

Attachment B

**INSTRUCTIONS FOR TV BROADCASTER RELOCATION FUND REIMBURSEMENT FORM**

**NOTICE TO INDIVIDUALS REQUIRED BY THE PRIVACY ACT OF 1974 AND THE PAPERWORK REDUCTION ACT OF 1995**

We have estimated that each response to this collection of information will take on average x.xx hours. Our estimate includes the time to read the instructions, look through existing records, gather and maintain required data, and actually complete and review the form or response. If you have any comments on this estimate, or on how we can improve the collection and reduce the burden it causes you, please write the Federal Communications Commission, AMD-PERM, Washington, DC 20554, Paperwork Reduction Project (xxxx-xxx). We will also accept your comments via the Internet if you send them to PRA@fcc.gov. Please do not send completed application forms to this address.

You are not required to respond to a collection of information sponsored by the Federal government, and the government may not conduct or sponsor this collection unless it displays a currently valid OMB control number with this notice. This collection has been assigned OMB control number xxxx-xxx.

The FCC is authorized under the Communications Act of 1934, as amended, to collect the personal information we request in this form. We will use the information you provide to determine whether approving this application is in the public interest. If we believe there may be a violation or potential violation of a statute, FCC regulation, rule or order, your application may be referred to the Federal, state, or local agency responsible for investigating, prosecuting, enforcing or implementing the statute, rule, regulation or order. In certain cases, the information in your application may be disclosed to the Department of Justice or a court or adjudicative body when (a) the FCC; or (b) any employee of the FCC; or (c) the United States Government, is a party to a proceeding before the body or has an interest in the proceeding.

All parties and entities doing business with the Commission must obtain a unique identifying number called the FCC Registration Number (FRN) and supply it when doing business with the Commission. Failure to provide the FRN may delay the processing of the application. This requirement is to facilitate compliance with the Debt Collection Improvement Act of 1996 (DCIA). The FRN can be obtained electronically through the FCC webpage at <http://wireless.fcc.gov/uls> (Select FCC Registration Number (FRN) Commission Registration System (CORES)) or by manually submitting FCC Form 160. FCC Form 160 is available from the FCC's web site at <http://www.fcc.gov/formpage.html>, by calling the FCC's Forms Distribution Center 800-418-FORM (3676), or from Federal Communications Commission Fax Information System by dialing (202) 418-0177.

This notice is required by the Privacy Act of 1974, Public Law 93-579, December 31, 1974, 5 U.S.C. Section 552a(e)(3) and the Paperwork Reduction Act of 1995, Public Law 104-13, October 1, 1995, 44 U.S.C. 3507.

**GENERAL INSTRUCTIONS**

**Introduction**

The TV Broadcaster Relocation Fund Reimbursement Form (“Reimbursement Form”) is to be used to request reimbursement of relocation costs following channel reassignment process that will follow the incentive auction. See Middle Class Tax Relief and Job Creation Act of 2012, Pub. L. No. 112-96, §§ 6402, 6403, 125 Stat. 156 (2012) (“Spectrum Act”); see also *In the Matter of Expanding the Economic and Innovation Opportunities of Spectrum Through Incentive Auctions*, GN Docket No. 12-268, Report and Order, FCC 14-50, (released June 2, 2014) (“Incentive Auction Order”). This form will be used by television stations and MVPDs claiming reimbursement to submit: (1) information necessary to establish an account with the Department of Treasury’s Automated Standard Application for Payments (“ASAP”) system to hold reimbursement funds for the station/MVPD and provide access to those funds, (2) an estimate of relocation costs in advance of transition construction (“estimated cost form”), (3) invoices, receipts, and other documentation of costs in connection with requests for payment from the TV Broadcaster Relocation Fund (“Fund”) (“actual cost form”), and (4) account for the total expenses incurred. Please note that not all sections must be completed at each phase.

### **Applicable Rules and Regulations**

Before preparing this form, please review the relevant portions of Section 73.3700, particularly 73.3700(e) (Reimbursement Rules), in Title 47 of the Code of Federal Regulations (“CFR”). A copy of Title 47 may be found online at [www.ecfr.gov](http://www.ecfr.gov). Applicants should also review the Incentive Auction Order, and other FCC directives relevant to reimbursement of relocation costs in GN Docket No. 12-268 (Expanding the Economic and Innovation Opportunities of Spectrum Through Incentive Auctions). A copy of the Incentive Auction Order and other relevant information about this proceeding can be found on the FCC’s website at [www.fcc.gov](http://www.fcc.gov). Applicants must file complete and accurate forms in compliance with the rules. The applicant’s responses to questions on this form and statements constitute representations on which the FCC will rely in considering payments to the applicant from the Fund.

### **Background**

The Spectrum Act provides for the reorganization of the broadcast television spectrum in conjunction with an incentive auction in which television licensees voluntarily relinquish spectrum usage rights (“reverse auction”) in exchange for a share of the proceeds from the sale of repurposed spectrum to wireless providers (“forward auction”). During this process, television channels will be reassigned or repacked and some television broadcasters who remain on the air after the auction will be required to move to a new channel. Broadcast television licensees are eligible for reimbursement of costs “reasonably incurred” in relocating to new channels assigned in the repacking process and MVPDs for costs reasonably incurred in order to continue to carry the signals of stations relocating to a new channel as a result of the repacking process or a winning reverse auction bid. The Spectrum Act provides that reimbursements be made from the TV Broadcaster Relocation Fund and that the amount available for reimbursement of relocation costs is \$1.75 billion. In addition, the Commission must make all reimbursements within three years after completion of the forward auction (“Reimbursement Period”). The Reimbursement Period begins when the Commission issues a Public Notice announcing the new channel assignments for television stations being repacked (“Channel Reassignment PN”).

### **Broadcasters and MVPDs Eligible for Reimbursement**

Television broadcasters: Only full power and Class A television licensees that are involuntarily reassigned to new channels in the repacking process pursuant to Section 6403(b)(1)(B)(i) of the Spectrum Act are eligible for reimbursement of relocation costs.

