

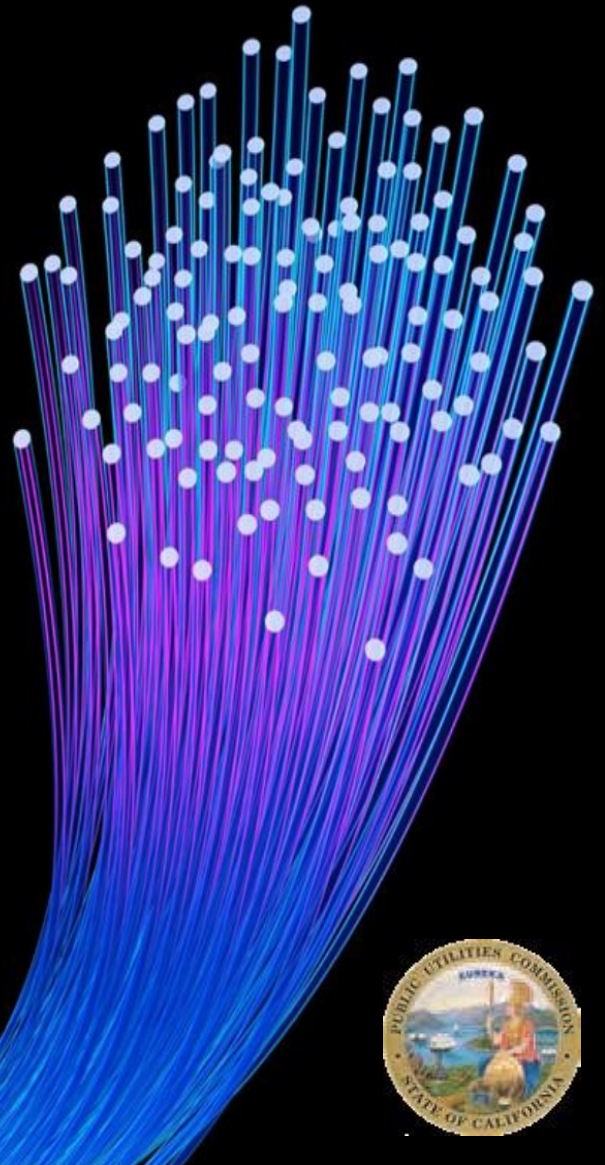


CALIFORNIA PUBLIC UTILITIES COMMISSION

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

**Administrative Manual**  
Version 11 (April 2024)





To all CASF Regional Consortia:

The California Public Utilities Commission (CPUC or the Commission) thank you for your interest in promoting broadband deployment in California. We welcome you to the California Advanced Services Fund (CASF) Program and look forward to working with you to help bridge the digital divide in California.<sup>1</sup>

Respectfully,

The CASF Team  
CPUC Communications Division

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<sup>1</sup> This Administrative Manual was prepared by California Public Utilities Commission (CPUC) CD staff. It does not change, replace, or waive any of the rules or guidelines adopted in Decision (D.) 22-05-029 on May 19, 2022, nor has the CPUC passed upon the accuracy or adequacy of the information in it. The contents of the manual are for informational proposed only.

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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 \(D.\) 22-05-029](#) establishes current rules, requirements, and guidelines for the Consortia Grant Account.
- [D.18-10-032](#) implemented programmatic changes to the Consortia Grant Account as required by Assembly Bill (AB) 1665 and established the requirements and guidelines for the 2019, 2020, and 2021 Consortia Grant Cycles.
- [D.11-06-038](#) established the requirements and guidelines for the 2016 Consortia Grant Cycle.

For more information, please visit the [Consortia Grant Account program website](#), or send an email to [CASF\\_Consortia\\_Grant\\_Administrator@cpuc.ca.gov](mailto:CASF_Consortia_Grant_Administrator@cpuc.ca.gov).

## II. CASF Staff Team

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

- Rural and Urban Regional Broadband Consortia Account  
[CASF\\_Consortia\\_Grant\\_Administrator@cpuc.ca.gov](mailto:CASF_Consortia_Grant_Administrator@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.22-05-029 Sections. Each Consortium applicant must submit all appendixes above as part of the application, along with supporting information.<sup>2</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 grantee will be contacted following approval of a CASF Consortia grant award. CD staff will request each grantee 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.

Grantees are required to sign a *Consent Form* which binds the grantee to the terms, conditions, and requirements of the Decision and the Resolution, as well as all CASF rules, including those in the Consortia Grant Account Requirements, Guidelines and Application Materials awarding the grant. Should the grantee not accept the award through failure to submit the consent form within 30 calendar days from the date of

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<sup>2</sup> D.22-05-029, Appendix 3, p. 5.

the award, the Commission will deem the grant null and void. The proposed wording of the consent form is available on the CASF Consortia website,

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 receive a progress payment, the grantee 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. (see Section VII.A. *Submission of Bi-annual Progress Reports and Payment Requests*, for the submission method).

