Round 2 Grant Guidance

Comprehensive Community Infrastructure

Broadband Technology Opportunities Program

U.S. Department of Commerce

National Telecommunications and Information Administration

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Table of Contents

1 Program Participation 1
1.1 Before You Get Started 1
1.2 Key Changes from NOFA 1 to NOFA 2 1
1.3 Electronic Filing 1
1.4 Eligible Entities 2
1.5 Public Safety Entities Applying for BTOP Funding 2
1.6 Eligible Cost Purposes – Comprehensive Community Infrastructure Projects 3
1.7 Federal Income Tax 5
1.8 Cost Matching 5
1.9 Use of Program Income 7
1.10 Standard Terms and Conditions for Department of Commerce Grants 7
1.11 Submitting a Proposal 8
1.11.1 Key Dates 8
1.11.2 Requirements for Electronic Submissions 8
1.11.3 Submitting Multiple Applications 8
1.11.4 Confidentiality 9
1.11.5 Upload Templates 9
1.11.6 Uploads without Templates 10
1.11.7 Material Revisions of Submitted Applications 10
1.12 Waivers 10
1.12.1 Matching Waiver 10
1.12.2 Last Mile Coverage Obligation 11
1.12.3 Sale or Lease of Assets Waiver 11
1.12.4 Buy American Waiver 11
1.12.5 Discretionary Waivers 12
1.13 Final Considerations 14
2 Acknowledgement of Notices 15
3 Contact Information 16
4 Additional Contacts 17
5 Organization Information 18
6 Authorization 22
7 Project Information 23
8 Partners 36
9 Congressional Districts 41
10 Service Area Details 43
11 Community Anchor Summary 47
12 Project Benefits 49
13 Technology Type 52
14 Project Budget 58
15 Historical Financials 65
16 Project Readiness 66
17 Environmental Questionnaire 69
18 Uploads 74

18.1 Service Offerings and Competitor Data 75
18.2 Network Diagram 79
18.3 Build-Out Timeline 81
18.4 List of Community Anchor Institutions and Points of Interest 83
18.5 Management Team Resumes and Organization Chart 85
18.6 Government and Key Partnerships 86
18.7 Historical Financial Statements 86
18.8 Budget Narrative 87
18.9 Detailed Project Budget 91
18.10 Pro Forma Forecast 96
18.10.1 Income Statement 97
18.10.2 Balance Sheet 100
18.10.3 Statement of Cash Flows 102
18.10.4 NPV and Rate of Return Estimation 105
18.10.5 Key Assumptions 106
18.11 Subscriber Estimates 108
18.12 Dashboard Metrics 109
18.13 Service Area Data 117
18.14 Waivers 118
18.15 Network Maps 118
18.16 BTOP Certifications 119
18.17 SF-424C and SF-424D 119
18.18 Supplemental Information 121
19 Review and Submit 122

1 Program Participation

1.1 Before You Get Started

Before preparing and submitting an application, Applicants are encouraged to read the Notice of Funds Availability (NOFA), these Guidelines, and the compliance and background materials posted at www.broadbandusa.gov. The National Telecommunications and Information Administration (NTIA) anticipates a large volume of applications from highly qualified entities. By carefully reviewing these materials, Applicants will help ensure that their application is complete and satisfies the requirements of the Broadband Technology Opportunities Program (BTOP). Please note that all applicants are required to have a DUNS number and to register in the Central Contractor Registration (CCR) database (see section 5 for additional details).

1.2 Key Changes from NOFA 1 to NOFA 2

NTIA released a NOFA for BTOP's second round of funding on January 15, 2010, and it was published in the *Federal Register* on January 22, 2010. For this round of funding, NTIA has adopted a "comprehensive communities" approach to award BTOP grants for infrastructure projects that emphasize middle mile broadband capabilities with a commitment to offering new or substantially upgraded connections to community anchor institutions. NTIA has also removed the requirement from the prior funding round that these infrastructure projects be located in unserved or underserved areas, although such projects will receive additional consideration in the evaluation of Project Benefits and the satisfaction of BTOP priorities. Applications that propose to contribute a non-federal cost match that equals or exceeds 30 percent of the total eligible costs of the project will also receive additional consideration in evaluation of Project Budget and in satisfaction of BTOP priorities during this second round of funding.

Although NTIA has shifted its approach by collecting more data in the initial application, with less reliance on supplemental data collection, the application has also been made more efficient and will require uploading of fewer attachments than during the first round of funding. In addition, Applicants are no longer required to use the United States Department of Agriculture (USDA) proposed funded service area mapping tool to delineate a service area. Applicants with over 75 percent rural proposed service areas are also no longer required to first apply to USDA's Broadband Initiatives Program (BIP). While an applicant may be eligible to apply for both programs, NTIA strongly encourages current recipients of a loan or grant from the Rural Utility Service (RUS) and Applicants whose project include a rural Last Mile Service Area to apply to BIP. BTOP will focus on projects that include a Middle Mile component and that will provide new or substantially upgraded services to community anchor institutions. For this round of funding, Applicants may propose service areas by Census tracts and block groups rather than individual Census blocks.

1.3 Electronic Filing

All Applicants are required to file electronically via the Easygrants® System (Easygrants) application. The electronic filing system is accessible at www.broadbandusa.gov. An applicant may request a waiver of the electronic filing requirement pursuant to section 1.12.5.2 of this guidance.

1.4 Eligible Entities

To be eligible for funding under BTOP, Applicants must be one of the following types of entities:

- States, local governments, or any agency, subdivision, instrumentality, or political subdivision thereof;
- The District of Columbia;
- A territory or possession of the United States;
- An Indian tribe (as defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. § 450(b));
- A native Hawaiian organization;
- A non-profit foundation, a non-profit corporation, a non-profit institution, or a non-profit association;
- Other non-profit entities;
- For-profit corporations;
- Limited liability companies; or
- Cooperative or mutual organizations.

In addition, all Applicants must: (1) submit a fully completed application, and (2) provide at least 20 percent non-federal cost share match or request a waiver of such cost share .

NOTE: Eligible Entities
All entities and organizations participating in a proposed project must be eligible organizations.
Eligible entities whose applications were rejected in Round One of BTOP funding may reapply.
Individuals, sole proprietorships, and all forms of partnerships are not eligible for funding.
See NOFA section V.A.1.

1.5 Public Safety Entities Applying for BTOP Funding

Public safety entities are strongly encouraged to apply for BTOP funding. In fact, improving the broadband capabilities of public safety is one of BTOP's highest priorities, as demonstrated by its inclusion in the CCI Priority criteria as set forth in the NOFA. The objective of the Comprehensive Communities approach is to leverage resources across many users to create sustainable community growth and prosperity. As a result, NTIA strongly recommends that public safety entities find ways to partner with other government, non-profit, and for-profit entities in their community to develop projects that will serve multiple purposes and benefit many stakeholders. An example of a project that incorporates public safety entities might be one utilizing Next Generation 911 (NG911) that connects public safety answering points (PSAPs) using broadband services to allow for voice, video and data/text

911 communications. NG911 permits 911 communications support, improved interoperability, and location-specific emergency alerts for any communications device. NTIA encourages state-wide or multi-state regional projects that connect multiple PSAPs.

1.6 Eligible Cost Purposes – Comprehensive Community Infrastructure Projects

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 Office of Management and Budget (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 conform to generally accepted accounting principles (GAAP). An Applicant that proposes to use a portion of the grant funds for any ineligible cost may have its application rejected. NTIA may negotiate with Applicants to remove ineligible costs from otherwise meritorious applications.

The NOFA lists several categories of eligible and ineligible costs for BTOP CCI projects. Applicants should refer to the NOFA to determine whether the costs associated with the projects are eligible for funding (see NOFA section V.E.2.a). 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:

- Construction or improvement of all facilities required to provide broadband service, including the costs of CALEA-compliant equipment;
- The cost of long-term leases (for terms greater than one year) of facilities required to provide broadband service, including indefeasible right-of-use (IRU) agreements;
- Reasonable pre-application expenses in an amount not to exceed five percent of the award. Pre-application expenses, which include expenses related to preparing an application, may be reimbursed if they are incurred after the publication date of the second NOFA and prior to the date of issuance of the grant award from NTIA, except that lobbying costs and contingency fees are not reimbursable from BTOP funds;
- Reasonable indirect costs consistent with the principles outlined in section V.E.1. of the NOFA; and
- Other projects and activities the Assistant Secretary finds to be consistent with the purposes for which the Program is established.

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. See NOFA section V.E.2.b for ineligible award expenses. The ineligible expenses are listed here as well, to underscore to Applicants that these costs will not be recoverable through an award under BTOP. Ineligible expenses include:

- Operating expenses of Applicants;
- Costs incurred prior to the date on which the application is submitted, with the exception of eligible pre-application expenses;
- Acquisition of an affiliate, including the acquisition of the stock of an affiliate;

- The purchase or lease of any vehicle other than those used primarily in construction or system improvements;
- The merger or consolidation of entities; or
- Costs incurred in acquiring spectrum as part of a Federal Communications Commission (FCC) auction or in a secondary market acquisition.

Additional information regarding eligible costs is set forth in applicable cost principle regulations in OMB circulars and found at http://www.broadbandusa.gov/compliance.htm. Applicants must ensure their project costs conform not only to the regulations set forth in the NOFA and described above, but also to the regulations specified by the Office of Acquisition Management's Grants Management Division (http://oam.ocs.doc.gov/GMD_gforms.html). These regulations further explain the eligible costs for specific types of projects and entities, including institutions of higher education, hospitals, other non-profit and commercial organizations, and state and local governments. NTIA recommends that Applicants review the relevant sections in the following documents to confirm the eligibility of the proposed costs:

- 15 CFR Part 14.27 – Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals, other Non-Profit and Commercial Organizations (http://oam.ocs.doc.gov/docs/GRANTS/15cfr14.pdf); and
- 15 CFR Part 24.22 – Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (http://oam.ocs.doc.gov/docs/GRANTS/15cfr24.pdf).

The Grants Management Division also establishes the regulations governing lobbying, which as noted in the NOFA is not an eligible cost for BTOP funds. See 15 CFR Part 28 – New Restrictions on Lobbying (http://oam.ocs.doc.gov/docs/GRANTS/15cfr28.pdf) for more information.

NOTE: Eligible Costs
Under BTOP, the costs to audit the grants awarded to state and local governments, educational institutions, and non-profit organizations are typically allowable as indirect costs under the Single Audit Act, as implemented by OMB Circular A-133. NTIA may also allow for-profit organizations to recover the costs of audits as direct costs.
All fiber required to provide broadband service as part of the CCI project, including dark fiber, will be considered an eligible cost, as long as it is not excessive additional capacity when compared to the facilities that are directly required to provide the broadband service.
Labor is an eligible cost for CCI projects to the extent that it is directly related to the construction or improvement of facilities required to provide broadband service. More specifically, labor costs associated with activities related to the construction, deployment, or installation of facilities required to provide broadband service are eligible costs. Labor is not an eligible cost for CCI projects to the extent that it is an operating expense directed to the maintenance of the organization or the facilities.

NOTE: Eligible Costs
Indirect costs are incurred by an organization in funding the overall operations and functions of the business, but are not directly attributable to the implementation of the project funded by the federal grant. It is similar in concept to overhead. The recovery of indirect costs is a means to allocate shared and common costs of an organization among the cost objectives of the project. Indirect costs must meet the allowability standards set forth in the OMB cost principles to be recoverable from grant funds (particularly the limitation against operating expenses). Applicants must include any indirect costs they seeks to recover as a line item in its budget and **have a federally-approved indirect cost rate in place, or commit to apply for one** within 90 days from the award start date.
During the funding period, the purchase of customer premises equipment used to provide broadband service (*e.g.*, cable modems) is an eligible cost for the purposes of CCI projects. The cost of labor to install customer premises equipment also is an eligible cost because it is directly related to the construction or improvement of facilities required to provide broadband service.
Applicants will be required to submit detailed information documenting all costs they seek to recover through an award under BTOP.

1.7 Federal Income Tax

Each grantee has the right and responsibility to seek guidance from qualified advisors on the applicability of all laws, including federal, state and local tax law. The IRS has made some general pronouncements about the tax implications of grants. For an example of the analysis that the Internal Revenue Service may apply to BTOP grants, please see http://www.irs.gov/pub/irs-drop/n-03-18.pdf. If the IRS provides further guidance with respect to BTOP grants in particular, NTIA will indicate that in a FAQ that will be posted on www.broadbandusa.gov. Federal taxes are not an eligible cost under federal grant programs such as BTOP. The Applicant should take any tax consequences into account when constructing its budget.

1.8 Cost Matching

As outlined in the NOFA, grantees under BTOP will be required to provide matching funds of at least 20 percent toward the total eligible costs of the project. Priority review will be given to Applicants that meet seven criteria described in section II.B.1.b. of the NOFA, including proposing to provide matching funds greater than or equal to 30 percent of the total project budget.

The matching requirement can be met with both cash and in-kind contributions. In-kind contributions, including third party in-kind contributions, are non-cash donations to a project that may count toward satisfying the 20 percent non-federal matching requirement of a project's total budgeted costs. In-kind contributions must be allowable project expenses; that is, they must be for costs that are eligible for federal funding.

BTOP grantees are not required to spend all of the non-federal matching funds before spending grant funds. However, the non-federal share of the project budget, whether cash or in-kind, must be expended at least proportionally to the federal share expended. Reasonable pre-application expenses in an amount not exceeding five percent of the award may be counted toward an Applicant's 20 percent match for BTOP. Although the Applicant is not required to have all matching funds on hand at the time it submits the application, it must convincingly demonstrate that it will be able to supply the proposed matching funds if it receives a grant. The Applicant cannot use funds for which it has applied, but has not yet been granted, to demonstrate that it can meet BTOP's 20 percent match requirement.

Matching funds can also include, for example:

- Monies from a state or other non-federal grant awarded to provide broadband services, purchase equipment, and provide training;
- Previously used equipment, whose value should be based on a use allowance, depreciation, or current fair market value;
- Unpaid volunteer services whose rates shall be consistent with those paid for similar work in the grantee's organization; and
- Loan proceeds; and
- Federal funds (whether from a grant, loan, or other source) expressly authorized by statute for use as matching funds. Any federal funds that are not expressly authorized by statute for such use are not eligible for use as matching funds.

See section 1.12.1 below for information on requesting a waiver of the matching requirement.

NOTE: CCI Match
The amount of a vendor discount cannot be applied to the required 20 percent match. Instead, it represents a reduction in the overall cost of the project.
Federal universal service support payments made pursuant to section 254 of the Communications Act, as amended, are considered federal funds and have not been authorized for use as matching funds for BTOP.
Program income may be used to meet the matching requirement (see section V.F. of the NOFA).
Certified socially and economically disadvantaged small business concerns are not exempt from matching requirements.
Applicants that receive a full or partial waiver of the cost-matching requirement will be treated as having provided a 20 percent non-cash match.

1.9 Use of Program Income

Grantees are required to account for any program income directly generated by projects financed in whole or in part with federal funds. Given the objectives of the American Recovery and Reinvestment Act of 2009 (Recovery Act) to spur job creation and stimulate long-term economic growth and opportunity, BTOP grant recipients are expected to convincingly demonstrate their ability to sustain their projects beyond the funding period. While grant funds are intended to cover the capital costs of projects as part of the Recovery Act's effort to stimulate the economy, grant recipients are expected to present projects that will sustain long-term growth and viability.

NOTE: Program Income
Program income means gross income earned by the grant recipient that is either directly generated by a supported activity or earned as a result of the award during the funding period.

For purposes of BTOP, any program income generated by a funded project during the grant period shall be retained by the grant recipient and added to the funds committed to the project by NTIA and the recipient or used to finance the non-federal share of the project. Funds added to the project should be used to further eligible project objectives, including reinvestment in project facilities, funding BTOP compliance costs, and paying operating expenses of the project. 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.C. of the NOFA and in applicable DOC regulations.

Applicants that intend to utilize program income to finance the non-federal share of the project will need to include this income in their SF-424C budget. Applicants should be cautious about relying too heavily on program income for the non-federal share. This income must be realistic and achievable. It will become part of the award conditions and the Applicant will need to ensure that the program income is earned. Applicants should note that the non-federal share of the project budget must be spent proportionally to the federal share of the project budget. Program income will generally not be available at the outset of a project, and Applicants must have other resources available to cover the non-federal share of the budget.

1.10 Standard Terms and Conditions for Department of Commerce Grants

All BTOP applicants are required to comply with all applicable provisions set forth in the DOC Pre-Award Notification, available at http://oam.ocs.doc.gov/docs/Grants/Preaward_FRN2008.pdf. Applicants should also familiarize themselves with the DOC's Standard Terms and Conditions and ARRA Award Terms, both of which apply to BTOP grants. These documents can be found at http://www.broadbandusa.gov/compliance.htm.

1.11 Submitting a Proposal

1.11.1 Key Dates

The electronic application system, Easygrants, will be available at http://www.broadbandusa.gov, beginning February 16, 2010. Upon completion of the application, the Easygrants will provide a date and time stamped confirmation number that will serve as proof of submission. Applicants are strongly encouraged to submit their applications early to avoid last-minute congestion on the intake system. However, early submissions will **not** confer any advantage or priority in review.

NOTE: Application Deadline
The deadline for filing an application is 5:00 p.m. EDT on March 15, 2010.

1.11.2 Requirements for Electronic Submissions

The application package for electronic submission is available at www.broadbandusa.gov. Electronic submission of applications will allow for the expeditious review of each Applicant's proposal. In addition to completing the application, the Applicant must authenticate it by registering with the Central Contractor Registration at http://www.ccr.gov. Easygrants will send an e-mail to the Applicant to confirm receipt of his or her application. For more information regarding Easygrants, the Applicant should review the Easygrants guide, which will be available on http://www.broadbandusa.gov.

NOTE: Electronic Submission
The Funding Opportunity Number for BTOP is the Regulatory Identification Number associated with BTOP in the NOFA: 0660–ZA28.
The Catalog of Federal Domestic Assistance (CFDA) number for BTOP grants is 11.557. The CFDA title for BTOP is "Recovery Act - Broadband Technology Opportunities Program (BTOP)."
Applicants may apply to this round of funding if they submitted an application in the first round, whether or not it received an award. Applicants will be required to modify the proposed projects from the previous round to meet NOFA and application requirements for this round of funding.

1.11.3 Submitting Multiple Applications

Applicants with projects in multiple funding categories (CCI, Public Computer Centers (PCC), and Sustainable Broadband Adoption (SBA)) must submit separate applications for each project. However, such Applicants should reference the other relevant applications in the Project Information section of each application and discuss synergies between projects in the appropriate sections of each application.

If NTIA decides to reject one of these applications, it will not necessarily reject all those associated with it. For example, a SBA application might be related to a CCI application to the extent that the former provides solutions to enhance subscribership. However, if NTIA finds that only one of several related applications proposes a project that is highly responsive to the criteria, NTIA may choose to fund only the highly meritorious application. Similarly, if Applicants submit multiple CCI applications, each with its own proposed funded service area, NTIA will consider each application on its own merits.

1.11.4 Confidentiality

Applicants should note that the information provided as part of their applications may be subject to disclosure under the Freedom of Information Act and are, therefore, encouraged to identify and label any confidential and proprietary information contained in their applications. NTIA will protect confidential and proprietary information from public disclosure to the fullest extent authorized by applicable law, including the Freedom of Information Act, as amended (5 U.S.C. § 552), the Trade Secrets Act, as amended (18 U.S.C. § 1905), and the Economic Espionage Act of 1996 (18 U.S.C. § 1831 *et seq*.).

Applicants should be aware, however, that the Recovery Act requires substantial transparency. For example, NTIA is required to make publicly available on the Internet a list of each entity that has applied for a grant, a description of each application, the status of each application, the name of each entity receiving funds, the purpose for which the entity is receiving the funds, each quarterly report, and other information regarding grantees.

Some of the elements in the application will be made publicly accessible through the application database available at www.broadbandusa.gov per section VI.D. of the NOFA. As stated in the NOFA, those elements of the application that will be publicly displayed are: 1) the identity of the applicant and general applicant and project information; 2) an executive summary of the project; 3) information regarding the proposed funded service area; and 4) the federal grant request and cost match. Thus, NTIA will make the following information in the application publicly available: 1) the name and location of the applicant organization; 2) the name, phone number, and email address of the primary point of contact; 3) the project title and description; 4) the executive summary; 5) the total federal grant request and total match amount; and 6) the states in which the project will provide service.

1.11.5 Upload Templates

Applicants are required to upload a number of documents using provided templates, including Last Mile/Middle Mile Offerings/Competitor Tables, Build-Out Timeline, Community Anchor Institutions and Points of Interest, Detailed Budget, Subscriber Estimates, Pro Forma Financial Forecast, Key Dashboard Metrics, Service Area Data, Waivers, BTOP Certifications, SF-424 C Budget and SF-424 D Assurances – Construction. NTIA intends to use the information contained within some of these templates to perform automated processing and analysis. To ensure an expeditious review of applications, these documents **must be uploaded in the same file type as the provided template or as indicated in the template.** In addition, the formatting of each uploaded document **must be consistent with that used in the provided template**. Failure to provide files consistent with the templates will result in NTIA being unable to automatically process the application and may result in the delayed processing or rejection of the application. To further clarify how this instruction applies to file uploads, NTIA will provide additional

information in both the relevant sections of this Grant Guidance and the templates themselves. **Applicants should ensure that their uploaded files are not password protected.**

1.11.6 Uploads without Templates

Applicants will need to upload documents that lack a standardized template. These non-template uploads include letters of support from partners, historical financial statements, a management team and organizational chart, and supplemental information. Easygrants offers instructions on how to best complete these uploads. In general, NTIA recommends Applicants upload these files in PDF format. **Applicants should ensure that their uploaded files are not password protected.**

1.11.7 Material Revisions of Submitted Applications

Per the NOFA, Applicants are not permitted to make any material revision to their applications after the submission deadline. NTIA may request or accept clarifications, revisions, or submissions for completeness that are non-material.

1.12 Waivers

Applicants seeking a waiver of the requirements set forth in the NOFA must complete and submit a Waiver Request Form with their application by the application deadline. Applicants seeking a waiver of the prohibition on the sale or lease of assets (section IX.C.2.b. of the NOFA) may request the waiver at any time during the life of the facilities or equipment. Applicants should complete and submit a separate form for each waiver request. For NTIA to consider a waiver request, Applicants must provide contact information, project information, the type of waiver requested, and a summary of the waiver request responsive to the respective information requested below. Applicants failing to submit the required information will not have their waiver requests considered. Applicants may attach supporting documentation with their request.

1.12.1 Matching Waiver

Applicants seeking a waiver of the matching requirement pursuant to section 6001(f) of the Recovery Act and section V.C.2. of the NOFA should address and discuss the following information in their summary of the waiver request: a full and detailed explanation demonstrating their "financial need" for the waiver of the matching requirement and an explanation of why they are unable to provide the required 20 percent matching share. Applicants should also provide documentation of their inability to provide the required 20 percent matching share, such as: documents that include the Applicant's assets, liabilities, operating expenses, and revenues from any existing operations; documents demonstrating a denial of funding from a public or private lending institution; or any other documents that demonstrate financial need. Note that mere statements of financial need or reductions in budgets without supporting documentation will not be viewed favorably. Finally, Applicants should explain how the project can be sustainable if they cannot provide the 20 percent matching share.

1.12.2 Last Mile Coverage Obligation

Applicants for CCI projects with a Last Mile Service Area seeking a waiver of the Last Mile Coverage Obligation pursuant to section V.D.3.c.ii. of the NOFA should address the following information in their summary of the waiver request: explain why it is extremely burdensome for the Applicant to provide service or coverage for the entire Last Mile service area; explain if there are any legal, technical, or financial impediments to covering each Census block group or tract; and provide characteristics of the Last Mile Service Area and costs. Applicants should also provide documentation supporting the burden to serve the Last Mile Service Area.

1.12.3 Sale or Lease of Assets Waiver

Applicants seeking a waiver of the prohibition on the sale or lease of assets pursuant to section IX.C.2.b. of the NOFA should address the following information in their summary of the waiver request: explain whether the transaction is for adequate consideration; explain whether the purchaser or lessee agreed to fulfill the terms and conditions relating to the project after such sale or lease; and describe how the transaction is in the best interests of those served by the project. Applicants should also provide documentation supporting why NTIA should grant the waiver.

1.12.4 Buy American Waiver

Applicants seeking a waiver of the Buy American provision should comply with section 1605 of the Recovery Act, applicable OMB guidance on the Recovery Act, and section X.Q. of the NOFA.

As stated in the NOFA, on July 1, 2009, the DOC published a notice in the *Federal Register* stating that the Secretary of Commerce issued a blanket waiver of the Buy American provision with respect to BTOP funds used for broad categories of 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 (including PCs and monitors).

Billing/Operations Systems	Equipment that is used to manage and operate a broadband network or offer a broadband service.

Accordingly, Applicants should **not** request a waiver for broadband equipment that falls within any of these categories. Note, however, that this list does not include fiber optic cables, coaxial cables, cell towers, and other facilities that are produced in the United States in sufficient quantities to be reasonably available as end products.

Applicants seeking a waiver in order to use broadband equipment or goods not covered by the Secretary's waiver should address the following information in their summary request: describe the specific broadband equipment, facilities, or goods for which the waiver is sought; the statutory exemption upon which the waiver request relies; and explain the rationale for receiving a waiver. Applicants should also provide documentation supporting why NTIA should grant the waiver.

Note that private entity projects are exempt from the provision, as the Buy American provision applies only to public works and public buildings. 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.

1.12.5 Discretionary Waivers

1.12.5.1 In General

Applicants seeking a general waiver of a requirement pursuant to section X.N. of the NOFA should address the following information in their summary request: specify the provision of the NOFA from which the Applicant is seeking relief; explain whether the requirement is a discretionary requirement rather than a requirement mandated by statute or other applicable law; and explain the extraordinary circumstances that require the waiver. Applicants should also provide documentation supporting why the waiver should be granted.

1.12.5.2 Waiver of the Electronic Filing Requirement

Pursuant to section X.N. of the NOFA, an Applicant may seek a waiver of the electronic filing requirement set forth in section VI.E. of the NOFA and request that NTIA accept its application in another format (*e.g.*, paper). As stated in section X.N., it is the general intent of NTIA not to waive any of the provisions set forth in the NOFA. However, under extraordinary circumstances and when in the best interest of the federal government, NTIA may grant relief. Thus, Applicants seeking a waiver of the electronic filing requirement must specifically set forth in writing the extraordinary circumstances they face, why they cannot file electronically, and why it is in the best interest of the federal government to grant relief. To the extent that an Applicant petitions for relief of the electronic filing requirement and intends to submit a paper application, the Applicant must submit the written waiver request along with the paper application by the deadline set forth below.

Waiver requests and accompanying paper applications must be **received** by NTIA no later than **5:00 p.m.** EDT on **March 15, 2010**. When seeking to apply in a paper format, the Applicant assumes all risk of not meeting this deadline. Paper applications can be found at www.broadbandusa.gov, and the submitted paper application must comply with all of the following guidelines.

The application must be typed, single-sided, single-spaced, on 8 ½" x 11" paper, excluding maps, diagrams, and charts. The font must be no less than 12 points with margins no less than one inch. Applicants must also submit a copy of their application on an appropriate electronic medium, such as a DVD, CD-ROM, or flash drive. Each submission must also be clearly labeled with the name of the Applicant, a description of each submission (*e.g.*, Attachment M), and the electronic format used (*e.g.*, Word 2007 or Adobe Acrobat 7.0). Please note that NTIA will not accept paper applications via facsimile machine transmission or via electronic mail.

Applicants filing in a paper format must submit an application signed by an authorized representative of the Applicant certifying that he or she is authorized to submit the application on behalf of the Applicant and that all of the contents of the application are true and correct to the best of his or her knowledge, information, and belief.

Waiver requests and paper applications must be mailed, shipped, or sent overnight express to:

Broadband Technology Opportunities Program
National Telecommunications and Information Administration
U.S. Department of Commerce
1401 Constitution Avenue, NW
HCHB, Room 4887
Washington, DC 20230

or hand-delivered to:

Broadband Technology Opportunities Program
National Telecommunications and Information Administration
U.S. Department of Commerce
1401 Constitution Avenue, NW
HCHB, Room 1874
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 Office. Thus, Applicants are encouraged to consider the impact of these procedures in selecting their chosen method for application delivery**.**

1.13 Final Considerations

Note: Application Best Practices
▪ Before applying, Applicants should fully read the NOFA and Grant Guidelines for this round of BTOP funding as well as applicable OMB circulars governing administrative requirements, cost principles, and audits.
▪ Applicants may receive funding only for costs established in the NOFA as eligible costs for the appropriate project category.
▪ Applicants that are current recipients of a loan or grant from the Rural Utility Service (RUS) or whose project will include one or more Last Mile service areas that are 75 percent or more rural are strongly encouraged to apply to the RUS Broadband Initiatives Program (BIP) instead of BTOP.
▪ If an Applicant fails to submit a fully complete application, including all required supplemental materials, or fails to provide at least a 20 percent cost share or to request a waiver, the application will not be reviewed or considered for an award.
▪ The "Review and Submit" page shows all the submission validation checks. An Applicant should review this page throughout the application process. NTIA recommends that Applicants refer to this page after the completion of each application section in order to ensure that all required fields are properly filled out.
▪ Once the application has been submitted, it is presumed that the application is final, and the Applicant will no longer be able to make changes to the application.

