Broadband Equity, Access, and Deployment (BEAD) Program

Pre-Application

User Guide

TEAM KENTUCKY®

OFFICE OF BROADBAND DEVELOPMENT

Issued by:

Commonwealth of Kentucky

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Last updated: July 30, 2024

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Introduction

The National Telecommunications and Information Administration (NTIA) allocated nearly $1.1 billion dollars to Kentucky through the Broadband Equity, Access, and Deployment (BEAD) program to close the digital divide by deploying high-speed internet to unserved and underserved locations. Kentucky will award broadband deployment funds to projects serving the unserved and underserved locations determined to be eligible for funding through its BEAD challenge process.

A thorough Application Process has been developed to ensure fairness, accuracy, and consistency with program guidelines. This Application Process will ensure that all prospective subgrantees have access to the information, tools, and resources needed to participate fully in this opportunity.

As part of this process, the Office of Broadband Development ("the Office") will accept Pre-Applications from prospective subgrantees to collect financial, technical, and managerial information common to all project applications. **This Pre-Application process is mandatory for prospective subgrantees intending to apply for BEAD funds in Kentucky**. The information collected during the Pre-Application period will be carried forward to future BEAD project Application(s) submitted by the prospective subgrantees, which will streamline the project Application preparation and submission. During the Application Process, prospective subgrantees will be asked to attest that information from their Pre-Application is unchanged, or the prospective subgrantee may update the previously submitted information to ensure accuracy. The Pre-Application process will serve as a pre-qualification process, whereby information will be evaluated to ensure that program funds are awarded to qualified subgrantees.

Please note that, throughout this document and on the Pre-Application portal form, the term "prospective subgrantee" refers to the applying entity as a whole, including the Lead Organization as well as any and all Consortium Member(s) identified in Section 1. Administrative**. Unless otherwise specified, any Pre-Application question that does not explicitly mention an entity should be presumed to pertain to the prospective subgrantee as a whole.**

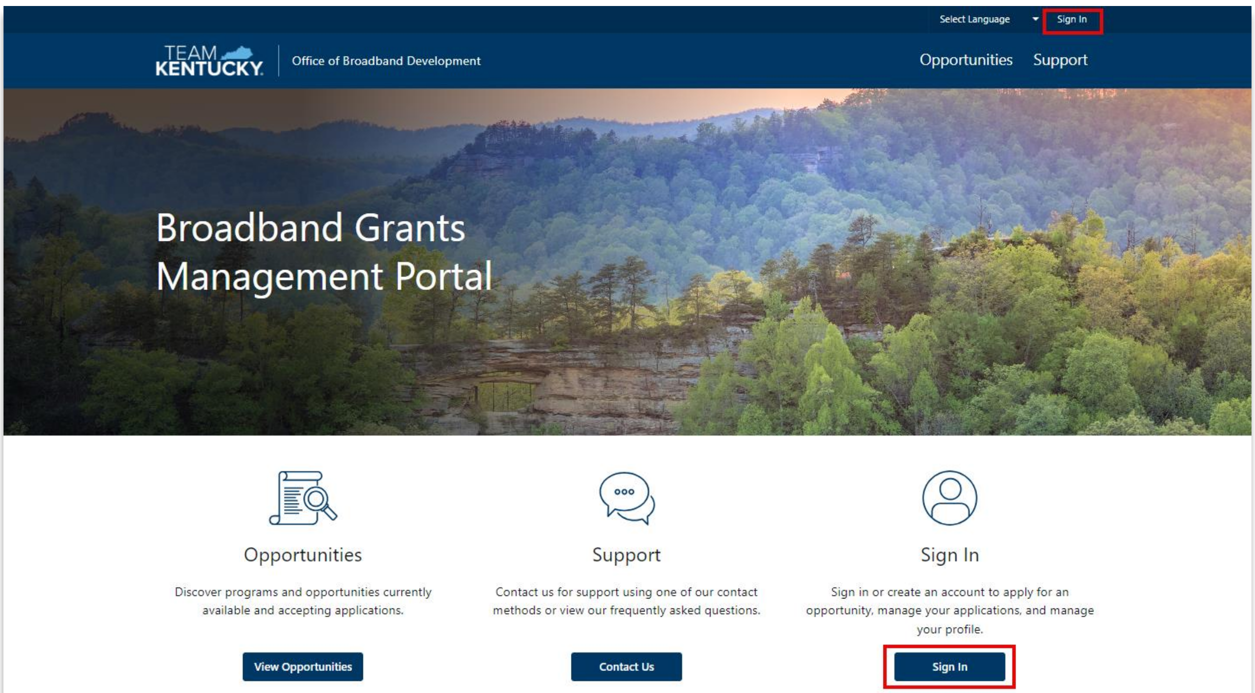
This user guide has been created to provide prospective subgrantees with information and resources to assist in completion of their registration and is structured to follow the process from beginning to end.

User Account Set-Up

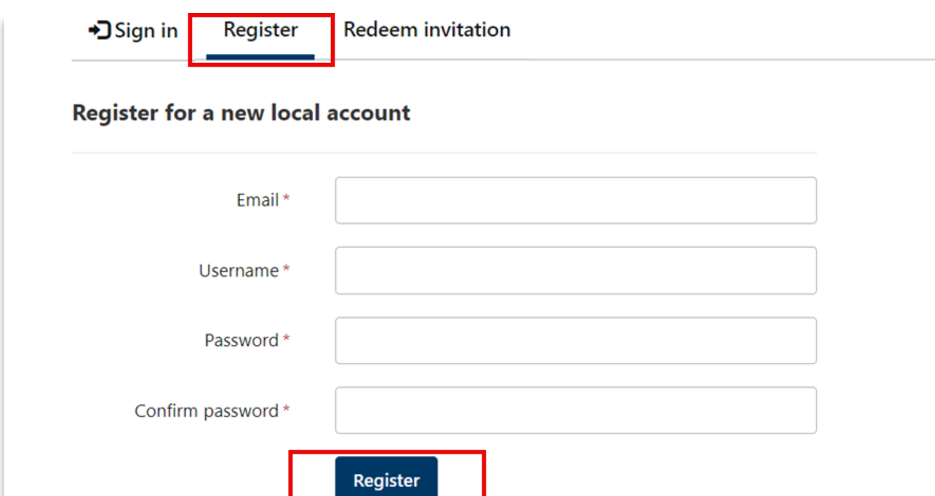
The BEAD Pre-Application will be available on the "Team Kentucky Portal." Access the portal home page using this link.

Account Registration and Signing In

To both create a user account (if you are a new user) and sign in to your account (if you are an existing user), click on the "Sign In" button in the top-right of the page or on the larger icon in the bottom of the home page:

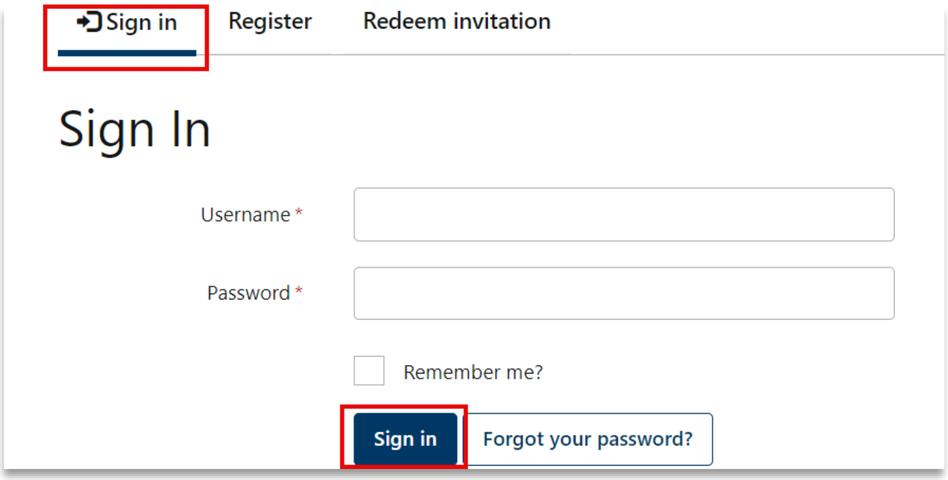


From the "Sign In" page, to register for an account, navigate to the "Register" tab, complete the required fields, then click the "Register" button under the fields:

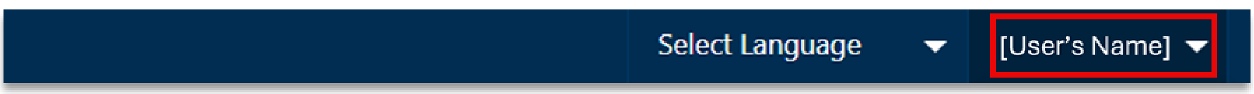


Your user account should now be created. Check your email for a confirmation of your new account – once received, you are ready to go back to the portal and sign in.

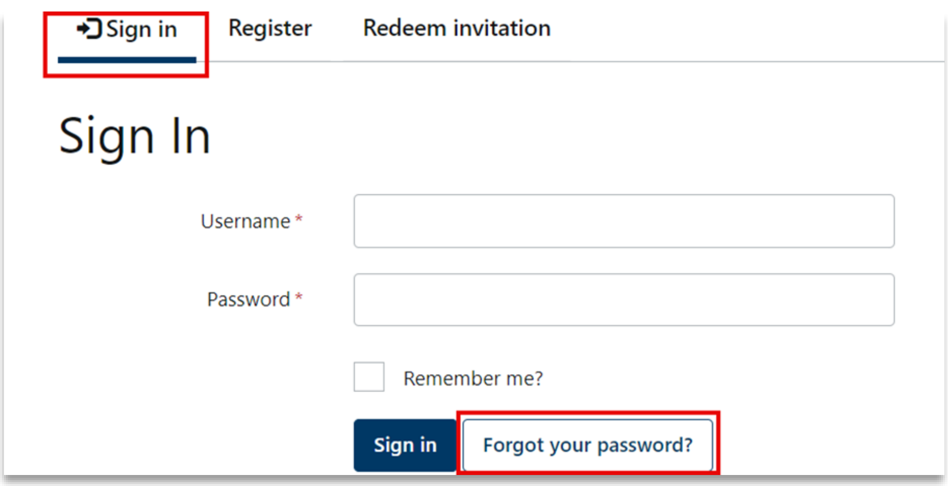
To log in to your account, follow the same steps as before: click on "Sign In" in the top-right corner of the page. On the "Sign in" tab, complete the required fields and click on the "Sign In" button under the fields:



Once you are successfully signed in, the "Sign In" button in the top-right of the page should then display your name:

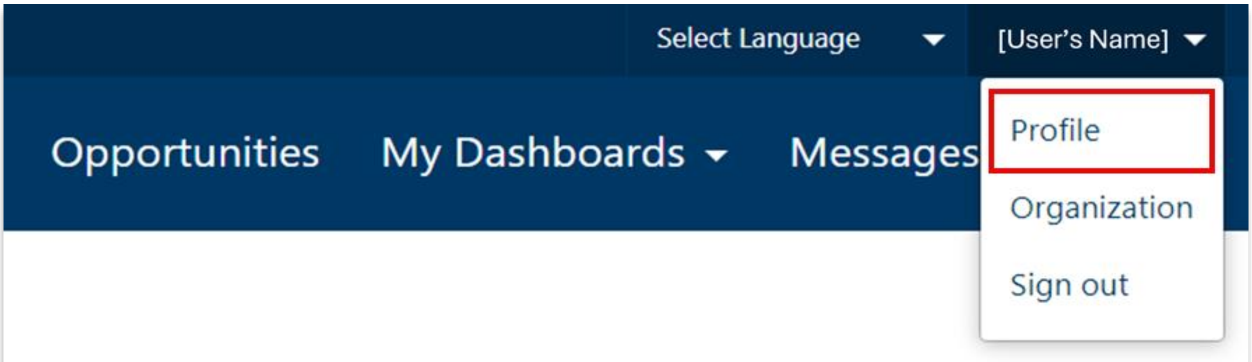


Should you forget your login information at any time, click on "Forgot your password?" on the "Sign in" tab to receive a link via email to reset your password:



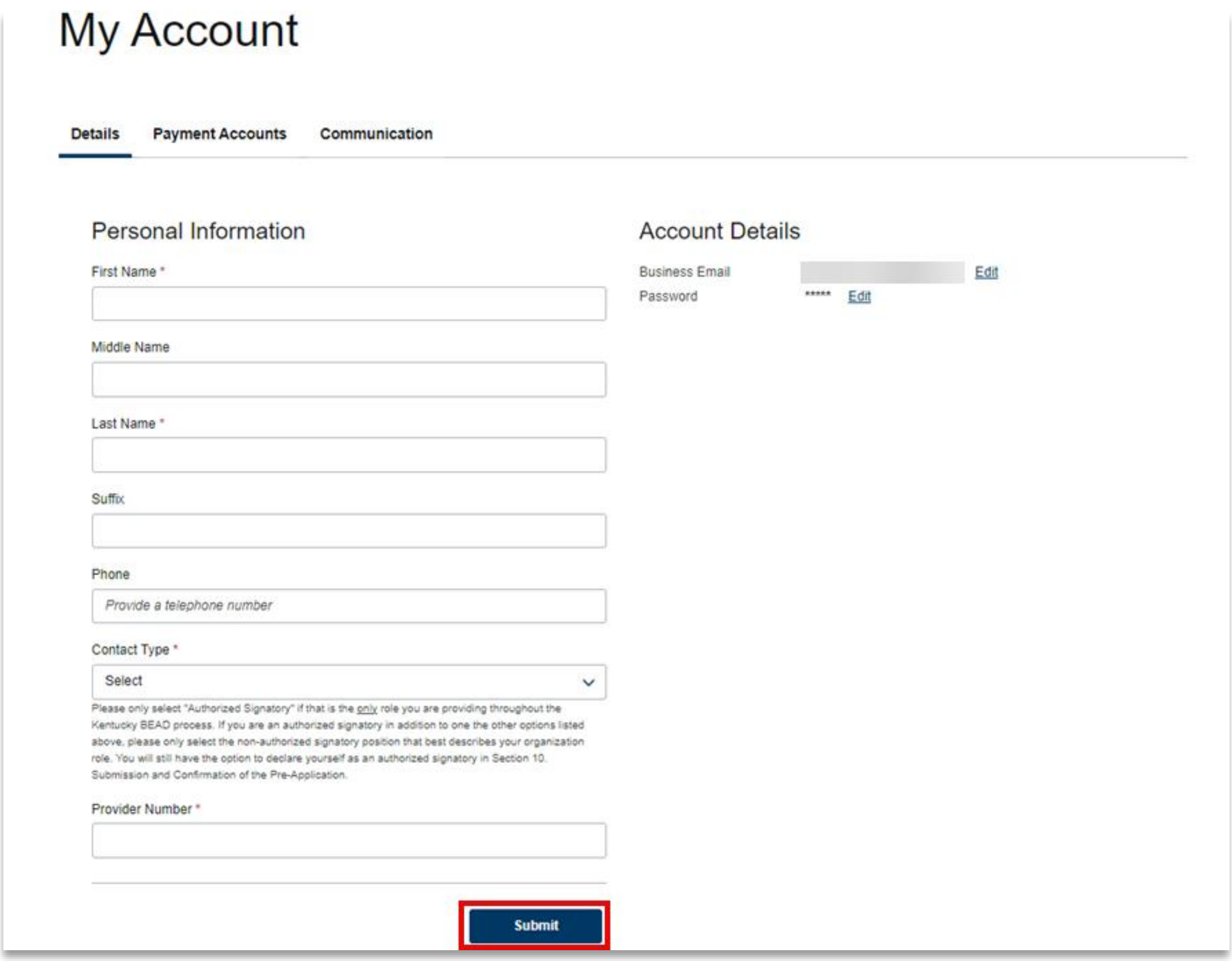
Editing Your User Profile

Before beginning a Pre-Application, you will need to complete your user profile. When signed in, click on your name in the top-right corner of the page, then select "Profile" in the drop-down list that appears:



You will then see the "My Account" page, which contains tabs for profile information including "Details," "Payment Accounts," and "Communication."