Channel sharing stations: Only “Sharer” television stations that participate as the host station in a channel sharing arrangement are eligible for reimbursement only in the event that the shared facility receives a new channel assignment in the repacking process. A “sharer” is a station that does not relinquish its spectrum, but shares its frequency with one or more “sharee(s)” – a station that relinquishes its frequency in order to move to the sharer’s frequency.

MVPDs: MVPDs are eligible for reimbursement of costs reasonably incurred by in order to continue to carry the signal of: (1) a full power or class A television station that is involuntarily reassigned in the repacking process from UHF-to-UHF, VHF-to-VHF, or VHF-to-UHF; (2) channel sharer stations that are involuntarily reassigned in the repacking process; (3) a broadcast television licensee that voluntarily relinquishes spectrum usage rights with respect to a UHF channel in return for receiving spectrum usage rights with respect to a VHF channel; (4) a broadcast television licensee that voluntarily relinquishes spectrum usage rights with respect to a high VHF channel in return for receiving spectrum usage rights with respect to a low VHF channel; and (5) a broadcast television licensee that voluntarily relinquishes spectrum usage rights to share a television channel with another licensee.

## **Definitions**

Estimated Cost Form: Broadcasters and MVPDs seeking reimbursement from the Fund will use this form to provide an estimate of relocation costs in advance of transition construction (*see* 47 C.F.R. §73.3700(e)(2)).

Initial Allocation: Broadcasters and MVPDs that submit estimated cost forms will receive an initial allocation of funding, which will be made available through the Treasury Department’s ASAP system as entities incur expenses related to the channel transition.

Actual Cost Form: Broadcasters and MVPDs that received an initial allocation will submit invoices, receipts, and other documentation of costs in connection with requests for payment from the TV Broadcaster Relocation Fund.

Catalog of Potential Expenses and Estimated Costs (“Catalog of Costs” or “Catalog”): A list of the some of the expenses broadcasters and MVPDs will incur during the repacking process that may be eligible for reimbursement and the estimated cost of each service and piece of equipment included in the Catalog.

Predetermined Cost Estimate: The estimated cost of an eligible expense as generally determined by the Media Bureau in a catalog of expenses eligible for reimbursement (*see* 47 C.F.R. §73.3700(a)(10)).

Individualized Cost Estimate: Cost estimate provided by the entity seeking an initial allocation that differs from the Catalog of Costs, either because the entity believes the estimated cost in the Catalog of Costs is too low or because the item or service is not included in the Catalog of Costs. In either situation, entities submitting individualized cost estimates must submit supporting evidence and certify that the estimate is made in good faith.

**Reimbursement Period:** The period ending three years after the completion of the forward auction pursuant to section 6403(b)(4)(D) of the Spectrum Act (*see* 47 C.F.R. §73.3700(a)(13)).

**Final Allocation Deadline:** Upon completing construction or other reimbursable changes, or by a specific deadline prior to the end of the Reimbursement Period to be established by the Media Bureau, whichever is earlier, all broadcast television station licensees and MVPDs that received an initial allocation from the TV Broadcaster Relocation Fund must provide the Commission with information and documentation, including invoices and receipts, regarding their actual expenses incurred as of a date to be determined by the Media Bureau. If a broadcast television station licensee or MVPD has not yet completed construction or other reimbursable changes by the Final Allocation Deadline, it must provide the Commission with information and documentation regarding any remaining eligible expenses that it expects to reasonably incur. (*see* 47 C.F.R. §73.3700(e)(3)(i)).

**Final Accounting:** After completing all construction or reimbursable changes, broadcast television station licensees and MVPDs that have received money from the TV Broadcaster Relocation Fund will be required to submit final expense documentation containing a list of estimated expenses and actual expenses as of a date to be determined by the Media Bureau. Entities that have finished construction and have submitted all actual expense documentation by the Final Allocation Deadline will not be required to file at the final accounting stage (*see* 47 C.F.R. § 73.3700(e)(4)).

### **Reimbursement Process**

The Commission will reimburse eligible entities by providing initial allocations of funds to broadcasters and MVPDs based on their estimated costs. As discussed below, all entities claiming reimbursement from the Fund must file an estimated cost form following the release of the Channel Reassignment PN. Allocated funds will be placed in designated individual accounts in the U.S. Treasury and will be available for draw down via the ASAP system as broadcasters and MVPDs incur expenses and submit evidence thereof.

Broadcasters and MVPDs will use the predetermined cost estimates in the Catalog of Potential Expenses and Estimated Costs (“Catalog of Costs” or “Catalog”) published by the Media Bureau to complete their estimated cost form. Although the Media Bureau will base each entity’s initial allocation on their estimated costs, eligible entities will only be reimbursed for their actual costs reasonably incurred for eligible repackaging expenses. A copy of the Catalog of Costs is available for review in GN Docket No. 12-268 and can be found at [www.fcc.gov](http://www.fcc.gov). Prior to the end of the three-year Reimbursement Period, entities will provide information regarding their actual costs and any remaining estimated costs to complete construction. If necessary to cover remaining costs, broadcasters and MVPDs may request an additional allocation of funds prior to the end of the Reimbursement Period.

### **U.S. Treasury ASAP Accounts**

The Commission will use the Department of Treasury’s ASAP system to hold and disburse funds to broadcasters and MVPDs. Entities will be able to draw down funds from their individual ASAP accounts after providing either an invoice, substantiating an amount currently due for an eligible relocation expense, or a receipt, substantiating an amount paid for an eligible relocation expense.

To begin the process of creating an ASAP account, an entity must use this form to submit the following information: 1) organization name; 2) DUNS number; 3) organization type (to be selected from a drop-down menu); and 4) point of contact information, including name and e-mail address of the individual responsible for verifying and completing the setup of an ASAP account (“ASAP contact”). The Federal Employer Identification Number (EIN) associated with the entity’s FRN (as reflected in the FCC’s CORES database) will be automatically populated by the electronic version of this form and will also be used for purposes of establishing an ASAP account.

Entities can start the process of creating an ASAP account immediately following the release of the Channel Reassignment PN by making a limited filing that contains only this basic information in Sections 1 and 2 of this form. That is, an entity does not have to wait until it completes its cost estimates before it files the information needed to begin establishing an ASAP account. Once this enrollment information is submitted, the Media Bureau will initiate the entity’s enrollment in ASAP. An ASAP profile will be established and the entity’s ASAP contact will receive an email with instructions for further steps that must be taken to verify and complete the establishment of an ASAP account for the station or MVPD. ASAP enrollment must be completed 45 days after an entity’s ASAP contact receives notification via e-mail that its ASAP profile has been initiated.