## 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>3</sup> All performance specified under the terms of any award shall be completed on or before the termination date of the award as stated in the Resolution authorizing the award. The start of the Consortia grant begins upon grant approval.<sup>4</sup> Should the grantee or its contractor fail to commence work at the agreed upon time, the Commission may terminate the award and may impose penalties.<sup>5</sup> In the event that the grantee fails to complete the project, in accordance with the terms of approval granted by the Commission, the grantee will be required to reimburse some or all of the CASF funding that it has received.<sup>6</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>7</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>8</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

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<sup>3</sup> D.22-05-029, Appendix 3, p. 14.

<sup>4</sup> Id. at p. 12.

<sup>5</sup> Id. at p. 14.

<sup>6</sup> Id.

<sup>7</sup> Id.

<sup>8</sup> D.22-05-029, Appendix 3, p. 12.

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*.

## **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>9</sup> The table, on page 6, 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>10</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 grantees 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>11</sup> as explained in Section VIII, Bi-annual Progress Payment Requests, below.

### **A. Submission of Bi-annual Progress Reports and Payment Requests**

Bi-annual progress reports and payment requests must be submitted electronically through the Electronic Claims and Applications Portal (eCAP) for the Commission's Communications Division.

- eCAP is available at: <https://ecap.cpuc.ca.gov/s/>.

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<sup>9</sup> D.22-05-029, Appendix 3, p. 14.

<sup>10</sup> Id. at p. 11.

<sup>11</sup> Id. at p. 11; see also D.22-05-029, Appendix 3, p. 12.



- All Consortia grantees must use eCAP to submit payment requests for their CASF Consortia grants. Payment requests will no longer be accepted through the Consortia Account public email.
- [eCAP Help - FAQs Webpage](#): provides helpful videos and FAQs on how to use eCAP.

If a consortium encounters a technical problem using eCAP, please email

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

### ***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.22-05-029, 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 grantee 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 grantee requests an initial start-up cost payment, then a "Start-up Period Report" is required.<sup>12</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.

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<sup>12</sup> D.22-05-029, Appendix 3, p. 11.



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.22-05-029. 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.22-05-029. 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.22-05-029. 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>

## **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) (see Section VII.A. *Submission of Bi-annual Progress Reports and Payment Requests*, for the submission method).

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: shall be for consortia activities directly related to and in support of CASF-funded infrastructure applications or broadband deployment projects related to the new programs created under SB 156 and AB 164 as set forth in D.22-05-029, Appendix 3. The CASF Consortia Grant Account funding is limited to Consortia activities directly related to and in support of CASF-funded infrastructure applications (i.e., an infrastructure application 100% funded by CASF funding, an infrastructure application funded by both CASF and non-CASF funding), or broadband deployment projects related to the new programs created under SB 156 and AB 164.
  - 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>13</sup> The allowable rates/costs are those negotiated and approved under the collective bargaining agreement(s) that are in use by State employees. An electronic copy of STD 262A, instructions as well as all current

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<sup>13</sup> <http://hrmanual.calhr.ca.gov/Home/ManualItem/1/2201>.

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 Account 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.
- 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 grantee'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 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, a description of how each activity promotes the deployment of broadband services, and the cost associated with each activity
- The number of project applications assisted.

To assist grantees to provide the required information, a template is included as **Appendix D, *Annual Audit Report Template for Reporting Activity Information***. Auditor may include Appendix D in the body of the annual audit or create a separate Appendix D Report to be attached to the Annual Audit for auditing purposes.

Auditor should review Annual Audit Report Activity details with the CPUC-approved Work Plan and Performance Metrics Plan to verify that agreed upon Objectives and Activities were completed. The annual audit should describe how the Consortium tracked and measured performance results based on their CPUC-approved Work Plan and Performance Metrics Plan to indicate how the end of year performance results were met, exceeded or fell short of meeting milestone dates, functions, activities, and deliverables.

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 specifically related to CASF grant funds and are free of material misstatement and are fairly presented based upon the application of generally accepted accounting principles. Audit period is in accordance with performance period start dates as set forth in Appendix B-1, *Grant Disbursement Schedule Form*, from the CPUC-approved Work Plan.

A sample Annual Audit Report is included in Appendix E.

## **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 including, but not limited to, timesheets with dates, employee names, hours worked, hourly rates, consultant contracts, invoices, receipts, worksheet determining costs associated with objectives' budgets, copies of fringe benefit contracts and/or indirect costs negotiated with state or federal government. Bi-Annual Report line items should correspond to costs submitted in objectives' budgets from CPUC-approved Work Plan & Performance Metrics Plans.

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 with 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.22-05-029, Appendix 3, p. 13.

### **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 grantee 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.”*



## **Appendix A**

### **Application Package**



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# Appendix A-1 CASF Consortia Grant Application Checklist

