

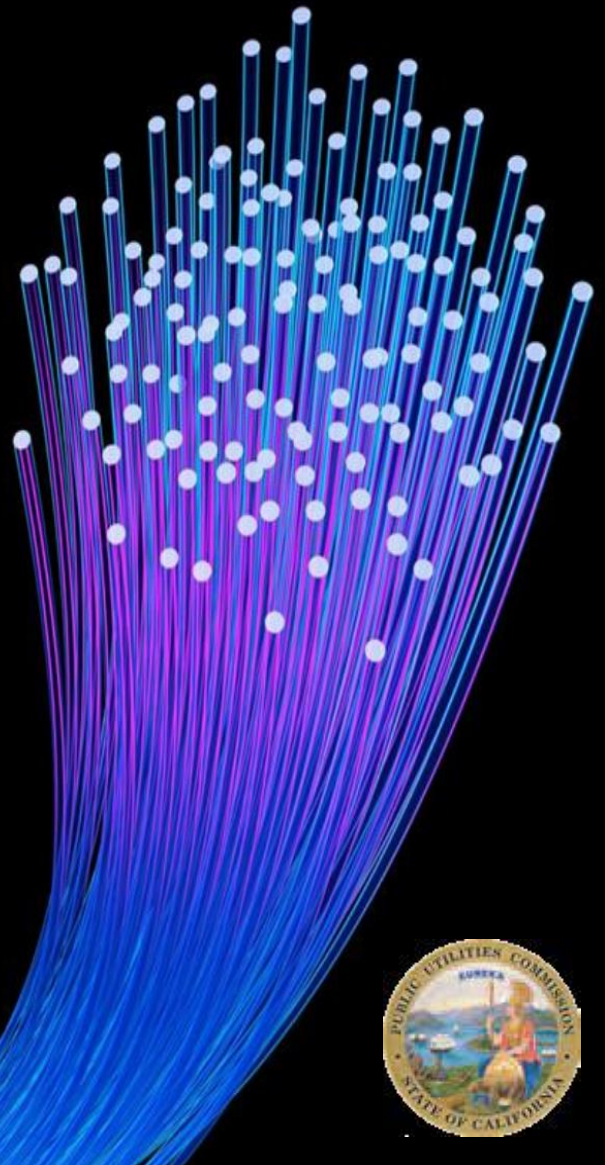


CALIFORNIA PUBLIC UTILITIES COMMISSION

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**California Advanced Services Fund  
Rural and Urban Regional Broadband  
Consortia Grant Program**

**Administrative Manual**  
Version 7 (April 2019)





To all CASF Regional Consortia:

The California Public Utilities Commission (CPUC or the Commission) thanks you for your interest in promoting broadband deployment in California. We welcome all the consortia groups to the California Advanced Services Fund (CASF) Program and look forward to working with you to help bridge the digital divide in California.

Respectfully,

The CASF Team  
CPUC Communications Division

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## I. Introduction

The purpose of this Administrative Manual (Manual) is intended solely for providing guidance for applicants applying for the CASF Rural and Urban Regional Broadband Consortia Grant Account (Consortia Grant Account) funding and for the CPUC Communications Division (CD) staff's oversight of the consortia's operations applicable to Consortia Grants.

Pertinent documents include the following CPUC decisions and resolutions which are also hyperlinked on the [CPUC Consortia webpage](#):

- [Decision \(D.\) 18-10-032](#) implements programmatic changes to the Consortia Grant Account as required by Assembly Bill (AB) 1665 and establishes the requirements and guidelines (see D. 18-10032, Appendix 1) for the 2019 Consortia Grant Cycle.
- [Decision \(D.\) 11-06-038](#) established the requirements and guidelines for the 2016 Consortia Grant Cycle.

## II. CASF Staff Team

The CD CASF Team is responsible for overseeing the CASF program. Questions may be directed to the following:

- Broadband Infrastructure Grant Account  
[CASF\\_Application\\_Questions@cpuc.ca.gov](mailto:CASF_Application_Questions@cpuc.ca.gov)
- Rural and Urban Regional Consortia Account  
[CASF\\_Consortia\\_Grant\\_Administrator@cpuc.ca.gov](mailto:CASF_Consortia_Grant_Administrator@cpuc.ca.gov)
- Broadband Public Housing Account  
[CPUC\\_Housing@cpuc.ca.gov](mailto:CPUC_Housing@cpuc.ca.gov)
- Broadband Adoption Account  
[CPUC\\_Adoption@cpuc.ca.gov](mailto:CPUC_Adoption@cpuc.ca.gov)

## III. Application Checklist and Requirements

**Appendix A**, *Application Package*, to this Manual provides CASF Consortia Grant application form templates illustrating key informational requirements and documents that must be properly completed and submitted with the application to be considered for approval. The *Application Package* forms are as follows and are available in Excel format:

- **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.*

The *CASF Consortia Grant Application Checklist* lists the required information items, with references to the D. 18-10-032 Sections. Each Consortium applicant must submit a *Work Plan and Performance Metrics Plan* as part of the application.<sup>1</sup>

The *Work Plan and Performance Metrics Plan* should identify the Consortium's goals as they relate to the region's needs for broadband deployment and include detailed functions and activities related to implementation of each goal. The *Work Plan* is to be tailored to fit the needs of a given region's constituents and geography, incorporating core responsibilities, including goals, measurable deliverables, expected outcomes, and specific timeline milestones as they relate to broadband deployment. The *Work Plan and Performance Metrics Plan* should also explain how the performance results from the proposed functions and activities will be tracked and measured, following milestone dates as described in the *Work Plan*. Appendix A-4, *Work Plan and Performance Metrics Plan*, illustrates the form template format, and provides examples of activities, deliverables, performance measures; and work plan terminology definition and requirements.

#### **IV. Grant Disbursement Schedule Form, Consent Form, and Payee Data Record**

The Consortia contact representative will be contacted following approval of a CASF Consortia grant award. CD staff will request each grant recipient to complete and submit a *Grant Disbursement Schedule Form*, a *Consent Form*, and a *Payee Data Record (STD 204)* if not already on file with the Commission. A copy of the *Grant Disbursement Schedule Form* and *Consent Form*, as well as a hyperlink to STD 204 is attached as **Appendix B, Consortia Grant Forms**.

The *Grant Disbursement Schedule Form* lists due dates based on approval date of the grant award for bi-annual progress reports and bi-annual payment requests of the grant for the Consortium. A completed STD 204 is required when receiving payment from the State of California and information provided in this form will be used by the Commission to prepare Information Returns, i.e. Internal Revenue Service, Form 1099.

The *Consent Form* binds the grant recipient to the terms, conditions, and requirements of both the Decision and the resolution awarding the grant.

The Commission will not initiate payment for the Consortium's activities until CD staff receives the *Grant Disbursement Schedule Form*, *Consent Form*, and *Payee Data Record* (if applicable). In order to

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<sup>1</sup> D.18-10-032, Appendix 1, p. 6.

receive a progress payment, the grant recipient must first submit the Progress Report to CD staff, together with the request for payment and reimbursement supported by relevant documentation such as invoices and a signed affidavit that activities have been completed consistent with approved plans, etc.