For the Pre-Application, you only need to fill out your "Personal Information." To do this, navigate to the "Details" tab, complete the fields listed, and click "Submit" under the fields. Your previously created account details will display on the right side of the screen:



For "Contact Type," refer to the definitions of [Lead Organization Contact](), [Lead Organization Project Contact](), and [Lead Organization Technical Contact](). Only select "Authorized Signatory" if that is the <u>only</u> role you are providing for your organization.

Please note that email notifications related to your Pre-Application (and eventual Application(s)) will be sent only to the email address displayed on the "Details" page.

It is your responsibility to keep your user profile information current to access your Pre-Application and Application file(s) and keep appraised of the status of your submissions. Should any of your information change, please update your user profile promptly.

Associating Your Profile with an Organization

A portal user must be associated to an organization before accessing the Pre-Application form. This helps to keep track of all the people that are a part of the same organization and to verify that applying organizations do not submit more than one Pre-Application (i.e., **an organization cannot submit more than one Pre-Application**). Additionally, a portal user can only belong to one portal organization; as such, we suggest that you only associate your Team Kentucky Portal account with the organization you consider to be the prospective subgrantee's "Lead Organization"

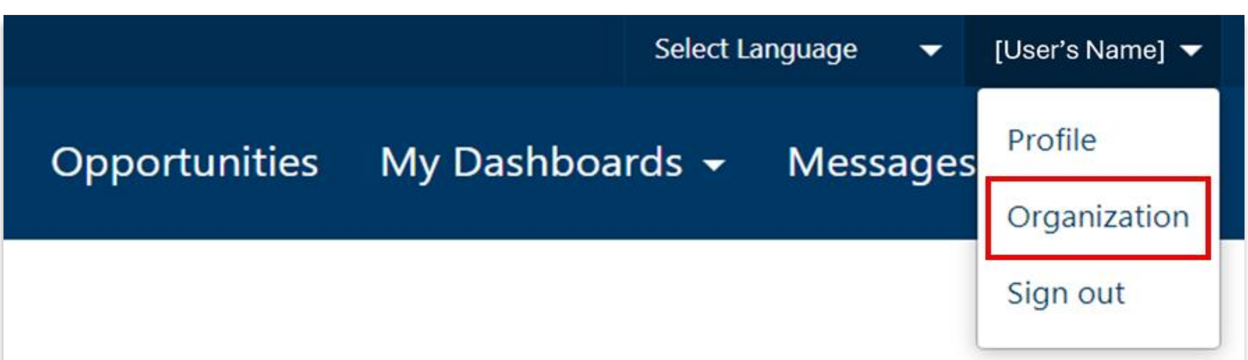
The portal's organization information will be associated with its members' collective Pre-Application and all associated Application record(s). Once associated with an organization record, any portal user belonging to that organization can begin the organization's Pre-Application, modify and save progress on an existing Pre-Application (as long as that Pre-Application remains in "Draft" status), and submit a completed Pre-Application on behalf of the organization.

Once a Pre-Application has been submitted, all organization team members will be able to access the Applications & Awards Dashboard to view a read-only copy of the Pre-Application and view the Pre-Application's status as it progresses through the Office's review process. However, only the Pre-Application "Submitter" – the portal user that submits the Pre-Application portal form – will receive portal messages from Office staff.

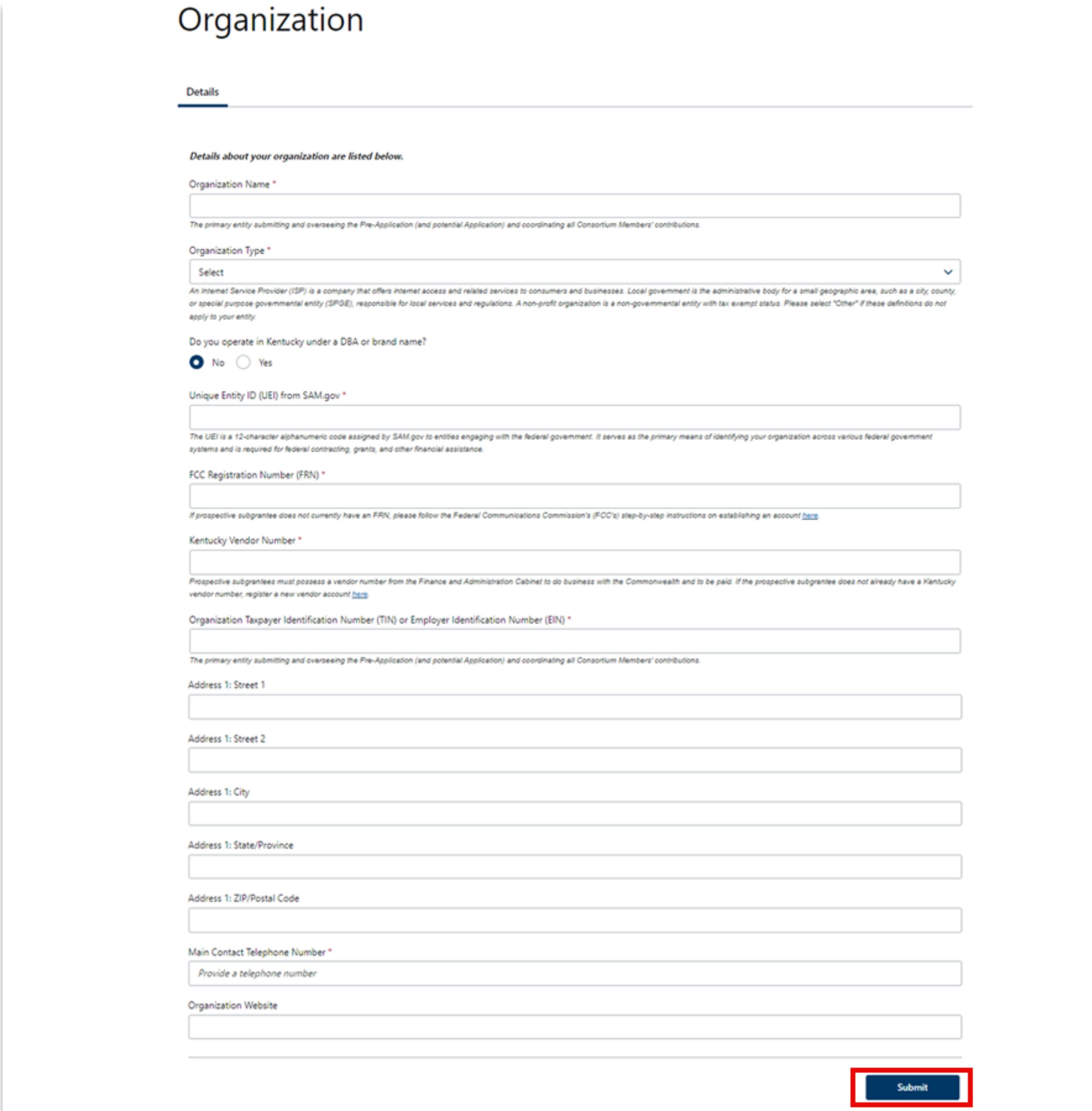
Creating a New Organization

To open the Pre-Application portal form, you will need to associate your user profile with an organization. As stated above, **you will not be able to access the Pre-Application portal form until you have associated your account with an organization**.

The first member of a prospective subgrantee's organization to create a user profile will also create their respective organization record. When signed in, click on your name in the top-right corner of the page, then select "Organization" in the drop-down list:



You will then see the “Organization” page, which contains tabs for information including “Details,” “Payment Accounts,” and “Members.” For the Pre-Application, you only need to fill out the “Details” and “Members” tabs. To do this, navigate to the “Details” tab, complete the fields listed, and click the “Submit” button under the fields:



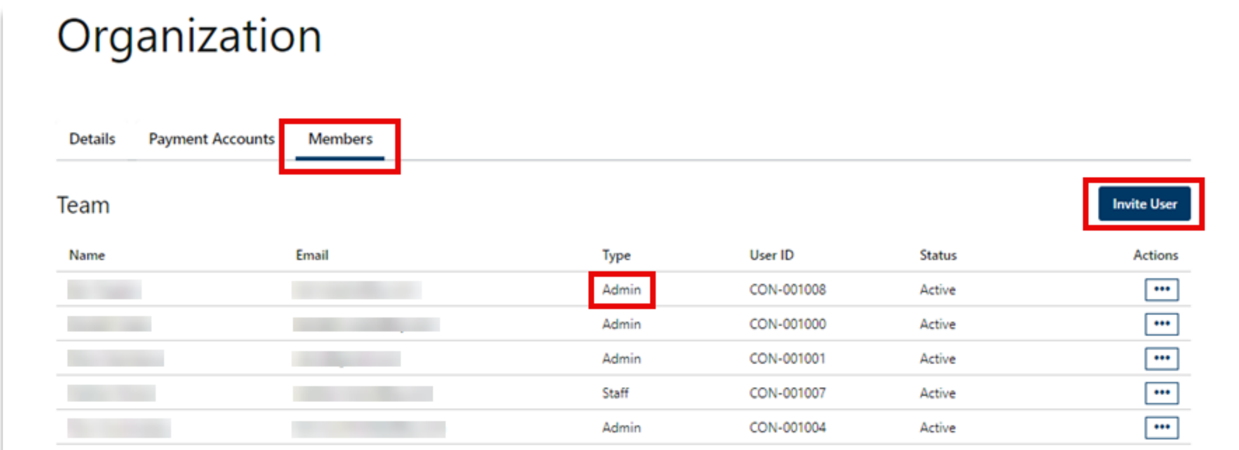
The information entered here at the time of Pre-Application submission will display as read-only (as the Pre-Application’s “Lead Organization”) on your Pre-Application form.

Should your organization information change at any time after submitting your Pre-Application, please update the “Details” tab accordingly. The current version (i.e., the version that exists live in the Team Kentucky Portal) of your organization information will also be associated with your Pre-Application record, even if the organization information update occurs after Pre-Application submission.

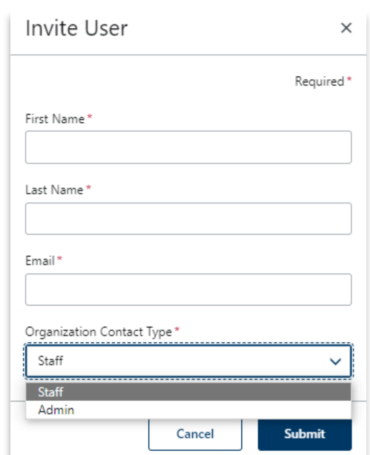
Next, navigate to the “Members” tab to add additional users to your organization, if desired. There are two types of organization contacts: “admin” and “staff.” The person to create the organization record will automatically be assigned the admin type. Admins will be able to add and remove users from their organization in the portal, whereas staff will <u>only</u> have read-only permissions to the “Members” list. An organization can have multiple admins. A portal user will not be able to join an existing organization without that organization’s admin(s) sending them a direct invitation.

Inviting Members to Join Your Organization

As an admin, to add people to your organization, click on “Invite User” above the list of team members:



The “Invite User” pop-up modal (shown on the right side of this page) will then appear. Complete the fields listed, designate the new user’s type of organization contact, and click “Submit.” The invited user will receive an email with a link to join your organization.



There is no limit to the number of teammates allowed on an organization team but add additional organization contacts at your discretion. All teammates, regardless of type (i.e., both admin and staff users), will be able to edit/submit Pre-Application and Application record(s) associated with your organization.

Joining an Existing Organization

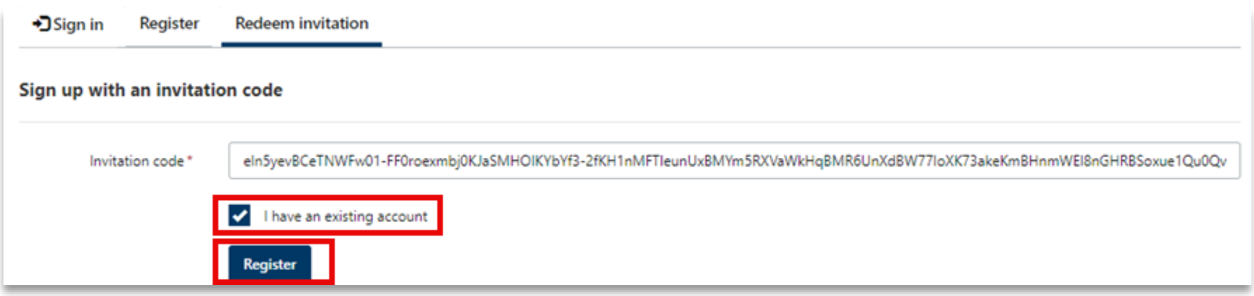
When an admin invites a person to join their organization, a few things happen behind the scenes:

(1) If, as an invited user, you *do not* have an existing portal account, you will receive an email invitation with a link to complete your portal account. Once you click on that link, you will be redirected to the “Redeem invitation” tab of the Team Kentucky Portal’s “Sign In” page. The invitation code in your email invitation should be

automatically copied into the portal's text box. Click "Register," as show below:

You will then be prompted to enter your account details. Follow the steps outlined above.

If, as an invited user, you *do* have an existing portal account, you will receive an email invitation with a link to complete your portal account. Once you click on that link, you will be redirected to the "Redeem invitation" tab of the Team Kentucky Portal's "Sign In" page. The invitation code in your email invitation should be automatically copied into the portal's text box. Click "I have an existing account," then click "Register," as shown below:

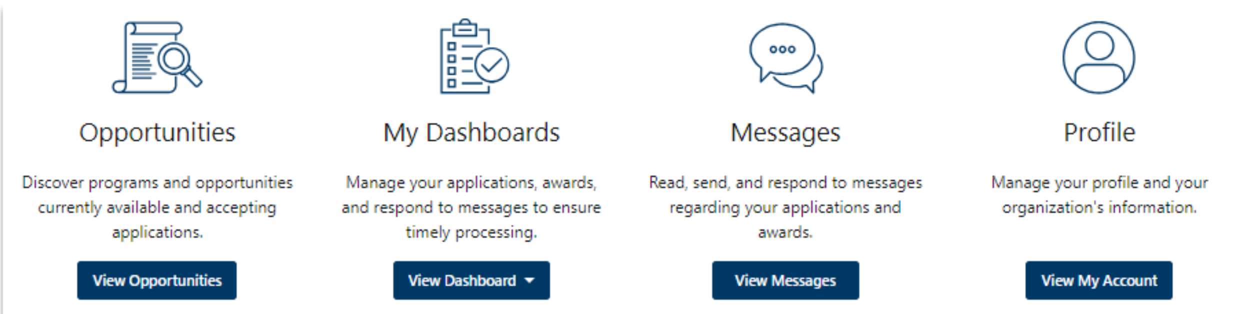


You will then be directed to the "Sign In" page. Follow the steps outlined above. Your account is now associated with the organization to which you were invited; you did not create a duplicate account.