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 (D.) 22-05-029, Appendix 3, <i>Rural and Urban Regional Broadband Consortia Grant Account Application Requirements and Guidelines</i> .				
#	Item Included?	Reference to D.22-05-029	Item	Tab # / Form Template
1	<input type="checkbox"/>	Sec VI.A.	<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 VI.A.	<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 VI.A.	<b>Description of existing and past non-CASF funded projects</b>	Tab 2   <i>Non-CASF Prjs</i>
4	<input type="checkbox"/>	Sec VI.A.	<b>Governing Board Structure</b>	No form, submit the information as a separate attachment
5	<input type="checkbox"/>	Sec VI.A.	<b>Identification of each Consortium member, background, and role in the proposed project</b>	Tab 3   <i>Board Members</i>
6	<input type="checkbox"/>	Sec VI.C.	<b>Copy of most recent Audit Report</b>	No form, submit the information as a separate attachment
7	<input type="checkbox"/>	Sec VI.A.	<b>Proposed Broadband Project Description</b>	No form, submit the information as a separate attachment
8	<input type="checkbox"/>	Sec VI.A.	<b>Description of geographical regions/population groups/community interests, e.g. maps, Census Block Groups, and ZIP Codes to be covered by the proposed project</b>	No form, submit the information as a separate attachment
9	<input type="checkbox"/>	Sec VII.	<b>A list identifying endorsements received from the state or local government, community groups, and anchor institutions supporting the application</b>	No form, submit the list as a separate attachment; applicant may choose not to submit endorsement letters, and instead of submitting a list identifying which organizations provide endorsement support for the applicant.
10	<input type="checkbox"/>	Sec VI.B.	<b>Work Plan</b>	Tab 4   <i>Annual Work Plan and Performance Metrics Plan</i>
11	<input type="checkbox"/>	Sec VI.B.	<b>Name of Proposed Project</b>	No form, submit the information on this checklist form
12	<input type="checkbox"/>	Sec VI.D., IX., X.	<b>Proposed Budget</b>	Tabs 5   <i>Budget_Obj1 thr Budget Obj6</i>
13	<input type="checkbox"/>	Sec VI.E.	<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"/>	Sec VI.E.	<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 VI.E.	<b>Letter Committing to Act as Fiscal Agent</b> <i>- 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.</i>	No form, submit the information as a separate attachment
16	<input type="checkbox"/>	Sec VI.F.	<b>Notarized Affidavit</b>	Tab 11   <i>Affidavit Form</i>

## 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 Description	
- 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 Description	
- 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 Description	
- 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**  
**Board member Background and Project Role**

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 certificated 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

Appendix A-4, ANNUAL WORK PLAN AND PERFORMANCE METRICS PLAN (see Sec VI, 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 <input type="checkbox"/> Check			If checked, explain why there is no funding duplication:				
Year 1 (specify: Calendar Year) [see instructions below for work plan terminology definitions and requirements]									
Objective	Activity Description	Start-Up Activity	Deliverable(s) *	Beginning Month	End Month	Performance Measure(s)†	Method for Performance Tracking and Measuring	Responsible Party(ies)	
<b>Objective 1</b> , Collaborating with the Commission and other state agencies 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 maps as relevant to the geographical areas	<input type="checkbox"/>	Example: Regional broadband deployment current state assessment analysis			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 data/map	<input type="checkbox"/>	Example: broadband mapping data updates and feedback					
	Activity 3	Example: conduct marketing and outreach	<input type="checkbox"/>	Example: marketing & outreach materials and outreach summary					
	Activity 4	Example: collect public feedback	<input type="checkbox"/>	Example: public feedback surveys					
	Activity 5		<input type="checkbox"/>						
<b>Objective 2</b> , Identifying potential CASF infrastructure projects or potential broadband deployment projects related to new programs created under SB 156 and AB 164, 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	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 potential CASF infrastructure applicants or potential applicants for broadband deployment projects related to the new programs created under SB 156 and AB 164 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)

<b>Objective 4.</b> Conducting activities that will lead to or that can be reasonably expected to lead to CASF infrastructure projects or broadband deployment projects related to new programs created under SB 158 and AB 164, including the Federal Funding Account, Middle-Mile, Broadband Loan Loss Reserve, and Local Agency Technical Assistance.	Activity 1	Example: support project permitting activities	<input type="checkbox"/>	Example: description of activities performed and results achieved			Examples: 1. # of project permits supported 2. # of stakeholders engaged 3. # of inventories of public assets and aggregate demand updated 4. # of broadband availability maps developed	[Specify performance measure data tracking and measuring methodology]		
	Activity 2	Example: engage stakeholders to better understand and explain regional broadband needs and solutions and providing technical assistance to such entities	<input type="checkbox"/>	Example: description of activities performed and results achieved						
	Activity 3	Example: conduct an inventory of public assets and aggregate demand	<input type="checkbox"/>	Example: public assets inventory updates; regional broadband availability maps						
	Activity 4		<input type="checkbox"/>							
	Activity 5		<input type="checkbox"/>							
<b>Objective 5.</b> Assisting the Commission in publicizing requests for wireline testing volunteers in areas, as needed	Activity 1	Example: publicize wireline testing volunteer requests	<input type="checkbox"/>	Example: publicizing materials and list of testing volunteers			Examples: 1. # of wireline testing conducted 2. # of mapping data updates identified as a result of testing	[Specify performance measure data tracking and measuring methodology]		
	Activity 2	Example: assist volunteers in wireline testing	<input type="checkbox"/>	Examples: Wireline testing training materials						
	Activity 3	Example: collect and analyze wireline testing data	<input type="checkbox"/>	Example: Wireline testing data analysis						
	Activity 4		<input type="checkbox"/>							
	Activity 5		<input type="checkbox"/>							
Conducting and Submitting annual audit reports, as required	Annual Audit	Example: provide the required annual audit report	<input type="checkbox"/>	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 CASF Consortia Grant program objectives. The CASF Consortia Grant Account will fund consortia activities directly related to and in support of CASF infrastructure applications. Please note, a Consortia Account shall not be used for adoption activities; a Consortia Account grant shall not be used for construction of infrastructure facilities; a Consortia Account grant shall not be used for work on legislation, including meetings, travel, or lobbying; and a Consortia 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 CASF Consortia 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 milestones, including deliverables and performance metrics to be accomplished.
Performance Measure	Identifying the specific, quantitative outcome/result measures which generate reliable data on the effectiveness and efficiency of program and assess how well the consortium is achieving the CASF Consortia 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.