Applicants that do not have a DUNS number can obtain one online, for no charge, at <http://fedgov.dnb.com/webform>.

Applicants that do not have a federal EIN can obtain one online, for no charge, at <http://www.irs.gov/Businesses/Small-Businesses-&Self-Employed/Employer-ID-Numbers-EINs>.

### **Estimated Cost Form**

All entities seeking reimbursement from the Fund must file an estimated cost form no later than three months following release of the Channel Reassignment PN. A separate form must be filed for each television broadcast station. Cable operators and DBS providers may file a single form for multiple physical system identification numbers (“PSIDs”) or receive sites.

The Media Bureau will consider any late-filed forms on a case-by-case basis.

On the estimated cost form, broadcasters will provide an estimate of the costs they expect to reasonably incur to change channels, and MVPDs will estimate the costs they expect to reasonably incur to accommodate new channel assignments. Entities must submit a revised form if circumstances change substantially. For example, a revised form is required if a broadcaster or MVPD becomes aware of a substantial expense that was not identified on the initial form or if the entity changes its construction plan that requires a claim from the Fund for equipment or services that are different from those listed on the initial estimated cost form.

Broadcasters and MVPDs must also provide a description of the existing equipment for which they are seeking reimbursement to modify or replace. This will help establish a baseline against which to assess whether the reimbursement requested for new or modified equipment is reasonable.

The estimated cost form will reference the Catalog of Costs developed by the Media Bureau. The Catalog contains a list of many, but not necessarily all, of the modifications a television station may have to make

in order to change its channel as well as the Media Bureau's predetermined estimate of the cost, or range of costs, for equipment and other expenses associated with most of those modifications. Similarly, for MVPDs, the Catalog contains a list of many, but not necessarily all, of the cable or satellite system changes an MVPD may be required to make to accommodate new station channel assignments as well as the Media Bureau's predetermined estimate of the cost or cost range for most of those changes.

For equipment or other changes for which the Catalog provides a predetermined cost estimate, stations and MVPDs may select either the predetermined cost estimate or provide their own estimate if they believe the predetermined estimate does not fully account for their specific circumstances. Entities that reject the predetermined estimate as too low must provide an explanation to justify the higher cost. For any expenses for which the Catalog does not provide a predetermined cost estimate, the station or MVPD must provide an individualized cost estimate, submit supporting evidence, and certify that the estimate is made in good faith. Expenses entered in each section of the form will be automatically totaled at the bottom of the section. In addition, the overall total for all estimated expenses will be calculated automatically and shown on the form.

### **Actual Cost Form**

All entities seeking reimbursement from the Fund must use this form to provide documentation to substantiate their expenses. Entities will be able to draw down funds from their individual ASAP accounts in the U.S. Treasury after providing an invoice or receipt substantiating an amount currently due or paid for an eligible relocation expense. When submitting cost documentation, an entity must match each receipt or invoice to a cost category on its estimated cost form, which will appear upon logging in to the electronic form. Some expense categories may have more than one associated cost document (for example, if an expense is paid in multiple installments). If so, the entity must submit multiple cost documents under the same expense category. Conversely, one cost document may relate to more than one expense category (for example, if an invoice includes costs for tower mapping as well as tower rigging). In that case, an entity must submit the document more than once so that it is associated with each appropriate expense category.

An entity may submit documentation substantiating incurred expenses even if it has drawn down the entire amount of its initial allocation(s). All cost documentation submitted will be captured on this form and will be considered at the final allocation stage.

### **Final Allocation and Accounting**

All entities that received an initial allocation(s) from the Fund must use this form to submit final documentation regarding their actual expenses incurred (if construction is complete) or paid to date, plus any remaining estimated expenses (if construction is not complete). Each entity's final form must be submitted either upon completion of construction, or by a deadline prior to the end of the Reimbursement Period to be announced by the Media Bureau, whichever is earlier. That is, an entity must meet the filing deadline even when the broadcaster or MVPD has not yet completed its transition.

At this phase entities must certify that the amount reflected on the actual cost form represents the amount actually paid to vendors for expenses eligible for reimbursement from the Fund, including any discounts,

credits, refunds, or rebates. If necessary to cover remaining costs, broadcasters and MVPDs may request an additional allocation at this phase.

It is possible that some broadcasters and MVPDs will not complete their transition before the filing deadline. By the deadline, these entities must submit documentation for costs incurred to date plus additional documentation such as written estimates or purchase orders related to anticipated, but not yet incurred, expenses. Once these stations and MVPDs complete construction or incur other reimbursable changes, even if this occurs after the end of the Reimbursement period, they must file a final accounting with cost documentation of incurred expenses.

**How to Enter Estimated and Actual Cost Information**

Section III.B of the Form (Broadcaster Estimated or Actual Transition Expenses) is divided into subsections according to the type of equipment (e.g., transmitters, antennas, transmission lines, etc.) and services broadcasters will likely need to change channels. Section IV.B (MVPD Estimated or Actual Transition Expenses) is also divided into questions regarding the type of equipment and services MVPDs will likely need to continue to carry the signal of a broadcaster that changes channel. As applicants answer these questions, a chart will be created reflecting the applicant’s expected transition costs.

Example

For example, a station completing Section III.B that indicates it needs to retune the station’s existing primary transmitter (three IOT system, minor banding issues) will see a chart like this (Note – Columns G – K not shown):

(A)	(B)	(C)	(D)	Cost Information		
Description	Predetermined Cost Estimate (if available)	Estimated Cost (provide amount)	Revised Estimated Cost (if necessary) (provide amount)	(E) Component Description	(F) Component Amount	...
<b>Retune existing transmitter - primary</b>						
<b>UHF-IOT Transmitter</b>						
Three IOT system, minor banding issues (90 kW)	\$160,000-\$315,000	\$200,000				

Column A of the chart contains a description of the transition expense and Column B contains the predetermined estimate of the cost, or cost range, for this expense, as reflected in the Catalog of Costs. Not all expenses identified in Column A will have an associated predetermined cost.