The remainder of this page is intentionally left blank.

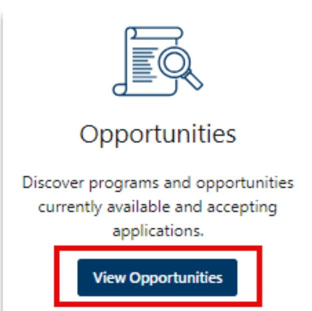
General Instructions

From the home page, scroll down to see a list of the various portal pages, along with a brief description of each, for your use and convenience:



Program and Opportunity Pages

Of the options displayed in the screenshot above, click on "View Opportunities."



A list of available programs[1] and their associated funding opportunity(ies)[2] will display as a subgrid on the "Search for Opportunities" page that appears:

Clicking on "KY Broadband Equity, Access, and Deployment Program (BEAD)" will take you to the "Program Overview" page, where you can read details about Kentucky BEAD's purpose, overview, allowable use of funds, and additional disclosures.

The "Program Overview" page also contains useful links to download additional information about both the nationwide BEAD Program and the Commonwealth's BEAD funding. Specifically, you can download the National Telecommunications and Information Administration (NTIA) BEAD Notice of Funding Opportunity (NOFO), Kentucky's Volume I and Volume II submissions, and the Office's responses to Frequently

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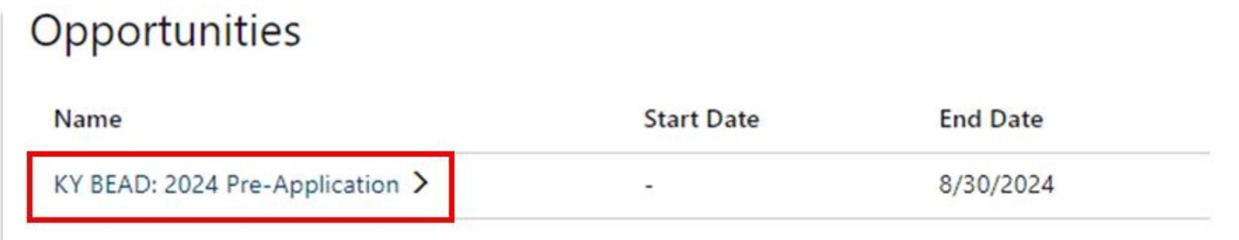
[1] The "KY Broadband Equity, Access, and Deployment Program (BEAD)" is a comprehensive initiative to expand broadband access and adoption across the Commonwealth. It establishes a framework for providing financial support that can contribute to this goal.

[2] The "KY BEAD: 2024 Pre-Application" funding opportunity is a specific call under this program, inviting preliminary proposals from prospective subgrantees. This stage helps to identify and assess prospective subgrantees that align with the program's objectives before inviting full Applications for funding consideration.

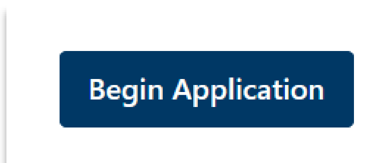
Asked Questions (FAQs).

From this page, you can also navigate to the "Opportunity Overview" page by clicking the link below:[3]

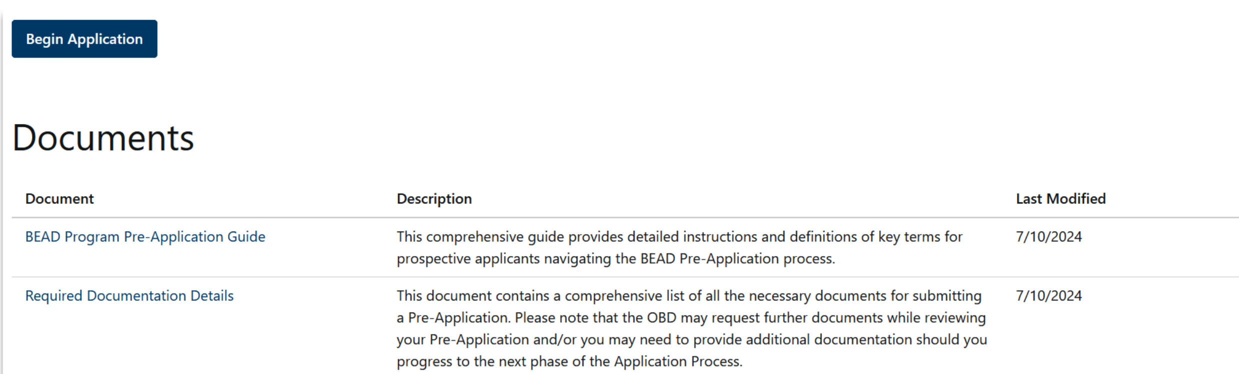


Clicking on "KY BEAD: 2024 Pre-Application" will take you to the "Opportunity Overview" page, where you can read details about the 2024 BEAD Pre-Application's eligibility criteria, required documentation, award details, and application process.

At the bottom of the "Opportunity Overview" page, click on "Begin Application" to open the Pre-Application portal form and officially view/begin your Pre-Application:



Additionally, below "Begin Application" are links to download two very helpful tools: the "Pre-Application User Guide" (this document) and the "Required Document Checklist:"

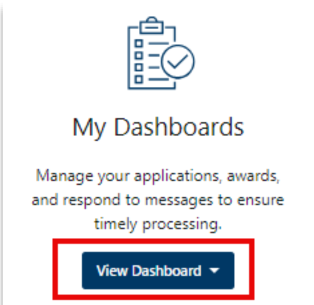


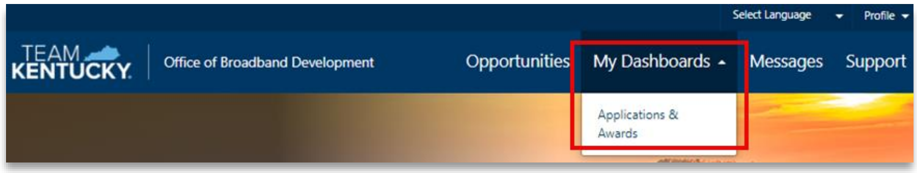
Applications & Awards Dashboard

Registered and logged-in portal users can use their personalized portal dashboard to locate information quickly and easily about all in-progress and submitted forms submitted via the Team Kentucky Portal.

The dashboard page is also referred to as the "Applications & Awards" page. Prospective

[3] *You can also go directly to the "Opportunity Overview" page by clicking on the "KY BEAD: 2024 Pre-Application" link on the "Search for Opportunities" page.*



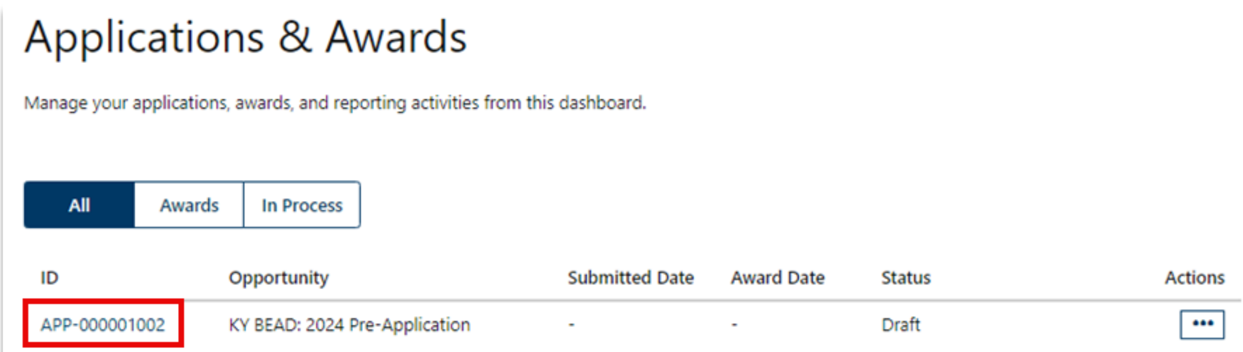


subgrantees can view this page by clicking on "My Dashboards," then "Applications & Awards" on either the top ribbon or on the list of portal pages at the bottom of the home page, as shown above and to the left-hand side of this page.

Once here, prospective subgrantees will be able to see a list of all submitted records for their associated organization ([Associating Your Profile with an Organization]).

During the Pre-Application phase of the Application Process, you should only see one record on your dashboard overview page. This is because each organization is only permitted to submit one Pre-Application. Should your Pre-Application advance to the full Application phase, you could see multiple Applications, depending on the number of project(s) your organization submits.

To view details for a particular application record, click on the hyperlinked "APP ID:"



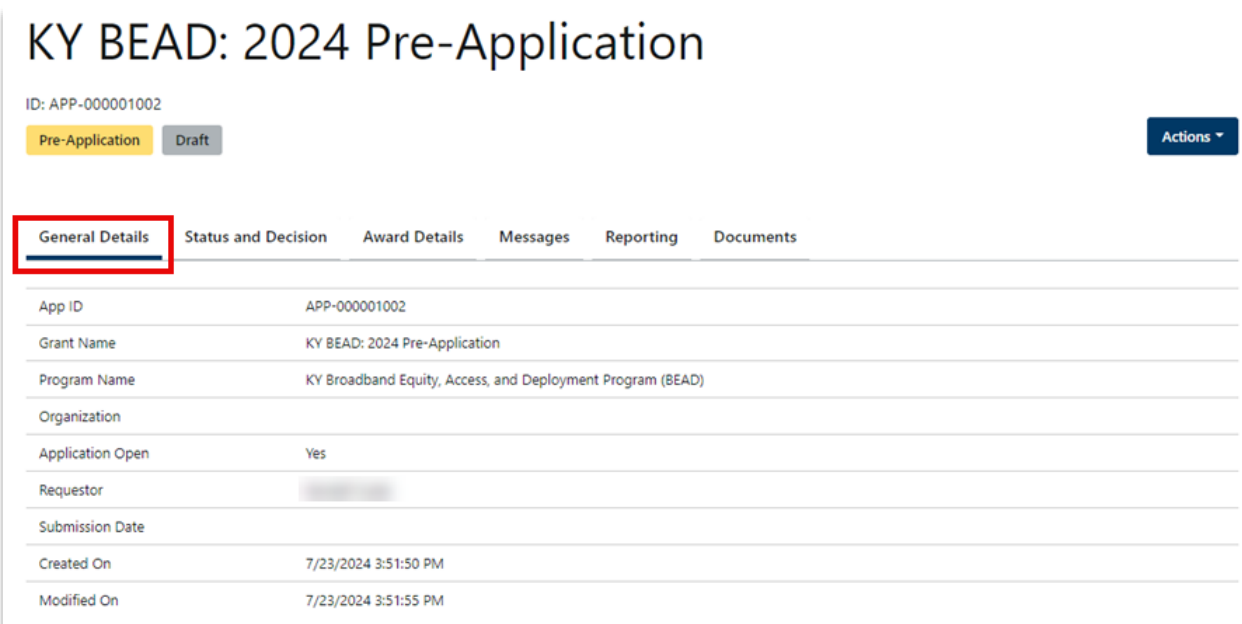
The "APP ID" link directs you to the details page for that specific application record (in this case, called a Pre-Application record). The default tab for the "Pre-Application Record" page is "General Details."

Here, you can see Pre-Application overview information, including:

- **APP ID**: Distinct for each Pre-Application Record
- **Grant Name**: "KY BEAD: 2024 Pre-Application" (i.e., the portal Funding Opportunity)
- **Program Name**: "KY Broadband, Equity, Access, and Deployment Program (BEAD)" (i.e., the portal Program)
- **Organization**: Distinct for each registered organization in the portal
- **Application Open**: Either "Yes" or "No" – if "Yes," the Pre-Application is still in "Draft" status and is open for editing; if "No," the Pre-Application has been submitted and is no longer open for editing

- **Requestor**: The most recent person to save and/or submit the Pre-Application portal form
- **Submission Date**: Date of Pre-Application portal form submission; will be blank if Pre-Application is still in "Draft" status
- **Created On**: Date the Pre-Application portal form was initially opened and edited in the portal
- **Modified On**: Date the Pre-Application portal form was most recently edited

The "General Details" tab for a sample Pre-Application is shown below:


KY BEAD: 2024 Pre-Application

ID: APP-000001002

Pre-Application | Draft | Actions

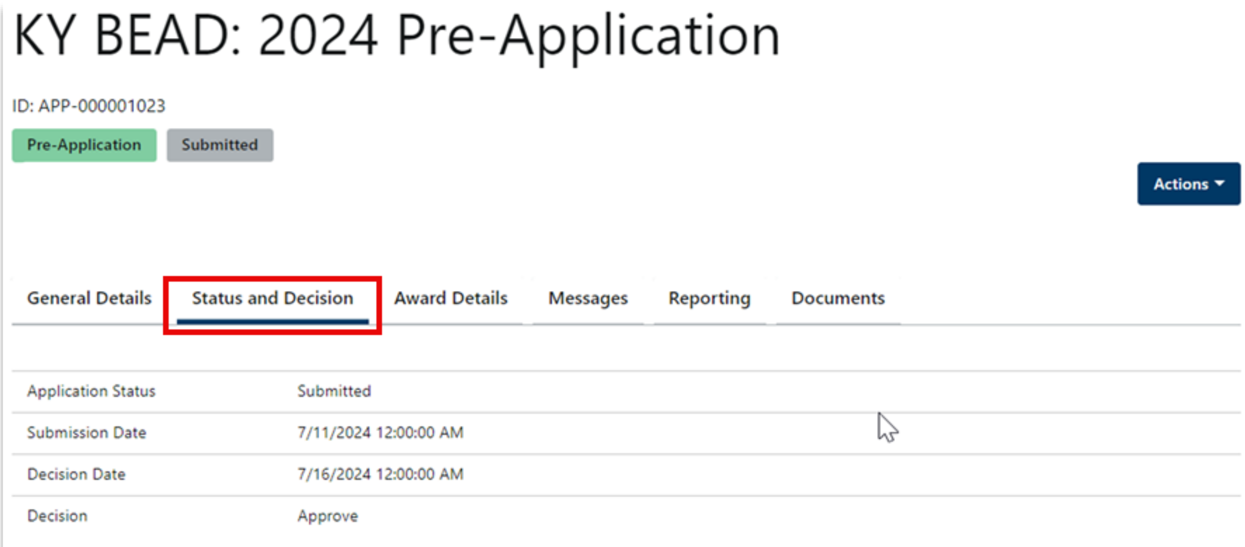
General Details | Status and Decision | Award Details | Messages | Reporting | Documents

App ID	APP-000001002
Grant Name	KY BEAD: 2024 Pre-Application
Program Name	KY Broadband Equity, Access, and Deployment Program (BEAD)
Organization	
Application Open	Yes
Requestor	
Submission Date	
Created On	7/23/2024 3:51:50 PM
Modified On	7/23/2024 3:51:55 PM