\*\* Consortia grantees may request an initial start-up cost budget, up to 25% of the entire grant.

\*\*\* The CASF Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate the deployment of broadband services by assisting CASF infrastructure grant applicants in the project development or grant application process or assisting broadband deployment projects related to programs created under Senate Bill (SB) 158 and Assembly Bill (AB) 164.

# Appendix A-5 Proposed Detailed Budget

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

Notes:  
 1. Consortia may request an initial start-up cost budget, up to 25% of the entire grant.  
 2. The CASF Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting CASF infrastructure applicants in the project development or grant application process or assisting broadband deployment projects related to programs created under SB 156 and AB 164.



# Appendix A-5 Proposed Detailed Budget (continued)

Appendix A-5, PROPOSED DETAILED BUDGET, List/describe activities in the Work Plan <sup>2</sup> . Insert more columns and rows as needed															
Name of Consortium:		0													
Objective 2		Identifying potential CASF infrastructure projects or potential broadband deployment projects related to new programs created under SB 156 and AB 164, 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													
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	Activity 4	Activity 5
Personnel/ Staff Compensation inclusive of all benefits, payroll taxes, contributions, etc. (Attach personnel names, titles, bio, and position descriptions)															
<b>Subtotal, Personnel Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Transportation Cost															
Lodging															
Per Diem															
Registration Fees, Conferences/Conventions															
<b>Subtotal, Travel Expense</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware															
Software															
<b>Subtotal, Equipment</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Office Supplies/Printing/Postage															
<b>Subtotal, Supplies</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training/Educational Supplies															
<b>Subtotal, Training</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Advertising															
Promotion															
<b>Subtotal, Promotion</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
External Consultants															
<b>Subtotal, Consultants</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consortium Overhead/Indirect Costs															
<b>Subtotal, Overhead</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Expenses															
<b>Subtotal, Other Expenses</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Activity Total</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Start-up Activity Budget, if requesting<sup>1</sup></b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

Notes:  
 1. Consortia may request an initial start-up cost budget, up to 25% of the entire grant.  
 2. The CASF Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting CASF infrastructure applicants in the project development or grant application process or assisting broadband deployment projects related to programs created under SB 156 and AB 164.

**Appendix A-5  
Proposed Detailed Budget (continued)**

Appendix A-5, PROPOSED DETAILED BUDGET, List/describe activities in the Work Plan. <sup>2</sup> Insert more columns and rows as needed															
<b>Name of Consortium:</b>	0														
<b>Objective 3</b>	Assisting potential CASF infrastructure applicants or potential applicants for broadband deployment projects related to the new programs created under SB 156 and AB 164 in the project development or grant application process														
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	Activity 4	Activity 5
Personnel/ Staff Compensation inclusive of all benefits, payroll taxes, contributions, etc. (Attach personnel names, titles, bio, and position descriptions)															
<b>Subtotal, Personnel Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Transportation Cost															
Lodging															
Per Diem															
Registration Fees, Conferences/Conventions															
<b>Subtotal, Travel Expense</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware															
Software															
<b>Subtotal, Equipment</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Office Supplies/Printing															
Postage															
<b>Subtotal, Supplies</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training/ Educational Supplies															
<b>Subtotal, Training</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Advertising															
Promotion															
<b>Subtotal, Promotion</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
External Consultants															
<b>Subtotal, Consultants</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consortium Overhead/ Indirect Costs															
<b>Subtotal, Overhead</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Expenses															
<b>Subtotal, Other Expenses</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Activity Total</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Start-up Activity Budget, if requesting<sup>1</sup></b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

**Notes:**  
 1. Consortia may request an initial start-up cost budget, up to 25% of the entire grant.  
 2. The CASF Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting CASF infrastructure applicants in the project development or grant application process or assisting broadband deployment projects related to programs created under SB 156 and AB 164.

# Appendix A-5 Proposed Detailed Budget (continued)

Appendix A-5, PROPOSED DETAILED BUDGET, List/describe activities in the Work Plan. <sup>2</sup> Insert more columns and rows as needed															
Name of Consortium:	0														
Objective 4	Conducting activities that will lead to or that can be reasonably expected to lead to CASF infrastructure projects or broadband deployment projects related to new programs created under SB 156 and AB 164, including the Federal Funding Account, Middle-Mile, Broadband Loan Loss Reserve, and Local Agency Technical Assistance														
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	Activity 4	Activity 5
Personnel/ Staff Compensation Inclusive of all benefits, payroll taxes, contributions, etc. (Attach personnel names, titles, bio, and position descriptions)															
<b>Subtotal, Personnel Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Transportation Cost															
Lodging															
Per Diem															
Registration Fees, Conferences/Conventions															
<b>Subtotal, Travel Expense</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware															
Software															
<b>Subtotal, Equipment</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Office Supplies/Printing															
Postage															
<b>Subtotal, Supplies</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training/ Educational Supplies															
<b>Subtotal, Training</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Advertising															
Promotion															
<b>Subtotal, Promotion</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
External Consultants															
<b>Subtotal, Consultants</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consortium Overhead/ Indirect Costs															
<b>Subtotal, Overhead</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Expenses															
<b>Subtotal, Other Expenses</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Activity Total</b>	\$0	\$0	\$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	\$0	\$0