## V. Performance

By receiving a CASF Consortia grant, the grantee agrees to comply with the terms, conditions, and requirements of the grant and submits to the jurisdiction of the Commission with regard to disbursement and administration of the grant.<sup>2</sup> All performance specified under the terms of any award shall be completed on or before the termination date of the award, as per the signed *Consent Form*, i.e. the Start Date of Grant (Grant Approval Date) plus number of years of the approved grant. For example, if the Start Date is August 1, 2019 for a 2-year grant, the end date would be July 31, 2021. The start of the Consortia grant program will begin upon grant approval.<sup>3</sup> Should the grant recipient or its contractor fail to commence work at the agreed upon time, the Commission may terminate the award and may impose penalties.<sup>4</sup> In the event that the grant recipient fails to complete the project, in accordance with the terms of approval granted by the Commission, the grant recipient will be required to reimburse some or all of the CASF funding that it has received.<sup>5</sup> If the Consortia grantee fails to perform in good faith, or in accordance with the expectations set forth in its *Work Plan and Performance Metrics Plan*, as affirmed in its *Affidavit Form*, the Commission may withhold subsequent grant disbursement, suspend, or terminate the Consortia grant, as warranted.<sup>6</sup>

Each Consortia grantee must use the grant funding solely for the approved project as described in the Grantee's Commission approved *Work Plan and Performance Metrics Plan* as affirmed by the signed *Affidavit Form*. Each Consortia grantee must complete the project in accordance with and within the project performance period set forth in the Commission approved *Work Plan*<sup>7</sup>, see Section IV, Changes to a Consortium's *Work Plan*, below, on changes to the substantive terms and conditions underlying Commission approval. Grantee's performance and completion of the project must comply with all applicable laws and regulations. Grantees must notify the CD as soon as they become aware that they may not be able to meet performance metrics set forth in the *Work Plan and Performance Metrics Plan*.

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<sup>2</sup> D.18-10-032, Appendix 1, p. 17.

<sup>3</sup> Id. at p. 15.

<sup>4</sup> Id. at p. 17.

<sup>5</sup> Id.

<sup>6</sup> Id.

<sup>7</sup> D.18-10-032, Appendix 1, p. 16

## VI. Changes to a Consortium's Work Plan

Any changes to the substantive terms and conditions underlying Commission approval of the grant (e.g., changes to the *Work Plan*, budget, or designated Fiscal Agent, etc.) must be communicated in writing to the Director of Communications Division at least 30 days before the anticipated change and may be subject to approval by either the Director or by Commission resolution before becoming effective.<sup>8</sup> The table, on the next page, shows typical changes and the actions to be taken to initiate review for approval.

## VII. Bi-annual Progress Reporting

Consortia are required to submit bi-annual progress reports.<sup>9</sup> The *Bi-annual Progress Reports* shall be based upon the approved *Work Plan and Performance Metrics Plan*, *Consent Form*, timelines, milestones, and costs identified in the application. Further, the *Bi-annual Progress Reports* should indicate the actual date of completion for each task/milestone as well as problems/issues encountered, and the actions taken to resolve these problems/issues. A sample *Bi-annual Progress Report* template and *Start-up Period Report* is included as **Appendix C-3**. The *Bi-annual Progress Reports* must be submitted and certified under penalty of perjury by using the *Bi-annual Report and Payment Request Transmittal Letter and Declaration* (see **Appendix C-1**). All grant recipients must submit bi-annual progress reports on the status of the project irrespective of whether progress payment is requested.

In order to receive progress payment, each consortium must submit a *Bi-annual Progress Report* to CD staff together with a *Bi-annual Progress Payment Request* supported by relevant documentation and a signed affidavit<sup>10</sup> as explained in Section VIII, Bi-annual Progress Payment Requests, below.

### A. Submission of Bi-annual Progress Report

The *Bi-annual Progress Report* and any *Progress Payment Request* must be submitted, either (preferably) electronically or via hard copy.

- For electronic submissions, please send to:  
[CASF\\_Consortia\\_Grant\\_Administrator@cpuc.ca.gov](mailto:CASF_Consortia_Grant_Administrator@cpuc.ca.gov)

The Commission's firewall may prevent consortia from successfully sending large electronic data files over standard email services to the Consortia Grant Administrator. Using the secure

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<sup>8</sup> D.18-10-032, Appendix 1, p. 18.

<sup>9</sup> Id. at p. 14.

<sup>10</sup> Id. at p. 15; see also D.18-10-032, Appendix 1, p. 14.



Proposed Change	Consortia Action
<b>Work Plan and Performance Metrics Plan (WP)</b> <ul style="list-style-type: none"> <li>- Tasks</li> <li>- Activities</li> <li>- Deliverables</li> <li>- Performance measures</li> <li>- Timeline</li> </ul>	<p>All changes to WP are considered substantive, per D.18-10-032. Need Commission and/or Director approval prior to becoming effective.</p> <p>Submit document(s), including proposed revised Budget, if affected, at least 30 days before the anticipated change to the Consortia Grant Administrator with a cover letter addressed to the CD Director explaining requesting approval of the change.</p>
<b>Budget Allocation</b>	<p>All changes to Budget are considered substantive, per D.18-10-032. Need Commission and/or Director approval prior to becoming effective.</p> <p>Submit documents at least 30 days before the anticipated change to the Consortia Grant Administrator with a cover letter addressed to the CD Director explaining requesting approval of the change.</p>
<b>Designated Fiscal Agent</b> <ul style="list-style-type: none"> <li>- Agency entity/organization</li> <li>- Representative</li> </ul>	<p>All changes to Fiscal Agent are considered substantive, per D.18-10-032. Need Commission and/or Director approval prior to becoming effective.</p> <p>Submit to the Consortia Grant Administrator with a letter addressed to the CD Director at least 30 days before the anticipated change explaining the change and new fiscal agent recommendation and requesting approval of the change:</p> <ul style="list-style-type: none"> <li>- Must submit a new <i>Letter Committing to Act as Fiscal Agent</i> (see Appendix A-1, <i>CASF Consortia Grant Application Checklist</i>, Item 15, for the letter requirements) and a new <i>Affidavit Form</i> (see Appendix A-6), when a new fiscal agent entity is proposed.</li> <li>- Must include a description of the proposed fiscal agent entity/organization or a bio describing new representative's relevant experience.</li> </ul>
<b>Official Membership</b> <ul style="list-style-type: none"> <li>- Add/remove agency(ies) and/or representative(s)</li> <li>- Other changes</li> </ul>	<p>Revise membership list; and notify the Consortia Grant Administrator in email explaining changes, including an updated membership list.</p>
<b>Key Contact for Consortium</b> <ul style="list-style-type: none"> <li>- Representative(s)</li> <li>- Other changes</li> </ul>	<p>Notify the Consortia Grant Administrator in email explaining changes and new representative(s), including a bio or professional/education experience description of the new representative(s).</p>



FTP Server will allow you to send files up to 2 GB in size. Go to: <https://cpucftp.cpuc.ca.gov/> to initiate new user registration using your email address and follow the steps to complete your account set up. Thereafter, you can go to the hyperlink site, log in, attach files, and send them to the Consortia Grant Administrator.

- If by hard copy, please send to:

California Public Utilities Commission  
Communications Division  
Attn: CASF Consortia Grant Administrator  
505 Van Ness Avenue, 3rd FL  
San Francisco, CA 94102-3298

## **B. *Bi-annual Progress Reporting Timeline***

The start date of the consortium grant will begin upon grant approval. The *Bi-annual Progress Report* is required every six months, i.e., at the end of the six-month period, at the end of the 12-month period, at the end of the 18-month period, of deployment, at the end of the 24-month period, etc. Each Consortium must submit their *Bi-annual Program Reports* by no later than three months after every six months.

## **VIII. Progress Payment Requests**

The Consortia Grant program's disbursement of grant funding process contained herein is in accordance with the guidance set forth in D.18-10-032, Resolutions approving Consortia grants, and the [State Administrative Manual](#) (SAM).

### **A. *Disbursement of Grant Funding***

All progress payment requests must be submitted together with the *Bi-annual Progress Report* and must be supported by documentation such as receipts and/or invoices for services rendered and a signed affidavit that activities have been completed consistent with approved plans. The disbursement of funding at any time is subject to Commission discretion, including a review and approval process of each grantee through regular site visits, progress reports and supporting invoice and receipts. Disbursements of grant funding will be made to the Fiscal Agent.

A grant recipient may request reimbursement of start-up costs up to 25% of entire approved grant prior to its first Bi-annual Progress Payment Request. If a grant recipient requests an initial start-

up cost payment, then a “*Start-up Period Report*” is required.<sup>11</sup> Such request must be supported by documentation, e.g., receipts, invoices, quotes, etc. The *Start-up Period Report* must be submitted no later than three months after the completion of the start-up activities. Subsequent disbursements are on a bi-annual progress report-review basis.

