FEDERAL COMMUNICATIONS COMMISSION

[WC Docket No. 02–60; DA 02–2954]

Announcement of Opening of Year 2003 Funding Year Window for E-Rate Applications and the Release of FCC Forms 470 and 471 With Instructions for Funding Year 2003

AGENCY: Federal Communications Commission.

ACTION: Notice.

SUMMARY: This document announces the release of FCC Forms 470 and 471 and the accompanying instructions. These forms are to be used by applicants seeking discounts under the schools and libraries universal service support mechanism.

FOR FURTHER INFORMATION CONTACT: Narda Jones, Attorney, Telecommunications Access Policy Division, Wireline Competition Bureau, (202) 418–7400, TTY: (202) 418–0484.

SUPPLEMENTARY INFORMATION: The Wireline Competition Bureau of the Federal Communications Commission announces the release of FCC Forms 470 and 471 and the accompanying instructions. These forms are to be used by applicants seeking discounts under the schools and libraries universal service support mechanism. FCC Form 471 has been updated to allow for computerized scanning. In addition, minor technical corrections and clarifications have been made. Copies of the forms and instructions are included in the attachments.

FCC Forms 470 and 471 with accompanying instructions for Funding Year 2003 may also be obtained at the Schools and Libraries Division (SLD) Web site, <*http://www.sl.universalservice.org/form/*>. Parties with questions about the forms and instructions or are otherwise in need of assistance with the filing of their applications should contact SLD's Customer Service Support Center at 1–888–203–8100.

Federal Communications Commission.

Mark G. Seifert,

Deputy Division Chief, Telecommunications Access Policy Division.

BILLING CODE 6712–01–P

FCC Form 470

Do not write in this area.

Approval by OMB
3060-0806

Schools and Libraries Universal Service
Description of Services Requested and Certification Form 470

Estimated Average Burden Hours Per Response: 4 hours

This form is designed to help you describe the eligible telecommunications-related services you seek so that this data can be posted on the Fund Administrator Web Site and interested service providers can identify you as a potential customer and compete to serve you.

Please read instructions before beginning this application. (You can also file online at www.sl.universalservice.org)

Applicant's Form Identifier: _____
(Create your own code to identify THIS Form 470)

Form 470 Application #: _____
(To be inserted by Fund Administrator)

Block 1: Applicant Address and Identifications

1 Name of Applicant (30 characters max.)

2 Funding Year: July 1, _____ through June 30, _____

3 Your Entity Number (up to 10 digits)

4a Street Address, P.O. Box, or Route Number

City | State | Zip Code _____-____

b Telephone Number (10 digits + ext.) (___) ___-____ ext. _____

c Fax Number (10 digits) (___) ___-____

d E-mail Address (50 characters max.)

5 Type of Applicant
- ☐ Library (including library system, library branch, or library consortium applying as a library)
- ☐ Individual School (individual public or non-public school)
- ☐ School District (LEA; public or non-public [e.g., diocesan] local district representing multiple schools)
- ☐ Consortium (intermediate service agencies, states, state networks, special consortia)

6a Contact Person's Name

*First, fill in **every** item of the Contact Person's information below **that is different from Item 4, above.***
***Then** check the box next to the preferred mode of contact. (At least one box **MUST** be checked.)*

b ☐ Street Address, P.O. Box, or Route Number

City | State | Zip Code _____-____

c ☐ Telephone Number (10 digits + ext.) (___) ___-____ ext. _____

d ☐ Fax Number (10 digits) (___) ___-____

e ☐ E-mail Address (50 characters max.)

Block 2: Summary Description of Needs or Services Requested

7 **This Form 470 describes (check all that apply):**

a ☐ Tariffed services -- telecommunications services, purchased at regulated prices, for which the applicant has no signed, written contract. A new Form 470 must be filed for tariffed services for each funding year.

b ☐ Month-to-month services for which the applicant has no signed, written contract. A new Form 470 must be filed for these services for each funding year.

c ☐ Services for which a new written contract is sought for the funding year in Item 2.

d ☐ A multi-year contract signed on or before 7/10/97 but for which no Form 470 has been filed in a previous program year.

NOTE: Services that are covered by a signed, written contract executed pursuant to posting of a Form 470 in a previous program year OR a contract signed on/before 7/10/97 and reported on a Form 470 in a previous year as an existing contract do NOT require filing of a Form 470.

Entity Number _____ Applicant's Form Identifier _____
Contact Person _____ Phone Number _____

What kinds of service are you seeking: Telecommunications Services, Internet Access, or Internal Connections? Refer to the Eligible Services List at www.sl.universalservice.org for examples. Check the relevant category or categories (8, 9, and/or 10 below), and answer the questions in each category you select.

8 ☐ Telecommunications Services

Do you have a Request for Proposal (RFP) that specifies the services you are seeking?

a ☐ **YES,** I have an RFP. It is available on the Web at _____
or via (check one) ____ the Contact Person in Item 6 or ___ the contact listed in Item 11.

b ☐ **NO,** I do not have an RFP for these services.

If you answered NO, you must list below the Telecommunications Services you seek. Specify each ***service or function*** (e.g., local voice service) and quantity and/or capacity (e.g., 20 existing lines plus 10 new ones). See the Eligible Services List at www.sl.universalservice.org for examples of eligible Telecommunications Services, and remember that only common carrier telecommunications companies can provide these services under the universal service support mechanism. Add additional pages if needed.

Service or Function	Quantity and/or Capacity

9 ☐ Internet Access

Do you have a Request for Proposal (RFP) that specifies the services you are seeking?

a ☐ **YES,** I have an RFP. It is available on the Web at _____
or via (check one) ____ the Contact Person in Item 6 or ___ the contact listed in Item 11, below.

b ☐ **NO,** I do not have an RFP for these services.

If you answered NO, you must list below the Internet Access services you seek. Specify each service or function (e.g., monthly Internet service) and quantity and/or capacity (e.g., for 500 users). See the Eligible Services List at www.sl.universalservice.org for examples of eligible Internet Access services. Add additional pages if needed.

Service or Function	Quantity and/or Capacity

10 ☐ Internal Connections

Do you have a Request for Proposal (RFP) that specifies the services you are seeking?

a ☐ **YES,** I have an RFP. It is available on the Web at _____
or via (check one) ____ the Contact Person in Item 6 or ___ the contact listed in Item 11, below.

b ☐ **NO,** I do not have an RFP for these services.

If you answered NO, you must list below the Internal Connections services you seek. Specify each service or function (e.g., local area network) and ***quantity and/or capacity (e.g., connecting 10 rooms and 300 computers at 56kps or better).*** See the Eligible Services List at www.sl.universalservice.org for examples of eligible Internal Connections services. Add additional pages if needed.

Service or Function	Quantity and/or Capacity

Entity Number _____ **Applicant's Form Identifier** _____
Contact Person _____ **Phone Number** _____

11 *(Optional)* Please name the person on your staff or project who can provide additional technical details or answer specific questions from service providers about the services you are seeking. This need not be the contact person listed in Item 6 nor the signer of this form.

Name _____ Title _____

Telephone Number (10 digits + ext.) (___)___-____ ext _____

Fax Number (10 digits) (___)___-____

E-mail Address (50 characters max.) _____

12 ☐ Check here if there are any restrictions imposed by state or local laws or regulations on how or when providers may contact you or on other bidding procedures. Please describe below any such restrictions or procedures, and/or provide a Web address where they are posted and provide a contact name and telephone number for service providers without Internet access.

13 *(Optional)* Purchases in future years: If you have plans to purchase additional services in future years, or expect to seek new contracts for existing services, summarize below (including the likely time-frames).

Block 3: Technology Assessment

14 ☐ **Basic telephone service only:** If your application is for basic local and/or long distance telephone service (wireline or wireless) only, check this box and skip to Item 16.

15 Although the following services and facilities are ineligible for support, they are usually necessary to make effective use of the eligible services requested in this application. Unless you indicated in Item 14 that your application is ONLY for basic telephone service, you must check at least one box in (a) through (e). You may provide details for purchases being sought.

a Desktop software: Software required ☐ has been purchased; and/or ☐ is being sought.

b Electrical systems: ☐ adequate electrical capacity is in place or has already been arranged; and/or ☐ upgrading for electrical capacity is being sought.

c Computers: a sufficient quantity of computers ☐ has been purchased; and/or ☐ is being sought.

d Computer hardware maintenance: adequate arrangements ☐ have been made; and/or ☐ are being sought.

e Staff development: ☐ all staff have had an appropriate level of training/additional training has already been scheduled; and/or ☐ training is being sought.

f Additional details: Use this space to provide additional details to help providers to identify the services you desire.

Entity Number _____ Applicant's Form Identifier _____
Contact Person _____ Phone Number _____

Block 4: Recipients of Service

16 Eligible Entities That Will Receive Services:
Check the ONE choice that best describes this application and the eligible entities that will receive the services described in this application. You will then list in Item 17 the entity/entities that will pay the bills for these services.

a ○ **Individual school or single-site library.**

b ○ **Statewide application for (enter 2-letter state code)** [ ] **representing (check all that apply):**

- ☐ All public schools/districts in the state.
- ☐ All non-public schools in the state.
- ☐ All libraries in the state

Does your statewide application include INELIGIBLE entities? ☐ No ☐ Yes. If yes, complete Item 18.

c ○ **School district, library system, or consortium application to serve multiple eligible entities:**

Number of eligible entities	
For these eligible entities, please provide the following:	
Area Codes (list each unique area code)	**Prefixes associated with each area code (first 3 digits of phone number)**
Does your application include any INELIGIBLE entities?	☐ **No** ☐ **Yes. If yes, complete Item 18.**

17 Billed Entities
List the entity/entities that will be paying the bills directly to the provider for the services requested in this application. These are known as Billed Entities. At least one line of this item must be completed. Attach additional sheets if necessary.

Entity	Entity Number

18 Ineligible Participating Entities: Does your application also seek bids on services to entities that are not eligible for the Universal Service Program? If so, list those entities here (attach pages if needed):

Ineligible Participating Entity	Area Code and Prefix

Entity Number _____ Applicant's Form Identifier _____
Contact Person _____ Phone Number _____

Block 5: Certification and Signature

19 The applicant includes: (Check one or both.)

a ☐ schools under the statutory definitions of elementary and secondary schools found in the Elementary and Secondary Education Act of 1965, 20 U.S.C. Secs. 8801(14) and (25), that do not operate as for-profit businesses, and do not have endowments exceeding $50 million; and/or

b ☐ libraries or library consortia eligible for assistance from a State library administrative agency under the Library Services and Technology Act of 1996 that do not operate as for-profit businesses and whose budgets are completely separate from any school (including, but not limited to elementary and secondary schools, colleges, and universities).

20 All of the individual schools, libraries, and library consortia receiving services under this application are covered by:

a ☐ individual technology plans for using the services requested in the application; and/or
b ☐ higher-level technology plans for using the services requested in the application; or
c ☐ no technology plan needed; application requests basic local and/or long distance telephone service only.

21 Status of technology plans (if representing multiple entities with mixed technology plan status, check both a and b):

a ☐ technology plan(s) has/have been approved by a state or other authorized body.
b ☐ technology plan(s) will be approved by a state or other authorized body.
c ☐ no technology plan needed; application requests basic local and/or long distance telephone service only.

22 I certify that the services the applicant purchases at discounts provided by 47 U.S.C. Sec. 254 will be used solely for educational purposes and will not be sold, resold, or transferred in consideration for money or any other thing of value.

23 I recognize that support under this support mechanism is conditional upon the school(s) or library(ies) I represent securing access to all of the resources, including computers, training, software, maintenance, and electrical connections necessary to use the services purchased effectively.

24 I certify that I am authorized to submit this request on behalf of the above-named entities, that I have examined this request, and to the best of my knowledge, information, and belief, all statements of fact contained herein are true.

25 Signature	**26** Date
27 Printed name of authorized person	
28 Title or position of authorized person	
29 Telephone number of authorized person: (_ _ _) _ _ _ - _ _ _ _, ext. _ _ _ _	

Persons willfully making false statements on this form can be punished by fine or forfeiture, under the Communications Act, 47 U.S.C. Secs. 502, 503(b), or fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. Sec. 1001.

Service provider involvement with preparation or certification of a Form 470 can taint the competitive bidding process and result in the denial of funding requests. For more information, refer to the "Service Provider Role in Assisting Customers" at www.sl.universalservice.org/vendor/manual/chapter5.doc or call the Client Service Bureau at 1-888-203-8100.

Entity Number _____	**Applicant's Form Identifier** _____
Contact Person _____	**Phone Number** _____

NOTICE: Section 54.504 of the Federal Communications Commission's rules requires all schools and libraries ordering services that are eligible for and seeking universal service discounts to file this Description of Services Requested and Certification Form (FCC Form 470) with the Universal Service Administrator. 47 C.F.R. § 54.504. The collection of information stems from the Commission's authority under Section 254 of the Communications Act of 1934, as amended. 47 U.S.C. § 254. The data in the report will be used to ensure that schools and libraries comply with the competitive bidding requirement contained in 47 C.F.R. § 54.504. All schools and libraries planning to order services eligible for universal service discounts must file this form themselves or as part of a consortium.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

The FCC is authorized under the Communications Act of 1934, as amended, to collect the 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 a potential violation of a FCC statute, 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 of a proceeding before the body or has an interest in the proceeding.

If you owe a past due debt to the federal government, the information you provide may also be disclosed to the Department of the Treasury Financial Management Service, other Federal agencies and/or your employer to offset your salary, IRS tax refund or other payments to collect that debt. The FCC may also provide the information to these agencies through the matching of computer records when authorized.

If you do not provide the information we request on the form, the FCC may delay processing of your application or may return your application without action.

The foregoing Notice is required by the Paperwork Reduction Act of 1995, Pub. L. No. 104-13, 44 U.S.C. § 3501, et seq.

Public reporting burden for this collection of information is estimated to average 4 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, completing, and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the reporting burden to the Federal Communications Commission, Performance Evaluation and Records Management, Washington, DC 20554.

Please submit this form to:

SLD-Form 470
P.O. Box 7026
Lawrence, Kansas 66044-7026
1-888-203-8100

For express delivery services or U.S. Postal Service, Return Receipt Requested, mail this form to:

SLD-Form 470
c/o Ms. Smith
3833 Greenway Drive
Lawrence Kansas 66046
1-888-203-8100

FCC Form 470

Approval by OMB
3060-0806

Schools and Libraries Universal Service
Description of Services Requested and Certification Form

Estimated Average Burden Hours Per Response: 4 hours

Instructions for Completing the
Schools and Libraries Universal Service
Description of Services Requested and Certification Form (FCC Form 470)

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NOTICE

Section 54.504 of the Federal Communications Commission's rules requires all schools and libraries requesting universal service discounts to file—individually, or as a district or system, or as a consortium—this Description of Services Requested and Certification Form (FCC Form 470) with the Universal Service Administrator, which is the Schools and Libraries Division (SLD) of the Universal Service Administrative Company (USAC). 47 C.F.R. § 54.504. For purposes of this form, the universal service administrator will be referred to as the "SLD" or "Fund Administrator." The collection of information stems from the Commission's authority under Section 254 of the Communications Act of 1934, as amended, 47 U.S.C. § 254. The data collected in Form 470 will be used to ensure that schools and libraries and any consortia they comprise comply with the competitive bidding requirement contained in 47 C.F.R. § 54.504.