**Notes:**

1. Consortia may request an initial start-up cost budget, up to 25% of the entire grant.

2. The CASF Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting CASF infrastructure applicants in the project development or grant application process or assisting broadband deployment projects related to programs created under SB 156 and AB 164.

# Appendix A-5 Proposed Detailed Budget (continued)

Appendix A-5, PROPOSED DETAILED BUDGET, List/describe activities in the Work Plan. <sup>2</sup> Insert more columns and rows as needed															
Name of Consortium:	0														
Objective 5	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 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	Activity 4	Activity 5
Personnel/ Staff Compensation inclusive of all benefits, payroll taxes, contributions, etc. (Attach personnel names, titles, bio, and position descriptions)															
<b>Subtotal, Personnel Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Transportation Cost															
Lodging															
Per Diem															
Registration Fees, Conferences/Conventions															
<b>Subtotal, Travel Expense</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware															
Software															
<b>Subtotal, Equipment</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Office Supplies/Printing															
Postage															
<b>Subtotal, Supplies</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training/ Educational Supplies															
<b>Subtotal, Training</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Advertising															
Promotion															
<b>Subtotal, Promotion</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
External Consultants															
<b>Subtotal, Consultants</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consortium Overhead/ Indirect Costs															
<b>Subtotal, Overhead</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Expenses															
<b>Subtotal, Other Expenses</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Activity Total</b>	\$0	\$0	\$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	\$0	\$0

Notes:  
 1. Consortia may request an initial start-up cost budget, up to 25% of the entire grant.  
 2. The CASF Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting CASF infrastructure applicants in the project development or grant application process or assisting broadband deployment projects related to programs created under SB 156 and AB 164.

**Appendix A-5  
Proposed Detailed Budget (continued)**

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

1. The CASF Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting CASF infrastructure applicants in the project development or grant application process or assisting broadband deployment projects related to programs created under SB 156 and AB 164.

2. Pursuant to Pub. Util. Code, § 281(g)(2), each consortium must conduct an annual audit of its expenditures and submit to the Commission an annual report that includes both of the following: (1) 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; and (2) the number of project applications assisted.

**Appendix A-6  
Affidavit Form**

**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  
([STD 204 - Payee Data Record \(ca.gov\)](https://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf)): <https://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.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)*

\_\_\_\_\_  
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, as well as all CASF rules, including those in the Rural and Urban Regional Broadband Consortia Account Requirements, Guidelines and Application Materials. If applicable, Grantee must fulfill the monthly reporting requirements set forth in Public Utilities Code section 281(l)(1) if it is using a licensed contractor or subcontractor to undertake a contract or subcontract in excess of twenty-five thousand dollars (\$25,000) to perform work on a project funded or financed by CASF.

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 Fiscal Agent

\_\_\_\_\_  
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**

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

Appendix C-3, BI-ANNUAL PROGRESS PLAN <sup>2</sup>						
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 state 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 and other state agencies 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 CASF infrastructure projects or potential broadband deployment projects related to new programs created under SB 156 and AB 164, 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 potential CASF infrastructure applicants or potential applicants for broadband deployment projects related to the new programs created under SB 156 and AB 164 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> , Assisting the Commission in promoting broadband deployment in California and conducting activities that will lead to or that can be reasonably expected to lead to CASF infrastructure projects or broadband deployment projects related to new programs created under SB 156 and AB 164, including the Federal Funding Account, Middle-Mile, Broadband Loan Loss Reserve, and Local Agency Technical Assistance leading to CASF 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 wireline testing 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:**

1. A Start-up Period Progress Report is required if the grantee is approved for initial start-up cost budget and requests an initial start-up cost payment, up to 25% of entire grant budget.  
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 milestone met.
2. The CASF Rural and Urban Regional Broadband Consortia Grant Account shall be available for grants to eligible consortia to facilitate deployment of broadband services by assisting CASF infrastructure applicants in the project development or grant application process or assisting broadband deployment projects related to programs created under SB 156 and AB 164.

**Appendix C-4  
Bi-annual Payment Request Worksheet**

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
-------------	-------------	----------------------	-------------------------	------------------------------	--------------	--------------	--------------	--------------	--------------	--------------	--------------

Personnel Costs											
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

Travel Expense											
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

Equipment											
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)**

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>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)**

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
-------------	-------------	----------------------	-------------------------	------------------------------	--------------	--------------	--------------	--------------	--------------	--------------	--------------

Overhead											
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

Meetings/Conferences/Conventions											
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

Other Expenses											
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>					\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
---------------------	--	--	--	--	--------	--------	--------	--------	--------	--------	--------

**Notes:**

<sup>1</sup> Consortia should submit this bi-annual payment request in Excel format.