## **B. *Progress Payment Requests***

In order to receive a progress payment, the Consortium must submit the required forms, as illustrated in **Appendix C, *Bi-annual Progress Report and Payment Request Package***, to the CD supported by documentation, e.g., invoices, quotes, receipts, a signed affidavit, and an annual audit (i.e., for annual year-end payment request).

Each payment request package must consist of the following documents (available in Excel format):

- **Appendix C-1 - *Bi-annual Report and Payment Request Transmittal Letter and Affidavit***
- **Appendix C-2 - *Bi-annual Payment Request Cover Sheet***: summarizing expenses claimed, and payments received thus far
- **Appendix C-3 - *Bi-annual Progress Report***: is the main document for reporting actual progress made during the reporting period, including activities performed, deliverables completed, timeline milestone achieved, and actual performance measures met
- **Appendix C-4 - *Bi-annual Payment Request Worksheet***: is the main document for input and listing of expenses.
  - Allowable Expenses: The CASF Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting infrastructure applicants in the project development or grant application process. The CASF Consortia Grant Account funding is limited to Consortia activities directly related to and in support of CASF infrastructure applications as set forth in D.18-10-032, Appendix 1, p. 4. (i.e., an infrastructure application requesting CASF funding, an infrastructure application requesting CASF and non-CASF funding).
  - Travel Expense Claim and Business Expense Reimbursements: each claimant must complete a form *STD-262A, Travel Expense Claim (TEC) Form*, and follow instructions therein. Expense claims must comply with the travel expense, limitation rules applicable to State of California employees and contractors.<sup>12</sup> The allowable rates/costs are those negotiated and approved under the collective bargaining agreement(s) that are in use by

<sup>11</sup> D.18-10-032, Appendix 1, p. 14.

<sup>12</sup> <http://hrmanual.calhr.ca.gov/Home/ManualItem/1/2201>.

State employees. An electronic copy of STD 262A, instructions as well as all current applicable information are available at: <http://www.calhr.ca.gov/employees/pages/travel-reimbursements.aspx>.

- Non-Allowable Expenses: include, but are not limited to: (1) a Consortia Account grant shall not be used for meals, food and refreshments for group gathering(s) such as meetings, conferences, workshops, etc.; (2) a Consortia Account grant shall not be used for work on legislation, including meetings, travel, or lobbying; (3) a Consortia Grant shall not be used for construction of infrastructure facilities; (4) a Consortia Account shall not be used for adoption activities; and (4) a Consortia Account grant shall not be used to fund activities that are already funded by any other public or private sources.<sup>13</sup>
- The Annual Year-End Payment Request must include an annual audit of consortia program expenditures, prepared by an independent, licensed Certified Public Accountant (CPA) expressing a conclusion about the reliability of the primary financial/business functions of the Consortium.

### **C. *Final Payment and Project Completion Reports***

All performance specified under the terms of any award shall be completed on or before the termination date of the award. A project completion report is required showing that all activities in the approved Work Plan have been accomplished. The final payment will be equal to the outstanding balance due under the consortium grant or actual expenditures, whichever is less. The grant recipient's project completion report and final payment report should be submitted to the CD no later than three months after the project completion, and should include the following documents:

- *Final Progress and Payment Request Transmittal Letter and Affidavit;*
- *Payment Request Cover Sheet;*
- *Final Progress Report;*
- *Final Payment Request Worksheet* including all documentation and receipts;
- *Annual Audit;* and
- *Project Completion Report.*

### **D. *Grant Oversight***

Staff has the authority to initiate any necessary audit, verification, and discovery of Consortium members relating to grant funding activities to ensure that CASF Consortia grants are spent in

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<sup>13</sup> D.18-10-032, Appendix 1, pp. 3-5.

accordance with the adopted rules and standards for the Consortia Grant Account. Each Consortia grantee shall maintain books, records, documents and other evidence sufficient to substantiate expenditures covered by the grant, according to generally accepted accounting practices. Each Consortia grantee shall make these records available to the Commission upon request and agrees that these records are subject to a financial audit by the Commission at any time upon request within five years after the Grantee incurred the expense being audited. A Consortia grantee shall provide access to the Commission upon 24-hour notice to evaluate work completed or being performed pursuant to the grant.

## **IX. Reimbursement for Public Workshop**

All consortia receiving CASF grants shall attend at least one of the annual public workshops to be conducted by the CD. Consortia may claim reimbursement for travel expenses and per diem costs associated with each annual public workshop hosted by the CD. The maximum reimbursement allowable is \$2,000 per person for up to five delegates for each annual public workshop, for a total of up to \$10,000 per consortium. To request reimbursement, a *Public Workshop Reimbursement Request Form* attached as **Appendix C-5** must be completed and submitted along with the *Bi-annual Progress Payment Request*. For each delegate requesting reimbursement, a TEC Form STD 262A (see Section VIII, Bi-annual Progress Payment Request above) must be used.

## **X. Annual Audit**

Each Consortium is required to conduct an annual audit of its expenditures for grant programs funded and submit to the Commission an annual report that includes both of the following:

- 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 should be prepared by an independent, licensed certified public accountant (CPA) expressing a conclusion about the reliability of the primary financial/business functions of the Consortium. The annual audit should provide assurance that the consortium's financial statements are free of material misstatement and are fairly presented based upon the application of generally accepted accounting principles.

## **XI. Regular Meetings**

The CD's Consortia Grant Administrator will schedule conference calls with all consortia on a regular basis. The Consortia Grant Administrator will establish the agenda and seek input from the Consortia. Representatives from each consortium are encouraged to participate in the conference calls.

## **XII. Payment Processing**

The Consortia Grant Administrator will review payment requests comparing expenses against the Consortium's approved budgets, *Work Plan and Performance Metrics Plan*, timelines milestones, costs and activity/deliverable/performance measure accomplishments shown in the *Bi-annual Progress Report* and *Bi-annual Payment Request*. The Consortia Grant Administrator may request additional information regarding the reports, expenses, and/or supporting documentation.

Upon approval, the CD will submit payment voucher documents to the Commission's Fiscal Office. The Fiscal Office will review all payment voucher submissions in accordance to the [State Administrative Manual](#); and upon satisfactory review, will schedule payment with the State Controller's Office, which is responsible for issuing and distributing the check to the payee designated by the Commission, i.e. the Consortium's Fiscal Agent.

No payment will be made for any payment requests received three months after relevant reports are due (i.e., bi-annual progress reports, start-up period reports, and/or completion reports).<sup>14</sup>

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<sup>14</sup> D.18-10-032, Appendix 1, p. 17.

### **XIII. Publicity and Acknowledgment**

Any publications, studies, or reports made possible or derived in whole or in part from the project, and any news articles, brochures, seminars, or other promotional materials or media through which the grant recipient publicizes the Project will acknowledge the CASF's Consortia program in the following manner:

*“Funding for this project has been provided in full or in part through a grant by the Rural and Urban Regional Broadband Consortia Grant Account of the California Advanced Services Fund, a program administered by the California Public Utilities Commission.”*

This Administrative Manual was prepared by California Public Utilities Commission (CPUC) staff. It does not change, replace or waive any of the requirements established by the CPUC or the Rural and Urban Regional Broadband Consortia Grant Account Application Requirements and Guidelines. It has not been approved or disapproved by the CPUC, nor has the CPUC passed upon the accuracy or adequacy of the information in it.