The FCC is authorized under the Communications Act of 1934, as amended, to collect the 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 any statute, 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 of a proceeding before the body or has an interest in the proceeding.

If you owe a past due debt to the Federal government, the information you provide may also be disclosed to the Department of the Treasury Financial Management Service, other Federal agencies and/or your employer to offset your salary, IRS tax refund or other payments to collect that debt. The FCC may also provide this information to these agencies through the matching of computer records when authorized.

If you do not provide the information requested on this form, the processing of your application may be delayed or your application may be returned to you without action.

The foregoing Notice is required by the Paperwork Reduction Act of 1995, Pub. L. No. 104-13, 44 U.S.C. § 3501, *et seq*. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Public reporting burden for this collection of information is estimated to average four hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, completing, and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the reporting burden, to the Federal Communications Commission, Performance Evaluation and Records Management Branch, Washington, DC 20554.

I. INTRODUCTION

- The purpose of the FCC Form 470 is to open a competitive bidding process for the services desired.
- An applicant cannot seek discounts for services in a category of service on the Form 471 if those services in those categories were not indicated on a Form 470.
- The Form 470 MUST be completed by the entity that will negotiate with potential service providers.
- The Form 470 cannot be completed by a service provider who will participate in the competitive process as a bidder. If a service provider is involved in preparing the Form 470 and that service provider appears on the associated Form 471, this will taint the competitive process and lead to denial of funding requests that rely on that Form 470.
- The Form 470 applicant is responsible for ensuring an open, fair competitive process and selecting the most cost-effective provider of the desired services.
- Applicants should save all competing bids for services to be able to demonstrate that the bid they chose is the most cost-effective, with price being the primary consideration.

On May 7, 1997, the Commission adopted rules providing discounts on eligible telecommunications services, Internet access, and internal connections, for eligible schools and libraries. To initiate the required competitive bidding process, begin by filing this form with the Schools and Libraries Division (SLD). The SLD will post this information on the SLD's web site for at least 28 days to fulfill the competitive bidding requirement. Contracts for newly contracted services or the selection of service providers for tariffed or month-to-month services cannot occur earlier than 28 days after the descriptions set forth in the relevant Form 470 posted on the SLD web site < www.sl.universalservice.org>. The SLD will notify the applicant of the date that the applicant's request is posted and the date on which the 28-day waiting period ends. Those with questions about this form may call the SLD's Client Service Bureau toll-free at 1-888-203-8100.

II. FILING REQUIREMENTS AND GENERAL INSTRUCTIONS

A. Who Must File

Schools and libraries requesting universal service discounts must seek competitive bids using Form 470. The entity that will negotiate with potential service providers should complete Form 470. The Form 470 cannot be completed by a service provider who will participate in the competitive process as a bidder.

For purposes of the universal service support mechanism, schools must meet the statutory definition of elementary and secondary schools found in the Elementary and Secondary Education Act of 1965, as amended, 20 U.S.C. § 8801(14) and (26). An elementary school is a non-profit institutional day or residential school, including a public elementary charter school, that provides elementary education, as determined under state law. 47 C.F.R. § 54.500(b) and 20 U.S.C. § 8801(14). A secondary school is a non-profit institutional day or residential school, including a public secondary charter school, that provides secondary education, as determined under state law, except that such term does not include any education beyond grade 12. 47 C.F.R. § 54.500(j) and 20 U.S.C. § 8801(26). Schools operating as for-profit businesses or who have endowments exceeding $50 million are not eligible. 47 C.F.R. § 54.501(b)(2) and (b)(3).

Libraries must meet the statutory definition of library or library consortium found in the Library Services and Technology Act, Pub. L. No. 104-208, sec. 211 *et seq.*, 110 Stat. 3009 (1996) (LSTA) and must be eligible for assistance from a state library administrative agency under that Act. A library includes: "(1) a public library; (2) a public elementary school or secondary school library; (3) an academic library; (4) a research library, which for the purposes of this definition means a library that: (i) makes publicly available library services and material suitable for scholarly research and not otherwise available to the public; and (ii) is not an integral part of an institution of higher education; and (5) a private library, but only if the state in which such private library is located determines that the library should be considered a library for purposes of this definition." 47 C.F.R. § 54.500(c). A library's eligibility for universal service funding also depends on its funding as an independent entity. **Only libraries whose budgets are completely separate from any schools (including, but not limited to, elementary and secondary schools, colleges and universities) shall be eligible to receive discounted services** under the universal

service support mechanism. 47 C.F.R. § 54.501(c)(2). For example, an elementary school library would only be eligible to receive discounted services if its budget were completely separate from the elementary school. If its budget were not completely separate from the elementary school, the elementary school library would not be eligible for support independent from the school with which it is associated.

A library consortium is "any local, statewide, regional, or interstate cooperative association of libraries that provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers, for improving services to the clientele of such libraries." 47 C.F.R. § 54.500(d).

Libraries operating as for-profit business shall not be eligible for discounts. 47 C.F.R. § 54.501(c)(3).

B. When, Where, and How Many Forms 470 to File

Beginning with the application process for Funding Year 2000 (July 1, 2000 through June 30, 2001), you are required to file Form 470 in the current application period only if you are applying for discounts for one of the following types of services:

- tariffed services (telecommunications services purchased at regulated rates) for which you do not have a signed, written contract (a Form 470 must be filed for these services each year);
- month-to-month Internet access, cellular services, or paging services for which you do not have a written contract but for which your standard monthly bills are proof of a binding, legal arrangement (a Form 470 must be filed for these services each year);
- any services for which you seek a new contract; or
- any multi-year contract signed on or before July 10, 1997, but for which you have not before filed a Form 470 in any previous program year.

Notice will be posted each year on the SLD web site <www.sl.universalservice.org> when we will begin accepting Forms 470 for posting. This notice will be posted at least 12 months before the start of the appropriate funding year. The precise timeframe for filing Form 470 depends on the kind of service you are seeking:

- For tariffed telecommunications services or month-to-month services, Form 470 must be filed at least 28 days before you file Form 471.
- For contract services for which you are seeking a new contract for the coming funding year, you may file Form 470 after the SLD posts the above notice whenever you wish to begin your procurement process, as long as it is at least 28 days before you file Form 471.
- For a contract signed on or before July 10, 1997, for which no Form 470 has ever been filed, you must file a Form 470 at least 28 days before you file Form 471.
- For multi-year contracts signed pursuant to the posting of a Form 470 in a previous funding year, you will not need to file a new Form 470 for the upcoming funding year. Your 28 days began with the date of your original Form 470 posting.

Services that are covered by a **qualified existing contract** for all or part of the funding year do not require filing of Form 470, since you are not seeking bids for these services. A qualified existing contract is:

- a signed, written contract executed pursuant to the posting of a Form 470 in a previous funding year, OR
- a contract signed on or before July 10, 1997 and reported on a Form 470 in a previous year as an existing contract.

If you are seeking support for eligible services not covered by a qualified, existing contract, you must file Form 470 **either electronically at the SLD web site, <www.sl.universalservice.org>, or at the address listed at the bottom of the form (SLD-Form 470, P.O. Box 7026, Lawrence, Kansas 66046-7026).** For express delivery or U.S. Postal Service Return Receipt Requested, send to: **SLD-Form 470, c/o Ms. Smith, 3833 Greenway Drive, Lawrence, Kansas 66046**, phone (888) 203-8100. DO NOT FILE THIS OR ANY OTHER UNIVERSAL SERVICE FORM WITH THE FEDERAL COMMUNICATIONS COMMISSION.

You may file one Form 470 for all of the services for which you are required to file Form 470, or you may file separate Forms 470 for each type of service. Also, an individual school or library may be covered by more than one Form 470 filed by different consortia for different services.

Once you file your Form 470, it is posted to the SLD web site for competitive bidding. Your form must be posted for at least 28 days on the SLD web site before you can sign a contract or enter into an agreement for services. After you sign a contract or enter into an agreement, you (or the billed entities you represent) can initiate the next step in the application process, the filing of FCC Form 471. Upon processing or posting of the Form 470, the SLD will notify you of the date upon which you may sign a contract or enter into an agreement for new services or file Form 471. 47 C.F.R. §54.504(b)(4). This date will be referred to as the "Allowable Vendor Selection/Contract Date."

C. Assistance in Completing This Form

There are several sources of assistance to guide you in completing this form. If you complete this form electronically on the SLD web site **<www.sl.universalservice.org>,** prompts may occur to assist you as you enter information. Whether you file electronically or on paper, you are also urged to consult the Reference Area of the SLD web site, **<www.sl.universalservice.org>,** for additional program guidance that may be useful in completing this form. . Further information is also available from the SLD Client Service Bureau via toll-free telephone at **1-888-203-8100;** via e-mail at **question@universalservice.org;** or via fax at **1-888-276-8736.**

D. Compliance

Schools and libraries filing false information are subject to penalties for false statements under Title 18 of the United States Code, 18 U.S.C. § 1001. Applicants should retain the worksheets and other records they use to compile these forms for five years. Thus, if applicants represent multiple entities, collect data from those entities, and add up that data, they should retain those data sheets for five years. If an applicant is audited, it should be prepared to make the worksheets and other records used to compile these forms available to the auditor and/or the Administrator, and it should be able to demonstrate to the auditor and/or Administrator how the entries in its application were provided.

III. MINIMUM PROCESSING STANDARDS AND FILING REQUIREMENT

Form 470 Minimum Processing Standards

When a Form 470 is received by the SLD, the form is first reviewed to make sure it complies with the following requirements before data entry begins. These minimum processing requirements are necessary in order to ensure the timely and efficient processing of properly completed applications. If a Form 470 fails to meet these requirements, the Form 470 will be rejected. The SLD may be prevented from returning the rejected Form 470 to the sender if the form lacks essential identifying information. If an applicant receives a returned Form 470, it is important that it resubmit the corrected form quickly. Once the corrected form is successfully data entered, the form will be posted to the SLD web site. The posting of the form to the SLD web site marks the beginning of the required 28-day waiting period.

Manual Filers

1. Correct Form: Each Form 470 must be:

- the correct, OMB-approved FCC Form 470, with a date of September 1999 or later in the lower right hand corner;
- submitted by regular mail, express delivery, or U.S. Postal Service Return Receipt Requested, or hand delivery. Forms may not be submitted by fax or e-mail. You are advised to keep proof of the date of mailing.

2. Applicant Address and Identifications: In Block 1, each of the following items must be properly completed:

- Item (1) or (3) Either the Name of the Applicant or the Entity Number;
- Item (2) Funding Year
- Item (6a) Contact Person Name

If any of these items is blank, and the information cannot be obtained from the page headers, the Form 470 will be rejected.

3. Complete Submission of Form 470: All 5 blocks of the Form 470 must be submitted. If any Block (1-5) is missing, the form will be rejected.

4. Valid Certification: Block 5, Item (25) Signature of authorized person must be completed. If Item (25) is left blank, the Form 470 will be rejected.

Online Filers:

When Blocks 1-4 of a Form 470 are submitted electronically, the applicant must also (1) submit the completed Block 5 certification online with a User ID and a PIN or (2) submit the completed and signed Block 5 certification manually by mail, express delivery or U.S. Postal Service Return Receipt Requested. If the Block 5 certification is submitted manually, you are advised to keep proof of the date of mailing. The Block 5 certification is reviewed to make sure it complies with the requirements listed in #4 above. Reviewers also look for the Form 470 Application Number before the Certification and Signature Page is accepted and the Form 470 reaches "certified" status. If the Block 5 certification document lacks the information necessary to match your manually submitted certification with the electronically filed Blocks 1-4 of the form, then your application will not meet the application filing requirements.

Filing Requirement for Forms 470 Submitted Manually and Online

It is vital to assure that a completed Form 470 Certification is filed in a timely fashion. A completed Form 470 Certification is a Block 5 certification submitted online using a User ID and a PIN or a Block 5 certification with the signature of the authorized person. Forms 470 with completed certifications submitted in a previous year meet this requirement, as do those filed for the current funding year either online by the close of the Form 471 application filing window or with a postmark date no later than the close of the Form 471 application filing window. Any Form 471 Block 5 funding request based on a Form 470 whose certification has not been received or postmarked by 11:59 p.m. EST on the close of the Form 471 application filing window will be rejected.

IV. SPECIFIC INSTRUCTIONS

You are encouraged to complete, submit, and certify this Form electronically at <www.sl.universalservice.org>. If you file manually, the Form 470 can be downloaded from the SLD web site. If you file paper copies of the application, please type or clearly print in the spaces provided and attach additional pages if necessary and when required. Instructions for completing each Block and Item of the Form 470 can also be downloaded from the SLD web site. No Forms 470 will be accepted if sent via e-mail or fax.

A. Top of Form

The data at the top of Form 470 will help both you and the SLD identify each particular Form 470 you file.

"Do Not Write In This Area"—The SLD uses this space to apply a barcode to your form upon receipt, so that we can properly track and archive your form.

Applicant's Form Identifier—If you are filing more than one Form 470, please use this space to assign a unique number or letter of your own devising to facilitate communication with us about THIS particular Form 470. This Applicant's Form Identifier can be very simple; for example, if you are filing three Forms 470, you might label them "A," "B," and "C." The Applicant's Form Identifier can also be descriptive, such as "School Internet." Choose identifiers that suit your own record-keeping needs.

Form 470 Application Number—The SLD will assign and insert your Form 470 Application Number. Leave this item blank.

Top of each page after page 1: If you are filing this application manually, to help alleviate problems caused if the pages of an application become separated, please provide the Entity Number (from Item 3, below), your Applicant's Form Identifier, and name and phone number of the contact person (from Item 6, below) at the top of each page of the application in the space provided. If you are filing electronically, this information will automatically appear at the top of each page.

B. Block 1: Applicant Address and Identifications

Block 1 of Form 470 asks you for your address and basic identifications. Throughout this form, "you" refers to "the applicant" – a school or library, or an entity filing on behalf of schools and libraries. The Form 470 cannot be completed by a service provider who will participate in the competitive process as a bidder.

Item (1) – Provide the name of the Applicant. You may be an individual school, a school district, a library (outlet/branch, system) or a consortium of those entities. You may also be a city, a state, or an entity created solely to participate in this universal service discount mechanism.

Item (2) – Funding years begin on July 1 and end on June 30 each year. For example, Funding Year 2003 runs from July 1, 2003 to June 30, 2004. Provide the funding year for which you are applying for funds by filling in the appropriate year in the blanks provided (e.g., July 1, 2003 through June 30, 2004).

Item (3) – Your Entity Number is a unique number assigned to your organization or institution by the SLD as a means of identifying you every time you file an application or otherwise communicate with us. If you have applied for universal service funds in previous years, or have

been identified in an application filed on your behalf, you have already been assigned an Entity Number. If you do not have a record of your Entity Number, or if you have never been assigned such a number, please call the SLD Client Service Bureau at 1-888-203-8100.