**ESTIMATED COST FORM:** The station should provide the estimated amount for retuning its primary transmitter in Column C of the same row in which the expense description appears in Column A. In this example, the station has estimated it will cost \$200,000 to retune the primary transmitter, which is within the predetermined cost range in Column B. If the amount entered in Column C were greater than the predetermined cost estimate, or greater than the predetermined cost range, the applicant would be directed to provide a justification for the higher cost.

**PER UNIT CHARGES:** Some predetermined costs in the Catalog of Costs are expressed as per unit costs (e.g., per foot, per site, per hour, etc.) rather than a total amount. For these categories of expenses, the entity will be directed to provide the number of units (e.g., number of feet, number of sites, number of hours, etc.). The form will multiply the number of units specified by the applicant by the predetermined unit cost and will display the total in Column B (Predetermined Cost Estimate). Entities should enter the total amount of their estimated cost for these cost categories, not the unit amount, in Column C of their estimated cost form.

**SUBMISSION OF ACTUAL COSTS WITH DOCUMENTATION:** After the station has submitted its estimated cost form and when it is ready to submit a cost document (e.g., an invoice from the supplier for the retuning cost), the station will see a chart that might look like this (Note – Columns B – D not shown):

(A)	...	Cost Information						
Description	...	(E)  Component Description	(F)  Component Amount	Documentation				
				(G)	(H)	(I)	(J)	(K)

				Payee	Date	Upload	Type	Payment Date
<b>Retune existing transmitter - primary</b>								
<b>UHF-IOT Transmitter</b>								
Three IOT system, minor banding issues (90 kW)								

In Column E, the station would enter a short description of the cost information it is submitting (e.g., retuning invoice, retuning down payment, second retuning progress payment, final retuning payment, etc.) In Column F, the station would enter the amount of the cost (e.g., \$200,000 if the invoice is for this amount or a lower amount if the invoice is for a down payment for the retuning cost). In Column G, the station would enter the name of the payee for the invoice or receipt. In Column I, the station would upload the document; in Column J it would select the type of document being submitted (e.g., invoice or receipt); and in Column K the station would indicate either the date the payment is due (e.g., for an invoice) or the date payment was made to the payee (e.g., for a receipt).

**FINAL ALLOCATION OR ACCOUNTING:** Entities should upload cost documentation even if their initial allocation from the Fund has been depleted. This documentation will not result in approval of a draw down until and unless a further allocation from the Fund is made (i.e., at the final allocation stage). When the station files for a final allocation, it should ensure that all applicable cost information has been entered, all documentation uploaded, and that the amount reflected in Column F accurately reflects the actual amount paid for each cost category, including any discounts, credits, refunds, or rebates. If the amount reflected in Column F is greater than the estimated cost (Column C or D) for any cost category, the applicant will be directed to provide an explanation for the higher amount.

Entities that have not completed construction by the final filing deadline should enter all documentation of actual costs incurred to date, plus estimates (along with documentation, such as a purchase order) for expenses not yet incurred.

**EXPENSES NOT LISTED IN THE CATALOG OF COSTS:** Some entities may seek reimbursement for expenses not listed on the Catalog of Costs. If so, these entities should list these costs in the appropriate subsection of the form (e.g., antenna-related expenses not listed in the Catalog should be entered in response to the “other expenses” question in the antenna section of the form). The applicant will be

directed by the form to identify the expense, provide a brief description together with the estimated or actual cost, provide a description of how the cost estimate was developed, provide an explanation of why the station expects to incur, or incurred, the expense.

### **Filing Fees**

There is no fee for filing this form.

### **Assistance with Reimbursement Form**

For assistance with this Form, contact the Media Bureau's Relocation Fund Reimbursement hotline at XXX-XXX-XXXX.

### **INSTRUCTIONS FOR SPECIFIC ITEMS ON Reimbursement Form**

All applicants should complete Section I (Type of Submission and Applicant) each time they file the form. Applicants submitting this form for the first time (i.e., to establish a U.S. Treasury ASAP account) or revising contact information previously provided should also complete Section II (Contact Information).

#### **Broadcasters**

Broadcasters must file a separate form for each television broadcast station eligible for reimbursement.

Broadcasters should complete Section III.A. (Broadcaster Information) and Section III.B. (Broadcaster Estimated or Actual Transition Expenses) when they file an estimated cost form and when they file actual cost documentation. Broadcasters must also submit the form upon completing construction or by the final allocation deadline, if they have not completed construction by that time. Broadcasters who expect to incur expenses after the filing deadline must submit estimates and documentation for costs they expect to occur, and must file a final accounting after completing transition construction (even if this occurs after the end of the Reimbursement Period).

#### **MVPDs**

Cable operators and DBS providers may file a single form for multiple PSIDs or receive sites.

MVPDs should complete Sections IV.A. (MVPD Information) and Section IV.B. (MVPD Estimated or Actual Transition Expenses) when they file an estimated cost form and when they file actual cost documentation. MVPDs must also complete the form upon completing construction or by the final allocation deadline, if they have not completed construction by this time. MVPDs who expect to incur expenses after the filing deadline must submit estimates and documentation for costs they expect to occur, and must file a final accounting after completing transition construction (even if this occurs after the end of the Reimbursement Period).

### **SECTION I – APPLICATION TYPE**

**Question 1:** Indicate whether the applicant is a television broadcast station or an MVPD. Television stations should provide their facility identification number. MVPDs that have physical system identification numbers (PSID) (i.e., a cable operator) should provide the PSID for which this form is

being filed. If the form is being filed for more than one PSID, enter one PSID only for purposes of identifying the MVPD. The form will pre-fill information currently in the FCC's database regarding the applicant. Indicate whether this prefilled information is correct. If not, applicant must correct the information in the appropriate FCC database (CDBS, COALS, or Kidvid), as indicated on the form, prior to submitting this form.

**Question 2:** Check all that apply. Indicate whether this form is being used to submit identifying information necessary to establish a Treasury Department ASAP account, estimated costs, actual cost documentation, or to provide final allocation or accounting information. If filing estimated costs, indicate whether this is an initial or revised form. If the purpose of the submission is to file final allocation information, briefly describe the construction that remains to be completed and the expected completion date.

