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**State of North Carolina**

**BEAD Prequalification Response**

**Submission Checklist for Potential Applicants**

**Broadband Equity, Access, and Deployment (BEAD) Program**  
Funded by the Bipartisan Infrastructure Law

Published Sept. 16, 2024

**Purpose:** The purpose of this checklist document is to guide the Potential Applicants for completion of NCDIT’s BEAD Prequalification Response Form. This checklist is not required to be completed or to be submitted with the Prequalification Response Form.

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| **Requirement** | | **Requirement Submitted** | | | **Remarks** |
| --- | --- | --- | --- | --- | --- |
| Applicant Information – Signature Page | | | | | |
| Provided basic Potential Applicant information including name, address, fax number etc. with signatures. | | Yes | No |  |  |
| 3.1 General Requirements | | | | | |
| Q1. | Confirmed if the organization is a consortium or partnership | Yes | No | N/A |  |
| Q2. | If “Yes” to question 1, provided details of the underlying agreement(s) amongst member/partnership organizations | Yes | No | N/A |  |
| 3.2 Financial Capability | | | | | |
| 3.2.1 Financial Capability Certifications | | | | | |
| Q3. | Certified that the organization is financially qualified and have sufficient financial resources available to successfully undertake and complete broadband deployment projects as part of the BEAD Program. | Yes | No |  |  |
| Certified compliance with uniform administrative requirements, cost principles, and audit requirements (as required in 2 CFR 200) to complete and operate the project. | Yes | No |  |  |
| 3.2.2 Audited Financial Statements | | | | | |
| Q4. | **If a publicly held organization**, provided direct links to 10-K statements for the three most recent fiscal years. | Yes | No | N/A |  |
| In the event a guarantor is identified by the Potential Applicant, provided links for financial statements of the guarantor for the last three years. | Yes | No | N/A |  |
| Q5. | **If a non-publicly held organization audited during the ordinary course of business**, submitted audited financial statements, for the three most recent fiscal years and quarterly or half year statements for the current fiscal year. | Yes | No | N/A |  |
| In the event a guarantor is identified by the Potential Applicant, provided financial statements of the guarantor for the last three years. | Yes | No | N/A |  |
| If the organization’s financial history is less than three years, provided quarterly or half year statements for partial years including the current year | Yes | No | N/A |  |
| **If a non-publicly held organization that has not been audited during the ordinary course of business**, provided unaudited financial statements for the prior fiscal year. | Yes | No | N/A |  |
| In the event a guarantor is identified by the Potential Applicant, provided financial statement of the guarantor. | Yes | No | N/A |  |
| A certification has been provided that confirms an audited financial statement will be submitted for the prior fiscal year prior to receiving any subgrant awards. | Yes | No | N/A |  |
| Q6. | If a consortium/partnership, provided audited financial statements for each of the member organizations for the past three years. | Yes | No | N/A |  |
| 3.2.3 Material Changes | | | | | |
| Q7. | If applicable, included a summary of material changes in financial conditions that have occurred since the most recent completed fiscal year and are projected to occur during the next fiscal year not yet captured in financial statements. | Yes | No | N/A |  |
| 3.2.4 Credit Rating | | | | | |
| Q8. | If applicable, provided a copy of latest corporate credit rating by certified credit rating agencies including | Yes | No | N/A |  |
| 3.2.5 Bankruptcy/Insolvency Proceedings | | | | | |
| Q9. | As a non-publicly held organization, provided a summary of any current and prior bankruptcy/past insolvency events from the last five fiscal years. | Yes | No | N/A |  |
| The summary information provided includes dates, type, court and jurisdiction, and operating restrictions (if any) imposed by the court post-bankruptcy | Yes | No | N/A |  |
| Uploaded additional documentation of the Insolvency/Bankruptcy Event. | Yes | No | N/A |  |
| 3.2.6 Failure to Perform | | | | | |
| Q10. | Provided details on any defaults in completion of a federal, state or locally funded broadband deployment grant project(s) from January 1, 2019, up to the date of submitting the prequalification response form including the reason for default and the current status of the project. | Yes | No | N/A |  |
