

Application for Federal Assistance SF-424

Version 02

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision		* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>	
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* 3. Date Received: 08/13/2009	4. Applicant Identifier: <input type="text"/>
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5a. Federal Entity Identifier: <input type="text"/>	* 5b. Federal Award Identifier: <input type="text"/>
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State Use Only:

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
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8. APPLICANT INFORMATION:

* a. Legal Name: State of Maine, ConnectME Authority	
* b. Employer/Taxpayer Identification Number (EIN/TIN): 016000001	* c. Organizational DUNS: 831453258

d. Address:

* Street1:	138 Statehouse Station
Street2:	<input type="text"/>
* City:	Augusta
County:	<input type="text"/>
* State:	ME: Maine
Province:	<input type="text"/>
* Country:	USA: UNITED STATES
* Zip / Postal Code:	043330138

e. Organizational Unit:

Department Name: <input type="text"/>	Division Name: <input type="text"/>
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f. Name and contact information of person to be contacted on matters involving this application:

Prefix: <input type="text"/>	* First Name: Phillip
Middle Name: <input type="text"/>	
* Last Name: Lindley	
Suffix: <input type="text"/>	
Title: <input type="text"/>	
Organizational Affiliation: <input type="text"/>	
* Telephone Number: 2076249970	Fax Number: <input type="text"/>
* Email: phil.lindley@maine.gov	

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**9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

Department of Commerce

**11. Catalog of Federal Domestic Assistance Number:**

CFDA Title:

**\* 12. Funding Opportunity Number:**

0660-ZA29

\* Title:

Recovery Act - State Broadband Data and Development Grant Program

**13. Competition Identification Number:**

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

State of Maine

**\* 15. Descriptive Title of Applicant's Project:**

Broadband Mapping and Inventory Project

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

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16. Congressional Districts Of:

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

\* a. Start Date:

\* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="3,195,000.00"/>
* b. Applicant	<input type="text" value="1,826,384.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="5,021,384.00"/>

\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)

Yes  No

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:  \* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:

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**\* Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

**Broadband Mapping in Maine - Program Narrative**  
State Broadband Data and Development Grant Program  
Opportunity No. 0660-ZA29  
Submitted by the State of Maine, ConnectME Authority

In fulfillment of the application procedures for the National Telecommunications and Information Administration (NTIA) State Broadband Data and Development Grant Program 0660-ZA29, the ConnectME Authority, authorized by Governor John Baldacci of Maine as the single eligible entity to receive a grant under this program, submits this program narrative for the State of Maine.

*Executive Summary*

The ConnectME Authority (ConnectME) requests **\$2.759** million in NTIA grant funding to map broadband service and availability in Maine with a contracted mapping company partner and other interested stakeholders in Maine, by utilizing service provider (SP) address data and the state's substantial investment in E911 roads data. ConnectME proposes a phased approach to this project which will initially provide the base data required by NTIA, and in subsequent years provide refinements and updates to the data. In the first phase, ConnectME proposes to use the sophisticated addressing of Maine's E911 roads data to correctly place current broadband customers, and follow that with a review of as-built infrastructure plans provided by the service providers to fill in missing areas. For wireless broadband mapping, ConnectME will work with the service providers to either acquire accurate propagation models or will generate such models manually. Using the state's E911 address ranges, ConnectME will finally generate a database of all possible addresses that have broadband access, including information about the types of service available at each address, as required by this grant program. After this first phase is complete, ConnectME will work on further refinements to the database by acquiring semiannual updates and by refining wireless propagation models with sophisticated light detection and ranging (LIDAR) data in urban areas. ConnectME is also requesting **\$436,000** for the planning piece of the project.

***1. Data:***

***(a) Data Gathering.***

To complete the phase I requirements, ConnectME has nearly completed negotiating a contract with noted mapping and GIS service provider James W. Sewall Co., of Old Town, Maine. Sewall and ConnectME will work together and in conjunction with the Maine Public Utilities Commission (PUC) to contact all providers of internet service that meet the definitions of "broadband" as outlined in the broadband mapping Notice of Funds Availability (NOFA), that is two-way data transmission with advertised speeds of 768 kbps downstream and 200 kbps upstream. Data requested will include addresses of current subscribers and as-built infrastructure (for wired broadband) or propagation models (for wireless broadband). A non-disclosure agreement developed by the law firm of Rudman & Winchell will be used to protect the data confidentiality. This agreement

## **Broadband Mapping in Maine – Project Abstract**

Opportunity No. 0660-ZA29

Submitted by the State of Maine, ConnectME Authority

The ConnectME Authority (ConnectME) requests **\$2.759** million in NTIA grant funding to map broadband service and availability in Maine with a contracted mapping company partner and other interested stakeholders in Maine, by utilizing service provider (SP) address data and the state's substantial investment in E911 roads data. ConnectME proposes a phased approach to this project which will initially provide the base data required by NTIA, and in subsequent years provide refinements and updates to the data. In the first phase, ConnectME proposes to use the sophisticated addressing of Maine's E911 roads data to correctly place current broadband customers, and follow that with a review of as-built infrastructure plans provided by the service providers to fill in missing areas. For wireless broadband mapping, ConnectME will work with the service providers to either acquire accurate propagation models or will generate such models manually. Using the state's E911 address ranges, ConnectME will finally generate a database of all possible addresses that have broadband access, including information about the types of service available at each address, as required by this grant program. After this first phase is complete, ConnectME will work on further refinements to the database by acquiring semiannual updates and by refining wireless propagation models with sophisticated light detection and ranging (LIDAR) data in urban areas.

ConnectME also requests **\$436,000** for planning purposes to address a major concern of the ConnectME Authority that is beyond the simple availability of broadband service, the low take-rate or penetration of subscribership to available broadband services. Maine's average penetration rate is significantly lower than the national average. Factors contributing to a lower than average penetration rate, are socio-economic – low income consumers cannot afford the computer or the cost of subscribing to broadband service; lower education level consumers are not aware of the services available online; and many consumers do not see value in being online.

ConnectME will advertise for the services of market research and marketing firm to collect and analyze market data concerning the use and demand for broadband service. The marketing firm will develop and coordinate website activities, a public awareness campaign, and market research.