## **SECTION II – CONTACT INFORMATION**

**Question 1:** The form will pre-fill with information currently in the FCC's database regarding the contact information for the applicant. Indicate whether this prefilled information is correct. If not, applicant must correct the information in the appropriate FCC database (CDBS, COALS, or Kidvid), as indicated on the form, prior to submitting this form.

**Question 2:** Provide the name, title, street address, telephone number, and email address of the individual who should be contacted by the FCC in the event any questions arise with respect to the information in this reimbursement form. Indicate whether this individual will also serve as the contact representative for the entity with respect to establishing the entity's U.S. Treasury ASAP account that will hold reimbursement funds (the "ASAP account contact"). The ASAP account contact is the individual who will be contacted by the FCC with directions regarding the establishment of the U.S. Treasury ASAP account for the entity for which the form is being filed. This individual will be contacted by the Department of Treasury via e-mail for purposes of completing the ASAP enrollment process. If the ASAP account contact is different from the reimbursement contact, provide the name, title, and email address for the ASAP account contact.

**Question 3:** The entity's FRN, used to log in to the on-line form, will pre-populate this line.

**Question 4:** Provide the DUNS number for the applicant. This number is required in order to establish a U.S. Treasury ASAP account to hold reimbursement funds.

**Question 5:** Provide the following information about the individual primarily responsible for preparing this form: name, title, company, street address, telephone number and email address.

## **SECTION III – BROADCASTER INFORMATION AND TRANSITION PLAN**

### **A – Station Information**

The form will prefill information currently in the FCC's database regarding the station for which this form is being filed. Indicate whether this prefilled information is correct. If not, applicant must correct the information in the appropriate FCC database, as indicated on the form, prior to submitting this form.

**Question 1:** Indicate whether the station is participating in a channel sharing arrangement and, if so, provide the facility identification number of the sharee station. [Note: A channel “sharee” is a station participating in a channel sharing arrangement that relinquishes its frequencies in order to move to the sharer’s frequencies.] The form will prefill information currently in the FCC’s database regarding the sharee station. Indicate whether this pre-filled information is correct. If not, applicant must direct the sharee station to correct the information in the appropriate FCC database, as indicated on the form, prior to submitting the form.

**Question 2:** In this text box, provide a brief description of the steps the station must take to complete its transition, including its plan for interim operations. Identify the specific equipment currently used by the station that will be used for interim operations and for post-transition operation and the new equipment that will be purchased, including the transmitter(s), antenna(s), transmission line(s), and tower(s). Indicate also the channel the station expects to use for interim operations and the length of time the station expects to operate with interim facilities while construction of the main facility is underway.

For example:

“Install existing auxiliary/backup antenna on the tower used for the station’s auxiliary facility, use existing auxiliary/backup antenna for interim operations on existing channel , remove existing primary antenna from the tower used for the station’s primary facility, reinforce existing tower used for primary facility, install new primary antenna. We plan to use our existing channel for interim operations. Work on the primary tower and facility will be done during early morning hours over a period of approximately two weeks.”

## **B – Broadcaster Estimated or Actual Transition Expenses**

### **1. Transmitters**

**Question 1:** This question contains a list of possible changes the station might have to make to its existing transmitter(s) in order to transition to its new channel. Check all that apply.

In answering this question, the applicant should consider the following. In addition to the station’s existing primary transmitter, the station may currently have one or more auxiliary transmitter(s). One or more of these transmitters may be able to be retuned to operate on the new channel, or may have to be replaced. During its transition to the new channel, the station may also need to use a transmitter for interim operations while work is being performed on the primary transmitter (i.e., retuning or replacement). The station may have an existing auxiliary transmitter that can be used for interim operations or may have to purchase or lease another transmitter for that purpose.

The applicant should answer Question 1 only for transmitters currently used by the station for which this form is being filed and that are operational and necessary for that station’s operations. Reimbursement is not available for equipment that is not currently in working order.

**Question 2:** For each transmitter the station currently uses to serve a licensed facility, describe the purpose for which the transmitter is used (e.g., primary or auxiliary) and indicate if the transmitter is owned by the station or a company affiliated with the station (e.g., a group station owner) or if the transmitter is rented/leased. If the transmitter is leased, provide the name and contact information for the

owner. In addition, for each transmitter indicate whether the transmitter is shared with another station and, if so, provide the facility ID number of the station(s) with which the transmitter is shared. Also, for each transmitter indicate the manufacturer, model, year manufactured, and the transmitter type and power capacity.

DTS stations. Stations that indicate they operate with a distributed transmission system (DTS) will be prompted to indicate the number of DTS sites in the system. These stations will then be prompted to provide answers to Question 2, 3, and 4 in this subsection (Transmitters and In-Building Expenses) for each site in the system.

### **Question 3:**

- a. Retuning costs. For each transmitter the station indicated would be retuned (see Question 1, above), indicate the type of banding issue (major or minor) posed by retuning. A description and definition of major and minor banding issues is included in the Catalog of Costs. Also indicate the type of new mask filter required and whether a new exciter is required and, if so, the type.
- b. New transmitter costs. For each new transmitter the station indicated it would purchase (see Question 1, above) indicate the type and power capacity of transmitter the station intends to purchase. In addition, provide a justification as to why the station thinks it is reasonable under the circumstances to purchase a new transmitter rather than modify its current transmitter.
- c. Other transmitter costs. Indicate whether the station will incur the following kinds of other transmitter-related costs: 1) electrical service, 2) HVAC service, 3) a transmitter building addition or modification, 4) costs associated with a move to Channel 14, or 5) an interior RF system. Stations that have transmitter-related costs not identified in the Catalog of Costs should also identify those costs in response to item 6 in this question and provide a brief description of the cost and an explanation of why the station expects to incur it.

**Question 4:** Based on the applicant's responses to Questions 1-3 in subsection III.B.1 (Transmitters), a table will appear showing the categories of transmitter costs identified by the station. In Column C of the table, provide the estimated cost for each expense category. For each category of expense, if the estimated cost is higher than the predetermined cost estimate or predetermined cost range, provide a justification why the predetermined cost is too low. If the category of expense does not appear in the Catalog of Costs, provide a description of how the cost estimate was developed. When submitting actual cost information, provide an explanation if the actual cost is higher than the estimated cost.