## **Appendix A**

### **Application Package**



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# Appendix A-1 CASF Consortia Grant Application Checklist

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Appendix A-1, CASF CONSORTIA GRANT APPLICATION CHECKLIST				
To assist the Commission in verifying the completeness of your application, mark the box to the left of each item submitted with your application. For detailed requirements, please check the referenced sections of CPUC Decision 18-10-032, Appendix 1, Rural and Urban Regional Broadband Consortia Grant Account Application Requirements and Guidelines.				
#	Item Included?	Reference to D.18-10-032	Item	Tab # / Form Template
1	<input type="checkbox"/>	Sec 1.6A	<b>Name of Applicant</b> Address Line 1 Address Line 2 City State ZIP Code Website Address Phone Number	No form, submit the information on this checklist form
2	<input type="checkbox"/>	Sec 1.6A	<b>Key Consortium Contact Information</b> First Name Last Name Address Line 1 Address Line 2 City State ZIP Code Email Address Phone Number	No form, submit the information on this checklist form
3	<input type="checkbox"/>	Sec 1.6A	Description of existing and past non-CASF funded projects	Tab 2   <b>Non-CASF Prjs</b>
4	<input type="checkbox"/>	Sec 1.6A	Governing Board Structure	No form, submit the information as a separate attachment
5	<input type="checkbox"/>	Sec 1.6A	Identification of each Consortium member, background, and role in the proposed project	Tab 3   <b>Board Members</b>
6	<input type="checkbox"/>	Sec 1.6C	Copy of most recent Audit Report	No form, submit the information as a separate attachment
7	<input type="checkbox"/>	Sec 1.6A	Proposed Broadband Project Description	No form, submit the information as a separate attachment
8	<input type="checkbox"/>	Sec 1.6A	Description of geographical regions/population groups/community interests, e.g. maps, Census Block Groups, and ZIP Codes to be covered by the proposed project	No form, submit the information as a separate attachment
9	<input type="checkbox"/>	Sec 1.7	Endorsements from the state or local government, community groups, and anchor institutions supporting the application	No form, submit the information as a separate attachment
10	<input type="checkbox"/>	Sec 1.6B	Work Plan	Tab 4   <b>Annual Work Plan and Performance Metrics Plan</b>
11	<input type="checkbox"/>	Sec 1.6B	Name of Proposed Project	No form, submit the information on this checklist form
12	<input type="checkbox"/>	Sec 1.6D, 1.9, 1.10	Proposed Budget	Tabs 5 thr 10   <b>Budget_Obj1 thr Budget Obj6</b>
13	<input type="checkbox"/>	Sec 1.6E	<b>Name of Fiscal Agent</b> Address Line 1 Address Line 2 City State ZIP Code Website Address Phone Number	No form, submit the information on this checklist form
14	<input type="checkbox"/>		<b>Key Fiscal Agent Contact Information</b> First Name Last Name Address Line 1 Address Line 2 City State ZIP Code Email Address Phone Number	No form, submit the information on this checklist form
15	<input type="checkbox"/>	Sec 1.6E	<b>Letter Committing to Act as Fiscal Agent</b> - must include: (1) the name and contact information of the responsible party within the agency, including the person responsible for the administrative tasks, if different; (2) affirmation that the work outlined in the Consortium Work Plan will be completed and verification by an Annual Audit instead of the previously required Attestation Report, to be prepared by an independent, licensed Certified Public Accountant will be submitted annually to the Communications Division; and (3) the Consortium's acceptance of the Fiscal Agent's rights, duties, and responsibilities.	No form, submit the information as a separate attachment
16	<input type="checkbox"/>	Sec 1.6F	Notarized Affidavit	Tab 11   <b>Affidavit Form</b>

## Appendix A-2

### Description of Existing and Past Non-CASF Funded Projects

Page 1 of 1

Appendix A-2, DESCRIPTION OF EXISTING AND PAST NON-CASF FUNDED PROJECTS [see Sec 1.6 A & 1.6 D]	
[Consortium Members, Insert more columns and rows as needed]	
<b>Name of Consortium:</b>	0
<b>Name of Non-CASF Project #1:</b>	
- Project Budget	
- Project Timeline	
- Project Funding Source	
- Explain why there will be no overlap and/or duplication of such projects (i.e., provide description of geographic region served and geographic region that will be served, etc.)	
- Project Best Practices Learned	
- Other Information	
<b>Name of Non-CASF Project #2:</b>	
- Project Budget	
- Project Timeline	
- Project Funding Source	
- Explain why there will be no overlap and/or duplication of such projects (i.e., provide description of geographic region served and geographic region that will be served, etc.)	
- Project Best Practices Learned	
- Other Information	
<b>Name of Non-CASF Project #3:</b>	
- Project Budget	
- Project Timeline	
- Project Funding Source	
- Explain why there will be no overlap and/or duplication of such projects (i.e., provide description of geographic region served and geographic region that will be served, etc.)	
- Project Best Practices Learned	
- Other Information	

# Appendix A-3

## Consortia Board Member Background and Project Role

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Appendix A-3, BOARD MEMBER BACKGROUND AND PROJECT ROLE							
[Consortium Members, insert more columns and rows as needed]							
Name of Consortium:	0						
Name of Project:	0						
Company/Organization							
Telecommunications carrier certified by or registered with CPUC? (yes, no, n/a)							
. If so, identify Utility Identification number							
Website Address							
First Name							
Last Name							
Address Line 1							
Address Line 2							
City							
State							
ZIP Code							
Email Address							
Phone Number							
Background (attached separate pages, in needed)							
Role in the Proposed Project							

## Appendix A-4

### Work Plan and Performance Metrics Plan

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Appendix A-4. ANNUAL WORK PLAN AND PERFORMANCE METRICS PLAN (see Sec 1.6 B)								
[Consortium Members, create a separate work plan and performance metrics plan for each work plan year, if seeking multi-year funding]								
Name of Consortium:	0							
Name of Project:	0							
Proposed Start Date of Project:								
Broadband deployment activities funded by other state or federal grants								
Confirmation that CASF consortium budget does not duplicate any other sources of funding	Confirmed							
	If checked, explain why there is no funding duplication:							
	<div style="text-align: center;"> <b>Year 1 (Specify: Calendar Year)</b>  <i>(see instructions below for work plan terminology definitions and requirements)</i> </div>							
Objective	Activity Description	Start-Up Activity	Deliverable(s) *	Beginning Month	End Month	Performance Measure(s) <sup>†</sup>	Method for Performance Tracking and Measuring	Responsible Party(ies)
<b>Objective 1.</b> Collaborating with the Commission to engage regional consortia, local officials, ISPs, stakeholders, and consumers regarding priority areas and cost-effective strategies to achieve the broadband access goal	Activity 1  Example: utilize the Commission's broadband map as relevant to the geographical area	<input type="checkbox"/>	Example: Regional broadband deployment current state assessment			Examples: 1. # of mapping data updates 2. # of community outreach campaigns 3. # of surveys of community-based organizations 4. # of public feedback surveys	[Specify performance measure data tracking and measuring methodology]	
	Activity 2  Example: Identify the Commission's mapping data improvement and work with the Commission to update the datamap	<input type="checkbox"/>	Example: marketing & outreach materials and outreach summary					
	Activity 3  Example: conduct marketing and outreach	<input type="checkbox"/>	Example: public feedback surveys					
	Activity 4  Example: collect public feedback	<input type="checkbox"/>						
	Activity 5	<input type="checkbox"/>						
<b>Objective 2.</b> Identifying potential CASF infrastructure projects, along with other opportunities, where ISPs can expand and improve their infrastructure and service offerings to achieve the goal of reaching 95% broadband deployment in each consortia region	Activity 1  Example: gather market data, undertake studies to identify priority areas	<input type="checkbox"/>	Example: report of priority areas			Examples: 1. # of priority areas identified 2. # of broadband provider offerings identified 3. # of key anchor institutions identified 4. # of CASF infrastructure projects identified 5. # of other opportunities identified	[Specify performance measure data tracking and measuring methodology]	
	Activity 2  Example: Identify broadband provider offerings and identify key anchor institutions in consortia areas	<input type="checkbox"/>	Example: broadband provider offering analysis; key anchor institution analysis					
	Activity 3  Example: develop gap analysis or other relevant analyses	<input type="checkbox"/>	Example: gap analysis report and other relevant analysis reports					
	Activity 4  Example: Identify CASF infrastructure projects	<input type="checkbox"/>	Example: proposals of CASF infrastructure projects					
	Activity 5  Example: Identify other opportunities (i.e., leverage funding, collaborating with other stakeholders)	<input type="checkbox"/>	Example: description of other opportunities					
<b>Objective 3.</b> Assisting CASF infrastructure applicants in the project development or grant application process	Activity 1  Example: develop and implement cost-effective strategies for broadband deployment	<input type="checkbox"/>	Example: broadband deployment cost-effective strategy plan and strategy implementation progress reports			Examples: 1. # of cost-effective strategies developed and implemented 2. # of infrastructure applications assisted 3. # of ISPs assisted	[Specify performance measure data tracking and measuring methodology]	
	Activity 2  Example: provide information and data about broadband availability and demand aggregation to ISPs; and inform them about CASF and assist them in identifying CASF project areas	<input type="checkbox"/>	Example: Progress reports on cost-effective strategy implementation					
	Activity 3  Example: work with ISPs to develop projects and grant applications	<input type="checkbox"/>	Example: description of infrastructure application development					
	Activity 4	<input type="checkbox"/>						
	Activity 5	<input type="checkbox"/>						

