proposing. You should describe the problem(s) you are trying to solve in specific detail and include background information that supports your case. For example, if you are a community organization planning to work with a low-income population to increase use of broadband, you might cite the specific needs of this group for services to help raise income, employment, or education levels. These might include online training or certification classes, GED courses, or home-based businesses.

If your project addresses more than one of the statutory purposes, such as creating public computer centers and increasing broadband subscribership, explain how the combination will result in a stronger and more cohesive program.

9. Recovery Act and Other Governmental Collaboration: *Describe how your project will leverage Recovery Act or other federal or state developmental programs. Please identify the programs themselves and the dollar value associated with each. In addition, describe how the collaboration can lead to greater project efficiencies.*

Applicants are encouraged to collaborate with other Federal or state government programs, including any other Recovery Act programs. Some examples of Federal programs are listed in the chart below:

Some examples of federal programs that may be leveraged:

Department of Housing and Development:
- Public Housing Capital Fund Program
- Native American Housing Block Grant
- Assisted Housing Green Retrofit Program

National Science Foundation
- Academic Research Infrastructure Program: Recovery and Reinvestment (ARI-R^2)
- Major Research Instrumentation Program (MRI-R^2)

Department of Health and Human Services
- State and state designated entity grants for use of electronic health information

Department of Energy
- Smart Grid Investment Program

Department of Transportation
- Assistance for High Speed Rail Corridors and Intercity Passenger Service program.

Appalachian Regional Commission
- Area Development Program

Delta Regional Authority
- State grant funding program

10. Enhanced Services for Health Care Delivery, Education, and Children. *If applicable, describe how your project will enhance broadband service for health care delivery, education, and children as contemplated by the Recovery Act. Projects would need to demonstrate that they go beyond providing access to broadband to include more robust educational, health care, or related broadband service delivery. [One Page Limit]*

This question provides you an opportunity to outline how your proposed project will enhance broadband service for health care delivery, education, or children. Your answer should detail the impact your project will have on these key constituencies and explain how the project will, if approved, seek to benefit the greatest population of users.

11. Small and Disadvantaged Business Involvement*. If applicable, indicate whether you have established agreements in principle to create relationships with any socially and economically disadvantaged small business concerns, as defined by Section 8(a) of the Small Business Act, 15 USC 637, that may include a sub-awardee, contractor, subcontractor or vendor.*

All applicants should identify any agreements in principle that they have established with socially and economically disadvantaged businesses, as defined by Section 8(a) of the Small Business Act (15 U.S.C. § 637(a)(4)). To demonstrate that the partnership is valid, we recommend that applicants submit letters of support from any entity they list in this question.

5. Project Benefits

12. Innovative Approach. *Please describe how your approach to the problem of increasing broadband adoption rates is innovative, and explain why it improves upon conventional approaches to encouraging adoption. Programs may provide broadband education, awareness, training, access, equipment and/or support. [One Page Limit]*

Applicants that have proposed a broadband adoption program should summarize how the program will create a sustainable increase in broadband demand within the area and populations targeted by your proposal. Be certain to explain how your approach is innovative.

13. Household Subscribers. *How many total new home subscribers (household accounts) to broadband do you expect to generate through use of BTOP funds over the entire life of the program funded?*_____

Applicants should describe the methodology used to estimate the total new home broadband subscribers you expect to generate through use of BTOP funds over the entire life of the

program. Wherever possible, the applicant should use objective and verifiable data as the basis for your estimate. If you are proposing to serve multiple areas you should provide the total number of new home subscribers for all areas.

14. Institutional Subscribers. *How many total new businesses and/or institutional subscribers to broadband do you expect to generate through use of BTOP funds over the entire life of the program funded?*_____

Applicants should describe the methodology used to estimate the total new business and/or institutional broadband subscribers, such as community anchor institutions, you expect to generate through use of BTOP funds over the entire life of the program. Support your estimates by providing baseline information about institutions in your service area and their current broadband usage. If you are proposing to serve in multiple areas you should provide the total number of new business and institutional subscribers for all of the areas your program will serve.

