Pennsylvania Broadband Investment Incentive Program

Instructions for Filing an Application
Pennsylvania Broadband Investment Incentive Program

Instructions for Filing an Application

Introduction

This document outlines the process for submitting a request for funding from the Pennsylvania Broadband Investment Incentive Program (PBIIP).

The Commonwealth of Pennsylvania has created the PBIIP to work in tandem with the FCC’s CAF II Auction. Visit [https://www.fcc.gov/auction/903](https://www.fcc.gov/auction/903) for detailed information. The goal is to provide a mechanism to provide Commonwealth funds to projects that win the CAF II Auction in Pennsylvania, thus allowing those projects to bid lower in the CAF II auction and increase their chances of winning. Generally, the Program accepts applications from any entity that submits a Short Form CAF II Auction application (FCC Form 183) and is deemed a qualified bidder by the FCC. To become eligible for funding, an applicant must also apply and be deemed qualified by the Commonwealth. Please review the Program Guidelines for a full description of the Program and the application process at [https://www.governor.pa.gov/wp-content/uploads/2018/03/20180328-Pennsylvania-Broadband-Investment-Incentive-Program-Guidelines.pdf](https://www.governor.pa.gov/wp-content/uploads/2018/03/20180328-Pennsylvania-Broadband-Investment-Incentive-Program-Guidelines.pdf)

This document provides instructions on how to apply for support from the Program.
Application Deadline

Applicants must submit their Incentive Request, which includes Qualifications and a proposed Transportation Benefit, through the Program Portal.

The deadline to submit required documents is not later than 4:00 pm Eastern Daylight Time on June 8, 2018.
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Required Documents

Applicants will require the following documents, which are available from the Program:

• An Applicant Information Worksheet
• An Applicant Qualifications Form
• A Transportation Benefits Form
• A Defined Transportation Benefits Workbook (only for applicants offering a Defined Transportation Benefit as described in the Program Guidelines)
• Trade Secret/Confidential Proprietary Information Notice
• Program Nondisclosure Agreement
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All documents are available for download directly from the Program website, https://www.governor.pa.gov/broadband/, except the Defined Transportation Benefits Workbook which is only available for download from the Program Portal after the applicant has established a user account.
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To get started you must first download and complete the Applicant Information Excel Worksheet. From the [www.governor.pa.gov/broadband/](http://www.governor.pa.gov/broadband/) web page, click on the PBIIP Applicant Info Worksheet.

Required Documents for a PBIIP Application

- PBIIP Applicant Info Worksheet
- PBIIP Applicant Qualifications Form (PDF)
- PBIIP Transportation Benefits Form (PDF)
- PBIIP Trade Secret/Confidential Proprietary Information Notice (PDF)
- PBIIP Applicant Nondisclosure Agreement (PDF)

Program Portal for Applications

You will automatically be redirected to the web page shown below:
Click on the Download icon in the upper right and open the document when prompted.
Pennsylvania Broadband Investment Incentive Program

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Your blank worksheet should look like this:

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
</tr>
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<tbody>
<tr>
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</tr>
<tr>
<td>A2</td>
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</tr>
<tr>
<td>A3</td>
<td>DBA/Name of Applicant</td>
</tr>
<tr>
<td>A4</td>
<td>Contact Name</td>
</tr>
<tr>
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<tr>
<td>B7</td>
<td>Company Mailing Address Part 2</td>
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<td>B10</td>
<td>Zip Code</td>
</tr>
<tr>
<td>B11</td>
<td>Information Complete</td>
</tr>
<tr>
<td>B12</td>
<td>Applicant ID</td>
</tr>
</tbody>
</table>

Instructions: Please fill out all required fields on this form. Required fields are marked in red. When completely filled out this form, please note the Applicant ID Number, which will be required for other parts of this application.
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When you complete the worksheet the yellow cell near the bottom will change from “Pending” to displaying your Applicant ID number. Make note of this number as you will need it for subsequent forms.
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Save the Applicant Info Worksheet, changing the name using the following syntax:

PBIIP_Info_[APPLICANT ID NUMBER]_[DATE]
Once you’ve completed the Information Worksheet and have your Applicant ID you will need to establish a user account on the portal. The portal will be used to download certain documents not available on the PABII web site, as well as upload your submissions. To gain access to the portal, send an email to pahelp@broadbandstudy.com and request portal account creation. In the body of the email, include the name, company, email address and phone number for the individual who will be managing portal access.