In addition to proactively gathering data to analyze barriers to user adoption, ConnectME intends to initiate a public awareness campaign designed to further educate consumers of the social and economic opportunities available through broadband use. Using mailings, media outlets, and our website, we will enhance the public's ability to better understand the options for services available and those being developed. We will also promote the broadband industry by highlighting projects that expand service in a way that creates economic opportunity and growth throughout the state and the region.

will be based on the confidentiality guidelines presented by NTIA in the NOFA documents and other resources.

ConnectME intends to update and refine the data over the five-year performance period of this grant. To that end, ConnectME proposes to have its contractor request updates for availability data every 6 months and provide those updated addresses to NTIA. Additionally, ConnectME proposes to acquire high-resolution 3D data of urbanized areas to refine and verify wireless propagation data by contributing to the New England LIDAR project.

Below is the list of tasks provided by Sewall Company, the broadband mapping and inventory contractor to accomplish the goals of the State Broadband Data and Development Grant Program:

1. Establish a template Non-Disclosure Agreement (NDA) document that meets the requirements set forth in Maine State law, the ConnectME rules, and the guidelines/requirements set forth in the NTIA Notice of Funds Availability for the State Broadband Data and Development Program issued July 1, 2009 to promote the use of data from Broadband Service Providers (SPs) concerning the location of their broadband infrastructure within the State of Maine.
2. Execute the project NDAs with those SPs who will participate in the mapping project program as provided in the aforementioned NOFA and related NOFA for the Broadband Technology Opportunity Program.
3. File originals and copies of the executed NDA documents with ConnectME and the Service Providers.
4. Investigate the availability of commercially available address data for the State of Maine. Report the findings of this investigation. If advantageous to the project, incorporate this data into the mapping project strategy.
5. In coordination with ConnectME, develop tools to assist with the collection of SP data and to validate that minimum coverage standards for the mapping project have been satisfied.
6. Establish a web-based interface and accompanying tools to facilitate the collection and updating of address records, mapping files, and other suitable materials to support the creation and maintenance of an enhanced statewide map of broadband service availability.
7. Using data provided by the SPs, create a geographic, street-level statewide inventory of "wired" (i.e. DSL, cable modem, fiber) and "fixed-wireless" high speed (broadband) internet service to identify where current terrestrial broadband service and infrastructure does or does not exist. The data will include service type, transmission speed, and service provider.
8. Using data sources gathered from SPs and the Maine Office of GIS, provide a GIS-ready dataset suitable for use by ConnectME and that meets accuracy standards adequate for 1:24,000-scale mapping. The mapping will represent road

segments coded as to availability of DSL and/or cable internet, including transmission speeds and levels and types of service. As stated in the RFP, the State's E-911 road centerline data will form the basis of this primary dataset where available. The resulting dataset will be in the UTM coordinate system, zone 19N, NAD83 in ESRI shapefile format.

9. Using data sources gathered from SPs and the Maine Office of GIS, provide a GIS-ready dataset suitable for use by ConnectME and that meets accuracy standards suitable for 1:12,000-scale mapping. This mapping will represent fixed-wireless broadband service availability. The dataset will include terrain-corrected and, where available, building-corrected transmission areas for fixed-wireless broadband providers so that areas blocked from service by buildings, mountains, or hills are shown as not receiving service. The resulting dataset will be in the UTM coordinate system, zone 19N, NAD83 in ESRI shapefile format.
10. In un-served areas, and to the extent facilitated by using available project data sources, identify public and private infrastructure (towers, etc.) that might be utilized to provide broadband service.
11. In coordination with ConnectME, participate in and execute collaboration activities with other State-level agencies, local authorities, non-profit entities such as MaineREN, Native American tribal authorities, business community interests, and other key stakeholders who may contribute to the successful completion of a statewide broadband service map. Activities would be designed to gain access to existing data and to increase awareness of the mapping project and resulting products and services.
12. Assemble a substantially complete address level data table depicting the availability of broadband service including technology type, advertised speed, "expected actual" speed, and end user type. Information so provided will comply with any pertinent rule adopted by RUS, NTIA, and the FCC in connection with the implementation of the ARRA.
13. Collect data and produce a shapefile depicting wireless service not provided to a specific address (mobile wireless) including Provider Name, DBA name, FCC registration number (FRN), technology used, transmission spectrum, advertised speed, and typical speed. Information so provided should comply with any pertinent rule adopted by RUS, NTIA, and the FCC in connection with the implementation of the ARRA.
14. Collect data and assemble a table representing the "middle-mile connection points" for each broadband service provider with attributes representing provider name, DBA name, FRN, ownership, serving facility capacity, serving facility type, latitude and longitude coordinate, and elevation. Information so provided should comply with any pertinent rule adopted by RUS, NTIA, and the FCC in connection with the implementation of the ARRA.
15. Collect data and assemble a table representing "community anchor institutions" with attributes representing institution name, address, category based on defined codes, service availability, latitude and longitude coordinate, downstream and upstream service speed. Information so provided should comply with any



pertinent rule adopted by RUS, NTIA, and the FCC in connection with the implementation of the ARRA.

16. Collect data and assemble a table representing the “last mile connection points” for each broadband service provider. Information so provided will be used as part of independent analysis of those locations where service is made available. This data will be maintained as confidential information by the project team.
17. Provide field data collection services to support specific data development and data verification requirements of the project plan.
18. Perform independent activities to validate the accuracy of data collected from service providers. This may include but not be limited to sampling of location based information, sampling of download and upload speeds, and sample testing of mobile wireless coverage.
19. Execute updates of these data and map items based on new information at six month intervals for years 1 – 3 of the 5-year mapping project. Updates for year four and five are scheduled to be completed by State personnel upon transfer of process responsibilities.
20. Develop a work process to facilitate a bi-annual update of the aforementioned products and deliverables. Document this process for training and reference by project team members.
21. Pilot and, if necessary, revise processes for the implementation of the systems for map product updating. Document this process for training and reference by project team members.
22. Conduct refinement of the broadband availability data and maps using LIDAR data, photogrammetric mapping, and other field collected or generated data that may be developed by ConnectME in support of the long-term broadband mapping program. Services will include integration into the tabular and GIS data sets and map products and refinement of location and service representations based on this new information. Such refinement would be used to enhance information representing underserved subscribers of broadband such as those blocked from reception of wireless service by natural or manmade features.
23. Conduct analysis of broadband mapping and availability data with available census data to support the activities associated to development of a long-term broadband sustainability plan within the State of Maine. This task to be defined further by ConnectME as the strategy develops.
24. Assist ConnectME in deploying these systems within the State’s IT and GIS infrastructure as per Sewall’s proposal.
25. Document and transition the work process developed from these tasks to State personnel who will take ownership of the updating processes.
26. Provide training to ConnectME staff who will take over execution of these tasks.
27. Provide technical support to users of these systems for the period of the contract as per Sewall’s proposal.