The next tab, "Status and Decision," displays the following information:

- **Application Status**: Status of the Pre-Application Record; will either be "Draft," "Submitted," "Under Review," "Approved," or "Denied"
- **Submission Date**: Date of Pre-Application portal form submission; will be blank if Pre-Application is still in "Draft" status
- **Decision Date**: Date of the Office's decision regarding this Pre-Application Record; if still under review/undecided, this field will be blank
- **Decision**: Will be "Approve" or "Deny," depending on the Office's evaluation of this Pre-Application; if still under review/undecided, this field will be blank

The "Status and Decision" tab, this time for a sample Pre-Application that the Office has approved to progress to the next phase of the Application Process, is show below:



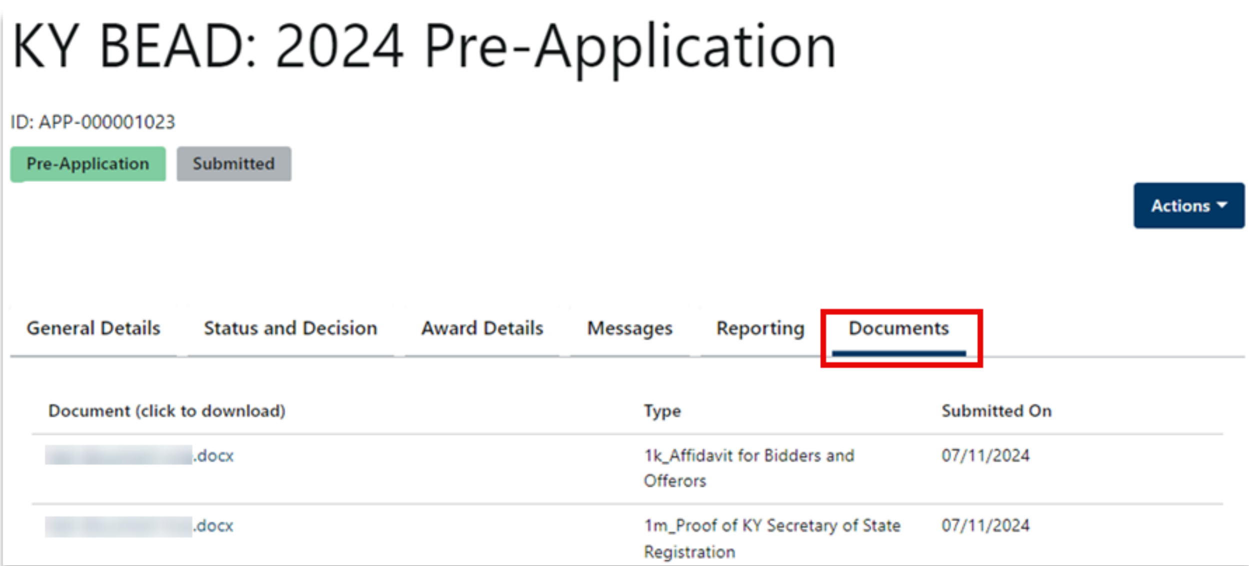
The "Award Details" and "Reporting" tabs will both remain empty throughout the Pre-Application process. Should your Pre-Application advance to the next phase of the Application Process and be approved to receive BEAD funding, these tabs would populate after award.

The next relevant tab is the "Messages" tab, which is explained in the Messages, below.

Next is the "Documents" tab, which displays a downloadable copy of all associated files uploaded to the portal, either via the Pre-Application portal form or via portal messages.

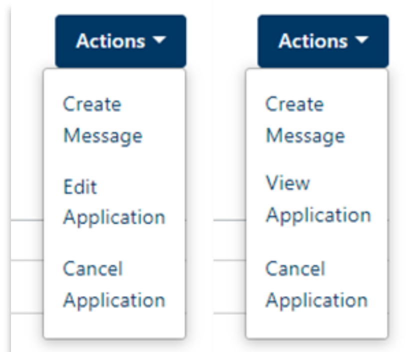
- **Type**: Indicates to which section/question number the uploaded file belongs
- **Submitted On**: Date of document upload

The "Documents" tab for a sample Pre-Application is shown below:



On the “Applications & Awards” page and on every tab of the “Pre-Application Record” page is the “Actions” drop-down button. This button enables registered and logged-in portal users to:

- **Create Message**: Send a message directly to the Office’s staff
- **Edit Application (if in “Draft”)**: Return to your Pre-Application portal form and edit your Pre-Application; the portal form will remain filled out to the extent of the last time you clicked “Save and Continue” on a section of the form
- **View Application (if “Submitted”)**: Open a read-only version of your Pre-Application submission

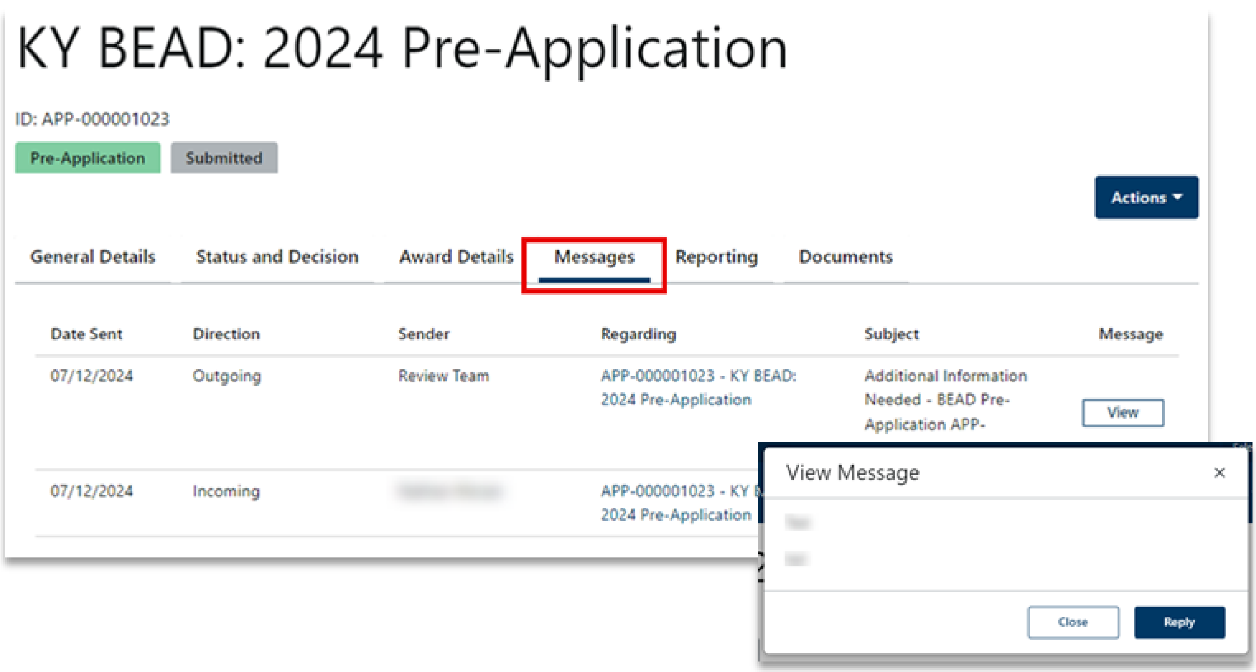


- **Cancel Application**: Withdraw Pre-Application from the Application Process and cancel bid for 2024 BEAD funding

Messages

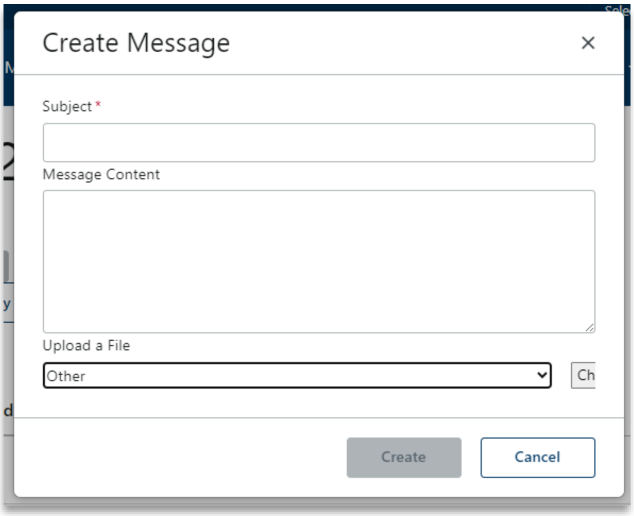
There are two portal locations for prospective subgrantees to send/receive messages: from the “Messages” tab within the “Pre-Application Record” page (via the “Applications & Awards” dashboard), or from the “Messages” button on the top ribbon.

The “Messages” tab on the “Pre-Application Record” page displays all incoming and outgoing messages associated with only that particular Pre-Application record. The “Messages” tab for a sample Pre-Application is shown below:



As pictured above, clicking on “View” opens up a pop-up modal where you can view the incoming/outgoing message contents and reply directly to that message. When you click

"Reply," the "Create Message" modal opens as a pop-up, as shown in the image on the left side of the page.

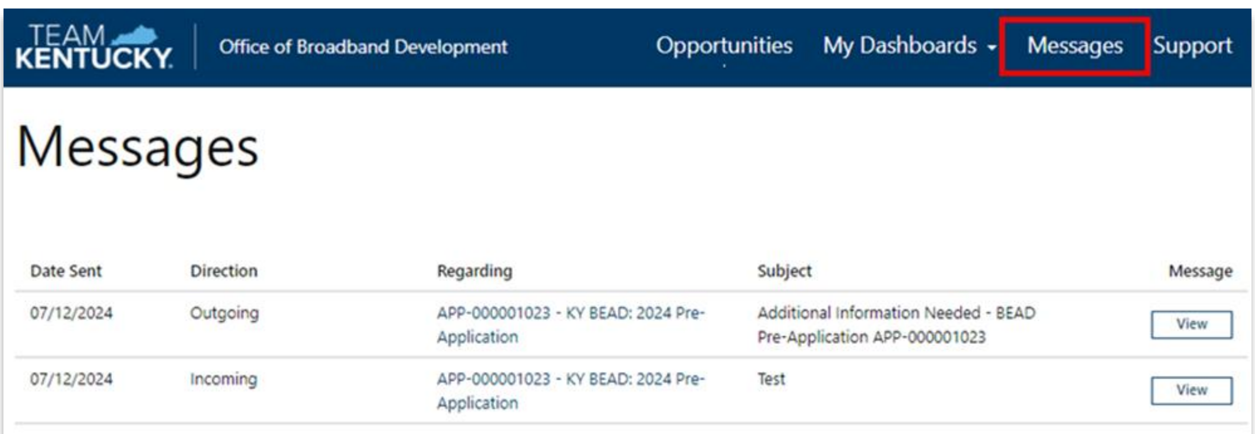


"Create Message" enables you to draft a subject, message content, and upload a file (as desired).

If you upload a file, the drop-down displays a list of possible file locations (i.e., the "Type" of document you are uploading – to which section/question this document should be associated).

If, instead of replying to an existing message, you'd like to create a new message thread, click on "Create Message" on the ["Actions" drop-down button] described in the previous section. From there, the same "Create Message" pop-up modal appears, and you can edit your message and upload files as you see fit.

The other way to view portal messages is by clicking on "Messages" in the top ribbon:



This "Messages" page works the same way as the one associated with the "Applications & Awards" dashboard, except for two big differences:

- Though you can reply to existing message threads here, you cannot create net-new conversations from this view; to do this, follow the instructions earlier in this section for creating messages from the "Applications & Awards" dashboard.
- Messages displayed here are not filtered for any particular application record. On this page, all messages – associated with your Pre-Application record, or later on, associated with your Application record(s) – are displayed together in one list.

When you receive a new message from the Office, the email address associated with your account will receive a notification. The email will not contain any sensitive data; it will only alert you to a new message in the portal and direct you to view the message.

Completing the Pre-Application

As much as possible, we have included a description of each field below the field for clarity and convenience. Each field in the Pre-Application is numbered for reference and may correspond to additional information/instructions in this user guide and in other informational documents available on the Team Kentucky Portal.

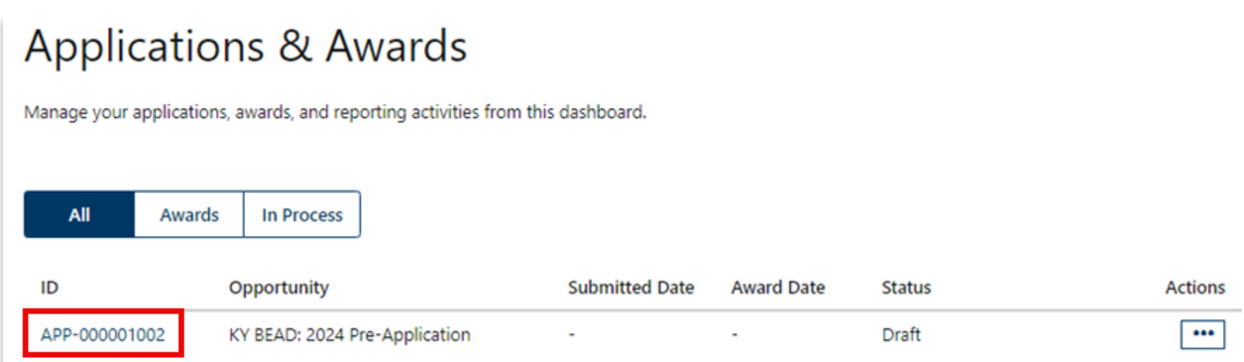
A few important formatting reminders:

- Required fields are indicated by a red asterisk *
- In certain instances, the Office has determined that prospective subgrantees may need additional information and/or instructions to sufficiently respond to the posited Pre-Application question; in these cases, we have added links to guide the portal user to (1) forms provided by this office, or (2) external websites offering supplemental guidance
- All narrative responses are limited to no more than 1,000 characters (including spaces) – if you require additional space to adequately respond to a narrative question, you will sometimes have the option to upload an attachment with supplementary information (in these cases, uploaded files are limited to a maximum of three pages of double-spaced content; the Office will not review beyond the third page of any supplemental narrative information)

Some questions on the Pre-Application require the prospective subgrantee to upload a document. Please take note of the important requirement about document uploads below:

Every file you upload must include the unique "APP ID" associated with your Pre-Application. You should add the APP ID to the top right-hand corner of every document you upload to the portal.

You can find your Pre-Application's unique APP ID in multiple places on your "Applications & Awards" dashboard. One such location is shown in the screenshot below:



Please review the information below, which details each section of the Pre-Application and its associated contents.

Throughout the Pre-Application portal form, the term "prospective subgrantee" refers to the applying entity as a whole, including the Lead Organization as well as any and all Consortium Member(s) identified in Section 1. Administrative. **Unless otherwise specified, any question that does not explicitly mention an entity should be presumed to pertain to the prospective subgrantee as a whole**.

As you progress throughout the Pre-Application, you will have the option to "Save this Section & Continue" at the end of each section:

Clicking this button saves your progress for that section, so that you (or another member of your organization) can exit the form and return to it at a later date/time.

The "Save this Section & Continue" button saves your progress only within its respective section. This means that, should you add content in multiple sections at once, you will need to click this button within each section in which you have added content.