Typically, within 1 business day of sending the request, you will receive an account creation invitation:
Click on the Accept Invitation link. You will be directed to the portal set up page where you will be asked to establish your login name and password.
Once you have established your login and password, log out, then log back in. You will be directed to a page where you will set up your two factor authentication process. Click on Start Setup.
Choose your device type and click Continue. If you are using a desktop or laptop computer, choose Landline. (You may also choose to receive push notifications via mobile phone app, not shown here.)
Enter your phone number, click the small box below to confirm the number is correct, then click Continue.
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You may choose to have the site automatically execute the phone authentication, or prompt you first. Make your selection, then click Continue Login.
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Click on Call Me. You will receive a verification phone call within minutes. Listen to and follow the audible instructions. You will be authenticated and automatically directed to your portal home page.

Congratulations! You have completed your two factor authentication log in and now have full access to your portal.
If you click on the arrows adjacent to the folders you can expand the folder hierarchy. Note the download and upload folders. These are where you can download forms and upload your documents associated with your filing.
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The download folder contains the files associated with the Transportation Benefits Form and Defined Transportation Benefits Workbook not available on the main PBIIP web site.

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<thead>
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<tr>
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</tr>
<tr>
<td>Offices_and_Stock_Piles_05072018.zip</td>
</tr>
<tr>
<td>PBII-P Defined Trans Benefit Workbook.zip</td>
</tr>
<tr>
<td>RMSSEG_PriorityRoutes05082018.zip</td>
</tr>
</tbody>
</table>
To download files, check the box to the left of the files you wish to download and click the Download button on the right side of the page.
Confirm your download and specify where you want to save your files.

Instructions on how to upload files are outlined later in this tutorial.
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The Menu on your home page allows you to access and change your profile settings, preferences and device settings.
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Now that you have access to the portal and know how to maneuver around it, its time to complete the rest of the filing documents. The following instructions will take you step by step through each of the worksheets and forms. They include:

• An Applicant Qualifications Form
• A Transportation Benefits Form
• A Defined Transportation Benefits Workbook (only for applicants offering a Defined Transportation Benefit as described in the Program Guidelines)
• Trade Secret/Confidential Proprietary Information Notice
• Program Nondisclosure Agreement

Some of the forms may require additional documents. In such cases the document requirements and specifications are found in the form as are any special instructions.
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From the https://www.governor.pa.gov/broadband/ web page, download the remaining Required Documents and save them to an accessible folder on your computer.
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Commonwealth of Pennsylvania
Broadband Investment Incentive Program
Applicant Qualifications Form

General Information

Applicant ID Number: 806576
Obtain six-digit Applicant ID Number from Applicant Information Form

Technical, Financial, and Management Proposal

1. Has the applicant filed a valid short form application with the FCC (FCC Form 183)?  
   - Yes □ No □

2. Does the applicant agree that substantial completion of all projects in its Census Block Groups awarded Commonwealth Support will occur no later than June 30, 2022?  
   - Yes □ No □

3. Does the applicant agree that it will comply with the Commonwealth’s requirements post-Auction if it is awarded census block groups in the CAF II Auction?  
   - Yes □ No □

4. Does the applicant agree that it will comply with the FCC’s requirements post-Auction if it is awarded census block groups in the CAF II auction?  
   - Yes □ No □

5. Has the applicant or its parent company provided voice, broadband, and/or electric distribution services for at least two years prior to March 30, 2018?  
   - Yes □ No □

6. Provide an estimate of how many subscribers are currently served. If the applicant is no longer providing service in any state, estimate the number of customers that were served at the beginning of the last full year that the applicant did provide service.  
   - 26,576

7. What service(s) has the applicant or its parent provided?  
   - Voice □ Video □ Internet □

8. Which network architecture(s) and technology or technologies will be used in the applicant's proposed deployment?  
   - Fiber to the Premises □ Active Ethernet □ GPON □ EPON □ Fixed Wireless □
   - Hybrid Fiber/Coax: □ DOCIS 3.0 □ DOCIS 3.1 □ Other □

9. Is the applicant able and willing to provide audited financial statements as required by the FCC?  
   - Yes □ No □

10. If the applicant has audited financial statements, did it receive an unmodified (non-qualified) opinion in the financial statements submitted to the FCC along with its Short Form?  
    - Yes □ No □ N/A □
Question 12, on the second page, asks for a summary of qualifications and description of your technical approach to serving the areas in your application. If you need to include diagrams, plans, biographies or resumes you can add them as supplemental documents. The instructions in question 12 will guide you through the proper syntax for the files and you can upload them with the rest of your documents.
If supplemental documents are necessary, please provide them in a single PDF document named using the syntax: [APPLICATION ID NUMBER]_PBIIPQ12_[DATE].

