



# California Advanced Services Fund Rural and Urban Regional Broadband Consortia Grant Solicitation (2020 Cycle)



**Informational Webinar**

**Lingbo (Grace) Liu, Communications Division**

**May 12, 2020, 10:30 AM- 12:30 PM**



# Agenda

- 10:30 - 10:45 AM Welcome & Introductions
- 10:45 - 10:50 AM Consortia Grant Account Overview
- 10:50 - 11:10 AM Application Requirements
- 11:10 - 11:20 AM Application Review & Evaluation
- 11:20 - 11:30 AM Consortia Grant Forms After Grant Approval
- 11:30 - 11:35 AM Changes to Consortia Grant
- 11:35 - 11:50 AM Bi-annual Reporting and Payment Requests
- 11:50 - 11:55 AM Reimbursement for Annual Public Workshops
- 11:55 - 12:00 PM Annual Audit Requirement
- 2 ○ 12:00 - 12:30 PM Q&A





# Consortia Grant Account Overview

- Assembly Bill (AB) 1665 established continuation of the CASF Rural and Urban Regional Broadband Consortia Grant Account (Consortia Grant Account) with an additional \$10M.
- CPUC Decision (D.) 18-10-032 implements programmatic changes to the Consortia Grant Account, as required by AB 1665.
- The Consortia Grant Account funding shall be used to *“facilitate the deployment of broadband services by assisting infrastructure grant applicants in the project development or grant application process”*.





# Consortia Grant Account Overview

## - Eligibility

- An eligible consortium may include, but not limited to:
  - Local and regional government, public safety, elementary and secondary education, postsecondary education, health care, libraries, community-based organizations, tourism, parks and recreation, agricultural, business, workforce organizations, and air pollution control or air quality management districts.
- An eligible consortium is not required to have as its lead fiscal agent an entity with a certificate of public convenience and necessity.
- Both existing and newly formed consortia may submit applications, for the regions that are not currently represented or not currently funded by CASF.





# Consortia Grant Account Overview

## - Funding Availability

- Of the total authorized \$25 million, the Consortia Account has awarded approximately \$17.3 million in grants, as of May 12, 2020.
- The maximum funding cap per year per consortium is \$150,000, for up till December 31, 2022.
- An allowable maximum reimbursement of \$2,000 per person for up to 5 representatives, for a total of up to \$10,000 per consortium for attendance at each annual public workshop.





# Consortia Grant Account Overview

## - Revised Administrative Manual

The revised *CASF Rural and Urban Regional Broadband Consortia Grant Program Administrative Manual* (Version 7, April 2019), along with the required forms, are available at the Commission's [CASF Consortia website](http://www.cpuc.ca.gov/casf) ([www.cpuc.ca.gov/casf](http://www.cpuc.ca.gov/casf)).

- **Consortia Grant Admin Manual**
- **Appendix A**\_Consortia Grant Application Package (available as a separate Excel file)
- **Appendix B**\_Consortia Grant Forms (available as a separate Word file)
- **Appendix C**\_Consortia Grant Bi-annual Progress Report and Payment Request Package (available as a separate Excel file)







# Application Requirements

## - Required Forms

Consortia Grant applicants are required to complete and submit a grant application package found on the [CASF Consortia website](#).

A complete application package includes the following forms, all checklist items, and additional information (i.e., applicant's information and experience, endorsements, etc.):

- **Appendix A-1** – *CASF Consortia Grant Application Checklist*
- **Appendix A-2** – *Description of Existing and Past Non-CASF Funded Projects*
- **Appendix A-3** – *Board Member Background and Project Role*
- **Appendix A-4** – *Work Plan and Performance Metrics Plan*
- **Appendix A-5** – *Proposed Detailed Budget*
- **Appendix A-6** – *Affidavit Form*
- **Letter Committing to Act As Fiscal Agent**