2 Acknowledgement of Notices

Acknowledgement

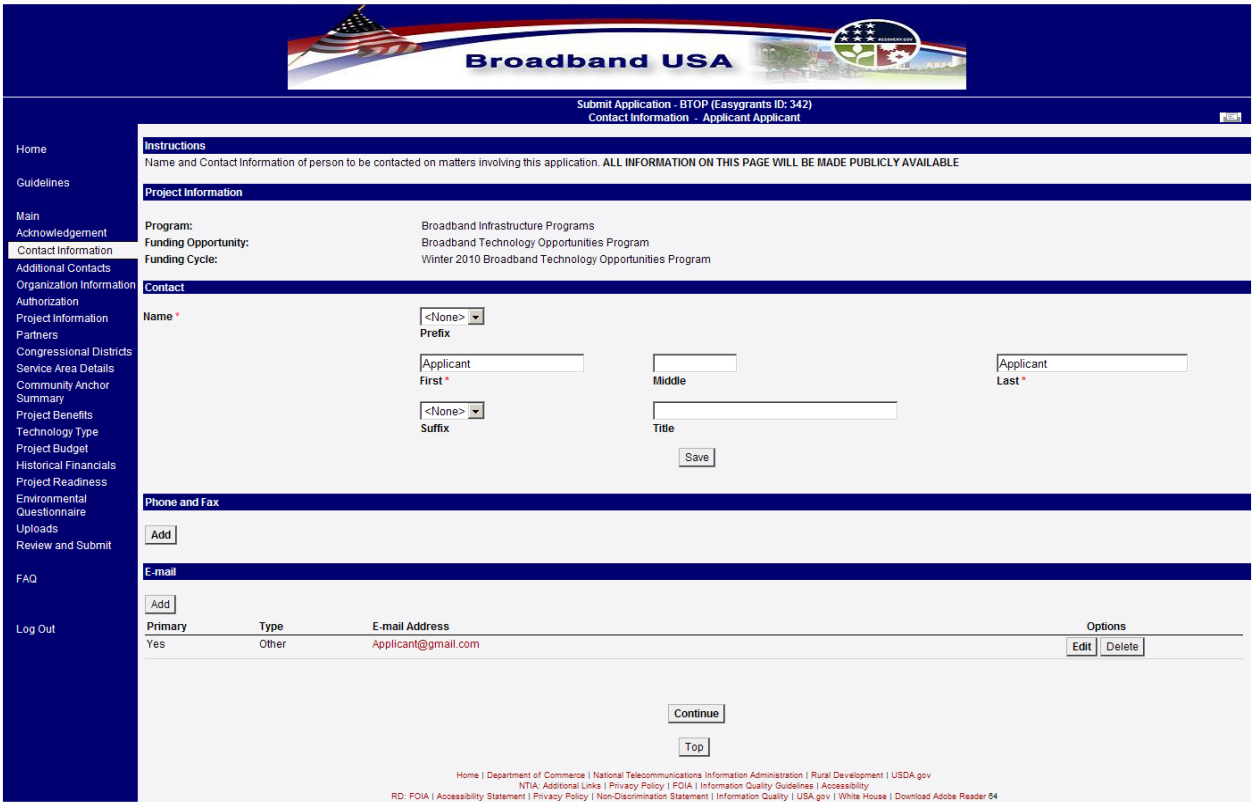
Question: Before applying, Applicants should fully read the Notice of Funds Availability ("NOFA") and Grant Guidelines for Round 2 of BTOP funding. Among other things, Applicants should be familiar with the following rules and requirements. Please check the box to acknowledge that you have read applicable rules in the NOFA governing this program as well as the confidentiality notice above.

As the first step in completing the CCI application, NTIA requires that the Applicant acknowledge that it has read and is aware of all of the BTOP rules and requirements. Each Applicant is required to review the above list of items and check a box at the beginning of the Easygrants application to indicate acknowledgement of these notices as well as the applicable rules in the NOFA governing this program. The NOFA is available at www.broadbandusa.gov. Please refer to the NOFA for further information about the definitions referenced in this list or the intent of the various rules.

It is important that all Applicants and members of their teams become familiar with the program rules in place for this round of the BTOP program and to review the NOFA, even if they are already familiar with the rules from the first round of funding. While many aspects of the program remain the same, there have been some significant changes, particularly to the CCI portion of the program.

By submitting the application, an Applicant will certify that the information and responses in the application are material representations of fact and are true and correct.

3 Contact Information

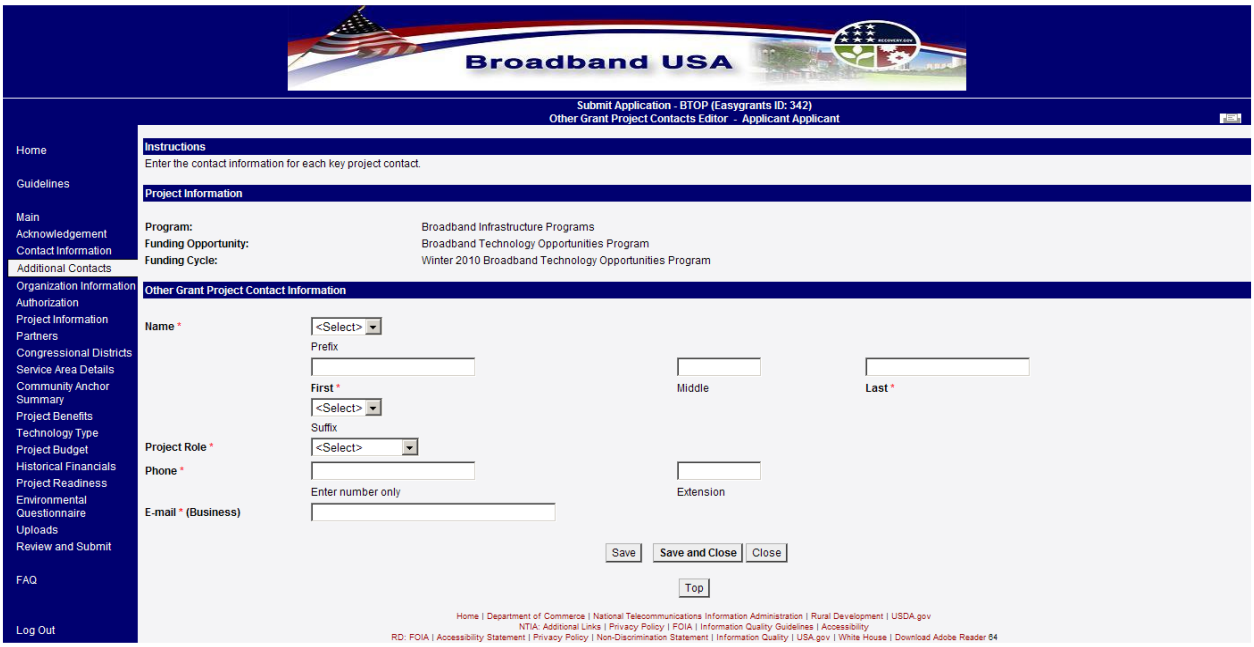


Contact Information

Please provide complete and accurate name and contact information for the Applicant's primary contact person. NTIA will use the information entered here to contact this person on matters involving this application. It is crucial that the BTOP program has accurate information, including a reliable phone, email, and fax number for rapid correspondence. Reminder: All information provided in the contact section will be made public.

Applications submitted on behalf of multiple organizations should provide contact information for the prime Applicant. Those organizations that serve as partners in the project should be identified at later stages in the application including in the "Executive Summary," in the questions requesting information on partnerships under the "Organizational Readiness" section, and in the uploads labeled "Management Team Resumes and Organizational Chart" and "Government and Key Partnerships."

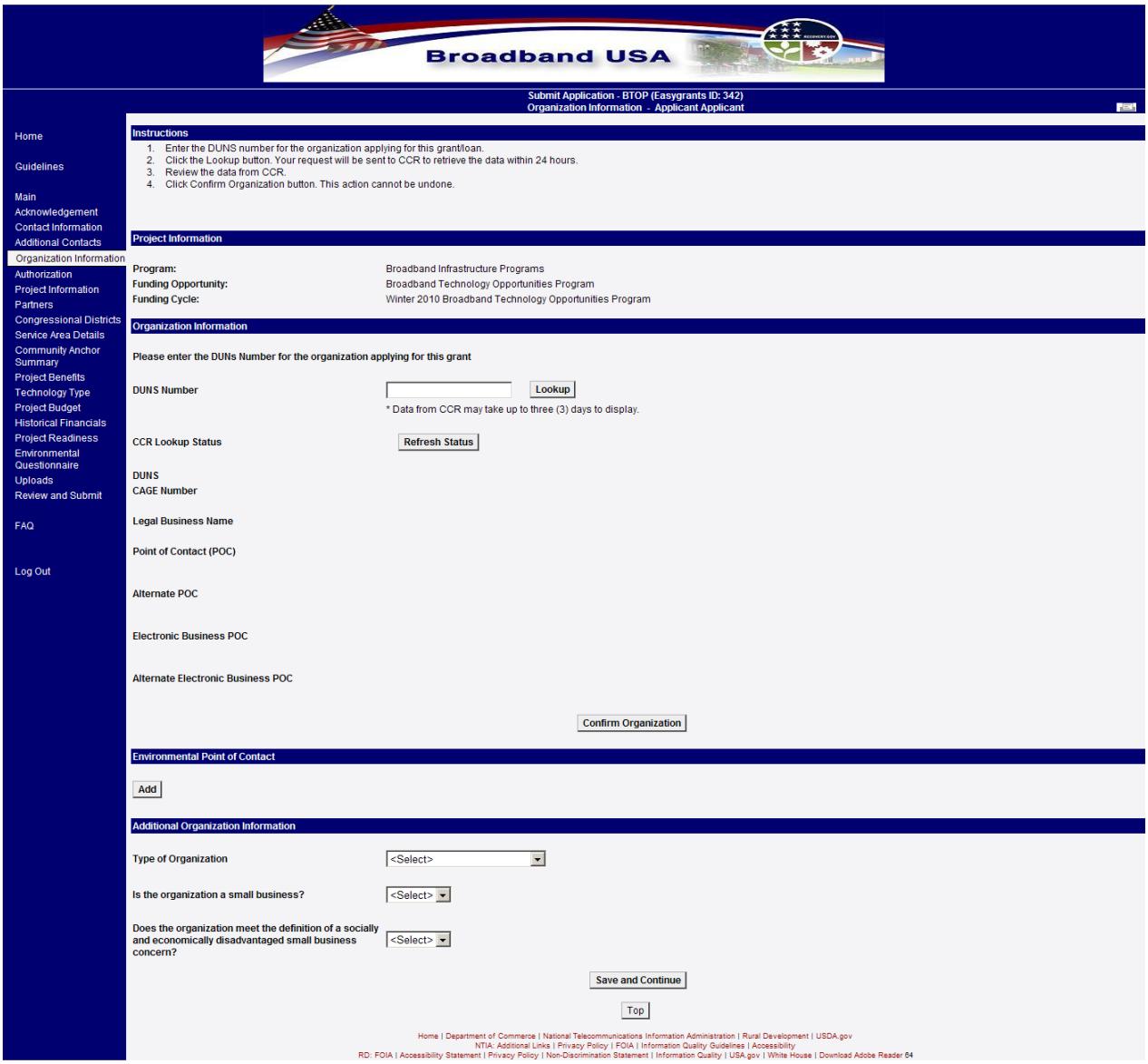
4 Additional Contacts



Additional Contacts

The Applicant should provide complete and accurate name and contact information for any additional persons to be contacted on matters involving this application. It is crucial that NTIA has accurate information for alternate points of contact in the event that the primary contact becomes unreachable or is no longer affiliated with the Applicant's organization. Please enter a reliable alternate phone, email, and fax number for rapid correspondence.

5 Organization Information



Organization Information

All Applicants are required to provide a DUNS number. Applicants are required to record their DUNS number in the grant application. If the Applicant's organization does not have a DUNS number, call **1-866-705-5711** to obtain a DUNS number, or register online at http://fedgov.dnb.com/webform, and **choose the "DUNS number only" option**. **Please note that registration via the Web site may take over three business days to complete**.

All Applicants are also required to register in the Central Contractor Registration (CCR) database. Organizations that are not registered should go to www.ccr.gov and click "Start New Registration" to begin. Applicants will need a valid DUNS number and their organization's Federal Tax Identification Number to register. **Please note that registration may take up to two business days to process**.

The CCR registration allows for instant confirmation of DUNS registration. Please make sure to enter the correct nine digit number to avoid any delays. The online application will confirm and register the Applicant with a CCR Cage Code. **Please remember, this can take up to 24 hours to complete**.

NOTE: DUNS Numbers
When an application is submitted by multiple entities it must include the DUNS number associated with the lead Applicant. The DUNS numbers for other entities or a new shared DUNS number are not required for the application process.
If the Applicant receives an award, subrecipients will need to supply DUNS numbers during the post award reporting phase.

Environmental Point of Contact

The Applicant may designate an individual or individuals to serve as the Environmental Point of Contact for this application. The Environmental Point of Contact can be, but is not limited to, the primary or secondary contacts for this application. The Environmental Point of Contact will be contacted on issues relating to the answers supplied in the environmental questionnaire (see section 16 below). If the Applicant lists multiple people as the Environmental Point of Contact, the Applicant should ensure that one contact is selected as the primary Environmental Point of Contact.

Additional Organization Information

Question: Type of Organization.

Applicants are required to identify their organization type. Applicant must select the appropriate classification for its organization from the dropdown menu.

Choices include the following:

- State or State Agency
- County Government
- City or Township Government
- District of Columbia
- US Territory
- Indian Tribe
- Non-profit Corporation
- Non-profit Foundation
- Non-profit Institution

- Non-profit Association
- Cooperative or Mutual
- Native Hawaiian Organization
- For-profit Entity
- Other

Question: Is the organization a small business?

The Applicant is required to indicate whether is organization is a small business. For the purposes of this program, a small business 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.

Question: Does the organization meet the definition of a socially and economically disadvantaged small business concern?

The Applicant is required to indicate whether its organization meets the definition of a socially and economically disadvantaged small business concern (SDB). Applicants that are SDBs receive additional consideration in the review process. Note that the Applicants need not be certified as an SDB by a third party, but must meet the definition of an SDB under the Small Business Act (15 U.S.C. § 637(a)(4)).

The Small Business Administration has authorized NTIA to adopt an alternative small business size standard for BTOP's definition of an SDB, which is:

> "[A] firm, together with its controlling interests and affiliates, with average gross revenues not exceeding $40 million for the preceding three years, and that meets the definition of a socially and economically disadvantaged small business concern under the Small Business Act."

To qualify as a SDB, the Applicant must be a small business concern (including its controlling interests and affiliates) with revenues not exceeding $40 million for the preceding three years, 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 at least 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." The Small Business Administration's rules for determining socially disadvantaged individuals (13 CFR § 124.103) and economically disadvantaged individuals (13 CFR § 124.104) are available online at http://www.sba.gov/regulations/124/. NTIA may request documentation supporting an Applicant's declared status as a SDB before granting an award.

NOTE: Socially and Economically Disadvantaged Small Business Concerns
A for-profit corporation does not need to be a SDB to be eligible to apply for funding (see NOFA section V.A.). All types of for-profit corporations are eligible to apply for funding. Applications in which the Applicant is a SDB or partners or contracts with a SDB are given additional consideration (see NOFA section VII.A.1.a.v.).

6 Authorization

Authorized Organizational Representative

Question: Please select the Authorized Organization Representative from the dropdown.

The Applicant should select their Authorized Organization Representatives (AOR) from the dropdown list. The list of AOR options will be generated from the Applicant's CCR Cage Code, based on the DUNS number provided in the Organizational Information section. After the AOR is selected and the Applicant clicks "Confirm," the AOR's name, organization, and email address will appear in the data list. The Applicant should click the "Notify" button. This will send an email to the selected person that will direct them to Easygrants to authorize the application. Once this has been done, the Applicant will be able to resend this email at any time by clicking the "Re-Notify" button. Please note that once the AOR has been selected, the Applicant will not be able to alter this selection without contacting the BTOP Helpdesk. Once the AOR has received the email notification, he or she will be able to log into Easygrants, select the Applicant's information, review basic application information, and authorize the application. Once the AOR has completed this process, the Authorization page will show in the Result column that the application has been authorized.

7 Project Information

Broadband USA

Submit Application - BTOP (Easygrants ID: 342)
Project Information . Applicant Applicant

Home
Guidelines
Main
Acknowledgement
Contact Information
Additional Contacts
Organization Information
Authorization
Project Information
Partners
Congressional Districts
Service Area Details
Community Anchor Summary
Project Benefits
Technology Type
Project Budget
Historical Financials
Project Readiness
Environmental Questionnaire
Uploads
Review and Submit
FAQ
Log Out

Instructions

Enter information about the project below.

Project Information

Program:	Broadband Infrastructure Programs
Funding Opportunity:	Broadband Technology Opportunities Program
Funding Cycle:	Winter 2010 Broadband Technology Opportunities Program

Project Description

Project Title *

Project Description *

Limit: 400 characters

CCI Priority Checklist

Please check all that apply:

- ☐ 1. This project will deploy Middle Mile broadband infrastructure to community anchor institutions.
- ☐ 2. The project will deploy Middle Mile broadband infrastructure and has incorporated a public-private partnership among government, non-profit and for-profits entities, and other key community stakeholders.
- ☐ 3. This project will deploy Middle Mile broadband infrastructure in economically distressed areas.
- ☐ 4. This project will deploy Middle Mile broadband infrastructure to community colleges.
- ☐ 5. This project will deploy Middle Mile broadband infrastructure to public safety entities.
- ☐ 6. This project will deploy Middle Mile broadband infrastructure and either includes a Last Mile infrastructure component in unserved or underserved areas or has received commitments from one or more Last Mile broadband service providers to utilize the Middle Mile components. Any Last Mile components in rural areas do not exceed 20% of the total eligible costs of the project.
- ☐ 7. This project will deploy Middle Mile broadband infrastructure and the applicant has proposed to contribute 30 percent or more in non-federal cost match.

Comprehensive Community Infrastructure Components

Please check if the project includes at least one of the following components (check as many as apply):

- ☐ Middle Mile
- ☐ Last Mile Rural
- ☐ Last Mile Non-Rural

BIP Applicants

Have you also applied to BIP for funding in the same proposed funded service area?

○ Yes ○ No

If yes, please provide the project title and Easygrants ID number:

Title of BIP Application

Easygrants ID

Other Applications

Is this application being submitted in coordination with any other application being submitted during this round of funding, or with an application that received an award in the previous round of funding?

○ Yes ○ No

Add

If YES, please explain any synergies and/or dependencies between this project and any other applications. Add/Edit

Individual Background Screening

Is the Applicant exempt from the Department of Commerce requirements regarding individual background screening in connection with any award resulting from this Application? (Select One)

- ○ Yes, Applicant is exempt because it is an accredited college or university
- ○ Yes, Applicant is exempt because it is a unit of a state or local government
- ○ Yes, Applicant is exempt because it is an Economic Development District (EDD) designated by the Department of Commerce Economic Development Administration, has an EDD designation pending, or is a council of governments
- ○ No, Applicant is subject to these requirements

If the answer to the above question is "No," please identify each key individual associated with the Applicant who would be required to complete Form CD-346, "Applicant for Funding Assistance," in connection with any award resulting from this Application:

Add

Essay Question: Executive Summary, Project Purpose, and Benefits

Click "Add" to enter the Executive Summary of the proposed project	Add/Edit
Click "Add" to enter the Project purpose	Add/Edit
Click "Add" to enter the Recovery Act and Other Governmental Collaboration	Add/Edit
Click "Add" to enter the Fit With BTOP CCI Priorities	Add/Edit

Is the applicant is seeking a waiver of the Buy American provision pursuant to section x.Q of the NOFA?

○ Yes ○ No

If YES is selected, you are required to submit additional documentation.

Is the applicant deliquent on any federal debt?

○ Yes ○ No

If YES, click "Add" to enter the please provide your justification for deliquency. Add/Edit

Are you seeking a waiver of any requirement set forth in the NOFA that is not mandated by statute or applicable law?

○ Yes ○ No

If YES is selected, you are required to submit additional documentation.

Is the applicant a current recipient of a grant or loan from RUS?

○ Yes ○ No

Save | Save and Continue

Top

Home | Department of Commerce | National Telecommunications Information Administration | Rural Development | USDA.gov
NTIA: Additional Links | Privacy Policy | FOIA | Information Quality Guidelines | Accessibility
RD: FOIA | Accessibility Statement | Privacy Policy | Non-Discrimination Statement | Information Quality | USA.gov | White House | Download Adobe Reader 64

Project Description

Question: Project Title

The Applicant must provide a title for the project that is descriptive and illustrates the purpose of the project.

Question: Project Description

The Applicant should provide a few short sentences to describe the project. Because this brief description of the project will appear on publicly accessible Web sites, the Applicant should ensure that it describes the project fairly and in the light the Applicant wants the public to see its proposal. For the same reason, the Applicant should avoid including any confidential or proprietary information in this description. It is useful for the project description to highlight the key theme or purpose of the project, along with briefly answering the 'who,' 'what,' 'when,' 'where,' and 'why' of the proposal. The key theme identified in the project description should be carried throughout the application.

This response is limited to 400 characters.

CCI Priority Checklist

CCI Priority Checklist

Please check all that apply:

- ☐ 1. This project will deploy Middle Mile broadband infrastructure to community anchor institutions.
- ☐ 2. The project will deploy Middle Mile broadband infrastructure and has incorporated a public-private partnership among government, non-profit and for-profits entities, and other key community stakeholders.
- ☐ 3. This project will deploy Middle Mile broadband infrastructure in economically distressed areas.
- ☐ 4. This project will deploy Middle Mile broadband infrastructure to community colleges.
- ☐ 5. This project will deploy Middle Mile broadband infrastructure to public safety entities.
- ☐ 6. This project will deploy Middle Mile broadband infrastructure and either includes a Last Mile infrastructure component in unserved or underserved areas or has received commitments from one or more Last Mile broadband service providers to utilize the Middle Mile components. Any Last Mile components in rural areas do not exceed 20% of the total eligible costs of the project.
- ☐ 7. This project will deploy Middle Mile broadband infrastructure and the applicant has proposed to contribute 30 percent or more in non-federal cost match.

Question: Please check all that apply.

This question provides the Applicant the opportunity to certify its ability to meet certain BTOP priority criteria for CCI projects. The Applicant should check all the options in the CCI Priority Checklist that accurately apply to the project.

These CCI priorities reflect critical NTIA objectives for CCI projects. As stated in the NOFA, this checklist will be utilized to sequence the merit review of CCI projects. This means that those projects checking all seven of the CCI priorities will be reviewed before those that checked only the first six; those checking the first six will be processed before those checking the first five; and so on. To understand the importance of sequencing, Applicants should note that BTOP applications are evaluated against objective criteria, not by comparison to one another, and awards will likely be made on a rolling basis. The implication of this is that some Applicants may receive awards before others have completed due diligence. If the level of oversubscription for federal grant funds is sufficiently high in this round of funding, it is possible that funds

will be exhausted before all of the applications that received high evaluation scores in merit review have completed their due diligence review. It is therefore important for the Applicant to try to place its projects as early as possible in the evaluation sequence.

For purposes of sequencing, the order of the CCI Priority Checklist is significant. Sequencing is not based on the total number of boxes checked, but rather how many consecutive boxes are checked, starting from the highest priority (deploying Middle Mile infrastructure to community anchor institutions) and going down the list. For example, an application that has checked priorities 1, 2, and 3 will be sequenced before an application that has checked priorities 1, 4, 5, 6, and 7. As discussed below, however, the CCI Priorities are also an element of scoring, so it is generally beneficial to satisfy as many priorities as possible, even in cases where it will not impact sequencing.

Note that while the initial sequencing will be done simply based on responses provided in this checklist, each of these checkboxes will be validated in due diligence. If a box has been checked, but cannot be validated (*e.g.*, an Applicant checked the box for community colleges but will not actually connect to a community college), the application may be rejected or removed from due diligence and re-sequenced based on where the application would have been sequenced had the box not been checked (in extreme cases, an application may be rejected).

NOTE: CCI Priority
The third criterion for CCI Priority calls for projects that will deploy Middle Mile broadband infrastructure with the intent to bolster growth in economically distressed areas. The term "economically distressed area" is defined in section III of the NOFA as an area that has: (i) a per capita income of 80 percent or less of the national average; and (ii) an unemployment rate that is, for the most recent 24-month period for which data are available, at least one percent greater than the national average unemployment rate. The Applicant can find further guidance on determining the rate of unemployment in a service area in section 10 below. A useful map of economically distressed areas can be located at http://hepgis.fhwa.dot.gov/hepgis_v2/GeneralInfo/Map.aspx.
The fourth criterion for CCI Priority refers to projects that will deploy broadband to community colleges. For purposes of this round of funding, a "community college" is defined as any institution that is accredited by one of the six regional accrediting bodies[1] and that primarily offers an associate or two-year degree as the highest degree. Community colleges typically offer a wide array of educational programs that encompass traditional academic coursework as well as career and technical training.[2]

[1] These accrediting bodies include the following:

- Middle States Association of Colleges & Schools – Commission on Higher Education - http://www.msche.org/
- New England Association of Schools & Colleges - Commission on Institutions of Higher Education - http://cihe.neasc.org/
- North Central Association of Colleges & Schools - Higher Learning Commission - http://www.ncacihe.org/

Comprehensive Community Infrastructure Components

Question: Please check if the project includes at least one of the following components (check as many as apply):

- Middle Mile
- Last Mile Non-Rural
- Last Mile Rural

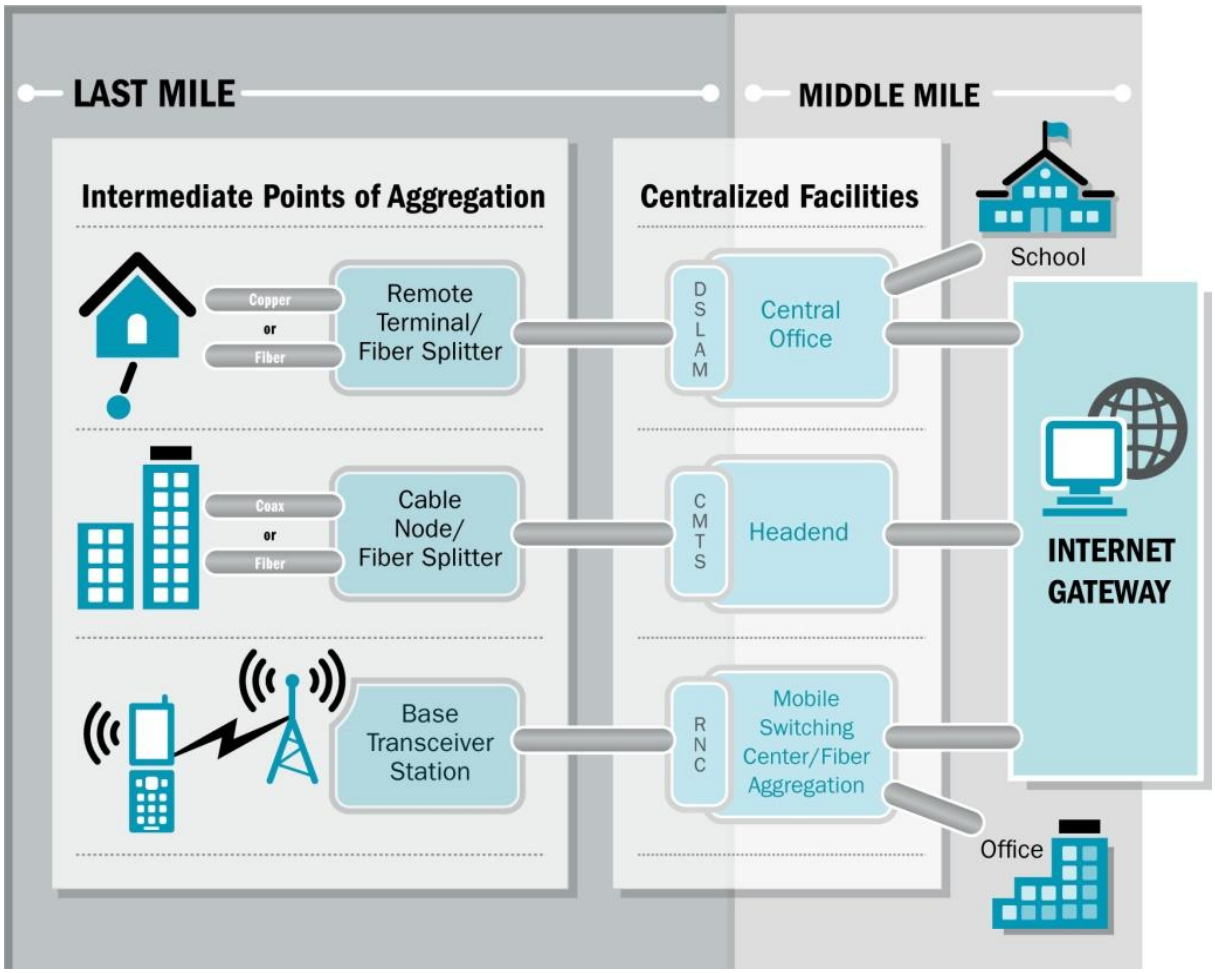
The NOFA defines Middle Mile and Last Mile as follows:

- **Middle Mile:** Middle Mile refers to those components of a CCI project that provide broadband service from one or more centralized facilities (*i.e.*, the central office, the cable headend, the wireless switching station, or other equivalent centralized facility) to an Internet point of presence. The Middle Mile includes, among other things, the centralized facilities and all of the equipment in those facilities, except for any equipment that would qualify as part of a Last Mile component as defined in the NOFA.
- **Last Mile:** Last Mile refers to those components of a CCI project that provide broadband service to end-user devices through an intermediate point of aggregation. That is, in most cases, the Last Mile connection goes from the end-user device through an intermediate point of aggregation (*i.e.*, a remote terminal, fiber node, wireless tower, or other equivalent access point) to a primary IP routing entity in a centralized facility (*i.e.*, in the central office, the cable headend, the wireless switching station, or other equivalent centralized facility). The Last Mile also includes equivalent services that, solely because of close proximity between the customer and centralized facility, are routed directly to the centralized facility. The Last Mile will terminate at, and include, the initial customer-facing router or aggregation switch in the centralized facility (*e.g.*, a DSLAM, CMTS, RNC, or equivalent) that is utilized to deliver Last Mile broadband service.

The following diagram illustrates these definitions. Note that a direct connection (*e.g.*, a fiber lateral) between a centralized facility and a community anchor institution, business customer, or third party service provider is considered to be a Middle Mile component. Last mile service is generally directed to residential and consumer services.