15. Users of Public Access Facilities. *How many total* ***users*** *of broadband in public computer centers or* ***users*** *of broadband* ***outside the home*** *(e.g., in a community colleges) do you expect to generate through use of BTOP funds over the entire life of the program funded?* _____

Applicants should describe the methodology used to estimate the total number of new users of broadband in public computing centers or other public institutions created over the entire life of the program funded. Wherever possible, you should use objective and verifiable data as the basis for your estimate. For instance, you may provide estimates of the total number of people you expect to reach through a public awareness campaign, how you will support their use of broadband in public institutions, and what compelling applications of broadband you will promote. Then estimate, based on demographic and economic factors in the target population, how many of them are likely to become regular users of broadband service for education, employment, communication with family and friends, and other purposes. If you are proposing to serve multiple areas, you should provide the total number of users for all of your areas.

16. Population Demographics. *Indicate the demographic category or categories your program will serve by completing the questions below.*

a. *Age distribution [Checkboxes with Census-level age categories]*
b. *Ethnicity or ethnicities [Checkboxes with Census-level ethnicity categories]*
c. *Gender [checkboxes Male/Female]*
d. *Median Household Income [checkboxes with Census data]*
e. *Educational levels [Box select: None, elementary, middle, secondary, college, masters, doctorate/post-doctorate*
f. *Disabilities status [physically disability, other disability]*
g. *Unemployment rate*
h. *Speakers of English as a second language, or non-English speaking status*

If your project will address the needs of specific groups, you should provide information here about those groups. You can check all of the categories that apply to your project. Several resources provided by the U.S. Census Bureau can aid an applicant in providing demographic and other information about local vulnerable populations, including:

- The DataWeb (http://www.thedataweb.org/index.html). The DataWeb is a network of online data libraries that the DataFerrett (http://dataferrett.census.gov/index.html) uses to access statistical information. Topics include census data, as well as economic, health, income, population, labor, employment, crime, and vital statistics data.
- U.S. Census Bureau's Guide to Census Tract Resources (http://www.census.gov/geo/www/tractez.html)
- U.S. Census Bureau Data Access Tools (http://www.census.gov/main/www/access.html)

17. People Trained/Educated. *If you intend to provide training or education, how many people* ***in total*** *will your program(s) reach?* _____

Applicants proposing a digital literacy or other training program should indicate the estimated number of people the proposed training program will serve over the period of your BTOP grant. The information you provide should relate only to the results of programs funded by BTOP. If you have existing programs that are not funded by BTOP grants, you should not include information about the beneficiaries of those programs here.

18. Scope of Training/Education Programs. *How many hours of training do you expect to provide per person on average for each participant in your training program(s), through completion of training for that individual? If you will offer multiple programs, provide estimates for each program.* _____

Applicants proposing a digital literacy or other training program should indicate the number of hours of training that each program participant will receive on average, for each BTOP-funded program you expect to provide. If you have existing programs that are not funded by BTOP grants, you should not include information about the beneficiaries of those programs here.

19. Instructors. *How many (FTE) instructors/facilitators will you employ for broadband and digital literacy training purposes, and what are their qualifications (training and experience)? [One Page Limit]*

Applicants proposing a digital literacy or other training program should indicate the number of full-time equivalent (FTE) instructors or facilitators the project will employ and discuss their training and experience as relevant to the specific needs of the population you will serve. The information you provide should relate only to the results of programs funded by BTOP. If you have existing programs that are not funded by BTOP grants, you should not include information about the beneficiaries of that program here.

20. Equipment Purchased. *How many broadband-related equipment units (e.g. computers, wireless devices) do you intend to purchase overall?*_____

Applicants that have proposed a program that will include providing equipment or computers to individuals, families or small businesses will provide an estimate of the number of computers or broadband devices that will be purchased as a result of the proposed program.

21. Cost of Devices. *What is the total up-front cost of this equipment?*_____

Applicants that have proposed a program that will include providing equipment or computers to individuals, families or small businesses will provide the total amount budgeted for purchase of this equipment.

22. Loan Program Participants. *If you are providing an equipment purchase or loan program, for how many households, businesses and/or institutions do you expect to provide equipment or computers?*

*Households*_____ *Businesses*_____ *Institutions*_____

Applicants that have proposed a program that includes loans for the purchase of service or equipment will provide the total number of anticipated participants in each category.

23. Loan Cost to Borrower. *If you are employing a loan program for purchases of service or equipment, what will be the total cost to the typical customer you assist over the life of the loan, including all interest and fees?* _____

Applicants that have proposed a program that include loans for the purchase of service or equipment will provide the total cost that participants in the proposed affordability program will pay over the life of the loan, including all interest and fees.