| 3.2.7 Letter of Credit Requirements | | | | | |
| Q11. | Provided a certification of understanding for providing the required LOC prior to receiving any subgrant award(s) under the BEAD program. | Yes | No |  |  |
| 3.3 Managerial Capability | | | | | |
| 3.3.1 Corporate Organization Chart | | | | | |
| Q12. | Provided a corporate organizational chart identifying the parent organization and any subsidiaries or affiliates that will be performing work in North Carolina. | Yes | No |  |  |
| The chart identifies the organization serving as the Potential Applicant for the BEAD Program. | Yes | No |  |  |
| The business type (for-profit, not-for-profit, etc.) and publicly traded status is clearly described in the chart. | Yes | No |  |  |
| 3.3.2 Organization ID Number | | | | | |
| Q13. | Provided the specific ID number for the relevant corporate entity. If not applicable, one of the following: US FEIN, NC SOS, US CAGE, FCC FRN, FCC ETC, Unique Entity Identifier, or Equifax Vendor ID Number was provided. | Yes | No |  |  |
| 3.3.3 Applicant’s Organizational Chart | | | | | |
| Q14. | Provided an organizational chart including details of all relevant personnel for potential broadband deployment projects to be funded by BEAD in North Carolina. | Yes | No |  |  |
| Q15. | Provided a certification that the organization employs personnel with relevant certifications for broadband deployment projects as mandated by state and federal law and reflective of industry practices. | Yes | No |  |  |
| Q16. | Provided a narrative that describes how the organization employs personnel with relevant certifications. | Yes | No |  |  |
| 3.3.4 Resumes for Key Management Personnel | | | | | |
| Q17. | Provided one-page resumes of all key personnel with financial, technical, and managerial experience demonstrating relevant experience with broadband projects of similar scope. All key personnel are employees of the firm. | Yes | No |  |  |
| 3.3.5 Explanation of Roles and Responsibilities | | | | | |
| Q18. | Provided detailed narrative of roles and responsibilities of all key personnel involved in deployment projects in North Carolina. | Yes | No |  |  |
| 3.3.6 Organizational and Managerial Readiness | | | | | |
| Q19. | Provided a narrative highlighting the organization's preparedness, relevant experience, capability to manage complex projects, and any resources or technology that would support the effective execution of the project. | Yes | No |  |  |
| Q20. | Provided a narrative that describes the organization’s readiness to manage a broadband network, including key personnel's experience, recent organizational changes, and relevant organizational policies that contribute to effectively managing a broadband network. | Yes | No |  |  |
| 3.4 Technical Capability | | | | | |
| 3.4.1 Technical Capability Certifications | | | | | |
| Q21. | Provided a certification that the organization has technical qualifications and capabilities to complete and operate any proposed BEAD projects. | Yes | No |  |  |
| Q22. | Provided a narrative describing technical qualifications such as years of technical experience, experience across similar projects, and a high-level approach to deployment. | Yes | No |  |  |
| Q23. | Provided a confirmation that the Potential Applicant is capable of carrying out the funded activities in a competent manner and using an appropriately skilled and credentialed workforce. | Yes | No |  |  |
| Q24. | Provided a confirmation that all contracted resources will possess the necessary skills and qualifications to work on any of the organization’s proposed BEAD projects. | Yes | No | N/A |  |
| 3.4.2 Project Experience | | | | | |
| Q25. | Provided a description outlining previous similar project experience including scope, construction cost, completion timeline, any teaming partners or subcontractors, and the value contributed to the project by the organization. The description also includes types of network deployed or operated. | Yes | No |  |  |
| Q26. | In case of use of specific contractors/ subcontractors, provided at least one example of their past performance across similar projects. | Yes | No | N/A |  |
| 3.4.3 Appropriately Skilled and Credentialed Workforce | | | | | |
| Q27 | Provided a description on the steps the organization will take to ensure the use of an appropriately skilled and credentialed workforce for any awarded projects. | Yes | No |  |  |