28. Throughout the project, provide project management services including work plan documents, attending meetings, creating regular progress reports summaries, coordination of work teams, and management of the team's schedule to meet project deadlines for the period of the contract.

ConnectME intends to update and refine the data over the five-year performance period of this grant. To that end, ConnectME proposes to have its contractor request updates for availability data every 6 months and provide this updated location, mapping, and service information to NTIA.

Connect ME proposes to refine the mapping of broadband further in phase II, during the second and third year of the project. ConnectME is interested in refining fixed wireless broadband propagation in urban areas by using 3D modeling based on LIDAR data. Such data would provide the measurements necessary to see where buildings attenuate wireless signals in urban areas. ConnectME proposes to leverage the existing LIDAR for New England project which is a regional approach for gathering LIDAR in the northeast. By participating in this program, the LIDAR costs for urbanized areas will be greatly reduced.

ConnectME is also interested in mapping the distribution of broadband by parcels, to provide area analyses and maps. In a rural state such as Maine, many parcels are large and may only have one dwelling. A map based solely on addresses and roads will be misleading when determining the area served. ConnectME proposes to leverage Maine's significant investments in parcel mapping to map broadband at the parcel level and to integrate with other state parcel-level mapping projects such as those put forward by the Maine Library of Geographic Information.

Phase II of the project will involve updates and refinements to the data including:

1. Contacting vendors for changes in their as-built infrastructure every six months
2. Compiling the updates as above into addresses that can be provided to NTIA
3. Collection of light detection and ranging (LIDAR) data over urban areas for 3D modeling of wireless broadband propagation
4. Collection of digital parcel data for mapping broadband service at the parcel level.

***(b) Accuracy and Verification.***

Integrity of the map data sets is critical. There are a number of data validation checkpoints that will be incorporated as part of the project work. The GIS mapping tasks will incorporate validation processes to assess the geospatial alignment and source content of the GIS sources such as the E-911 roads data. The data collection mechanism will utilize processes for detecting changes in the data sources as the project moves into maintenance mode.

The information delivered by the SPs concerning the broadband level and location should be validated. To be cost-effective and produce the results necessary to demonstrate the integrity of the information, these processes should be seamlessly transferable.

GIS Sources: All GIS sources, whether from the SPs or other sources, will be validated. For example, the initial review of the E-911 roads data may indicate that some segments are incomplete in content or not reflected in the current data set. Work will be done to update segmentation and/or address range values to improve the accuracy of the geo-locating processes.

Data from the SPs may need to be aligned to the roads data for spatial updating. Conflation of attributes may be a viable means to create the records for the project maps. More definition of what each provider may have available for street level information will be required to define these types of processes more clearly and establish the overall validation protocols associated to these sources.

Service Provider Data: Since the goal of this effort is to create mapping that represents areas that are unserved or underserved relative to broadband service, it will be important to test the validity of the service area and service levels reported by the providers. To test the transfer rate of any network connection, one must first have appropriate access to that network. Once connected, there are different ways to test the upload and download transfer rates of the network. The network provider is able to test a particular network site by sending a signal that returns a measurable response, establishing both connection capability and connection throughput estimates.

A consumer of network service is now able to use any of a number of online network speed testing services that have established servers that receive the signal via the client ISP system and returning a value showing the upload and download transfer rates of the measured response. As part of our project, this type of network test server will be established where users can independently test their network speeds. The results of these independent tests along with confidential information about the IP address being tested and the location from where the test is run will be used to sample and validate the information from service providers. An on-line tool will be used that measures this information and reflects how that service point speed fits within the range of networking services understood to be available.

To encourage the use of this system, ConnectME intends to use planning funds to launch a public awareness program to educate the public on the initiatives to increase broadband service and the role they can play in contributing to the mapping and planning of broadband service. We will also seek the collaboration of key agencies, businesses, local governments, and community anchor institutions in providing data that will support the goals of this project.

In addition to independent sampling of network speeds, we will use field data methods such as test mapping the extent of mobile broadband signals. The goal of these efforts will not be to identify isolated pockets in the system, but rather to identify larger gaps in these networks.

As mentioned previously, modern GIS tools provide the means to analyze the systems in a number of ways. One such way is using available or acquired 3D data sources to analyze the impacts of terrain relief and man-made objects on signal reception. As Maine is a state with a wide range of community types and environmental features, this will be a valuable part of assessing the infrastructure requirements to develop a long-term broadband sustainability plan.

*(c) Accessibility.*

ConnectME will make the provided data available by using a simple web mapping application developed by Maine for that purpose, in conjunction with the Maine Office of GIS. The application will allow a user to simply point to a location on the map, or enter their address, and see whether broadband service is available and what tiers of service are available. Additionally, if providers desire to be identified, the application can also reveal what providers can provide service at the address. The state-level map will be based on the E911 data for wired broadband infrastructure and will show polygon-based propagation models for wireless infrastructure. The state-level map will be available as both an interactive web mapping application and a high-quality downloadable PDF suitable for printing. All non-confidential data will be made available from the Maine Office of GIS online data catalog.

*(d) Security and Confidentiality.*

ConnectME's contractor has secured the services of a prominent Maine law firm, Rudman & Winchell, to develop a non-disclosure agreement (NDA) which will protect the confidentiality of the data.

In order to release its data, a SP will seek assurance that its confidential data will be kept confidential with controlled distribution as it is likely to be considered proprietary and strategically sensitive.

The mapping contractor and its law firm will work with ConnectME to establish a standard NDA template that describes specific uses for the data requested as well as who will have access to it. Confidential information as established by these NDA between the State of Maine and the SPs will not be made public. Once the NDA template has been developed, the contractor and representatives of ConnectME, will enter into discussions with the each of the SPs to execute the agreements.

Data identified as sensitive information relative to the business interests involved and to the public these businesses serve shall be maintained as secure, confidential data. Security of the data collected will be maintained through the use of encrypted security protocols and password authenticated systems. Access to these systems will be limited to members of the project team and to designated points of contact with the different service providers.