Example File Name: 80675_PBIIPQ12_05-18-2018.PDF
When you are done, click the Save As icon.
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Name the file with the following syntax: PBIIP_Qualifications_[APPLICANT ID NUMBER]_[DATE], then click Save.
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We recommend you save all of your documents to a single folder on your computer as this will make the upload process, described later, much simpler.
Next to complete is the Transportation Benefits Form PDF document.

Open the document and begin by entering your Applicant ID Number, then complete the Six questions on the form.
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Note that questions 2 and 4 provide an option to upload additional documentation to supplement your answer. Please pay close attention to using the correct syntax. All supplemental files for all forms will be Zipped (compressed) into one archive file for upload with the rest of your documents.

2. Is the applicant proposing an Alternative Transportation Benefit, aside from connectivity to PennDOT regional offices or connected devices?
   □ Yes □ No

   If “Yes”, please explain what services or facilities could be offered, and how these can be used to benefit PennDOT. If necessary, please upload supporting documents in PDF form with the file name: [APPLICATION ID NUMBER]_PBIIP_T2_[DATE]. Please create a single ZIP archive if uploading multiple documents.

14. Please describe the service level the applicant can provide, and proposed method(s) of measuring performance (Key Performance Indicators – KPIs), including any incentive or penalty strategies the applicant proposes. If the applicant has proposed a Defined Transportation Benefit, please answer by identifying the major terms of a Service Level Agreement (SLA) that the applicant could offer. If necessary, please upload supporting documents in PDF form with the file name: [APPLICATION ID NUMBER]_PBIIP_T4_[DATE]. Please create a single ZIP archive if uploading multiple documents.
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Once you have completed the form, Click Save As, enter the file name using the syntax PBIIP_Trans_Form_[APPLICANT ID NUMBER]_[DATE] and save to the folder with your other completed forms.
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The Defined Transportation Benefits Workbook is a Microsoft Excel workbook that contains multiple tabs. Open the workbook and read the Disclaimers first, then begin with the General tab.

Commonwealth of Pennsylvania

Broadband Investment Incentive Program

Disclaimers

This tab contains two important disclaimers that may impact applications. Please review them and submit questions as needed.

Utility Occupancy of Certain Highways

Longitudinal occupancy of limited access right-of-way on federal aid freeways and state highways by utilities is restricted by State Law. PennDOT does not prohibit all such occupancy and may issue a highway occupancy permit where:

1. No other acceptable alternative is available, and
2. The utility is able to comply with all criteria described in PennDOT Design Manual, Ch 1, Section 1.3.F.1.

The PennDOT Central Office must approve this type of occupancy.

The PennDOT Design Manual can be found at:

http://www.dot.state.pa.us/public/pubsforms/Publications/PUB%2016M/PUB%2016M.pdf

Data Accuracy Disclaimer

Data sets made available are provided to applicants on an “as is” basis. Data sets have been reviewed for quality.

The Commonwealth makes no warranty, representation or guarantee of any type as to the quality, content, accuracy, reliability, timeliness, completeness or fitness for any particular purpose or use of any data sets provided nor shall any such warranty be implied, including, without limitation, the implied warranties of merchantability and fitness for a particular purpose.

The Commonwealth assumes no liability for:

- any errors, omissions or inaccuracies in any data provided, regardless of how caused.
- any decision made or action taken or not taken by anyone using or relying upon the data provided.
- any virus or other damage to any computer that might occur during or as a result of accessing the data provided therein.
- any other act or omission associated with the access to and use of the data.
Enter the number of connections you will be willing to provide for each speed in the green cells to the right of the speed descriptions.