Item (4)(a)-(4)(d) – Provide your full mailing address, whether a street address, Post Office Box number, or route number. You are strongly encouraged to provide a street address rather than a Post Office Box if possible, as the Fund Administrator may need to contact you via overnight or express delivery. In addition, please provide your telephone number (with area code and extension), fax number (including area code), and e-mail address (if you have one).

Item (5) – Check the one box that best describes the type of application you are filing. If you are filing as a library (outlet/branch, system, or library consortium applying as a library), you should check the first box. If you are filing as an individual school, you should check the second box. If you are filing as a school district, you should check the third box. If you are filing as a consortium, you should check the fourth box. (You may be a consortium of schools, libraries, or some combination of the above which may or may not include ineligible entities.)

Item (6)(a) – Provide the name of the person who should be contacted with questions about this application. This person should be able to answer questions regarding the information included on this form and the services you request, including how to obtain a copy of your request for proposal (RFP), if you have prepared one.

Item (6)(b)-(6)(e) – If the contact person's address, phone number, fax number, or e-mail address is different from those specified for the applicant (completed in Item (4)), please provide that information here. You MUST then check the preferred mode of contact. Wherever possible, the SLD will use this mode to contact you.

C. Block 2: Summary Description of Needs or Services Requested

Block 2 of Form 470 asks you to describe the services you desire.

Item (7) – Specify here the kind(s) of services requested in this Form 470. You may check one or more of these choices, depending on the range of services you will be including on one Form 470.

Item (7)(a) – Check this box if this Form 470 requests services which are tariffed (telecommunications services for which you do not have a signed, written contract). These services require posting of a Form 470 for each funding year.

Item (7)(b) – Check this box if this Form 470 requests Internet access, cellular service, or paging services provided on a month-to-month basis without a written contract. These services require posting of a Form 470 for each funding year.

Item (7)(c) – Check this box if this Form 470 seeks new services for which you wish to sign a new contract. You may file a Form 470 for a new contract after notice is posted on the SLD web site that the SLD will begin accepting Forms 470 for the appropriate funding year for posting.

Item (7)(d) – Check this box if this Form 470 describes services provided under a multi-year contract that was signed on or before July 10, 1997 but that was never featured on a Form 470 in previous program years. For example, if you are applying for the E-rate for the very first time for Funding Year 2003 (07/01/2003–06/30/2004), and some or all of your services are provided under a written 10-year contract which was signed on July 1, 1997, you will need to file a Form 470 for this contract. In future years, for as long as that contract remains in force, you will not need to file a Form 470 for those services. There is no required timeframe for filing a Form 470 for this purpose, but your form must be posted for at least 28 days on the SLD web site before you can file a Form 471 online.

Items (8)-(10) – One or more of Items (8)-(10) must be completed to provide potential bidders with particular information about the services you are seeking. For more information on eligible services, please refer to the Eligible Services List on the SLD web site <www.sl.universalservice.org> or call the SLD Client Service Bureau toll-free at 1-888-203-8100. Once you check the relevant category of service box(es) in Items (8), (9), and/or (10), you must check either box (a) or (b) under the selected item and complete the item. You cannot seek discounts on services in a category of service on the Form 471 if you have not competitively bid those services in the same category of service on the Form 470.

The specific data requested in Items (8)-(10) are sought to provide potential service providers with information so that they may contact you if necessary for detailed information on your specific requirements. **This requirement is not intended to restrict your ability to contract for newly contracted services or enter into agreements for tariffed or month-to-month services for whatever technologies best meet your educational purposes as authorized by FCC rules and the Telecommunications Act of 1996.** It is important that you complete all categories that are relevant to your requested services, so that the Fund Administrator can confirm that you have met the competitive bidding requirement before signing any contracts for newly contracted services or entering into agreements for tariffed or month-to-month services for which discounts are requested in FCC Form 471.

Item (8) – Check this box if you are seeking telecommunications services to be provided by one or more telecommunications services providers. **Important note: Only telecommunications services requested from telecommunications companies who provide their telecommunications services on a common carriage basis (meaning they provide their services for a fee to the general public) will be eligible for discount(s) under the universal service support mechanism. If you request telecommunications services from a telecommunications provider that does not provide telecommunications services on a common carriage basis, your Form 471 Funding Request for such services will be denied.** Telecommunications is "the transmission, between or among points specified by the user, of information of the user's choosing, without change in the form or content of the information as sent and received." 47 U.S.C. § 153(43) and 47 C.F.R. § 54.5. All commercially available

telecommunications services, including charges such as state and federal taxes, are eligible for support under the universal service discount mechanism. For example, local and long distance telephone services are generally considered telecommunications services. As another example, high-speed transmission lines over the public switched telecommunications network leased from an eligible telecommunications provider would be listed here as a telecommunications service. See the Eligible Services List on the SLD web site <www.sl.universalservice.org> for more information.

Item (8)(a) – Check this box if you have a Request for Proposal (RFP) that will provide potential bidders with specific information about the particular telecommunications services or functions you are seeking, and what quantity and/or capacity you seek. For example, you might have an RFP for voice services that specifies "local and long distance voice services sought for 20 existing phone lines, plus 10 new additional lines." If you check (8)(a), you must indicate where this RFP is available, such as on your web site (list the web address); via the Contact Person listed in Item (6); and/or via the alternative contact person listed in Item (11). If the RFP is not posted on a web site, your designated contact person must be able to provide it to service providers on request as of the date that your Form 470 is posted.

Item (8)(b) – Check this box if you do NOT have a Request for Proposal (RFP) for the telecommunications services you seek. If you check (8)(b), you must fill in details in the space provided about the specific telecommunications services or functions and quantity and/or capacity of service. For example, you might list "videoconferencing services" under Service or Function, and "for three school buildings" under Quantity and/or Capacity.

Item (9) – Check this box if you are seeking Internet access services. Basic conduit non-content access to the Internet is eligible for support under the universal service discount program. See the Eligible Services List on the SLD web site <www.sl.universalservice.org> for more information.

Please note that while schools and libraries may obtain universal service discounts on access to the Internet, discounts are not available on the separate charges for particular proprietary content or other information services or on a bundled package of access and content, unless the bundled package includes minimal content and provides a more cost-effective means of securing access to the Internet than other non-content alternatives.

Item (9)(a) – Check this box if you have a Request for Proposal (RFP) that will provide potential bidders with specific information about the particular Internet access services or functions you are seeking, and what quantity and/or capacity you seek. For example, you might have an RFP for Internet access that specifies "high-speed direct access to the Internet sought for 10 public Internet stations in one library facility." If you check (9)(a), you must indicate where this RFP is available, such as on your web site (list the web address); via the contact person listed in Item (6); and/or via the alternative contact person listed in Item (11). If the RFP is not posted on a web site, your designated contact person must be able to provide it to service providers on request as of the date that your Form 470 is posted.

Item (9)(b) – Check this box if you do NOT have a Request for Proposal (RFP) for the Internet access services you seek. If you check (9)(b), you must fill in details in the space provided about the specific Internet access services or functions and quantity and/or capacity of service. For example, you might list "monthly Internet service" under Service or Function, and "for 500 student users" under Quantity and/or Capacity.

Item (10) – Check this box if you are seeking internal connections services. A given service is generally eligible for support under the universal service discount mechanism as a component of internal connections if it "is necessary to transport information within one or more instructional buildings of a single school campus or within one or more non-administrative buildings that comprise a single library branch." 47 C.F.R. § 54.506. See the Eligible Services List on the SLD web site <www.sl.universalservice.org> for more information.

Item (10)(a) – Check this box if you have a Request for Proposal (RFP) that will provide potential bidders with specific information about the particular internal connections services or functions you are seeking, and what quantity and/or capacity you seek. For example, you might have an RFP for internal connections that specifies "local area network to connect 30 classrooms." If you check (10)(a), you must indicate where the RFP is available, such as on your web site (list the web address); via the contact person listed in Item (6); and/or via the alternative contact person listed in Item (11). If the RFP is not posted on a web site, your designated contact person must be able to provide it to service providers on request as of the date that your Form 470 is posted.

Item (10)(b) – Check this box if you do NOT have a Request for Proposal (RFP) for the internal connections services you seek. If you check (10)(b), you must fill in details in the space provided about the specific internal connections services or functions and quantity and/or capacity of service. For example, you might list "Private Branch Exchange equipment" under Service or Function, and "for each of 10 outlets in library system" under Quantity and/or Capacity.

Item (11) – (Optional) Provide the name and contact information of the person on your staff or project who can provide additional technical details or answer specific questions from service providers about the services you are seeking. This need not be the contact person listed in Item (6) nor the authorized person identified in Item (27).

Item (12) – Indicate whether you are subject to any state or local restrictions regarding how and when you may be contacted by potential providers and what bidding procedures they must follow. For example, state bidding requirements might prohibit contacts between bidders and buyers between the time an official RFP is issued and when bids are due, or they may allow only written contacts. Applicants must also comply with any applicable state or local requirements when participating in the competitive bidding process used in the universal service discount mechanism. If you are subject to any state or local restrictions, you must check the box in Item (12) and provide a description of the restrictions or procedures. Alternatively, you may list a web site address where state or local restrictions can be found and the name and telephone number for a contact person who can provide the state or local restrictions and the applicable bidding procedures to service providers without Internet access.

Item (13) – You may provide information on your plans to purchase additional services in future years if you wish to encourage service providers to contact you even when you may not represent a financially attractive customer in the near term, but you may represent a financially attractive customer over a longer period of time. Providing this information is optional.

D. Block 3: Technology Assessment

Block 3 of Form 470 asks you to provide an assessment of the resources that you will need to use the services you request by checking off the appropriate boxes, unless you are seeking support for basic local and/or long distance telephone service (wireline or wireless) only.

Item (14) – Check this item if you are seeking support for basic local and/or long distance telephone service (wireline or wireless) only. If you check Item (14), you should skip Item (15) and go to Item (16).

Items (15)(a)-(15)(e) – All of the services and facilities listed in Items (15)(a)-(15)(e) are ineligible for support under the universal service discount mechanism. Each of the services and facilities listed, however, is necessary to make effective use of the telecommunications services, Internet access, and internal connections that are eligible for discounts. You do not need to certify that you have already secured all of the resources needed to use your discounted services effectively until you file FCC Form 471, but Items (15)(a)-(15)(e) require you to assess the technologies that you have or will need. You must check off at least one box for each of the Items (15)(a)-(15)(e). You may check off both boxes in each case if both apply. When you file Form 471, which is required to receive discounts, you will need to certify that you have secured or budgeted to secure adequate amounts of those resources to utilize effectively the services requested.

If you are seeking to purchase any of the ineligible services or facilities indicated in Items (15)(a)-(15)(e), you may also provide additional details in Item (15)(f) if you wish to have providers of these desired technologies or services contact you with bids. **If you are purchasing such ineligible services and facilities, however, you should try to do so through contracts separate and apart from those used to purchase services eligible for universal service discounts, to avoid confusion when completing and submitting your Form 471 application for services ordered.**

Item (15)(a) – Indicate whether you have secured or are in the process of securing access to the necessary software for the desktop computers that will use eligible services. For example, computers that will be connected to the Internet will probably need Web browsers. You should note that, although the software for the computers used in classrooms and other endpoints is not eligible for support, the software necessary to operate the networks used to transport information to the classroom is an eligible service.

Item (15)(b) – Confirm that you have or are in the process of securing access to sufficient electrical capacity to handle the computers and other telecommunications-related facilities you will be using to access the discounted services.

Item (15)(c) – Confirm that you have purchased or are arranging to purchase sufficient numbers of computers to use the discounted services effectively. Applicants should note that, as with computer software, while the computers used in classrooms are not eligible for discounts, those used as network file servers would, generally, be eligible for support.

Item (15)(d) – Confirm that you have secured or are in the process of securing appropriate maintenance for your computer hardware that will use eligible services.

Item (15)(e) – Confirm that you have arranged for or are arranging to secure the staff development necessary to use the discounted services effectively.

Item (15)(f) – Use this space to provide additional details to help providers identify the services you desire. Providing this information is optional.

E. Block 4: Recipients of Service

Block 4 requires you to provide information about the entities that will receive the services described in Block 2. This information is required to help service providers understand the scope and location(s) of the services you seek, so that they may respond efficiently and effectively.

Item (16) – Check the one choice – (a), (b), or (c) – that most accurately describes your application and the eligible entities that will receive the services you are seeking in this Form 470, then provide additional information only for the choice you have selected. An entity is an eligible entity if it meets the eligibility criteria for obtaining discounts described in Section II.A. above.

Item (16)(a) – Check this Item if you are an individual school or a single-site library located at the address in Item (1). Checking this box will confirm for potential bidders that all the services you seek will be delivered to this address.

Item (16)(b) –Check this Item if yours is a statewide application representing ALL entities of a particular type in your state. If you check Item (16)(b), you must also check one or more of the three choices provided in this item: all public schools/districts in the state, all non-public schools in the state, and/or all libraries in the state. This will indicate to potential service providers the complete breadth of your service needs. Please note that if your application represents SOME but not ALL of any of these three types of entities, you should NOT check Item (16)(b), but must check and complete Item (16)(c) instead. Indicate by checking "yes" or "no" whether your application includes requests for services for any ineligible entities.

Item (16)(c) – Check this Item if you are a school district, library system, or consortium serving multiple entities. If you check Item (16)(c), you must specify the number of eligible entities that your application represents. You must then list each unique area code represented in the telephone numbers of the entities you represent, plus the three-digit prefixes (the first three digits of the phone number) associated with each area code among the entities you represent. For example, if your school district is in a state which has one statewide area code, you would list that area code once. You would then list each unique three-digit prefix represented among the telephone numbers of the schools and administrative buildings in your district which will receive the service(s) requested in this Form 470. This information helps service providers pinpoint the location of each facility that will be receiving service. Indicate by checking "yes" or "no" whether your application includes requests for services for any ineligible entities.

Item (17) – List here the entity or entities that will be paying bills directly to the service provider for the services requested in this application. Such entities are known as "billed entities," and are the entities who file Form 471. List these billed entities, whether or not they themselves are eligible for universal service discounts, and provide their Entity Numbers. For example, if you are a consortium of school districts joining together to aggregate demand and thus secure a better price on telecommunications services that each district will then contract for and pay for individually, you will list your member districts and their Entity Numbers in Item (17). As another example, if you are a library whose bills are paid by the municipal government, you should list the municipal government office and its Entity Number. List each entity's name in the left column, and its Entity Number in the right column. If, however, your application is statewide as indicated in Item (16)(b), then enter only one billed entity from your state. If you need help identifying Entity Numbers for each of these "billed entities," call the SLD Client Service Bureau at 1-888-203-8100.

Item (18) – List the names of any entities for whom services are requested that are not eligible to receive universal service discounts under the schools and libraries universal service support mechanism. Only eligible schools and libraries may receive discounted services, so if this application includes services for entities such as health care providers, governmental entities, or private sector entities, you must list these entities in Item (18). Skip this item if your application requests services only for eligible entities. For each ineligible entity, provide the area code and three-digit prefix to help service providers pinpoint the entity's location. If your application is statewide, as indicated in Item (16)(b), only one area code and prefix for each named ineligible entity is required.

F. Block 5: Certifications and Signature

Block 5 requires you to certify certain information to ensure that only eligible entities receive support under the universal service discount mechanism.