# Application Requirements

## - How to Submit a Consortia Grant Application

- All applications should be submitted both electronically by midnight of the deadline: June 5, 2020.
  - Due to the COVID-19 emergency, paper copy submission is not required. The Communications Division reserves the right to request paper copy as necessary for review of applications when the Governor's Executive Order N-33-20 is lifted.
  - Via an electronic format through the Commission's FTP site: <https://kwftp.cpuc.ca.gov>, If you do not have an existing CPUC FTP account, please follow the instructions below:
    - a) Go to <https://kwftp.cpuc.ca.gov>, and click on "Create account"
    - b) An email will be sent to the email account you just entered. Click on 'ACTIVATE' to enter a password.
    - c) Your registration process is now complete.
    - d) Create a new message to be sent to: [CASF\\_Consortia\\_Grant\\_Administrator@cpuc.ca.gov](mailto:CASF_Consortia_Grant_Administrator@cpuc.ca.gov), with CC the Public Advocates Office (PAO): [tony.tully@cpuc.ca.gov](mailto:tony.tully@cpuc.ca.gov) and [raisa.ledesma@cpuc.ca.gov](mailto:raisa.ledesma@cpuc.ca.gov).
    - e) Upload your Zipped Application Package & Click "send" to complete the upload
- 8 request.







# Application Review & Evaluation

- *Overall Quality:* All applications will be objectively evaluated based on how well they meet the goals of the CASF Consortia program consistent with Pub. Util. Code, § 281.
- *Completeness:* All applications will be evaluated based on meeting all the requirements in D.18-10-032, Sec. 1.6 Information Required from Applicants and Sec. 1.7 Scoring and Evaluation Criteria.





# Application Review & Evaluation (*cont.*)

- *Scoring Criteria*

Scoring Area	Weight/Points
Regional Consortium Representation and Endorsements	15
Regional Consortium/Members' Experience	35
Work Plan and Performance Metrics Plan	30
Budget	20
Total	100

- Those applicants who meet a minimum score of 70 points will be considered for funding.
- Where multiple consortia apply for the same region, the application with the highest score will be considered for a grant award.





# Application Review & Evaluation (*cont.*)

- **Regional Consortium Representation and Endorsements**
  - ❖ Governing board structure
  - ❖ Description of geographical regional/population groups/community interests
  - ❖ Endorsements from the State and/or local government, community groups, and anchor institutions supporting the application.
- **Regional Consortium/Members' Experience**
  - ❖ Description of existing and past relevant projects
  - ❖ Identification of each consortium member, background, and role in the proposed consortium project
  - ❖ Description of the proposed broadband consortium project.





# Application Review & Evaluation (*cont.*)

- *Work Plan and Performance Metrics Plan*: applications should include:
  - ❖ Specific work activities
  - ❖ Measurable, tangible, and verifiable work deliverables
  - ❖ Specific timeline milestones
  - ❖ Quantitative and data-driven performance measures
  - ❖ The method for performance tracking and measuring
- Examples of activities, deliverables, performance measures are provided in the *Work Plan and Performance Metrics Plan* form template (see Application Package, Appendix A-4).
- Work Plan key terminology (i.e., activity, deliverable, timeline, performance measure and tracking) definition and requirements are provided in Appendix A-4 .





# Application Review & Evaluation (*cont.*)

## Allowable Activities:

- ❑ Collaborating with the Commission to engage regional consortia, local officials, internet service providers (ISPs), stakeholders, and consumers regarding priority areas and cost-effective strategies to achieve the broadband access goal.
- ❑ Identifying potential CASF infrastructure projects, where providers can expand and improve their infrastructure and service offerings to achieve the goal of reaching 98% broadband deployment in each consortia region.
- ❑ Assisting CASF infrastructure applicants in the project development or grant application process.
- ❑ Conducting activities such as the following, as long as they lead to CASF infrastructure applications:
  - Supporting project permitting activities.
  - Engaging local government officials and communities to better understand and explain regional broadband needs and solutions.
  - Conducting an inventory of public assets and aggregate demand, including speed tests and the identification and updates of priority areas.
- ❑ Assisting the Commission in publicizing requests for wireline testing volunteers in areas.





# Application Review & Evaluation (*cont.*)

Non-Allowable Activities: include, but are not limited to, the following activities and expenses:

- (1) Meals, food, and refreshments for group gathering(s) such as meetings, conferences, workshops, etc.
- (2) Work on legislation, including meetings, travel, or lobbying
- (3) Construction of infrastructure facilities
- (4) Adoption activities
- (5) Activities that are already funded by any other public or private sources







# Application Review & Evaluation (*cont.*)

- **Budget:** applications should clearly propose its detailed budget, by objective, by project year, by budget line item, and by activity.
- The cost of preparation of the annual audit must be included in the *Work Plan* and *Proposed Detailed Budget*.
- Consortia may request an initial start-up cost budget, up to 25% of the entire grant. Consortia should clearly identify start-up cost items, and start-up activities and timeline on their *Work Plan* and *Proposed Budget Plan*.
- CD Staff will review each application budget and may recommend adjustments to remove any non-allowable expenses accordingly and notify applicant.