**2. Project Feasibility:**

***(a) Applicant Capabilities.***

ConnectME is requesting **\$2.759** million in funding under this program to cover the costs of developing, updating, and internet-enabling the broadband mapping data. See the attached ConnectME Fund Performance Report for June 2009 as a demonstration of ConnectME's ability to fully fund the matching requirement, if necessary. It is expected, however, that in-kind matches will provide a significant portion of the match requirement.

***(b) Applicant Capacity, Knowledge, and Experience.***

This project is being undertaken by a coalition of organizations with a wide breadth of broadband and mapping experience. The coalition includes:

ConnectME Authority: The Maine Legislature approved the operation of the ConnectME Authority with the goal of expanding broadband access in the most rural, un-served areas of the state that have little prospect of service from a traditional provider. ConnectME is to "identify un-served areas of the State; develop proposals for broadband expansion projects, demonstration projects and other initiatives; and administer the process for selecting specific broadband projects and providing funding, resources, and incentives." The Authority has funded twenty-one grant proposals in three grant rounds made on behalf of, in partnership with communications service providers. The Authority currently hosts a web-based broadband availability map that is much less granular (at the town boundary level) than the NTIA requires, but is nonetheless, very useful to consumers looking for service providers.

Maine Public Utilities Commission. The Commission regulates local and in-state service, while the Federal Communications Commission (FCC) regulates interstate service. Wireless carriers are regulated by the FCC. The Commission regulates three types of landline carriers: Incumbent Local Exchange Carriers (ILECs) whose monopoly service territories were established before competition entered the telecommunications market, Interexchange Carriers (IXCs) that provide in-state or interstate long distance services, and Competitive Local Exchange Carriers (CLECs) that provide local service in competition with ILECs and other CLECs. The MPUC is a critical partner in the mapping project as many telephone carriers provide broadband that delivers high-speed internet services. Broadband is provided through a variety of technologies, including Digital Subscriber Line (DSL), cable, and wireless technologies. The Director of the Safety and Security Team at the MPUC has provided significant staff time assisting with the development of the Mapping and Inventory Project RFP and contract, and with the preparation of the grant project application.

Maine Office of GIS. The Maine Office of GIS (MEGIS) is an active participant in this project, providing GIS advice and overview, and working with the contractor to ensure quality data delivery and attainment of the NTIA requirements. MEGIS has been the

leading GIS agency in Maine since 1992, and provides GIS services to hundreds of users in the state. MEGIS has completed several large GIS projects including development of the state's E911 roads data, mapping of Maine's hydrography and participation in the National Hydrography Dataset, coastal flood mapping projects, and development of aerial orthophotos for the State. The State GIS Manager, Michael Smith, is providing oversight for this project, has 19 years of experience with GIS and management of large GIS data development projects.

Broadband Strategy Council: The ConnectME Authority was directed by the legislature to establish a special council to advise ConnectME on broadband opportunities available under the American Recovery and Reinvestment Act of 2009, as well as the University of Maine System on matters pertaining to the sale or lease of excess capacity as a result of the conversion of the education broadband spectrum.

James W. Sewall Company: Sewall, established in Old Town, Maine, in 1880, is Maine and New England's largest and most experienced mapping firm. Sewall is a privately held firm under management ownership, with eleven offices nationwide, 150+ staff, and ever broadening capabilities. Company headquarters are in Old Town which houses more than 100 staff. Sewall clients relevant to ConnectME's project include private and public sector organizations requiring accurate and efficient geocoding, telecommunications firms for whom the company has converted existing land-based and facilities data from hardcopy source documents, migrated digital data from one system to another, and acquired new data with aerial and ground surveys, and dozens of entities for whom the company has built online databases and internet mapping systems.

Sewall has been a provider of utility and telecommunications data conversion and GIS data development services since 1988. These services have included asset mapping, location based data collection, infrastructure integrity management applications, custom GIS database development and integration, GIS work process design, and data validation processing. Sewall's client list totals in the thousands, nation wide. Industries served include local, state, and federal government agencies, telecommunications providers, pipeline operators, public and private utilities, mining and exploration, energy generation, transportation, forestry, and agriculture. Sewall's assigned project staff includes consulting and project management staff with more than 50 years of combined experience, 5 GIS data analysts, 3 software and web development staff, 2 database specialists, and 10 data support staff. In addition we will be able to draw upon a resource pool that includes 20 additional data development and GIS staff, 6 surveyors, and 12 mapping specialists.

### ***3. Expedient Data Delivery:***

The NTIA deliverables, as understood by the Authority and restated in the "Data" section of this project narrative are extremely ambitious. The Authority shares the NTIA goals, and believes the required deliverables will ultimately lead to the best product on a national scale. However, the Authority respectfully notes that the feasibility of any state that hasn't already completed broadband mapping, delivering all products to the required

specifications by the dates in the NOFA is impossible. Attempting to do so or trying to deliver substitute products to temporarily but incompletely satisfy the requirements will only side-track a state's long-term broadband mapping effort.

Understanding that there is a requirement for a national broadband map is to be completed by February 17, 2011 the state submits the following project timeline:

<b>Date</b>	<b>Milestone</b>
August 14, 2009	State Broadband Data and Development Program grant application submitted
August 31, 2009	Contract negotiation with vendor complete
September 15, 2009	Grants awarded
September 16, 2009 - October 15, 2009	Award documents made available
November 13, 2009	Compliance with award documentation requirements
November 1, 2009	Initial delivery of state broadband availability data required to be delivered to NTIA, will not be available because of time constraints.
February 1, 2010	Substantially complete delivery of state broadband availability data to NTIA
March 1, 2010	First complete 2010 delivery of state broadband availability data to NTIA
September 1, 2010	Second complete 2010 delivery of state broadband availability data to NTIA
March 1, 2011	First complete 2011 delivery of state broadband availability data to NTIA
September 1, 2011	Second complete 2011 delivery of state broadband availability data to NTIA
March 1, 2012	First complete 2012 delivery of state broadband availability data to NTIA
September 1, 2012	Second complete 2012 delivery of state broadband availability data to NTIA
December 31, 2012	Broadband data collection and delivery transitioned from vendor to State
March 1, 2013	First complete 2013 delivery of state broadband availability data to NTIA
September 1, 2013	Second complete 2013 delivery of state broadband availability data to NTIA
March 1, 2014	First complete 2014 delivery of state broadband availability data to NTIA
September 1, 2014	Second complete 2014 delivery of state broadband availability data to NTIA
October 10, 2014	Final Recovery Act report due

#### ***4. Process for Repeated Data Updating:***

The mapping contractor will execute updates of these data and map items based on new information at six month intervals for years 1 – 3 of the 5-year mapping project. Updates for year four and five are scheduled to be completed by State personnel upon transfer of process responsibilities. The update process will use many of the procedures and tools established during the early project phases. As new service providers initiate business activities, new broadband technology is employed, and new territories developed, staff will seek sources and include this data into the systems it supports. In addition to verification procedures designed to validate the incoming data from providers, the team will use other sources that become available over the life of the project.