The Pre-Application portal form also contains automated validation rules to help control data quality. Should one of your responses violate one of the automated validation rules (e.g., you enter an invalid email address or a non-US address), you will receive a pop-up validation error. You will not be able to proceed with saving and/or submitting your Pre-Application until you resolve the error described in the validation pop-up.

Section 10. Submission and Confirmation is the final section of the Pre-Application. Instead of "Save this Section & Continue," you will see a "Submit" button:

Once you click on "Submit," your Pre-Application will be open for review by the Office. You (or your organization's authorized signatory) will then receive, via email, the three DocuSign files to sign and submit.

Start Pre-Application

The Pre-Application portal form begins with a *Start Pre-Application* section, where the prospective subgrantee confirms their willingness to provide complete and current information throughout the Pre-Application (and eventual Application) Process.

Please note that for this Pre-Application, and any subsequent associated Application(s), the Office requires all relevant information to be provided anew, even if prospective subgrantees have submitted similar details in the past. The Office will evaluate each BEAD Pre-Application, and eventual Application, based on the information provided without reference to prior submissions or data held by the Office. Your thoroughness in providing complete and current information is *crucial to the review process.*

I have the necessary information to begin submitting a Pre-Application and am prepared to provide additional information upon request *
Yes/No: you must answer "Yes" in order to unlock the remaining Pre-Application sections and proceed.

Section 1. Administrative

Eligible prospective subgrantees are traditional and non-traditional internet service providers (ISPs), including units of local government (municipalities and political subdivisions) cooperatives, non-profits, and utilities. Prospectives grantees will be required to submit information including, but not limited to , their managerial, financial, and technical capacity related to broadband deployment. A prospective subgrantee must identify all counties in which it may intend to file an application for BEAD funding during this Pre-Application process, but they will not be required to apply for funding in all the counties identified during the Application Process. However, a prospective subgrantee may not seek BEAD funding in a county it did not identify in this Pre-Application process. No application for funding will be accepted from a prospective subgrantee that did not submit a Pre-Application. ***Volume II reference: 02.04.01***.

Lead Organization

Information pertaining to the Lead Organization will be displayed as read-only on the Pre-Application form as questions 1a. through 1o. As a reminder, you are asked to keep your portal organization information up to date should any organization changes occur. The information provided in the Pre-Application Record's associated organization at the time of Pre-Application submission will be the information captured as read-only in this section.

Additionally, the current version (i.e., the version that exists live in the Team Kentucky Portal) of your organization information will also be associated with your Pre-Application record, even if the organization information update occurs after Pre-Application submission. Refer to the Associating Your Profile with an Organization section, above, for detailed guidance on portal organizations.

1a. Lead Organization Name *
Single-line text: The primary entity submitting and overseeing the Pre-Application (and potential Application) and coordinating all Consortium Members' contributions, if applicable.

1b. Lead Organization Type *
Single-select choice: Please select "Other" if these definitions do not apply to your entity. All types listed below are eligible to apply:

- Internet Service Provider (ISP): A company that offers internet access and related services to consumers and businesses. ISPs must possess an FCC Registration Number (FCC FRN) and a provider ID number
- Local Government: A non-tribal administrative body for a small geographic area, such as a city, county, or special purpose government entity (SPGE), responsible for local services and regulations

- Non-Profit: A non-governmental entity with tax-exempt status
- Other: A different type of organization than those listed as options
    - If "Other" is chosen, question 1c will appear
    - Organizations selecting this type may not be eligible to apply for BEAD funds in Kentucky

Question 1c. will only contain content if you responded "Other" to question 1b.

1c. Description of Lead Organization's type if it does not fall under standard categories and if marked as "Other" above
Multi-line text: Briefly state the Lead Organization's nature, structure, and primary functions if it does not fall into one of the categories described in question 1b.
Your response is limited to 1,000 characters.
* *Becomes required if displayed.*

1d. Do you operate in Kentucky under a DBA or brand name? *
Yes/No: A "Doing Business As" (DBA) name is also known as a "fictitious business name," a "trade name," or an "assumed name," and is a name that the legal owners of a business register with the state. The Lead Organization DBA or brand name differ from the organization name (e.g., "ABC Internet Service Provider" may do business as "EZ-ISP").

1e. Provide a description of Lead Organization's name if entity operates under a DBA or brand name and is marked as "Yes" above
Multi-line text: Using semicolons (;) to separate values, list the relevant DBA and brand name(s) associated with the Lead Organization.
Your response is limited to 1,000 characters.
* *Becomes required if displayed.*

1f. Unique Entity ID (UEI) from SAM.gov *
Single-line text: Prospective subgrantees must be registered in SAM.gov to receive BEAD funds. A UEI is a 12-character alphanumeric code assigned by SAM.gov to entities engaging with the federal government. It serves as the primary means of identifying your organization across various federal government systems and is required for federal contracting, grants, and other financial assistance.

1g. FCC Registration Number (FRN) *
Single-line text: The FRN is the 10-digit FCC Registration Number issued by the Commission Registration System (CORES). If the prospective subgrantee does not currently have an FRN, please follow the Federal Communications Commission's (FCC's) step-by-step instructions on establishing an account here.

Question 1h. will only contain content if you responded "Internet Service Provider (ISP)" to question 1b.

1h. FCC Provider ID

Single-line text: If entity is an ISP and has a Provider ID assigned by the FCC, they must respond to this question. The "Provider ID" refers to a six-digit unique identifier assigned by the FCC to entities that provide telecommunications services and file BDC data. An ISP entity may exist without having a Provider ID. The CORES can be accessed here.
* *Becomes required if displayed.*

1i. Kentucky Vendor Number *

Single-line text: Prospective subgrantees must possess a vendor number from the Finance and Administration Cabinet to do business with the Commonwealth and to be paid. If the prospective subgrantee does not already have a Kentucky vendor number, register a new vendor account here.

1j. Lead Organization Taxpayer Identification Number (TIN) or Employer Identification Number (EIN) *

Single-line text: Provide organization's nine-digit TIN or employer's nine-digit EIN.

1k. Lead Organization Mailing Address *

Single-line text: You will see five questions, all numbered as "question 1k." You must provide a valid US address, with at least [Street Address 1], [City], [State], [ZIP Code]. [Street Address 2] is optional, considering not all US addresses have a second line of street address information.

1l. Lead Organization Website

Single-line text: Please provide URL to the Lead Organization website. Leave blank only if Lead Organization does not have a website.

1m. Lead Organization Contact Name *

Single-line text: The primary point of contact (POC) responsible for managing financial discussions and ensuring availability for consultations during the Pre-Application and Application processes.

1n. Lead Organization Contact Email *

Single-line text: Please provide email in the following format: username@example.com.

1o. Lead Organization Contact Phone *

Single-line text: Please provide telephone number in the following format (no spaces): 123-456-7890.

Editable fields (not displayed as read-only)

1p. Specify the counties to which you intend to submit your Application(s) *

Multi-select choice: A prospective subgrantee must identify all counties in which it may intend to file an Application for funding from the BEAD program. Prospective subgrantees will not be required to submit a full Application in all counties identified during the Pre-Application process, however, a prospective subgrantee may not apply for projects in a county or counties that it did not identify during the Pre-Application process.

The drop-down will display all counties in the Commonwealth of Kentucky. Unless you will realistically apply for BEAD funding for all counties, please do not "select all."

1q. Affidavit for Bidders and Offerors *
Document upload: Please upload a notarized Affidavit for Bidders and Offerors, attesting that the prospective subgrantee is an entity with qualified bidding status in Kentucky. This document must be notarized to be valid.
You can preview 1q. Affidavit for Bidders and Offerors towards the end of this document.

1r. Date of last Annual Report for the Kentucky Secretary of State *
Date: Subgrantees must be registered to do business in the Commonwealth with the Secretary of State. If you are not registered with the Kentucky Secretary of State, register here. Not required for Local Government prospective subgrantees.

1s. Proof of Secretary of State Registration *
Document upload: Please provide a screenshot or a PDF proving your registration with the Kentucky Secretary of State that displays the Date of Last Annual Report (1r.). Not required for Local Government prospective subgrantees.

1t. Lead Organization Tax Form *
Document upload: Please upload the Lead Organization's most recent W9 in PDF format. Identify as PRE-XXX as directed above.

1u. Form Completed By *
Single-line text: The person or people completing this form who may or may not be identified in other contact categories. If multiple individuals from the same Lead Organization are collaborating on this Pre-Application, please provide all names here.

1v. Is the Lead Organization Contact the same as the Lead Organization Project Contact? *
Yes/No.

Questions 1w., 1x., and 1y. will only appear if you responded "No" to question 1v.

1w. Lead Organization Project Contact Name
Single-line text: The primary point of contact (POC) responsible for managing project(s) and reporting during the Pre-Application, Application, and Award processes.
* *Becomes required if displayed.*

1x. Lead Organization Project Contact Email
Single-line text: Please provide email in the following format: username@example.com.
* *Becomes required if displayed.*

1y. Lead Organization Project Contact Phone Number
Single-line text: Please provide telephone number in the following format (no spaces):

123-456-789.
* *Becomes required if displayed.*

1z. Is the Lead Organization Technical Contact the same as the Lead Organization Project Contact or Lead Organization Contact? *
Single-select choice: Choose one of the following options:

- Yes – same as Lead Organization Contact
- Yes – same as Lead Organization Project Contact
- Yes – one contact for all roles
- No
    - If "No" is chosen, questions 1aa., 1ab., and 1ac. will appear

Questions 1aa., 1ab., and 1ac. will only appear if you responded "No" to question 1z.

1aa. Lead Organization Technical Contact Name
Single-line text: The primary point of contact (POC) responsible for designing technical solutions during the Pre-Application and Application processes.
* *Becomes required if displayed.*

1ab. Lead Organization Technical Contact Email
Single-line text: Please provide email in the following format: username@example.com.
* *Becomes required if displayed.*

1ac. Lead Organization Technical Contact Telephone Number
Single-line text: Please provide telephone number in the following format (no spaces): 123-456-789.
* *Becomes required if displayed.*

1ad. Are you representing a group or consortium? *
Yes/No: A consortium refers to a collaborative partnership for a specific project without shared ownership. In this arrangement, entities retain individual ownership (for example, one partner owns the infrastructure, while another partner operates the service). A government-based consortium can be created when agencies agree to work together via interlocal agreement(s).

Questions 1ae. and 1af. will only appear if you responded "Yes" to question 1ad.

1ae. If you are representing a consortium, how many total Consortium Members are there?
Whole number: If you answered "Yes" to question 1ad., enter the number of member organizations (other than the Lead Organization) here. The Lead Organization must also fill out *1af. Consortium Members* in question 1af.
* *Becomes required if displayed.*

1af. Consortium Members

Table entry: An entry must be made for each Consortium member other than the Lead Organization prospective subgrantee.

A sample table detailing table-specific requirements and detailed instructions for each table entry field (i.e., table column) can be found below.

* *Becomes required if displayed*.

1ag. Are you authorized to submit this form? *

Yes/No: You must answer "Yes" to be able to save this section and proceed.

Section 2. Legal Disclosures

Under State and Federal Law, the Office must require prospective subgrantees to fully disclose any Conflicts of Interest (CFR 200.318), "when an employee, any member of his (her) immediate family, his or her partner...has a financial or other interest in the firm selected for award" The Kentucky Executive Branch Code of Ethics [KRS 11A.020, 2CFR 200.112, and 24 CFR 570.489(h)] mandates that any state employee must not use or attempt to use their influence in any matter "which involves a substantial conflict between their personal or private interest and duties in the public interest." Kentucky Law prohibits direct collusion between bidders or offerors for state funds or contracts with KRS45A.160 requiring suspicions of collusion to be reported to the Attorney General's Office. ***Volume II reference: 02.04.01***.

2a. If applicable, prospective subgrantees must fully disclose any real or apparent (perceived) Conflict(s) of Interest

Document upload: Such a conflict would arise when the "employee, any member of his (her) immediate family, his or her partner...has a financial or other interest in the firm selected for award" (2 CFR 200.318). Other federal regulations with which the grantee must comply are the Conflict of Interest requirements in 2 CFR 200.112 and 24 CFR 570.489(h). Based on these disclosures, the Office reserves the right to take any appropriate mitigation steps including, if necessary, the disqualification of the entity from BEAD. Identify as PRE-XXX as directed above.

2b. Do you agree to complete and sign the Non-Conflict of Interest Statement via DocuSign? *

Yes/No: After submitting this Pre-Application, you will receive an email from DocuSign containing a link to sign the Non-Conflict of Interest Statement, along with any other required documents. It is essential to complete and sign these documents via DocuSign to progress to the formal Application stage. Pre-Applications will not be considered further without the completed and signed documents. Please ensure you check your email and complete this step promptly after Pre-Application submission. You must answer "Yes" to be able to save this section and proceed.

You can preview 2b. Non-Conflict of Interest Certification towards the end of this document.

2c. Do you agree to complete and sign the Non-Collusion Statement via DocuSign? *

Yes/No: After submitting this Pre-Application, you will receive an email from DocuSign containing a link to sign the Non-Collusion Statement, along with any

other required documents. It is essential to complete and sign these documents via DocuSign to progress to the formal Application stage. Pre-Applications will not be considered further without the completed and signed documents. Please ensure you check your email and complete this step promptly after Pre-Application submission. You must answer "Yes" to be able to save this section and proceed.
You can preview 2c. Non-Collusion Certification towards the end of this document.

Section 3. Financial Capability

Prospective subgrantees must certify they have the financial capacity to fulfill project requirements, including but not limited to, firm commitments of matching funds and certification that all cost overruns will be paid by the prospective grantee. This is a reimbursement program, therefore, prospective subgrantees must demonstrate they have sufficient financial resources to cover eligible costs until such reimbursement can be made. Prospective subgrantees are encouraged to read the financial requirements carefully and be prepared to provide all necessary documents at the time of submission. A Pre-Application will not be approved to move forward without the required financial documents. ***Volume II reference: 02.04.11***.

3a. Financial Capability Narrative *
Multi-line text: Prospective subgrantees must certify they have the financial capacity to fulfill project requirements, including but not limited to, firm commitments of matching funds and certification that all cost overruns will be paid by the prospective grantee. This is a reimbursement program, therefore, prospective subgrantees must demonstrate they have sufficient financial resources to cover eligible costs until such reimbursement can be made. Your response must include capabilities for the Lead Organization and each Consortium Member, as applicable.
Your response is limited to a maximum of 1,000 characters.

3b. Financial Capability Narrative Details
Document upload: Optional. If desired, upload additional Financial Capability Narrative details. Please only submit an attachment if you determine that additional documentation is required to accurately describe prospective subgrantee's financial capability.
Your response is limited to a maximum of three pages of double-spaced content; the Office will not review beyond the third page of supplemental narrative information.
Identify as PRE-XXX as directed above.

3c. Does prospective subgrantee participate in the Kentucky Broadband Availability Map? *
Yes/No: The Kentucky Broadband Availability Map can be found here.

Question 3d. will only appear if you answered "No" to question 3c.