24. Target Population, Awareness Campaign. *If you are conducting an awareness campaign, how many people do you expect your campaign will reach?* _____

Applicants will identify the number of people they expect to reach through their public education and awareness efforts. You should substantiate your forecasts with quantitative data to the greatest extent possible. For instance, if you will use a Spanish-language newspaper to promote your project, provide estimates of circulation or readership. If you will make public presentations, estimate the size of the audience you will reach over the life of your project through civic organizations, religious institutions, or community groups.

25. Awareness Campaign Methods. *Briefly describe the targeting, media, and messaging strategies your awareness campaign will employ. [Two Page Limit]*

Applicants will provide information detailing the public education and awareness campaigns they will conduct as a part of their proposed project. For each medium or method proposed, the applicant should identify the target demographic, the expected number of persons reached and the estimated change in broadband subscription rates. Also explain why the methods you have chosen are appropriate to your target audiences.

26. Measuring Campaign Impact. *Describe how you will measure the impact of the awareness campaign. [One Page Limit]*

Your awareness campaign may take many forms, e.g., flyers, posters, mailings, placement of notices in print media targeted to the populations your project is serving, presentations at meetings, interviews, word-of-mouth, or hosted outreach events. The impacts will be measured by increases in the use of and/or subscribership to broadband services. For instance, if you are working to increase participation by a particular demographic group, then increased use of public computer centers by that group is an important indicator. If you are trying to build sustainability, then contributions or new partnerships might serve as an indicator of impact. The awareness campaign should be tailored to the benefits you seek to accrue to the project.

27. Total Cost Per New Subscriber. *What is the total cost of your project per new subscriber (household, individual, or institutional) or new end-user?*

Applicants will provide an average cost per new subscriber for the proposed project. This information will be used to evaluate the project's cost-effectiveness.

6. Project Viability

28. Technology Strategy*: Explain the mechanics and operational details of your project and how your approach is an effective and appropriate means of creating sustainable adoption in your target population. Explain how your innovative solution(s) would be feasible in other situations. [Two Page Limit]*

Present the details of your operational plan and describe how your approach is innovative and replicable. You do not need to repeat information presented in other answers – focus in this section on how you will carry out the project and whether it is a model that others can replicate or adapt.

29. Management Resumes: *Provide resumes and/or biographical summaries for the members of your senior management team and project team, emphasizing skills and experience relevant to the proposed program. Please refer to specific projects and outcomes that demonstrate the team's ability to execute this project based on past experience, and to manage federal funds effectively. [Each resume can be up to one page; limit biographical summaries to 1/2 page.]*

The answer to Question #29 should help to make the case for the proposed project's viability, all applicants will submit the resumes of persons with significant management responsibilities or other responsibilities vital to the success of the proposed program. In addition to the

resumes, you will submit a summary of past projects that illustrate the preparedness and/or expertise of your team.

30. Organizational Readiness: *Please describe key factors that demonstrate your organization will be prepared to implement, operate and sustain your project using federal funds. Include past experience in managing projects of comparable size and complexity. [One Page Limit]*

Applicants should describe the organizational mechanisms you have established to handle the implementation, management, and operation of the proposed broadband services network. You should also discuss how you plan to handle functions such as network management, billing, and customer care, and indicate whether any of these systems are already in place. If multiple organizations and key partnerships are involved in the project, the applicant should describe how these additional partners will enhance the "organizational readiness" for the project.

31. Organizational Chart: *Please attach a chart describing how the project team relates to the overall structure of your organization.*

Applicants will submit a chart showing the governance and management structure of their organizations, and how the project team fits into the organization. If multiple agencies or key partnership are involved with the project, the organizational charts should reflect the partnership.

32. ***Key Partners:*** *Provide a list of key partners (from the public, private and non-profit sectors), including community anchor institutions and public safety entities, community organizations, vendors or contributors of in-kind or cash support, and/or other resources which are integral to the success of this project. For each, include the name and title of a contact person, the organization's name, and its role in or contribution to the project. Support from partners may include funding, educational or training services, technical advice or support, outreach, facilities, or other products or services.*

Applicants will use this question to illustrate the level of local community participation in the proposed project. Please identify organizations from the public, non-profit, and private sectors, with particular attention to community anchor institutions and public safety entities, that will be involved in the project. The list might include community organizations, subcontractors, vendors, public safety entities, or institutions such as universities and libraries. You should also outline each organization's planned role in the project. Submit documentation, such as letters of support, from each of the organizations that will be involved in the project. You must provide the name and address for each partner, as well as the name and contact information

(at minimum, a phone number or email address) for a contact person at each partner organization.