Item (19) – Certify that the entities in Item (16) are eligible schools and/or libraries.

Item (19)(a) – If your application includes schools and all of the information in Item (19)(a) is true of those schools seeking to receive discounted services, you should check the box in Item (19)(a). If your application includes schools and any of the information in Item (19)(a) is not true for certain schools seeking to receive discounted services, those ineligible schools are not eligible to receive support under the universal service discount mechanism, and they must be identified in Item 18.

Item (19)(b) – If your application includes libraries or library consortia and all of the information in Item (19)(b) is true of the libraries seeking to receive discounted services, you should check the box in Item (19)(b). If your application includes libraries or library consortia and any of the information is not true for certain libraries or library consortia seeking to receive discounted services, those ineligible libraries or library consortia are not eligible to receive support under the universal service discount mechanism, and they must be identified in Item 18.

Items (20) and (21) concern the technology plans that must be prepared before schools and libraries may receive discounted services under the universal service support mechanism. The only schools and libraries that do not have to comply with the technology plan requirement are those requesting support for basic local and/or long distance telephone service (wireline or wireless) only. Note also that consortia and some other billed entities do not have to be covered by technology plans as long as all of the schools and libraries that they represent are covered by technology plans.

Item (20) – Check the box that best describes the level of technology plan(s) that covers the schools, libraries, and library consortia represented by your application.

- **Item (20)(a)** – Check here if the entities are covered by individual technology plans for the services requested in your application.
- **Item (20)(b)** – Check here if the entities are covered by a higher-level, multi-entity technology plan, such as a school district or library system plan. Statewide technology plans are not acceptable.
- **Item (20)(c)** – Check here if your application is for basic local and/or long distance telephone service (wireline or wireless) only, in which case no technology plan is required.

Item (21) – Check the box that best describes the status of the technology plan(s):

- **Item (21)(a)** – Check here if your plans have been approved. NOTE: Technology plans that have been approved for other purposes, e.g., for participation in Federal or state programs such as the "Enhancing Education through Technology" program, will be accepted without need for further independent approval.
- **Item (21)(b)** – Check here if you are currently seeking approval of your technology plan(s). Please note that the SLD does not review technology plans itself, but does certify authorized reviewers of technology plans. If you need assistance identifying a certified approver for your technology plan, please call the SLD Client Service Bureau at 1-888-203-8100.
- **Item (21)(c)** – Check here if your application is for basic local and/or long distance telephone service (wireline or wireless) only, in which case no technology plan is required.

Item (22) – Certify that services you order pursuant to the universal service discount mechanism will be used solely for educational purposes and that those services will not be sold, resold, or transferred in consideration for money or any other thing of value.

Item (23) – Certify that you recognize that any support received under this support mechanism is conditional upon the ability of your school(s) or library(ies) to secure access to all of the resources, including computers, training, software, maintenance, and electrical connections, necessary to use effectively the services that will be purchased under this mechanism. On FCC Form 471, you will need to certify that you have access to such funding.

Item (24) – Certify that you are the person authorized to submit and certify to the accuracy of this form.

Item (25) requires the signature of the authorized person.

Item (26) requires that the date of the signature of the Form 470 be provided.

Item (27) – Print the name of the authorized person whose signature is provided in Item 25.

Item (28) – Provide the title or position of the authorized person whose signature is provided in Item (25).

Item (29) – Provide the telephone number, including area code, of the authorized person whose signature is provided in Item (25).

For Applicants Filing this Form Electronically:

- When you have completed the electronic filing of Blocks 1-4, please print your application to retain a copy for your records.
- You must also submit the Block 5 certification.
  - If you have a User ID and PIN and wish to electronically submit your Block 5 certification, follow the directions online. When you submit your certification online, you will receive a confirmation so that you can be assured that your submission has met any filing deadlines. If you file online and use electronic certification, do not mail any part of your Form 470 to the SLD. Check the SLD web site for information about obtaining a User ID and a PIN.
  - If you wish to submit the completed and signed Block 5 certification manually, print Block 5 using your browser. When you print Block 5 using the browser, the form will automatically include your Form 470 Application Number, Applicant Name, and Applicant Address. Item (25) requires the signature of the authorized person who will certify to the accuracy of the information on the form. Also, you must complete Items (19)-(24). Mail the signed Block 5 to: **SLD-Form 470, P. O. Box 7026, Lawrence,**

Kansas 66044-7026. For express delivery services or U.S. Postal Service Return Receipt Requested, send to **SLD-Form 470, c/o Ms. Smith, 3833 Greenway Drive, Lawrence, Kansas 66046**. Note: Do not mail the complete Form 470. Mail only the signed Block 5 certification page. If the Block 5 certification is submitted manually, you are advised to keep proof of the date of mailing.

For Applicants Filing this Form Manually:

After the authorized person signs Item (25), check to be certain that all other items—including Items (26)-(29)—are properly completed. Make a copy of your entire form to keep for your records. Then submit your original form by mail to: **SLD-Form 470, P.O. Box 7026, Lawrence, Kansas 66044-7026.** For express delivery or U.S. Postal Service Return Receipt, send to: **SLD-Form 470, c/o Ms. Smith, 3833 Greenway Drive, Lawrence, Kansas 66046**, phone 1-888-203-8100. **No Forms 470 will be accepted via e-mail or fax.**

V. REMINDERS

- All schools and libraries seeking universal service support for ANY service not covered by a qualified existing contract (i.e., a contract executed pursuant to Form 470 posting in prior program years OR a contract signed on or before July 10, 1997 and identified as pre-existing in a Form 470 filed in prior years) must file Form 470 individually or be included in a consortium that files Form 470. Services that must be represented in an individual or consortium Form 470 in order to qualify for universal service support include: eligible tariffed telecommunications services; month-to-month services provided without a signed, written contract; new services for which a contract is sought; or services provided under a multi-year contract signed on or before July 10, 1997, but not previously identified as an existing contract in a Form 470 filed in a prior program year.
- A Form 470 is NOT required for services covered by a qualified existing contract (i.e., a contract executed pursuant to Form 470 posting in a prior program year OR a contract signed on or before July 10, 1997 and identified as pre-existing in a Form 470 filed in prior years).
- Fill out all applicable items completely. Attach additional pages if necessary. Any attachments to Form 470 should be clearly labeled with your Entity Number, Applicant's Form Identifier, Contact Person Name, and Phone Number.
- If you have a Request for Proposal (RFP) for the services requested in this Form 470—and therefore have checked (a) under Items (8), (9), and/or (10)—your RFP must be available to service providers via a web site or your designated contact person in Item (6) or the contact listed in Item (11) as of the date that this Form 470 is posted on the SLD web site.
- The individual authorized to order telecommunications and other supported services for the school, school district, library, or consortium must sign and date Form 470.
- If you are filing Form 470 electronically, you must also complete and submit the Block 5 certification (whether electronic or paper).

FCC Form 471

Do not write in this area.

Approval by OMB
3060-0806

Schools and Libraries Universal Service Services Ordered and Certification Form 471

Estimated Average Burden Hours Per Response: 4 hours

This form asks schools and libraries to list the eligible telecommunications-related services they have ordered and estimate the annual charges for them so that the Fund Administrator can set aside sufficient support to reimburse providers for services.

Please read instructions before beginning this application. (You can also file online at www.sl.universalservice.org.)

The instructions include information on the deadlines for filing this application.

Applicant's Form Identifier:
(Create your own code to identify THIS Form 471)

Form 471 Application # _____
(To be inserted by Fund Administrator)

Block 1: Billed Entity Information (The "Billed Entity" is the entity paying the bills for the services listed on this form.)

1 Name of Billed Entity

2 Funding Year: July 1, through June 30,

3 Entity Number

4 a Street Address, P.O. Box, or Route Number

City

State

Zip Code

b Telephone Number

Ext

c Fax Number

d E-mail Address

5 Type of Application

School (public or non-public school)

School District (LEA; public or non-public (e.g., diocesan) local district representing multiple schools)

Library (library (i.e. outlet/branch, system))

Consortium Check here if any members of this consortium are ineligible non-governmental entities.

6 a Contact Person's Name

*First, fill in **every** item of the Contact Person's information below **that is different from Item 4, above.** **Then** check the box next to the preferred mode of contact. (At least one box **MUST** be checked.)*

b Street Address, P.O. Box, or Route Number

City

State

Zip Code

c Telephone Number

Ext

d Fax

e E-mail Address

f Holiday/vacation/summer contact information:

0 4 7 1 0 1 0 1 0 2

Entity Number _____ **Applicant's Form Identifier** _____

Contact Person _____ **Phone Number** _____

Block 2: Minor Modification to Existing Contract?

7 Check if this Form 471 represents a minor modification, such as a modification of services, to a Form 471 for which you already have a Receipt Acknowledgment Letter. Provide the data requested below, attach a Description of Services highlighting the modified service, and sign Block 6.

Form 471 Application #: _____ Funding Request Number _____

Minor modification requests can be filed MANUALLY only. Please see www.sl.universalservice.org for filing instructions.

Block 3: Impact of Services Ordered in THIS Application

8 **Please provide your best estimate of the number of people who will be served by all of the services ordered in THIS Form 471. Schools/school districts complete 8a. Libraries complete 8b. Consortia complete 8a and/or 8b.**

a Number of students to be served _____

b Number of library patrons to be served _____

9 **The following questions seek summary outcome information based on the services ordered in this Form 471 application. Please complete only those rows that are relevant to THIS application.**

	IF THIS APPLICATION INCLUDES...	BEFORE ORDER	AFTER ORDER
a	*(Schools/districts/consortia only)* Telephone service: How many classrooms had phone service before and after your order?		
b	High-bandwidth voice/data/video service: How many buildings served before and after your order?		
c	High-bandwidth voice/data/video service: Highest speed to a building before and after your order?		
d	Dial-up Internet connections: How many before and after your order?		
e	Dial-up Internet connections: Highest speed before and after your order?		
f	Direct connections to the Internet: How many before and after your order?		
g	Direct connections to the Internet: Highest speed before and after your order?		
h	Internet access (for schools): How many rooms have Internet access before and after your order?		
i	Internet access (for libraries): How many buildings have Internet access before and after your order?		
j	Internet access: How many computers (or other devices) with Internet access before and after your order?		
k	Other technology outcomes: (please specify):		

Block 4: Discount Calculation Worksheets *(pages 3a, 3b, and 3c)*

The following 3 pages (3a, 3b, and 3c) are Block 4 worksheets for use in calculating your discount for services. You will complete one or more depending on the type of application you are filing. Each worksheet has instructions.

- If you are filing as a school or a school district, use Worksheet A (page 3a).
- If you are filing as a library (i.e. outlet/branch, system), use Worksheet B (page 3b).
- If you are filing as a consortium, use Worksheet C (page 3c), and include as many Worksheets A and B as you need for back-up documentation.

Entity Number _____ Applicant's Form Identifier _____
Contact Person _____ Phone Number _____

Block 4: Discount Calculation Worksheet A for Schools/School Districts

Worksheet #A-_____

Page _____ of _____

(For Administrator's Use)

Instructions: If you are filing a School/School District application, use this worksheet to calculate the discount rate for site-specific services and/or to determine the weighted average discount calculations for shared services.

10a If you are:

- **Applying for discounts ONLY for an individual school, or ONLY site-specific services:** Complete columns 1-7 only for each school. Add and number pages as needed. Then use each school's Entity Number and its discount from Column 7 to complete Block 5 site-specific service to that school.
- **Applying for discounts on services shared by ALL schools in the district (with or without site-specific services as well):** Complete all columns 1-8 for all schools in the district. Then use the Weighted Average Discount in **10c** (below) to complete Block 5 for shared services.
- **Applying for discounts on different shared services shared by different groups of schools (with or without site-specific services as well):** Complete one worksheet, columns 1-8 PLUS 10c, for EACH different group of schools sharing a service. Designate this worksheet A-1, A-2, A-3, etc.

10b List entities and calculate discount(s).

School District Name: _____ School District Entity Number: _____

1	2	3	4	5	6	7	8
Name of Eligible School	Entity Number	Urban or Rural U or R	Total # of Students	# of Students Eligible for NSLP	% Students Eligible for NSLP (Col. 5 ÷ Col. 4)	Discount % from Discount Matrix	Weighted Product for Calculating Shared Discount (Col. 4 x Col. 7)
Totals for calculating Weighted Average Discount							

10c Weighted Average Discount % for Shared Services (Col. 8 total divided by Col. 4 total. Round to nearest %) →

Entity Number _____ Applicant's Form Identifier _____
Contact Person _____ Phone Number _____

Block 4: Discount Calculation Worksheet B For Libraries

Worksheet #B-_____
Page _____ of _____

(For Administrator's Use)

Instructions: If you are filing a library application, use this worksheet to calculate the discount rate(s) for outlets/branches and systems.

10a If you are:

- **Applying for discounts ONLY for one outlet/branch or ONLY for site-specific services:**
  Complete columns 1-4 only for each outlet/branch. Add and number pages as needed.
- **Applying for discounts on services shared by ALL outlets/branches in the library system (with or without site-specific services as well):**
  Complete columns 1-4 PLUS 10c below.
- **Applying for discounts on different shared services that are shared by different groups of outlets/branches:**
  Complete one worksheet, columns 1-4 PLUS 10c, for EACH different group of outlets/branches sharing a service. Designate this worksheet B-1, B-2, B-3, etc.

10b List entities and calculate discount(s).

Library System Name: _____ Library System Entity Number: _____

1	2	3	4
Name of Eligible Library (outlet/branch)	**Entity Number**	**Name of School District** in which outlet/branch in Column 1 is located	**Discount %** from Discount Matrix
Totals for calculating Shared Discount			

10c Shared Discount % (Col. 4 total divided by # of outlets/branches in Col. 1. Round to nearest %) →

Entity Number _____ Applicant's Form Identifier _____
Contact Person _____ Phone Number _____

Block 4: Discount Calculation Worksheet C for Consortia

Worksheet #C-_____
Page _____ of _____

(For Administrator's Use)

Instructions: If you are filing a Consortium application, use this worksheet to calculate the consortium discount rate based on eligible members' discounts. Provide Worksheets A and/or B for back-up documentation.

10a If you are:

- **Applying for discounts ONLY on site-specific services:**
  Complete columns 1-3 only. Add and number pages as needed.
- **Applying for discounts on services shared by ALL members (with or without site-specific services as well):**
  Complete columns 1-3 PLUS 10c, below.
- Applying for discounts on different shared services shared by different groups of consortium members:
  Complete one worksheet, columns 1-3 PLUS 10c, for EACH different group of entities sharing a service. Designate this worksheet C-1, C-2, C-3, etc.

10b List entities and calculate discount(s).

1	2	3
ELIGIBLE MEMBER ENTITIES Name of each school, school district and/or library (i.e. outlet/branch, system) in consortium	**ENTITY NUMBER** For each entity listed in Column 1	**ENTITY DISCOUNT** **School:** Discount from Worksheet A, Column 7 **School District:** Weighted Average Discount from Worksheet A, Item 10c **Library (outlet/branch):** Discount from Worksheet B, Column 4 **Library System:** Discount from Worksheet B, Item 10c
Totals for calculating Shared Discount		

10c Shared Discount %
(Col. 3 total divided by # of entities in Col. 1. Round to nearest %)

Entity Number _____ **Applicant's Form Identifier** _____

Contact Person _____ **Phone Number** _____

Block 5: Discount Funding Request(s)

Instructions: Use one Block 5 page for **EACH** service (Funding Request Number) for which you are requesting discounts. Make as many copies of this page as necessary, and number the completed pages to assure that they are all processed correctly.