<sup>2</sup> Consortia should clearly identify requested start-up activity costs on this payment request, if Consortia is approved for initial start-up cost budget.

**Appendix C-5  
Public Workshop Reimbursement Request Form**

*Page 1 of 1*

<b>Appendix C-5, PUBLIC WORKSHOP REIMBURSEMENT REQUEST FORM</b>
---

Name of Consortium	
Date of Public Workshop	
Location of Public Workshop (City)	

Name of Delegate	Requested Amount Please attach a Travel Request Form, STD 262-A ( <a href="https://www.documents.dgs.ca.gov/dgs/fmc/pdf/std262a.pdf">https://www.documents.dgs.ca.gov/dgs/fmc/pdf/std262a.pdf</a> ) for each claimant
<b>Total</b>	



## **Appendix D**

### **Annual Audit Report Reporting Activity Required by Public Utilities Code 281**



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# Appendix D: Annual Audit Report For Reporting Activity as Required by Public Utilities Code 281

Annual Audit Report Template for Reporting Activity as Required by Public Utility Code 281				
				[Consortium Name] Notes for Financial Statements For the Project Year Ended [Month Date, Year]
<b>Note # - Specific Activities</b> Specific activities for [Consortium Name] for the project year ended [Month Date, Year] are as follows:				
Objective Description	Description of Activities Completed During the Prior Year	Description of How Each Activity Promotes the Deployment of Broadband Services	Performance based on Work Plan & Performance Metrics Plan	Cost Associated with Each Activity
Objective 1, Collaborating with the Commission and other state agencies 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			
Objective 2, Identifying potential CASF infrastructure projects or potential broadband deployment projects related to new programs created under SB 156 and AB 164, 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			
Objective 3, Assisting potential CASF infrastructure applicants or potential applicants for broadband deployment projects related to the new programs created under SB 156 and AB 164 in the project development or grant application process	Activity 1			
	Activity 2			
	Activity 3			
	Activity 4			
	Activity 5			
Objective 4, Conducting activities that will lead to or that can be reasonably expected to lead to CASF infrastructure projects or broadband deployment projects related to new programs created under SB 156 and AB 164, including the Federal Funding Account, Middle-Mile, Broadband Loan Loss Reserve, and Local Agency Technical Assistance	Activity 1			
	Activity 2			
	Activity 3			
	Activity 4			
	Activity 5			
Objective 5, Assisting the Commission in publicizing requests for wireline testing volunteers in areas, as needed	Activity 1			
	Activity 2			
	Activity 3			
	Activity 4			
	Activity 5			
Objective 6, Assisting the Commission in promoting broadband deployment in California, related to the Federal Funding Account and other programs including Middle-Mile, Broadband Loan Loss Reserve, and Local Agency Technical Assistance created under SB 156 and AB 164.	Activity 1			
	Activity 2			
	Activity 3			
	Activity 4			
	Activity 5			
<b>Note # - The number of project applications assisted.</b>				
<b>Project Application Assisted</b>		<b>Priority Area(s)</b>		
[Project application name]		[List priority areas]		
[Project application name]		[List priority areas]		
[Project application name]		[List priority areas]		
[Project application name]		[List priority areas]		
[Project application name]		[List priority areas]		
<b>Total number of project applications assisted</b>				



## **Appendix E**

### **Annual Audit Report Template Reporting Activity Required by Public Utilities Code 281**

**Consortium Name/Fiscal Account Name**

**LOGO**

**Project Name**

**Financial Statements  
Independent Auditors' Report  
For the California Advanced Services Fund (CASF)  
For the Year Ended MONTH/DATE/YEAR**

*Company LOGO*  
*Company Name*  
*Company Address*  
*Company Website*

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**For the Year Ended MONTH/DATE/YEAR**

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**COMPANY NAME/LOGO**  
**Address/Phone**  
**Board of Directors**  
**CONSORTIA NAME**  
**CITY, STATE**

## **B. Independent Auditors' Report**

### **Report on the Financial Statements**

We have audited the accompanying financial statements of the business-type activities of CONSORTIA NAME, a project of FISCAL ACCOUNT NAME, as of and for the year ended MONTH/DATE/YEAR, and the related notes to financial statements, which collectively comprise CONSORTIA NAME basic financial statements as listed in the table of contents.

### **Management's Responsibility for the Financial Statements**

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of American; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the schedule, management is required to evaluate whether there are conditions or events considered in the aggregate, that raise substantial doubt about CONSORTIA NAME's ability to continue as a going concern within one year after the date that the schedule is available to be issued.

### **Auditors' Responsibility**

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's professional judgement, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management as well as evaluating the overall presentation of the financial statements.

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatements, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with generally accepted auditing standards will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in aggregate, they would influence the judgement made by a reasonable user based on the financial statements.

**In performing an audit in accordance with generally accepted auditing standards, we:**

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risk of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit objectives to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of CONSORTIA NAME's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the fairness of overall presentation of the financial statements.
- Conclude whether, in our professional judgement, there are conditions or events considered in the aggregate, that raise substantial doubt about CONSORTIA's ability to continue as a going concern for a reasonable period of time.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control related matters that we identified during the audit.