For wireless updates and further verification, ConnectME proposes to partner with the “LIDAR for New England” project and fund collection of data over urbanized areas. Again, "Urban area" here is not defined based on census characteristics, but rather those towns or cities with "downtowns" that have tall buildings creating shadows for RF propagation. LIDAR data will be converted to 3D building models and ArcGIS Spatial Analyst software will be used to compute "viewsheds" for wireless propagation taking into account attenuation caused by buildings. The exact dates for this delivery cannot be specified yet, but should occur in the fourth year of the project.

For parcel-level mapping, ConnectME proposes to partner with existing parcel-level mapping projects in Maine, especially those funded by the Maine Library of Geographic Information and the United States Geological Survey. ConnectME and the Maine Office of GIS will provide parcel-level mapping by contributing to further digital parcel completion in Maine and providing a parcel-level map in the fourth year of the project.

#### ***5. Planning and Collaboration:***

##### **(a) Collaboration.**

Our collaboration efforts center around the search and exchange of knowledge and the benefit gained from working together with stakeholders and organizations with goals in common to the mission of the Authority. We apply this knowledge to create solutions to the problems facing Maine’s constituents as they relate to our core mission. To that end we routinely participate in public forums, conferences, webinars, and other gatherings where the development and enhancement of broadband access are centric to the agenda. Where appropriate we share and leverage data that provides information on the state of the industry and the plans of other agencies and organizations who wish to take advantage of the opportunities and benefits broadband service can offer. Since our inception, ConnectME has regularly and routinely sought the input of service providers and consumers to better understand their needs and concerns as it relates to a long-term broadband plan. These inputs factor into our policy decisions, grant approval decisions, and procedures. We will continue to seek the advice of the communities, organizations and industries we serve in the future.



The ConnectME Authority and the Broadband Strategy Council are made up of members from a variety of industries, individual companies, and state agencies. ConnectME works closely with a variety of state agencies including the Public Utilities Commission, Maine Office of GIS, the Office of the CIO, Maine State Library and Archives, Department of Education, Department of Economic and Community Development and the Office of Innovation. ConnectME also collaborates closely with the University of Maine System, especially in relation to its operation of the Maine School and Library Network (MSLN) and the Maine Research and Education Network (MaineREN). The MSLN connects nearly all public K-12 schools and public libraries, over 850 locations.

The Authority will continue to work closely with Federal Agencies such as the Federal Communications Commission, Department of Commerce – NTIA, the Universal Service Administrative Company - Schools and Libraries Program, and the Maine Federal Congressional Delegation. During the course of the Authority's operation and grant programs we have worked closely with many small towns and cities across the most rural parts of the state, as well as with county economic development organizations such as the Sunrise County Economic Council and Washington County: One Community. The Authority and the Broadband Strategy Council have also been in contact with representatives of Maine's Native American tribes regarding their broadband infrastructure projects.

The Authority routinely collaborates with its counterparts in the other New England states of New Hampshire, Vermont, and Massachusetts.

The LIDAR portion of this proposal collaborates with the Maine Office of GIS, all the New England States, US Geological Survey, Federal Emergency Management Agency, US Fish and Wildlife Service, US Forest Service, US Department of Transportation, Army Corps of Engineers, Natural Resource Conservation Service, several state agencies in New England, and the Maine Library of Geographic Information.

The parcel-level mapping portion of this project collaborates with the Maine Office of GIS, the Maine Library of Geographic Information, US Geological Survey, Federal Geographic Data Committee, and the counties and municipalities in Maine.

**(b) Planning.**

- 1) BDIA-related purpose as listed in NOFA footnote 6. ConnectME's mapping and inventory project, funded by the NTIA for the collection of broadband-related data, will fulfill four of the ten purposes listed in footnote number six of the NOFA (numbers 1, 2, 4, and 10). Our project will provide a baseline of broadband service in Maine, by indentifying and tracking the availability of broadband service and its adoption rate. The project will also identify the providers and speed of available broadband service, creating a geographic inventory map of broadband service to be made available to the NTIA and the general public.

The ConnectME Planning proposal will address four purposes listed in footnote six of the NOFA (numbers 3, 6, 8, and 9):

3) to identify barriers to the adoption of broadband service and information technology services; 6) to collaborate with broadband service providers and information technology companies to encourage deployment and use; 8) to collect and analyze detailed market data concerning use and demand for broadband service; and 9) to facilitate information exchange regarding use and demand for broadband services between public and private sector users.

2) The problem(s) to be addressed.

A major concern of the ConnectME Authority beyond the simple availability of broadband service is the low take-rate or penetration of subscribership to available broadband services. Maine's average penetration rate is significantly lower than the national average. Factors contributing to a lower than average penetration rate, are socio-economic – low income consumers cannot afford the computer or the cost of subscribing to broadband service; lower education level consumers are not aware of the services available online; and many consumers do not see value in being online. Increasing the penetration rate for broadband services changes the economic tipping point for investment by service providers. Service providers calculate many variables in making an investment decision for a particular community: homes per mile; terrain; topography; geology; and expected penetration rate. Raising the expected penetration rate changes that calculation allowing, for example, fewer homes per mile for an investment decision.

3) The proposed solution. ConnectME's planning proposal will utilize information gained by the existing mapping contractor (Sewall) in its contacts with SPs to identify barriers to adoption, as the SPs are in constant contact with potential consumers. The contractor will continuously collaborate with the SPs to identify methods to encourage deployment and use of computers. ConnectME will also advertise for the services of market research and marketing firm to collect and analyze market data concerning the use and demand for broadband service. The marketing firm will develop and coordinate website activities, a public awareness campaign, and market research.

In addition to proactively gathering data to analyze barriers to user adoption, ConnectME intends to initiate a public awareness campaign designed to further educate consumers of the social and economic opportunities available through broadband use. Using mailings, media outlets, and our website, we will enhance the public's ability to better understand the options for services available and those being developed. We will also promote the broadband industry by highlighting projects that expand service in a way that creates economic opportunity and growth throughout the state and the region.