Block 5, page of

FRN # _____ (to be assigned by administrator)

11 Category of Service (only ONE category should be checked)

Telecommunications Service | Internet Access | Internal Connections

12 Form 470 Application Number (15 digits)

13 SPIN - Service Provider Identification Number (9 digits)

14 Service Provider Name

15 Contract Number (if available; use "T" if tariffed services, "MTM" if month-to-month services as described in Instructions)

16 Billing Account Number (e.g., billed telephone number)

17 Allowable Vendor Selection/Contract Date (mm/dd/yyyy) (based on Form 470 filing)

18 Contract Award Date (mm/dd/yyyy)

19a Service Start Date (mm/dd/yyyy)

19b Service End Date (mm/dd/yyyy) (use only for "T" or "MTM" services)

20 Contract Expiration Date (mm/dd/yyyy)

23 Calculations

Recurring Charges

A. Monthly $ charges (total amount per month for service)

B. How much of the $ amount in (A) is ineligible?

C. Eligible monthly pre-discount amount (A minus B)

D. # of months service provided in program year

E. Annual pre-discount $ amount for eligible recurring charges (C x D)

Non-Recurring Charges

F. Annual non-recurring (one-time) $ charges

G. How much of the $ amount in (F) is ineligible?

H. Annual eligible pre-discount $ amount for one-time charges (F minus G)

Total Charges

I. Total program year pre-discount $ amount (E + H)

J. % discount (from Block 4 Worksheet)

K. Funding Commitment $ Request (I x J)

21 Description of This Service: **Attachment #**

You MUST attach a description of the service, including a breakdown of components and costs, plus any relevant brand names. Label this description with an Attachment #, and note number in space provided.

22 Entity/Entities Receiving This Service:

a. If the service is site-specific (provided to one site and not shared by others), list the Entity Number of the entity from Block 4 receiving this service :

b. If the service is shared by all entities on a Block 4 worksheet, list the worksheet number (e.g., A-1):

Do not write in this area

Entity Number _____ **Applicant's Form Identifier** _____

Contact Person _____ **Phone Number** _____

Block 6: Certifications and Signature

24 The entities listed in Block 4 of this application are eligible for support because they are: (Check one or both.)

- **a** schools under the statutory definitions of elementary and secondary schools found in the **No Child Left Behind Act of 2001, 20 U.S.C. Secs. 7801(18) and (38)**, that do not operate as for-profit businesses and do not have endowments exceeding $50 million; and/or
- **b** libraries or library consortia eligible for assistance from a State library administrative agency under the Library Services and Technology Act of 1996 that do not operate as for-profit businesses and whose budgets are completely separate from any schools, including, but not limited to, elementary and secondary schools, colleges, or universities.

25 The eligible schools and libraries listed in Block 4 of this application have secured access to all of the resources, including computers, training, software, maintenance, and electrical connections necessary to make effective use of the services purchased as well as to pay the discounted charges for eligible services.

26 All of the schools and libraries or library consortia listed in Block 4 of this application are covered by:

- **a** an individual technology plan for using the services requested in this application; and/or
- **b** higher-level technology plan(s) for using the services requested in this application; or
- **c** no technology plan needed; applying for basic local and long distance telephone service only.

27 Status of technology plans (if representing multiple entities with mixed technology plan status, check both a and b):

- **a** technology plan(s) has/have been approved; and/or
- **b** technology plan(s) will be approved by a state or other authorized body; or
- **c** no technology plan needed; applying for basic local and long distance telephone service only.

28 I certify that the entities eligible for support that I am representing have complied with all applicable state and local laws regarding procurement of services for which support is being sought.

29 I certify that the services the applicant purchases at discounts provided by 47 U.S.C. Sec. 254 will be used solely for educational purposes and will not be sold, resold, or transferred in consideration for money or any other thing of value.

30 I certify that the entity(ies) I represent has complied with all program rules and I acknowledge that failure to do so may result in denial of discount funding and/or cancellation of funding commitments.

31 I understand that the discount level used for shared services is conditional, for future years, upon ensuring that the most disadvantaged schools and libraries that are treated as sharing in the service, receive an appropriate share of benefits from those services.

32 I recognize that I may be audited pursuant to this application. I will retain for five years any and all worksheets and other records that I rely upon to fill out this application, and, if audited, will make available to the Administrator such records.

33 I certify that I am authorized to submit this request on behalf of the above-named entities, that I have examined this request, and to the best of my knowledge, information, and belief, all statements of fact contained herein are true.

34 Signature of authorized person	**35** Date
36 Printed name of authorized person	
37 Title or position of authorized person	
38 Telephone number of authorized person	Extension

Persons willfully making false statements on this form can be punished by fine or forfeiture, under the Communications Act, 47 U.S.C. Secs. 502, 503(b), or fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. Sec. 1001.
The Americans with Disabilities Act, the Individuals with Disabilities Education Act and the Rehabilitation Act may impose obligations on entities to make the services purchased with these discounts accessible to and usable by people with disabilities.

0 4 7 1 0 1 0 5 0 2

Entity Number	_____	**Applicant's Form Identifier**	_____
Contact Person	_____	**Phone Number**	_____

NOTICE: Section 54.504 of the Federal Communications Commission's rules requires all schools and libraries ordering services that are eligible for and seeking universal service discounts to file this Description of Services Requested and Certification Form (FCC Form 470) with the Universal Service Administrator. 47 C.F.R. § 54.504. The collection of information stems from the Commission's authority under Section 254 of the Communications Act of 1934, as amended. 47 U.S.C. § 254. The data in the report will be used to ensure that schools and libraries comply with the competitive bidding requirement contained in 47 C.F.R. § 54.504. All schools and libraries planning to order services eligible for universal service discounts must file this form themselves or as part of a consortium.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

The FCC is authorized under the Communications Act of 1934, as amended, to collect the 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 a potential violation of a FCC statute, 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 of a proceeding before the body or has an interest in the proceeding. In addition, consistent with the Communications Act of 1934, FCC regulations and orders, the Freedom of Information Act, 5 U.S.C. § 552, or other applicable law, information provided in or submitted with this form or in response to subsequent inquiries may be disclosed to the public.

If you owe a past due debt to the federal government, the information you provide may also be disclosed to the Department of the Treasury Financial Management Service, other Federal agencies and/or your employer to offset your salary, IRS tax refund or other payments to collect that debt. The FCC may also provide the information to these agencies through the matching of computer records when authorized.

If you do not provide the information we request on the form, the FCC may delay processing of your application or may return your application without action.

The foregoing Notice is required by the Paperwork Reduction Act of 1995, Pub. L. No. 104-13, 44 U.S.C. § 3501, et seq.

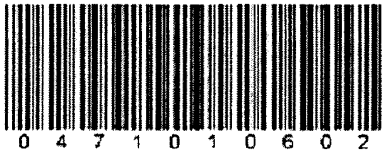
Public reporting burden for this collection of information is estimated to average 46 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, completing, and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the reporting burden to the Federal Communications Commission, Performance Evaluation and Records Management, Washington, DC 20554.

Please submit this form to:

SLD-Form 471
P.O. Box 7026
Lawrence, Kansas 66044-7026

For express delivery services or U.S. Postal Service, Return Receipt Requested, mail this form to:

SLD-Form 471
c/o Ms. Smith
3833 Greenway Drive
Lawrence, Kansas 66046
(888) 203-8100



FCC Form 471

Approval by OMB
3060-0806

Schools and Libraries Universal Service
Services Ordered and Certification Form

Estimated Average Burden Hours Per Response: 4 hours

Instructions for Completing the
Schools and Libraries Universal Service
Services Ordered and Certification Form (FCC Form 471)

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KEY INFORMATION

- File your Form 471 online. This speeds the processing of your form and reduces errors.
- See if you qualify for E-certification. (See the "**Special Block 6 Instructions for Applications Filed Online.**") If you do, obtain a User ID and a PIN and certify your Form 471 online as well.
- File requests for Priority 1 and Priority 2 services on separate Forms 471. (See "**When, Where, and How Many Forms 471 to File.**")
- If you are filing on paper, review the **"MINIMUM PROCESSING STANDARDS AND FILING REQUIREMENTS"** for Manual Filers.
- Note the new methodology for libraries to calculate their discount percentages. (See the instructions for Block 4, Worksheet B.)
- Note the detailed information provided in the specific instructions for Item 25.
- Remember that the Form 471 application filing window for Funding Year 2003 closes at 11:59 PM EST on January 16, 2003. See the "**Filing Requirements for Forms 471 Submitted on Paper and Online.**"

NOTICE

Section 54.504 of the Federal Communications Commission's (FCC) rules requires all schools and libraries ordering services that are eligible for universal service discounts to file this Services Ordered and Certification Form (FCC Form 471) with the Universal Service Administrator, which is the Schools and Libraries Division (SLD) of the Universal Service Administrative Company (USAC). 47 C.F.R. § 54.504. For purposes of this form, the Universal Service Administrator will be referred to as the "SLD" or "Fund Administrator." The collection of information stems from the Commission's authority under Section 254 of the Communications Act of 1934, as amended, 47 U.S.C. § 254. The data collected in Form 471 will be used to ensure that schools and libraries are receiving the appropriate discounts, complying with the eligibility requirements in 47 C.F.R. § 54.501, and taking steps required by 47 C.F.R. § 54.504 that are necessary to use the discounted services effectively. All schools and libraries ordering services eligible for universal service discounts must file this form, individually or as part of a consortium.

The FCC is authorized under the Communications Act of 1934, as amended, to collect the 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 any statute, 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 of a proceeding before the body or has an interest in the proceeding.

If you owe a past due debt to the Federal government, the taxpayer identification number and other information you provide may also be disclosed to the Department of the Treasury Financial Management Service, other Federal agencies and/or your employer to offset your salary, IRS tax refund, or other payments to collect that debt. The FCC may also provide this information to these agencies through the matching of computer records when authorized. In addition, consistent with the Communications Act of 1934, FCC regulations and orders, the Freedom of Information Act, 5 U.S.C. § 552, or other applicable law, information provided in or submitted with this form or in response to subsequent inquiries may be disclosed to the public.

If you do not provide the information requested on this form, the processing of your application may be delayed or your application may be returned to you without action.

The foregoing Notice is required by the Paperwork Reduction Act of 1995, Pub. L. No. 104-13, 44 U.S.C. § 3501, *et seq.* An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Public reporting burden for this collection of information is estimated to average four hours per response, including the time for reviewing instructions, searching existing data sources, gathering

and maintaining the data needed, completing, and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the reporting burden, to the Federal Communications Commission, Performance Evaluation and Records Management Branch, Washington, D.C. 20554.

I. INTRODUCTION

On May 7, 1997, the FCC adopted rules providing discounts on all telecommunications services, Internet access, and internal connections for all eligible schools and libraries. Section 54.504 of the FCC's rules require all eligible schools and libraries ordering services under this discount mechanism to certify their eligibility to receive discounts. 47 C.F.R. § 54.504. Section 54.504 of the FCC's rules directs schools and libraries to submit this information on a Services Ordered and Certification Form. 47 C.F.R. § 54.504.

II. FILING REQUIREMENTS AND GENERAL INSTRUCTIONS

A. Who Must File

Form 471 must be filed to request discounts on eligible services for eligible schools, libraries, and consortia of those entities. Form 471 must be filed AFTER an FCC Form 470, which must be posted on the SLD web site for at least 28 days before the Form 471 is filed. This 28-day waiting period must occur before you may execute any contracts for contracted services; before you select your service provider for tariffed or month-to-month services; and before you sign and submit your Form 471. It is possible that a Form 470 posted in a prior funding year may be used where such a form resulted in a multi-year contract. (See Form 470 Instructions.)

EACH BILLED ENTITY MUST FILE A FORM 471 APPLICATION. Thus, even if several billed entities together filed a single Form 470, each billed entity must file a separate Form 471.

IMPORTANT NOTE: An entity is considered a "billed entity" if it is responsible for making payments directly to a service provider. An entity that receives a bill, but does not make payments to the service provider on that bill, is not a billed entity. **A billed entity may or may not itself qualify for discounts under the universal service support mechanism for schools and libraries.**

For purposes of the schools and libraries universal service support mechanism, schools must meet the statutory definition of elementary and secondary schools found in the **No Child Left Behind Act of 2001, 20 U.S.C. § 7801(18) and (38)**. An elementary school is a non-profit institutional day or residential school, including a public elementary charter school, that provides elementary education, as determined under state law. 47 C.F.R. § 54.500(b) and 20 U.S.C. §

7801(18). A secondary school is a non-profit institutional day or residential school, including a public secondary charter school, that provides secondary education, as determined under state law, except that such term does not include any education beyond grade 12. 47 C.F.R. § 54.500(j) and 20 U.S.C. § 7801(38). In addition, eligible elementary and secondary schools may not have endowments exceeding $50 million. 47 C.F.R. § 54.501(b)(3).

Libraries must meet the statutory definition of library or library consortium found in the Library Services and Technology Act, Pub. L. No. 104-208, sec. 211 *et seq.*, 110 Stat. 3009 (1996) (LSTA), and must be eligible for assistance from a state library administrative agency under that Act. A library includes: "(1) a public library; (2) a public elementary school or secondary school library; (3) an academic library; (4) a research library, which for the purposes of this definition means a library that: (i) makes publicly available library services and materials suitable for scholarly research and not otherwise available to the public; and (ii) is not an integral part of an institution of higher education; and (5) a private library, but only if the state in which such private library is located determines that the library should be considered a library for purposes of this definition." 47 C.F.R. § 54.500(c). A library's eligibility for universal service funding also depends on its funding as an independent entity. **Only libraries whose budgets are completely separate from any schools' (including, but not limited to, elementary and secondary schools, colleges, and universities) shall be eligible to receive discounted services under the universal service support mechanism.** 47 C.F.R. § 54.501(c)(2). For example, an elementary school library would only be eligible to receive discounted services if its budget were completely separate from the elementary school. If its budget were not completely separate from the elementary school, the elementary school library would not be eligible for support independent from the school with which it is associated.

A library consortium is "any local, statewide, regional, or interstate cooperative association of libraries that provides for the systematic and effective coordination of the resources of schools, public, academic, and special libraries and information centers, for improving services to the clientele of such libraries." 47 C.F.R. § 54.500(d).

B. When, Where, and How Many Forms 471 to File

Form 471 must be preceded by the filing and posting of a Form 470 **for at least 28 days**.

For newly contracted, tariffed, or month-to-month services, please note that the EARLIEST date on which you may choose vendors or execute contracts or service agreements for those services (the Allowable Vendor Selection/Contract Date) will be expressly identified in a letter sent to each current-year Form 470 applicant to acknowledge the Fund Administrator's receipt of the Form 470 application. The Allowable Vendor Selection/Contract Date will also be indicated on the Form 470 posted on the SLD web site.