California Public Utilities CPUC's (CPUC) D.22-05-029 sets forth the CASF Consortia Account program rules and requirements for eligible consortia to assist CASF infrastructure applicants in the project development or grant application process and activities related to programs created under California Senate Bill (SB) 156 and Assembly Bill (AB) 164 under California Public Utilities Code section 281.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

**Opinion**

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the business-type activities of CONSORTIA NAME as of MONTH/DATE/YEAR, and the changes in financial position and, where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

**Disclaimer of Opinion on Supplementary Information**

Our audit was conducted for the purpose of forming an opinion on the Project Expenditures Report referred to above. The supplementary schedules, are the responsibility of management, are presented for the purposes of additional analysis and are not a required part of the Project Expenditures Report. Such information has not been subject to the auditing procedures applied in the audit of the Project Expenditures Report and, accordingly, we do not express an opinion or provide any assurance on it.

Certification of supplementary schedules is signed with the following Declaration:

DECLARATION	
(PLEASE VERIFY THAT ALL SCHEDULES ARE ACCURATE AND COMPLETE BEFORE SIGNING)	
I, the undersigned _____	Officer, Partner, or Owner (Please Print)
of _____	Name of Utility
under penalty of perjury do declare that this report has been prepared by me, or under my direction, from the books, papers and records of the respondent; that I have carefully examined the same, and declare the same to be a complete and correct statement of the business and affairs of the above-named respondent and the operations of its property for the period of <b>Month Day, Year</b> through <b>Month Day, Year</b> .	
_____	_____
Title (Please Print)	Signature
_____	_____
Telephone Number	Date

**Other Matters**

**Required Supplementary Information**

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis and budgetary comparison information be presented to supplement the basic financial statements. The management of CONSORTIA NAME has elected to omit management's discussion and analysis. Such missing information, although not a part of the basic financial statement, are required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. Our opinion on the basic financial statements is not affected by the missing information.

\_\_\_\_\_  
**SIGNATURE**  
**CITY, STATE**  
**DATE**



**C. Project Expenditures Report**

Consortium Funds Approved (but not yet received) \$ \_\_\_\_\_  
Consortium Funds Approved \$ \_\_\_\_\_

Expenditures Incurred:  
Contracting Services \$ \_\_\_\_\_  
Grant Funding Allocated \$ \_\_\_\_\_

See accompanying notes to the Project Expenditures Report

**COMPANY NAME/LOGO**  
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 For the Year Ended MONTH/DATE/YEAR

**D. Schedule of Expenditures -Contract Basis**

	Objectives						Total
	1	2	3	4	5	6	
Personnel Costs	\$	\$	\$	\$	\$	\$	\$
Travel Expense							
Office Supplies							
Consulting Expense							
Etc							
<b>Total Expenditures</b>	\$	\$	\$	\$	\$	\$	\$

***E. Note 1 – Summary of Significant Accounting Policies***

**Organization and Nature of Activities**

CONSORTIA NAME was created to ensure the needs for broadband access and adoption including areas of XYZ counties are met in every corner of (INSERT #) counties. CONSORTIA NAME's top priority and immediate focus is XXXXXXXX in the counties of XXXXXXXX. The leadership of CONSORTIA NAME involves (NAME COMMITTEES/MANAGEMENT TEAM). The fiscal agent is NAME OF FISCAL AGENT. CONSORTIA's projects are carried out in partnership with XYZ.

CONSORTIA was awarded Consortia Account grants in MONTH/YEAR and MONTH/YEAR totaling \$\$\$ and \$\$\$.

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

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

The audit will refer to the Consortia's CPUC-approved Work Plan to verify that agreed upon Objectives and Activities were completed.

In MONTH/YEAR, CONSORTIA NAME was awarded \$\$\$ for a XXX year grant.

FISCAL ACCOUNT NAME is committed to problem solving and impartial research for sound-decision making in INSERT AREA, serves as the manager and agent of CONSORTIA NAME.

**Financial Statement Presentation and Basis of Accounting**

The financial statements of CONSORTIA NAME have been prepared in accordance with accounting principles generally accepted in the United States of America (U.S. GAAP), as applied to government units. The Governmental Accounting Standards Board (GASPB) is the accepted standards setting body for establishing governmental accounting and financial reporting principles.

The accompanying financial statements are presented on the accrual basis of accounting **in accordance with the financial reporting provision of D.18-10-032 adopted by the California Public Utilities CPUC**. Revenues are recognized when earned and expenses are recognized when incurred.

Grants and similar items are recognized as revenue as soon as all eligibility requirements imposed by the provider have been met.

**Cash and Equivalents**

For purposes of the statement of cash flows, cash and equivalents are defined as short-term, highly liquid investments that are both readily convertible to known amounts of cash or so near their maturity that they present insignificant risk of changes in value because of changes in interest rates.

**Accounts Receivable**

Accounts receivable consist of amounts due to CONSORTIA NAME from the California Public Utilities CPUC as part of the California Advanced Services Fund (CASF) Rural and Urban Regional Broadband Consortia at (INSERT

end of year) MONTH/DAY/YEAR. All amounts are deemed to be collectable at year end.