## Appendix A-4

### Work Plan and Performance Metrics Plan(continued)

Page 2 of 2

<b>Objective 4, Conducting activities leading to CASP infrastructure applications</b>	Activity 1	Example: support project permitting activities	Example: description of activities performed and results achieved				[Specify performance measure data tracking and measuring methodology]
	Activity 2	Example: engage stakeholders to better understand and explain regional broadband needs and solutions	Example: description of activities performed and results achieved				
	Activity 3	Example: conduct an inventory of public assets and aggregate demand	Example: public assets inventory updates; regional broadband availability maps				
	Activity 4						
	Activity 5						
<b>Objective 5, Assisting the Commission in publicizing requests for wireline testing volunteers in areas, as needed</b>	Activity 1	Example: publicize wireline testing volunteer requests	Example: publicizing materials and list of testing volunteers				[Specify performance measure data tracking and measuring methodology]
	Activity 2	Example: assist volunteers in wireline testing	Example: Wireline testing training materials				
	Activity 3	Example: collect and analyze wireline testing data	Example: Wireline testing data analysis				
	Activity 4						
	Activity 5						
<b>Objective 6, Conducting and Submitting annual audit reports, as required</b>	Annual Audit	Example: provide the required annual audit report	Annual audit report			n/a	n/a

#### Instructions:

Work Plan Terminology	Definition / Requirements
Activity	Identifying the specific work activities which must be performed in order to produce the various project deliverables/outcomes/results and achieve the CASP Consortium Grant program objectives. The CASP Consortium Grant Account will fund consortium activities directly related to and in support of infrastructure applications. Please note, a Consortium Account shall not be used for adoption activities; a Consortium Account grant shall not be used for construction of infrastructure facilities; a Consortium Account grant shall not be used for work on legislation, including meetings, travel, or lobbying; and a Consortium Account grant shall not be used to fund activities that already funded by any other public or private sources.
Deliverable	Identifying the specific measurable, tangible, and verifiable work products (i.e., analysis, report, map data), outcomes, and/or results that must be produced to complete the project. Attending meetings and conducting conference calls are the work effort/processes to produce the CASP Consortium Grant program deliverables, and are not considered as deliverables.
Timeline (Beginning Month and End Month)	Identifying the planned beginning and end months for performing activities and for meeting deliverables/outcomes/results. The timeline establishes the project schedule, which is used to compare actual results to the approved Work Plan to determine if preventive or corrective action is needed to meet the program objectives. The timeline should describe each of the monthly milestones, including deliverables and performance metrics to be accomplished.
Performance Measure	Identifying the specific, quantitative outcomes/results measures which generate reliable data on the effectiveness and efficiency of program and assess how well the consortium is achieving the CASP Consortium Grant program objectives. Attending meetings and conducting conference calls are the work effort/processes to achieve the objectives, and are not considered as performance measures.
Method for Performance Tracking and Measuring	Explaining how the performance measure outcomes/results will be tracked and measured following milestone dates and/or completion of activities/deliverables, as described in the Work Plan.

\* Communications Division may request progress reporting and payment requests to include documentation of performance/outcomes, consistent with the application's Work Plan and Performance Metrics Plan.

\*\* Consortium grantees may request an initial start-up costs payment, up to 25% of the entire grant.

\*\*\* The CASP Rural and Urban Regional Broadband Consortium Grant Account shall be available for grants to eligible consortiums to facilitate deployment of broadband services by assisting infrastructure applicants in the project development or grant application process. The CASP Consortium Grant Account funding is limited to Consortium activities directly related to and in support of CASP infrastructure applications (i.e., an infrastructure application requesting CASP funding, an infrastructure application requesting CASP and non-CASP funding).



# Appendix A-5 Proposed Detailed Budget

Page 1 of 6

Appendix A-5, PROPOSED DETAILED BUDGET. List/describe activities in the Work Plan. <sup>3</sup> Insert more columns and rows as needed													
Name of Consortium: <b>Objective 1</b>		Collaborating with the Commission to engage regional consortia, local officials, ISPs, stakeholders, and consumers regarding priority areas and cost-effective strategies to achieve the broadband access											
Budget Line Item	Year 1 (Specify: from MM/YYYY to MM/YYYY)			Year 2 (Specify: from MM/YYYY to MM/YYYY)			Year 3 (Specify: from MM/YYYY to MM/YYYY)			Year 4 (Specify: from MM/YYYY to MM/YYYY)			Activity 5
	Activity 1	Activity 2	Activity 3	Activity 4	Activity 5	Activity 6	Activity 7	Activity 8	Activity 9	Activity 10	Activity 11	Activity 12	
Personnel/ Staff Compensation Inclusive of all benefits, payroll taxes, contributions, etc. (Attach personnel names, titles, bio, and position descriptions)													
Subtotal, Personnel Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Transportation Cost													
Lodging													
Per Diem													
Registration Fees (Conferences/Conventions)													
Subtotal, Travel Expense	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware													
Software													
Subtotal, Equipment	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Office Supplies/Printing													
Postage													
Subtotal, Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training/ Educational Supplies													
Subtotal, Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Advertising Promotion													
Subtotal, Promotion	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
External Consultants													
Subtotal, Consultants	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consortium Overhead/ Indirect Costs													
Subtotal, Overhead	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Expenses													
Subtotal, Other Expenses	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Activity Total	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Start-up Activity	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Budget, if requesting <sup>1</sup>													

Notes:  
1. Consortia may request an initial start-up costs budget, up to 25% of the entire grant.  
2. The CASP Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting infrastructure applicants in the project development or grant application process. The CASP Consortia Grant Account funding is limited to Consortia activities directly related to and in support of CASP infrastructure applications (i.e., an infrastructure application requesting CASP funding, an infrastructure application requesting CASP and non-CASP funding).



# Appendix A-5

## Proposed Detailed Budget (continued)

Page 2 of 6

Appendix A-5, PROPOSED DETAILED BUDGET, List/describe activities in the Work Plan. <sup>1</sup> Insert more columns and rows as needed													
0													
Name of Consortium:													
Identifying potential CASF Infrastructure projects, along with other opportunities, where ISPs can expand and improve their infrastructure and service offerings to achieve the goal of reaching 80% broadband deployment in each consortium region													
Objective 2													
Budget Line Item													
Year 1 [Specify: from MM/YYYY to MM/YYYY]													
Year 2 [Specify: from MM/YYYY to MM/YYYY]													
Year 3 [Specify: from MM/YYYY to MM/YYYY]													
Activity 1													
Activity 2													
Activity 3													
Activity 4													
Activity 5													
Personnel Staff Compensation													
Inclusive of all benefits, payroll taxes, contributions, etc. (Attach personnel names, titles, bio, and position descriptions)													
Subtotal Personnel Costs													
Transportation Cost:													
Lodging													
Per Diem													
Registration Fees, Conferences/Conventions													
Subtotal, Travel Expense													
Hardware													
Software													
Subtotal, Equipment													
Office Supplies/Printing/Postage													
Subtotal, Supplies													
Training/Educational Supplies													
Subtotal, Training													
Advertising/Promotion													
Subtotal, Promotion													
External Consultants													
Subtotal, Consultants													
Consortium Overhead/ Indirect Costs													
Subtotal, Overhead													
Other Expenses													
Subtotal, Other Expenses													
Activity Total													
Start-up Activity													
Budget, if requesting <sup>1</sup>													

### Notes:

1. Consortia may request an initial start-up costs budget, up to 25% of the entire grant.
2. The CASP Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting infrastructure applicants in the project development or grant application process. The CASP Consortia Grant Account funding is limited to Consortia activities directly related to and in support of CASP infrastructure applications (i.e., an infrastructure application requesting CASP funding and non-CASP funding).