- Northwest Commission on Colleges & Universities - http://www.nwccu.org/
- Southern Association of Colleges & Schools - Commission on Colleges - http://www.sacscoc.org/
- Western Association of Schools & Colleges - http://www.wascweb.org/

[2] "Community Colleges and One-Stop Centers Collaborate to Meet 21st Century Workforce Needs." The Government Accountability Office. P. 6 http://www.gao.gov/new.items/d08547.pdf.



A CCI application may include both Last Mile and Middle Mile components. For example, a project may deploy a Last Mile network in an area to provide residential broadband, and in the process build several central offices, connecting to the Internet backbone through interoffice fiber ultimately terminating at an Internet exchange. In this case, the network from the central office to the end users will be Last Mile, while the network between central offices and connecting to the Internet exchange will be Middle Mile. In such a case, the Applicant should check both the Middle Mile box and one of the Last Mile boxes. Note that this determination is not based on the inclusion of Last Mile Service Areas or Middle Mile Service Areas in the project. Another way to look at this is to consider how the project's budget is allocated between Last Mile and Middle Mile (please see the guidance on the Detailed Budget upload in section 18 below). If some portion of the budget is allocated to Last Mile, then one of the Last Mile boxes should be checked. If some portion of the budget is allocated to Middle Mile, then the Middle Mile box should be checked.

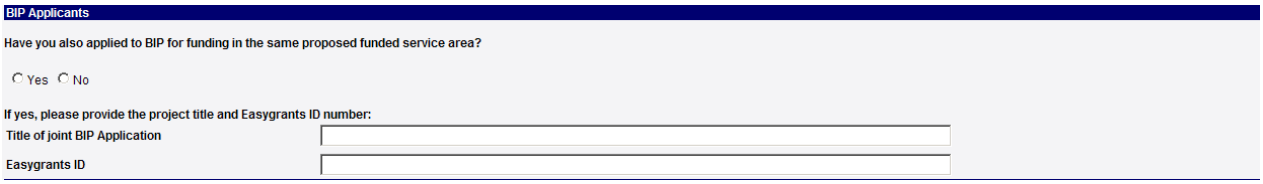
The distinction between a project that is Last Mile Rural and a project that is Last Mile Non-Rural relies on the following definition of rural areas:

- **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. 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.

In contrast to the distinction between Last Mile and Middle Mile components above, which does not rely on service areas, the distinction between Last Mile Rural and Last Mile Non-Rural does depend upon service areas. An Applicant should check the Last Mile Rural box if the Proposed Funded Service Area includes at least one Last Mile Service Area that qualifies as at least 75 percent rural under the definition for Rural Areas above. If none of the Last Mile Service Areas are at least 75 percent rural, then the Applicant should check the Last Mile Non-Rural box. As stated in the NOFA, Applicants with rural Last Mile Service Areas are strongly urged to apply for funding under BIP. Such applications will be given low priority in BTOP and will be placed at the end of the merit review sequencing list.

NOTE: Last Mile Rural Projects
Applicants should utilize the latest decennial Census of the U.S. Census Bureau in making the determination as to whether or not a service area meets the definition. Applicants may find this information at http://www.census.gov. A service area is considered to be a rural project if at least 75 percent of the service area qualifies as a rural area under this definition.

BIP Applicants


BIP Applicants

Have you also applied to BIP for funding in the same proposed funded service area?

Yes No

If yes, please provide the project title and Easygrants ID number:

Title of joint BIP Application

Easygrants ID

Question: Have you also applied to BIP for funding in the same proposed funded service area? If yes, please provide the project title and Easygrants ID number.

If the Applicant has submitted, or plans to submit, an application to USDA for the RUS BIP in the same proposed funded service area, please indicate the title of the BIP application and the project's Easygrants ID.

Other Applications

Question: Is this application being submitted in coordination with any other application being submitted during this round of funding? If YES, indicate the Easygrants identification numbers and project title for those applications in the table.

Providing this information will allow NTIA to consider this application in context of an Applicant's overall package of proposals. If one entity provides complementary submissions for more than one BTOP category, the Applicant will receive additional consideration under the evaluation of Project Purpose. Applicants will need to begin applications in Easygrants for each coordinated project in order to obtain an Easygrants ID.

Question: If YES, please explain any synergies and/or dependencies between this project and any other applications. Describe how the projects are related, and detail any synergies created by the projects. Also the Applicant should note any dependencies this application may have on other applications and explain what contingency plans, if any, it has in the event the other project does not receive an award.

The Applicant should describe how its concurrently submitted projects are related and detail any synergies covered by these projects. The Applicant should also note any dependencies this application may have on the other applications and explain what contingency plans, if any, it has in the event the other project does not receive an award. As an example, a CCI Applicant may be coordinating its application with a PCC or a SBA application. The ability of the PCC or SBA Applicant to complete its project may depend on the success of the CCI application. The Applicant should state this is the type of dependency in this section.

This response is limited to 3000 characters.

Individual Background Screening Section

Question: Is the Applicant exempt from the Department of Commerce requirements regarding individual background screening in connection with any award resulting from this Application?

The DOC Grants and Cooperative Manual (the Grant Manual) requires individual background screening of all key individuals associated with the Applicant in connection with any NTIA decision to fund a BTOP project unless the Applicant is within one of the exemptions to this rule. Each Applicant must make the determination of whether it is exempt using the guidance below.

The following Applicants are **EXEMPT** from the individual background screening process, and key individuals associated with these Applicants are therefore not required to complete individual background screening:

- An accredited college or university;
- A unit of a state or local government; or

- An economic development district designated by the DOC Economic Development Administration, including those entities whose designations are pending, and councils of governments.

All other Applicants are **NON-EXEMPT** and must complete the following question by identifying key individuals associated with the proposed project.

Question: If the answer to the above question is "No," please identify each key individual associated with the Applicant that would be required to complete Form CD-346, "Applicant for Funding Assistance," in connection with any award resulting from this Application.

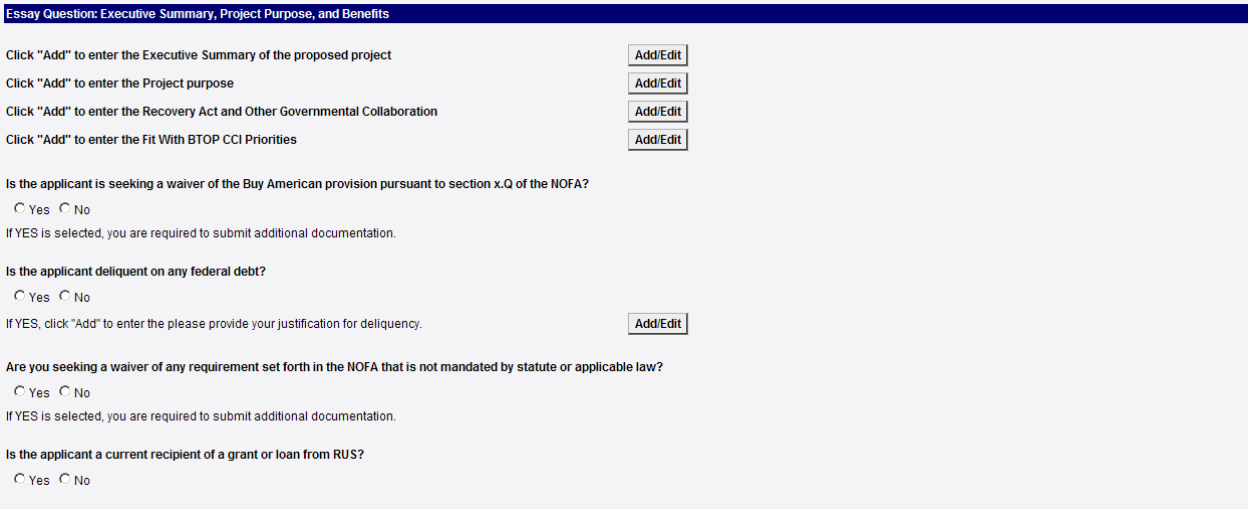
If the Applicant answered "No," then it is *not exempt* from the individual background screening requirement. Key individuals associated with the non-exempt Applicant must comply with the background screening requirements in connection with any NTIA decision to fund a BTOP award to the Applicant. In general, each key individual may comply with this requirement by filing with NTIA a properly completed Form CD-346, "Applicant for Funding Assistance," containing the individual's original signature. BTOP program staff members will request this form from the Applicant as part of the due diligence process when reviewing the application. **DO NOT submit any completed CD-346 Forms at this time.**

The Applicant should provide the name, title, and employer of each key individual associated with the Applicant, as defined in the following chart:

Form of Applicant Entity	Key Individuals
Corporation/LLC	Each officer Each individual owning or controlling 20 percent or more of the enterprise Chief Financial Manager Project Manager Anyone else who can speak for the corporation in the management of the award or expend funds
Non-profit organization	Executive Director Project Manager Chief Financial Manager Anyone else who can speak for the organization in the management of the award or expend funds

Do not list as a key individual any elected official of a state or local government who is serving the Applicant in a capacity other than his or her elected capacity when applying for assistance. Such officials are exempt from the individual background screening requirement and are not required to submit Form CD-346.

Essay Question: Executive Summary, Project Purpose, and Benefits


Essay Question: Executive Summary, Project Purpose, and Benefits

Click "Add" to enter the Executive Summary of the proposed project — Add/Edit
Click "Add" to enter the Project purpose — Add/Edit
Click "Add" to enter the Recovery Act and Other Governmental Collaboration — Add/Edit
Click "Add" to enter the Fit With BTOP CCI Priorities — Add/Edit

Is the applicant is seeking a waiver of the Buy American provision pursuant to section x.Q of the NOFA?
Yes No
If YES is selected, you are required to submit additional documentation.

Is the applicant deliquent on any federal debt?
Yes No
If YES, click "Add" to enter the please provide your justification for deliquency. — Add/Edit

Are you seeking a waiver of any requirement set forth in the NOFA that is not mandated by statute or applicable law?
Yes No
If YES is selected, you are required to submit additional documentation.

Is the applicant a current recipient of a grant or loan from RUS?
Yes No

Select Add/Edit to answer Essay Questions.

Question on the Executive Summary of the Proposed Project: The Executive Summary should be a brief description of the Project, and may address the following topics.

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; and
k. Number of jobs estimated to be created or saved as a result of this project.

Applicants should provide a clear and compelling description of the project and a justification for why it should be selected for funding. The reviewers will read this section for a high-level, but comprehensive, introduction to the project. Applicants should be clear about the project's benefits—discussing, for example, the community anchor institutions that would be connected by the network, any involvement of SDBs, public safety entitities, community colleges, or tribes in the project, the provision of last mile

service (whether directly or through a third party service provider). The summary should avoid highly technical terminology or jargon unless it is integral to the understanding of the proposal. NTIA suggests that the summary be written last, after the Applicant has completed all other sections of the application. Applicants with involvement from multiple organizations and key partners (subrecipients) should describe those relationships broadly here. For this summary, the Applicant may provide high-level financial figures, budgetary information, matching contribution, etc. It is important that the numbers presented in this section are consistent throughout the entire application. **The Executive Summary should not introduce new information not included elsewhere in the application.** The Applicant should note that NTIA will make the Executive Summary publicly available and therefore the Applicant should avoid including any confidential or proprietary information in this description.

This response is limited to 9000 characters.

NOTE: Executive Summary

Be sure to include the following in the Executive Summary:

- A problem statement;
- A description of the proposed program solution, and the causal relationship between the program's action and its intended results;
- A description of the Applicant's qualifications and partnerships and how those partnerships help reach the program's goals; and
- A short summary of jobs created/saved.

Question on the Project Purpose: Describe the purpose of the project and how it supports the statutory objectives of the BTOP program. Please include information to support your assumptions relative to the following:

- Project addresses compelling problem or presents an opportunity consistent with the BTOP statutory goals;
- Project offers an effective solution to that problem or addresses the opportunity;
- Proposed solution demonstrates broad significance including impact on Round One projects and developments that can be replicated to improve future projects;
- Whether the proposed funded service area is in an unserved or underserved area; and
- The extent to which the project addresses more than one statutory purpose.

The Applicant must explain how its project relates to BTOP's statutory purposes. Section 6001 of the Recovery Act sets forth five core purposes:

1. Provide access to broadband service to consumers residing in unserved areas of the country;
2. Provide improved access to broadband service to consumers residing in under-served areas of the country;
3. Provide broadband education, awareness, training, access, equipment, and support to schools, libraries, medical and health care providers, community colleges and other institutions of higher learning and other community support organizations, including organizations that provide outreach, access, equipment, and support services to facilitate greater use of broadband services by vulnerable populations, including job-creating strategic facilities located in state or federally designated economic development areas;
4. Improve access to, and use of, broadband service by public safety agencies; and
5. Stimulate the demand for broadband, economic growth, and job creation.

The statute also directs NTIA to consider whether applications will enhance service for health care delivery, education, or children.

The Applicant should identify specifically how and to what degree its application would achieve one or more of these statutory purposes. 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 the Applicant is coordinating this project with one or more other projects or including projects in another category as described above, it should explain how the projects fit together to serve BTOP's multiple statutory purposes.

This response is limited to 6000 characters.

Question on Recovery Act and Other Governmental Collaboration: Describe how the project will leverage Recovery Act objectives or other Federal or state development programs. Please identify the programs themselves and the dollar value of those programs. In addition, specify how 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 below:

- **Department of Housing and Urban 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)
  - Major Research Instrumentation Program (MRI-R^2)
- **Department of Health and Human Services**

- Federal and state designated entity grants for use of electronic health information
- Health IT Beacon Community Program

- **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

This response is limited to 3000 characters.

Question on Fit with BTOP CCI Priorities: With respect to each box on the BTOP CCI Priority Checklist that you checked, please describe how and to what extent the project meets or exceeds the objectives of that priority.

This essay provides the Applicant an opportunity to demonstrate its project's ability to meet or exceed BTOP priorities. The Applicant should be sure to review section II.B of the NOFA for clarification of the various priorities prior to the completion of this essay. Please provide a detailed description of the project's ability to meet or exceed the objectives of a particular priority. The response to this question is used for two purposes. The Applicant should develop its response to the question with both of these purposes in mind.

First, it allows the Applicant to provide supporting details that will be referenced by staff in due diligence in order to validate that the application satisfies each of the CCI Priorities that the Applicant has checked.

Second, it aids in scoring the CCI Priorities evaluation criterion by demonstrating the degree to which the Applicant has fulfilled the objective. While an application may receive sequencing benefits for minimally meeting a CCI Priority, in order to score highly on the evaluation criterion, the project should pursue the priority to the greatest possible extent (*e.g.*, connecting all, or nearly all, of the community anchor institutions in the area, rather than just a handful). Note that this does not mean that the project should necessarily connect every single community anchor institution in order to receive an optimal score—there may be institutions in the area that already have access to high capacity connections at reasonable prices or that would not be interested in subscribing to service from the proposed network. In such a case it would be sufficient to show that the Applicant has sought out this information and has made prudent decisions regarding the actual needs of the community when planning the project.

This response is limited to 3000 characters.

Question: Is the Applicants seeking a waiver of the Buy American provision pursuant to section X.Q. of the NOFA? If YES is selected, you are required to submit additional documentation.

The Recovery Act "Buy American" provision generally prohibits the use of Recovery funds 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. Note that private entity projects are exempt from the provision, as the Buy American provision applies only to public works and public buildings. 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.

See section 1.12.4 above for a discussion of waiver of the Buy American provision.

Question: Is the Applicant delinquent on any Federal debt? If YES, click "Add" to provide your justification for delinquency.

The Applicant should indicate whether it is delinquent on any federal debt. If the answer is "Yes," the Applicant should submit an explanation.

This response is limited to 1500 characters.

NOTE: Federal Debt

Consistent with DOC policy, no award of federal funds shall be made to an Applicant that has an outstanding delinquent federal debt until:

- The delinquent account is paid in full;
- A negotiated repayment schedule is established and at least one payment is received; or
- Other arrangements satisfactory to the DOC are made.

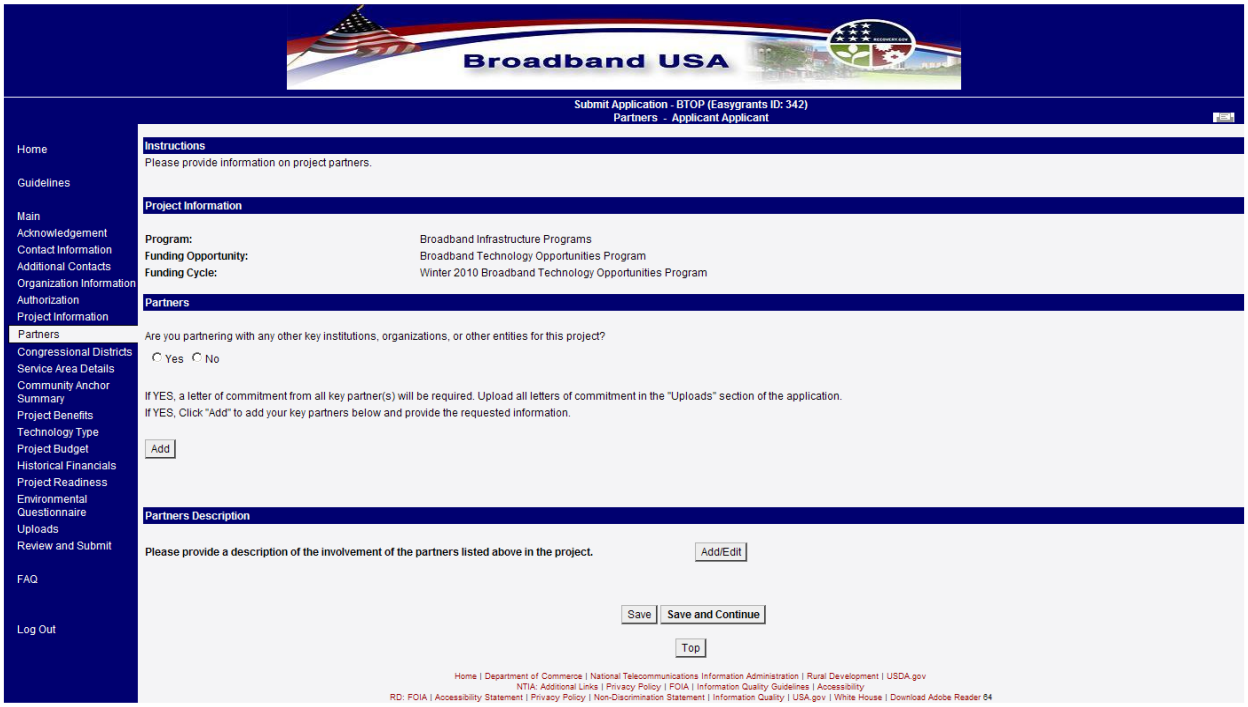
Question: Are you seeking a waiver of any requirement set forth in the NOFA that is not mandated by statute or applicable law? If YES is selected, you are required to submit additional documentation.

The Applicant may request a waiver of any requirement set forth in the NOFA that is not mandated by statute or applicable law. See section 1.12 above for a discussion of waiver requests.

Question: Is the Applicant a current recipient of a loan or grant from RUS?

NTIA strongly recommends Applicants that are current recipients of a loan or grant from RUS and any Applicants whose project will include a Last Mile Service Area that is at least 75 percent rural to apply to BIP for funding.

8 Partners



Question: Are you partnering with any other key institutions, organizations, or other entities for this project? If YES, a letter of commitment from all key partner(s) will be required. Upload all letters of commitment in the "Uploads" section of the application. If YES, Click "Add" to add your key partners below and provide the requested information.

If "Yes," the Applicant should include its key partner(s) on this page and provide a letter of commitment from each key partner in the Upload section (see section 17.2 below). Applicants should click the "ADD" button to provide information on each key partner (see additional guidance below). Key partners should generally be entities that have contributed or will contribute to the planning, development, and execution of the project, or will contribute to the non-federal cost share.

Partners Description

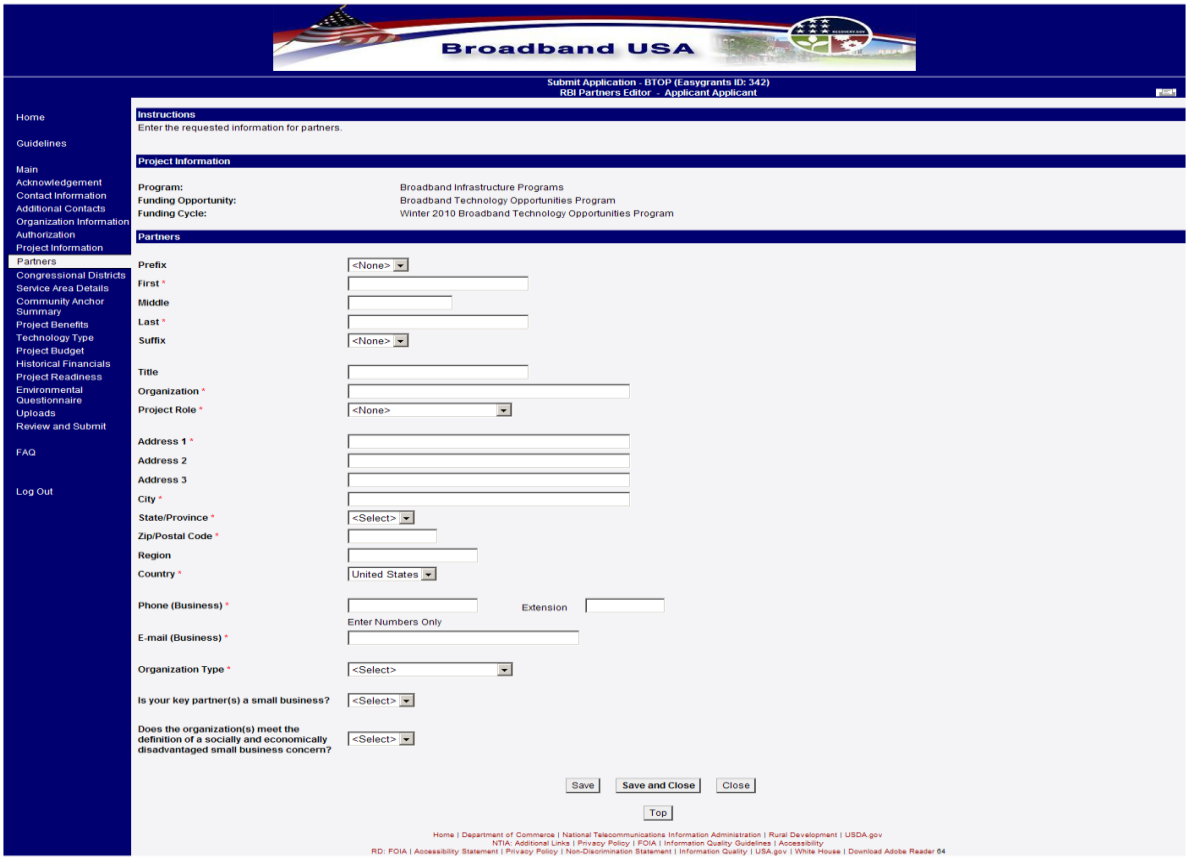
Question: Please provide a description of the involvement of the partners listed above in the project. If applicable, please identify your strategy for partnering with unaffiliated organizations in the project area (from the public, non-profit, and private sectors), particularly community anchor institutions and public safety entities, that will play an integral role in the projects 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.

The Applicant 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. The Applicant 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, the Applicant could partner with a local government to offer Wi-Fi services throughout a city. The Applicant should also outline each organization's planned role in the project and any financial or equipment contributions. Please clarify any potential benefits that the partners will receive from the project (*e.g.*, free or discounted access to dark fiber). Also discuss the project's general approach to involving local communities in the project area. It is encouraged that the Applicant submit documentation, such as letters of support, from each of the organizations that will be involved in the project. The Applicant 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) of a contact person at each partner organization.

This response is limited to 6000 characters.

NOTE: Partners Description
The purpose of this essay is to provide a coherent picture to the BTOP program of how the various partners in the proposed project fit together. It is important to clarify the responsibilities of each party; the benefits that accrue to each party; and the specific, if any, financial arrangements among the parties.

Partners (Continued)



The Applicant must specify the partner's role in the project as a contractor, sub-recipient, in-kind third party contributor, or other. A sub-recipient is a party that performs work to accomplish a public purpose of a grant project. Laws, regulations, and programmatic requirements that would apply to a grant recipient also apply to sub-recipients. In some cases, it may be difficult to distinguish between a contractor and a sub-recipient. OMB Circular A-133 (http://www.whitehouse.gov/omb/circulars_a133/) provides some guidelines on distinguishing between the two.

Characteristics indicative of a sub-recipient:

1. The organization determines who is eligible to receive what federal financial assistance.
2. The organization has its performance measured against whether the objectives of the federal program are met.
3. The organization has responsibility for programmatic decision making.
4. The organization has responsibility for adherence to applicable federal program compliance requirements.
5. The organization uses federal funds to carry out a program of the organization as compared to providing goods or services for a program of the pass-through entity.

Characteristics indicative of a contractor:

1. The organization provides goods and services within normal business operations.
2. The organization provides similar goods or services to many different purchasers.
3. The organization operates in a competitive environment.
4. The organization provides goods and services that are ancillary to the operation of the federal program.
5. The organization is generally not subject to compliance requirements of the federal program, although it must adhere to some of the requirements as set forth in the applicable OMB circulars as related to contractors and subcontractors.

For more information on sub-recipients, please see OMB Circular A-133, the applicable OMB circulars for Uniform Administrative Requirements at http://www.broadbandusa.gov/compliance.htm and DOC Federal Assistance Law Division guidance at http://www.ogc.doc.gov/ogc/fl/fald/itl/voL-13.doc.

Question: Applicants are required to identify the type of organization for their partner. Applicants are required to select one of the following:

- State or State Agency
- County Government
- City or Township Government
- District of Columbia
- US Territory
- Indian Tribe
- Non-profit Corporation
- Non-profit Foundation
- Cooperative or Mutual
- Native Hawaiian Organization
- For-profit Entity
- Other

The Applicant is also required to identify the partner's organization type from the options available.

Question: Is your key partner a small business?

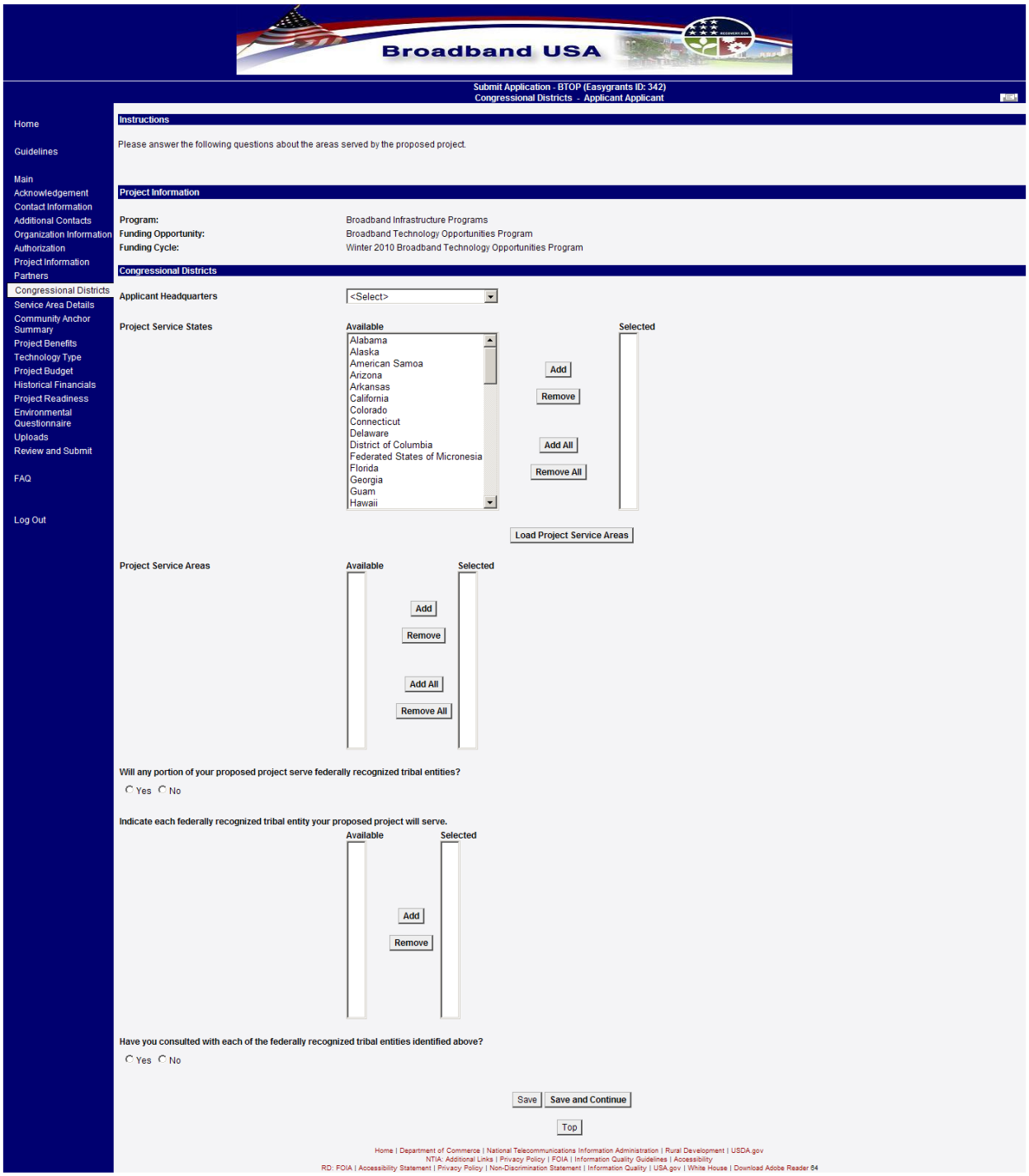
The Applicant is required to indicate whether the key partner is a small business. Please see section 5 above for a discussion of the definition of a small business as it applies to BTOP.

Question: Does the organization(s) meet the definition of a socially and economically disadvantaged small business concern?