3d. Does prospective subgrantee agree to participate in the Kentucky Broadband Availability Map?
Yes/No: The Kentucky Broadband Availability Map can be found here.
** Becomes required if displayed*

You must answer "Yes" to either 3c. or 3d. in order to successfully submit your Pre-Application. Questions 3e. through 3k. must be answered to identify which files are to be uploaded as part of your Pre-Application. Answer in consideration of the longest years of operation of the prospective subgrantee or any of the Consortium Member organizations, individually versus combined years.

3e. Has the prospective subgrantee provided mass market broadband service in Kentucky for at least the two (2) consecutive years prior to date of this application submission? *
Yes/No.

3f. Do you agree to certify via DocuSign the number of years the prospective subgrantee has provided voice, broadband, and/or electric transmission or distribution services? *
Yes/No: After submitting this Pre-Application, you will receive an email from DocuSign containing a link to sign the Pre-Application Certifications document, along with any other required documents. It is essential to complete and sign these documents via DocuSign to progress to the formal Application stage. Pre-Applications will not be considered further without the completed and signed documents. Please ensure you check your email and complete this step promptly after Pre-Application submission.
You can preview Pre-Application Certifications towards the end of this document.

Questions 3g. through 3k. will only appear if you responded "No" to question 3e.

3g. Has prospective subgrantee provided *only* electric distribution or transmission service in Kentucky? *
Yes/No.

3h. Is prospective subgrantee a new entrant providing broadband service in Kentucky? *
Yes/No.

Questions 3i. through 3k. will only appear if you responded "Yes" to either question 3g. or 3h.

3i. If prospective subgrantee has only provided electric distribution or transmission service in Kentucky, OR is a new entrant providing broadband in Kentucky, submit qualified operating or financial reports
Document upload: Qualified operating or financial reports are documents reviewed or audited by an independent party (e.g., a Certified Public Accountant (CPA)), detailing an organization's performance and financial health in line with accepted standards. Identify as PRE-XXX as directed above.
** Becomes required if displayed.*

3j. If prospective subgrantee has only provided electric distribution or transmission service in Kentucky, OR is a new entrant providing broadband in Kentucky, submit Auditors' Statement(s)
Document upload: An Auditor's Statement is a formal document provided by an independent auditor that expresses an opinion on the accuracy and fairness of an organization's financial statements. It indicates whether the statements comply with generally accepted accounting principles and are free from material misstatement.

Identify as PRE-XXX as directed above.
* *Becomes required if displayed*.

3k. If prospective subgrantee has only provided electric distribution or transmission service in Kentucky, OR is a new entrant providing broadband in Kentucky, submit Organizational Chart of Structural Separation (Electric and Broadband Divisions)
Document upload: An Organizational Chart of Structural Separation (Electric and Broadband Divisions) is a diagram that visually represents the distinct organizational structures and reporting relationships between a company's electric and broadband divisions, ensuring clear separation and independence of operations. Identify as PRE-XXX as directed above.
* *Becomes required if displayed*.

3l. What percentage of prospective subgrantee's total revenue is derived from providing broadband services? *
Single-line text: Please enter the percentage as a decimal number (e.g., 70% = 0.70).

3m. Submit audited financial statements for the most recent two (2) years. You must include prospective subgrantee's Fiscal Year 2023. *
Document upload: Audits must be conducted based on AICPA standards for Generally Accepted Audit Standards (GAAS), General Accounting Office (GAO) standards for Government Auditing Standards for government prospective subgrantees; or for municipalities that opt-out of GAO standards, the cash-basis accounting as defined in Kentucky Statute 10-1102. Identify as PRE-XXX as directed above.

Section 4. Bonding

As part of the requirement to demonstrate financial capability to participate in the BEAD program, prospective subgrantees will be required to certify their awareness and understanding of the letter of credit or performance bond requirements and their qualifications and resources necessary to comply with those requirements. Additionally, prospective subgrantees will be required to provide a narrative explanation of their planned method of compliance with these requirements. Please note that unwillingness to certify awareness and understanding of the Letter of Credit and/or Performance Bond will impact eligibility to advance to the formal Application stage. ***Volume II reference: 02.04.11***.

4a. Is the prospective subgrantee prepared to certify awareness and understanding of the Letter of Credit or Performance Bond requirements via DocuSign? *
Yes/No: Please note that you will not be required to provide Bonding documentation until the formal Application stage, as it will be based on the requested amount. Your response to this question will help to streamline the Application Process by clarifying your willingness to provide required information. Unwillingness to provide a Letter of Credit and/or Performance Bond will impact your eligibility to advance to the formal Application stage. You must answer "Yes" to be able to save this section and proceed. Please note that unwillingness to provide a Letter of Credit and/or Performance Bond will impact your eligibility to advance to the formal Application stage.

4b. Do you agree to provide a Letter of Credit or Performance Bond? *

Yes/No: Please note that you will not be required to provide Bonding documentation until the formal Application stage, as it will be based on the requested amount. Your response to this question will help to streamline the Application Process by clarifying your willingness to provide required information. You must answer "Yes" to be able to save this section and proceed. Unwillingness to provide a Letter of Credit and/or Performance Bond will impact your eligibility to advance to the formal Application stage.

Section 5. Ownership

*The Office must ensure that prospective subgrantees deploying network facilities meet ownership disclosure requirements outlined in federal code [47 CFR 1.2112(a)(1)-(7)](). [**Volume II reference: 02.04.16**]().*

5a. Ownership Information Narrative *

Multi-line text: Prospective subgrantees must describe each of the parties listed in the *Ownership Positions* table below, including the party's principal business and the relationship to the prospective subgrantee (e.g., if Company A owns 10% of Company B (the prospective subgrantee) and 10% of Company C, then Companies A and C must be listed on Company B's Pre-Application, where C is an FCC licensee and/or license prospective subgrantee). Your response must include capabilities for the Lead Organization and each Consortium Member, as applicable.
Your response is limited to a maximum of 1,000 characters.

5b. Ownership Information Narrative Details

Document upload: Optional. If desired, upload additional Financial Capability Narrative details. Please only submit an attachment if you determine that additional documentation is required to accurately describe prospective subgrantee's financial capability.
Your response is limited to a maximum of three pages of double-spaced content; the Office will not review beyond the third page of supplemental narrative information. Identify as PRE-XXX as directed [above]().

5c. Company Legal Structure *

Single-select choice: Choose one of the following options:

- Limited Partnership: Business structure that includes at least one general partner who manages the business and has unlimited liability, and one or more limited partners who invest capital and have liability only up to their investment; limited partners do not manage the business
- Limited Liability: Business structure where the owners' personal assets are protected from the company's debts and liabilities; owners are only liable up to the amount they have invested in the company
- General Partnership: Business structure where two or more individuals share ownership and management responsibilities; each partner has equal authority to make decisions and is personally liable for the debts and obligations of the business

- Other: Any other type of business structure including, but not limited to, sole proprietorship, limited liability company, corporation, non-profit corporation, cooperative, etc.
    - If "Other" is chosen, question 5d. will appear

Question 5d. will only appear if you responded "Other" to question 5c.

5d. Description of Company Legal Structure type if it does not fall under standard categories and is marked as "Other" above
Multi-line text: Briefly describe the nature, structure, and primary functions if it does not fall into one of the categories described in question 5c. Your response is limited to 1,000 characters.
* *Becomes required if displayed.*

5e. Ownership Positions *
Table entry: An entry must be made for each party or parties of interest in the prospective subgrantee or Application, including a complete disclosure of the identity and relationship of those persons or entities directly or indirectly owning or controlling (or both) the prospective subgrantee.
A sample table detailing table-specific requirements and detailed instructions for each table entry field (i.e., table column) can be found below.

Section 6. Previous Public Funding Received

The Office must require prospective subgrantees to disclose, for itself and for its affiliates, any application the subgrantee or its affiliates have submitted or plan to submit, and every broadband deployment project that the subgrantee or its affiliates are undertaking or have committed to undertake at the time of the application using public funds, including but not limited to funds provided under: the Families First Coronavirus Response Act (Public Law 116- 127; 134 Stat. 178); the CARES Act (Public Law 116-136; 134 Stat. 281), the Consolidated Appropriations Act, 2021 (Public Law 116-260; 134 Stat. 1182); or the American Rescue Plan of 2021 (Public Law 117-2; 135 Stat. 4), any federal Universal Service Fund high-cost program (e.g., RDOF, CAF), or any Eligible Entity or local universal service or broadband deployment funding program. ***Volume II reference: 02.04.17 / NOFO IV.D(2)(g)***.

6a. Have you been the recipient of any public funding within the past ten years? *
Yes/No: Please refer to the list, at the beginning of this section, for details on public funding sources.

Questions 6b. and 6c. will only appear if you responded "Yes" to question 6a.

6b. Previous Public Funding Narrative
Multi-line text: Prospective subgrantees must describe any application(s) the prospective subgrantee or its affiliates have submitted or plan to submit, and every broadband deployment project the prospective subgrantee or its affiliates are undertaking or have committed to undertake, according to the requirements described at the beginning of this section. Your response must include capabilities for the Lead Organization and each Consortium Member, as applicable.
Your response is limited to a maximum of 1,000 characters.

* *Becomes required if displayed.*

6c. Previous Public Funding Narrative Details

Document upload: Optional. If desired, upload additional Previous Public Funding Narrative details. Please only submit an attachment if you determine that additional documentation is required to accurately describe prospective subgrantee's previous public funding information.
Your response is limited to a maximum of three pages of double-spaced content; the Office will not review beyond the third page of supplemental narrative information.
Identify as PRE-XXX as directed above.

6d. Disclosure of any application the subgrantee or its affiliates have submitted, or plan to submit, for broadband deployment projects that the subgrantee or its affiliates are undertaking, or have committed to undertake, at the time of the application (using public funds)

Multi-line text: You must disclose any applications for the Lead Organization and for each Consortium Member. If nothing applies, enter "N/A."

Question 6e. will only appear if you responded "Yes" to question 6a.

6e. Previous Public Funding

Table entry: An entry must be made for each record of infrastructure public funding that the prospective subgrantee is receiving or has applied to receive.
A sample table detailing table-specific requirements and detailed instructions for each table entry field (i.e., table column) can be found below.
* *Becomes required if displayed.*

6f. Disclosures of Mergers/Acquisitions, Bankruptcy, Legal Actions, and Relevant Policies *

Multi-line text: Disclose any of prospective subgrantee's or its affiliates' mergers, acquisitions, bankruptcies, legal actions, and relevant policies. If nothing applies, enter "N/A."
Your response is limited to a maximum of 1,000 characters.

6g. Disclosure of Mergers/Acquisitions, Bankruptcy, Legal Actions, and Relevant Policies Details

Document upload: Optional. If desired, upload additional details regarding Disclosure of Mergers/Acquisitions, Bankruptcy, Legal Actions, and Relevant Policies. Please only submit an attachment if you determine that additional documentation is required to accurately describe prospective subgrantee's Disclosure of Mergers/Acquisitions, Bankruptcy, Legal Actions, and Relevant Policies.
Your response is limited to a maximum of three pages of double-spaced content; the Office will not review beyond the third page of supplemental narrative information.
Identify as PRE-XXX as directed above.

Section 7. Managerial Capability

Prospective subgrantees must submit resumes of all key management personnel and *organizational chart(s) detailing all parent companies, subsidiaries, and affiliates. Prospective subgrantees must also provide a narrative describing the prospective subgrantee's readiness to manage a broadband services network. This narrative should describe the experience and qualifications of key management for undertaking this project, its experience undertaking projects of similar size and scope, recent and upcoming organizational changes including mergers and acquisitions, and relevant organizational policies.* ***Volume II reference: 02.04.12***.

7a. Organizational Chart of Key Management Personnel *
Document upload: Please upload an organizational chart that outlines the key management personnel within your Lead Organization, including their positions and reporting structure. This chart should clearly depict the hierarchy and relationships between senior and mid-level management roles. Identify as PRE-XXX as directed above.

Questions 7b. and 7c. will not appear if you responded "Local Government" to question 1b.

7b. Organizational Chart of Parent and its Subsidiary/Affiliated Entities
Document upload: Please upload an organizational chart that displays the structure and relationships between the parent company and its subsidiary or affiliated entities, highlighting the ownership and control linkages among them. Identify as PRE-XXX as directed above.
* *Becomes required if displayed*.

7c. Organizational Chart of CEO/President to Board Directors or NFB of GOV Board
Document upload: Please upload an organizational chart that illustrates the reporting lines from the CEO/President up to the Board of Directors or the governing body of the Lead Organization, detailing the chain of command and the interaction with the board members. Identify as PRE-XXX as directed above.
* *Becomes required if displayed*.

7d. Summary of Prospective Subgrantee Readiness *
Multi-line text: Describe the prospective subgrantee's readiness to manage a broadband services network. Please refer to the specific narrative requirements described at the top of this section.
Your response is limited to a maximum of 1,000 characters.

7e. Key Personnel *
Table entry: An entry must be made for each individual who holds critical positions within the organization.
A sample table detailing table-specific requirements and detailed instructions for each table entry field (i.e., table column) can be found below.

Section 8. Operational Capability

Prospective subgrantees must certify they possess the operational capability to qualify to complete and operate the Project. A prospective subgrantee that has provided a voice, broadband, and/or electric transmission or distribution service for at least the two (2) consecutive years prior to the date of its application submission or that it is a wholly owned subsidiary of such an entity, must submit a certification that attests to these facts and specifies the number of years the prospective *subgrantee or its parent company has been operating.*

If the prospective subgrantee has provided a voice and/or broadband service, it must certify that it has timely filed [Commission Form 477s] and the [Broadband DATA Act] submission, if applicable, as required during this time period, and otherwise has complied with the Commission's rules and regulations. Alternatively, prospective subgrantees should explain any pending or completed enforcement action, civil litigation, or other matter in which it failed to comply or was alleged to have failed to comply with Commission rules or regulations.

If the prospective subgrantee has operated only an electric transmission or distribution service, it must submit qualified operating or financial reports that it has filed with the relevant financial institution for the relevant time period along with a certification that the submission is a true and accurate copy of the reports that were provided to the relevant financial institution.

If a new entrant to the broadband market, the prospective subgrantee must provide evidence sufficient to demonstrate that the newly formed entity has obtained, through internal or external resources, sufficient operational capabilities. Such evidence may include resumes from key personnel, project descriptions and narratives from contractors, subcontractors, or other partners with relevant operational experience, or other comparable evidence. ***Volume II reference: 02.04.15*** */* ***NOFO IV.D.(2)(e)***.

8a. Has Lead Organization been in service for two (2) or more years? *
Yes/No.

Question 8b. will only appear if you responded "Yes" to question 1ad.

8b. Have Consortium Member(s) been in service for two (2) or more years?
Yes/No.
** Becomes required if displayed.*

Question 8c. will only appear if you responded "No" to question 8a.

8c. Supporting Evidence for Years of Service
Document upload: If you answered "Yes" to question 8a., you must provide evidence displaying Lead Organization's total years of service served at the time of Pre-Application submission. If you answered "No" to question 8b., please also provide evidence for the Consortium Member(s) involved. Sufficient evidence may include, but is not limited to: Audited Financial Statements, FCC Form 477 filings, evidence of registration in good standing with the Kentucky Secretary of State, Federal and/or USF filings and disbursements, board meeting minutes and resolutions, number and type of broadband subscribers, or number of subscribers enrolled in ACP.
** Becomes required if displayed.*

8d. Operational Capability Narrative *
Multi-line text: Describe the prospective subgrantee's operational ability to manage and operate a broadband services network. Please refer to the specific narrative requirements described at the top of this section.
Your response is limited to a maximum of 1,000 characters.