| Provided a description on the steps contractors or subcontractors will take to ensure the use of an appropriately skilled and credentialed workforce for any awarded projects. | Yes | No | N/A |  |
| Provided details on safety training, certifications, and licensure requirements. | Yes | No |  |  |
| Provided details on whether in-house training with established requirements is provided for each job title for any anticipated non-union labor have been provided. | Yes | No | N/A |  |
| 3.4.4 Contractor Selection Process | | | | | |
| Q28. | If applicable, provided a detailed process on selection of contracted workforce including skills, certifications, training programs required for each role. | Yes | No | N/A |  |
| 3.4.5 Approach to Broadband Deployment | | | | | |
| Q29 | Provided a description of the organization’s architecture for the current broadband networks in North Carolina. | Yes | No | N/A |  |
| Provided a description of the overall network principles utilized by the Potential Applicant. | Yes | No |  |  |
| Q30 | Provided a summary of network design considerations for grant projects in North Carolina. | Yes | No | N/A |  |
| Q31 | Provided an approach to network development and project advancement. | Yes | No |  |  |
| Provided a description of the project transition approach and key milestones. | Yes | No |  |  |
| Provided an approach to planning for permits, easements, and preparation for make-ready work. | Yes | No |  |  |
| Q32 | Provided an approach to network construction for new projects. | Yes | No |  |  |
| Q33 | Provided a description of the organization’s high-level processes and typical transition from network construction to operationalization. | Yes | No |  |  |
| Provided a description of the intermediate test processes and safeguards. | Yes | No |  |  |
| Q34 | Provided a description of the objectives of network reliability and network monitoring algorithms. | Yes | No |  |  |
| Provided an approach to communicating and managing repair requirements. | Yes | No |  |  |
| Provided a description of the organization’s resource management protocols utilized to support network maintenance and repairs. | Yes | No |  |  |
| Provided a description of the standard dispatch process for identification and management of network outages or repair. | Yes | No |  |  |
| Provided a description of the general inventory management policies, processes, and capabilities for infrastructure components. | Yes | No |  |  |
| Q35 | Provided details of security management systems. | Yes | No |  |  |
| Provided a description of the organization’s network security policy. | Yes | No |  |  |
| 3.5 Compliance with Applicable Laws | | | | | |
| 3.5.1 Compliance with Laws Commitment | | | | | |
| Q36. | Certified an understanding and commitment to comply with all federal, state and local laws. | Yes | No |  |  |
| Q37. | Provided overview of previous records of compliance with federal, state or local laws for broadband projects including those funded by North Carolina’s Growing Rural Economies with Access to Technology (GREAT) and Completing Access to Broadband (CAB) program. | Yes | No |  |  |
| Q38. | Provided a description of the processes, procedures, or protocols for compliance with applicable laws during any BEAD funded broadband deployment projects. | Yes | No |  |  |
| Q39. | Provided an explanation if the organization is unable to certify compliance to all applicable laws on behalf to themselves, contractors, or subcontractors, including context for any violations and procedures that have been adopted to prevent future violations. | Yes | No | N/A |  |
| 3.5.2 Safety and Health Requirements Commitment | | | | | |
| Q40. | Provided a narrative highlighting the organization’s commitment to compliance with Occupational Safety and Health Administration (OSHA) requirements has been provided. The response highlights that employees are allowed to create worker-led health and safety committees. | Yes | No |  |  |
| Q41. | Provided evidence of training programs or initiatives showing understanding and adherence to safety and legal standards, including a description, training schedules, modules, or materials. | Yes | No |  |  |
| Q42. | Provided details on any violations on behalf of the organization, their contractors, or subcontractors. This includes demonstrating the adoption of procedures to prevent future violations. | Yes | No | N/A |  |
| 3.6 Operational Capability | | | | | |