The Applicant is required to indicate whether the key partner is a socially and economically disadvantaged small business concern (SDB). Please see section 5 above for a discussion of the definition of a SDB as it applies to BTOP.

NOTE: Lead Applicant
When multiple organizations are involved in a project, the lead Applicant must be able to enter into a Grant Agreement with NTIA and be willing to assume financial and operational responsibility for the project. If the project is awarded a BTOP grant, the lead applicant becomes the prime recipient. Lead Applicants should have experience implementing projects of similar size and scope.

9 Congressional Districts



Congressional Districts

The Applicant is required to select the location of its headquarters from the dropdown menu. Next, the Applicant should select the appropriate states of the Project Service areas by highlighting the state name and clicking "Add." After completing the "Project Service States" location, the Applicant should click on the "Load Project Service Areas" button. The relevant Congressional Districts will appear below in the "Project Service Areas." The Applicant should indicate the Congressional District(s) in which the project will provide service and select "Add." Additional guidance on Congressional Districts may be found at http://www.nationalatlas.gov/printable/congress.html with maps of each Congressional District.

If the Applicant adds or removes states from the "Project Service States" box, Easygrants will update the "Project Service Areas" and "Tribal Impact" fields when the page is saved.

Tribal Impact

Question: Would any portion of your proposed project serve federally recognized tribal entities?

The Applicant is required to answer whether its proposed project would serve federally recognized tribal entities and, if so, to specify which tribal entities the proposed project would serve.

Question: Indicate each federally recognized tribal entity your proposed project would serve.

The Applicant is required to select each tribal entity their proposed project would serve and add it to the "Selected" section of the question. Please note that some tribes have lands located in more than one state, and the Applicant should ensure that it selects each tribe in all states that its proposed project would serve.

Question: Have you consulted with each of the federally recognized tribal entities identified above?

The Applicant is strongly encouraged to consult with each of the federally recognized tribal entities that the proposed project would serve before submitting this application. As described in the NOFA, after the application deadline, NTIA will invite each federally recognized tribal entity to comment on applications that propose to serve its members in an effort to fund projects that best meet the needs of the tribal entities.

10 Service Area Details

Project Information

Question: Is the Applicant seeking a waiver for providing less than 100% coverage of a last mile service area pursuant to Section V.D.3. of the NOFA? If YES, you will be required to provide supporting documentation.

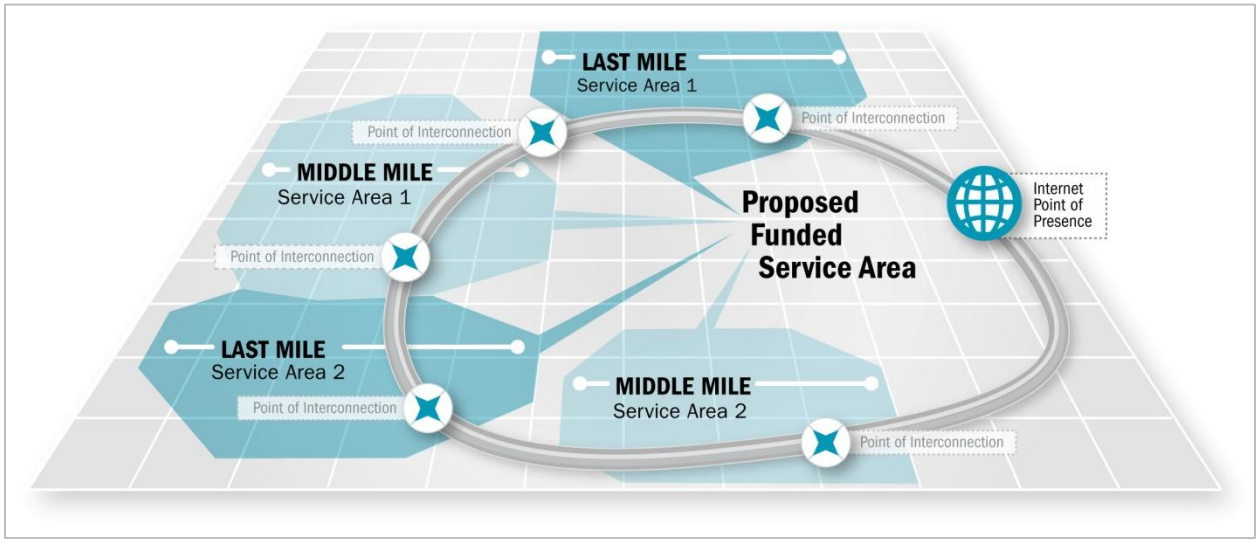
There is a presumption that CCI projects with a Last Mile component will provide service to the entire Last Mile service area. See section 1.12.2 for discussion of requests to waive the Last Mile Coverage Obligation.

NOTE: Census Block Groups and Tracts
A Census block group is a cluster of Census blocks having the same first digit of their four-digit identifying numbers within a Census tract. A Census block group is the next level above Census block in the geographic hierarchy.

NOTE: Census Block Groups and Tracts
Census tracts are small, relatively permanent statistical subdivisions of a county. Census tracts are delineated for most metropolitan areas (MAs) and other densely populated counties by local Census statistical areas committees following Census Bureau guidelines (more than 3000 Census tracts have been established in 221 counties outside MAs). Census tracts usually have between 2500 and 8000 persons and, when first delineated, are designed to be homogeneous with respect to population characteristics, economic status, and living conditions. Census tracts do not cross county boundaries. The spatial size of Census tracts varies widely depending on the density of settlement. Census tract boundaries are delineated with the intention of being maintained over a long time so that statistical comparisons can be made from Census to Census. However, physical changes in street patterns caused by highway construction, new development, or other reasons may require occasional revisions. Census tracts occasionally are split due to large population growth, or combined as a result of substantial population decline.
See the Census Bureau's web site at http://www.census.gov for more detailed information on its data gathering methodology.

Service Area Details Editor

All CCI Applicants are required to define one or more Last Mile or Middle Mile Service Areas. Collectively, these Last Mile and Middle Mile Service Areas are referred to as the Proposed Funded Service Area. These areas are intended to reflect the geographic areas to which a project's impact will extend. Applicants may have more than one Last Mile or Middle Mile Service Area within their Proposed Funded Service Area, and may include a mixture of Last Mile and Middle Mile Service Areas, as shown in the example below.



Last Mile Service Areas should reflect the area over which the Applicant intends to deploy last mile service (the Last Mile Service Obligation requires that service be made available throughout the entirety of each Last Mile Service Area, unless a waiver is granted). An area where the Applicant will provide last mile services should be classified as a Last Mile Service Area, even if the Applicant also intends to provide middle mile services in that area. In fact, it is presumed, based on BTOP's interconnection obligations, that the Applicant will also provide at least some middle mile services in Last Mile Service Areas.

Areas where the Applicant intends to offer exclusively middle mile services should be designated as Middle Mile Service Areas. The size of a Middle Mile Service Area should be based on the expected reach of services from access points on the network (*i.e.*, distances from which a community anchor institution or business might directly obtain broadband service, or the area in which a third party service provider could be expected to utilize the network to provide last mile broadband service). The Middle Mile Service Areas should incorporate all of the planned access points for the proposed network. If the boundaries of a Middle Mile Service Area range an unusual distance from any planned network access point, NTIA may request a justification for the service area definition.

These Last Mile and Middle Mile Service Areas will be used to gauge the potential impact of the network and to determine to what degree the network will serve unserved and underserved areas. The Applicant should be mindful that, while larger service areas typically entail greater potential benefits, they also increase the difficulty of defining a service area.

The geography of the service areas is defined through the Service Area upload, in which the Applicant will provide a list of Census tracts or block groups associated with each service area. In the Service Area Details section of the application, the Applicant should provide additional details about each Last Mile and Middle Mile Service Area. The names provided to the service areas will be used to associate these two datasets, so it is crucial for the Applicant to double-check the data provided in the Service Area Details section and the Service Area upload for consistency.

Service area details must be presented for every proposed funded service area. Otherwise, the application will be deemed incomplete. The Applicant can get a complete list of unemployment data for all U.S. counties at http://www.bls.gov/lau/ and other economic measures from "American FactFinder" at http://factfinder.census.gov/home/saff/main.html?_lang=en. The Applicant can also consult the Web sites for the U.S. Census Bureau (http://www.census.gov) and the Bureau of Labor Statistics (http://www.bls.gov) for general population data. The Applicant should provide its best estimate for the number of community anchor institutions and public safety entities in each proposed funded service area.

The Bureau of Labor Statistics tracks unemployment at the county level. To calculate the unemployment level for a BTOP Last Mile or Middle Mile Service Area, which may span parts of multiple counties, the Applicant should average the unemployment levels from all counties in the service area, weighted by the population from each county in the service area as a proportion of the overall population in the service area. For example, a Last Mile Service Area includes one Census tract with a population of 3000 people in County A (unemployment 11.1 percent), one Census tract with a population of 2600 people in County B (unemployment 12.3 percent), and one Census block group in with a population of 1100 people in County C (unemployment 9.6 percent). The calculated unemployment rate for the Last Mile Service Area should be:

$$\frac{3000 * 11.1}{3000 + 2600 + 1100} + \frac{2600 * 12.3}{3000 + 2600 + 1100} + \frac{1100 * 9.6}{3000 + 2600 + 1100} = 11.3\%$$

11 Community Anchor Summary

Community Anchor Institutions

Question: Please enter the number of Community Anchor Institutions served by your project by type.

Please sum up the total number of community anchor institutions that will be directly connected by the proposed network (*i.e.*, these connections should be included in the project budget and network design). Update the information as needed. When counting community anchor institutions, the Applicant should identify the number of facilities the proposed BTOP project will directly connect to the network. As an example, if the local school board will receive access and distribute it to its schools, the Applicant should enter "1" for the number of institutions in this section. However, if the proposed BTOP project would provide fiber to six local schools, the Applicant should enter "6."

NOTE: Counting Community Anchor Institutions
Please avoid counting an institution twice, even if it can be allocated to more than one category.

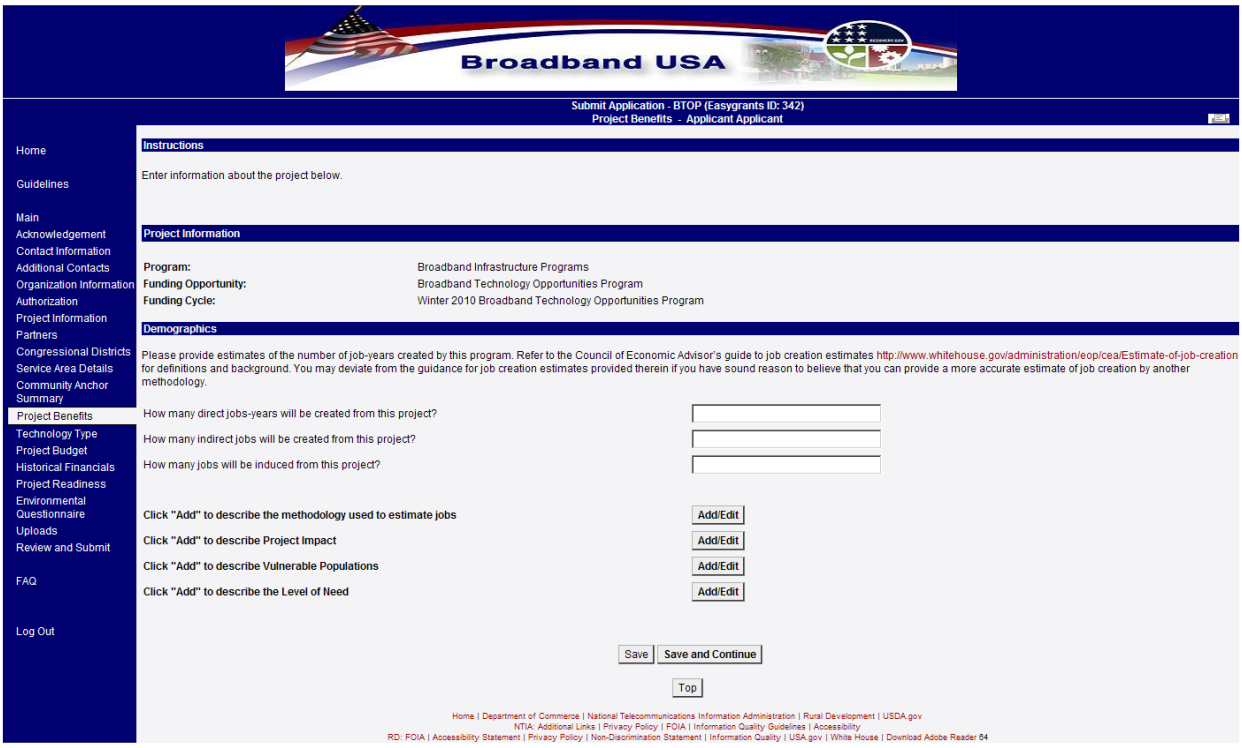
Minority Serving Institutions

Question: Please enter a detailed breakout of the number of Minority Serving Institutions:

- Historically Black Colleges and Universities
- Tribal Colleges and Universities
- Alaska Native Serving Institutions
- Hispanic Serving Institutions
- Native Hawaiian Serving Institutions

Please indicate the number of minority serving institutions in each category that the proposed project intends to connect. A minority-serving institution is a post-secondary educational institution with enrollment of minority students exceeding 50 percent of its total enrollment. Note that this summary is separate from the community anchor institution summary above (though the minority-serving institutions should be a subset of the community anchor institutions). These minority serving institutions should also be appropriately tallied in the community anchor institution question.

12 Project Benefits



Demographics

Question: Please provide estimates for the number of job-years created by this program. Refer to the Council of Economic Advisor's guide to job creation estimates http://www.whitehouse.gov/administration/eop/cea/Estimate-of-job-creation for definitions and background. You may deviate from the guidance for job creation estimates provided therein if you have sound reason to believe that you can provide a more accurate estimate of job creation by another methodology.

Answer the questions on job creation in the appropriate sections.

Question on Methodology Used to Estimate Jobs: Please describe the methodology employed to produce the job-years estimates provided above. If you utilized the methodology suggested by the Council of Economic Advisors, please note that.

For the methodology essay question, the Applicant should to describe the methodology employed to produce the job-years estimates provided above and to note if the Applicant employed the Council of Economic Advisor's methodology. The Applicant should clearly describe how it arrived at these estimates.

This response is limited to 1500 characters.

Question on Project Impact: Discuss the extent to which the proposed project will comprehensively meet, whether directly or indirectly, all of the broadband needs of the communities within the proposed funded service area. Ideally this should include consideration of residential and business services, support for community anchor institutions in the area, and access, transport, and wholesale services for other broadband service providers.

The Project Impact statement should identify how the project will benefit the proposed funded service area. This question and the following question on Level of Need are among the most vital questions for CCI applications. The Applicant should ensure that its responses to these questions deliver a clear, consistent, and compelling justification for the investment of federal grant funds in its project.

The Applicant should provide clarity around the community anchor institutions it seeks to provide service for, including: (1) how many community anchor institutions it will directly connect as part of the funded project (these should be accounted for in both the network design as well as the project budget); (2) how many additional community anchor institutions are potential customers for the completed network; and (3) how many of the anchor institutions have expressed an interest in subscribing to the proposed network. The Applicant may also wish to describe the purpose of these connections, how they will serve end users, and how they will benefit the community.

The Applicant should provide similar clarity around potential services for businesses and third party service providers, as well as last mile services, whether provided by the Applicant or by third party service providers utilizing the proposed network. The Applicant should discuss the potential market, and, in particular, note any specific service providers that have expressed an interest in utilizing the network to provide last mile service (specifying the level of interest, *e.g.*, firm commitment, letter of interest, informal inquiries). The Applicant should provide an estimated number of end users the proposed connections will serve and the basis for these end-user projections.

This response is limited to 9000 characters.

Question on Vulnerable Population: If any vulnerable population groups are overrepresented in the project's Proposed Funded Service Area, please note them, and provide supporting data.

Reviewers may give additional consideration to projects that assist vulnerable populations. The Applicant should note if any particular vulnerable population makes up a higher than average proportion of the population of the proposed funded service area.

This response is limited to 3000 characters.

Question on Level of Need: Please discuss the degree of need for the proposed network in the proposed funded service area. Include discussion of the competitive landscape in the area for comparable services to those to be offered by the proposed network, as well as any pertinent details regarding the current broadband infrastructure in the area. Describe variations among service areas if there are any. If there are existing service providers already present in all or part of the area, explain what needs the existing services are failing to meet that the proposed project will address (i.e. what value-add the proposed network will provide). Applicants may also wish to discuss the proportion of the proposed funded service area that qualifies as unserved or underserved, as well as the general economic conditions in the proposed funded service area.

This question requires the Applicant to establish the level of need for the proposed network in the proposed funded service area. The Applicant should provide the most complete picture it can of the existing state of broadband infrastructure in the proposed funded service area, the reasons why the existing infrastructure is insufficient to meet the needs of the communities in that area, and, particularly in cases where the project will not leverage existing infrastructure, why the proposed network is the most efficient means to address the unmet needs of the area.

For middle mile networks servicing local government and community anchor institutions, this response might include discussion regarding the availability of dark fiber and high capacity services from incumbent service providers, lack of pricing competition, as well as installation and monthly service costs. The Applicant might include discussion of past efforts to obtain necessary services from incumbent providers, or efforts to involve those service providers in the proposed project. The Applicants might provide analysis of how long it would take to pay off the capital investment in the proposed network through saving in operating costs compared to the installation and service charges for equivalent services from an incumbent provider. The Applicant must establish that current market conditions significantly inhibit the ability of community anchor institutions to obtain needed broadband services at reasonable prices. To the extent the Applicant makes such arguments, it will be highly advantageous for them to provide letters in the Government and Key Partners upload from community anchor institutions in the proposed funded service area attesting to the facts asserted in this response.

This analysis of the level of need is a critical element of a CCI application. In cases where there are already multiple broadband service providers in the area, the Applicant's response to this question will be important. Please ensure that the statements made in this essay are consistent with the information provided throughout the entire application.

This response is limited to 12,000 characters.

13 Technology Type

Technology Type

Question: Indicate the technology that will be used to deliver broadband services (check all that apply). Choices include:

- Wireline – xDSL
- Wireline – Coaxial Cable
- Wireline – Fiber-optic Cable
- Wireline – Broadband Over Power Line
- Wireline – Hybrid System
- Wireless – Terrestrial Fixed
- Wireless – Terrestrial Mobile
- Wireless – Satellite
- Other

Technology Questions

Question on Methodology for Area Status: Describe the methodology, source of data, and analytical approaches used to determine whether the Last Mile or Middle Mile Service Areas may be classified as "unserved," "underserved."

An underserved area is a Last Mile or Middle Mile Service Area, where at least one of the following factors is met: (i) no more than 50 percent of the households in the Last Mile or Middle Mile Service Area have access to facilities-based, terrestrial broadband service at greater than the minimum broadband transmission speed (at least 768 kbps downstream and at least 200 kbps upstream); (ii) no fixed or mobile terrestrial broadband service provider advertises to residential end users broadband transmission speeds of at least three Mbps downstream in the Last Mile or Middle Mile Service Area; or (iii) the rate of terrestrial broadband subscribership for the Last Mile or Middle Mile Service Area is 40 percent of households or less. An underserved area may include individual Census block groups or tracts that on their own would not be considered underserved. The availability of or subscribership rates for satellite broadband service is not considered for the purpose of determining whether an area is underserved.

An unserved area is a Last Mile or Middle Mile Service Area where at least 90 percent of the households lack access to facilities-based, terrestrial broadband service, either fixed or mobile, at the minimum broadband transmission speed (at least 768 kbps downstream and at least 200 kbps upstream). An unserved area may include individual Census block groups or tracts that on their own would not be considered unserved. A household has access to broadband service if the household readily can subscribe to that service upon request. The availability of or subscribership rates for satellite broadband service is not considered for the purpose of determining whether an area is unserved.

If one or more of the proposed Last Mile or Middle Mile Service Areas is designated as unserved or underserved, provide a summary of the methodology used for this determination along with supporting key data points and analytical findings for every Census block group or tract within the proposed service area. There are no areas of the country, tribal lands, or territories that are *de facto* unserved or underserved. The Applicant must thoroughly research the area(s) and carefully account for the market with regard to any existing broadband access, advertised and/or actual service provider speeds, or adoption rates. The Applicant should note that a service provider's advertisement over a large area does not necessarily mean that it offers service throughout that entire area, because the boundaries of the advertising market may not align precisely with the boundaries of the provider's service area. The exact methodology is up to the Applicant, but the result should be to demonstrate that the proposed funded service area is eligible based on the appropriate definition. The Applicant should aim to utilize state broadband mapping data if such data exist. Otherwise, a customer or market survey, statistical sampling, or other valid methodology will be necessary. Census tract maps can be found at http://www.census.gov/geo/www/maps/descriptwindows/outline.htm. Other Census maps that allow the user to drill down from State, to county, tract, block group, and Census block can be found at http://factfinder.census.gov/servlet/ReferenceMapFramesetServlet?_bm=y&-_lang=en#?290,201.

NOTE: Best Practices for Determining the Status of a Last Mile or Middle Mile Service Area
Collecting broadband availability and subscription data from a state entity or other entity authorized by the state to collect such data.
Working with the State broadband mapping initiative to understand broadband availability and subscription in state.
Using mail, phone, and Internet outreach and surveying of consumers on their current broadband services or availability of services in service area.
Compiling a database and map of input from consumer surveys and outreach and existing broadband service provider coverage areas and using statistical models to extrapolate an area's status as unserved or underserved.
Identifying central offices in proposed service area with DSL capabilities and mapping radius of potential coverage around the central office.
Identifying how many DSLAM port assignments in the central office to understand subscription rates in area.
Accessing Federal Communications Commission data, industry publications and Web sites to identify broadband service providers in area and services offered.
Developing a multi-layered broadband coverage map of proposed service area with each layer documenting existing broadband assets (*e.g.*, central offices, Wi-Max towers, cable headends, cellular broadband coverage) to model broadband availability in area.
Sampling existing broadband service provider Web sites with household, anchor institution, and business addresses in proposed service area to identify availability of broadband services and speed tiers.
Using wireless (cellular and Wi-Max) coverage maps available on wireless operator Web sites to understand availability in proposed service area.
Documenting consultations with local Internet Service Providers to understand current backhaul solutions and needs.
Outreach to anchor institutions and businesses regarding their current broadband services (pricing, speeds, technology) and needs and providing documentation of this outreach and feedback from anchor institutions and businesses in area.

It is important to note that the determination of whether an area is unserved or underserved applies to an entire Last Mile or Middle Mile Service Area, not to specific Census block groups within the service area. Below are some examples of how to determine the unserved or underserved status of a proposed service area given broadband data at the Census tract or block level:

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

Example 2 (subscriber rate of 40 percent or less): Assume that two other contiguous Census tracts (Tracts D and E) each contain 100 households and that 20 households in Tract D subscribe to broadband service, and 50 households in Tract E subscribe to broadband service. If each Census tract is presented as a separate service area, Tract D will qualify as underserved on the basis of a rate of broadband subscribership that is 40 percent or less. Tract E will not qualify as underserved on that basis. If, however, the two tracts are combined into a single service area, only 70 out of 200 households (*i.e.*, 35 percent) subscribe to broadband service, meaning that the service area as a whole will qualify as underserved on the basis of a rate of broadband subscribership that is 40 percent or less.

It is important that the Applicant provide a clear methodology and identify data sources used to determine the status of the area. Please be sure to note if internal data were used. Demonstrate clearly how the Applicant's methodology leads to these conclusions and how the data support these claims. Please be sure to provide the appropriate Census tract data and state the proposed funded service area clearly.

The Applicant should also clearly state how its analysis ties to the thresholds stated in the NOFA for unserved/underserved areas. If asserting that a service area is underserved, list which underserved factor(s) the Applicant is using for that determination and clearly demonstrate how the methodology applied and data used allows for that conclusion, *e.g.*, no more than 50 percent of the households in the Last Mile or Middle Mile Service Area have access to facilities-based, terrestrial broadband service at greater than the minimum broadband transmission speed (at least 768 kbps downstream and at least 200 kbps upstream); no fixed or mobile terrestrial broadband service provider advertises to residential end users broadband transmission speeds of at least 3 Mbps downstream in the Last Mile or Middle Mile Service Area; or the rate of terrestrial broadband subscribership for the Last Mile or Middle Mile Service Area is 40 percent of households or less.

The Applicant should spend the time required to answer this question adequately, and make certain that the data the Applicant uses or provides are consistent with other statements throughout the application.

This response is limited to 3000 characters.

Question on Description of Network Openness: Please explain how the proposed project will be consistent with the NOFA's non-discrimination and network interconnection obligations. If the Applicant will not be solely responsible for operating the network, please clarify which entity or entities will be responsible for upholding the nondiscrimination and interconnection obligations. In addition, describe the interconnection, nondiscrimination, and network management practices that would be adopted if you were awarded BTOP funds. If any responsible entity is not a commercial service provider, briefly describe that entity's operational ability to meet BTOP's interconnection obligations.

The Applicant must describe in detail the interconnection, nondiscrimination, and network management practices that would be adopted for the project facilities. The Applicant should describe how it will comply with nondiscrimination and interconnection obligations, particularly with connectivity to the public Internet and physical interconnection for the exchange of traffic. In addition to describing network management practices, the Applicant should disclose any practices in place to block access to illegal or harmful content. Applications will be evaluated on their commitment to exceeding the minimum requirements.

These nondiscrimination and interconnection requirements apply to both Last Mile and Middle Mile components of CCI projects but only to the portions of the Applicant's network that are funded by BTOP. These obligations apply to the grantee, and do not apply to any existing network arrangements or to non-awardees using the network. However, the grantee may negotiate contractual covenants with broadband service providers to deploy or operate the network facilities and pass these conditions through to them. In any case, the grantee must have in place safeguards to ensure that the network nondiscrimination and interconnection obligations are met.

Existing commercial service operators should reference public Internet terms so that the BTOP evaluation team can verify the openness of the Applicant's policies.

This response is limited to 3000 characters.

Question on 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.

- Discuss the key network components, from end-users to the network's primary Internet Point(s) of Presence (POP) – noting which network components already exist and which would be added by the proposed project.
- 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, and whether fixed or mobile wireless access is proposed.
- Explain the specific advantages of using this particular technology strategy, taking into account service offering capacity, speed, reliability, and cost effectiveness.
- Identify paths to upgrade the system and add additional capabilities in the future.
- Describe the proposed network's centralized facilities and points of interconnection.

The Applicant should describe the technical feasibility of its system design and should highlight the key elements of the system and specify which components will be funded with BTOP assistance and which

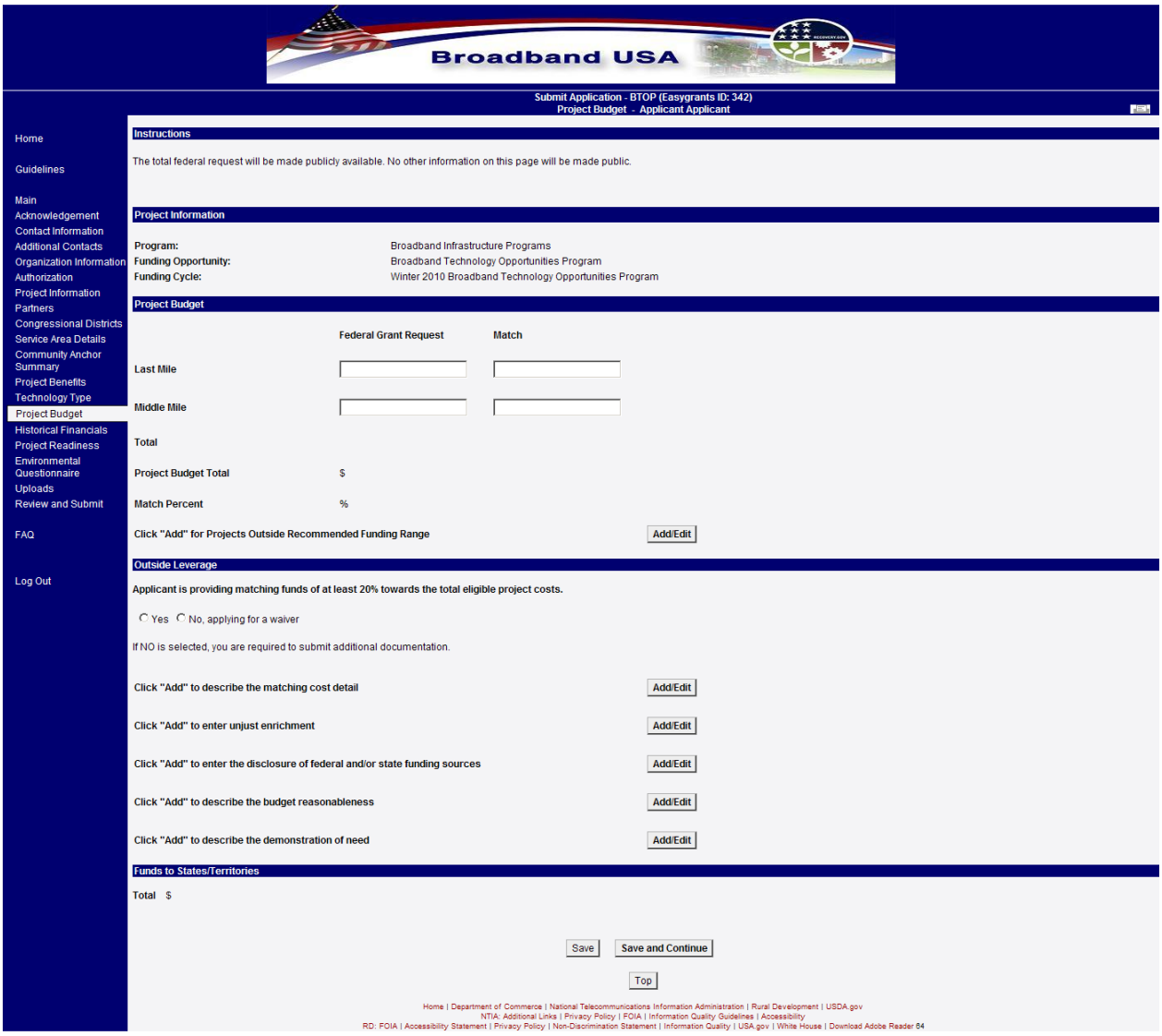
are not linked to the proposed system. The Applicant should also be certain to explain the reasons it chose this technology or group of technologies and the reasons it believes these technologies are the best fit for the area and its customers. For example, if the Applicant is proposing a wireline broadband solution for the proposed area, it should indicate why this technology is the best solution for that market and why, for example, it did not choose to install a wireless technology instead. Applicant should explain how the system can be upgraded, if applicable, to add additional capabilities in the future. This response should be tied together with the Network Diagram and Network Maps provided in the Upload section. Together these should offer a reviewer a consistent, thorough, and complete understanding of the proposed network.