The earliest date that a Form 471 can be filed will be the date established by the Fund Administrator as the opening of the Form 471 application filing "window." The Form 471 application filing window is the period during which applications will be considered as having

arrived simultaneously. All Forms 471, including certifications, received or postmarked by the close of the application filing window are considered as if they had arrived on the same day, and have priority over those postmarked after the closing date of the "window." For Funding Year 2003, the application filing window will open at noon EST on Monday, November 4, 2002 and close at 11:59 p.m. EST on January 16, 2003.

The Form 471 may be filed either manually (on paper) or electronically (online). No Forms 471 will be accepted if sent to the SLD via e-mail or fax.

- ***If You Are Filing on Paper:*** You may complete and submit the Form 471 by filing a paper copy of the completed form, including the completed and signed Block 6 Certifications and any attachment(s), with the Fund Administrator. The signed Form 471 must be filed with the Fund Administrator **at the address listed at the bottom of the form: SLD-Form 471, P.O. Box 7026, Lawrence, Kansas 66044-7026**. For express delivery or U.S. Postal Service Return Receipt, send to: **SLD-Form 471, c/o Ms. Smith, 3833 Greenway Drive, Lawrence, Kansas 66046**, phone 1-888-203-8100. DO NOT FILE THIS OR ANY OTHER UNIVERSAL SERVICE FORM WITH THE FEDERAL COMMUNICATIONS COMMISSION.

- ***If You Are Filing Online:*** You may complete and submit the Form 471 by filing the Form online at the SLD web site www.sl.universalservice.org. If filing your Form 471 online, you must also complete and submit to the SLD the following documents in order to successfully complete the submission of your Form 471 application:

  - the Item 21 description(s) of services, and
  - the Block 6 Certification with the signature of the authorized person (whether online or on paper)
    - You may qualify to submit your Form 471 certifications online. When you submit your certifications online, you will receive a confirmation so that you can be assured that your submission has met any filing deadlines. Check the SLD web site for information about obtaining a User ID and a PIN.

You may file more than one Form 471. For example, you may file one Form 471 for Internal Connections, one for Internet Access, and one for Telecommunications Services. As the billed entity for services requested on one or more Forms 470, you may combine services requested on multiple Forms 470 into one Form 471, or you may file a corresponding Form 471 for each Form 470 filed. Please refer to the detailed instructions for more information about these procedures.

NOTE: Applicants who are applying for both Priority 1 (Telecommunications Services or Internet Access) and Priority 2 (Internal Connections) services are strongly encouraged to file these requests on separate Forms 471 — that is, to file one or more Forms 471 for their Priority 1 requests and one or more Forms 471 for their Priority 2 requests. This separation will allow the SLD to process Priority 1 requests and communicate decisions on funding commitments for those requests more quickly. Because there is often uncertainty

about the funding threshold for Internal Connections, applicants who combine funding requests for Priority 1 and Priority 2 services on a single Form 471 risk delaying the notification process for Priority 1 funding decisions.

C. Assistance in Completing This Form

There are several sources of assistance to guide you in completing this form. If you complete this Form online at the SLD web site at www.sl.universalservice.org, you will be assisted in the process by special step-by-step online instructions. Whether you file online or on paper, you are urged to consult the Reference Area of the SLD web site, www.sl.universalservice.org, for guidance in completing this form. Those without web access may obtain similar guidance material by calling the SLD Client Service Bureau via toll-free telephone at **1-888-203-8100.** Further information is also available from the SLD Client Service Bureau at **1-888-203-8100**, via e-mail at **question@universalservice.org**, or via fax at **1-888-276-8736**.

D. Compliance

Schools and libraries, or consortia acting on behalf of schools and libraries, failing to file the Services Ordered and Certification Form (Form 471) will not be eligible to receive universal service discounts. Schools and libraries filing false information are subject to fines under Section 502 of the Communications Act, 47 U.S.C. § 502, forfeiture penalties under Section 503(b) of the Communications Act, 47 U.S.C. § 503(b), or penalties for false statements under Title 18 of the United States Code, 18 U.S.C. § 1001. Applicants should retain the worksheets and other records they use to compile these forms for five years. This includes all documentation showing that you have complied with all applicable competitive bidding requirements, including copies of competing bids and documentation of the bid evaluation process and bid criteria used. Thus, if applicants represent multiple billed entities, collect data from those entities, and add up that data, they should retain those data sheets for five years. If an applicant is audited, it should be prepared to make the worksheets and other records used to compile these forms available to the auditor and/or the Administrator, and it should be able to demonstrate to the auditor and/or the Administrator how the entries in its application were provided.

III. MINIMUM PROCESSING STANDARDS AND FILING REQUIREMENTS

Form 471 Minimum Processing Standards

When a Form 471 is submitted on paper and received by the SLD, the form is first reviewed to make sure it complies with the following requirements before data entry begins. These minimum processing requirements are necessary in order to ensure the timely and efficient processing of properly completed applications. If a Form 471 fails to meet these requirements, the Form 471 will be rejected. The SLD may be prevented from returning the rejected Form 471 to the sender if the form lacks essential identifying information. If an applicant receives a returned Form 471, it is important that it resubmit the corrected form quickly. Once the corrected form is

successfully processed, the postmark date of that corrected form will be the postmark date for the purpose of the application filing window deadline.

Manual Filers

1. Correct Form: Each Form 471 must be:

a. the correct, OMB-approved FCC Form 471, with a date of October 2002 or October 2000 in the lower right-hand corner;
b. submitted by regular mail, express delivery, or U.S. Postal Service Return Receipt Requested, or hand delivery. Forms may not be submitted by fax or e-mail. You are advised to keep proof of the date of mailing.

2. Billed Entity Information: In Block 1, each of the following items must be properly completed. The "Billed Entity" is the entity actually paying the bills for the services listed on the Form 471.

a. Item 1 or Item 3 – Either the Name of the Billed Entity or the Entity Number;
b. Item 2 – Funding Year;
c. Item 6a – Contact Person Name

If any of these items is blank, and the information cannot be obtained from the page headers, the Form 471 will be rejected.

3. Complete Submission of Form 471: All 6 blocks of the Form 471 must be submitted. If any Block (1-6) of the paper form is missing, the form will be rejected. Please note that Block 2, which indicates that this Form 471 is being filed to make a minor modification to a previously filed Form 471, will usually be left blank.

4. Block 4 Worksheet: At least one completed Block 4 Worksheet relevant to your application type (see Block 1, Item 5) must be submitted. If a relevant Block 4 Worksheet is not submitted, or the Worksheet is missing information, the form will be rejected.

- If the application type is school or school district, a completed Block 4 Worksheet A must be submitted.
- If the application type is library, a completed Block 4 Worksheet B must be submitted.
- If the application type is consortium, a completed Block 4 Worksheet C must be submitted.

5. Complete Submission of Each Block 5 Funding Request: Each Block 5 Funding Request must meet the following requirements in order to be data entered as part of the Form 471. If any of the requirements is missing, the Funding Request will be automatically deleted from the form. If all of the Block 5 Funding Requests fail to meet these requirements, the form will be rejected.

Each Block 5 Funding Request must, at a minimum, include:

a. Item 11 – Category of Service;
b. Item 13 or Item 14 – Either the Service Provider Identification Number or the Service Provider Name;
c. Item 23 – At least one entry with a positive dollar value in Column E, H, I, or K must be completed. Please note that you may not increase your request after filing your Form 471, unless you submit a new Form 471. Therefore, you should take care to complete **ALL** applicable columns of Item 23.

In addition to the requirements listed above for Block 5, if certain components reflect a violation of program rules, they will invalidate the Funding Request featured for that service item. Discounts on services reflected in such Funding Requests will not even be entered into the SLD system; such a Funding Request will be automatically rejected, even while other Block 5 Funding Requests may be honored.

6. **Valid Certification:** Block 6, Item 34 – Signature of authorized person must be completed. If Item 34 is left blank, the Form 471 will be rejected.

Online Filers:

When Blocks 1-5 of a Form 471 are submitted online, the applicant must also (1) submit the completed Block 6 certification online with a User ID and a PIN or (2) submit the completed and signed paper Block 6 certification by mail, express delivery or U.S. Postal Service Return Receipt Requested. Online submission of Blocks 1-5 is complete after you click on the "SUBMIT" button. If the Block 6 certification is submitted on paper, you are advised to keep proof of the date of mailing. The Block 6 certification is reviewed to make sure it complies with the requirement in #6 above. Reviewers also look for the Form 471 Application Number before the Certification and Signature Page is accepted and the Form 471 reaches "certified" status. If the paper Block 6 certification document lacks the information necessary to match it with the Blocks 1-5 of the form you filed online, then your application will not meet the application window filing requirements.

Filing Requirements for Forms 471 Submitted on Paper and Online:

1. Application Materials: The following materials associated with Funding Year 2003 Form 471 must be received by 11:59 p.m. EST on January 16, 2003 or postmarked on or before January 16, 2003 in order for the request to receive consideration as inside the window. These materials are:

- The Form 471 itself (whether online or on paper)
- The Block 6 certification of the Form 471 with the signature of the authorized person (whether online or on paper)

- The Block 5 certification of any Form 470 cited in a Funding Year 2003 Form 471 with the signature of the authorized person (whether online or on paper). Forms 470 with completed certifications submitted in a previous year meet this requirement. Any Funding Year 2003 Form 471 Block 5 funding request based on a Form 470 whose certification has not been received by 11:59 p.m. EST on January 16, 2003 or postmarked on or before January 16, 2003 will be rejected.

2. Item 21 Attachment Labeling: Label your attachment as "Item 21 Attachment," and include the application number of the Form 471 it supports, or use the Applicant Form Identifier if you file on paper. Be sure to label the attachment to correspond with each Block 5, Item 21 of your application.

January 16, 2003 Deadline: Failure to make the January 16, 2003 deadline for Form 471 application materials will place the entire application outside the window, and the applicant's funding will be jeopardized.

IV. SPECIFIC INSTRUCTIONS

You are encouraged to complete and submit this form online. It will be available on the SLD web site at www.sl.universalservice.org when the Form 471 application filing window opens along with instructions for filing online using the web site. Alternatively, for paper submissions, you may download a paper version of the form from the SLD web site at www.sl.universalservice.org. If you file paper copies of the application, please type or clearly print in the spaces provided and attach additional pages if necessary and when required.

A. Top of Form

The data at the top of Form 471 will help both you and the SLD identify each particular Form 471 you file.

"Do Not Write In This Area" - The SLD uses this space to apply a bar code to your form upon receipt, so that we can properly track and archive your form.

Applicant's Form Identifier (11 characters maximum) - If you are filing more than one Form 471, please use this space to assign a unique number or letter of your own devising to facilitate communication with us about THIS particular Form 471. This Applicant's Form Identifier can be very simple; for example, if you are filing three Forms 471, you might label them "A," "B," and "C." The Applicant's Form Identifier can also be descriptive, such as "Internet." Choose identifiers that suit your own record keeping needs.

Form 471 Application Number - The SLD will assign and insert your Form 471 Application Number. Leave this item blank.

Top of each page after page 1: If you are filing this application on paper, please provide the Entity Number (from Item 3, below), your Applicant's Form Identifier, and name and phone number of the contact person (from Item 6, below) at the top of each page of the application in the space provided. This will help alleviate problems caused if the pages of an application become separated.

B. Block 1: Billed Entity Information

Block 1 of Form 471 asks you for your address and basic identifications. "You" refers throughout this form to the billed entity – the party actually paying bills for the eligible schools and libraries listed in this application form.

Item 1 (30 characters maximum) - Provide the name of the billed entity. As the billed entity, you may be an individual school, a school district that is the billed entity for its schools, a library (outlet/branch, system), or a consortium of those entities. You may also be a city, a state, or an entity created solely to participate in this universal service discount mechanism, but only if you are the billed entity, in that you actually pay the bills for the service to the service provider. **The billed entity itself may or may not be eligible for discounts.**

Item 2 - Funding years begin on July 1 and end on June 30 each year. For example, Funding Year 2003 runs from July 1, 2003 to June 30, 2004. Provide the funding year for which you are applying for funds by filling in the appropriate year in the blanks provided (e.g., July 1, 2003 through June 30, 2004).

Item 3 - Your Entity Number is a unique number assigned to your organization or institution by the SLD as a means of identifying you every time you file an application or otherwise communicate with us. If you have applied for universal service funds in previous years, or have been identified in an application filed on your behalf, you have already been assigned an Entity Number. If you do not have a record of your Entity Number, or if you have never been assigned such a number, please call the SLD Client Service Bureau at 1-888-203-8100.

Items 4a-4d - Provide your full mailing address, whether a street address, Post Office Box number, or route number. You are strongly encouraged to provide a street address rather than a Post Office Box if possible, as the Fund Administrator may need to contact you via overnight or express delivery. In addition, please provide your telephone number with area code and extension, fax number, and e-mail address if you have one (33 characters maximum).

Item 5 - Check the one box that best describes the type of application you are filing. If you are filing as a school, you should check the first box. If you are filing as a school district, you should check the second box. If you are filing as a library (outlet/branch, system), you should check the third box. If you are filing as a consortium, you should check the fourth box. (You may be a consortium of schools, libraries, or some combination of the above which may or may not include ineligible entities. If you are filing as a library consortium, you should check the fourth box.)

In addition, if you are a consortium that includes non-governmental entities ineligible for universal service support, please check the box provided to indicate this. Non-profit 501(c)(3) organizations are NOT governmental entities. (Note: Consortium members eligible for universal service support such as "rural health care providers" should be treated as "governmental entities" for the purpose of these categories.) If your consortium includes ineligible non-governmental entities, you should note that you cannot negotiate pre-discount prices below tariff rates for interstate services from incumbent local telephone companies.

Item 6a (30 characters maximum) - Provide the name of the person who should be contacted with questions about this application. This person should be able to answer questions regarding the information included on this form and the services you request.

Items 6b-6f - If the contact person's address, phone number, fax number, or e-mail address is different from those specified for the applicant in Item 4, please provide that information here. You MUST then check your preferred mode of contact. Wherever possible, the SLD will use this mode to contact you. In addition, in Item 6f, you may choose to provide an alternate telephone number, address, contact name, or special operating hours that we may use to reach you during holiday/vacation/summer periods (50 characters maximum).

C. Block 2: Minor Modification to Existing Contract or Service Agreement

Item 7 - Before completing this item, please check for guidelines at the SLD web site at www.sl.universalservice.org or by calling the SLD Client Service Bureau at 1-888-203-8100. The occasions for required use of this item will be identified each funding year. This item may be filed ONLY on paper. No online filings will be accepted for this item. **In general, you will leave this item blank.**

D. Block 3: Impact of Services Ordered in This Application

Block 3 asks for data to help the Fund Administrator document the potential impact of the universal service program for schools and libraries across the country, and compare that impact from year to year. Block 3 requests data pertinent to THIS application only. If you file multiple applications, you may provide different data in this section in each application. You need complete only those items that are relevant to your application. Please use precise data wherever possible, and your best estimates wherever necessary.

Items 8a-8b - Quantify the number of people affected by the services ordered in this application. Schools/school districts should complete Item 8a, libraries should complete Item 8b, and consortia should complete either or both as appropriate.