| 3.6.1 Operational Capability Certification | | | | | |
| Q43. | Certified that the Potential Applicant’s organization possess operational capability to complete and operate any proposed BEAD project(s). | Yes | No |  |  |
| 3.6.2 Certification of Compliance with the FCC Regulations | | | | | |
| Q44. | If an existing provider, certified compliance with all prerequisites and regulations put forth by the FCC including timely filing of FCC Forms 477, the Broadband Data Collection (BDC) data, and the Broadband DATA Act submission. | Yes | No | N/A |  |
| Q45. | If applicable, provided a justification for non-compliance with prerequisites and regulations put forth by the FCC. Details are provided regarding the circumstances and whether there are any related (pending or completed) enforcement actions, civil litigation, or other matters. | Yes | No | N/A |  |
| 3.6.3 History of Operations (Existing Providers Only) | | | | | |
| Q46. | Certified that the organization has provided voice, broadband, and/or electric transmission or distribution service for at least two consecutive years prior to the prequalification submission. | Yes | No | N/A |  |
| Q47. | Provided the organization’s years of operation | Yes | No | N/A |  |
| Q48. | Provided details on the number of current subscriber counts classified as home, businesses, and CAIs summarized at the county level within North Carolina and at the state level outside of North Carolina. | Yes | No | N/A |  |
| Q49. | Provided a summary of all similar completed and on-going projects in the last two years along with supporting documentation. | Yes | No | N/A |  |
| Q50. | Provided information on infractions and penalties paid for deployment projects and/or prior criminal proceedings or civil litigation in North Carolina where the organization has been a defendant. | Yes | No | N/A |  |
| Q51. | Certified that the organization has submitted true and accurate information regarding any previous penalties, litigations, or infractions related to broadband deployment projects in North Carolina. | Yes | No | N/A |  |
| 3.6.4 For New Broadband Service Providers Only | | | | | |
| Q52. | If a new service provider, provided years in existence and nature of business. | Yes | No | N/A |  |
| Q53. | If a new service provider, provided length of duration of providing broadband services. | Yes | No | N/A |  |
| Q54. | Submitted resumes of key personnel | Yes | No | N/A |  |
| Submitted descriptions of relevant ongoing or completed projects | Yes | No | N/A |  |
| Submitted narratives from contractors, subcontractors, or other partners with relevant operational experience. | Yes | No | N/A |  |
| 3.6.5 Contact Information for Authorized Representatives | | | | | |
| Q55. | Provided contact information for one or more contacts responsible for full cost management for broadband deployment projects in North Carolina. | Yes | No |  |  |
| 3.6.6 Billing and Operational Support System (B/OSS) | | | | | |
| Q56. | Provided details of the billing system utilized for end user account management including a brief summary of the backup protocols for the data. | Yes | No |  |  |
| 3.6.7 Billing and Customer Data | | | | | |
| Q57. | Provided description of billing cycles and payment methods available to subscribers, | Yes | No |  |  |
| Q58. | Provided a summary of internal policy and security standards for protecting customer proprietary network information (CPNI) and equivalent end user information. | Yes | No |  |  |
| 3.6.8 End User Support | | | | | |
| Q59. | Provided a description of the types of support, support standards, end user support protocols, and resolution procedures of the organization. | Yes | No |  |  |
| 3.6.9 Human Resources Capacity | | | | | |
| Q60. | Provided a description of the organization’s human resources capacity and strategies for absorbing the additional deployment work through training and integration to support grant projects in North Carolina. | Yes | No |  |  |
| 3.7 Ownership Information | | | | | |
| 3.7.1 Potential Applicant Information | | | | | |
| Q61. | Provided a list of real party or parties with interest in the Potential Applicant, including a complete disclosure of the identity and relationship of those persons or entities directly or indirectly owning or controlling (or both) the organization. | Yes | No | N/A |  |
| 3.7.2 Stockholder Information | | | | | |
| Q62. | Provided a list of the name, address, citizenship, and the specific amount of the interest or percentage held of any party holding 10% or more stock in the organization, whether voting or nonvoting, or common or preferred. | Yes | No | N/A |  |