This response is limited to 6000 characters.

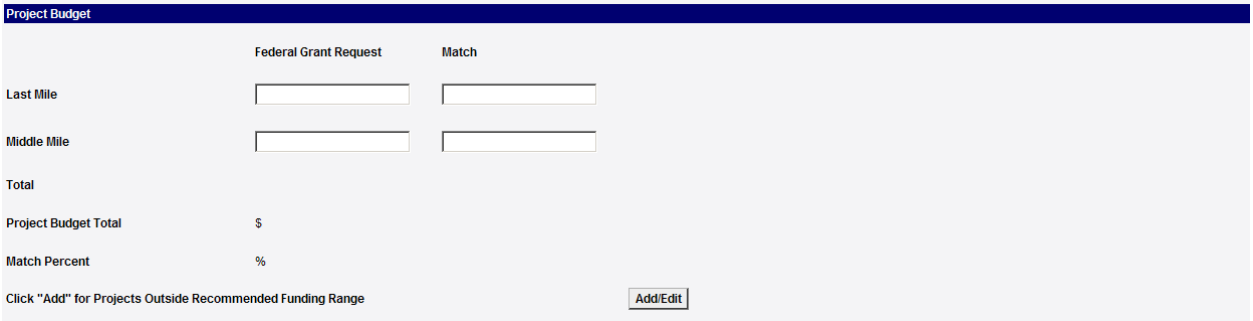
Question: Is the Applicant seeking a waiver pursuant to the Section IX.C of the NOFA so as to sell or lease portions of the award-funded broadband facilities during their life? If YES, you will be required to provide supporting documentation.

If the Applicant wishes to waive the NOFA restriction regarding the sale or lease of assets, the Applicant must provide a Waiver Request through the upload section of the application. Please see section 1.12.4 above for guidance on requesting a waiver of this provision.

14 Project Budget



Project Budget



The Applicant must ensure that the total project budget information matches other budget related questions and uploads, including SF-424C and the Detailed Budget upload. For guidance on allocating the budget between Last Mile and Middle Mile components, see section 18.9 (Detailed Budget upload) below.

Question on Projects Outside Recommended Funding Range: If this total project budget is above or below the project size range recommended in the NOFA ($5 million–$150 million), please provide a reasoned explanation for this variance from the recommended range.

Based on NTIA's experience from the initial round of funding, it has determined that the total project budget for a CCI project generally should not be below $5 million or above $150 million. An Applicant proposing projects outside of this range must provide a thorough rationale for the requested variance in the project size. NTIA will evaluate this rationale based on the reasonableness of a project's costs and the level of funding available for this program.

This response is limited to 3000 characters.

Outside Leverage

Question: Applicant is providing matching funds of at least 20% towards the total eligible project costs. If NO is selected, you are required to submit additional documentation.

The Easygrants will automatically calculate the minimum non-federal match required in the application, if the Applicant does not check the box that indicates it is requesting a waiver of the match requirement. If the Applicant indicates that it wishes to request a waiver of the 20 percent project cost share/matching requirement, the Applicant must provide a Waiver Request in the Upload section of the application. Please see section 1.12.1 above for guidance on requesting a waiver of this provision.

Easygrants calculates the match based on total application project cost, not the federal grant request amount associated with the project. Thus, the minimum match will be calculated as 20 percent of the total project cost. An example is provided below:

Match	= 20% (Non-Federal Share)
Federal Award	= 80% (Federal Share)

To calculate minimum match required for BTOP, multiply "Total Cost of Project" by 0.20.

1. Total Cost of Project to Be Implemented: $10,000,000 (*0.20)
   Federal Match Requirement: $2,000,000
   Federal Grant Request: $8,000,000

2. Total Cost of Project to Be Implemented: $6,000,000 (*0.20)
   Federal Match Requirement: $1,200,000
   Federal Grant Request: $4,800,000

NOTE: Matching Funds

Many Applicants during the first round of funding expressed confusion as to whether the match requirement was 20 percent of the total project cost or 20 percent of the federal grant request. The match must be 20 percent of the total project cost. Seen another way, non-federal funds on a project equal 25 percent of the federal funds allocated to that project. The ratio of non-federal to federal funds is 20/80 = 2/8 = 1/4 = 25 percent. For every four dollars of federal funds provided, the grantee must provide one dollar in non-federal funds (4:1).

Question on Matching Cost Detail: Please provide a detailed account of all matching costs for this project. For cash matches provide: a) the name of the party providing the match, b) the funding amount (and percentage of the total budget it represents), c) the type of funding (*e.g.,*grant match, equity, debt, internal, other), d) the use of the funding (*e.g.*, infrastructure, working capital, operating losses, and e) any key financing terms and conditions. For in-kind matches, provide: a) the name of the party providing the match, b) the match value (and percentage of the total budget it represents), c) the nature of the in-kind contribution, d) an explanation of how the contribution qualifies as an eligible cost under BTOP eligible cost rules, and e) if the contributor is not the Applicant(s), a description of any benefits the contributor will derive from the project (*e.g.*, free or discounted access to the network).

The Applicant must describe the matching fund amounts, both cash and in-kind, that it and its funding sources will provide directly to the execution of this project. The Applicant will receive additional consideration for providing a cost match of 30 percent or greater of the total eligible cost of a project. Therefore, Applicants are strongly encouraged to obtain additional funds to apply to the project from all available sources, including state and local government, charitable and other non-profit grants, donations, economic development funds, and financial assistance programs.

Applicants are also encouraged to seek in-kind contributions to be used in the execution of this project. These in-kind contribution costs must be directly attributable to a budget item that Applicants have

identified for executing their project and must be an "eligible cost" as defined in the NOFA. In-kind contributions must also be necessary to the success of the project. Such costs may be products, services, equipment, or other forms of direct assistance to the 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 Applicants can clearly demonstrate the proportion of those shared-use contributions that will apply directly to their 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.

This response is limited to 6000 characters.

NOTE: Matching Funds
Generally, federal funds may not be used as matching funds except as provided by federal statute. (See NOFA section V.C.1.; 15 C.F.R. §§ 14.23(a)(5) and 24.24(b)(1).) For example, 40 U.S.C. § 14321(a)(4) authorizes the use of grant funds from the Appalachian Regional Commission (ARC) as matching funds if the ARC decides such use is appropriate. Similarly, 25 U.S.C. § 450h(c) provides that funds granted by the Interior Department and the U.S. Department of Health and Human Services (HHS) to tribes and tribal organizations under the Indian Self-Determination and Education Assistance Act can be used to meet the matching funds requirement of other federal grant programs which contribute to the purposes for which the grants were awarded by the Department of the Interior and HHS.
The Applicant cannot use funds for which it has applied (but has not yet been granted) to demonstrate that it can meet BTOP's 20 percent match requirement. In the absence of a waiver based upon the Applicant's demonstration of financial need, an Applicant must demonstrate its capacity to provide matching funds of at least 20 percent toward the eligible project cost.
An in-kind contribution of previously purchased equipment could be a part of a grantee's cost share if the equipment is appropriately dedicated to the BTOP-funded project. An in-kind contribution of equipment is added to the project at the time it is dedicated to the project, NOT at the time it is purchased. Consequently, if the grantee dedicates previously purchased equipment to the project at the time of the award, the expenditure will be deemed to take place at the time of the award. Based on the particular circumstances, the value of the match should be estimated by calculating a use allowance, depreciation, or current fair market value.
Monies from a state (or other non-federal) grant awarded to provide service, purchase equipment, and provide training eligible as matching funds are allowed in BTOP.

NOTE: Matching Funds
The Recovery Act requires a BTOP Applicant to demonstrate, to the satisfaction of the Assistant Secretary, that it will appropriate (if Applicant is a State or local government agency) or otherwise unconditionally obligate, from non-federal sources, funds required to meet the matching requirement. As a result, while Applicant is not required to have all matching funds on hand at the time it submits the application, it must convincingly demonstrate that it will be able to supply the proposed matching funds if it receives a grant.
While, in some cases, a document such as a letter of commitment may be sufficient evidence of the Applicant's capability to supply the necessary funds, if the source of funds identified appears to be speculative, NTIA may reject the application. If an application is selected for an award, the Applicant must, at the time of the award, be able to access and use the matching share at a rate at least proportional to the federal share.

Question on 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.

The Applicant must state whether it or any of its subrecipients is receiving or if it has applied for federal support in the same proposed funded service area as the proposed BTOP project.

This response is limited to 3000 characters.

Question on 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.

The Applicant must disclose the source and amount of other federal or state funding it or any of its subrecipients 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.

This response is limited to 3000 characters.

Question on Budget 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.). If your project includes a Last Mile component, and the cost per household for this component is $10,000 per household or greater, your response to this question MUST include a justification for this per-household cost.

The Applicant should justify the costs it is proposing based on past experience, competitive bids, published prices, local norms, or other specific metrics. The Applicant should follow their budget narrative closely, describe how it arrived particular costs and why it believes the costs are reasonable based on the tasks it will undertake. Ensure that each cost is eligible for funding under this program. The Applicant must explain why the budget is sufficient to carry out the project.

It is important that budgetary information presented in this section align with the Detailed Budget upload and other financial information provided throughout the application. Unfortunately, in the initial round of funding, many Applicants submitted a high-level budget that did not correspond with the detailed budget or other financial statements in the application, causing delays in processing, and potentially damaging their prospects of receiving an award.

If the cost per household exceeds $10,000, the Applicant will need to provide a specific justification for this level of expense. Cost per household should be calculated by dividing the outside plant cost attributed to last mile (less any in-kind contributions or network leasing costs) by the number of new households in which broadband service will be made available by the project.

This response is limited to 3000 characters.

Question on Demonstration of Need: Please explain the reasons why the project would not have been implemented without Federal assistance, and why the particular level of Federal assistance requested is appropriate. The response should incorporate the data provided in the Net Present Value Analysis upload, and should include discussion of what discount rate is most appropriate to evaluate this project.

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

The Applicant's response to this question will be used to help NTIA determine the true level of financial need of the proposed project. NTIA will focus on the business case and financial projections (particularly the NPV analysis) to determine the level of funding required to make the project economically viable. To this end, it is important to state how all of the business partners fit into the business case and how the level of need relates to the proposed matching level. As an example, NTIA may determine that an Applicant's need based on financial projections is for 30 percent grant financing. In that case, if the Applicant provided a 70 percent match, it would be reviewed more favorably than if the Applicant provided only a 20 percent match.

The Applicant should provide some discussion of the Net Present Value (NPV) analysis provided as part of the Pro Forma Financial Projections upload. For example, assume the project budget amounts to $20 million, and that you seek a federal funds request of 70 percent ($14 million) and providing a cash match of 30 percent ($6 million). The NPV analysis without BTOP funds amounts to -$5 million. The Applicant should explain why it is seeking a federal contribution significantly greater ($14 million) than the subsidy required ($5 million) to achieve the targeted rate of return. The Applicant may show, for example, that the project's discount rate should be higher because organization's cost of capital is much higher than that assumed for the NPV estimation. The Applicant may demonstrate that the terminal value should be calculated in a different manner. Please provide a detailed, fact-based rationale to justify: a) changes to the approach in calculating the valuation assessment; and/or b) seeking federal funds that are significantly different that the valuation of the project.

NTIA will look unfavorably upon projects that offer free services or aggressively discounted services to community anchor institutions or other customer segments. The Applicant should establish reasonable, market-based pricing that minimizes the project's dependence on federal grant funding. This does not mean that pricing cannot be significantly lower than the existing prices in the Proposed Funded Service Area (particularly if prices in the area are above national market averages), or that the Applicant cannot offer some reasonable discounts for community anchor institutions as compared to other customers. However, the Applicant should strive to collect revenue from all customers, and not price services below the direct operating costs (both recurring and amortized) and indirect costs associated with those specific services. Please explain the rationale for offering any discounts below prices seen for broadband data services (wholesale or retail) across national, competitive markets. Such discounts should be reasonable, selective, and not undermine the long-term sustainability of the project.

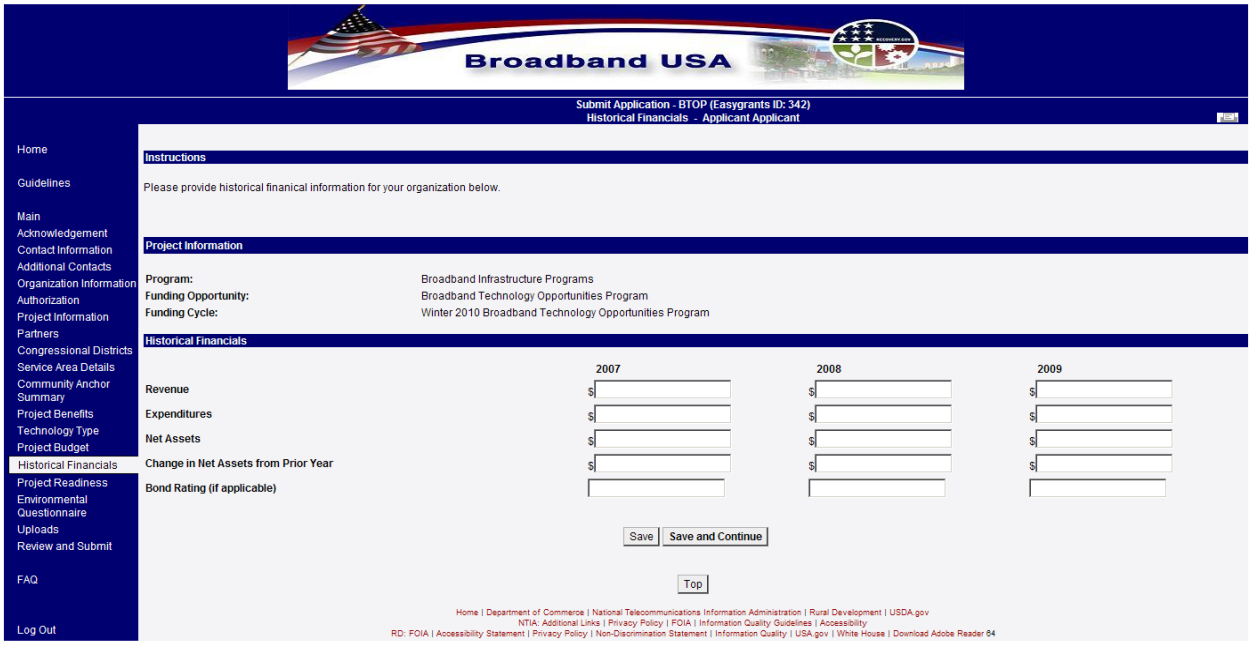
This response is limited to 3000 characters.

Funds to States/Territories

State	Amount of Federal Grant Request

The Applicant is required to identify the amount of federal grant request per state or territory the Applicant proposes to serve. The total across all states and territories should match the total federal grant request.

15 Historical Financials



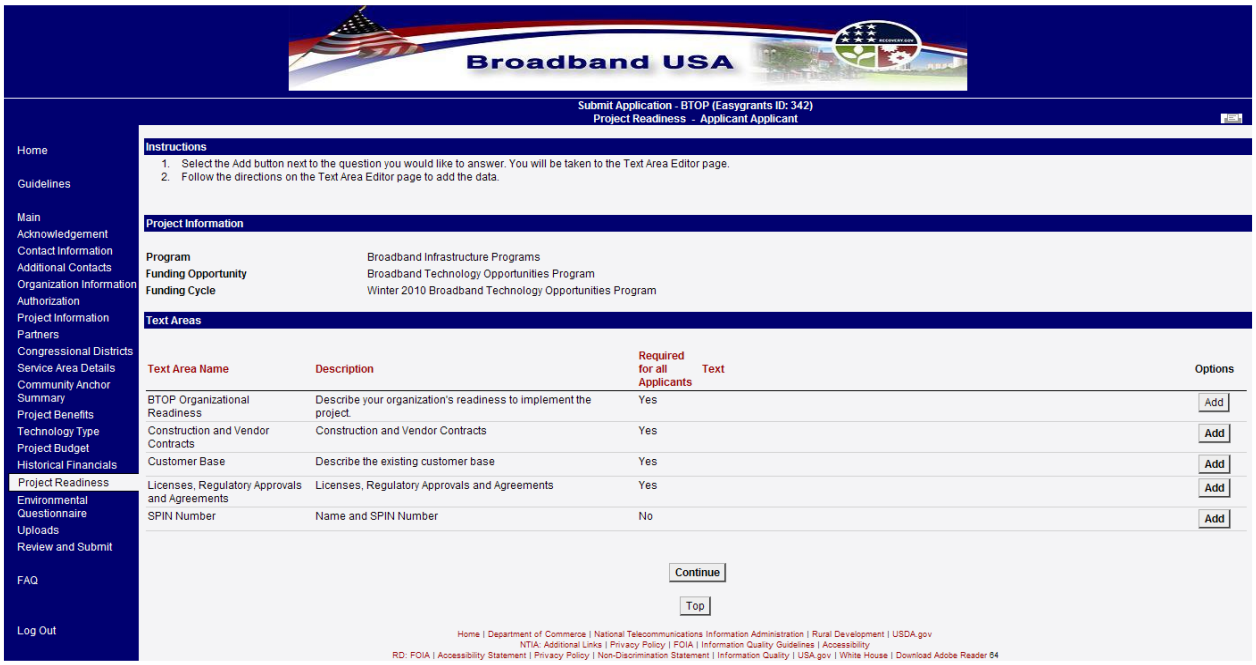
Historical Financials

Applicants are required to identify Historical Financials for 2007, 2008, and 2009 for the following categories:

- Revenue
- Expenditures
- Net Assets
- Change in Net Assets from Prior Year
- Bond Rating (if applicable)

The Applicant must provide summary-level historical revenue, expenditure, and net asset financial information based on the detailed financial statements for the last three years. If the Applicant's organization was established less than three years ago, the Applicant should provide all available information. This information should be consistent with the Historical Financial Statements provided as an upload, discussed in section 18 below.

16 Project Readiness



Text Areas

Question on Organizational Readiness: Describe key factors to indicate how your organization will be prepared to implement, manage and operate a broadband service network. Describe the organization 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 service (e.g., network management, provisioning, billing, customer care, etc.)

The Applicant should describe the organizational mechanisms it has established to handle the implementation, management, and operation of the proposed broadband services network. The Applicant should also discuss how it plans 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 would enhance the "organizational readiness" for the project.

This response is limited to 3000 characters.

NOTE: Organizational Readiness
Be sure to identify how key partners and key staff are aligned within the project to help ensure successful implementation and project sustainability.

Question on 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/or vendors are ready to enter into agreement with the Applicant(s), should the application be approved. Signed contracts or signed agreements would carry the most weight with respect to evidence, but are not necessary.

The Applicant is required to identify in the application the extent to which the proposed project will rely on contractors or vendors to deploy network facilities, including identifying the costs of sub-award activities in the Detailed Budget and Budget Narrative uploads. The Applicant will need to identify the number of contractors or vendors it wishes to use to deploy the network facilities. In addition, the Applicant is encouraged to provide evidence that the contractors or vendors are ready to enter into an agreement in the form of a signed letter of commitment in their Government and Key Partners upload. To the extent that the Applicant has selected contractors or vendors without a competitive bidding process, it should explain the basis for their selection, provide a justification for not utilizing competitive bidding, and include a cost and price analysis. It may be necessary to utilize the Supplemental Information upload to provide this information. With respect to contractors or vendors, Applicants must comply with all applicable federal and state regulations, including for example, the Uniform Administrative Requirements for Grants and Agreements, 15 C.F.R. §§ 14.40–48.

This response is limited to 1500 characters.

Question on Customer Base: Please describe the Applicant's (and, if the proposed network will be primarily managed by a partner, the partner's) existing customer base, if any, in the Proposed Funded Service Area. Include data on residential, business, community anchor institution, and third party service provider customers.

The Applicant should identify existing customer base within the Proposed Funded Service Area. The Applicant will need to identify the existing customer base by category (*e.g.*, residential, business, community anchor institutions, and service providers) and the approximate number of customers included within those categories. The Applicant should clearly identify, by type, how many of these customers are located within the proposed funded service area. If a partner will be responsible for managing a part or the entire network, the Applicant should also provide existing customer data for that partner relative to those areas of the Proposed Funded Service Area where the partner will be managing the network.

This response is limited to 1500 characters.

Question on Licenses, Regulatory Approvals and Agreements: Please list all 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 Authorization, State Authorizations, Video Franchise Agreements, and Leasing of Local Loops, etc.

The Applicant must submit a list of any licenses, regulatory approvals, and agreements that will be required to provide the proposed services. These could 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"). In addition, please address the following if relevant: Tower Leases, Equipment Leases, Building Leases, Land Leases, FCC Authorization, State Authorizations, Video Franchise Agreements, and Leasing of Local Loops.

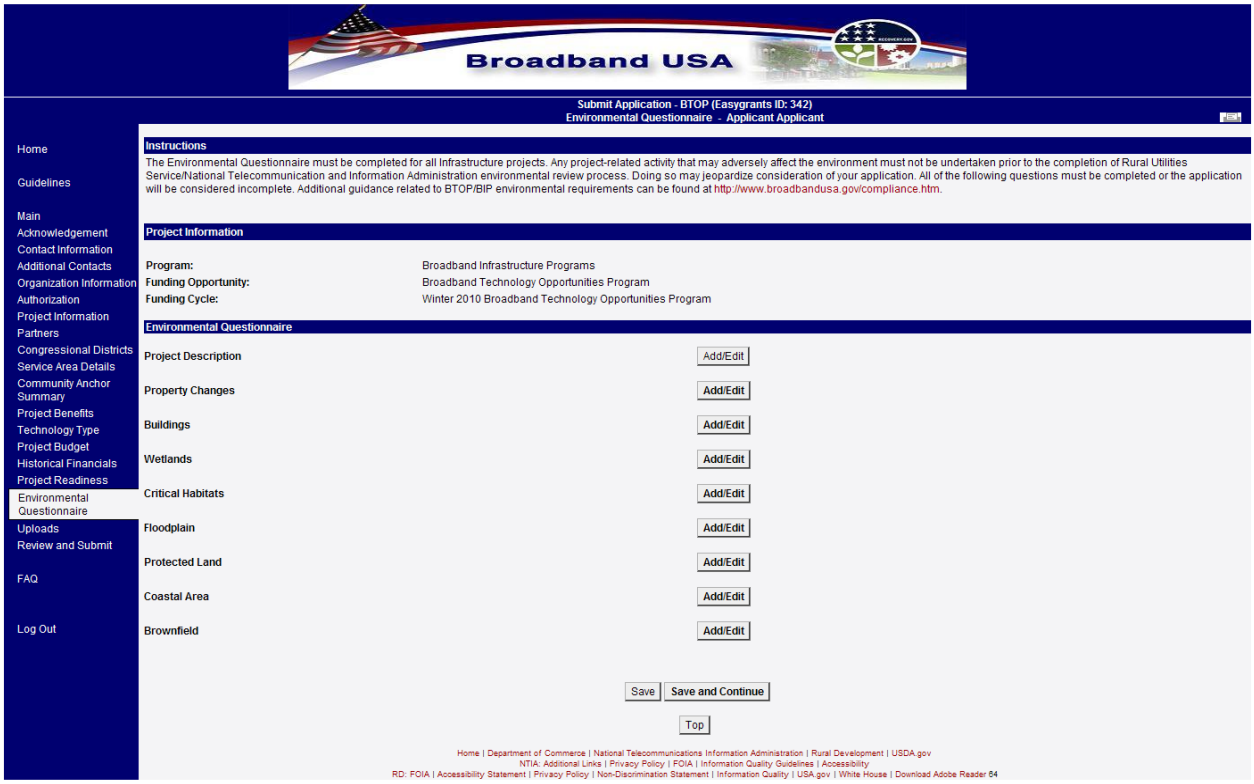
This response is limited to 1500 characters.

Question on SPIN Number: If the Applicant(s) and any proposed award subrecipients have an FCC Universal Service Fund Service Provider Identification Number (SPIN), please provide the following: Name of entity and SPIN.

If either the Applicant or one of the Applicant's subrecipients has applied for and received a service provider identification number (SPIN) from the FCC, the Applicant should indicate that here and provide the identification number.

This response is limited to 1500 characters.

17 Environmental Questionnaire



Environmental Questionnaire

Any project-related activity that may adversely affect the environment must not be undertaken prior to the completion of the environmental review process prescribed by NTIA. Doing so may jeopardize consideration of the application. The Applicant must complete all questions for the application to be complete. For additional guidance related to BTOP environmental requirements Applicants should go to the http://www.broadbandusa.gov/compliance.htm Web site.

All Applicants for CCI projects must complete the environmental questionnaire to comply with the National Environmental Policy Act, the National Historic Preservation Act, and the Endangered Species Act, and other applicable environmental regulations set forth in more detail at http://www.broadbandusa.gov/compliance.htm.

Question on 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. Please list any information on environmental studies or consultations undertaken regarding the project.

This response is limited to 1500 characters.

NOTE: Environmental Questionnaire

Be sure to describe any past or planned community or local, state or federal government consultation for environmental issues surrounding the proposed project, *e.g.*, state historical preservation officer, U.S. Fish and Wildlife Services.

Question on 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. For information related to Federal lands see the following Web site – http://www.geocommunicator.gov. This Web site provides cadastral survey and land management information and data from the National Integrated Land System specifically the distribution of the Public Land Survey System (PLSS), other survey-based data, and Federal land boundaries.

This response is limited to 1500 characters.

Question on 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.

This response is limited to 1500 characters.

Question on 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 Web site: http://www.fws.gov/wetlands/ or from soil maps obtained from the USDA, Natural Resource Conservation Service's Web site: http://websoilsurvey.nrcs.usda.gov/app/HomePage.htm).

This response is limited to 1500 characters.

Question on Critical Habitats: Describe and indicate whether any project site(s) will directly or indirectly affect any threatened, endangered or candidate species or is within or near critical habitats. To document the analysis, Applicants must provide species lists and appropriate specie accounts obtained from the U.S. Fish and Wildlife Service's Web site: http://ecos.fws.gov/tess_public/ for each county affected by construction of the project.

This response is limited to 1500 characters.

Question on 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) Web site 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 information on obtaining FIRMettes, review the tutorial provided by FEMA.

The FEMA tutorial mentioned in the question can be found at:
http://www.msc.fema.gov/webapp/wcs/stores/servlet/info?storeId=10001&catalogId=10001&langId=-1&content=firmetteHelp_0&title=FIRMette%20Tutorialhttp://www.msc.fema.gov/webapp/wcs/stores/servlet/info?storeId=10001&catalogId=10001&langId=1&content=firmetteHelp_0&title=FIRMette%20Tutorial

This response is limited to 1500 characters.

Question on Protected Land: 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 Web site of the National Conference of SHPO: http://www.ncshpo.org/find/index.htm.

Applicants must indicate if any portion of the project is located on tribal lands, meaning lands within the exterior boundaries of any Indian reservation and all dependent Indian communities. Information regarding historic properties located on tribal lands may be obtained from the Tribal Historic Preservation Officer (THPO) or the tribe's official representative for historic preservation. If provided, applicants should provide any information gathered about historic properties on tribal lands, including any correspondence with an Indian tribe.

Applicant(s) must gather information about the nature and location of historic properties from the SHPO. SHPOs should be asked the following questions:

- 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.
- 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.
- If provided, Applicant(s) should provide SHPO responses/information to these questions including any correspondence with the SHPO.

This response is limited to 1500 characters.

Question on 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 Web site: http://coastalmanagement.noaa.gov/consistency/welcome.html.