**COMPANY NAME/LOGO**  
**Address/Phone**  
**For the Year Ended MONTH/DAY/YEAR**

**Accounts Payable**

Accounts payable consist of amounts due to Consortium members within twelve (12) months. At (INSERT end of year) MONTH/DAY/YEAR, the account balance was \$\$\$.

**Unearned Revenue**

Unearned Revenue is the outstanding amount of the grant the CASF Rural and Urban Regional Broadband Consortia to be earned in future period. AT (INSERT end of year) MONTH/DAY/YEAR, unearned revenue was \$\$\$

**Subsequent Events**

Subsequent Events are material happening occurring after the date of the financial statements but before the audit report is issued. Subsequent events have been evaluated through MONTH/DAY/YEAR, which is the date the financial statements were issued.

**Use of Estimates**

Management is required to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

**Net Position**

Equity is classified as net position and displayed in three components:

- Net investment in capital assets – Consists of capital assets, net of accumulated depreciation and reduced by the outstanding balance of any notes or other borrowings attributable to those capital assets.
- Restricted net position – Consists of net assets with constraints placed on the use either by external groups, such as grantors or laws and regulations of other governments, or law through constitutional provisions or enabling legislation.
- Unrestricted net position – All other assets that do not meet the definition of ‘restricted’ or ‘net investment in capital assets.’

When both restricted and unrestricted net position are available for use, generally it is our policy to use restricted resources first.

**Revenue and Revenue Recognition**

CONSORTIA NAME revenue is derived from cost-reimbursable contracts and grants, which are conditioned upon certain performance requirements and/or the incurrence of allowable qualifying expenses. Amounts received are recognized as revenue when CONSORTIA NAME has incurred expenditures in compliance with specific contract or grant provisions.

*F. Note 2 – Specific Activities*

**Commitments and Contingencies**

CONSORTIA NAME receive grant revenues which are subject to audit and review by the grantor agencies. Although such audits could potentially result in disallowed expense to be refunded to the granting agencies, management believes the fiscal impact, if any, is negligible.

Annual Audit Report Template for Reporting Activity as Required by Public Utility Code 281				
				[Consortium Name] Notes for Financial Statements For the Project Year Ended [Month Date, Year]
Note # - Specific Activities				
Specific activities for [Consortium Name] for the project year ended [Month Date, Year] are as follows:				
Objective Description	Description of Activities Completed During the Prior Year	Description of How Each Activity Promotes the Deployment of Broadband Services	Performance based on Work Plan & Performance Metrics Plan	Cost Associated with Each Activity
Objective 1, Collaborating with the Commission and other state agencies 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			
Objective 2, Identifying potential CASF infrastructure projects or potential broadband deployment projects related to new programs created under SB 156 and AB 164, 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			
Objective 3, Assisting potential CASF infrastructure applicants or potential applicants for broadband deployment projects related to the new programs created under SB 156 and AB 164 in the project development or grant application process	Activity 1			
	Activity 2			
	Activity 3			
	Activity 4			
	Activity 5			
Objective 4, Conducting activities that will lead to or that can be reasonably expected to lead to CASF infrastructure projects or broadband deployment projects related to new programs created under SB 156 and AB 164, including the Federal Funding Account, Middle-Mile, Broadband Loan Loss Reserve, and Local Agency Technical Assistance	Activity 1			
	Activity 2			
	Activity 3			
	Activity 4			
	Activity 5			
Objective 5, Assisting the Commission in publicizing requests for wireline testing volunteers in areas, as needed	Activity 1			
	Activity 2			
	Activity 3			
	Activity 4			
	Activity 5			
Objective 6, Assisting the Commission in promoting broadband deployment in California, related to the Federal Funding Account and other programs including Middle-Mile, Broadband Loan Loss Reserve, and Local Agency Technical Assistance created under SB 156 and AB 164.	Activity 1			
	Activity 2			
	Activity 3			
	Activity 4			
	Activity 5			
Note # - The number of project applications assisted.				
<b>Project Application Assisted</b>		<b>Priority Area(s)</b>		
[Project application name]		[List priority areas]		
[Project application name]		[List priority areas]		
[Project application name]		[List priority areas]		
[Project application name]		[List priority areas]		
[Project application name]		[List priority areas]		
<b>Total number of project applications assisted</b>				

Appendix E: Specific activities of CONSORTIA NAME for the year ended MONTH/DAY/YEAR, are as follows:

**COMPANY NAME/LOGO**  
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**For the Year Ended MONTH/DAY/YEAR**

**The Number of Project Applications Assisted**

The INSERT # OF YEARS goal is INSERT GOAL: (e.g. for each county team to identify and facilitate the development and submission of one or more grant applications for funding from the CASF infrastructure Grant Account). In Year one, CONSORTIA NAME/COUNTY teams helped (INSERT ACTIVITIES e.g. develop and facilitate grant applications – INSERT #s and cities/counties).

(INSERT) DESCRIPTION OF LAUNCH ACTIVITIES, RESULTS/CONSEQUENCES.

***G. Note 3 – Subsequent Events***

Management evaluated the activity of CONSORTIA through DATES, the date the financial statements were available to be issued and concluded that no subsequent events have occurred that would require recognition in the financial statements or disclosure in the notes to financial statements.