33. Partnering with Disadvantaged Businesses: *If applicable, indicate whether you have established agreements in principle to partner with socially and economically disadvantaged small businesses (SDB), as defined by Section 8(a) of the Small Business Act, 15 U.S.C. 637. Please list the company, a contact person, and briefly describe the partnership purpose. (Limit ½ Page)*

All applicants should identify any agreements in principle that they have established with socially and economically disadvantaged businesses, as defined by Section 8(a) of the Small Business Act (15 U.S.C. § 637(a)(4)). To demonstrate that the partnership is valid, we recommend that applicants submit letters of support from any entity they list in this question.

34. Project Timeline and Challenges. *Please provide a detailed implementation plan on a quarterly basis that shows the phases of the project and establishes key milestones. Include such activities as construction, staffing and hiring, resource development, staff training, equipment purchases, and installation. Also, include a description of key challenges or risks to the timely completion of the project, including any mitigation plans to address the risks. [Two Page Limit]*

Applicants will submit a plan for the period of the proposed project. The plan should include at least quarterly milestones, though the applicant may set more frequent milestones if desired. Be certain to cover any areas that will aid reviewers in assessing how the applicant plans to achieve each goal or milestone. Milestones might include hiring of key staff, finalizing of program curricula, purchase of equipment, installation and configuration of new computer terminals or in-building networking, a "grand opening" of new or improved facilities, timelines for graduating classes from new training programs, or other items critical to the success of the proposed project. The schedule should clearly identify the start dates and expected completion of different phases of the project.

Additionally, applicants will describe issues or barriers that could delay the proposed project's implementation. Applicants will assess the likelihood of each risk or challenge, estimate the impact each would have on the project and the project schedule, and outline a mitigation plan for addressing it.

For BTOP, a project is considered "substantially complete" when the awardee has met 67 percent of the project milestones and received 67 percent of its award funds. Projects will be evaluated on the demonstrated ability of the applicant to promptly start the project and the reasonableness of the project timeline and associated milestones. NTIA encourages project schedules that will be completed in two years.

***35. Licenses and Regulatory Approvals**. If applicable, please list any local, state or federal licenses and regulatory approvals required to complete your project, and indicate the status of each.*

All applicants will submit a list of any licenses and regulatory approvals that are required to provide the proposed services. These might include construction permits, wireless service licenses, fire and safety permits, etc. Please indicate the status of each (such as "not applied for", "pending", or "approved").

***36. Legal Opinion.** Please attach a legal opinion that addresses the Applicant's ability to enter into the award agreement and briefly describe any relevant pending litigation matters.*

All applicants will submit a legal opinion that verifies that the applicant can enter into the grant. BTOP-only applicants are only required to describe "material" litigation matters. For this purpose, "material" litigation means any litigation that is deemed significant to an applicant's financial health and would be required to be referenced in the applicant's annual audited financial statements, report to shareholders or similar documents.

7. Project Budget & Sustainability

***37. Budget Narrative.** Please provide a narrative that explains the project budget proposed on SF 424 A and spending plan (timeline) in sufficient detail for reviewers to determine whether the expenditures are reasonable, necessary, and appropriate to the solution you are proposing. [Two Page Limit]*

Applicants must submit a concise narrative that explains how the proposed budget is necessary and appropriate for the program you are proposing. **It is critically important to clearly indicate to reviewers and the NTIA how the budget is related to the specific activities you are proposing.** If they are not able to determine whether your budget is complete and sensible, your proposal may be rejected without further review.

Cost breakdowns by category that may or may not be captured in the SF-424 A or C should be included here for line items of particular importance to your program, such as personnel, contractual, or equipment. Explain how and when you expect to spend the funds provided by BTOP as well as any matching contributions (in cash or in kind). If travel is included, explain why it is necessary to achieve your objectives. Including any pertinent "ratios" of cost/benefit in dollars spent per expected program result (such as $/training program graduate) is also helpful for reviewers.

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Note: All applicants are required to submit as an attachment to this application a completed budget in the form of OMB Standard Form 424A - Budget Information for Non-Construction Programs or OMB Standard Form 424C - Budget Information for Construction Programs, as well as the corresponding Standard Form 424 B or D - Assurances document. This form should be referenced in creating your response to this question. When the major purpose of the project or program is construction, land acquisition or land development, applicants shall use Budget Information and Assurance Forms for Construction Programs. Instructions for the SF-424 form are available via this link http://www07.grants.gov/agencies/forms_instruction_information.jsp to the www.grants.gov website.