## **2. Antennas**

**Question 1:** This question contains a list of possible changes the station might have to make to its existing antenna(s) in order to transition to its new channel. Check all that apply. In answering this question, the applicant should consider the following. In addition to the station's existing primary antenna, the station may currently have one or more licensed auxiliary antennas for use for backup and/or emergency purposes. These antennas may be able to be retuned to operate on the new channel or may have to be replaced. During its transition to the new channel, the station may also need to use an antenna for interim operations while work is being performed on the primary antenna (e.g., retuning or

replacement). The station may have an existing auxiliary or emergency/backup antenna that can be used for interim operations or may have to rent or purchase another antenna for that purpose.

The applicant should answer Question 1 only for antennas currently used by the station for which this form is being filed and that are operational and necessary for that station's operations. Reimbursement is not available for equipment that was not in working order as of release of the Channel Reassignment PN.

**Question 2:** For each antenna the station currently uses, describe the purpose for which the antenna is used (e.g., primary, licensed auxiliary, etc.) and indicate if the antenna is owned by the station or a company affiliated with the station (e.g., a group owner) or if the antenna is rented/leased. If the antenna is rented/leased, provide the name and contact information for the owner. In addition, for each antenna, indicate whether it is shared with another station(s) and, if so, provide the facility ID number of the other station(s) with which the antenna is shared. Also, for each antenna provide the name of the manufacturer, the model, the year the antenna was manufactured, and indicate the type of mounting and polarization. Also, for each antenna indicate whether the antenna is a broadband antenna and, if so, indicate the number of stations that can use the antenna (i.e., the antenna's sharing capacity).

DTS stations. Stations that indicate they operate with a distributed transmission system (DTS) will be prompted to provide answers to Questions 2, 3, and 4 in this subsection (Antennas) for each site in the system.

**Question 3:**

- a. Adjustment to Existing Antenna. For each existing antenna the station indicated will be used on the new channel, indicate whether a sweep test of the antenna is needed.
- b. New Antenna Costs. For each antenna the station indicated will be replaced, indicate the purpose for which the replacement antenna will be used post-transition. Indicate whether the antenna will be shared with another television station(s) and, if so, provide the facility id number(s) of the other station(s). Provide also the following information about the new antenna: band, class, how the antenna is mounted on the tower, polarization, whether the antenna is directional, type, power, manufacturer, and model. If the new antenna is broadband, indicate the frequency range of the antenna and percent of the antenna's total power capacity that will be used by all stations using the antenna. In addition, provide a justification as to why the station thinks it is reasonable under the circumstances to purchase a new antenna rather than reuse its existing antenna.
- c. Other antenna costs.
  1. Combiner for Shared Antenna. Indicate whether the station will purchase a new combiner for a shared broadband antenna or an additional module for an existing combiner. If so, indicate the number of channels supported by the antenna and the frequency range of the channels capable of using the antenna.
  2. Other Antenna Expenses Not Listed. Stations that have antenna-related costs not identified in the Catalog of Costs should identify those costs and provide a brief description of the cost and an explanation of why the station expects to incur it.

**Question 4:** Based on the applicant's responses to Questions 1-3 in subsection III.B.2 (Antennas), a table will appear showing the categories of antenna costs identified by the station. In Column C of the table,

provide the estimated cost for each expense category. For each category of expense, if the estimated cost is higher than the predetermined cost estimate or range, provide a justification why the predetermined cost estimate is too low. If the category of expense does not appear in the Catalog of Costs, provide a description of how the cost estimate was developed. When submitting actual cost documentation, provide an explanation if the actual cost is higher than the estimated cost.

### **3. Transmission Line Changes**

**Question 1:** This question contains a list of possible changes the station might have to make to its existing transmission line(s) in order to transition to its new channel. Check all that apply. Applicant will be prompted to answer this question with respect to each antenna identified in response to Section III.B.2 (Antennas), above, to account for the one or more parallel runs of transmission line for each antenna.

The applicant should answer Question 1 only for transmission line currently used by the station for which this form is being filed and that is operational and necessary for that station's operations. Reimbursement is not available for equipment that was not in working order as of the date of the Channel Reassignment PN.

**Question 2:** For each transmission line the station currently uses, describe the purpose of the antenna served by the line (e.g., primary, licensed auxiliary, etc.) and indicate if the line is owned by the station or a company affiliated with the station (e.g., a group owner) or if the line is rented/leased. If the transmission line is leased, provide the name and contact information for the owner. In addition, for each line, indicate whether it is shared with another television station and, if so, provide the facility ID number of the other station(s) with which the line is shared. Also, for each line provide the name of the manufacturer and indicate the type, diameter, number of parallel runs, and length of the line.

DTS stations. Stations that indicate they operate with a distributed transmission system will be prompted to provide answers to Questions 2, 3, and 4 in this subsection (Transmission Line Changes) for each site and antenna in the system.

#### **Question 3:**

- a. New transmission line costs. For each new transmission line the station intends to purchase, indicate the purpose for which the associated antenna is used (primary, licensed auxiliary, interim). Indicate also the type of transmission line (flexible foam, flexible air, or rigid) and the diameter. For rigid line, indicate the segment length. Indicate the number of parallel runs of line required and the length of line in each run. In addition, provide a justification as to why the station thinks it is reasonable under the circumstances to purchase new transmission line rather than reusing its current line.
- b. Other expenses. Stations that have costs related to transmission line that are not identified in the Catalog of Costs should identify those costs and provide a brief description of the cost and an explanation of why the station expects to incur it.

**Question 4:** Based on the applicant's responses to Questions 1-3 in subsection III.B.3 (Transmission Line Changes), a table will appear showing the categories of costs related to transmission line identified by the station. In Column C of the table, provide the total estimated cost (per unit cost times the number of feet of line needed) for each expense category. For each category of expense, if the estimated cost is higher

than the predetermined cost estimate or range, provide a justification why the predetermined cost estimate is too low. If the category of expense does not appear in the Catalog of Costs, provide a description of how the cost estimate was developed. When submitting actual cost documentation, provide an explanation if the actual cost is higher than the estimated cost.