# Appendix A-5

## Proposed Detailed Budget (continued)

Page 3 of 6

Appendix A-5, PROPOSED DETAILED BUDGET. List/describe activities in the Work Plan. <sup>1</sup> Insert more columns and rows as needed													
0													
Name of Consortium:													
Objective 3													
Budget Line Item	Year 1 [Specify: from MM/YYYY to MM/YYYY]					Year 2 [Specify: from MM/YYYY to MM/YYYY]					Year 3 [Specify: from MM/YYYY to MM/YYYY]		
	Activity 1	Activity 2	Activity 3	Activity 4	Activity 5	Activity 1	Activity 2	Activity 3	Activity 4	Activity 5	Activity 1	Activity 2	Activity 3
Personnel/ Staff Compensation Inclusive of all benefits, payroll taxes, contributions, etc. (Attach personal names, titles, bio, and position descriptions)													
Subtotal, Personnel Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Transportation Cost													
Lodging													
Per Diem													
Registration Fees													
Conferences/Conventions													
Subtotal, Travel Expense	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware													
Software													
Subtotal, Equipment	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Office Supplies/Printing/ Postage													
Subtotal, Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training/ Educational Supplies													
Subtotal, Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Advertising Promotion													
Subtotal, Promotion	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
External Consultants													
Subtotal, Consultants	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consortium Overhead/ Indirect Costs													
Subtotal, Overhead	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Expenses													
Subtotal, Other Expenses	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Activity Total	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Start-up Activity	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Budget, if requesting <sup>1</sup>													

### Notes:

1. Consortia may request an initial start-up costs budget, up to 25% of the entire grant.
2. The CASP Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting infrastructure applicants in the project development or grant application process. The CASP Consortia Grant Account funding is limited to Consortia activities directly related to and in support of CASP infrastructure applications (i.e., an infrastructure application requesting CASP funding, an infrastructure application requesting CASP and non-CASP funding).

# Appendix A-5 Proposed Detailed Budget (continued)

Page 4 of 6

Appendix A-5, PROPOSED DETAILED BUDGET, List/Describe activities in the Work Plan. <sup>3</sup> Insert more columns and rows as needed													
Name of Consortium: Objective 4	Conducting activities leading to CASP Infrastructure applications												
	Year 1 (Specify: from MM/YYYY to MM/YYYY)			Year 2 (Specify: from MM/YYYY to MM/YYYY)			Year 3 (Specify: from MM/YYYY to MM/YYYY)			Year 4 (Specify: from MM/YYYY to MM/YYYY)			
	Activity 1	Activity 2	Activity 3	Activity 4	Activity 5	Activity 1	Activity 2	Activity 3	Activity 4	Activity 5	Activity 1	Activity 2	Activity 3
Budget Line Item													
Personnel/ Staff Compensation Inclusive of all benefits, payroll taxes, contributions, etc. (Attach personnel names, title, bio, and position descriptions)													
Subtotal, Personnel Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Transportation Cost													
Lodging													
Per Diem													
Registration Fees, Conferences/Conventions													
Subtotal, Travel Expenses	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware													
Software													
Subtotal, Equipment	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Office Supplies/Printing/ Postage													
Subtotal, Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training/ Educational Supplies													
Subtotal, Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Advertising Promotion													
Subtotal, Promotion	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
External Consultants													
Subtotal, Consultants	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consortium Overhead/ Indirect Costs													
Subtotal, Overhead	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Expenses													
Subtotal, Other Expenses	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Activity Total	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Start-up Activity Budget, if requesting <sup>1</sup>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

Notes:  
1. Consortia may request an initial start-up costs budget, up to 25% of the entire grant.  
2. The CASP Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting infrastructure applicants in the project development or grant application process. The CASP Consortia Grant Account funding is limited to Consortia activities directly related to and in support of CASP infrastructure applications (i.e., an infrastructure application requesting CASP and non-CASP funding).

# Appendix A-5

## Proposed Detailed Budget (continued)

Page 5 of 6

Appendix A-5, PROPOSED DETAILED BUDGET, List/Describe activities in the Work Plan. <sup>2</sup> Insert more columns and rows as needed													
0													
Assisting the Commission in publicizing requests for wireline testing volunteers in areas, as needed													
Budget Line Item	Year 1 (Specify: from MM/YYYY to MM/YYYY)				Year 2 (Specify: from MM/YYYY to MM/YYYY)				Year 3 (Specify: from MM/YYYY to MM/YYYY)				Activity 3
	Activity 1	Activity 2	Activity 3	Activity 4	Activity 1	Activity 2	Activity 3	Activity 4	Activity 1	Activity 2	Activity 3	Activity 4	
Personnel/ Staff Compensation inclusive of all benefits, payroll taxes, contributions, etc. (Attach personal names, titles, bio, and position descriptions)													Activity 3
Subtotal Personnel Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Transportation Cost													
Lodging													
Per Diem													
Registration Fees													
Conferences/Conventions													
Subtotal, Travel Expense	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware													
Software													
Subtotal, Equipment	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Office Supplies/Printing/													
Postage													
Subtotal, Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training/													
Educational Supplies													
Subtotal, Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Advertising													
Promotion													
Subtotal, Promotion	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
External Consultants													
Subtotal, Consultants	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consortium Overhead/ Indirect													
Costs													
Subtotal, Overhead	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Expenses													
Subtotal, Other Expenses	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Activity Total	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Start-up Activity	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Budget, if requesting <sup>1</sup>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

### Notes:

- Consortia may request an initial start-up costs budget, up to 25% of the entire grant.
- The CASP Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting infrastructure applicants in the project development or grant application process. The CASP Consortia Grant Account funding is limited to Consortia activities directly related to and in support of CASP infrastructure applications (i.e., an infrastructure application requesting CASP funding, an infrastructure application requesting CASP and non-CASP funding).

# Appendix A-5

## Proposed Detailed Budget (continued)

Page 6 of 6

Appendix A-5, PROPOSED DETAILED BUDGET, List/describe activities in the Work Plan. <sup>1</sup> Insert more columns and rows as needed				
0				
Name of Consortium: Objective 6	Conducting and Submitting annual audit reports, as required (See Sec 1.9-1.10)			
	Year 1 [specify: from MM/YY to MM/YY]	Year 2 [specify: from MM/YY to MM/YY]	Year 3 [specify: from MM/YY to MM/YY]	Annual Audit
<b>Budget Line Item</b>	<b>Annual Audit</b>	<b>Annual Audit</b>	<b>Annual Audit</b>	<b>Annual Audit</b>
Personnel/ Staff Compensation inclusive of all benefits, payroll taxes, contributions, etc. (Attach personnel names, titles, bio, and position descriptions)				
Subtotal, Personnel Costs	\$0	\$0	\$0	\$0
Transportation Cost				
Lodging				
Per Diem				
Registration Fees, Conferences/Conventions				
Subtotal, Travel Expense	\$0	\$0	\$0	\$0
Hardware				
Software				
Subtotal, Equipment	\$0	\$0	\$0	\$0
Office Supplies/Printing/Postage				
Subtotal, Supplies	\$0	\$0	\$0	\$0
Training/Educational Supplies				
Subtotal, Training	\$0	\$0	\$0	\$0
Advertising/Promotion				
Subtotal, Promotion	\$0	\$0	\$0	\$0
External Consultants				
Subtotal, Consultants	\$0	\$0	\$0	\$0
Consortium Overhead/ Indirect Costs				
Subtotal, Overhead	\$0	\$0	\$0	\$0
Other Expenses				
Subtotal, Other Expenses	\$0	\$0	\$0	\$0
<b>Activity Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

1. The CASP Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting infrastructure applicants in the project development or grant application process. The CASP Consortia Grant Account funding is limited to Consortia activities directly related to and in support of CASP infrastructure applications (i.e., an infrastructure application requesting CASP funding, an infrastructure application requesting CASP and non-CASP funding).