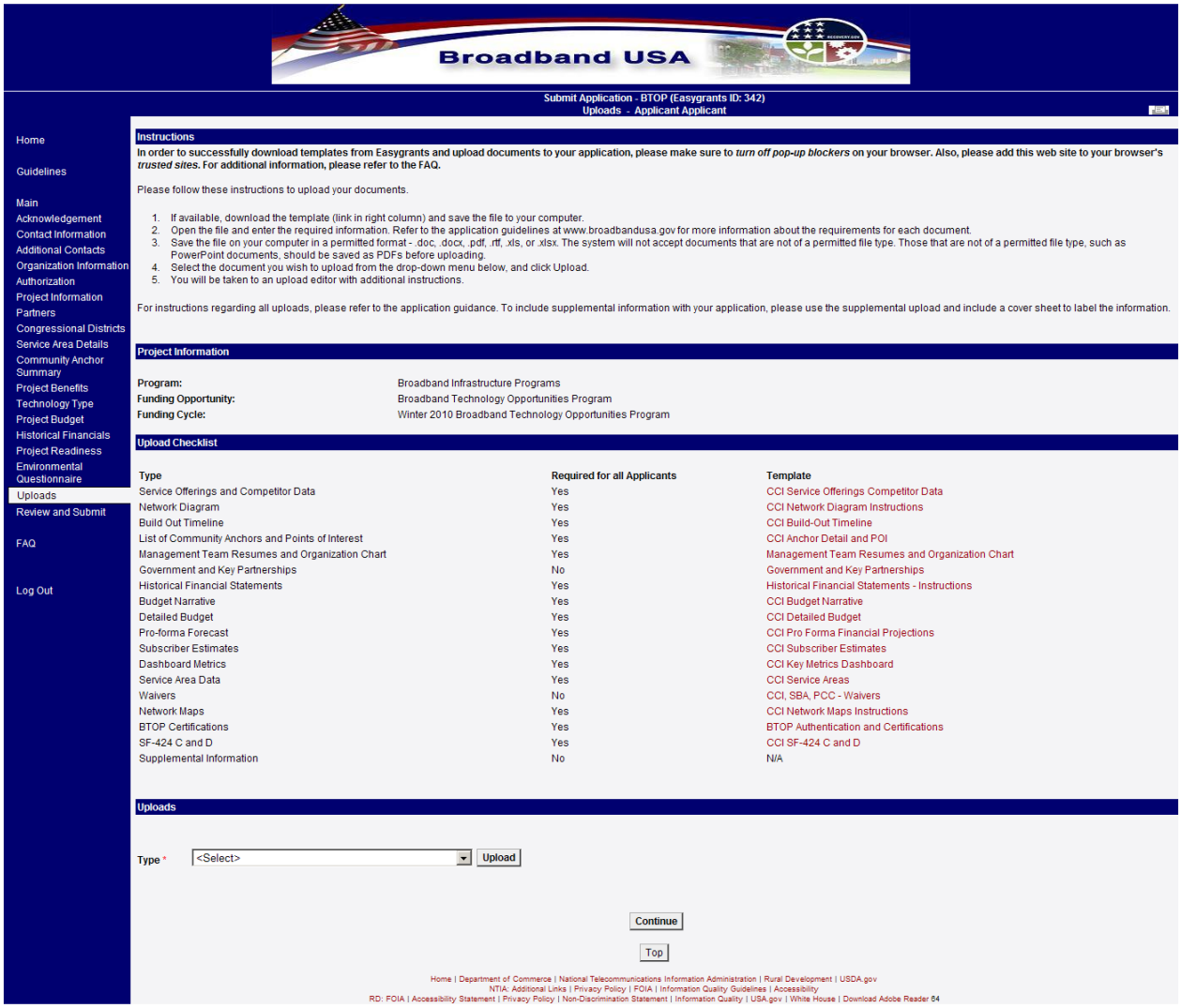
This response is limited to 1500 characters.

Question on 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 Web site: http://iaspub.epa.gov/Cleanups/

This response is limited to 1500 characters.

Note: Environmental Review Document
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. The Applicant may use such material, to the extent relevant, to meet the requirements herein. If an Applicant advances to Due Diligence, NTIA will require the Applicant to provide applicable maps pertinent to the environmental review.

18 Uploads



In order to complete each upload that has a template, the Applicant must download the template from the Easygrants application system and save the file to its computer. The Applicant should open the file, enter the required information, and save the file on the Applicant's computer in one of the formats specified: .pdf, .doc, .docx, .rtf, .xls, .xlsx, .gif, .jpeg.

After the Applicant has prepared an upload, it should click "Browse" in the "Upload Document" section to find the file on the computer. After the file name appears in the text box, the Applicant should click "Upload" and then "View" to view the document to verify Easygrants accepted the upload. If Easygrants encounters errors saving an upload, it will appear in the new window. **Applicants should upload only one file per designated upload slot.** Additional uploads of the same type may be disregarded.

Therefore, to update a file that has already been uploaded, you should delete the file already uploaded before uploading the replacement file.

Note: Required Uploads
The uploads listed in Easygrants as "Required" must be submitted with the application. Note that while the Government and Key Partnerships upload and the Waiver upload are not listed as required uploads, they are considered conditional rather than optional. For example, if the Applicant lists key partners in the application or is receiving matching contributions from a third party, it *must* provide documentation in the Government and Key Partnerships upload. If the Applicant is requesting a waiver in the application, it *must* provide documentation in the Waivers upload.

18.1 Service Offerings and Competitor Data

This upload is REQUIRED of all CCI Applicants.

The Applicant must download and complete the Service Offerings and Competitor Data template. It includes three worksheets—Last Mile Service Offerings, Middle Mile Service Offerings, and Competitor Data. Applicants may omit either of the Last Mile or Middle Mile Service Offerings worksheets if they are not proposing to provide services of that type.

For both the Last Mile and Middle Mile Service Offerings worksheets, the service offerings should include all relevant tiers and markets (*e.g.*, residential, business, wholesale). The Applicant should include details on any services it will offer at discounted rates to particular classes of customers (*e.g.*, community anchor institutions or third party service providers).

In the Last Mile Service Offerings worksheet, the Applicant is required to provide estimated average end user speeds. 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, the Applicant should utilize subscriber projections for year eight of the project, and develop subscriber utilization projections that are consistent with any additional services the Applicant plans to offer. 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 Applicant may use discretion to determine the most reasonable manner in which to estimate actual speeds on the network. The Applicant should explain the underlying assumptions used to calculate the average speeds in the space provided.

Note: Discounted Service Offerings
NTIA will look unfavorably upon projects that offer free services or aggressively discounted services to anchor institutions or other customer segments. Applicants should establish reasonable, market-based pricing that minimizes the project's dependence of federal grant funding. This does not mean that pricing cannot be significantly lower than the existing prices in the Proposed Funded Service Area (particularly if prices in the area are above national market averages), or that Applicants cannot offer some reasonable

discounts for community anchor institutions as compared to other customers. However, Applicants should strive to collect revenue from all customers, and not price services below the direct operating costs (both recurring and amortized) and indirect costs associated with those specific services.

In the Competitor Data worksheet, the Applicant is required to provide data on both Last Mile and Middle Mile service providers, regardless of whether the Applicant proposes to offer both last mile and middle mile services. In the column titled Service Areas Where Service Offered, the Applicant should list all of the Last Mile and Middle Mile Service Areas within the Proposed Funded Service area in which the listed services areas are available. Please ensure that the Service Area names are consistent with those provided within the application and the Service Areas upload. If the actual availability of the listed services is limited (*e.g.*, the service is only available within part of the Last Mile or Middle Mile Service Area), note this in the "Other Comments" column.

In contrast to several other upload templates in this application, the data provided via this template will NOT be subject to automated processing. These template worksheets are provided to demonstrate the level of data required and to provide a suggested format. The Applicant is free to modify the template layouts in order to provide the most effective presentation of the data for their specific project. The Applicant should, however, ensure that it provides at least as much detail as these templates require. To the extent that the Applicant modifies this template, please ensure that the print layouts are adjusted so that rows do no break across pages in a manner that will be difficult to understand. Easygrants will automatically generate a PDF when the Applicant uploads the file, and the print settings will be used to format the PDF file.

Proposed Last Mile Service Offerings

Name of Service Tier	Advertised Speeds		Estimated Average Speeds		Average Latency	Pricing Plan ($ per month)	Other Comments/Description/Features or Limitations
	Downstream Mbps	Upstream Mbps	Downstream Mbps	Upstream Mbps	@ End User CPE miliseconds		

For each proposed funded service area, the Applicant must identify:

- Name of service tier;
- Advertised speeds, both downstream Mbps and upstream Mbps;
- Estimated average speeds, both downstream Mbps and upstream Mbps. 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 subscriber projections

for year eight of the project, and develop subscriber utilization projections that are consistent with any additional services they plan to offer. For wireless broadband services, this speed should be an average of speeds available across an entire cell. Beyond these general guidelines, due to the multiplicity of technical solutions that may be proposed, Applicants may use discretion to determine the most reasonable manner in which to estimate actual speeds on their network. Applicants should explain the underlying assumptions used to calculate the average speeds in the space provided;

- Average latency, at end user customer premises equipment (CPE) in milliseconds;
- Pricing plan, or $ per month; and
- Other – any additional comments, description, features, or limitations.

Proposed Middle Mile Service Offerings

Name of Service Offering	Distance Band or Point to Point	Minimum Peak Load Network Bandwidth Capacity (Mbps)	Monthly/Yearly Pricing ($)	Other Comments/Description/Features or Limitations

For each proposed funded service area, the Applicant must identify:

- Name of service offering;
- Distance band or point to point;
- Minimum peak load network bandwidth capacity in Mbps;
- Monthly or yearly pricing, in dollars; and
- Other comments, description, features, or limitations.

Competitor Data: All Applicants are required to complete this worksheet in its entirety. Data is required on both Last Mile and Middle Mile service providers, regardless of whether the Applicant proposes to offer both Last Mile and Middle Mile services.

Competitor Data

Competitor Data - Last Mile Service Providers

Service Provider	Service Areas Where Service Available	Technology Platform	Service Tiers	Downstream Speed	Monthly Pricing	Other Comments/Description/Features or Limitations

For competitor data of Last Mile service providers, the Applicant must provide the following information:

- The name of the service provider;
- The service area where the service is available within the Applicant's proposed funded service area. The Applicant must be sure the service area names are consistent with those provided within the application and the Service Area upload. If the actual availability of the listed services is limited (*e.g.*, the service is only available within part of the Last Mile or Middle Mile Service Area), note this in the Other Comments column;
- Technology platform;
- Service tiers;
- Downstream Speed, in Mbps;
- Monthly pricing, in dollars; and
- Other comments, description, features, or limitations.

Competitor Data - Middle Mile Service Providers

Service Provider	Service Areas Where Service Available	Technology Platform	Service Tiers	Distance Band or Point-to-Point	Minimum Peak Load Network Bandwidth Capacity	Pricing	Other Comments/Description/Features or Limitations

For competitor data of Middle Mile service providers, the Applicant must provide the following information:

- The name of the service provider;
- The service area where the service is available within the Applicant's proposed funded service area. The Applicant must be sure the service area names are consistent with those provided within the application and the Service Area upload. If the actual availability of the listed services is limited (*e.g.*, the service is only available within part of the Last Mile or Middle Mile Service Area), note this in the "Other Comments" column;
- Technology platform;
- Service tiers;
- Distance band or point to point;
- Minimum peak load network bandwidth capacity;
- Pricing, in dollars; and
- Other comments, description, features or limitations.

18.2 Network Diagram

This is a REQUIRED upload for all Applicants.

The Applicant must provide network diagrams for the project including all of the network elements and the capacity, facilities, and mileage between each element. The diagram must clearly denote which of the network elements already exist. See examples below. The diagrams must also explicitly show:

- The links between the network nodes. The types of facilities used in connecting all the network elements (fiber, copper, microwave, etc.).
- Internet peering points, access to local exchange carriers and central offices and cable headends.
- 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), Last Mile service providers, and the selected Internet Service Provider(s) and any other value-added services that may be provided in the new infrastructure.
- The points of interconnection and collocation facilities.
- For Wireless Systems, the antennae height, cell site radius, proposed frequencies, and approximate coverage area for each access point.

Note: Network Diagram

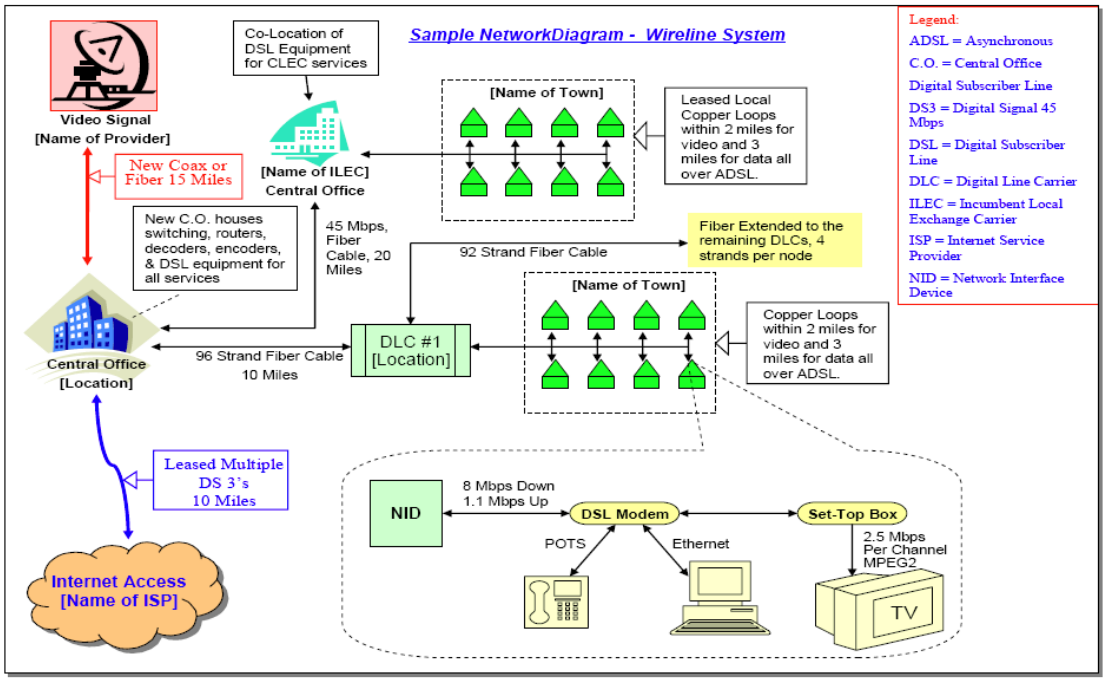
Keep the following in mind while developing the Network Diagram:

- Indicate points of interconnection for third party service providers and Internet peering points.
- Show miles of fiber between points (if applicable), use of existing ducts or poles/overlay versus new build, and in-ground versus aerial, and lateral versus backbone.
- Denote basic equipment types and capacity figures at key aggregation nodes and backbone interfaces.

The Applicant 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.

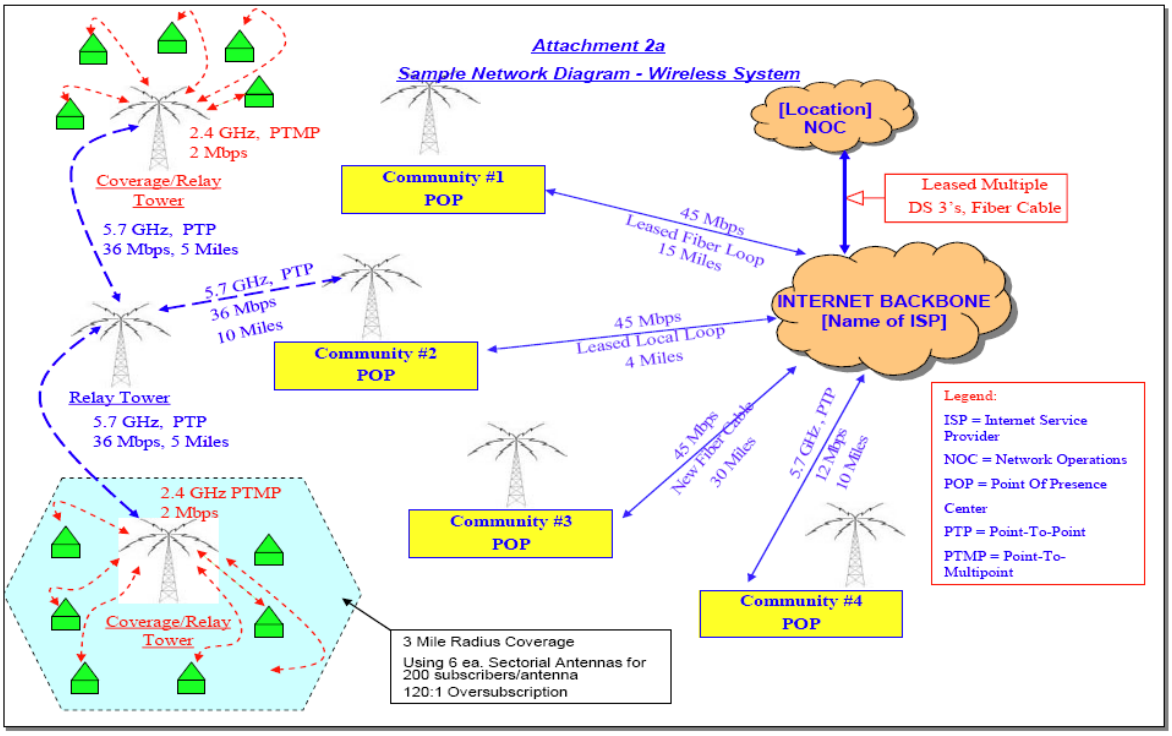
Wireline Example

Sample Network Diagrams - Wireline



Wireless Example

Sample Network Diagrams - Wireless



18.3 Build-Out Timeline

This upload is REQUIRED of all CCI Applicants. The Build-Out Timeline template requires the Applicant to provide a project plan and build-out timeline. The Applicant may modify the templates in order to provide the most effective presentation of the data for the project. If the Applicant does not use the provided template, the Applicant should be sure to provide at least as much detail as the provided templates require. For systems stability reasons, NTIA recommends that the Applicant provide this upload in PDF format.

Project Plan: The following table should be used to list the major network build-out phases and milestones that demonstrate the entire project will be substantially complete by the end of Year 2 and fully complete by the end of Year 3 (though Applicants are encouraged to fully complete their projects within two years). A project is considered "substantially completed" when the grantee has met 67 percent of the project milestones and received 67 percent of its award funds. This is to be done at the aggregate level (combining all proposed funded service areas).

Time Period	Quarter	Milestones	Support for Reasonableness/Data Points
Year 0	-	• List all relevant milestones	•
Year 1	Qtr. 1	• List all relevant milestones	•
	Qtr. 2	• List all relevant milestones	•
	Qtr. 3	• List all relevant milestones	•
	Qtr. 4	• List all relevant milestones	•

- Year 0 should include all project activities performed to date, as well as those that will likely be performed prior to receipt of the first grant payment.
- For Year 0, the Applicant must list all relevant milestones; for years 1, 2, and 3, list relevant milestones per quarter. Project inception (Year 0) starts at the date when the Applicant receives notice that the project has been approved for funding.
- For each milestone, include how the Applicant will demonstrate completion objectives. The Applicant should consider such project areas as: a) network design; b) securing all relevant licenses and agreements; c) site preparation; d) inside plant deployment; e) outside plant deployment; f) deployment of business and operational support systems; g) network testing; and f) network operational. The Applicant may provide any other milestones that it believes showcase progress.
- Under Support for Reasonableness/Data Points, provide any information (*e.g.*, facts, analysis) to: a) demonstrate the reasonableness of these milestones; and b) substantiate the ability to reach the milestones by the quarters indicated.

Build-Out Timeline: The following schedule should be completed for each Last Mile or Middle Mile service area to note the degree of build-out based on: 1) infrastructure funds awarded; and 2) the number and percentage of entities passed, including households, businesses, and community anchor institutions. In addition, the Applicant should complete a schedule that aggregates the build-out timeline across all of the Proposed Funded Service Area.

Service Area	**[Fill Name]**												
		YEAR 1				**YEAR 2**				**YEAR 3**			
	YEAR 0	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4
Infrastructure Funds													
Infrastructure Funds Advanced (estimate)													
Percentage of Total Funds													
Entities Passed & %													
Households													
Percentage of Total Households													
Businesses													
Percentage of Total Businesses													
Community Anchor Institutions													
Percentage of Total Institutions													

18.4 List of Community Anchor Institutions and Points of Interest

This upload is REQUIRED of all CCI Applicants.

The Anchor Institution Details template includes two Excel worksheets requiring the Applicant to provide data on community anchor institutions that will be directly connected by the proposed network and points of interest for the Applicant's proposed network. The Applicant must download the Excel file, fill in all requested information, and upload the completed file to the application.

The data provided via this template will be subject to automated processing. The Applicant is therefore required to provide this upload as an Excel file, and not to convert it to a PDF prior to upload. Additionally, the Applicant should not modify the format of this file.

The Applicant must complete the Community Anchor Institutions worksheet provided but may add rows as necessary to accommodate all of the community anchor institutions that will be directly connected by the proposed project. The required information on each community anchor institution includes:

- Facility name – Indicate whether it is a current or proposed facility.
- Name of organization running the facility – if different form the facility name.
- Address of the facility – Provide the physical address of the facility including building and room locations and not the mailing address (*i.e.*, do not give P.O. Boxes) and indicate whether the locations are to be leased or constructed in the future.

- Facility type – Indicate whether the facility is a School (K–12), Library, Medical or Healthcare Provider, Public Safety Entity, Community College, Public Housing, Other Institution of Higher Education, Other Community Support Organization or Other Government Facility.
- Minority serving institution type – Indicate whether the facility will serve any of the following minority groups: Historically Black College or University, Tribal College or University, Alaska Native Serving Institution, Hispanic Serving Institution, or Native Hawaiian Serving Institution. A community anchor institution is considered a minority-serving institution if it is a post-secondary educational institution with enrollment of minority students exceeding 50 percent of its total enrollment.
- Project Role – Provide the role of project partners and community anchor institutions. This requires only a short explanation (*e.g.*, "in-kind match contributor," "participated in project planning," "will manage network"), a more detailed explanation should be provided in the essay portions of the application.

Facility Name	Organization	Address Line 1	City	State	Zip	Facility Type	Minority Serving Institution Type	Project Role

Table of Facility Types

School (k-12)
Library
Medical or Healthcare Provider
Public Safety Entity
Community College
Public Housing
Other Institution of Higher Education
Other Community Support Organization
Other Government Facility

Table of Minority Serving Institutions

N/A
Historically Black College or University
Tribal College or University
Alaska Native Serving Institution
Hispanic Serving Institution
Native Hawaiian Serving Institution

The Applicant must complete the Points of Interest worksheet provided but may add rows as necessary to accommodate all of the points of interconnection (passive, non-environmentally controlled points of interconnection, *e.g.*, splice points, may be excluded), collocation facilities, central offices, headends, and other centralized facilities, network access points to Last Mile service providers, Internet peering points, and towers. The required information on each Point of Interest includes:

- Facility Type – Indicate whether the facility is a point of interconnection, connection to service provider, collocation facility, central office, other centralized facility, tower (microwave link), tower (cell site), or non-tower cell site. Where more than one facility type applies, select the larger facility type. For example, if a central office houses a point of interconnection, select central office as the facility type, or if a cell site is located on a tower, select tower as the facility type. Include details on whether the point of interest already exists or would be created by the proposed project.
- Address of the Facility – Provide either a street address, or geocoordinates, or both; for the street address, include the building and room locations.

- Interconnection Available at this Location – This field should be Yes if interconnection to the proposed network is available at that location; otherwise, it should be No.
- Status in Proposed Network – Indicate whether the facility is new for proposed network, existing – Applicant/partner owned, existing – leased from third party, or existing – other.
- Party Facility is/will be Owned by – Detail who owns the facility.
- Brief Description – This field is optional, but it may be used to convey a better understanding of the facility.
- Additional Notes – The Applicant may use this space to provide additional notes, if desired.

Facility Type	Address Line 1	City	State	Zip	Longitude	Latitude	Interconnection Available at this Location	Status in Proposed Network	Party Facility is/will be Owned By	Brief Description

Additional Notes

Table of Facility Types
Point of Interconnection
Connection to Service Provider
Collocation Facility
Central Office
Other Centralized Facility
Tower (microwave link)
Tower (cell site)
Non-tower Cell Site

Table of Status Options
New for Proposed Network
Existing - Applicant/Partner Owned
Existing - Leased from Third Party
Existing - Other

18.5 Management Team Resumes and Organization Chart

This is a REQUIRED upload for all CCI Applicants.

The Applicant must provide the resumes of the senior management team and project team members, including support staff, significant to the project's success. This should include individuals from the Applicant organization as well as any subrecipients. These resumes should identify years of experience and relevant expertise with projects of similar size, scope, and complexity. The Applicant must also identify specific prior or current projects, dates, and outcomes that showcase the management team's track record as relevant to executing the project. In addition, the Applicant must provide an organizational chart that details the structure of its organization, including any parent, subsidiary, affiliate, or partner organizations and as it relates to the Applicant's organizational hierarchy.

18.6 Government and Key Partnerships

This is a REQUIRED upload for all CCI Applicants that are partnering with key institutions, organizations, or other entities, or that are receiving part of their matching contribution from a third party. This is an optional upload for all CCI Applicants that are not partnering with key institutions, organizations, or other entities.

The Applicant should submit documentation, such as letters of support or commitment, from each of the key partners in the project. The documentation should clearly describe the specific details of the partner's participation. For example, if the partner is providing part of the project's cost matching contribution, the documentation should state the exact amount of the cash contribution, or describe, in detail, the nature of the in-kind contribution. If the partner is an Indian tribe or a socially and economically disadvantaged small business, as discussed in section 5, the documentation should make note of this, and explain the basis for this claim.

Applicants that have asserted in their response to the Level of Need question that, though there may be existing service providers in the Proposed Funded Service Area community anchor institutions are unable to obtain needed broadband services at reasonable rates, should be sure to include letters from partners, supporting parties, or potential customers affirming these assertions. These letters should include as much detail as possible as to the nature of the services needed, the availability (or lack thereof) and pricing for those services in the market, and any past efforts to work with incumbent service providers to obtain these services.

18.7 Historical Financial Statements

This upload is REQUIRED of all CCI Applicants.

The Applicant must provide detailed organizational financial statements for the last two years: a) Income Statement; b) Balance Sheet; and c) Statement of Cash Flows. If the Applicant's organization was established less than two years ago, provide all available information. Note that this response requires financial data for the organization as a whole. A standard annual Income Statement, Balance Sheet, and Cash Flows based on GAAP are preferable. If the Applicant cannot readily produce this data in a standard format, it should explain why not, and provide comparable data, such as its most recent IRS Form 990 or annual audit, that provides as detailed a picture as possible of its financial history for a minimum of one year prior to submission of this application. If appropriate, the Applicant may include Notes on Financial Statements that explain costs and revenues by major categories, and may make note of any abnormal or one-time charges, large liabilities or asset transactions, legal actions, or other financial events the Applicant feels require explanation. If key partners are involved in delivering programmatic benefits (*e.g.*, operating a proposed broadband network), it is recommended that historical financial statements for the key partners be provided as well.

18.8 Budget Narrative

This upload is REQUIRED of all CCI Applicants.

The Budget Narrative template requires the Applicant to provide a detailed narrative account of the project budget. The Applicant will be required to provide a narrative breakout for each SF-424C cost category as demonstrated in the following example:

Example Budget Category - $724,134

- **$100,000** of this category is estimated for legal expenses for contract reviews based on the average legal cost of ($4) per mile for 25,000 miles.
- **$134** of this category is estimated for legal court filings.
- **$624,000** of this category is estimated for Project Engineering Staff, which consists of a project manager and two (2) network engineers.

Staff	Hours	Years	Rate	Total Cost
Project Manager	2080	3	$20/hr	$124,800
Project Engineer	2080	3	$30/hr	$187,200
Civil Engineer	2080	3	$50/hr	$312,000
TOTAL:				**$624,000**

The Applicant should be sure to tie back the category totals to the SF-424C Budget and Detailed Budget, and triple-check all three of these uploads for consistency before submitting the applications.

Few indirect costs are allowable for CCI projects. Bear in mind that operating expenses are not eligible costs for CCI. Indirect costs must clearly and directly tie to the capital costs of the project and appear as a line item in the budget. Reasonable indirect costs under BTOP are only allowable for contracts or full time employees (FTEs) associated with the construction, deployment, or installation of facilities or equipment used to provide broadband service. If any allowable indirect costs and/or fringe benefits are included in the budget, The Applicant should provide a copy of its existing Negotiated Indirect Cost Recovery Agreement (NICRA), if it is available. If the Applicant does not have a NICRA, then it must apply for one within 90 days of the date of the award. Failure to promptly apply within 90 days of the award may result in the denial of the use of indirect costs as eligible. Please clearly list the manner in which indirect costs are calculated in the budget.

The following information should be included in the budget narrative:

- Applicant Name
- Easygrants Number
- Organization Type
- Proposed Period of Performance
- Total Project Costs
- Total Federal Grant Request
- Total Matching Funds (Cash)
- Total Matching Funds (In-Kind)
- Total Matching Funds (Cash + In-Kind)
- Total Matching Funds (Cash + In-Kind) as Percentage of Total Project Costs

The Applicant should provide the following information under the respective headers:

Administrative and legal expenses - $xxx [Insert the total category cost]

- Provide a breakout of position(s), time commitment(s) such as hours or level-of-effort, and salary information/rates with a detailed explanation, and additional information as needed.
- The Applicant should describe the line-items in such a manner that someone who is unfamiliar with its application would understand how each line item was calculated. Provide as much detail as possible for each line item, and each line item should tie back to a budget category as labeled in Column G of the Detail of Project Cost, etc., throughout the remainder of the Budget Narrative. See below example.
  - Provide detailed description, calculation, and basis of evaluation for each cash matching funds source.
    - Cash Source 1…
    - Cash Source 2…
  - Provide detailed description, calculation, and basis of evaluation for each in-kind matching funds source.
    - In-Kind Source 1…
    - In-Kind Source 2….

Land, structure, rights-of-way, appraisals, etc. - $xxx [Insert the total category cost]

- Provide description of estimated costs, proposed activities, and additional information as needed.
- Provide detailed description, calculation, and basis of evaluation for each cash matching funds source.
- Provide detailed description, calculation, and basis of evaluation for each in-kind matching funds source.

Relocation expenses and payment - $xxx [Insert the total category cost]

- Provide explanation for the relocation, description of the person involved in the relocation, method used to calculate costs, and additional information as needed.
- Provide detailed description, calculation, and basis of evaluation for each cash matching funds source.
- Provide detailed description, calculation, and basis of evaluation for each in-kind matching funds source.

Architectural and engineering fees - $xxx [Insert the total category cost]

- Provide description of estimated fees, rates, explanation of proposed services, and additional information as needed.
- Provide detailed description, calculation, and basis of evaluation for each cash matching funds source.
- Provide detailed description, calculation, and basis of evaluation for each in-kind matching funds source.

Other architectural and engineering fees - $xxx [Insert the total category cost]

- Provide description of estimated fees, rates, explanation of proposed services, and additional information as needed.
- Provide detailed description, calculation, and basis of evaluation for each cash matching funds source.
- Provide detailed description, calculation, and basis of evaluation for each in-kind matching funds source.

Project inspection fees - $xxx [Insert the total category cost]

- Provide description of estimated fees, rates, explanation of proposed services, and additional information as needed.
- Provide detailed description, calculation, and basis of evaluation for each cash matching funds source.
- Provide detailed description, calculation, and basis of evaluation for each in-kind matching funds source.

Site work - $xxx [Insert the total category cost]

- Provide description of estimated fees, rates, explanation of proposed services, and additional information as needed.
- Provide detailed description, calculation, and basis of evaluation for each cash matching funds source.
- Provide detailed description, calculation, and basis of evaluation for each in-kind matching funds source.