8e. Operational Capability Narrative Details
Document upload: Optional. If desired, upload additional Operational Capability

Narrative details. Please only submit an attachment if you determine that additional documentation is required to accurately describe prospective subgrantee's operational capability.
Your response is limited to a maximum of three pages of double-spaced content; the Office will not review beyond the third page of supplemental narrative information. Identify as PRE-XXX as directed above.

8f Do you agree to certify the prospective subgrantee's Operational Capability via DocuSign? *

Yes/No: After submitting this Pre-Application, you will receive an email from DocuSign containing a link to sign the Pre-Application Certifications document, along with any other required documents. It is essential to complete and sign these documents via DocuSign to progress to the formal Application stage. Pre-Applications will not be considered further without the completed and signed documents. Please ensure you check your email and complete this step promptly after Pre-Application submission.
You can preview Pre-Application Certifications towards the end of this document.

8g. Current Subscribers to Internet Service in Kentucky *

Table entry: An entry must be made for the prospective subgrantee's current subscribers to internet service in Kentucky.
A sample table detailing table-specific requirements and detailed instructions for each table entry field (i.e., table column) can be found below.

8h. Network Monitoring Capabilities *

Multi-line text: Network monitoring capabilities may include connectivity monitoring, bandwidth monitoring, traffic analysis, latency measurement, etc.
Your response is limited to a maximum of 1,000 characters.

8i. Restoration Capabilities *

Multi-line text: Please describe the measures you have in place for managing emergencies and ensuring service continuity (e.g., number of crews in place to restore power).
Your response is limited to a maximum of 1,000 characters.

8j Quality of Service Metrics or Reports *

Multi-line text: Quality of service may relate, but are not limited to, number of calendar days to install requested service; any service outage credits available or offered, and at what rate; trends to service prices, and any enforceable commitments to hold prices or only increase at rates no greater than the Consumer Price Index for All Urban Consumers (CPI-U) for the Midwest Region.
Your response is limited to a maximum of 1,000 characters.

8k. Has prospective subgrantee ever faced a financial clawback on previously awarded grants for non-compliance or other penalized actions? *

Yes/No.

Question 8l. will only appear if you responded "Yes" to question 8k.

8l. Grants Penalty Clawback

Table entry: An entry must be made for each record of prospective subgrantee's and its affiliates' financial clawback(s), as applicable.
A sample table detailing table-specific requirements and detailed instructions for each table entry field (i.e., table column) can be found below.
* *Becomes required if displayed*.

8m. Has prospective subgrantee ever faced legal actions on previously awarded grants for non-compliance or other penalized actions? *
Yes/No.

Question 8n. will only appear if you responded "Yes" to question 8m.

8n. Legal Actions Against Prospective Subgrantee
Table entry: An entry must be made for each record of legal action(s) taken against prospective subgrantee or its affiliates, as applicable.
A sample table detailing table-specific requirements and detailed instructions for each table entry field (i.e., table column) can be found below.
* *Becomes required if displayed*.

8o. Has prospective subgrantee ever faced FCC or other Federal Agency Proceedings for previously awarded grants for non-compliance or other penalized actions? *
Yes/No.

Question 8p. will only appear if you responded "Yes" to question 8o.

8p. FCC or Other Federal Agency Proceedings Against Prospective Subgrantee or Consortium Member(s)
Table entry: An entry must be made for each record of federal agency proceeding(s) taken against prospective subgrantee or its affiliates, as applicable.
A sample table detailing table-specific requirements and detailed instructions for each table entry field (i.e., table column) can be found below.
* *Becomes required if displayed*.

8q. Do you agree to certify prospective subgrantee's FCC Broadband Data Collection (BDC) Compliance via DocuSign? *
Yes/No: After submitting this Pre-Application, you will receive an email from DocuSign containing a link to sign the Pre-Application Certifications document, along with any other required documents. It is essential to complete and sign these documents via DocuSign to progress to the formal Application stage. Pre-Applications will not be considered further without the completed and signed documents. Please ensure you check your email and complete this step promptly after Pre-Application submission.
You can preview Pre-Application Certifications towards the end of this document.

Section 9. Technical Capability

Prospective subgrantees must describe their technical capability to complete program activities. Qualifications must demonstrate the prospective subgrantee and each Consortium Member are capable of carrying out the funded activities in a competent manner, including the use of an appropriately skilled and credentialed workforce. ***Volume II reference: 02.04.13*** */* ***NOFO***

IV.D.(2)(c).

9a. Technical Capability Narrative *
Multi-line text: Describe the prospective subgrantee's technical ability to manage and operate a broadband services network. Please refer to the specific narrative requirements described at the top of this section.
Your response is limited to a maximum of 1,000 characters.

9b. Technical Capability Narrative Details
Document upload: Optional. If desired, upload additional Technical Capability Narrative details. Please only submit an attachment if you determine that additional documentation is required to accurately describe prospective subgrantee's technical capability.
Your response is limited to a maximum of three pages of double-spaced content; the Office will not review beyond the third page of supplemental narrative information. Identify as PRE-XXX as directed above.

9c. Do you agree to certify the prospective subgrantee's Technical Capability via DocuSign? *
Yes/No: After submitting this Pre-Application, you will receive an email from DocuSign containing a link to sign the Pre-Application Certifications document, along with any other required documents. It is essential to complete and sign these documents via DocuSign to progress to the formal Application stage. Pre-Applications will not be considered further without the completed and signed documents. Please ensure you check your email and complete this step promptly after Pre-Application submission.
You can preview Pre-Application Certifications towards the end of this document.

Section 10. Submission and Confirmation

These final attestations confirm the submitted information is complete and accurate. Following submission of this Pre-Application, an authorized signatory will be required to sign legally-binding documents through DocuSign. We will send the necessary signature forms to the authorized signatory designated in this section.

10a. Do you agree to certify via DocuSign that all evidence provided in this Pre-Application is complete and correct? *
Yes/No: After submitting this Pre-Application, you will receive an email from DocuSign containing a link to sign the Pre-Application Certifications document, along with any other required documents. It is essential to complete and sign these documents via DocuSign to progress to the formal Application stage. Pre-Applications will not be considered further without the completed and signed documents. Please ensure you check your email and complete this step promptly after Pre-Application submission.
You can preview Pre-Application Certifications towards the end of this document.

10b. Are you an authorized signatory for the prospective subgrantee? *
Yes/No: An authorized signatory is an individual who has been granted the legal power to sign official documents on behalf of an organization or entity, thereby committing it to the terms of the document.

10c. If you are not an authorized signatory for the prospective subgrantee, provide the contact email for an authorized signatory *

Lookup: Signature forms will be routed to the person submitting this Pre-Application unless an alternate contact is named here. If the person you are looking for does not appear in this list of available options, you will need to add their contact information as a member of your organization.

To do this, save and exit this form, then follow the steps for Inviting Members to Join Your Organization. Once your authorized signatory has created and confirmed their portal account, they will be available for selection in this list of available options.

The remainder of this page is intentionally left blank.

Tools and Resources

In this section, you will find a curated collection of table templates and sample documents designed to assist you in completing your Pre-Application accurately and efficiently.

Table Templates

The Pre-Application asks prospective subgrantee to fill out, as applicable to their organization, the following tables:

- 1af. Consortium Members
- 5d. Ownership Positions
- 6e. Previous Public Funding
- 7e. Key Personnel
- 8g. Current Subscribers to Internet Service in Kentucky
- 8l. Grants Penalty Clawback
- 8n. Legal Actions Against Prospective Subgrantee
- 8p. FCC or Other Federal Agency Proceedings Against Prospective Subgrantee or Members

On the following pages, you will find easy-to-read table templates for you to reference as you complete these tables on the Pre-Application portal form. Please note that these table templates are only meant to be informative – to collectively serve as a guide as you collect all required information.

You must provide this information directly in your Pre-Application portal form submission. The Office will only review table entry information that has been submitted via the Pre-Application portal form. Document uploads of these table templates will not be accepted nor reviewed by the Office's staff.

The remainder of this page is intentionally left blank.

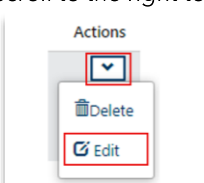
1af. Consortium Members

The *Consortium Members* table, shown below, should be completed on the Pre-Application portal form with accurate details regarding each Consortium Member's information. The number of table entries **must** match the number of total Consortium Members prospective subgrantee identified in question 1ae. You may edit and remove table entries until final Pre-Application portal form submission.

Organization Name	Owner Name	Organization Type	Description of Organization Type (if "Other")	Organization UEI or SAM ID	*[File Upload]*[4] Organization W9	Organization Mailing Address	Organization Website	Organization Contact Name	Organization Contact Email	Organization Contact Number
Legal name of Consortium Member (i.e., "Organization") entity	*Legal name indicating who is financially and legally responsible for Organization's obligations and actions*	*Choose one:* • *ISP* • *Local Government* • *Non-Profit* • *Other*	*Briefly state its nature, structure, and primary functions*	*12-character code assigned by SAM.gov; serves as identifier for Organization*	*Upload Organization's most recent W9 in PDF format*	*Provide:* • *Street 1* • *Street 2* • *City* • *State* • *ZIP*	*URL to Organization's website*	*The primary point of contact (POC) for Organization*	*Must provide a valid email address*	*Must provide a valid U.S. phone number*

[4] *Uploading a file to a table entry can be a little tricky. Follow these steps:*

1. *Enter data for all required fields <u>except</u> the document upload – skip that field when first creating your table entry record.*
2. *Click "Submit" on your table entry record. The table entry pop-up modal will close, and you will see the table entry record on your table.*
3. *Scroll to the right to locate the "Actions" column for the table entry. Click the down arrow:*



4. *Click "Edit" to reopen the table entry. You'll now be able to successfully upload your file.*
5. *Save/submit your table entry record. You can edit and remove document uploads until final Pre-Application portal form submission.*

5d. Ownership Positions

The *Ownership Positions* table, shown below, should be completed on the Pre-Application portal form with accurate details about your entity's ownership structure, owners, and owner information. Please ensure that all required fields are completed. You may edit and remove table entries until final Pre-Application portal form submission.

List the real party or parties of interest in the prospective subgrantee or Application, including a complete disclosure of the identity and relationship of those persons or entities directly or indirectly owning or controlling (or both) the prospective subgrantee.

If prospective subgrantee is a Local Government entity, completion of the Ownership Positions table is not required.

Ownership Member Name	Type of Ownership	Percent of Ownership	Type of Ownership Shares	Ownership Member Address	Ownership Member Citizenship	Additional FCC-regulated Company(ies) Owned[5]	Non-Profit Directors and Officers[6]
"Ownership Member" refers to individuals or FCC-regulated entities, such as companies or partnerships, holding ownership stakes or shares in the prospective subgrantee or (Pre-)Application	*Choose one:* • *Direct Ownership* • *Indirect Ownership*[7]	*Please enter the percentage as a decimal number (e.g., 70% = 0.70)*	*Choose one:* • *Voting, Common* • *Voting, Preferred* • *Non-Voting, Common* • *Non-Voting, Preferred*	*Provide:* • *Street 1* • *Street 2* • *City* • *State* • *ZIP*	*Only required if Ownership Member owns 10% or more of the company*	*Only required if Ownership Member owns 10% or more of the company; list any additional FCC-regulated entity in which any of the parties identified who owns 10% or more of stock, regardless of Type*	*If entity is a non-profit organization, please provide the names and titles of all directors and officers*

[5] This list must include a description of each such entity's principal business and a description of each such entity's relationship to the prospective subgrantee (e.g., if Company A owns 10% of Company B [the prospective subgrantee] and 10% of Company C, then Companies A and C must be listed on Company B's Pre-Application, where C is an FCC licensee and/or FCC license applicant).

[6] Only applicable for Non-Profit prospective subgrantees.

[7] Indirect ownership is determined by successive multiplication of the ownership percentages for each link in the vertical chain that equals 10% or more of the prospective subgrantee; if the ownership percentage for an interest in any link in the chain exceeds 50% or represents actual control, it shall be treated and reported as if it were 100% interest.

6e. Previous Public Funding

The *Previous Public Funding* table, shown below, should be completed on the Pre-Application portal form disclosing any infrastructure public funding that the prospective subgrantee is receiving or has applied to receive. Please ensure that all required fields are completed. You may edit and remove table entries until final Pre-Application portal form submission.

Prospective Subgrantee Name	Program Name	Program Goal	Funding Source	Date of Award	Funding Amount	Current Status	Matching Commitment (if any)	Technology Used
Prospective subgrantee / Consortium Member Organization legal name	*Grant program name*	*Grant program central goal*	*Choose one:* • *Federal funding* • *State funding*	*M/D/YYYY*	*Total grant amount in U.S. dollars*	*Choose one:* • *Currently requesting* • *Requested / Under Review* • *Approved* • *Funded* • *Ongoing* • *Completed* • *Terminated/Closed*	*Provided by the prospective subgrantee and/or its affiliates*	*Choose at least one:* • *Fiber to the Home* • *Hybrid-Fiber Coax* • *Wireless* • *Digital Subscriber Line* • *Satellite* • *Other*

Table continues below

Geographic Area Covered	Timeline for Completed Deployment	Number of committed service locations in unserved areas	Number of committed service locations in underserved areas	Speed and latency of broadband service	Number of CAIs included in committed area	Are the CAIs served participating in FCC E-rate and/or Rural Healthcare Program?	Monthly cost of service to the consumer	Monthly cost of service to the business
List total geographic area included in funding amount	*M/D/YYYY*	*Unserved locations are classified as those without any broadband service at all or with broadband service offering speeds below 25 Mbps downstream / 3 Mbps upstream*	*Underserved locations are classified as those without broadband service offering speeds of 100 Mbps downstream / 20 Mbps upstream*	*Specify the maximum and minimum download and upload speeds (Mbps) you have committed to providing*	*"CAIs" are Community Anchor Institutions*	*Choose one:* • *Yes* • *No*	*Total monthly cost in U.S. dollars*	*Total monthly cost in U.S. dollars*

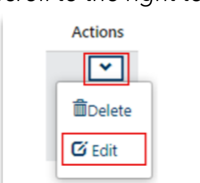
7e. Key Personnel

The *Key Personnel* table, shown below, should be completed on the Pre-Application portal form disclosing any individuals who hold critical positions within the organization. Key personnel can include executives, department heads, project managers, lead researchers, and other individuals with unique skills or knowledge that are difficult to replace. Please ensure that all required fields are completed. You may edit and remove table entries until final Pre-Application portal form submission.