4) The anticipated outcomes of the project.

The primary expected outcome is a higher than national average for broadband subscription rates which, in turn, will lower the “tipping point” for investment, allowing higher rates of broadband infrastructure build-out by SPs. Consumer outcomes are expected to higher user rates of online services such as E-government, medical resources, telecommuting, economic development resources, and education resources.

5) The cost of such proposal: **\$436,000** in NTIA grant funds. The Authority will provide **\$69,500** in cash match and **\$43,133** in in-kind match. (See attached spreadsheet for details)

**BUDGET INFORMATION - Non-Construction Programs**

OMB Approval No. 4040-0006  
Expiration Date 07/30/2010

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. State Broadband Data and Development Grant Program	11.558	\$ <input type="text"/>	\$ <input type="text"/>	\$ 3,195,000.00	\$ 1,826,384.00	\$ 5,021,384.00
2. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
3. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
4. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>5. Totals</b>		\$ <input type="text"/>	\$ <input type="text"/>	\$ 3,195,000.00	\$ 1,826,384.00	\$ 5,021,384.00

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**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	State Broadband Data and Development Grant Program				
<b>a. Personnel</b>	\$ 53,484.00	\$	\$	\$	\$ 53,484.00
<b>b. Fringe Benefits</b>	32,780.00				32,780.00
<b>c. Travel</b>	15,500.00				15,500.00
<b>d. Equipment</b>	0.00				
<b>e. Supplies</b>	0.00				
<b>f. Contractual</b>	2,329,000.00				2,329,000.00
<b>g. Construction</b>	0.00				
<b>h. Other</b>	2,590,620.00				2,590,620.00
<b>i. Total Direct Charges (sum of 6a-6h)</b>	5,021,384.00				\$ 5,021,384.00
<b>j. Indirect Charges</b>					\$
<b>k. TOTALS (sum of 6i and 6j)</b>	\$ 5,021,384.00	\$	\$	\$	\$ 5,021,384.00
<b>7. Program Income</b>	\$ 0.00	\$	\$	\$	\$

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SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	
9. <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	
10. <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	
11. <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	
<b>12. TOTAL (sum of lines 8-11)</b>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>
14. Non-Federal	\$ <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>
<b>15. TOTAL (sum of lines 13 and 14)</b>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	
17. <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	
18. <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	
19. <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	
<b>20. TOTAL (sum of lines 16 - 19)</b>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges: <input style="width:95%;" type="text"/>		22. Indirect Charges: <input style="width:95%;" type="text"/>			
23. Remarks: <input style="width:95%;" type="text"/>					

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**Broadband Mapping in Maine - Budget Narrative**  
State Broadband Data and Development Grant Program  
Opportunity No. 0660-ZA29  
Submitted by the State of Maine, ConnectME Authority

Specific costs of the mapping and inventory project include:

- 1) NDA development \$57,000. In collaboration with ConnectME, Sewall will create an NDA template and establish agreements with broadband service providers operating within the State of Maine governing access and use of data provided to create mapping and data products representing the location of broadband availability.
- 2) Initiate project data environment \$55,000. Sewall will develop database tools and web-interfaces to gather and secure information from service providers to be used in the creation of the map and data products defined by the scope of work deliverables.
- 3) Development of initial mapping data items \$575,000. Using available sources, sources collected from collaborating entities and data gathered from broadband service providers, Sewall will create the mapping and data products that will be used by ConnectME and NTIA to represent broadband service availability as defined by ConnectME and provided in the NTIA NOFA technical appendix and clarifications.
- 4) Field collection and verification processes \$225,000. Sewall will gather field data, perform independent sampling of broadband service availability, and perform wireless signal testing to verify the extent and accuracy of related mapping and data developed from this information.
- 5) Personnel costs that reflect mapping project management performed by the Executive Director of the ConnectME Authority. Approximately 10% staff time allocated per year for three years: \$8,914, salary; \$5,463, benefits. Total in-kind match: \$43,131.

Personnel costs that reflect planning project management performed by the Executive Director of the ConnectME Authority. Approximately 10% staff time allocated the first year and 5% for years 2 – 5: \$8,914, salary; \$5,463, benefits. Total in-kind match: \$43,133.

- 6) Development of the web mapping application \$50,000 by the Maine Office of GIS. This is the cost of creating an interactive web mapping application which will allow a user to either pick a location on a map or enter an address and see what options, if any, are available for broadband.
- 7) Application hosting costs for web mapping for five years \$18,000. This is the cost of hosting the application on the Maine Office of GIS servers for five years, based on a monthly cost of \$300.

- 8) Web mapping application maintenance and upgrades \$20,000. This is the cost of maintaining the web mapping application including semiannual data updates, and upgrading to newer versions of the web mapping software.
- 9) Semiannual updates of broadband data \$350,000. This is the contracted cost for Sewall to contact service providers semiannually for new data for years 1-3 of the project, to convert those data to mapping addresses, to submit the data to NTIA, and to use the LIDAR data for wireless propagation models. As part of the sustainability plan Sewall will transition this task to State personnel for years 4 and 5.
- 10) Transition processes to State support staff \$50,000. In the latter half of year three, Sewall will transition the systems for data storage and product updating to State personnel, providing support for the remaining years.
- 11) LIDAR data for urban areas to refine wireless propagation models \$500,000. This is the cost of collecting airborne LIDAR data for urban areas of Maine. "Urban area" here is not defined based on census characteristics, but rather those towns or cities with "downtowns" that have tall buildings creating shadows for RF propagation. This collection will be part of a much larger regional LIDAR collection project, LIDAR for New England.
- 12) E911 Roads Database reflects an in-kind match of \$1.3 million over four years. The Authority is planning to use its E911 roads database as a cornerstone of the project for phase I and for periodic updates. Maine has invested a significant amount of money, in excess of \$5 million to date, in developing the data and working with towns to get correct addressing. Given the difficulty of putting a current date value on these data, Maine opted to list instead the expenses required to maintain and update the E911 data, which includes 4 FTEs in FY10 and 3 in FY 11 and on. This is a very real and defensible cost of what it takes to keep the data current and to work with towns to coordinate the statewide effort.
- 13) In Phase II of the project, the Authority intends to expand address-level mapping to parcel-level mapping as part of the grant for \$250,000 in the first year. This is a more useful approach for mapping the total area that is served by broadband, as many parcels in Maine are rural and large. If only address points are shown as "served" the map will appear misleading. Maine has previously invested \$370,620 through the Maine Library of Geographic Information to digitize parcel data for towns which reflects an in-kind match to the project. These was the actual cost of having contractors scan paper tax maps and convert them to digital data. Maine proposes using another \$250,000 from NTIA funding through this grant to expand the parcel data mapping and apply it to broadband mapping.