38. Budget Reasonableness. *Concisely and convincingly explain why the costs you propose are reasonable to carry out your project, are eligible, and the allocation of funds will be sufficient to complete the tasks outlined in the project plan. Provide any relevant data and summaries of your analysis. [One Page Limit]*

In this section, justify the costs you are proposing based on past experience, competitive bids, published prices, local norms, or other specific metrics. Please follow closely your budget narrative. Describe how you arrived at particular costs and why you believe they are reasonable based on the tasks you will undertake. Ensure that each cost is eligible for funding under this program. Explain why your budget is sufficient to carry out your project.

39. Demonstration of Financial Need*. Provide documentation that the project would not have been implemented during the grant period without federal grant assistance. This documentation may consist of, but is not limited to, such items as a denial of funding from a public or private lending institution, denial of a funding request from a foundation or other organization, or a current fiscal year budget that shows the lack of available revenue options for funding the project. [One Page Limit]*

All applicants must clearly outline how and why their proposed project requires federal grant assistance and may not have been possible without these funds. You may include denied

funding requests or budgetary data that shows you would not have been able to pay for proposed programs on your own or with readily-available alternate funding sources, but if these rejections suggest that your program budgets are wasteful, mismanaged, or unreasonable this will be insufficient demonstration. You may also describe any efforts to obtain funding that have been unsuccessful due to economic issues in your state or locality. If you have never applied for funding of any kind before, you should articulate why you have not, and why funds provided under the BTOP program would not be provided by another funding source.

40. Historical Financial Statements. *Provide detailed organization financial statements for the last two years: a) Income Statement; b) Balance Sheet; c) Statement of Cash Flows. If your organization was established less than two years ago, provide all available information*

All applicants must submit recent financial statements or reports based on their organization's regular operating activities to aid reviewers and the NTIA in assessing the financial health of the applicant. A standard annual Income Statement, Balance Sheet and Statement of Cash Flows based on generally accepted accounting principles are preferable. If your organization cannot readily produce this data in a standard format, you should explain why not, and provide comparable data, such as your most recent IRS Form 990 or annual audit, that provides as detailed a picture as possible of your financial history for a minimum of one year prior to your submission of this application. If appropriate, you may include Notes on Financial Statements that explain costs and revenues by major categories, and you may make note of any abnormal or one-time charges, large liabilities or asset transactions, legal actions, or other financial events you feel require explanation.

41. Sustainability. Please indicate whether and how the project will be sustained beyond the funding period. Also discuss how the projected increases in broadband adoption rates will be sustained beyond the grant period. [One Page Limit]

All applicants will submit a narrative detailing how the expected increases in broadband adoption rates will be sustained without ongoing federal grant assistance after the funding period and grant program has concluded. The description should include an explanation for why the applicant believes increases in subscriber rates will be sustainable over time. Applicants should demonstrate how any costs associated with training and/or other recurring expenses will be covered after the grant expires.

42. Matching Funds**. Please describe the matching funds (both cash and in-kind) you plan to devote to this project and document their source(s), including the percentage of your match and whether the match is all cash. Attach letters of commitment from proposed sources.* ***If you have requested a waiver of the matching requirement, provide a letter attachment clearly defining your need. An applicant applying for a waiver should submit complete financial documentation, including its assets, liabilities, operating expenses and revenues, and any other documents that would demonstrate financial need, such as denial of funding from a public or private lending institution.

All applicants must describe the matching fund amounts, both cash and in-kind, that your organization and its funding sources will provide directly to the execution of this project. If you cannot provide the full 20 percent cost share, please describe what you can provide and file for a waiver of the rest. You will receive higher scores for exceeding the 20 percent minimum cost sharing requirement, and you are strongly encouraged to use every means possible to consolidate additional cash funds to apply to this project from sources such as state, local, and philanthropic organizations, economic development funds, and financial assistance programs. You are also encouraged to seek in-kind contributions to be directly used in the project. These in-kind contributions must be directly attributable to budget items you have identified for your project, and must be "eligible costs" as defined in the Notice of Funding Availability. Such costs may be products, services, equipment, or other forms of direct assistance to your proposed program. In-kind contributions which are shared-use with other activities or projects not directly related to this program will not be eligible for application to matching fund amounts in most cases, and should only be included if you can clearly demonstrate the portion of those shared-use contributions which will directly apply to your proposed project.