Name of Key Personnel	**Key Personnel Type**	***[File Upload]*[8]** **Key Personnel Resume**	**Key Personnel Narrative**	**[File Upload - Optional][8]** **Key Personnel Narrative Additional Details**
Legal name of identified Key Personnel	*Choose one:* • *Deployment* • *Planning and Sustainability* • *Operations* • *Other*	*Upload Key Personnel's most recent resume, preferably in PDF format*	*Describe the experience and qualifications of Key Personnel; please limit your response to a maximum of 1,000 characters*	*Optional field:* • *If desired, upload additional details regarding Key Personnel's experience and qualifications narrative* • *Please only upload a file if absolutely necessary; limit document to a maximum of three double-spaced pages*

[8] *Uploading a file to a table entry can be a little tricky. Follow these steps:*

6. *Enter data for all required fields except the document upload – skip that field when first creating your table entry record.*
7. *Click "Submit" on your table entry record. The table entry pop-up modal will close, and you will see the table entry record on your table.*
8. *Scroll to the right to locate the "Actions" column for the table entry. Click the down arrow:*



9. *Click "Edit" to reopen the table entry. You'll now be able to successfully upload your file.*
10. *Save/submit your table entry record. You can edit and remove document uploads until final Pre-Application portal form submission.*

TEAM KENTUCKY
OFFICE OF BROADBAND DEVELOPMENT

8g. Current Subscribers to Internet Service in Kentucky

The *Current Subscribers to Internet Service in Kentucky* table, shown below, should be completed on the Pre-Application portal form disclosing details about current subscribers to internet service in Kentucky. Please ensure that all required fields are completed. You may edit and remove table entries until final Pre-Application portal form submission.

Household count: 100/20 Mbps or above	Household count: between 25/3 and 100/20 Mbps	Household count: lower than 25/3 Mbps	Household count: subscribed to ACP	Business count: 1Gbps or above	Business count: below 1Gbps	CAI count: 1Gbps or above	CAI count: below 1Gbps
Number of households with 100/20 Mbps broadband service or above (i.e., "served" households)	*Number of households with broadband service lower than 100/20 Mbps and higher than 25/3 Mbps (i.e., "underserved" households)*	*Number of households with 25/3 Mbps broadband service or below (i.e., "unserved" households)*	*Number of households subscribed to the Affordable Connectivity Program (ACP) at its peak*	*Number of businesses with 1Gbps broadband service or above*	*Number of businesses with broadband services below 1Gbps*	*Number of Community Anchor Institutions (CAIs) with 1Gbps broadband service or above*	*Number of Community Anchor Institutions (CAIs) with broadband service below 1Gbps*

8I. Grants Penalty Clawback

The *Grants Penalty Clawback* table, shown below, should be completed on the Pre-Application portal form disclosing all relevant situations where the prospective subgrantee is required to return funds to a grantor due to non-compliance with the terms and conditions of the grant agreement. Please ensure that all required fields are completed. You may edit and remove table entries until final Pre-Application portal form submission.

Name	Grant Name	Grant Number	Funding Source	Funding Entity	Date of Award	Award Amount	Resolution	Date of Penalty
Legal name of Prospective Subgrantee / Consortium Member / Lead Organization Member	*Grant program name*	*Grant program official identification number*	*Choose one:* • *Federal funding* • *State funding*	*Grant program funding entity / agency*	*M/D/YYYY*	*Total grant amount in U.S. dollars*	*Choose one:* • *Project pending* • *Project completed on time* • *Project completed but late* • *Project abandoned*	*M/D/YYYY*

Table continues below

Reason for Penalty	Penalty Amount	Penalty Paid?	Date of Clawback	Reason for Clawback	Clawback Amount	Actions Completed?
Please limit your response to a maximum of 1,000 characters	*Penalty amount in U.S. dollars*	*Choose one:* • *Yes* • *No*	*M/D/YYYY*	*Please limit your response to a maximum of 1,000 characters*	*Clawback amount in U.S. dollars*	*Choose one:* • *Yes* • *No*

8n. Legal Actions Against Prospective Subgrantee

The *Legal Actions Against Prospective Subgrantee* table, shown below, should be completed on the Pre-Application portal form disclosing any legal actions taken against the prospective subgrantee. Legal actions against a prospective subgrantee can arise if the prospective subgrantee is suspected or found to have engaged in misconduct or illegal activities in relation to the grant application process or the use of grant funds. Please ensure that all required fields are completed. You may edit and remove table entries until final Pre-Application portal form submission.

Name	Type of Case	Case or File Number	Entity Bringing Case	Date Case Opened	Date Case Closed	Disposition or Findings	Future Encumbrances?	If "Yes," Restrictions on Service Provisioning
Legal name of Prospective Subgrantee / Consortium Member / Lead Organization Member	*Choose one:* • *Civil* • *Criminal*	*Case or file official identification number*	*Legal name of entity bringing case against Prospective Subgrantee / Consortium Member / Lead Organization Member*	*M/D/YYYY*	*M/D/YYYY*	*Please limit your response to a maximum of 1,000 characters*	*Choose one:* • *Yes* • *No*	*Describe restriction and impact; please limit your response to a maximum of 1,000 characters*

8p. FCC or Other Federal Agency Proceedings Against Prospective Subgrantee or Members

The *FCC or Other Federal Agency Proceedings Against Prospective Subgrantee or Members* table, shown below, should be completed on the Pre-Application portal form disclosing situations where the Federal Communications Commission (FCC) or another federal agency in the United States has initiated a legal or regulatory proceeding against a prospective subgrantee or any of its Consortium Member(s). Please ensure that all required fields are completed. You may edit and remove table entries until final Pre-Application portal form submission.

Name	Agency Bringing Proceeding	If "Other," describe federal agency	Case or File Number	Nature of Proceeding	Date Case Opened	Date Case Closed	Disposition or Findings	Future Encumbrances?	If "Yes," Restrictions on Service Provisioning
Legal name of Prospective Subgrantee / Consortium Member / Lead Organization Member	*Choose one:* • *FCC* • *Other*	*Legal name of federal agency bringing proceeding if not the FCC*	*Case or file official identification number*	*Briefly describe the type of proceeding*	*M/D/YYYY*	*M/D/YYYY*	*Please limit your response to a maximum of 1,000 characters*	*Choose one:* • *Yes* • *No*	*Describe restriction and impact; please limit your response to a maximum of 1,000 characters*

Sample Documents

These selected examples correspond to the *Required Documentation Details* document available for download on the Opportunity Overview portal page. For a comprehensive list of all required documents for submitting a Pre-Application, please download that file.

Additionally, as previously stated, certain documents will be sent to the prospective subgrantee's authorized signatory via DocuSign upon Pre-Application submission.

Please note that the Office may request further documents while reviewing your Pre-Application and/or you may need to provide additional documentation should you progress to the next phase of the Application Process.

On the following pages, you will find *sample* files for the following required documents (**note that this list is not exhaustive of all required documentation**):

- 1q. Affidavit for Bidders and Offerors[9]
- 2b. Non-Conflict of Interest Certification
- 2c. Non-Collusion Certification
- Pre-Application Certifications (pertaining to questions 3f., 4a., 4b., 8f., 8q., 9c., and 10a.)

These files are also linked (viewable as read-only), where applicable, on the Pre-Application portal form. **Please do not submit the user guide's sample files**. Instead, for 1q. Affidavit for Bidders and Offerors, please download the affidavit form directly from the Pre-Application portal form and then complete its requirements.

There is no action to take on files 2b. Non-Conflict of Interest Certification, 2c. Non-Collusion Certification, and Pre-Application Certifications until you have submitted your Pre-Application portal form. Your authorized signatory will then automatically receive an email from DocuSign with the links to complete and sign these forms as required.

For the documents listed in the *Required Documentation Details* file that do not have accompanying examples below, please note that prospective subgrantees have the flexibility to submit different types of files, as appropriate (and as described on the Pre-Application portal form), to fulfill those requirements. Since there is no standard document type required nor requested for these remaining items, examples are not provided here. This allows prospective subgrantees to choose the most appropriate documentation that meets the criteria and best represents their organization's qualifications and compliance.

[9] *Must be signed in the presence of a notary public to attest to its veracity.*

1q. Affidavit for Bidders and Offerors

Rev. 9-16-22

Required Affidavit for Bidders, Offerors and Contractors
(KRS 45A.110 & 45A.115)

Affidavit Effective for One (1) Year from Date of Execution

Instructions: Pursuant to KRS 45A.110 and 45A.115, a bidder, offeror, or contractor ("Contractor") is required to submit a Required Affidavit for Bidders, Offerors, and Contractors to be awarded a contract, or for the renewal of a contract. An authorized representative of the contracting party must complete the attestation below, have the attestation notarized, and return the completed affidavit to the Commonwealth.

<u>Attestation</u>

As a duly authorized representative for the Contractor, I swear and affirm under penalty of perjury, that that the Contractor has not knowingly violated campaign finance laws of the Commonwealth of Kentucky and that the award of a contract will not violate any provision of the campaign finance laws of the Commonwealth. For purposes of this attestation, "Knowingly" means that the bidder or offeror is aware or should have been aware of the existence of a violation. The bidder or offer understands that the Commonwealth retains the right to request an updated affidavit at any time.

______________________________ Signature	______________________________ Printed Name
______________________________ Title	______________________________ Date

Bidder or Offeror Name: ____

Address: ____

____

____

Commonwealth of Kentucky Vendor Code (If known): ______________

Subscribed and sworn to before me this _____ day of ______________, ___________.

State of: __________________ Notary: _________________________________

County of: ________________ My Commission Expires: ____________________

Broadband Equity, Access, and Deployment Program (BEAD)

2024 Pre-Application

2b. Non-Conflict of Interest Certification

LEAD ORGANIZATION: ______________________________

PRE-APPLICATION NUMBER: _________________________

COUNTY(IES): _____________________________________

Please be aware that failure to submit this signed agreement, or the submission of any false or misleading information, will result in your Pre-Application being ineligible for progression to the next phase of the Application Process.

Pursuant to the BEAD Notice of Funding Opportunity (NOFO), adopted on May 13, 2022, issued by the National Telecommunications and Information Administration (NTIA), Funding Opportunity number NTIA-BEAD-2022, prospective subgrantee certifies and acknowledges a Non-Conflict of Interest Statement.

As a fundamental requirement, prospective subgrantees must fully disclose any real or apparent (perceived) Conflict(s) of Interest. Such a conflict would arise when the "employee, any member of his (her) immediate family, his or her partner...has a financial or other interest in the firm selected for award" (2 CFR 200.318). Other federal regulations with which the grantee must comply are the Conflict of Interest requirements in 2 CFR 200.112 and 24 CFR 570.489(h).

Based on these disclosures, the Office of Broadband Development ("the Office") reserves the right to take any appropriate mitigation steps including, if necessary, the disqualification of the entity from BEAD. In addition to these generally applicable requirements, the Office requires attestation from prospective subgrantees that includes the acceptance of these terms.

I, ____________________________________, ______________________________ , under penalty of perjury

(Printed name of officer signing certification) (Title)

under the laws of the United States, do hereby certify that

____,

(Name of individual, co-partnership, or corporation applying or completing a Pre-Application)

its agent, officers, and/or employees have fully disclosed[10] all real or apparent (i.e., perceived) Conflict(s) of Interest and attest to my acceptance of the terms of this document.

I affirm that I possess the requisite authority to sign this document on behalf of the prospective subgrantee and bind the prospective subgrantee to the certifications herein.

Printed Name: ________________________________ **Title:** ________________________________

Signature: ________________________________ **Date:** ________________________________

[10] *Question 2a. on the Pre-Application asks prospective subgrantees to upload an attachment disclosing any real or apparent (i.e., perceived) Conflict(s) of Interest as related to the Kentucky BEAD Program.*

Broadband Equity, Access, and Deployment Program (BEAD)

2024 Pre-Application

2c. Non-Collusion Certification

LEAD ORGANIZATION: ______________________________

PRE-APPLICATION NUMBER: ________________________

COUNTY(IES): _____________________________________

Please be aware that failure to submit this signed agreement, or the submission of any false or misleading information, will result in your Pre-Application being ineligible for progression to the next phase of the Application Process.

I, ______________________________ , ______________________________ , under penalty of perjury

(Printed name of officer signing certification) (Title)

under the laws of the United States, do hereby certify that

____ ,

(Name of individual, co-partnership, or corporation applying or completing a Pre-Application)

its agent, officers, and/or employees have not directly nor indirectly entered into any agreement, participated in any collusion, nor otherwise acted in restraint of a free competitive process in connection with this Pre-Application not potential future Application(s).

I affirm that I possess the requisite authority to sign this document on behalf of the prospective subgrantee and bind the prospective subgrantee to the certifications herein.

Printed Name: ______________________________

Title: ______________________________

Signature: ______________________________

Date: ______________________________

TEAM KENTUCKY
OFFICE OF BROADBAND DEVELOPMENT

Broadband Equity, Access, and Deployment Program (BEAD)

2024 Pre-Application

Pre-Application Certifications

LEAD ORGANIZATION: ______________________________
PRE-APPLICATION NUMBER: ______________________________
COUNTY(IES): ______________________________

To complete the Pre-Application, the prospective subgrantee must certify compliance with *__all terms and conditions__* *listed below. The Kentucky Office of Broadband Development ("the Office") presents a detailed list of statements that outline the necessary commitments and obligations for this Pre-Application. Please review each statement carefully. By checking the corresponding boxes and signing your name, you confirm that the prospective subgrantee understands and agrees to adhere to these conditions.*

Please be aware that failure to submit this signed document, or the submission of any false or misleading information, will result in your Pre-Application being ineligible for progression to the next phase of the Application Process.

- ☐ I certify that I am aware of and understand the requirements for the Letter of Credit or Performance Bond (4a.-4b.). Prospective subgrantee is prepared to comply with these financial security measures.
- ☐ I certify that the prospective subgrantee has provided voice, broadband, and/or electronic transmission or distribution services for at least two consecutive years prior to Pre-Application submission (3f.).[11]
  Confirm the number of years prospective subgrantee (or parent company)[11] *has been providing these services:* ____
- ☐ I certify that, as a prospective subgrantee that is either: (1) an entity exclusively providing electric distribution or transmission services in Kentucky (3g.), or (2) a new entrant offering broadband services in Kentucky (3h.), my Qualified Operating or Financial Reports (3i.), Auditors' Statement(s) (3j.), and Organizational Chart of Structural Separation (3k.) are complete and correct.[12]
- ☐ I certify that the prospective subgrantee possesses both the operational capacity (8f.) and the technical capacity (9c.) to fulfill the requirements outlined in this Pre-Application.[13]
- ☐ I certify that the prospective subgrantee complies with the Federal Communication Commission's (FCC's) Broadband Data Collection (BDC) requirements (8q.).
- ☐ I certify that, to the best of my knowledge, the evidence provided in support of this Pre-Application is complete and correct (10a.).

I hereby certify that, to the best of my knowledge, all the information provided on this form is complete and correct. I agree to furnish additional information to the Office, if required, to compete my Pre-Application and/or clarify any discrepancies. I affirm that I possess the requisite authority to sign this document on behalf of the prospective subgrantee and bind the prospective subgrantee to the certifications herein.

Printed Name:	**Signature:**	**Date:**
______________________	______________________	______________________

[11] *Also accepted: I certify that the prospective subgrantee is a wholly-owned subsidiary of a parent company that meets the requirements described in this statement.*
[12] *Please only certify this statement if applicable to your prospective subgrantee entity. Leave blank if not applicable.*
[13] *If the Lead Organization has been operational for less than two years, please certify that Consortium Member(s) meet the requirements described in this statement.*