Demolition and removal - $xxx [Insert the total category cost]

- Provide description of estimated fees, rates, explanation of proposed services, and additional information as needed.
- Provide detailed description, calculation, and basis of evaluation for each cash matching funds source.
- Provide detailed description, calculation, and basis of evaluation for each in-kind matching funds source.

Construction - $xxx [Insert the total category cost]

- Provide description of estimated fees, rates, explanation of proposed services, state whether the work is being completed by the Applicant or an outside contractor, and additional information as needed.
- Provide detailed description, calculation, and basis of evaluation for each cash matching funds source.
- Provide detailed description, calculation, and basis of evaluation for each in-kind matching funds source.

Equipment - $xxx [Insert the total category cost]

- Provide a list of equipment in the form of a table with description, number of units, unit cost, state whether it is being purchased or leased, and additional information as needed.
- Provide detailed description, calculation, and basis of evaluation for each cash matching funds source.
- Provide detailed description, calculation, and basis of evaluation for each in-kind matching funds source.

Miscellaneous - $xxx [Insert the total category cost]

- Provide additional information as needed.
- Provide detailed description, calculation, and basis of evaluation for each cash matching funds source.
- Provide detailed description, calculation, and basis of evaluation for each in-kind matching funds source.

Contingencies - $0

- Contingencies are unallowable costs under BTOP. Leave this row blank.

Project (program) income - $0

- The value for this line-item on the SF-424 C is $0. Please do not provide an estimated Project (program income) on the SF-424 C.

18.9 Detailed Project Budget

This upload is REQUIRED of all CCI Applicants.

The Detailed Budget template includes two Excel worksheets requiring all CCI Applicants to provide general budget information and detailed project costs. The Applicant must download the Excel file, fill in all required information, and upload the completed file to the application. The upload must be provided as an Excel file, and not converted to a PDF prior to upload. The Applicant should not alter the layout of the provided templates, except to insert additional line-items as needed.

All items in the budget are required to be allocated between Last Mile and Middle Mile components of the proposed network. For a project that will be exclusively Last Mile or exclusively Middle Mile, this is very simple—100 percent of the costs should be allocated to Last Mile or Middle Mile respectively.

For projects that include both Last Mile and Middle Mile components, this exercise is slightly more complicated. The outside plant and network equipment should be allocated between Last Mile and Middle Mile based on the definitions of Last Mile and Middle Mile in the NOFA and the discussion of Last Mile and Middle Mile in section 7 of this Guidance. NTIA recognizes that there are more potential technical platforms and network topologies for a broadband network than can be accurately accounted for by the definitions set forth in the NOFA—to the extent that the Applicant's proposed network cannot be cleanly these definitions, The Applicant should exercise discretion to develop an allocation that honors the intent evinced by these definitions and the discussion of Last Mile and Middle Mile in this Guidance to the greatest extent possible.

For all cost categories beyond outside plant and network equipment, the Applicant should explicitly divide costs where it makes sense. For example, the Applicant may employ different software or systems for billing or customer care for Last Mile customers (typically residential or individual) than they do for Middle Mile customers (typically businesses, community anchor institutions, or third party service providers)—these costs should be allocated as such. Similarly, once outside plant and network equipment have been divided between Last Mile and Middle Mile, it may be possible to determine how the engineering and network design costs will be allocated between these components. For costs that are truly shared across both components of the network (*e.g.*, pre-application expenses), the Applicant should develop some rational approach to allocate the costs. One potential means to do this would be to determine the ratio of Last Mile costs to Middle Mile costs for all those costs that are clearly allocable, then apply that ratio to those costs that are not easily allocable.

Applicants whose projects include both Last Mile and Middle Mile components should briefly note the approach they used to allocating project costs in the space provided at the bottom of the Detailed Project Costs worksheet.

NOTE: Tips for Completing the Budget Documentation
All budget amounts must exactly match or tie out across all budget documentation. For example, do not provide estimates or approximate amounts in the Budget Narrative that do not exactly match amounts the SF-424C, General Budget Overview, Detailed Project Costs, and all relevant sections in the application
All subtotals and totals (including line items) must be rounded to whole dollars without cents. Although unit costs may include cents, once multiplied by the number of units, the result must be rounded to the nearest whole dollar. Amounts ending in $.49 or less should be rounded down to the nearest whole dollar, while amounts ending in $.50 or more should be rounded up to the next whole dollar. (For example, a subtotal of $2.17 would be rounded down to $2.00, while a subtotal of $2.72 would be rounded up to $3.00.) It is acceptable if .00 appears at the end of an amount; that is auto-formatted in some versions of the form.
All project costs should be contained in the budget documentation. Subrecipient costs should be rolled up into the primary Applicant's budget documentation. Do not provide separate budgets or budget documentation for subrecipients.
All direct and indirect costs will be evaluated for allowability, allocability, and reasonableness according to the relevant cost principles. Only include costs that meet all of those criteria and note that additional detail or documentation may be requested.

General Budget Overview

- The final version of the General Budget Overview must tie to the exact dollar in all of the relevant budget forms. Confirm that the Federal Funding Request, Matching Funds (Cash), Matching Funds (In-Kind), and Total Project Budget tie to the exact dollar in all of the relevant sections of the application. In addition, verify that the roll-up budget line-items in the Detailed Project Costs exactly equal the budget summary categories on the General Budget Overview.
- Unless Applicants have requested a matching waiver, the combined cash and in-kind match must be at least 20 percent of the total project budget (not 20 percent of the federal funding request).
- Each budget category must exactly equal the roll up for the respective budget category on the Detail of Project Costs form.
- Verify that all formulas are correct by hitting F2 on subtotals to view its components.

Budget	Federal Funding Request	Matching Funds (Cash)	Matching Funds (In-Kind)	Budget TOTAL	Last Mile Allocation	Middle Mile Allocation	Allocated TOTAL
Network & Access Equipment (switching, routing, transport, access)				$0			$0
Outside Plant (cables, conduits, ducts, poles, towers, repeaters, etc.)				$0			$0
Buildings and Land – (new construction, improvements, renovations, lease)				$0			$0
Customer Premise Equipment (modems, set-top boxes, inside wiring, etc.)				$0			$0
Billing and Operational Support Systems (IT systems, software, etc.)				$0			$0
Operating Equipment (vehicles, office equipment, other)				$0			$0
Engineering/Professional Services (engineering design, project management, consulting, etc.)				$0			$0
Testing (network elements, IT system elements, user devices, test generators, lab furnishings, servers/computers, etc.)				$0			$0
Site Preparation				$0			$0
Other				$0			$0
TOTAL BROADBAND SYSTEM:	$0	$0	$0	$0	$0	$0	$0
Cost Share Percentage:	#DIV/0!	#DIV/0!	#DIV/0!				

Detailed Project Costs

The Applicant must complete the table below for different categories of equipment that will be required for completing the project. Each category should be broken down to the appropriate level for identifying unit costs. Use the following guidance to complete the table:

- Confirm that all line item subtotals and totals equal the amounts on the General Budget Overview and SF-424 C and tie to the exact dollar in all of the relevant sections of the application. For example, verify that the total of all of the line-items listed under Network & Access Equipment exactly tie to the Network & Access Equipment summary on the General Budget Overview.
- Confirm that the Matching Funds (Cash) and Matching Funds (In-Kind) are noted as such in Column C so it is easy to identify which estimates are associated with the matching funds.
- Break out a line item if it will be spread across multiple budget categories on the SF-424 C.
- Do not include text in formulas.
- Use no more than two (2) decimals in the Unit Cost and No. of Units cells to avoid rounding issues.
- Only use whole dollars in the Total Costs cells.
- Insert formulas to trace back to specific line item(s) in order to show how any allowable indirect costs were calculated. For example, show how allowable indirect costs are directly tied only to FTEs for the installation or construction of facilities and equipment used to provide broadband

service. Note that operating expenses are not allowable costs under BTOP and any matching funds provided must be in the form of eligible BTOP expenditures.

- In Column C, mark whether the budgeted line item is a cash or in-kind contribution. Use the formulas accordingly to show the basis of evaluation for each cash and in-kind contribution.
- In Column G, insert the corresponding SF-424C budget category (*e.g.*, 7. Site Work, 9. Construction). Ensure that each line item is easily traceable to the sum of the budget categories on the SF-424C. The SF-424C Cross-check Totals box at the bottom of the template will total up the line-items for each SF-424C category. The totals there should be consistent with the figures entered on the SF-424C.
- In Columns H and I, look at the checks to confirm that there are no line item discrepancies.
- Verify that the Total Project Budget includes all cash and in-kind matching.
- Verify that all formulas are correct and adjusted if additional line items have been deleted and/or added.
- Verify that all formulas are correct by hitting F2 on subtotals to view.
- Use the space provided to describe the approach used to allocate Last Mile and Middle Mile costs.

SERVICE AREA or COMMON NETWORK FACILITES:		Match (Cash/In-kind)	Unit Cost	No. of Units	Total Cost	Last Mile Allocation	Middle Mile Allocation	Allocated Total	SF-424C Budget Category	Support of Reasonableness
NETWORK & ACCESS EQUIPMENT					$0	$0	$0	$0		
Switching					$0			$0		
					$0			$0		
					$0			$0		
Routing					$0			$0		
					$0			$0		
					$0			$0		
Transport					$0			$0		
					$0			$0		
					$0			$0		
Access					$0			$0		
					$0			$0		
					$0			$0		
Other					$0			$0		
					$0			$0		
					$0			$0		
OUTSIDE PLANT					$0	$0	$0	$0		
Cables					$0			$0		
					$0			$0		
					$0			$0		
Conduits					$0			$0		
					$0			$0		
					$0			$0		
Ducts					$0			$0		
					$0			$0		
					$0			$0		
Poles					$0			$0		
					$0			$0		
					$0			$0		
Towers					$0			$0		
					$0			$0		
					$0			$0		
Repeaters					$0			$0		
					$0			$0		
					$0			$0		
Other					$0			$0		
					$0			$0		
					$0			$0		

COMMON		Match	Unit Cost	No. of	Total Cost	Last Mile	Middle Mile	Allocated Total	SF-424C Budget	Support of Reasonableness
BUILDINGS					$0	$0	$0	$0		
New Construction					$0			$0		
					$0			$0		
					$0			$0		
Pre-Fab Huts					$0			$0		
					$0			$0		
					$0			$0		
Improvements &					$0			$0		
					$0			$0		
					$0			$0		
Other					$0			$0		
					$0			$0		
					$0			$0		

CUSTOMER PREMISE EQUIPMENT					$0	$0	$0	$0		
Modems					$0			$0		
					$0			$0		
					$0			$0		
Set Top Boxes					$0			$0		
					$0			$0		
					$0			$0		
Inside Writing					$0			$0		
					$0			$0		
					$0			$0		
Other					$0			$0		
					$0			$0		
					$0			$0		

BILLING SUPPORT AND OPERATIONS SUPPORT SYSTEMS					$0	$0	$0	$0		
Billing Support					$0			$0		
					$0			$0		
					$0			$0		
Customer Care					$0			$0		
					$0			$0		
					$0			$0		
Other Support					$0			$0		
					$0			$0		
					$0			$0		
COMMON		Match	Unit Cost	No. of	Total Cost	Last Mile	Middle Mile	Allocated Total	SF-424C Budget	Support of Reasonableness
OPERATING EQUIPMENT					$0	$0	$0	$0		
Vehicles					$0			$0		
					$0			$0		
					$0			$0		
Office Equipment					$0			$0		
					$0			$0		
					$0			$0		
Other					$0			$0		
					$0			$0		
					$0			$0		
PROFESSIONAL SERVICES					$0	$0	$0	$0		
Engineering					$0			$0		
					$0			$0		
					$0			$0		
Project					$0			$0		
					$0			$0		
					$0			$0		
Consulting					$0			$0		
					$0			$0		
					$0			$0		
Other					$0			$0		
					$0			$0		
					$0			$0		

TESTING					$0	$0	$0	$0		
Network					$0			$0		
					$0			$0		
					$0			$0		
IT System					$0			$0		
					$0			$0		
					$0			$0		
User Devices					$0			$0		
					$0			$0		
					$0			$0		
Test Generators					$0			$0		
					$0			$0		
					$0			$0		
Lab					$0			$0		
					$0			$0		
					$0			$0		
Servers/Computer					$0			$0		
					$0			$0		
					$0			$0		
COMMON		Match	Unit Cost	No. of	Total Cost	Last Mile	Middle Mile	Allocated Total	SF-424C Budget	Support of Reasonableness
OTHER UPFRONT COSTS					$0	$0	$0	$0		
Site					$0			$0		
					$0			$0		
					$0			$0		
Other					$0			$0		
					$0			$0		
					$0			$0		
				PROJECT TOTAL:	$0	$0	$0	$0		

SF-424C Cross-check Totals	
1. Admin and Legal	$0
2. Land, structures	$0
3. Relocation expenses	$0
4. Architectural and engr.	$0
5. Other archit. and engr.	$0
6. Inspection fees	$0
7. Site work	$0
8. Demolition/removal	$0
9. Construction	$0
10. Equipment	$0
11. Misc.	$0

Matching Contribution Cross-check Totals	
Federal Funding Request	$0
Cash Match Contribution	$0
In-kind Match Contribution	$0

18.10 Pro Forma Forecast

This upload is REQUIRED of all CCI Applicants,

The Applicant must provide the following pro-forma financial statements (on an annual basis) for an eight-year forecast, as applicable: Income Statement, Balance Sheet, and Statement of Cash Flows. In addition, the Applicant is required to calculate the net present value (NPV) and internal rate of return (IRR) for the project and provide financial assumptions and a depreciation schedule. The statements should be prepared in accordance with GAAP. These statements help the Merit Reviewers and Program Officers understand the anticipated financial outcomes of the project with clarity and transparency. If the Applicant cannot readily produce these data in a standard format, it should explain why it cannot and provide comparable data.

Note: Pro Forma Forecast Guidance
Link subscriber estimates to the pro forma forecast. The revenue projections for broadband services should reflect the subscriber estimates provided in the Subscriber Estimates upload and the service pricing provided in the Service Offerings and Competitor Data upload.
The pro forma's should only reflect the "**project**," and not the Applicant's **organization**. Only the historical financial statements (uploaded separately) should reflect the entire organization.
Applicants should consult their accountant or financial advisor in preparing these financial statements. Any direction provided below is to ensure Applicants provides a comprehensive financial picture. The comments below do not constitute advice on how to record any particular financial transaction.

18.10.1 Income Statement

The income statement should reflect all revenues and expenses for the eight-year period following grant award. The Applicant should use the provided template to structure it revenue and expenses. The Applicant may add lines to reflect additional revenue and expense categories.

18.10.1.1 Revenues

The revenue picture should reflect all direct revenues to be generated by the project's suite of services. The Applicant should include all broadband data, video, and voice services, and any other sources of revenue (*e.g.*, universal service fund, installation, and other ancillary services). The Applicant should organize its revenues across different classes of services (*e.g.*, wholesale vs. retail).

Income Statement

	Forecast Period							
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8
Revenues								
Broadband Offerings								
Wholesale Data	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Retail Data	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Dark Fiber	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Collocation	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Other (list specific services)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Other Network Driven Revenues								
Video Services	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Voice Services (local/toll/long distance)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Other (list specific services)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Universal Service Fund	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Installation Revenues	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Other Revenues	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Total Revenues	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

Note: It is important that the reviewer is able to re-create the revenues, which should be derived specifically from the Service Offerings and Subscriber Estimates uploads and any other assumptions submitted in the attached assumptions worksheet.

Applicants should pay particular attention to the following:

Revenue Categories

Applicants may consider segmenting their revenue by either customer type and/or service type. The approach used by Applicants should enable the Merit Reviewer and Program Officer to evaluate the reasonableness of these projections. Choose an approach that enables the greatest clarity and provides a credible basis. The underlying analysis and Assumptions Guide should mention how the suite of services and targeted customer segments tie to the revenue forecast. Lean toward greater granularity.

Recording Grant Revenue

If Applicants choose to record BTOP grant funding as revenue, they should record it as a separate line item and label the funds as "Grant Revenue". This amount should be broken out from all other project revenues that are reflected on the Pro Forma Income Statement. Please ensure the Grant Revenue also appears on the Statement of Cash Flows. One approach may involve recording such grant revenue as Deferred Revenue. The end result should be that capital assets are increasing on the balance sheet and revenues or deferred revenues are also increasing on the Income Statement.

Revenue Assumptions

Applicants should review the discussion below on Assumptions to ensure they provide a comprehensive list of all assumptions used to derive the revenue forecast. These assumptions should encompass such factors as market size, take rates (as function of market share and adoption rate), average revenue per customer, growth rates, etc. Applicants should apply the assumptions to all targeted customer segments and should reflect the suite of services offered.

Recording "Direct" Revenues Generated from Multiple Parties

A business model for an infrastructure project may involve multiple entities selling middle mile and/or last mile services. This may include the lead Applicant, as well as other project partners. The financial need and long-term sustainability of a project can only be evaluated from having the income statement reflecting all "direct" revenues. Direct revenues encompass any transaction directly made between the Applicant and a customer and/or project partners. Some examples follow.

- **Example: Public/Private Partnership**

The Applicant is a non-profit agency. It develops a partnership with a for-profit network operator that obtains capacity on the Middle Mile network in exchange for making a financial match. The non-profit Applicant will be directly selling Middle Mile services to a number of anchor institutions. The network operator will directly sell services to last mile providers, businesses, and some anchor institutions. In this example, please include all revenues derived by both the non-profit Applicant AND the network operator. The project does not have to reflect the revenues generated by the last mile provider as those constitute indirect revenues. In fact, doing so would lead to double counting as those last-mile services are

supported by the services already reflected in the direct revenue transaction recorded between the network operator and last mile provider.

Alternatively, the Applicant may provide an Indefeasible Right of Use (IRU) to a match contributor. The Applicant should recognize the IRU as a form of revenue or deferred revenue. Applicants should ask their accountant for advice on how to report this transaction. Applicants should show the direct revenues on the financial statements.

- **Example: Government Agency**

The Applicant is a government agency. It retains capacity for a number of its agencies. It also sells capacity to a private telecom services company that will then resell services. The government agency should reflect the capacity it sells to its agencies as revenue based on the specific services and associated pricing (and discounts) noted in the application. Otherwise, some fair transaction price should be noted. Moreover, the income statement should reflect the revenues for the capacity sold to the private telecom company.

18.10.1.2 Expenses

The Applicant should provide in sufficient detail **all** applicable network and non-network expenses for Years 1–8 that are necessary to support the project. If the project includes additional categories, the Applicant should include those in the additional rows on the Income Statement template and explain all assumptions.

Figure 2: Expenses

Expenses								
Backhaul	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Network Maintenance/Monitoring	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Utilities	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Leasing	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Sales/Marketing	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Customer Care	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Billing	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Corporate G&A	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Other Operating Expense	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Total	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
EBITDA	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Depreciation	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Amortization	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Earnings Before Interest and Taxes	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Interest Expense	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Income Before Taxes	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Property Tax	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Income Taxes	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Net Income	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**

Applicants should pay particular attention to the following:

Depreciation Expense
Long-term assets purchased for the project should be depreciated over the useful life. Applicants should use a standard GAAP method to calculate depreciation expense. Along with the type of depreciation method used, Applicants should also provide the estimated useful life of the asset and any other information that would support NTIA's understanding of the depreciation schedule.

Amortization Expense
This line item should include any project specific loans or intangibles during the life of the project. Please provide all assumptions used in developing the amortization expense for any capital leases, for example.

Income Tax of Grant Revenue
Applicants should consult a tax advisor to determine if their entity would have to pay taxes on federal grant funds. If affirmative, please be sure to record these income taxes on the Income Statement.

Interest Expense
Applicants should include all interest expense specifically related to any debt incurred to support the project. Applicants should be sure to include interest expense for: 1) borrowing of new short and long-term debt to support financing of the project or 2) interest expense associated with a capital lease.

Expense Assumptions
Applicants should see the section below on preparing a detailed write-up regarding all assumptions used to derive the expense forecast.

18.10.2 Balance Sheet

The balance sheet should reflect all current assets, non-current assets, current liabilities, long-term liabilities and equity for the eight-year forecast period. The Assets section should equal the sum of all Liabilities and Owner's Equity.

Balance Sheet

	Forecast Period							
ssets	**Year 1**	**Year 2**	**Year 3**	**Year 4**	**Year 5**	**Year 6**	**Year 7**	**Year 8**
urrent Assets								
Cash	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Marketable Securities	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Accounts Receivable	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Notes Receivable	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Inventory	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Prepayments	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Other Current Assets	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Total Current Assets	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
on-Current Assets								
Long-Term Investments	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Amortizable Asset (Net of Amortization)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Plant in Service	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Less: Accumulated Depreciation	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Net Plant	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Other	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Total Non-Current Assets	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Total Assets	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

18.10.2.1 Assets

Tying Sections to Cash Flows & Income Statement

Applicants should reflect any yearly changes on the Balance Sheet to the corresponding changes on the Income Statement and Cash Flow Statement. Applicants are encouraged to consult their accountant to ensure all transactions are properly reflected on the relevant financial statements.

For example, the yearly increase in Plant in Service must equal that year's Capital Expenditures in the Statement of Cash Flows. Or, the yearly increase in Accumulated Depreciation should be shown as that year's Depreciation expense line item in the Income Statement.

Recording Matching Funds

For the following, NTIA strongly recommends Applicants ask their accountant for advice on how to report these transactions:

- **In Kind Matches (Based on Financial Instrument Such as Loan or Equity)**

In-kind matches could be tied to a debt instrument or granted in exchange for equity. The accounting entry would involve debiting the relevant asset account and crediting the type of obligation, *i.e.*, loan payable, stockholder equity. Applicants should ensure that the Statement of Cash Flows reflect that this is a non-cash transaction.

- **In Kind Matches (Based on No Obligation or Future Obligation)**

In-kind matches could be tied to a donation without any vested financial interest in the project. The accounting entry may involve debiting the relevant asset account and crediting revenue (or deferred revenue if donation is tied to future use of services or another relevant account). Applicants should ensure that the Statement of Cash Flows reflect that this is a non-cash transaction.

- **Cash Matches (Based on Financial Instrument Such as Loan or Equity)**

Cash-based match contributions can come in the form of debt and/or equity. The cash should be shown on the balance sheet's cash account. The accounting entry could involve debiting cash and crediting the type of obligation, *i.e.*, notes payable, loan payable, stockholder equity. Applicants should ensure that the transaction is recorded on the Statement of Cash Flows. Applicants should note that any cash generated internally or by a project partner (to purchase a capital asset in the future) should be recorded as a debit to the cash account and credit to the relevant equity account (*e.g.*, Additional Paid-in-Capital) on the balance sheet.

- **Cash Matches (Based on No Obligation or Future Obligation)**

Cash-based match contributions can also be a donation. Applicants should show cash on the balance sheet's cash account. The accounting entry could involve debiting cash and crediting revenue (or deferred revenue if the donation is tied to a future use of services).

18.10.2.2 Liabilities

Liabilities should capture all financial obligations of the project. All liabilities due within 12 months are current liabilities. All other liabilities should be shown in Long-Term Liabilities.

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8
iabilities								
Current Liabilities								
Accounts Payable	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Notes Payable	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Other Current Liabilities	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Total Current Liabilities	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Long-Term Liabilities								
Long Term Notes Payable	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Other Long Term Liabilities	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Total Long-Term Liabilities	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Total Liabilities	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

Debt Obligations

Applicants should provide the source and terms of the forecasted debt in the assumptions.

Deferred Revenue

Applicants should explain the source of all deferred revenue and all assumptions. Include the methodology used to systematically allocate the deferred revenue to revenue in the Income Statement.

18.10.2.3 Owner's Equity

For Years 1-8, include all appropriate line items for equity specific to this **project.**

Figure 6: Owner's Equity

	Forecast Period							
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8
wner's Equity								
Capital Stock	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Additional Paid-In Capital	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Retained Earnings	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Total Equity	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Total Liabilities and Owner's Equity	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

18.10.3 Statement of Cash Flows

The Statement of Cash Flows should reflect all project-based cash transactions. Again, please consult an accountant to ensure these projections are developed in accordance with GAAP.

18.10.3.1 Cash Flows from Operations

Cash flow from operations should be constructed using the Indirect Method in accordance with GAAP. The Indirect Method uses Net Income as the starting point. From there, add all expenses related to

depreciation and amortization, and then make all adjustments related to increases or decreased to current assets and liabilities. An increase in current assets or decrease in current liabilities implies a use of cash. Likewise, a decrease in current assets or increase in current liabilities implies a source of cash. The resulting amount is Cash from Operations.

Applicants should provide a sufficient level of detail to explain management's anticipation of operating cash flow that the project will generate for each of the eight forecasted years. Applicants should include detailed assumptions and calculation methods that it used to estimate each account line item in the Cash from Operations section.

Figure 7: Cash Flows from Operating Activities

Statement of Cash Flows

	Forecast Period				
	Year 1	Year 2	Year 3	Year 4	Year 5
Beginning Cash	$ -	$ -	$ -	$ -	$ -
CASH FLOWS FROM OPERATING ACTIVITIES:					
Net Income	-	-	-	-	-
Adjustments to Reconcile Net Income to Net Cash Provided by Operating Activities					
Add: Depreciation	-	-	-	-	-
Add: Amortization	-	-	-	-	-
Changes in Current Assets and Liabilities:					
Marketable Securities	-	-	-	-	-
Accounts Receivable	-	-	-	-	-
Inventory	-	-	-	-	-
Prepayments	-	-	-	-	-
Other Current Assets	-	-	-	-	-
Accounts Payable	-	-	-	-	-
Other Current Liabilities	-	-	-	-	-
Deffered Grant Revenue					
Net Cash Provided (Used) by Operations	$ -	$ -	$ -	$ -	$ -

Net Income

The Forecasted Net Income on the Income Statement should match the Net Income on the Statement of Cash Flows for each of the eight project years.

Depreciation

Applicants should depreciate capital assets of the project over their estimated usefulness. Depreciation Expense in Cash Flow from Operating Activities needs to match Depreciation in the Income Statement. Applicants should provide the method used to calculate depreciation expense in their assumptions worksheet.

Deferred Revenue

An increase in Deferred Revenues is a cash inflow. A reduction in Deferred Revenue is cash outflow. The corresponding increase or decrease in Deferred Revenue should match the change of the corresponding liability on the Balance Sheet for each year.

18.10.3.2 Cash Flows from Investment

Applicants should record all capital expenditures in this section, including all capital expenditures planned for the next eight years post-grant award.

Figure 9: Cash Flows from Investing Activities

	Forecast Period							
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8
Net Cash Provided by Financing Activities	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
CASH FLOWS FROM INVESTING ACTIVITIES:								
Capital Expenditures	-	-	-	-	-	-	-	-
Amortizable Asset (Net of Amortization)	-	-	-	-	-	-	-	-
Long-Term Investments	-	-	-	-	-	-	-	-
Net Cash Used by Investing Activities	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Net Increase (Decrease) in Cash	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Ending Cash	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

Capital Expenditures (Funded by Grant Funds or Cash Match)
This line item should include the full capital cost of the project. These expenditures represent the cash outflow to acquire fixed assets for this project (NOFA guidelines state that project costs must represent the capital cost of the project, thus qualify as fixed assets and capital expenditures).

Capital Expenditures (In-Kind Match)
Any in-kind capital contribution does not consume cash. However, for purposes of ensuring the Cash Flow Statement ties to the balance sheet, please reflect this non-cash transaction as a capital expenditure in the Investment section of the Cash Flow statement as a cash outflow. This non-cash transaction would offset any increase in cash driven by an increase in the Revenue account or Deferred Revenue accounts. Again, Applicants should consult their accountant to ensure in-kind matches are accurately reflected on the Statement of Cash Flows, Income Statement, and Balance Sheet.

18.10.3.3 Cash Flows From Financing

For Years 1-8, Applicants should provide all appropriate cash flows from financing activities specific to this project in Years 1, 2, and 3. This category could include cash inflows associated with debt and/or equity issuances as well as the cash outflows related to debt repayments, treasury stock purchases, and dividend payments.

Figure 8: Cash Flows from Financing Activities

	Forecast Period							
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8
CASH FLOWS FROM INVESTING ACTIVITIES:								
Capital Expenditures	-	-	-	-	-	-	-	-
Amortizable Asset (Net of Amortization)	-	-	-	-	-	-	-	-
Long-Term Investments	-	-	-	-	-	-	-	-
Net Cash Used by Investing Activities	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

18.10.4 NPV and Rate of Return Estimation

The free cash flows (FCF) of a project can provide a financial-based view regarding both the financial need and long-term sustainability. These cash flows can be discounted to provide a Net Present Value (NPV) of the project. These cash flows can also be used to calculate the Internal Rate of Return (IRR).

For purposes of valuation and rate of return assessment for the BTOP Project, please refer to the sum of the net cash flows entitled "Cash Flow from Operations" and paid out in the "Cash Flow from Investment" sections. (Note: This assumes an interest payment for servicing debt is subtracted. This free cash flow essentially amounts to "levered" cash flows—or cash flows available to equity investors.)

Yearly Free Cash Flows: Net Income + Depreciation/Amortization - Increase to Working Capital (or add if Decrease in Working Capital) - Capital Expenditures

The NPV is defined as the sum of the present values of the free cash flows for Years 1 through 8. The IRR is defined as the annual percentage return realized on an investment. Applicants should consult their accountant or financial advisor in estimating the NPV and IRR.

The NPV-IRR worksheet requires the completion of the following table for the NPV and IRR estimates. It requires these amounts both with and without BTOP funding. It also requires these amounts based on an estimate of the project's terminal value at Year 8. Specifically, terminal value refers to the value of a project at a future point in time, and assumes perpetual growth of the project. For purposes of evaluating financial need and investment sustainability, please multiply the free cash flows in Year 8 by the number "8" to calculate the terminal value.