Item 8a - If your application includes eligible K-12 schools, provide the total number of students that will potentially be affected by the services ordered in this application.

Item 8b - If your application includes eligible libraries, provide the approximate number of patrons potentially affected by the services ordered in this application, as defined by the number of cardholders you serve or other estimates of regular library users.

Items 9a-9k - These questions ask you to quantify the expected outcomes of the services you are ordering with this application. The questions focus on typical benchmarks of technology development for schools and libraries, and request data about these benchmarks before and after your order as reflected in this Form 471. Some are more relevant to certain types of applicants than others. **Please answer ALL the questions that are relevant to your situation and THIS application.** If the quantity or capacity of a service you order remains the same before and after your order, please complete that question by entering the same data in both columns.

Item 9a - If you are ordering telephone service to reach classrooms, please indicate how many classrooms had telephone service before and after your order.

Items 9b and 9c - If your order includes high-bandwidth voice/data/video service provided by a telecommunications provider, please indicate in Item 9b how many buildings had such service before your order and how many will have such service after your order. In Item 9c, indicate the highest speed of such service to a building before and after your order. If this service also provides your buildings with Internet access, please be sure to quantify that access by completing Item 9h and/or Item 9i.

Items 9d and 9e - If your order includes dial-up Internet access, please identify in Item 9d the number of dial-up connections before and after your order. In Item 9e, indicate the highest speed of such connections before and after your order. If you complete this item, please also complete Item 9h-9j as appropriate.

Items 9f and 9g - If your order includes direct access to the Internet via lines identified in this application for Internet access only, please indicate in Item 9f the number of such connections before and after your order. In Item 9g, indicate the highest speed of such connections before and after your order. If you complete this item, please also complete Items 9h-9j as appropriate.

Item 9h - If your application includes schools and provides for Internet access either directly or indirectly, please provide your best estimate of the number of rooms with Internet access before and after your order. Please also complete Item 9j.

Item 9i - If your application includes libraries and provides for Internet access either directly or indirectly, please provide your best estimate of the number of buildings (including bookmobiles) with Internet access before and after your order. Please also complete Item 9j.

Item 9j - Provide your best estimate of the number of computers or other devices (such as television sets, hand-held units, network terminals, and other non-PC Internet appliances) that had Internet access before your order, and how many will have Internet access after your order. These devices may access the Internet directly or via a local area network. If you complete this

item, be sure to also reflect the quality and capacity of that access by completing Items 9b and 9c, and/or Items 9d and 9e, and/or Items 9f and 9g.

Item 9k - Use this item to describe any other relevant outcome of your order not captured in the items above. We are particularly interested in new and emerging technology solutions made possible by eligible services ordered in this application.

E. Block 4: Discount Calculation Worksheets

This block consists of three separate worksheets designed to meet the needs of those filing as:

- Schools/school districts – Worksheet A (see step-by-step instructions).
- Libraries (outlet/branch, system) – Worksheet B (see step-by-step instructions).
- Consortia – Worksheet C (see step-by-step instructions).

Each worksheet includes its own instructions and its own step-by-step discount calculation chart. NOTE: If you are filing as a consortium, you may also need to include one or more Worksheets A and/or one or more Worksheets B (see step-by-step instructions for Worksheet C).

Instructions for Each Worksheet

Worksheet A: Discount Calculation for those entities filing as Schools/School Districts

If you checked the first or second box in Block 1, Item 5, you should use this worksheet.

Item 10a - If you are filing this application as:

- a school, you need only complete one line of Item 10b, Columns 1-7. All of the services for which you are applying will be subject to the same site-specific discount you calculate here.
- a school district serving more than one school, and you are requesting services that will go ONLY to individual schools and will not be shared, complete Columns 1-7 of Item 10b for each school.
- a school district, and ALL of the schools in your district will share one or more services (whether or not those schools will also receive site-specific services), complete Columns 1-8 for each of your schools PLUS Item 10c.
- a school district and if some services you are requesting will be shared by some schools and not others (whether or not those schools will also receive site-specific services), complete a separate worksheet, Columns 1-8 PLUS Item 10c, for each different group of schools sharing a service. You will then label the worksheets A-1, A-2, A-3, etc.

Item 10b - Use this worksheet as instructed in Item 10a to calculate the appropriate discount(s).

Item 10b, Column 1: For each school included in your application, list the school by name on a separate row. For a new school under construction, label this item "New School Construction"

followed by the name of the school, in parentheses, if it is known at the time the Form 471 is submitted. If your district office or other administrative building(s) in your district is eligible for services, label this item "Administrative Entity" followed by the name, in parentheses, of the district office or other administrative building.

Item 10b, Column 2: List each school's Entity Number. If you do not know the Entity Number for a particular school or administrative building, call the Client Service Bureau at 1-888-203-8100.

Item 10b, Column 3: Indicate whether each school is located in an urban or a rural area. You should base your assessment on the table posted in the "Rural/Urban Classification" information on the SLD web site at www.sl.universalservice.org. Instructions accompanying the table will help you determine whether the school is located in an urban or a rural area for purposes of the universal service support mechanism.

Calculating Each School's Site-Specific Discount (Columns 4-7)

Item 10b, Column 4: List the total number of K-12 students in each school. For "New School Construction" or for an "Administrative Entity," enter "0" in this item.

Item 10b, Column 5: Provide the number of students eligible for the National School Lunch Program (NSLP) as of the October 1st prior to the filing of this form, or use the most current figure available. For "New School Construction" or for an "Administrative Entity," enter "0" in this item. You may choose to use an actual count of students eligible for the National School Lunch Program or use federally approved alternative mechanisms to determine the level of poverty for purposes of the universal service discount program. Schools using a federally approved alternative mechanism may use participation in other income-assistance programs, such as Medicaid, food stamps, Supplementary Security Income (SSI), federal public housing assistance (Section 8), or Low Income Home Energy Assistance Program (LIHEAP) to determine the number of students that would be eligible for the NSLP. See 34 C.F.R. § 200.28(a)(2)(i)(B). For more information, please refer to the "Alternative Discount Mechanisms Fact Sheet" posted on the SLD web site at www.sl.universalservice.org.

Item 10b, Column 6: For each school, divide Column 5 by Column 4 to arrive at the percentage of students eligible for the National School Lunch Program. Discount calculations may be rounded up only when fully half a discount point is reached. For example, an urban school with a discount eligibility of 34.499% will round down to 34%, and an urban school with a discount eligibility of 34.500% will round up to 35%. For eligibility discounts of less than 1%, however, there is no rounding. For "New School Construction" or for an "Administrative Entity," leave this item blank.

Item 10b, Column 7: Using the percentage in Column 6 and the Discount Matrix (see below), you should determine the percentage discount to which the school is entitled. If you file online, the system will calculate this figure for you. If you have any questions about determining this

figure, you can call the SLD Client Service Bureau for assistance at **1-888-203-8100**. For "New School Construction" or for an "Administrative Entity" ONLY, enter the Weighted Average Discount for the School District. (A preparatory Worksheet A must be submitted documenting the Weighted Average Discount for the School District or, if a Worksheet A already includes all schools in the School District, label that worksheet "All Schools in the School District.")

DISCOUNT MATRIX

INCOME **Measured by % of students eligible for the National School Lunch Program**	**URBAN LOCATION** **Discount**	**RURAL LOCATION** **Discount**
If the percentage of students in your school that qualifies for the National School Lunch Program is...	...and you are in an URBAN area, your discount will be...	...and you are in a RURAL area, your discount will be...
Less than 1%	20%	25%
1% to 19%	40%	50%
20% to 34%	50%	60%
35% to 49%	60%	70%
50% to 74%	80%	80%
75% to 100%	90%	90%

Calculating a Shared Discount for the School District (Column 8 and Item 10c)

Item 10b, Column 8: For each school receiving an appropriate share of shared services, multiply the discount rate for the school (Column 7) by the number of students in the school (Column 4). If you file online, the system will calculate this figure for you. The product is the school's weighted discount. For "New School Construction" or for an "Administrative Entity," leave this item blank.

Item 10b, Column 4, last cell: Add all of the students in all of the schools listed, and enter the total into the last cell at the bottom of Column 4. If you file online, the system will calculate this figure for you.

Item 10b, Column 8, last cell: Add together all of the products in Column 8, and enter the total into the last cell at the bottom of Column 8. If you file online, the system will calculate this figure for you.

Item 10c - Divide the total at the bottom of Column 8 by the total at the bottom of Column 4. Round the result to the nearest whole number percentage, and enter it into Item 10c. If you file online, the system will calculate this figure for you.

Worksheet B: Discount Calculation for those entities filing as Libraries

If you checked the third box in Block 1, Item 5, you should use this worksheet.

Item 10a - If you are filing this application as:

- a library consisting only of one outlet/branch, you need only complete one line of Item 10b, Columns 1-4. All of the services for which you are applying will be subject to the same site-specific discount you calculate here.
- a library and you are a library system with more than one outlet/branch, and you are requesting services that will go ONLY to individual outlets and will not be shared, complete Columns 1-4 of Item 10b for each outlet.
- a library and you are a library system with multiple outlets/branches, and ALL of the outlets/branches will share one or more services (whether or not those outlets/branches will also receive site-specific services), complete Columns 1-4 PLUS Item 10c.
- a library and you are a library system with some of the services you are requesting shared by some outlets/branches and not others (whether or not those outlets/branches will also receive site-specific services), complete a separate worksheet, Columns 1-4 PLUS Item 10c, for each different group of outlets/branches sharing a service. You will then label the worksheets B-1, B-2, B-3, etc.

Item 10b - You will use this worksheet as instructed in Item 10a to calculate the appropriate discount(s).

Item 10b, Column 1: For each library outlet/branch included in your application, list the outlet/branch by name on a separate row. For a new library under construction, label this item "New Library Construction" followed by the name of the library, in parentheses, if it is known at the time the Form 471 is submitted. If your library system office or other administrative building(s) is eligible for services, label this item "Administrative Entity" followed by the name, in parentheses, of the library system or other administrative building.

Item 10b, Column 2: List the Entity Number for each library outlet/branch. If you do not know the Entity Number for a particular library outlet/branch or administrative building, call the SLD Client Service Bureau at 1-888-203-8100.

Identifying the Site-Specific Discount for Each Library Outlet

Item 10b, Column 3: List the name of the public school district in which each library outlet/branch is located.

Item 10b, Column 4: The level of poverty for a library outlet/branch is based on the percentage of student enrollment that is eligible for a free or reduced price lunch under the National School Lunch Program or a federally approved alternative mechanism in the public school district in which the library is located. If you are using the percentage of students eligible for the National

School Lunch Program, you may generally obtain the necessary information by contacting your local school district.

To determine the discount to which the library is entitled under E-rate, you must perform a two-step procedure. First, calculate the percentage of the students eligible for the National School Lunch Program in the school district in which the library is located. Second, use the Discount Matrix (see above) to determine the discount to which the library is entitled under E-rate. This discount must be entered in Item 10b, Column 4.

FIRST STEP: To calculate the percentage of students eligible for the National School Lunch Program, take the **number of students eligible** for the National School Lunch Program (NSLP) **in the school district in which the library outlet/branch is located (listed in Column 3) and divide by the total number of students in that school district**. Use the number of students eligible for the National School Lunch Program (NSLP) as of the October 1st prior to the filing of this form or use the most current figure available. Discount calculations may be rounded up only when fully half a discount point is reached. For example, a library outlet/branch with a calculated NSLP percentage of 34.499% will round down to 34%, and a library outlet/branch with a calculated NSLP percentage of 34.500% will round up to 35%. For calculated NSLP percentages of less than 1%, there is no rounding.

You may choose to use a federally approved alternative mechanism for the public school district in which the library is located to determine the level of poverty for purposes of the universal service discount program. Those using a federally approved alternative mechanism may use participation in other income-assistance programs, such as Medicaid, food stamps, Supplementary Security Income (SSI), federal public housing assistance (Section 8), or Low Income Home Energy Assistance Program (LIHEAP) to determine the number of students that would be eligible for the NSLP. See 34 C.F.R. § 200.28(a)(2)(i)(B). For more information, please refer to the "Alternative Discount Mechanisms Fact Sheet" posted on the SLD web site at www.sl.universalservice.org.

SECOND STEP: **Using the percentage calculated for the school district and the Discount Matrix (see above), determine the discount to which the library is entitled under E-rate.** (NOTE: You must determine if the library outlet/branch is located in an urban or rural area based on the table posted in the "Rural/Urban Classification" information on the SLD web site at www.sl.universalservice.org. Instructions accompanying the table will help you determine whether the library outlet/branch is located in an urban or a rural area for purposes of the universal service support mechanism.) For example, a library outlet/branch which is located in an urban area with a calculated NSLP eligibility of 34% is eligible for a 50% E-rate discount from the Discount Matrix, and a library outlet/branch which is located in an urban area with a calculated NSLP percentage of 35% is eligible for a 60% E-rate discount from the Discount Matrix. For calculated NSLP percentages of less than 1%, there is no rounding, and the E-rate discount from the Discount Matrix is 20% for urban and 25% for rural.

For "New Library Construction," enter the discount from the Discount Matrix calculated as described above for the school district in which the library under construction is located. For an "Administrative Entity," enter the Library System's Average Discount from Item 10c after it is calculated.

Calculating the Shared Discount for the Library System

Item 10b, Column 4, last cell: Add up all of the discounts in this column and enter the total in the cell at the bottom of Column 4. If you file online, the system will calculate this figure for you.

Item 10c - Divide the total at the bottom of Column 4 by the total number of library outlets/branches listed in Column 1. Round the result to the nearest whole number percentage, and list this number in Item 10c. This is the library system's shared discount. If you file online, the system will calculate this figure for you.

Worksheet C: Discount Calculation for Consortia

If you checked the fourth box in Block 1, Item 5, you should use this worksheet. This worksheet should be used for a consortium of schools, school districts, libraries (outlets/branches, systems) or any combination of the above.

Item 10a - If you are filing this application as:

- a consortium and you are requesting services that will go ONLY to an individual consortium member and will not be shared, complete Columns 1-3 of Item 10b for each member.
- a consortium and if ALL consortium members will share one or more services (whether or not those consortium members will also receive site-specific services), complete Columns 1-3 for each member of your consortium PLUS Item 10c.
- a consortium, and some requested services will be shared by some consortium members and not others (whether or not those consortium members will also receive site-specific services), you must complete a separate worksheet, Columns 1-3 PLUS Item 10c, for each different group of consortium members sharing a service. You will then label the worksheets C-1, C-2, C-3, etc.

Item 10b - You will use this worksheet as instructed in Item 10a to calculate the appropriate discount(s).

Item 10b, Column 1: For each eligible consortium member included in your application, list the member by name on a separate row. Do not list ineligible consortium members, as they will not receive discounted services.

Item 10b, Column 2: List each eligible consortium member's Entity Number. If you do not know the Entity Number for a particular eligible consortium member, call the SLD Client Service Bureau at 1-888-203-8100.

Identifying the Site-Specific Discount for Each Member

Item 10b, Column 3: Provide the correct discount for each eligible member depending on the type of entity it is.