If you are applying for a waiver, you must clearly demonstrate that complying with the Recovery Act's mandated 20 percent match of grant funds received under this program is a financial hardship for your organization with concrete documentation that you have attempted to seek funding to meet the 20 percent match requirement through every means reasonably possible, but have not been successful. Your accounting statements, budgets, and financial information will be scrutinized to validate a requested waiver of mandated matching funds for both validity and reasonableness.

***43. Unjust Enrichment:** Please state whether this project is receiving, or if you have applied for, any Federal support for non-recurring costs in the area for which you are seeking an award. If so, please state how much and from which federal program.*

In Question #43, all applicants must disclose whether they (or their projects) are receiving, or have requested, Federal support for non-recurring costs in the service area for which they are seeking an award. Non-recurring costs are one-time capital expenses. In awarding grants under BTOP, NTIA will consider whether an award for a proposed infrastructure project will result in unjust enrichment through support for project-related non-recurring costs through another federal program. Note that applicants are encouraged to leverage funding from this program with funding from other federal programs. Such leveraging will not be considered unjust enrichment unless applicants receive duplicative federal funding to cover the same costs.

44. Disclosure of Federal and/or State Funding Sources. *Please disclose the source and amount of other federal or state funding received or requested for activities or projects to which this project relates. Please specify all Universal Service Fund (USF) funding delineated by specific program.*

All applicants must disclose the source and amount of other federal or state funding the applicant has received, or has requested, for projects to which the application relates. This disclosure must include funding from all Universal Service Fund funds including, but not limited to, funding from the Schools and Libraries Program, Rural Health Care Program and Pilot Program, and the High Cost Program.

45. Buy American Requirement: *Are you seeking a waiver of the Buy America provision?*

- ☐ *Yes. If yes, please provide a legal justification.*
- ☐ *No*

Applicants should be aware that the Recovery Act prohibits the use of funds that are used for the construction, alteration, maintenance, or repair of a public building or public work unless all of the iron, steel, and manufacturing goods used in the project are produced in the United States. This restriction is generally known as the Buy American provision. On July 1, 2009, the Secretary of Agriculture and the Secretary of Commerce each published a notice stating that they had granted a limited waiver of the Buy American provision with respect to BIP and BTOP funds used for certain broadband equipment. The scope of the waiver applies to the broadband equipment listed below.

Type of Broadband Equipment	Purpose of the Broadband Equipment
Broadband Switching Equipment	Equipment necessary to establish a broadband communications path between two points.
Broadband Routing Equipment	Equipment that routes data packets throughout a broadband network.
Broadband Transport Equipment	Equipment for providing interconnection within the broadband provider's network.
Broadband Access Equipment	Equipment facilitating the last mile connection to a broadband subscriber.
Broadband Customer Premises Equipment and End-User Devices	End-user equipment that connects to a broadband network.
Billing/Operations Systems	Equipment that is used to manage and operate a broadband network or offer a broadband service.

Note that the Buy American provision applies only to public works and public buildings. Private projects are exempt from the provision. If an applicant forms a public-private partnership (e.g., a corporation partnering with a local government), it will be treated as "public" and will be subject to the Buy American provision. If the applicant wishes to use iron, steel, or manufactured goods that are not covered by the Secretaries' waivers, it may request a limited waiver, on a case-by-case basis, as part of its application. The applicant's request must provide the legal justification for receiving the waiver. The list of items not currently subject to the waiver, include fiber optic cables, coaxial cable, cell towers, and other facilities or goods that are produced in sufficient quantities in the United States.

8. DOC Environmental Checklist

46. This section is to be completed for those projects historically shown not to create significant environmental impacts to the human or natural environment. Any answer of "No" or "Not Applicable" may require additional documentation or review.

a. Is the proposed action solely a procurement action for materials intended to be installed, stored or operated in an existing building or structure?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

b. If the proposed action involves procurement of electronic equipment, will the equipment be disposed of in an environmentally sound manner at the end of its useful life?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

c. Does the proposed action involve only minor interior renovations to a structure, facility, or installation?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

d. Is the proposed action solely for the production and/or distribution of informational materials, brochures, or newsletters?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

e. Does the proposed action consist solely of training, teaching, or meeting facilitation at an existing facility or structure?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

The applicant must complete and upload the environmental questionnaire and any applicable documents.