<table>
<thead>
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</tr>
<tr>
<td>All 30 Mbps symmetric</td>
<td>123.00</td>
</tr>
</tbody>
</table>

How many connections would the applicant be willing to provide to its selected PennDOT Office and Workplaces per $50,000 in Commonwealth Support? If not planning to connect PennDOT Offices or workspaces enter zero. Values up to 2 decimal places are permitted.

How many connections would the applicant be willing to provide to Connected Devices in the field with a minimum service level of 1.5 Mbps symmetric per $50,000 in Commonwealth Support? If not planning to connect Connected Devices enter zero. Values up to 2 decimal places are permitted.
In the PennDOT Devices Tab, choose the device locations in which you are willing to provide a connection by selecting Yes from the drop down menu in the (first) “Selected” column, then enter the latest in-service date for each selected location in the (second) “Latest In-Service” column. Note that the list includes the city and geographic coordinates for each location to aid in determining your servicing ability. (Tip: to help locate locations in which you are interested, you may filter the table entries by clicking on the triangles in the headers.)
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Follow the complete process for completing the PennDOT Offices and Stockpiles tab.

<table>
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<th>Service Code</th>
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</table>

Note: The table above is an example and may not reflect the actual data forPennDOT Offices and Stockpiles.
In the PennDOT Priority Routes tab, enter Yes in the Selected column for each route to which you propose to provide service. If you are proposing to provide service to only a segment of that route, select Yes in the corresponding cell in the “Partial?” column, then describe the end-points for the segment in the corresponding cell in the “Partial Selection” column. Enter the latest in-service date in the corresponding cell in the “Latest In-Service” column.
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If you are proposing to provide a Network to Network Ethernet connection to either or both locations shown in the Network to Network Interface tab, select Yes from the drop down menu in the green cell below each address.
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Once you have completed all tabs, save your Defined Transportation Benefits Workbook in the folder with your other forms and name it using the syntax PBIIP_Trans_Wkbk_[APPLICANT ID NUMBER]_[DATE].
The Trade Secret/Confidential Proprietary Information Notice is to be completed and filed concurrently with your other filing documents to prevent the public disclosure of any trade or business secrets or other proprietary information!
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In addition, in order to protect the safety and security of individuals, infrastructure, and information technology systems, the Commonwealth requires third parties to designate as confidential any information submitted by the third parties that, if disclosed, would be reasonably likely to jeopardize safety or security.

Please indicate if any information has been included that you believe is exempt from public disclosure by checking the appropriate box below: (Note: Financial information submitted in response to an RFP or SFP to demonstrate economic capability is exempt from public disclosure in accordance with Sections 1003-C(D) of the Right to Know Law, 65 P.S. 67.7003-C(D)).

- [ ] No information has been included that I believe is exempt from public disclosure.
- [ ] Information has been included that I believe is exempt from public disclosure.

Please provide a list detailing which portions of the material being submitted you believe are exempt from public disclosure. This includes trade secret, confidential or proprietary information, or information that, if disclosed, would be reasonably likely to jeopardize the safety or security of an individual, infrastructure, or information technology system. Please provide an explanation of why you think those materials constitute a trade secret, confidential or proprietary information, or why disclosure of those materials would be reasonably likely to jeopardize safety or security. Also, please mark the submitted materials in such a way to allow a reviewer to easily distinguish between the parts referenced below.

(You may attach additional pages if needed)

Notes: Without substantial justification, the following information will not be considered a trade secret or confidential or proprietary information:

- Any information submitted as part of a vendor’s response to an RFP.
- Information submitted as part of a vendor’s technical response or statement of work that does not contain specific business processes or product specifications.
- Information submitted as part of a vendor’s technical or small diverse business and small business response that is otherwise publicly available or otherwise readily obtained.
- Information including the same, quantity, and price paid for any product or service being purchased by the Commonwealth.

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Pennsylvania Broadband Investment Incentive Program

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Read all instructions on the form carefully, complete each section and sign and date the document before submitting it.

Acknowledgment

The undersigned party hereby agrees that it has read and completed this form, and has marked the material being submitted in accordance with the instructions above. The undersigned party acknowledges that the Commonwealth is not liable for the use or disclosure of trade secret, confidential or proprietary information, or information that it disclosed would be reasonably likely to jeopardize the safety or security of an individual, infrastructure or information technology system, where that data or information has not been clearly marked as such, and which was not accompanied by a specific explanation included with this form.