# Consortia Grant Forms After Grant Approval

Following approval of CASF Consortia grant award, three Consortia grant forms (see the *Consortia Grant Admin Manual (Version 7, April 2019)*, **Appendix B**) are required:

- **Appendix B-1, Grant Disbursement Schedule Form** – lists due dates for bi-annual reports and payment requests, based on grant approval date
- **Appendix B-2, Consent Form** – binds the grantee to terms, conditions, and requirements of both D.18-10-032 and the resolution awarding the grant
- *Payee Data Record Form (STD 204)* – is required when receiving payment from the State and information provided in this form will be used by the Commission to prepare IRS Form 1099.





# Changes to Consortia Grant

- Any changes to substantive terms and conditions underlying Commission's approval, including, but are not limited to:
  - Work Plan and Performance Metrics Plan
  - Budget
  - Designated Fiscal Agent
- Submit documentation at least 30 days before the anticipated change to: [CASF\\_Consortia\\_Grant\\_Administrator@cpuc.ca.gov](mailto:CASF_Consortia_Grant_Administrator@cpuc.ca.gov), with a cover letter addressing to the CD Director and explaining the change request.
- Substantive changes may be subject to Commission and/or CD Director approval prior to becoming effective.





# Bi-Annual Reporting and Payment Requests

- Consortia grantees are required to submit bi-annual progress reports and/or payment requests.
- All reports must be submitted by no later than 3 months after each six-month reporting period.
- Bi-annual progress/completion reports and payment requests shall be based upon the approved *Work Plan and Performance Metrics Plan*, and approved *Detailed Budget Proposal*.
- All grantees must submit bi-annual progress reports on the project status irrespective of whether a progress payment is requested.





# Bi-Annual Reporting and Payment Requests (*cont.*)

The reporting package can be found on the [CASF Consortia website](#):  
*Appendix C\_Consortia Grant Bi-Annual Progress Report and Payment Request Package.*

A complete reporting package includes the following:

- **Appendix C-1** – *Bi-annual Report and Payment Request Transmittal Letter and Affidavit*
- **Appendix C-2** – *Bi-annual Payment Request Cover Sheet*
- **Appendix C-3** – *Bi-annual Progress Report*
- **Appendix C-4** – *Bi-annual Payment Request Worksheet*
- Supporting documentation of performance/outcomes reported, and invoices and receipts for expenses claimed
- Annual Audit\*
- Project Completion Report\*\*

\* Is required for every 12-month reporting period.

19 \*\* Is required at the end of the Grant.





# Reimbursement for Annual Public Workshop

All consortia receiving CASF grants shall attend CASF annual public workshops to be conducted by Communications Division.

- May claim reimbursement for travel expenses and per diem costs associated with each annual public workshop
- A total budget up to \$10,000 per consortium, \$2000 per person for up to five delegates, for each annual public workshop
- **Appendix C-5, *Public Workshop Reimbursement Request Form***, submitted along with:
  - *Payment Request Package*
  - For each claimant requesting reimbursement, a *Travel Expense Claim (TEC) Form* (STD 262A) must be submitted with supporting documentation and receipts







# Annual Audit Requirement

Each Consortium is required to conduct an annual audit of its Consortia Grant program expenditures and submit an annual report to the Commission, that includes both:

- A description of activities completed during the prior year, how each activity promotes the deployment of broadband services, and the cost associated with each activity
- The number of project applications assisted.

The annual audit report should be prepared by an independent, licensed certified CPA, and provide assurance that the consortium's financial statements are:

- Free of material misstatement
- Fairly presented based upon generally accepted accounting principles.





# Q & A





**Thank you!**

**For Additional Information:**

**[www.cpuc.ca.gov/casf](http://www.cpuc.ca.gov/casf)**

Contact: **[CASF\\_Consortia\\_Grant\\_Administrator@cpuc.ca.gov](mailto:CASF_Consortia_Grant_Administrator@cpuc.ca.gov)**