Terminal Value: Free Cash Flows in Year 8 x "8"

In the Demonstration of Need question on the Project Budget page of the application, Applicants are asked to explain how the NPV analysis ties to the requested funds from BTOP. For example, if the financial match is for 20 percent, please explain why the valuation analysis requires a BTOP contribution for the remaining 80 percent.

Estimation of NPV – The NPV is to be calculated based on a 15 percent discount rate and apply a terminal value of "8" to the free cash flows in Year 8.

Estimation of IRR – Applicants should compute the IRR of the project and apply a terminal value of "8" to the free cash flows in Year 8.

	Net Present Value	Internal Rate of Return
Without BTOP Funding		
With BTOP Funding		

18.10.5 Key Assumptions

Applicants should provide a detailed schedule for all assumptions used to develop the pro forma forecasts in the Key Assumptions worksheet. The guidance below provides direction on the assumptions Applicants should consider identifying. The objective should be to list every assumption factor, the specific metric used, and the justification to substantiate the assumption is reasonable. Some of these assumptions may change depending upon the specific Year. In such cases, identify the assumption for each year. The rationale for the assumptions should be clear and credible. Applicants can enhance the credibility by citing metrics tied to such sources as historical data from existing operations, survey data from their market, industry data, or other sources that can substantiate that the assumptions are reasonable.

Applicants should upload an attachment that clearly lists all the assumptions and the justifications in a format of their choosing.

18.10.5.1 Revenue & Subscriber Forecast

Factor	Suggestions

Potential Customers Passed	• Include all segments of potential customers, including:
	  ○ Anchor Institutions (all segments including K-12, colleges, hospitals and health care centers, public safety entities, libraries, etc.)
	  ○ Businesses
	  ○ Households
	  ○ Last Mile Providers
	  ○ Etc.
	• Provide methodology used to estimate number of potential customers passed for each segment.

Subscriber Take Rate for Each Customer Segment	• Provide rationale regarding the take rate – or the percentage of potential customer passed that actually become customers each year. • This number may likely vary across the eight years of the forecast period. • Tie growth in take rate to awareness, productivity of sales force, and other outreach efforts. • Discuss such factors as market share and adoption rates and explain basis for making a reasonable assumption. • Identify churn rates and basis for calculation. • Clearly delineate between existing customers and new customers each year.

Customers Directly Connected by Network	• Justify how many customers will be directly connected by network (either via BTOP funds or through other project partners).
Average Revenue per User (ARPU)	• Provide methodology to calculate ARPU for each customer segment. • Tie estimate to the suite of services offered and associated pricing.

18.10.5.2 Expenses

Factor	Suggestions
Backhaul Expenses	• Provide method used to estimate backhaul expenses (if relevant).
Other Network Expenses	• Provide basis for estimating all other network expenses, including maintenance, utilities, rental or leasing of capital assets, etc.
Capital Lease	• Provide all assumptions regarding justification for capitalizing any lease. A lease must meet one of four criteria to be classified as a purchase by the lessee. Please consult an accountant.
Depreciation	• Provide methodology, estimated life, and residual value so analysts can evaluate depreciation schedule.
Marketing Expenses	• Provide clear rationale for estimating marketing and sales expenses. • Any gross percentages based on revenue should be supported by historical indicators or industry benchmarks.
Customer Care Support & Billing	• State method use to determine all customer care and billing expenses. • Identify all system requirements and required back-office staff.
General and Administrative Costs (G&A)	• Identify all G&A costs. • These include costs that cannot be attributed to a specific business activity. These can include salaries that cannot be capitalized, professional services, insurance, office supplies, utilities not related to capital assets, travel, etc. • Any gross percentages based on revenue should be supported by historical indicators or industry benchmarks.
Interest Expense	• Provide schedule that shows all debt instruments and associated interest rates.
Taxes	• Provide justification for all income tax rates. • Identify any other taxes for the project. • Explain whether there will be a federal tax on the grant award.

18.11 Subscriber Estimates

This upload is REQUIRED of all CCI Applicants . The Subscriber Estimates template includes an Excel worksheet requiring Applicants to provide subscriber estimates.

In contrast to several other upload templates in this application, the data provided via this template will NOT be subject to an automated processing. These template worksheets are provided to demonstrate the level of data required and to provide a suggested format. Applicants are free to modify the template layouts in order to provide the most effective presentation of the data for their specific project. Applicants should, however, ensure that they provide at least as much detail as these templates require. To the extent that Applicants modify these templates, they should ensure that the print layouts are adjusted so that rows do not break across pages in a manner that will be difficult to understand. A PDF of this file will be automatically generated upon upload to Easygrants, and the print settings will be used to format the PDF file.

Name of Service Offering	Customer Type	Year 0	Cumulative/ Net Add	Year 1				Year 2			
				Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
			Cumulative								
			Net Add								
			Cumulative								
			Net Add								
			Cumulative								
			Net Add								
			Cumulative								
			Net Add								
			Cumulative								
			Net Add								
			Cumulative								
			Net Add								
Cumulative Totals (excluding Indirect)	Residential/Individual		Total								
	Business		Total								
	Community Anchor Inst.		Total								
	Third Party Service Provider		Total								
Cumulative Totals (including Indirect)	Residential/Individual		Total								
	Business		Total								
	Community Anchor Inst.		Total								

*This snapshot shows only Year 0, 1 and 2. Applicants must complete Years 0 – 8.

Applicants should indicate their 8-year subscriber forecasts with a breakdown by type of subscriber (households, businesses, community anchor institutions, and third party providers) and service offerings. The names of the service offerings should match those provided in the Service Offering and Competitor Data upload, enabling reviewers to easily cross-reference between the two documents. Applicant should use the Year 0 column to denote any existing customers within the Proposed Funded Service Area. In addition, Applicants that project that they will have third party service provider customers should include a line for parties "Served by Third Party Service Providers," showing an estimate of how many residential/individual, community anchor institution, and business customers will be served by those service providers, as demonstrated in the example below. At the bottom of the table, Applicants should provide customer totals across all service offerings, with and without customers indirectly served through a third party service provider (if applicable). Applicants should also include a brief discussion of their methodology. A partial example is provided below:

Name of Service Offering	Customer Type	Year 0	Cumulative/ Net Add	Year 1				Year 2			
				Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
Mega-Metro E - 100 Mbps	Community Anchor Inst.	0	Cumulative	0	0	0	0	5	10	17	26
			Net Add	0	0	0	0	5	5	7	9
	Business	0	Cumulative	0	0	0	0	12	27	52	82
			Net Add	0	0	0	0	12	15	25	30
	Third Party Service Provider	0	Cumulative	0	0	0	0	1	2	4	6
			Net Add	0	0	0	0	1	1	2	2
Served by Third Party Service Providers	Indirect - Res./Ind.	0	Cumulative	0	0	0	0	1000	3000	5000	10000
			Net Add	0	0	0	0	1000	2000	2000	5000
	Indirect - Business	0	Cumulative	0	0	0	0	2	8	18	30
			Net Add	0	0	0	0	2	6	10	12
	Indirect - Com. Anchor Inst.	0	Cumulative	0	0	0	0	0	2	3	5
			Net Add	0	0	0	0	0	2	1	2

18.12 Dashboard Metrics

This upload is REQUIRED of all CCI Applicants. The Dashboard Metrics template requires Applicants to provide information on key dashboard metrics. Applicants must download this template, fill in all required information and upload the completed file to the application.

The Key Metrics Dashboard pulls together many points of data from throughout the application (as well as a few datapoints not collected elsewhere) to present a concise snapshot of key aspects of the project. The Dashboard functions as a reference for Merit Reviewers and BTOP Program Officers as they attempt to understand the various components of complex project proposals. Please ensure that the data provided here are consistent with data provided in other parts of the application. Line-by-line guidance for completing the Dashboard is provided below.

Applicant Profile	
Applicant Name	
Title	
Easygrants ID	
Headquarters	
Size (2009 Data) of Applicant Entity	• Current Year Revenues: • Employees:
Technology Type	
Key Partners	

Project Economics				
Budget Information			**Project Financials**	
Project Budget			Project Revenues (Yr 8)	
Federal Contribution (%)			Net Income and Margin (Yr 8)	
Cash Match Amount (%)			EBITDA and Margin (Yr 8)	
In Kind Match Amount (%)			Rate of Return (w/o BTOP Funds)	
Middle Mile/Last Mile Budget Allocation			Rate of Return (w/ BTOP Funds)	
Middle Mile Percentage (%)			**Cost Efficiency**	
Last Mile Percentage (%)			Cost per Mile (MM)	
Rural Last Mile Percentage			Cost per Household (LM)	

For Applicant Profile section, provide:

Applicant Name – Enter the Applicant name.

Title – Enter the project title.

Easygrants ID – Enter the project's Easygrants ID number.

Headquarters – Provide city and state of the project's headquarters.

Size of Applicant Entity – Provide 2009 revenues and number of employees.

Technology Type – State the predominant platform used for the network (*e.g.*, for Middle Mile–buried fiber, aerial fiber, microwave, satellite, undersea cable; for Last Mile–fiber, copper, coax, WiMax, LTE). If the project contains both Last Mile and Middle Mile components, provide the predominant platform for each (*e.g.*, "Buried fiber (MM), WiMax (LM)"). If no technology platform predominates in the network, Applicants may list more than one.

Key Partners – List key partners in the project. Limit the list to no more than eight partners.

For Project Economics section, provide:

Project Budget – Provide total project cost (federal grant request + matching contribution).

Federal Contribution – Provide the federal grant request as a percentage of the total project budget.

Cash Match Amount – Provide the cash match amount as a percentage of the total project budget.

In-kind Match Amount – Provide the in-kind match amount as a percentage of the total project budget.

Middle Mile Percentage – Provide the percentage of the total project budget allocated to Middle Mile in the Detailed Budget upload.

Last Mile Percentage – Provide the percentage of the total project budget allocated to Last Mile (including both rural and non-rural) in the Detailed Budget upload.

Rural Last Mile Percentage – If the project includes one or more rural Last Mile Service Areas (see section 6 above for discussion of rural service areas), provide the percentage of the total project budget allocated to these rural Last Mile Service Areas.

Project Revenues (Yr 8) – Provide the Total Revenues for Year 8 from the Income Statement worksheet of the Pro Forma Financial Projections upload.

Net Income and Margin (Yr 8) – Provide the Net Income for Year 8 from the Income Statement worksheet of the Pro Forma Financial Projections upload, along with the Net Income Margin (Net Income/Total Revenues) in parenthesis, *e.g.*, "$1,700,000 (10%)."

EBITDA and Margin (Yr 8) – Provide the earnings before interest, taxes, depreciation, and amortization (EBITDA) for Year 8 from the Income Statement worksheet of the Pro Forma Financial Projections upload, along with the EBITDA Margin (EBITDA/Total Revenues) in parenthesis, *e.g.*, "$1,700,000 (10%)."

Rate of Return (w/o BTOP Funds) – Provide the Internal Rate of Return without BTOP funds from the NPV-IRR worksheet in the Pro Forma Forecast upload.

Rate of Return (w/BTOP Funds) – Provide the Internal Rate of Return with BTOP funds from the NPV-IRR worksheet in the Pro Forma Forecast upload.

Cost per Mile (MM) – Divide the outside plant cost attributed to Middle Mile (less any in-kind contributions or network leasing costs included in that amount) by the miles of **new build** backbone and lateral middle mile network.

Cost per Household (LM) – Divide the outside plant cost attributed to Last Mile (less any in-kind contributions or network leasing costs) by the number of **new** households in which broadband service will be made available by the project.

Market Territory	
Geographic Area(s)	
Middle Mile Network Composition	
Total Proposed Network Miles (MM only)	• Total Miles: • Backbone Miles: • Lateral Miles:
New Construction Network Miles (MM only)	• Total Miles: • Backbone Miles: • Lateral Miles:
Existing Applicant Network Miles Utilized (MM only)	• Total Miles: • Backbone Miles: • Lateral Miles:
Leased Network Miles Utilized (MM only)	• Total Miles: • Backbone Miles: • Lateral Miles:
Underserved/Unserved	• Percentage of Backbone Miles in Underserved/Unserved Areas: • Percentage of Lateral Miles in Underserved/Unserved Areas:
Existing Customer Base	
Existing Residential/Individual Customers within PFSA	
Existing Business Customers within PFSA	
Existing Community Anchor Institution Customers within PFSA	
Existing Third Party Service Provider Customers within PFSA	
Potential Customer Base	
Market Potential Households (within PFSA)	• Total HH's: • Located in Underserved/Unserved Areas:
Market Potential Businesses (within PFSA)	• Total Businesses: • Located in Underserved/Unserved Areas:
Market Potential Community Anchor Institutions (within PFSA)	• Total CAI's: • Located in Underserved/Unserved Areas:
Market Potential Third Party Service Providers (within PFSA)	• Total Third Party Service Providers in PFSA: • Expressing Commitment or Letter of Interest:
Funded Network Coverage	
Households Connected to Network (via BTOP Funds by end of Year 3)	• Total Households Connected: • Located in Underserved/Unserved Areas:

Businesses Connected to Network (via BTOP Funds by end of Year 3)	• Total Businesses Connected: • Located in Underserved/Unserved Areas:
Community Anchor Institutions Directly Connected (via BTOP Funds by end of Year 3)	• Total Directly Connected CAI's: • Located in Underserved/Unserved Areas:
Projected Subscribers by Year Five	**Directly Served by Applicant** • Community Anchor Institutions: • Households: • Businesses: • Third Party Service Providers: **Served by Proposed Network Via Third Party Service Provider** • Community Anchor Institutions: • Households: • Businesses:

For Market Territory section, provide the following information:

Geographic Area(s) – Provide a one- or two-sentence description of the Proposed Funded Service Area (PFSA).

Total Proposed Network Miles (MM only) – Provide the total mileage for the Middle Mile components of the proposed network (including new construction, existing network, and leased network spans). Applicants should also break the total into backbone and lateral. Network spans connecting central offices or other centralized facilities to one another and to an Internet exchange or peering point should be considered backbone. Spans directly connecting a central office or centralized facility to community anchor institution, business, or third party service party customers should be considered laterals. Applicants may use their discretion to classify any Middle Mile network spans not falling under those descriptions (all Middle Mile network mileage should be accounted for as either backbone or lateral). If the project does not include a Middle Mile component, Applicants should respond to this question as "N/A."

New Construction Network Miles (MM only) – Following the general instructions provided for Total Proposed Network Miles above, Applicants should provide mileage for only those portions of the network that would be constructed for the proposed project. If the project does not include a Middle Mile component, Applicants should respond to this question as "N/A."

Existing Applicant Network Miles (MM only) – Following the general instructions provided for Total Proposed Network Miles above, Applicants should provide mileage for only those portions of the network that already exist and have been included as an in-kind matching contribution (Applicant network assets that are not directly utilized as part of the project should not be included). If the project does not include a Middle Mile component, Applicants should respond to this question as "N/A".

Leased Network Miles (MM only) – Following the general instructions provided for Total Proposed Network Miles above, Applicants should provide mileage for only those portions of the network that would be leased for the proposed project. This category may also include network spans that are to be utilized as part of an exchange, even if the arrangement is not technically a lease (*i.e.*, a third party providing free access to part of its network for the project in exchange for free access to part of the proposed network). If the project does not include a Middle Mile component, Applicants should respond to this question as "N/A."

Note on the Middle Mile Network Composition section: the mileage provided in the New Construction, Existing Applicant, and Leased Network Miles questions should sum to the total to the mileage provided in the Total Proposed Network Miles question. If any spans of the network do not fit into these categories, Applicants should add a brief explanatory note in the Total Proposed Network Miles response space.

Existing Residential/Individual Customers within PFSA – Provide the number of residential or individual customers Applicants currently have within the Proposed Funded Service Area. If Applicants will not operate the proposed network, provide the existing customers that the entity that will operate the network has within the Proposed Funded Service Area (*e.g.*, "2500 (Service Provider X)").

Existing Business Customers within PFSA – Provide the number of business customers the Applicants currently have within the Proposed Funded Service Area. If Applicants will not operate the proposed network, provide the existing customers that the entity that will operate the network has within the Proposed Funded Service Area (*e.g.*, "2500 (Service Provider X)").

Existing Community Anchor Institution Customers within PFSA – Provide the number of community anchor institution customers Applicants currently have within the Proposed Funded Service Area, as well as the number of community colleges and public safety entities that are current customers. These counts should be based on the number of facilities connected (*e.g.,* if Applicant has a service contract with a school district to provide service to three separate schools, that should count as three anchor institutions rather than one). If Applicants will not operate the proposed network, provide the existing customers that the entity that will operate the network has within the Proposed Funded Service Area (*e.g.*, "2500 (Service Provider X)").

Existing Third Party Service Provider Customers within PFSA – Provide the number residential or individual customers Applicants currently have within the Proposed Funded Service Area. If Applicants will not operate the proposed network, provide the existing customers that the entity that will operate the network has within the Proposed Funded Service Area (*e.g.*, "2500 (Service Provider X)").

Market Potential Households (within PFSA) – Provide the total number of households within the Proposed Funded Service Area, as well as the percentage of those households that are located within Last Mile or Middle Mile Service Areas designated as Unserved or Underserved.

Market Potential Businesses (within PFSA) – Provide the total number of businesses within the Proposed Funded Service Area, as well as the percentage of those businesses that are located within Last Mile or Middle Mile Service Areas designated as Unserved or Underserved.

Market Potential Community Anchor Institutions (within PFSA) – Provide the total number of community anchor institutions within the Proposed Funded Service Area, as well as the percentage of those community anchor institutions that are located within Last Mile or Middle Mile Service Areas that are designated as Unserved or Underserved and the number of community colleges and public safety entities in the Proposed Funded Service Area (regardless of whether they are in served, unserved, or underserved areas). These counts should be based on the number of facilities that could potentially be connected (*e.g.*, count each school in a school district separately).

Market Potential Third Party Service Providers (within PFSA) – Provide the total number of third party service providers within the Proposed Funded Service Area. Also provide the number of third party service providers that have expressed interest in utilizing the proposed network to provide service within the Proposed Funded Service Area. If any of the service providers expressing interest are not currently providing service within the Proposed Funded Service Area, please denote that (*e.g.*, "3 (2 new to PFSA)").

Households Connected to Network (via BTOP Funds by end of Year 3) – Provide the number of households that will have access to broadband service via the proposed network (as opposed to those that would gain access through a third party service provider utilizing the proposed network) at the end of three years. This figure should cover construction that is included within the network design and construction budget provided with this application. Also, provide the percentage of those households that are located in Last Mile Service Areas that are designated as Unserved or Underserved.

Businesses Connected to Network (via BTOP Funds by end of Year 3) – Provide the number of businesses that will have access to broadband service via the proposed network (as opposed to those that would gain access through a third party service provider utilizing the proposed network) at the end of three years. This figure should cover construction that is included within the network design and construction budget provided with this application. Also provide the percentage of those businesses that are located in Last Mile Service Areas that are designated as Unserved or Underserved.

Community Anchor Institutions Connected to Network (via BTOP Funds by end of Year 3) – Provide the number of community anchor institutions that will have access to broadband service via the proposed network (as opposed to those that would gain access through a third party service provider utilizing the proposed network) at the end of three years. This figure should cover construction that is included within the network design and construction budget provided with this application. Also provide the percentage of those community anchor institutions that are located in Last Mile Service Areas that are designated as Unserved or Underserved, as well as the number of community colleges and public safety entities to be connected. These counts should be based on the number of facilities connected (*e.g.*, if Applicant will connect three schools within a school district, that should count as three anchor institutions rather than one).

Projected Subscribers by Year Five – Provide the Year 5 subscriber estimates for households, businesses, community anchor institutions, and third party service providers served directly by the proposed network as well as the estimates for households, businesses, and community

anchor institutions served by a third party service provider utilizing the proposed network. These figures should be consistent with those provided in the Subscriber Estimates upload.

Other	
Proposed MM Network Capacity	• Backbone: • Laterals:
Proposed LM Network Speed	• Highest offered speed tier: • Estimated Average speed for highest speed tier:
Total Points of Interconnection	• Total PoI's: • PoI's in Underserved/Unserved Areas: • Environmentally-controlled, non-passive PoIs:
Jobs Created	• **Direct Jobs:** • **Indirect Jobs:** • **Induced Jobs:**
Required Time for Project Completion (Number of Required Quarters to Fully Build-out and Test Network and Make Ready for Commercial Service)	

For Other section, provide the following:

Proposed MM Network Capacity – Provide the planned total capacity of the middle mile components of the proposed network (across all customers and users) at the end of the funding period, both for the network backbone and laterals. If the capacity varies among different spans in the backbone, provide an approximate average capacity. If dark fiber will be offered on the network, Applicants should not count it towards network capacity, but should note how many strands will be available. For laterals, the capacity figure should represent the max capacity of an average lateral span based on installed hardware. If the project does not include a middle mile component, please respond as "N/A."

Proposed LM Network Speed – Provide the downlink speed for the highest offered last mile service tier (as listed in the Service Offerings and Competitor Data upload) as well the estimated average downlink speed for that tier (also as provided in the Service Offerings and Competitor Data upload). If the project does not include a last mile component, please respond as "N/A."

Total Points of Interconnection – Provide the total number of points of interconnection (including passive, non-environmentally controlled points of interconnection, *e.g.*, splice points), the percentage of those points of interconnection located in Last Mile or Middle Mile Service Areas, as well as the number of points of interconnection that are environmentally controlled and non-passive.

Jobs Created – Provide the number of jobs created by the project, as stated on the Project Benefits page of the application.

Required Time for Project Completion – Provide the number of quarters required to fully build out and test the network and make it ready for commercial service, as stated in the Buildout Timeline upload.

18.13 Service Area Data

This upload is REQUIRED of all CCI Applicants.

The Service Area template includes an Excel worksheet requiring Applicants to provide data on the proposed service area for the proposed project. Applicants must download the Excel file, fill in all requested information, and upload the completed file to the application.

Applicants must complete the CCI Service Area worksheet provided, but may add rows as necessary. Every Last Mile and Middle Mile Service Area must be composed of one or more contiguous Census tracts and/or block groups. See section 9 above for additional guidance on defining Last Mile and Middle Mile Service Areas. In each line, provide the name of a service area and one of the contiguous Census tracts or block groups that make up that service area. Please provide full 11-digit Census tract numbers, include the 2-digit State FIPS code, the 3-digit county code, followed by a unique 6-digit tract number. For Census block groups, please provide the full tract number, plus the 1-digit block group number (12 digits total). If there is more than one Census tract or block group in a service area, there will be multiple lines in the table for that service area. See below for an example:

EXAMPLE

Service Area Name	Tract or Block Group #
Big BB Project South	01001020100
Big BB Project South	01001020100
Big BB Project South	010010202001
Big BB Project West	01001020400
Big BB Project North	01001020800
Big BB Project North	010010209002

It is critical that the service area names provided in this table match with the service area names provided in the Service Area Details page of the application (see section 10 above). Review this document and Service Area Details page for consistency before submitting the application.

IMPORTANT NOTE: Excel truncates leading zeros from numbers. Consequently, the tract/block group column on the worksheet has been formatted as text. **This formatting should not be altered, or the validity of data may be compromised.**

The data provided via this template will be subject to automated processing. Applicants are therefore required to provide this upload as an Excel file, and not to convert it to a PDF prior to upload. Additionally, Applicants should not modify the format of this file (*e.g.*, by adding or removing worksheets). Applicants may use as many rows as is necessary to input all of their service areas. Do not leave blank lines in the table between service areas.

18.14 Waivers

The Waivers upload is a Word document required for all Applicants that request a waiver from any of the following: 1) 20 percent non-federal cost matching pursuant to NOFA section V.C.1; 2) Last Mile coverage pursuant to NOFA section V.D.3.c.i; 3) restrictions on the sale or lease of assets pursuant to NOFA section IX.C.2.a; 4) Buy American provisions pursuant to NOFA section X.Q; or 5) any general provision pursuant to NOFA section X.N. A waiver template must be completed and uploaded per each waiver request (if there are multiple requests, merge them into a single file before uploading). Applicants must indicate the type of waiver requested. See section 1.12 above for additional information on waiver requests.

18.15 Network Maps

This is a REQUIRED upload for all CCI Applicants

Applicants should provide a physical network map that includes the following (if applicable):

- The Proposed Funded Service Area (should show and label all Last Mile and Middle Mile service areas and illustrate which are unserved/underserved/served).
- Applicant's pre-existing service area that demonstrates current service levels.
- The physical path of the network's transmission medium (*e.g.*, backbone and lateral cable routes, microwave links), transmission type, technology, operating bandwidth, capacity (*e.g.,* dark vs. lit strand count), and cable placement (*e.g.*, aerial, burial) should be displayed.
- Points of interconnection (purely passive and non-environmentally controlled nodes, *e.g.*, splice points are NOT required):
  - Central Offices and associated coverage areas
  - Headends and associated coverage areas
  - Collocation Facilities
  - Internet Exchange Points/Network Access Points
  - Carrier Hotels
  - Private Interconnection Points with partnering service provider/private network
  - Remote Terminals (*e.g.*, Remote DSLAMs, Smart Cabinets, Controlled Environmental Vaults, Regeneration Huts)
- Wireless towers and associated coverage areas.
- Anchor institutions to be directly connected as part of the proposed project.

Additionally, the maps should delineate between network and facilities that are:

1. Part of the Applicant's/key partners' existing network;
2. Proposed as part of this project;
3. Leased from a third party;
4. Utilized under some alterative arrangement; or
5. Relevant to interconnection with either Last Mile or Middle Mile service providers.
6. Applicants may also include additional details they deem relevant, and may include more than one map.

PLEASE NOTE: Geospatial Information System formatted source files (*e.g.*, ESRI Shapefiles, Google Earth KMLs) used to develop these maps may be requested during the due diligence process.

18.16 BTOP Certifications

This upload is REQUIRED of all CCI Applicants. The BTOP certification must be completed by the duly authorized organization representative (AOR). The AOR should read the certification carefully to ensure that he or she understands it and agrees to it before signing.

18.17 SF-424C and SF-424D

This upload is REQUIRED for all CCI Applicants.

Applicants are required to submit a complete budget in the form of OMB Standard Form 424C – Budget Information for Construction Programs, as well as the SF-424D – Assurances Construction Programs. Instructions for the OMB forms are available at http://www07.grants.gov/agencies/forms_instruction_information.jsp. Note the special guidance below for completing the SF-424C for BTOP applications.

- In Column (a), enter the total project cost for each line item.
- In Column (b), if this is an application for a "New" project, enter that portion of the cost of each item in Column (a) that is not allowable for federal assistance. Contact the federal agency for assistance in determining the allowability of specific costs. If this application entails a change to an existing award, enter the adjustment [+ or -] to the previously approved costs (from column (a)) reflected in this application.
- In Column (c), total Allowable Costs (Column (a) – (b)).
- Review the instructions at the bottom of the SF-424C for further clarification on the budget categories.
    - **Line 1**. Administrative and Legal: Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government. Allowable legal costs are generally only those associated with the purchases of land, which is allowable for federal participation, and certain services in support of construction of the project.

- **Line 2**. Land, structure, rights-of-way, appraisals, etc.: Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).
- **Line 3**. Relocation expenses and payments: Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.
- **Line 4**. Architectural and engineering fees: Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).
- **Line 5**. Other architectural and engineering fees: Enter estimated engineering costs, such as surveys, tests, soil borings.
- **Line 6**. Project inspection fees: Enter estimated engineering inspection costs.
- **Line 7**. Site work: Enter estimated costs of site preparation and restoration which are not included in the basic construction contract.
- **Line 8**. Demolition and removal: Enter estimated demolition and removal costs.
- **Line 9**. Construction: Enter estimated cost of the construction contract.
- **Line 10**. Equipment: Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility, if such costs are not included in the construction contract.
- **Line 11**. Miscellaneous: Enter estimated miscellaneous costs.
- **Line 12**. SUBTOTAL: Total of items 1 through 11.
- **Line 13**. Contingencies: Since contingency fees are not reimbursable expenses through BTOP, leave row 13 blank.
- **Line 14**. SUBTOTAL: Enter the total of lines 12 and 13.
- **Line 15**. Project (program) income: Applicants should include program income only if it is being used as part of the Applicant's matching contribution. See section 1.9 above for additional discussion. Otherwise the value for this line item should be $0.
- **Line 16**. TOTAL PROJECT COSTS: Subtract line 15 from line 14.
- **Line 17**. Federal assistance requested: The percentage used should result in the exact dollar amount of the federal funding request, and can be no more than 80 percent unless a matching waiver has been requested. For example, an Applicant proposing to contribute 23.5 percent in matching funds would use 76.5 percent in Row 17 to calculate the exact federal funding request. Note that the amount in 17c will need to be identical to the federal funding request in the General Budget Overview, the Detail of Project Costs, and tie out to the exact dollar in all relevant sections of the application.

- Note that subtotals will need to be easily traceable to the line items in Column G of the Detail of Project Costs.
- Verify that all formulas are correct by hitting F2 on subtotals to view its components.

For the SF-424D, the Authorized Organization Representative must sign and date the form, certifying the Applicant's organization will comply with the requirements set forth in the form. Further instructions are available at http://www07.grants.gov/agencies/forms_instruction_information.jsp.

18.18 Supplemental Information

The Supplemental Information upload does not include a template. Applicants should use this upload to provide any additional or supplemental information they deem important to an assessment of the proposed project. This upload is optional for all CCI Applicants. Applicants may submit files in any valid file format, though NTIA recommends submitting the files as PDF. Applicants should clearly label the contents of this upload and reference to them from any relevant application response or upload.

19 Review and Submit

Once the Applicant has completed its application, it is advised to proofread the materials submitted and verify the consistency of data provided in more than one location (particularly with respect to the project budget). Then the Applicant should go to the Review and Submit page. There the Applicant will see a list of all of the Easygrants submission validation requirements. The Applicant will be unable to submit its application until all of the validation requirements have been satisfied. If any sections are marked incomplete, the Applicant will need to revisit that section to provide additional information or make corrections. Once all validation requirements have been satisfied, the Applicant may submit its application by clicking the "Submit" button. **Once the application has been submitted, it is presumed that the application is final, and the Applicant will no longer be able to make changes to the application.**

By submitting this application, the Applicant certifies that the information and responses in the application are material representations of fact and are true and correct.