The undersigned agrees to defend any actions seeking release of the materials it believes to be trade secret, confidential or proprietary, or would be reasonably likely to result in a safety or security risk, if disclosed. The undersigned also agrees to indemnify and hold harmless the Commonwealth, its agents and employees, from any judgments awarded against the Commonwealth in favor of the party requesting the materials, and any and all costs incurred with that defense. This indemnification survives as long as the Commonwealth has possession of the submitted material, and will apply to all costs unless and until the undersigned provides a written statement or similar notice to the Commonwealth stating that it no longer wishes to except the submitted material from public disclosure.

The undersigned acknowledges that the Commonwealth is required to keep all records for at least as long as specified in its published records retention schedule.

The undersigned acknowledges that the Commonwealth reserves the right to reject the undersigned’s claim that the information is trade secret, confidential, proprietary or is reasonably likely to result in a safety, or security risk, if disclosed, if the Commonwealth determines that the undersigned has not met the burden of establishing that the information constitutes a trade secret, confidential, or is otherwise exempt. The undersigned also acknowledges that if only a certain part of the submitted material is found to constitute a trade secret, confidential or proprietary, or is otherwise exempt, the remainder of the submitted material will become public; only the protected information will be removed and remains nonpublic.

If being submitted electronically, the undersigned agrees that the marking below is a valid electronic signature:

<table>
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<th>Signature</th>
<th>Title</th>
<th>Date</th>
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Once you have completed, signed and dated the document, click Save As, name the document using the syntax PBIIP_Confidentiality1_[APPLICANT ID NUMBER]_[DATE] and save to the folder that contains your other completed documents.
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The last form to complete is the Nondisclosure Agreement, or NDA. Be certain to accurately insert the information at the beginning of the document. The company name must match exactly with the name of the entity filing the application.

Non-Disclosure Agreement

This Non-Disclosure Agreement (“Agreement”) is made as of the ___ day of ___ , 2021, between “COMPANY NAME” a for-profit corporation organized and existing under and by virtue of the laws of the State of ___ (the “Company”) for itself and on behalf of its affiliated entities (collectively, “Affiliates”) and the COMMONWEALTH OF PENNSYLVANIA acting through the Office of General Counsel on behalf of executive agencies, as defined by Section 2(6) of the Act of Oct. 17, 1962 (P.L. 1168, No. 50), known as the Commonwealth Attorney Act (“Executive Agencies”).

WHEREAS, the Company and the Executive Agencies intend to enter into certain discussions and the Company may make certain information available to the Company and/or its Affiliates to the Executive Agencies.

NOW, THEREFORE, in consideration of the parties’ covenants and agreements, the Company and Executive Agencies agree as follows:

1. The Company agrees to supply to the Executive Agencies certain information requested by the Executive Agencies relating to the business of the Company and its Affiliates.
2. As used in this Agreement, “Confidential Information” shall include, but not be limited to, written or oral communications, tangible information, documentation (such as a written, drawing, sample of material, or an account of confidential discussions reduced to writing) relating to the Company or any Affiliate which meets the threshold definition of “Confidential Property Information” and/or “Trade Secret” as defined in the Pennsylvania Right to Know Law, 65 P.S. §§130 et seq. (the “R.K. Law”), and which has been marked “confidential” by the Company prior to the Executive Agencies’ receipt of such information.
   Nonwithstanding anything herein to the contrary, Confidential Information shall not include any items of information or data which: (a) is within the public domain prior to the time of disclosure or thereafter becomes within the public domain other than as a result of disclosure by the Executive Agencies or any of its representatives in violation of this Agreement; (b) was, prior to the date of disclosure to the recipient party, in the possession of such party, unless it was acquired by the Executive Agencies from a third party who was under no obligation of confidentiality to the source of disclosure; (c) is acquired by the Executive Agencies from a third party who was under no obligation of confidentiality to the source of disclosure; (d) is not subject to any obligation of confidentiality to the Company, or is independently developed by the Executive Agencies; or (e) is information, data, or material that is required to be disclosed by controlling or local law or regulation (including but not limited to the Pennsylvania Right to Know Law, 65 P.S. §§130 et seq. (the “R.K. Law”), or by order of government authorities or a court of competent jurisdiction.
3. The Executive Agencies agree that except as otherwise permitted, without the prior written consent of the Company, which consent may be withheld for any reason, they shall not disclose the Confidential Information solely for purposes of the discussion or to be held with the Company and in no event may they use such information for any purpose other than the purpose for which they received such information from the Company.