9. Compliance and Certification

Certifications
(iv) I certify that I am authorized to submit this grant application on behalf of the eligible entity(ies) listed on this application, that I have examined this application, that all of the information and responses in this application, including certifications, and forms submitted, all of which are part of this grant application, are material representations of fact and true and correct to the best of my knowledge, that the entity(ies) that is requesting grant funding pursuant to this application and any subgrantees and subcontractors will comply with the terms, conditions, purposes, and federal requirements of the grant program; that no kickbacks were paid to anyone; and that a false, fictitious, or fraudulent statements or claims on this application are grounds for denial or termination of a grant award, and/or possible punishment by a fine or imprisonment as provided in 18 U.S.C. §1001 and civil violations of the False Claims Act. *(v) I certify that the entity(ies) I represent have and will comply with all applicable federal, state, and local laws, rules, regulations, ordinances, codes, orders and programmatic rules and requirements relating to the project. I acknowledge that failure to do so may result in rejection or deobligation of the grant or loan award. I acknowledge that failure to comply with all federal and program rules could result in civil or criminal prosecution by the appropriate law enforcement authorities.* *(vi) I certify that the entity(ies) I represent has and will comply with all applicable administrative and federal statutory, regulatory, and policy requirements set forth in the DOC Pre-Award Notification, published in the Federal Register on February 11, 2008 (73 FR 7696), as amended; DOC Financial Assistance Standard Terms and Conditions (Mar. 8, 2009); DOC American Recovery and Reinvestment Act Award Terms (April 9, 2009); and any Special Award Terms and Conditions that are included by the Grants Officer in the award."* **Authorized Representative's Signature _____Date_____** **Name: _____** **Title: _____**

Other Federal Forms and Certification Requirements

SF-424A, Budget Information—Non-Construction Programs

SF-424B, Assurances—Non-Construction Programs

SF-424C, Budget Information—Construction Programs

SF-424D Assurances—Construction Programs

CD-511, Certification Regarding Lobbying

CD-512, Certification Regarding Lobbying—Lower-Tier Covered Transactions

SF-LLL, Disclosure of Lobbying Activities

Legal Opinion

New

The documents listed above need to be certified and completed by the applicant to ensure compliance with Federal Statutes and regulations. All applicants must complete the certifications section of the application. You should read each certification carefully to ensure that you understand and agree to it before signing. Using the forms, schedules and attachments "as-is" will expedite application processing. Applicants should note that Commerce Department form CD-346 is not required.

Section D: Glossary

Administrator means the RUS Administrator, or the Administrator's designee.

Applicant means an entity requesting approval of an award under this NOFA.

Assistant Secretary means the Assistant Secretary for Communications and Information, National Telecommunications and Information Administration, Department of Commerce, or the Assistant Secretary's designee.

Award documents mean, collectively, grant agreement, loan documents and/or loan/grant combination documents.

Award means a grant, loan, or loan/grant combination made under this NOFA by either RUS or NTIA.

Awardee means a grantee, borrower, or borrower/grantee.

BIP means the Broadband Initiatives Program, administered by the RUS, under the Recovery Act.

Borrower means the recipient of a RUS loan under this NOFA.

Borrower/grantee means the recipient of a RUS loan/grant combination under this NOFA.

Broadband means providing two-way data transmission with advertised speeds of at least 768 kilobits per second (kbps) downstream and at least 200 kbps upstream to end users, or providing sufficient capacity in a middle mile project to support the provision of broadband service to end users within the extended project area.

BTOP means the Broadband Technology Opportunities Program, administered by NTIA, under the Recovery Act.

Build-out means the construction or improvement of facilities and equipment as specified in the application.

Community anchor institutions means schools, libraries, medical and healthcare providers, public safety entities, community colleges and other institutions of higher education, and other community support organizations and agencies that provide outreach, access, equipment and support services to facilitate greater use of broadband service by vulnerable populations, including low-income, unemployed, and aged.

Critical community facilities means public facilities that provide community services essential for supporting the safety, health, and well-being of residents, including, but not limited to, emergency response and other public safety activities, hospitals and clinics, libraries and schools.

Forecast period means the time period used by RUS and NTIA to determine if an application is financially feasible. Financial feasibility of an application is based on five-year projections.

Grant agreement means the agreement between RUS or NTIA and the grantee for grants awarded under the July 2009 NOFA, including any amendments thereto, available for review at http://www.broadbandusa.gov.

Grant funds mean federal funds provided pursuant to a grant made under the July 2009 NOFA.