| 3.7.3 Limited Partners Information | | | | | |
| Q63. | Provided a list of names, addresses, and citizenship of each limited partner holding 10% or more interest in the organization. | Yes | No | N/A |  |
| 3.7.4 General Partners Information | | | | | |
| Q64. | Provided a list of each partner with their names, addresses, citizenship, and their shares in the partnership. | Yes | No | N/A |  |
| 3.7.5 Limited Liability Organization Information | | | | | |
| Q65. | Provided a list of the name, address, and citizenship of each member whose interest in the organization is 10% or greater. | Yes | No | N/A |  |
| 3.7.6 Indirect Ownership Interest Information | | | | | |
| Q66. | Provided a list of all parties with indirect ownership interests in the organization. | Yes | No | N/A |  |
| 3.7.7 FCC-Regulated Entity Information | | | | | |
| Q67. | Provided a list of any FCC-regulated entity or applicant for an FCC license, in which the organization or any of the parties above, owns 10% or more of stock, whether voting or nonvoting, common, or preferred. | Yes | No | N/A |  |
| A description of each such entity's principal business and a description of each such entity's relationship to the organization has been provided. | Yes | No | N/A |  |
| 3.7.8 Historically Underutilized Business (HUB) and Minority & Women Business Enterprise (MWBE) Information | | | | | |
| Q68. | [Optional] Submitted documentation certifying the organization’s status as a Historically Underutilized Business (HUB) or Minority & Women Business Enterprise (MWBE) as defined by North Carolina General Statutes. | Yes | No | N/A |  |
| 3.8 Public Funding Information | | | | | |
| Q69. | Submitted a list of all publicly funded state and federal broadband projects, other than those funded through North Carolina’s BEAD program, for which the Potential Applicant or its affiliates have submitted or plan to submit a project application along with any publicly funded broadband deployment project the organization is undertaking or planning to undertake. | Yes | No |  |  |
| 3.9 Fair Labor Practices and Highly Skilled Workforce Certifications | | | | | |
|  | Identified the submission of fair labor practices during prequalification or during project applications. | Yes | No |  |  |
| Q70. | Certified that the Potential Applicant’s organization has not been found in violation of federal and state labor and employment laws for the past three years signed by an Officer/Director-level employee. | Yes | No | N/A |  |
| Provided documented and signed evidence of compliance with federal and state labor laws in the last three years from an Officer/Director-level employee of the Potential Applicant. | Yes | No | N/A |  |
| Q71. | In case of violation of federal and state labor and employment laws by Potential Applicant’s organization in the last three years, provided an explanation of the nature of violation and corrective measures to avoid similar incidents in the future. | Yes | No | N/A |  |
| Q72. | Certified that the Potential Applicant’s contractors and subcontractors have not been found in violation of federal and state labor and employment laws in the last three years. | Yes | No | N/A |  |
| Provided documented and signed evidence of compliance with federal and state labor laws in the last three years from an Officer/Director-level employee for the Potential Applicant’s contractors/subcontractors. | Yes | No | N/A |  |
| Q73. | In case of violation of federal and state labor and employment laws by the Potential Applicant or its contractors/ subcontractors in the last three years, provided an explanation of the nature of violation and corrective measures to avoid similar incidents in the future. | Yes | No | N/A |  |
| 3.10 Environmental and National Historical Preservation Certifications | | | | | |
| Q74 | Provided a certification on the intent to comply with NEPA (42 U.S.C. part 4321 et seq.), NHPA (54 U.S.C. part 300101 et seq.), and NEPA analysis requirements and obtaining applicable permits. | Yes | No |  |  |
| 3.11 Build America and Buy America Act (BABA) Compliance | | | | | |
| Q75. | Certified intention and commitment to comply with BABA requirements. | Yes | No |  |  |
| Q76. | Certified that the organization understands and is committed to comply with the use of the U.S. Department of Commerce’s cleared vendor list. | Yes | No |  |  |