**Appendix A-6  
Affidavit Form**

*Page 1 of 1*

**Appendix A-6, AFFIDAVIT FORM**

Name of Regional Consortium (Consortium): \_\_\_\_\_  
My name is \_\_\_\_\_. I am \_\_\_\_\_ [Title] of \_\_\_\_\_  
[Name of local agency/town acting as Fiscal Agent], which is the Fiscal Agent for \_\_\_\_\_ [Name of Consortium].

Pursuant to Rule 1.11 of the California Public Utilities Commission's Rules of Practice and Procedure, I am an officer, agent, or employee of \_\_\_\_\_ [Name of local agency/town acting as Fiscal Agent].

I swear or affirm that I have personal knowledge of the facts stated in this Application for the Rural and Urban Regional Broadband Consortium Grant Account funding under the provisions of the California Advanced Services Fund, I am competent to testify to them, and I have the authority to make this Application on behalf of and to bind the Consortium.

I further swear or affirm that \_\_\_\_\_ [Name of Consortium] agrees to comply with all federal and state statutes, rules, and regulations covering broadband services and state contractual rules and regulations, if granted Consortium Grant Account funding from the California Advanced Services Fund.

I further swear or affirm that \_\_\_\_\_ [Name of Consortium] agrees to comply with the terms, conditions, and requirements of the grant and thus submits to the jurisdiction of the Commission with regard to disbursement and administration of the grant if granted Consortium Grant Account funding from the California Advanced Services Fund.

I further swear or affirm that no member, officer, director, or partner of \_\_\_\_\_ [Name of Consortium] or its Fiscal Agent has: 1) filed for bankruptcy; 2) was sanctioned by the Federal Communications Commission or any state regulatory agency for failure to comply with any regulatory statute, rule, or order; nor 3) has been found either civilly or criminally liable by a court of appropriate jurisdiction for violation of Section 1700 et. seq. of the California Business and Professions Code, or for any action which involved misrepresentation to consumers, nor is currently under investigation for similar violations.

I further swear or affirm, under penalty of perjury, and under Rule 1.1 of the California Public Utilities Commission's Rules of Practice and Procedure, that, to the best of my knowledge, all of the statements and representations made in this Application are true and correct.

I further swear or affirm that I agree to comply with Rules 1.11 and 2.2 of the California Public Utilities Commission's Rules of Practice and Procedure.

If \_\_\_\_\_ [Name of Consortium] violates the terms and conditions of a CASF award or other program and project compliance requirements, it shall be subject to Public Utilities Code sections 2108 and 2111 for failure to meet the program and project compliance requirements, as determined by the Commission.

\_\_\_\_\_  
Signature and Title

\_\_\_\_\_  
Type or Print Name and Title

**SUBSCRIBED AND SWORN** to before me on the \_\_\_\_ day of \_\_\_\_, 20 \_\_\_\_.

Notary Public In and For the State of: \_\_\_\_\_  
My Commission expires: \_\_\_\_\_





## **Appendix B**

### **Consortia Grant Forms**



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**Appendix B-1**  
**Grant Disbursement Schedule Form**

*Page 1 of 2*

**California Advanced Services Fund (CASF)**  
**Rural and Urban Regional Consortia Grant Account**  
**Grant Disbursement Schedule Form**

\_\_\_\_\_  
Name of Regional Consortium

\_\_\_\_\_  
Name of Fiscal Agent (Please attach Payee Data Record, STD 204, if not on file with the Commission  
<http://www.courts.ca.gov/documents/4-2-RFP-13-14-01GW-Attachment-5-Payee-Data-Record.pdf>)

Commission Resolution awarding grant: Resolution T- \_\_\_\_\_ Issuance Date: \_\_\_\_\_

Total CASF Approved Amount: \_\_\_\_\_ \$

Year 1 (from mm/yyyy to mm/yyyy): \_\_\_\_\_ \$      Year 2 (from mm/yyyy to mm/yyyy): \_\_\_\_\_ \$

Year 3 (from mm/yyyy to mm/yyyy): \_\_\_\_\_ \$      Year 4 (from mm/yyyy to mm/yyyy): \_\_\_\_\_ \$

Start Date of Grant (dd/mm/yyyy): \_\_\_\_\_

Due-dates for Bi-annual Progress Reports and payment requests (dd/mm/yyyy):

Year 1 Report 1: \_\_\_\_\_ Year 1 Report 2: \_\_\_\_\_

Year 2 Report 1: \_\_\_\_\_ Year 2 Report 2: \_\_\_\_\_

Year 3 Report 1: \_\_\_\_\_ Year 3 Report 2: \_\_\_\_\_

Year 4 Report 1: \_\_\_\_\_ Year 4 Report 2: \_\_\_\_\_

Is a bank account solely for CASF deposits and expenditures established: Yes: ☐ No: ☐

If no, please explain: \_\_\_\_\_

Please explain how billing to discrete funding sources will not overlap:

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

\_\_\_\_\_  
Recipient Signature

\_\_\_\_\_  
Fiscal Agent Signature

**Appendix B-1**  
**Grant Disbursement Schedule Form** *(continued)*

*Page 2 of 2*

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

Telephone Number (include area code):

\_\_\_\_\_  
(       )

Telephone Number (include area code):

\_\_\_\_\_  
(       )

Email Address:

\_\_\_\_\_

Email Address:

\_\_\_\_\_

## **Consent Form**

Name of Grantee: \_\_\_\_\_

☐

The Grantee identified above hereby acknowledges receipt of the California Public Utilities Commission Resolution T-\_\_\_\_\_ and agrees to comply with all grant terms, conditions, and requirements set forth in the Resolution.

Undersigned representative of \_\_\_\_\_ [Name of Grantee] is duly authorized to execute this Consent Form on behalf of the Grantee and to bind the Grantee to the terms, conditions, and requirements set forth in California Public Utilities Commission Resolution T-\_\_\_\_\_.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name

Title: \_\_\_\_\_

Organization or Name of Company  
\_\_\_\_\_

\_\_\_\_\_  
Business Address (include street address, suite/apt. number, city, state, and ZIP Code):  
\_\_\_\_\_

Telephone Number (include area code): \_\_\_\_\_

Email Address: \_\_\_\_\_

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## **Appendix C**

### **Bi-annual Progress Report and Payment Request Package**

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**Appendix C-1**  
**Bi-annual Report and Payment Request**  
**Transmittal Letter and Affidavit**

*Page 1 of 1*

**Appendix C-1, California Advanced Services Fund Consortia Grant Program**

**Bi-annual Report and Payment Request**  
**Transmittal Letter and Affidavit**

To: CASF Consortia Grant Administrator

Attached are the Bi-annual Report and/or Payment Request for:

Work Plan Year:\* \_\_\_\_\_  
[e.g., Year 1, Report 1]

Reporting Period:\* \_\_\_\_\_  
[specify: from mm/yy to mm/yy]

I declare under penalty of perjury under the laws of the State of California that, to the best of my knowledge, all of the statements and representations made in this Bi-annual Report and Bi-Annual Payment Request are true and correct.

\_\_\_\_\_  
Regional Consortium

\_\_\_\_\_  
Signature and Title

\_\_\_\_\_  
Print Name and Title

Date: \_\_\_\_\_

\* The Work Plan Year and Reporting Period should be consistent with the work plan year information listed on the *Grant Fund Request Form* (Appendix B-1).