**State of Maine, ConnectME Authority  
NTIA Grant Application**

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
1	<b>ConnectME Authority - NTIA Grant Application</b>																		
2	<b>State Broadband Data and Development Program</b>																		
3	Mapping Project Budget																		
4																			
5			Year 1			Year 2			Year 3			Year 4			Year 5			Project	
6		NTIA Grant	Cash Match	In-Kind Match	NTIA Grant	Cash Match	In-Kind Match	NTIA Grant	Cash Match	In-Kind Match	NTIA Grant	Cash Match	In-Kind Match	NTIA Grant	Cash Match	In-Kind Match	Totals		Percent of
7																			Project
8	Personnel (10% Exec. Dir)			\$14,377.00			\$14,377.00			\$14,377.00									\$43,131.00
9																			
10	Contractual Services																		
11	Sewall Company	\$470,000.00			\$831,000.00			\$308,000.00											\$1,609,000.00
12	Web Hosting-Annual	\$18,000.00			\$18,000.00			\$18,000.00			\$18,000.00			\$18,000.00					\$90,000.00
13																			
14	Year 4 and 5 Mapping Updates										\$75,000.00			\$75,000.00					\$150,000.00
15	Web Mapping Application	\$50,000.00																	\$50,000.00
16	Web Mapping Upgrades				\$20,000.00			\$20,000.00			\$20,000.00			\$20,000.00					\$80,000.00
17	LIDAR Data	\$500,000.00																	\$500,000.00
18	Parcel Mapping Data	\$250,000.00		\$370,620.00															\$620,620.00
19	Training										\$30,000.00								\$30,000.00
20	In-Kind Match																		
21	E911 Road Database			\$400,000.00			\$300,000.00			\$300,000.00			\$300,000.00						\$1,300,000.00
22																			\$0.00
23																			\$0.00
24																			\$0.00
25	ConnectME Cash Match																		\$0.00
26																			
27	Other Expenses																		\$0.00
28																			\$0.00
29	Project TOTAL	\$1,288,000.00	\$0.00	\$784,997.00	\$869,000.00	\$0.00	\$314,377.00	\$346,000.00	\$0.00	\$314,377.00	\$143,000.00	\$0.00	\$300,000.00	\$113,000.00	\$0.00	\$0.00	\$4,472,751.00	Total Project	100%
30																	\$0.00	Cash Match	0.0%
31																	\$1,713,751.00	In Kind Match	38.3%
32																	\$2,759,000.00	NTIA Grant	61.7%

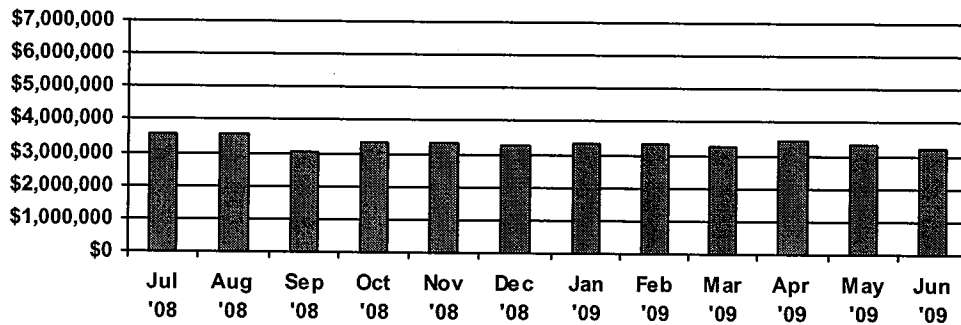
**State of Maine, ConnectME Authority  
NTIA Grant Application**

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
1	<b>ConnectME Authority - NTIA Grant Application</b>																		
2	<b>State Broadband Data and Development Program</b>																		
3	Planning Project Budget																		
4																			
5																			
6		Year 1			Year 2			Year 3			Year 4			Year 5			Project		Percent of
7		NTIA Grant	Cash Match	In-Kind Match	NTIA Grant	Cash Match	In-Kind Match	NTIA Grant	Cash Match	In-Kind Match	NTIA Grant	Cash Match	In-Kind Match	NTIA Grant	Cash Match	In-Kind Match	Totals		Project
8	Personnel (Exec. Dir)			\$14,377.00			\$7,189.00			\$7,189.00			\$7,189.00				\$7,189.00	\$43,133.00	
9	(10% yr 1, 5% after)																		
10	Contractual Services																		
11	Market Research Firm	\$100,000.00	\$50,000.00		\$20,000.00			\$20,000.00			\$20,000.00			\$75,000.00				\$285,000.00	
12	Public Awareness Capaign	\$25,000.00			\$25,000.00			\$20,000.00			\$10,000.00			\$25,000.00				\$105,000.00	
13	Sewall Company	\$90,000.00																\$90,000.00	
14																			
15	Group and community forums																		
16	Training		\$3,000.00						\$1,000.00									\$4,000.00	
17	Travel		\$5,000.00			\$5,000.00			\$2,500.00			\$2,000.00			\$1,000.00			\$15,500.00	
18																			
19	Other Expenses	\$2,000.00			\$1,000.00			\$1,000.00			\$1,000.00			\$1,000.00				\$6,000.00	
20																			
21	Project TOTAL	\$217,000.00	\$58,000.00	\$14,377.00	\$46,000.00	\$5,000.00	\$7,189.00	\$41,000.00	\$3,500.00	\$7,189.00	\$31,000.00	\$2,000.00	\$7,189.00	\$101,000.00	\$1,000.00	\$7,189.00	\$548,633.00	Total Project	100.0%
22																	\$69,500.00	Cash Match	12.7%
23																	\$43,133.00	In Kind Match	7.9%
24																	\$436,000.00	NTIA Grant	79.5%