#### **4. Tower Equipment and Rigging Costs**

**Question 1:** This question contains a list of possible changes the station might have to make to its primary or auxiliary tower in order to transition to its new channel. Check all that apply.

The applicant should answer Question 1 only for towers currently used by the station for which this form is being filed and that are necessary for that station's operations. Reimbursement is not available for towers not in use at the time of the Channel Reassignment PN or used only for facilities unrelated to operation of this station.

**Question 2:** For each tower the station currently uses, indicate whether the tower has a registration number and, if so, provide the Antenna Structure Registration (ASR) number. If the tower does not have an ASR number, provide the tower coordinates, Height Above Ground Level (AGL), the year the tower was constructed, and the name and contact information for the tower owner. Describe the purpose for which the station uses the tower (e.g., for its primary antenna, auxiliary antenna, or both) and indicate if the tower is owned by the station or a company affiliated with the station (e.g., a group owner) or if the tower is rented/leased. If the tower is leased, provide the name and contact information for the tower owner. In addition, indicate whether there are other users on the tower and, if so, indicate the kinds of stations and other facilities with which the tower is shared and provide the Facility ID number for other broadcast users. Indicate whether the tower is a complex tower. A tower is considered complex for purposes of this question if it has a candelabra, is located on a building, or located in an area that is difficult to access because of weather or other conditions (terrain constrained).

Indicate also whether the tower is documented for structural analysis and whether it is currently compliant with Rev G (the "G" revision of the ANSI/TIA-222 standard, "Structural Standards for Antenna Supporting Structures and Antennas"). This standard, effective in 2006, changed the loading and design criteria for both new and existing broadcast towers.

For towers not owned by the station, the station may need to contact the tower owner to obtain some of the information required in this question.

DTS stations. Stations that indicate they operate with a distributed transmission system will be prompted to provide answers to Questions 2, 3, and 4 in this subsection (Tower Equipment and Rigging) for each site in the system.

#### **Question 3:**

- a. Tower modification costs. For each tower for which the applicant indicated tower modifications are needed, indicate whether a tower study is necessary and, if so, the kind of tower and study needed (undocumented/poorly documented tower, documented tower, tower with candelabra). Also indicate if tower reinforcements are needed and, if so, the degree of

reinforcement (minor, major, or serious). The definitions for these tower reinforcement classifications can be found in the Catalog of Costs.

- b. Tower construction costs. For each new tower the applicant indicated must be constructed, indicate the height (in feet) of the new tower. In addition, provide a justification as to why the station thinks it is reasonable under the circumstances to build a new tower rather than modifying its existing tower or moving to a different, nearby tower.
- c. Tower rigging costs. For each modified or new tower for which rigging costs will be incurred, indicate the kind of tower. Indicate also if a helicopter lift will be required.
- d. Other expenses. Stations that expect to incur tower-related costs that are not listed in the Catalog of Costs should identify the cost and provide a brief description of the cost and an explanation of why the station expects to incur it.

**Question 4:** Based on the applicant's responses to Questions 1-3 in subsection III.B.4 (Tower Equipment and Rigging Costs), a table will appear showing the categories of tower costs identified by the station. In Column C of the table, provide the total estimated cost for each expense category. For each category of expense, if the estimated cost is higher than the predetermined cost estimate or range, provide a justification why the predetermined cost estimate is too low. If the category of expense does not appear in the Catalog of Costs, provide a description of how the cost estimate was developed. When submitting actual cost documentation provide an explanation if the actual cost is higher than the estimated cost.

## **5. Outside Professional Services**

Stations may have to obtain professional services from an outside source to complete the station's channel relocation.

### **Question 1: Professional Services Costs**

#### **a. Professional services costs.**

1. Outside project management services. Indicate whether the station expects to use outside project management services. If so, indicate the number of hours of such services the station expects to use and provide an explanation as to why these services are necessary.

2. Outside RF consulting engineer services. Indicate all outside RF consulting engineer services the station expects to use. With respect to preparation of FCC forms or requests for special temporary authority, indicate the number of such forms/requests the station expects to need outside engineering help to prepare.

DTS stations. Stations that indicate they operate with a distributed transmission system will be prompted to indicate the number of critical facility and terrain shielded sites in the system. Explanations for these site categories can be found in the Catalog of Costs.

- 3. Attorney and other outside consultant costs. Indicate all outside attorney costs the station expects to incur. With respect to preparation of FCC forms or requests for special temporary authority, indicate the number of such requests the station expects to

need outside attorney help to file. Indicate also if the station expects to engage outside professional services in connection with a NEPA Section 106 environmental review, environmental assessment, ASR modification, or FCC consultation.

4. RF field engineer services. Indicate if the station expects to incur fees for a field study for comprehensive coverage verification or for RF exposure measurements. In addition, indicate if the station expects to need additional field engineering service (e.g., for stations on channel 14 that need to test for interference after installation of the mask filter). If so, indicate the number of days of additional service required and the reason it is required.

**b. Other expenses not listed**

1. Other professional service expenses not listed. Stations that expect to incur costs related to outside professional services that are not listed in the Catalog of Costs should identify the cost and provide a brief description of the cost and an explanation of why the station expects to incur it.

**Question 2.** Based on the applicant's responses to Question 1 in subsection III.B.5 (Outside Professional Services), a table will appear showing the categories of costs related to outside professional services identified by the station. In Column C of the table, provide the total estimated cost for each expense category. For each category of expense, if the estimated cost is higher than the predetermined cost estimate or range, provide a justification why the predetermined cost estimate is too low. If the category of expense does not appear in the Catalog of Costs, provide a description of how the cost estimate was developed. When submitting actual cost documentation, provide an explanation if the actual cost is higher than the estimated cost.

**6. Other Expenses**

**Question 1. Miscellaneous Expense Costs**

**a. Miscellaneous costs from Catalog of Costs**

1. AM pattern disturbance. Indicate whether the station expects to incur costs related to an impact study to assess the potential impact of tower construction or modification on AM radio stations. Also indicate if the station expects to have to install detuning apparatus or adjust existing detuning apparatus to remedy any interference to AM stations.
2. Facility Expenses. Indicate if the station has other expenses related to interim facilities or operation of a DTS station(s). Also indicate if the station will incur expenses related to notification of nearby medical facilities of their channel change.
3. Permit costs. Indicate if the station expects to have to obtain permits in connection with its channel relocation. Check all that apply.
4. Other miscellaneous expenses. Indicate if the station expects to incur costs identified in this section. Check all that apply.