## Appendix C-2

### Bi-Annual Payment Request Cover Sheet

Page 1 of 1

Appendix C-2, BI-ANNUAL PAYMENT REQUEST COVER SHEET <sup>1,2</sup>			
Name of Consortium			
Approved Grant, Year 1 [specify: from MM/YY to MM/YY]			
Approved Grant, Year 2 [specify: from MM/YY to MM/YY]			
Approved Grant, Year 3 [specify: from MM/YY to MM/YY]			
Approved Grant, Year 4 [specify: from MM/YY to MM/YY]			
Reporting Period [specify: from MM/YY to MM/YY]			
Reporting Period Ending: [MM/YY]			
	Amount Requested	Amount Approved	Amount Received
Start-Up Costs			
Y1 Report 1, Progress Payment			
Y1 Report 2, Progress Payment			
Y2 Report 1, Progress Payment			
Y2 Report 2, Progress Payment			
Y3 Report 1, Progress Payment			
Y3 Report 2, Progress Payment			
Y4 Report 1, Progress Payment			
Y4 Report 2, Progress Payment			
<b>Total</b>			

#### Notes:

<sup>1</sup> Consortia should submit this *Bi-annual Payment Request Cover Sheet* in Excel format.

<sup>2</sup> The Work Plan Year and Reporting Period should be consistent with the work plan year information listed on the *Grant Fund Request Form* (Appendix B-1).

## Appendix C-3 Bi-annual Progress Report

Page 1 of 1

Appendix C-3, BI-ANNUAL PROGRESS PLAN <sup>1,2</sup> (see Sec 1.11)						
Name of Consortium:						
Name of Project:						
Actual Project Start Date (dd/mm/yyyy):						
Reporting Period (specify: from mm/yy to mm/yy)						
Date Report Submitted (dd/mm/yyyy):						
Goals/Objectives (as stated in the Work Plan)	Activities Performed	Deliverables Completed	Completion Date (as stated in approved Work Plan)	Actual Date Completed	Actual Performance Measure Results	Comments (i.e., reasons why actual activities, deliverables, completion dates, and/or performance measures not meeting approved Work Plan)
<b>Objective 1.</b> Collaborating with the Commission to engage regional consortia, local officials, ISPs, stakeholders, and consumers regarding priority areas and cost-effective strategies to achieve the broadband access goal	Activity 1					
	Activity 2					
	Activity 3					
	Activity 4					
	Activity 5					
Total, Objective 1						
<b>Objective 2.</b> Identifying potential CASP infrastructure projects, along with other opportunities, where ISPs can expand and improve their infrastructure and service offerings to achieve the goal of reaching 98% broadband deployment in each consortia region	Activity 1					
	Activity 2					
	Activity 3					
	Activity 4					
	Activity 5					
Total, Objective 2						
<b>Objective 3.</b> Assisting CASP infrastructure applicants in the project development or grant application process	Activity 1					
	Activity 2					
	Activity 3					
	Activity 4					
	Activity 5					
Total, Objective 3						
<b>Objective 4.</b> Conducting activities leading to CASP infrastructure applications	Activity 1					
	Activity 2					
	Activity 3					
	Activity 4					
	Activity 5					
Total, Objective 4						
<b>Objective 5.</b> Assisting the Commission in publicizing requests for wireless lending volunteers in areas, as needed	Activity 1					
	Activity 2					
	Activity 3					
	Activity 4					
	Activity 5					
Total, Objective 5						
<b>Objective 6.</b> Conducting and Submitting annual audit reports, as required	Annual Audit					
Total, Objective 6						

**Notes:**

<sup>1</sup> A Start-up Period Progress Report is required if the grantee requests an initial start-up costs payment, up to 25% of entire grant.

Consortia should use this report template for the Start-up Period Progress Report.

Consortia should report on the completion of start-up activities per the approved Work Plan and Performance Metrics Plan, as well as milestones met.

<sup>2</sup> The CASP Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting infrastructure applicants in the project development or grant application process. The CASP Consortia Grant Account funding is limited to Consortia activities directly related to and in support of CASP infrastructure applications (i.e., an infrastructure application requesting CASP funding, an infrastructure application requesting CASP and non-CASP funding).

Appendix C-4  
Bi-annual Payment Request Worksheet

Page 1 of 3

<b>Appendix C-4, Bi-annual Payment Request<sup>1,2</sup></b> (name) Broadband Consortium Work Plan Year:      Reporting Period: from mm/yy to mm/yy
---

Line Item #	Description	Invoice or Receipt #	Invoice or Receipt Date	Supporting Document Attached	Objective 1:	Objective 2:	Objective 3:	Objective 4:	Objective 5:	Objective 6:	TOTAL AMOUNT
-------------	-------------	----------------------	-------------------------	------------------------------	--------------	--------------	--------------	--------------	--------------	--------------	--------------

<b>Personnel Costs</b>											
1		###	(mm/dd/yyyy)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
2					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
3					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
4					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
5					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	subtotal				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

<b>Travel Expense</b>											
6		###	(mm/dd/yyyy)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
7					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
8					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
9					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
10					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	subtotal				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

<b>Equipment</b>											
11		###	(mm/dd/yyyy)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
12					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
13					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
14					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
15					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	subtotal				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

## Appendix C-4

## Bi-annual Payment Request Worksheet (continued)

Page 2 of 3

<b>Appendix C-4, Bi-annual Payment Request<sup>1,2</sup></b> (name) Broadband Consortium Work Plan Year:                      Reporting Period: from mm/yy to mm/yy
---

Line Item #	Description	Invoice or Receipt #	Invoice or Receipt Date	Supporting Document Attached	Objective 1:	Objective 2:	Objective 3:	Objective 4:	Objective 5:	Objective 6:	TOTAL AMOUNT
<b>Supplies</b>											
16		###	(mm/dd/yyyy)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
17					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
18					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
19					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
20					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	subtotal				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

<b>Training Expense</b>											
21		###	(mm/dd/yyyy)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
22					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
23					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
24					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
25					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	subtotal				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

<b>Advertising/Promotion</b>											
26		###	(mm/dd/yyyy)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
27					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
28					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
29					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
30					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	subtotal				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

<b>External Consultants</b>											
31		###	(mm/dd/yyyy)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
32					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
33					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
34					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
35					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	subtotal				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

# Appendix C-4

## Bi-annual Payment Request Worksheet (continued)

Page 3 of 3

Appendix C-4, Bi-annual Payment Request <sup>1,2</sup>  
 (name) Broadband Consortium  
 Work Plan Year: Reporting Period: from mm/yy to mm/yy

Line Item #	Description	Invoice or Receipt #	Invoice or Receipt Date	Supporting Document Attached	Objective 1:	Objective 2:	Objective 3:	Objective 4:	Objective 5:	Objective 6:	TOTAL AMOUNT
-------------	-------------	----------------------	-------------------------	------------------------------	--------------	--------------	--------------	--------------	--------------	--------------	--------------

<b>Overhead</b>											
36		###	(mm/dd/yyyy)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
37					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
38					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
39					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
40					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	subtotal				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

<b>Meetings/Conferences/Conventions</b>											
41		###	(mm/dd/yyyy)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
42					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
43					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
44					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
45					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	subtotal				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

<b>Other Expenses</b>											
46		###	(mm/dd/yyyy)		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
47					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
48					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
49					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
50					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	subtotal				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

<b>GRAND TOTALS</b>					<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
---------------------	--	--	--	--	---------------	---------------	---------------	---------------	---------------	---------------	---------------

### Notes:

1. Consortia should submit this bi-annual payment request in Excel format.

2. Consortia should clearly identify start-up activity costs, if any, on this payment request.

# Appendix C-5

## Public Workshop Reimbursement Request Form

Page 1 of 1

<b>Appendix C-5, PUBLIC WORKSHOP REIMBURSEMENT REQUEST FORM</b>	
<b>Name of Consortium</b>	
<b>Date of Public Workshop</b>	
<b>Location of Public Workshop (City)</b>	
<b>Name of Delegate</b>	<b>Requested Amount</b> (please attach a Travel Request Form, STD 262-A for each claimant)
<b>Total</b>	