The Company and the Executive Agencies agree to (a) minimal disclosure of Confidential Information in those of its employees and agents that reasonably require access to the Confidential Information, (b) retain in employees and agents who receive Confidential Information of the Company, and (c) cause the Company to indemnify the Executive Agencies for any claims or damages arising from any breach of this Agreement by the Company or its Affiliates.

IN WITNESS WHEREOF, the undersigned have hereunto set their hands this ___ day of ___ , 2021.

[Signature]
COMPANY NAME

[Signature]
EXECUTIVE AGENCIES
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Complete the form, inserting the company name, name and title of the individual signing the document.
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Save the document to the same folder as the other completed documents using the syntax PBIIP_NDA_[APPLICANT ID NUMBER]_[DATE].
Congratulations! You have completed all of the documents. Now it's time to Zip them into one file and upload them to the Program Portal.
Open the folder that contains your completed documents. Check that all documents have been moved to this folder and recheck their file names. Correct any errors prior to the next steps.
Highlight all of the files, right click your mouse then select Send To and Compressed (Zipped) Folder.
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The program will automatically select a file name but you will want to rename it using the following syntax: PBIIP_Application_[APPLICANT ID NUMBER]_[DATE].
Once you have completed Zipping the files into one ZIP folder, and renamed it using the foregoing syntax, you can upload it to the Program Portal. Log on to the portal using your login credentials.
Expand the folder menu on the left of the screen and select the upload folder, then click the Upload icon.
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The screen will display a prompt to select your file to upload. Click the blue icon that says Choose Files.
Maneuver to the folder where you saved your completed files, click on the Zipped file you previously created and select Open. Alternatively, you can drag and drop the file into the upload icon box.
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When your file is done uploading you will see it listed in your uploads.
By checking the box associated with the file and clicking on Versions & History you can see the version of the file and the upload history.
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A Few Final Notes

As identified in the Program Guidelines, applicants must not share with other potential applicants any information related to their applications. The Program will not disclose application information to another applicant or another potential bidder in the CAF II Auction. As a safeguard, the Program is taking steps to limit the number of individuals associated with the Program who have access to application information, and further limit the number of individuals who have access to all parts of an application. In some cases, this may mean that some individuals reviewing an application, especially those only reviewing the applicant’s Qualifications and the Transportation Benefit, may not have access to other parts of the application, especially the Applicant Information Form. The Program requests that applicants assist in this effort by taking the following steps:

• Please do not include the applicant’s name and contact information on any document submitted except the Applicant Information Worksheet, the Trade Secret/Confidential Proprietary Information Notice, and the Program Nondisclosure Agreement. Please do use the Applicant ID Number to refer to the applicant as necessary. If it is necessary to upload supporting documentation for the Qualifications or Transportation Benefit that contains such information, please provide the document(s) with the identifying information redacted.

• Please do not e-mail application documents to the Program. Please use the Program Portal provided.

• Please do not call or e-mail the Program Office, staff, or consultants with inquiries about the status of a submitted application. This request does not preclude applicants e-mailing the Program Portal Helpdesk at pahelp@broadbandstudy.com if necessary with questions or issues of an administrative nature regarding submission or receipt of an application.

• It is also essential that applicants complete Trade Secret/Confidential Proprietary Information Notices, both for the submission of Qualifications and for the Incentive Request.

Notices

Notification of Total Support, Incentive, and Minimum Commonwealth Support Amounts and any other notice regarding the disposition of applications will be provided only via the Program Portal, contained within the Downloads directory of the user’s account. Applicants must log in using their Portal user account to view and download the notices, which the Program expects will become available by July 10, 2018. To the extent that the Program is able, such notices may become available via the Portal sooner.

As noted in Section 10 of the Program Guidelines, after the conclusion of the FCC CAF II auction, the Program may publish aggregate information about the number of Incentive Requests received. The Program will publish awards of Commonwealth Support to winning bidders and the CBGs in which it was awarded after the conclusion of the FCC CAF II Auction.