**b. Other expenses not listed in the Catalog of Costs**

1. Other miscellaneous expenses not listed. Stations that expect to incur costs not listed in the Catalog or elsewhere on this form should identify the cost and provide a brief description of the cost and an explanation of why the station expects to incur it.

**Question 2.** Based on the applicant's responses to Question 1 in subsection III.B.6 (Other Expenses), a table will appear showing the categories of costs identified by the station. In Column C of the table, provide the total estimated cost for each expense category. For each category of expense, if the estimated cost is higher than the predetermined cost estimate or range, provide a justification why the predetermined cost estimate is too low. If the category of expense does not appear in the Catalog of Costs, provide a description of how the cost estimate was developed. When submitting actual cost documentation, provide an explanation if the actual cost is higher than the estimated cost.

## **SECTION IV – MVPD INFORMATION AND TRANSITION PLAN**

### **A – MVPD Information**

**Question 1:** The form will pre-fill information currently in the FCC's database regarding the MVPD for which this form is being filed.

**Question 2:** Provide the following information for each television broadcast station carried by the MVPD that is changing channel as a result of the incentive auction: the station call sign, licensee name, and the nature of the channel change (see explanation below). In addition, for each station identify the PSID or receive site at which the station is received.

In answering this question, note that the MVPDs are eligible for reimbursement costs reasonably incurred in order to continue to carry the signal of: (1) a full power or class A television station that is involuntarily reassigned in the repacking process from UHF-to-UHF, VHF-to-VHF, or VHF-to-UHF; (2) channel sharer stations that are involuntarily reassigned in the repacking process; (3) a full power or class A broadcast television licensee that voluntarily relinquishes spectrum usage rights with respect to a UHF channel in return for receiving spectrum usage rights with respect to a VHF channel; (4) a full power or class A television station that voluntarily relinquishes spectrum usage rights with respect to a high VHF channel in return for receiving spectrum usage rights with respect to a low VHF channel; and (5) a full power or class A broadcast television licensee that voluntarily relinquishes spectrum usage rights to share a television channel with another licensee. All stations making a channel change (voluntary or involuntary) that results from the incentive auction will be listed in the Channel Reassignment PN. In addition, a transitioning station has an obligation to provide notice to an MVPD prior to changing channels or terminating operations (see Incentive Auction Order, para. 596).

The form will display a list of the stations nationwide that fall into categories 1-5. MVPDs will indicate each PSID(s) or receive site at which the channel(s) is received.

### **B – MVPD Estimated or Actual Transition Expenses**

This section should be answered separately for each PSID or receive site identified in Section IV.A (MVPD Information) above. At the end of this section, the applicant will be prompted to repeat the section for an additional PSID(s) or receive site(s) if necessary.

**Question 1.** For each PSID/receive site identified in Section IV.A. (MVPD Information) and for each channel at the PSID/receive site for which the MVPD expects to incur transition costs, provide the following information.

- a. PSID or Receive Site. Identify the PSID number for which the following questions are being answered. If there is no PSIP number, identify the receive site and provide the site address.

1. Channel specific costs.

Coaxial cable. For each PSID or receive site, indicate whether the MVPD expects to purchase coaxial cable and, if so, provide the number of feet of cable it expects to purchase.

Antenna. For each PSID or receive site, indicate whether the MVPD expects to install a new receive antenna and, if so, the kind of antenna. In addition, MVPDs that expect to purchase a new antenna must provide a justification as to why the station thinks it is reasonable under the circumstances to purchase a new antenna rather than retuning its current antenna.

Structural or capacity augments for towers. For each PSID or receive site, indicate whether the MVPD expects to make changes to an existing tower to meet new tower loading requirements as a result of the installation of new equipment.

Tower rigging. For each PSID or receive site, indicate whether the MVPD will incur tower rigging costs.

RF Processing Equipment. For each PSID or receive site, indicate if the MVPD will incur costs for RF processing equipment.

Other channel specific costs. For each PSID or receive site, MVPDs that expect to incur channel specific costs that are not listed in the Catalog of Costs should identify the cost and provide a brief description of the cost and an explanation of why the station expects to incur it.

2. Outside professional services.

Structural study of tower capacity. For each PSID or receive site, indicate if the MVPD expects to engage outside professional services to perform a structural study of tower capacity.

Engineering study. For each PSID or receive site, indicate if the MVPD expects to engage outside professional services to conduct a structural study of tower capacity or an engineering study (e.g., to estimate the receive strength of new channel assignments and/or the capabilities of current equipment).

Other professional services costs not listed. For each PSID or receive site, MVPDs that expect to incur costs that are not listed in the Catalog of Costs should identify the cost and provide a brief description of the cost and an explanation of why the station expects to incur it.

**Question 2.** Based on the applicant's responses to Question 1, a table will appear showing the categories of costs identified by the MVPD for this PSID/receive site and channels received at that location. In Column C of the table, provide the total estimated cost for each expense category. For each category of expense, if the estimated cost is higher than the predetermined cost estimate or range, provide a justification why the predetermined cost estimate is too low. If the category of expense does not appear in the Catalog of Costs, provide a description of how the cost estimate was developed. When submitting actual cost information, provide an explanation if the actual cost is higher than the estimated cost.

## **Section V – Certifications**

### **A. With Submission of Treasury ASAP Account Information**

Broadcasters and MVPDs submitting this form for purposes of providing information to establish an ASAP account should read all certifications in this section before signing this form.

### **B. With Submission of Estimated Expenses**

Broadcasters and MVPDs filing estimated costs should read all certifications in this section before signing this form.

### **C. With Submission of Actual Cost Documentation**

Broadcasters and MVPDs submitting actual cost documentation should read all certifications in this section before signing this form.

### **D. Submission of Final Allocation or Accounting Information**

Broadcasters and MVPDs filing final allocation or accounting information should read all certifications in this section before signing this form.