| Q77. | Described detailed plans outlining the organization’s approach to remain compliant with BABA requirements for proposed BEAD projects. | Yes | No |  |  |
| 3.12 Cybersecurity Compliance and Supply Chain Risk Management Compliance | | | | | |
| 3.12.1 Cybersecurity Risk Management Plan | | | | | |
| Q78. | Identified the submission of cybersecurity risk management plan during prequalification or during project applications. | Yes | No |  |  |
| Q79. | If provided during prequalification, uploaded Cybersecurity Risk Management plan highlighting operational status, NSIT framework and executive order compliance, security and privacy controls, and evaluation processes. | Yes | No | N/A |  |
| 3.12.2 Supply Chain Risk Management Plan | | | | | |
| Q80. | Identified the submission of supply chain risk management plan during prequalification or during project applications. | Yes | No |  |  |
| Q81. | If provided during prequalification, uploaded Supply Chain Risk Management plan highlighting the operational status, key practices and guidance, risk management protocols, and evaluation processes. | Yes | No | N/A |  |

# Document Checklist

| **Requirement** | | **Requirement Submitted** | | | | | **Remarks** | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Financial Capability** | | | | | | | | |
| **If non-publicly traded company** | | | | | | | | |
| 1.1 | If audited during the ordinary course of business, audited financial statements for three most recent fiscal years and quarterly or half year statements for the current fiscal year. | Yes | | No | | N/A |  | |
|  | In the event a guarantor is identified, financial statements of the guarantor for the last three years. | Yes | | No | | N/A |  | |
|  | Quarterly or half year statements for partial years including the current year (If financial history is less than three years). | Yes | | No | | N/A |  | |
|  | If not being audited during the ordinary course of business, unaudited financial statements for the prior fiscal year. | Yes | | No | | N/A |  | |
|  | In the event a guarantor is identified, financial statement of the guarantor for the prior fiscal year. | Yes | | No | | N/A |  | |
| 1.2 | Additional documentation of the Insolvency/Bankruptcy Event. [Optional] | Yes | | No | | N/A |  | |
| **For all organizations** | | | | | | | | |
| 1.3 | If available, a copy of the latest corporate credit rating by certified credit rating agencies. | Yes | | No | | N/A |  | |
| **anagerial Capability** | | | | | | | | |
| 2.1 | Corporate organizational chart. | Yes | | No | |  |  | |
| 2.2 | Potential Applicant’s organizational chart. | Yes | | No | |  |  | |
| 2.3 | Resumes of all key management personnel | Yes | | No | |  |  | |
| **Compliance with Applicable Laws** | | | | | | | | |
| 3.1 | Evidence of training programs/initiatives that educate and ensure team compliance with safety and legal standards. | Yes | | No | |  |  | |
| **Operational Capability** | | | | | | | | |
| 4.1 | If an existing service provider, supporting documentation of relevant completed and ongoing projects in the last two years | Yes | | No | | N/A |  | |
| 4.2 | If new providers, resumes of key personnel, descriptions of relevant ongoing or completed projects, and narratives from contractors, subcontractors, or other partners with relevant operational experience. | Yes | | No | | N/A |  | |
| **Ownership Information** | | | | | | | | |
| 5.1 | Documentation certifying Historically Underutilized Business (HUB) and Minority & Women Business Enterprise (MWBE) | Yes | | No | | N/A |  | |
| **Public Funding information** | | | | | | | | |
| 6.1 | Summary of all publicly funded state and federal broadband deployment projects. [Optional, to be submitted as an attachment if needed] | Yes | No | | N/A | | |  |
| **Fair Labor Practices and Highly Skilled Workforce Certifications** | | | | | | | | |
| 7.1 | Documented and signed evidence of compliance with federal and state labor laws in the last three years from an Officer/Director-level employee for the Potential Applicant. | Yes | | No | |  |  | |
| 7.2 | Documented and signed evidence of compliance with federal and state labor laws in the last three years from an Officer/Director-level employee for the Potential Applicant’s contractors/subcontractors. | Yes | | No | | N/A |  | |
| **Cybersecurity Compliance and Supply Chain Risk Management Compliance** | | | | | | | | |
| 8.1 | [Optional] A Cybersecurity Risk Management plan. | Yes | | No | | N/A |  | |
| 8.2 | [Optional] A Supply Chain Risk Management plan. | Yes | | No | | N/A |  | |