Grantee means the recipient of a grant under the July 2009 NOFA.

Last Mile project means any infrastructure project the predominant purpose of which is to provide broadband service to end users or end-user devices (including households, businesses, community anchor institutions, public safety entities, and critical community facilities).

Last Mile Non-Remote project means any broadband infrastructure project (or group of projects) that is not exclusively a last mile remote area project, and that provides broadband service to the end user or end-user devices in a service area eligible for BIP funding.

Last Mile Remote Area project means any broadband infrastructure project that provides broadband service to the end user or to end-user devices only in a remote area(s) eligible for BIP funding.

Loan means any loan made under this NOFA by RUS.

Loan contract means the loan agreement between RUS and the borrower, including all amendments thereto, available for review at http://www.broadbandusa.gov.

Loan documents mean the loan contract, note(s), and security instrument between the borrower and RUS and any associated documents pertaining to the loan.

Loan/grant means any loan/grant combination made under the July 2009 NOFA by RUS.

Loan/grant contract means the loan/grant contract between RUS and the borrower/grantee, including all amendments thereto available at http://www.broadbandusa.gov.

Loan/grant documents mean the loan/grant contract, note(s), and security instrument between the borrower/grantee and RUS and any associated documents pertaining to the loan/grant.

Middle Mile project means a broadband infrastructure project that does not predominantly provide broadband service to end users or to end-user devices, and may include interoffice transport, backhaul, Internet connectivity, or special access.

Pre-application expense means any reasonable expense incurred after the release of the July 2009 NOFA to prepare an application, including engineering costs and accountant/consultant fees.

Proposed funded service area means the area (either in all or part of an existing service area or a new service area) where the applicant is requesting BIP or BTOP funds to provide broadband service pursuant to the July 2009 NOFA.

Public computer center means a place, including but not limited to community colleges, libraries, schools, youth centers, employment service centers, Native American chapter houses, community centers, senior centers, assistive technology centers for people with disabilities, community health centers, and Neighborhood Network Centers in public housing developments, that provide broadband access to the general public or a specific vulnerable population, such as low-income, unemployed, aged, children, minorities and people with disabilities.

RE Act means the "Rural Electrification Act of 1936," as amended (7 U.S.C. § 901 *et seq.*).

Recovery Act means the American Recovery and Reinvestment Act of 2009, Pub. L. No. 111-5, 123 Stat. 115 (2009).

Remote area means an unserved, rural area 50 miles from the limits of a non-rural area.

Rural area means any area, as confirmed by the latest decennial census of the Bureau of the Census, which is not located within: (i) a city, town, or incorporated area that has a population of greater than 20,000 inhabitants; or (ii) an urbanized area contiguous and adjacent to a city or town that has a population of greater than 50,000 inhabitants. For purposes of the definition of rural area, an urbanized area means a densely populated territory as defined in the latest decennial census of the U.S. Census Bureau.

Service area means the entire area within which a service provider either offers or intends to offer broadband service and may include the proposed funded service area.

State means, for purposes of BTOP, a state or political subdivision thereof, the District of Columbia, or a territory or possession of the United States.

Underserved area means a proposed funded service area, composed of one or more contiguous census blocks meeting certain criteria that measure the availability of broadband service and the level of advertised broadband speeds. These criteria conform to the two distinct components of the Broadband Infrastructure category of eligible projects—last mile and middle mile. Specifically, a proposed funded service area may qualify as underserved for last mile projects if **at least one** of the following factors are met, though the presumption will be that more than one factor is present: (i) no more than 50 percent of the households in the proposed funded service area have access to facilities-based, terrestrial broadband service at greater than the minimum broadband transmission speed (set forth in the definition of broadband above); (ii) no fixed or mobile broadband service provider advertises broadband transmission speeds of at least three megabits per second ("mbps") downstream in the proposed funded service area; or (iii) the rate of broadband subscribership for the proposed funded service area is 40 percent of households or less. A proposed funded service area may

qualify as underserved for middle mile projects if one interconnection point terminates in a proposed funded service area that qualifies as unserved or underserved for Last Mile projects.

Unserved area means a proposed funded service area, composed of one or more contiguous census blocks, where at least 90 percent of households in the proposed funded service area lack access to facilities-based, terrestrial broadband service, either fixed or mobile, at the minimum broadband transmission speed (set forth in the definition of broadband above). A household has access to broadband service if the household can readily subscribe to that service upon request.