# Maine ConnectME Fund

## Monthly Fund Performance Report for June 2009

	<u>June 2009</u>	<u>Fiscal Year to Date</u>
<b>Opening Balance</b>	<b>\$3,336,527.57</b>	<b>\$3,382,082.85</b>
<b>Cash Receipts</b>		
Assessments (Current Year)	\$10,332.83	\$1,005,680.95
Assessments (Prior Years)	\$2,317.23	\$372,806.43
Miscellaneous		\$1,486.73
Interest	\$29.02	\$30,366.90
Receipts Not Yet Allocated <small>(to one of the above categories)</small>	(\$284.88)	\$74,792.06
<b>Total Receipts</b>	<b>\$12,394.20</b>	<b>\$1,485,133.07</b>
<b>Expenses</b>		
Grant Disbursements	\$133,159.95	\$993,468.66
OIT Payroll and Personnel Svcs		\$119,166.60
Map Hosting	\$320.00	\$4,338.05
Administrative Fees	\$3,000.00	\$36,000.00
Audit Fees		
Miscellaneous	\$6,295.00	\$507,695.00
Refunds		\$400.79
<b>Total Expenses</b>	<b>\$142,774.95</b>	<b>\$1,661,069.10</b>
<b>Operating Surplus/(Deficit)</b>	<b>(\$130,380.75)</b>	<b>(\$175,936.03)</b>
<b>Closing Balance</b>	<b>\$3,206,146.82</b>	<b>\$3,206,146.82</b>





STATE OF MAINE  
OFFICE OF THE GOVERNOR  
1 STATE HOUSE STATION  
AUGUSTA, MAINE  
04333-0001

JOHN ELIAS BALDACCI  
GOVERNOR

August 6, 2009

Mr Larry Strickling  
Administrator, NTIA  
1401 Constitution Avenue, N.W.  
Washington, D.C. 20230

Dear Mr. Strickling

As Governor of the State of Maine, I hereby designate the ConnectME Authority as the single eligible entity in the State of Maine to receive a grant under the NTIA, State Broadband Data and Development Grant Program.

The ConnectME Authority is an instrumentality of the State of Maine, created in Title 35-A MRSA chapter 93.

This letter is intended to satisfy the requirements of the American Recovery and Reinvestment Act of 2009 and the Broadband Data Improvement Act relating to state broadband mapping grants, as described in the Notice of Fund Availability published in the Federal Register of July 8, 2009.

Sincerely

A handwritten signature in black ink, appearing to read 'John E. Baldacci', written over a large, stylized flourish.

John E. Baldacci  
Governor



PRINTED ON RECYCLED PAPER  
888-577-6690 (TTY)  
www.maine.gov

PHONE: (207) 287-3531 (Voice)

FAX: (207) 287-1034

Applicants should also review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 15 CFR Part 28, 'New Restrictions on Lobbying.' The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Commerce determines to award the covered transaction, grant, or cooperative agreement.

**LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 15 CFR Part 28, for persons entering into a grant, cooperative agreement or contract over \$100,000 or a loan or loan guarantee over \$150,000 as defined at 15 CFR Part 28, Sections 28.105 and 28.110, the applicant certifies that to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, 'Disclosure Form to Report Lobbying,' in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure occurring on or before October 23, 1996, and of not less than \$11,000 and not more than \$110,000 for each such failure occurring after October 23, 1996.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification.

**\* NAME OF APPLICANT**

State of Maine, ConnectME Authority

**\* AWARD NUMBER**

0660-ZA29

**\* PROJECT NAME**

Broadband Mapping and Inventory Project

Prefix:

\* First Name:

Middle Name:

Phillip

\* Last Name:

Suffix:

Lindley

\* Title: Executive Director

**\* SIGNATURE:****\* DATE:**

Phillip Lindley

08/13/2009

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB  
0348-0046

<b>1. * Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
<b>4. Name and Address of Reporting Entity:</b> <input checked="" type="checkbox"/> Prime <input type="checkbox"/> SubAwardee * Name: <input type="text" value="State of Maine, ConnectME Authority"/> * Street 1: <input type="text" value="138 Statehouse Station"/> Street 2: <input type="text"/> * City: <input type="text" value="Augusta"/> State: <input type="text" value="ME: Maine"/> Zip: <input type="text" value="043330138"/> Congressional District, if known: <input type="text" value="ME-002"/>		
<b>5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:</b> <div style="border: 1px solid black; height: 100px;"></div>		
<b>6. * Federal Department/Agency:</b> <input type="text" value="NTIA"/>	<b>7. * Federal Program Name/Description:</b> <input type="text"/> CFDA Number, if applicable: <input type="text"/>	
<b>8. Federal Action Number, if known:</b> <input type="text"/>	<b>9. Award Amount, if known:</b> \$ <input type="text"/>	
<b>10. a. Name and Address of Lobbying Registrant:</b> Prefix: <input type="text"/> * First Name: <input type="text" value="NA"/> Middle Name: <input type="text"/> * Last Name: <input type="text" value="NA"/> Suffix: <input type="text"/> * Street 1: <input type="text" value="NA"/> Street 2: <input type="text"/> * City: <input type="text" value="NA"/> State: <input type="text" value="ME: Maine"/> Zip: <input type="text"/>		
<b>b. Individual Performing Services (including address if different from No. 10a)</b> Prefix: <input type="text"/> * First Name: <input type="text" value="NA"/> Middle Name: <input type="text"/> * Last Name: <input type="text" value="NA"/> Suffix: <input type="text"/> * Street 1: <input type="text"/> Street 2: <input type="text"/> * City: <input type="text"/> State: <input type="text"/> Zip: <input type="text"/>		
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>		
<b>* Signature:</b> <input type="text" value="Phillip Lindley"/> <b>* Name:</b> Prefix: <input type="text"/> * First Name: <input type="text" value="Phillip"/> Middle Name: <input type="text"/> * Last Name: <input type="text" value="Lindley"/> Suffix: <input type="text"/> <b>Title:</b> <input type="text"/> <b>Telephone No.:</b> <input type="text"/> <b>Date:</b> <input type="text" value="08/13/2009"/>		
Federal Use Only:		Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

<p><b>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</b></p> <p>Phillip Lindley</p>	<p><b>* TITLE</b></p> <p>Executive Director</p>
<p><b>* APPLICANT ORGANIZATION</b></p> <p>State of Maine, ConnectME Authority</p>	<p><b>* DATE SUBMITTED</b></p> <p>08/13/2009</p>

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State of Maine – Congressional Districts

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