- If the member is an individual school, use the discount from Worksheet A, Column 7. Attach a completed Worksheet A showing the calculations for each school that is a member of your consortium.
- If the member is a school district, use the discount from Worksheet A, Item 10c (the weighted average discount). Attach a completed Worksheet A showing the calculations for each school district that is a member of your consortium.
- If the member is a library outlet/branch, use the discount calculated as explained above for Worksheet B, Column 4.
- If the member is a library system, use Worksheet B, Columns 1-4 PLUS Item 10c, to calculate the discount. Attach a complete Worksheet B showing these calculations for each library system that is a member of your consortium.

Calculating the Shared Discount for the Consortium

Item 10b, Column 3, last cell: Add up all of the discounts in this column and enter the total in the cell at the bottom of this column. If you file online, the system will calculate this figure for you.

Item 10c - Divide the total at the bottom of Column 3 by the total number of consortium members listed in Column 1. Round the result to the nearest whole number percentage, and list this number in Item 10c. This is the shared discount for the entire consortium. If you file online, the system will calculate this figure for you.

F. Block 5: Services Ordered

Block 5 asks you to provide information about the eligible services that you have ordered, their cost, and the discount you are requesting based on the entities to receive service. The following information will highlight the features of Block 5:

You will complete one Block 5 worksheet for **each** Funding Request. In general, you should complete a separate Funding Request page for:

- Each service provider that will be providing you with service.
- Each separate contract or service agreement (but not necessarily the individual service within that contract or agreement, as long as they are in the same category of service, e.g. telecommunications services).
- Each different category of service provided by the same provider. For example, a PBX system that the applicant will purchase and own and local voice service from the same telephone company should go on separate Block 5 worksheets, since the PBX would be Internal Connections and the phone service is Telecommunications Services. Check the "Eligible Services List" and any updates at www.sl.universalservice.org to identify which category each service belongs in.
- Local phone service.
- Long distance phone service.
- Site-specific service (service not shared by other sites).
- If you are ordering services based on different Forms 470, services corresponding to each Form 470 must be reported on separate Block 5 worksheets with the relevant Form 470 Application Numbers.

- **Priority 1 and Priority 2 services.** Applicants who are applying for both Priority 1 (Telecommunications Services or Internet Access) and Priority 2 (Internal Connections) services are strongly encouraged to file these requests on separate Forms 471 — that is, to file one or more Forms 471 for their Priority 1 requests and one or more Forms 471 for their Priority 2 requests.

- **Ineligible costs:** You may not seek support for ineligible services, entities, and uses. The Block 5 worksheet will guide you through deducting any ineligible costs from your total cost of services before calculating your discount request. If you have any questions about whether a service is eligible for support, please check the "Eligible Services List" on the SLD web site at www.sl.universalservice.org or contact the SLD Client Service Bureau at 1-888-203-8100.

- **Signed contracts:** You MUST have a signed contract (or a legally binding agreement between you and your service provider preparatory to a formal signed contract) for all services you order on your Form 471 except:

  - *Tariffed services:* Telecommunications services that you purchase at prices regulated by your state regulatory commission and/or the FCC, which do not require a signed, written contract.
  - *Month-to-Month Services:* Month-to-Month services which do not require a signed, written contract. Your billing arrangement signifies that you are receiving your services on a month-to-month basis.

Note: You must file a Form 470 and seek competitive bids for tariffed or month-to-month services each funding year.

- **Eligible service providers:** To provide you with telecommunications services, Internet access and internal connections under this program, a service provider must secure a Service Provider Identification Number (SPIN) from the Universal Service Administrative Company and certify that they will comply with program rules. ***However, telecommunications services may be obtained only from telecommunications companies who provide those telecommunication services on a common carriage basis (meaning they provide their services for a fee to the general public).*** You may check the "BEAR/SPIN Search" on the SLD web site at www.sl.universalservice.org to confirm whether your service provider is eligible to provide telecommunications services. If you receive telecommunications services from a provider that does not provide telecommunications services on a common carriage basis, your Funding Request for such services will be denied.

- **Discounted and undiscounted amounts:** Form 471 requires you to certify in Block 6, Item 25 that you have adequate budgetary resources for the undiscounted portion of any service you seek, as well as for related, ineligible services such as computers, training, software, maintenance, and electrical connections that you will need to make effective use of the services you order.

Item-by-Item Instructions

FRN # - The Fund Administrator will assign a unique number to each Funding Request represented on a Block 5 worksheet.

Item 11 - Check the correct category for the service listed on this Block 5 Funding Request. You may check only ONE. Please consult the "Eligible Services List" and any updates on the SLD web site at www.sl.universalservice.org or contact the SLD Client Service Bureau at 1-888-203-8100.

Item 12 - Provide the 15-digit FCC Form 470 Application Number of the FCC Form 470 in which the services ordered here were sought. FCC Form 470 applicants will receive this number when they receive confirmation that their FCC Form 470 has been received and posted.

Item 13 - Enter the 9-digit Service Provider Identification Number (SPIN) for this service provider. You must provide a valid SPIN for the service provider indicated in Item 14 below. Each service provider should give you its SPIN on request. You may refer to the "BEAR/SPIN Search" area of the SLD web site for a list of service provider contacts. A service provider who does not have a SPIN should file the FCC Form 498 to obtain one. The Form 498 and Instructions can be downloaded from the Forms Area of the SLD web site.

Item 14 (30 characters maximum) - Provide the full legal name of the service provider for this Funding Request. You may list only ONE service provider per Block 5 worksheet. The name of your Service Provider whose SPIN is indicated in Item 13 above must be provided.

Item 15 (18 characters maximum) - Provide the contract number for this service.

- If this is a contracted service, and the contract does not have a contract number but has some other reference number, you should note that number. If there is no reference number, please enter N/A.
- If you are buying off of a master contract signed by a state, regional or local procurement agency on behalf of eligible schools and libraries, you may use either the master contract number or the number of your own purchase agreement executed pursuant to that master contract. Whichever number you use, be certain that you use the corresponding dates in Item 18 and Item 20.
- If this is a tariffed service— a telecommunications service that you purchase at prices (rates) regulated by your state regulatory commission and/or the FCC which does not require a signed, written contract—place a T in Item 15.
- Certain services are commonly offered on the basis of a month-to-month arrangement where there may be no written agreement between the customer and the service provider. These include services such as Internet access, cellular services and paging services. In these instances, standard monthly bills will be accepted as proof of a binding, legal arrangement between the service provider and the customer. (These arrangements are different from tariffed services, which may also be offered month-to-month but at regulated prices.) If the service for which you are completing Block 5 is purchased under such a month-to-month arrangement, please enter MTM (for "month-to-month") in Item 15.

Item 16 (18 characters maximum) - Provide the account number that your service provider has established with you for billing purposes. This information will help your service provider provide you with discounted bills for service. In the case of telephone services, this is most often the billed telephone number associated with the service. **If there are multiple billed telephone numbers, provide one main number**. If this service is already established (for example, a service provided under a qualified existing contract, or tariffed services for which you have selected the same service provider who already provides you with service), you should be able to find your account number on past bills, or you can request your account number from the service provider. If you have not yet established an account number, your service provider may have a "pre-account" identifier for you to use. If your service provider has no account number to identify your service, enter N/A.

Item 17 - List the Allowable Vendor Selection/Contract Date for this service. The Allowable Vendor Selection/Contract Date is the earliest date you are permitted to sign a contract for newly contracted services or to select your service provider for tariffed or month-to-month services after posting a Form 470. This Allowable Vendor Selection/Contract Date is identified in your Receipt Notification Letter for the Form 470 cited in Item 12 above, as well as on that posted Form 470 on the SLD web site.

Item 18 - For contracted services, enter the date that your contract for this service was signed, using mm/dd/yyyy format. For tariffed services and month-to-month services that you have identified as such in Item 15, leave this item blank.

Item 19a - For contracted, tariffed, and month-to-month services, provide the date **when services will start in the funding year** for which you are applying, using mm/dd/yyyy format. Note that discounts will NOT be provided for services delivered before the beginning of the funding year, which starts on July 1. Thus, if this service has already started by the time you file this Form 471, you will use July 1 of the funding year as your Service Start Date.

Item 19b - For tariffed and month-to-month services, enter the date that services will end in the funding year for which you are applying, using mm/dd/yyyy format. For contracted services, see Item 20 below.

Item 20 - For contracted services, enter the date the contract expires, in mm/dd/yyyy format. For tariffed services and month-to-month services that you have identified as such in Item 15, leave this item blank.

Item 21 (8 characters maximum) - Each Block 5 Discount Funding Request must include a description of the products and services for which discounts are being sought. This description is known as an "Item 21 Attachment." Each description must be labeled with a unique "Attachment Number" that you create. For Item 21, please enter the Attachment Number you have created.

You may cite the same description of services in multiple Block 5 Discount Funding Requests. For example, if you are ordering Internal Connections products and services under a single contract for multiple sites and the products and services are the same for each site, each Block 5 Discount Funding Request may refer to a single Item 21 Attachment.

In general, the Item 21 Attachment is a narrative description of the funding request and a line-item listing of the products and/or services requested with their associated costs. Service providers can assist applicants in the preparation of the Item 21 Attachment, which also must include:

- The applicant's name
- The Attachment Number (see above)
- The applicant's Billed Entity Number, and
- The Form 471 application number, if one has been assigned through online filing.

The line-item listing of products and services may be submitted in a table format as follows:

Quantity	Description of Product or Service	Unit Cost	-----Extended Cost-----	
			Recurring	Non-Recurring

In some circumstances, additional information may be required. For example:

- Ensure that any included ineligible products and/or services are identified and the cost of such products and/or services is deducted.
- For maintenance services, include the specific list of components to be covered and break out the pricing for maintenance of these components.
- For telephone services, indicate the number of phone lines and/or cell phones receiving service, and provide information about their use if any will be used for other than educational purposes.
- A price quotation from the service provider, a representative bill for continuing services, or the criteria used to estimate new or increased costs, may be submitted if sufficient detail is provided in that documentation to determine the eligibility of the funding request.
- If products or services are being purchased under a state master contract, include the contract number (if available) and the expiration date of the state master contract.
- Include an explanation of the purpose, location, breakdown of up-front costs, or other information to provide a clear explanation of the funding request.

If questions arise during review of an application, the SLD may reach out to the applicant to request additional information. For this reason, applicants can significantly speed up the application review process by including complete information in the Item 21Attachment.

Item 22 - Entities receiving this service. For site-specific services that will be provided to one individual entity and not shared by others (for example, a local area network to be installed in one school building), provide the Entity Number of the individual entity receiving that service in **Item 22a**. For shared services used jointly by multiple entities (such as telecommunications services provided to all of the outlets/branches in a library system), list the Block 4 Worksheet Number that shows the sharing entities and calculates the shared discount for this service in **Item 22b**.

Item 23 - Use the step-by-step calculation grid to arrive at the total amount of your funding request. You may round dollar amounts to the nearest dollar, but please use numerals and include all digits. **DO NOT use words such as 1 million**, in place of 1,000,000. Note that if you are seeking support on multi-year contracts, **you may request funding only for that portion of the contract that is delivered in the relevant funding year.**

Use Columns A-E for ***recurring*** charges (monthly charges) for this service, and Columns F-H for ***non-recurring*** charges (one-time charges) for this service.

You may request discounts only for products and services delivered in the relevant funding year. Recurring services must be delivered between July 1 and June 30 of the funding year. Non-recurring services must generally be delivered between July 1 and the September 30 following the close of the funding year. For more information, please refer to "Service Delivery Deadlines and Extension Requests" on the SLD web site at www.sl.universalservice.org.

Item 23, Column A: Estimate your total monthly cost for this service. If the cost of service fluctuates from month to month, you may use the average of past bills to estimate the monthly cost.

If you expect to pay a non-recurring charge in multiple installments over the funding year, you should either amortize this charge in Columns A-E or include the full amount of this charge in Columns F-H. **DO NOT** include this amount under both recurring and non-recurring charges. If you amortize this charge in Columns A-E, you will not be eligible for discounts on the non-recurring services provided after June 30 of the funding year.

Item 23, Column B: Enter the total cost associated with ANY ineligible services, entities, or uses included in your monthly charges. The following represent some common ways in which eligible and ineligible costs are bundled together, and how you can go about deducting the ineligible costs.

- **Eligible services bundled with ineligible services:** While you may contract with the same service provider for both eligible and ineligible services, your contract or purchase agreement must clearly break out costs for eligible services from those for ineligible services. If the eligible and ineligible services were purchased together at a special "bundled" price, a proportionate cost allocation is required between the eligible and ineligible components. The applicant will use this reduced price when requesting universal service discounts on the eligible service. For example, if a provider offers to sell a school an eligible service for $10.00 and an ineligible service for $20.00, but also offers them as a bundle for $24.00, this would indicate that the provider is offering a $6.00, or 20%, price reduction. Therefore, the school could treat $10.00 - 20% = $8.00 as eligible for universal service support.

- **Services shared by eligible and ineligible entities:** When you share a service with an ineligible entity, the provider may receive reimbursement only for that portion of the service that eligible entities are receiving. To help auditors confirm that this rule is being observed, you must keep and retain careful records of how you have allocated the costs of shared services and facilities among eligible and ineligible entities. You should maintain these records consistent with any measures that may be established by the FCC, the SLD, or state commissions.

- **Bundled services from an Internet service provider:** You may receive discounts on access to the Internet but not on separate charges for particular proprietary content, other information services, or a package including content and conduit. The only exception is when the bundled package includes minimal content and provides a more cost-effective means of securing access to the Internet than other non-content alternatives. Thus, if a service provider bundles Internet access with a package of content that is available to all customers free of charge, the entire price of that bundle will be eligible for support. However, if the service provider a) does not offer an access-only service, and b) offers Internet users access to its proprietary content for a price, then you may treat the difference between the content-only price and the price it charges for its bundled access as the price of non-content Internet access.

Item 23, Column C: Subtract the amount in Column B from the amount in Column A to arrive at your eligible monthly pre-discount cost.

Item 23, Column D: Provide the number of months you will be receiving this service in the funding year.

Item 23, Column E: Multiply Column D by Column C to arrive at your annual pre-discount cost for eligible recurring services.

Item 23, Column F: Estimate your total annual amount of non-recurring (one time) pre-discount charges for this service.

Item 23, Column G: Provide the total cost here associated with any ineligible service, entities, or uses included in your total annual cost of service. See notes on Column B, above, for more information.

Item 23, Column H: Subtract the amount in Column G from the amount in Column F to arrive at your total eligible pre-discount cost for non-recurring services.

Item 23, Column I: Add together columns E and H to arrive at your total eligible pre-discount costs (recurring and non-recurring) for the year.

Item 23, Column J: Enter the correct discount for this service, which is the discount you calculated for the entity or entities cited in Item 22. Refer back to the appropriate Block 4 worksheet to assure that you enter the correct discount.

Item 23, Column K: Multiply the amount in Column I by the discount in Column J to arrive at your total funding commitment requested for this service.

G. Block 6: Certification and Signature

Block 6 requires schools and libraries to certify certain information. This information is required to ensure that only eligible entities receive support under the universal service discount mechanism.

"Do Not Write In This Area" - The SLD uses this space to apply a bar code to your form upon receipt, so that we can properly track and archive your form.

Special Block 6 Instructions for Applications Filed Online

- When you have completed the online filing of Blocks 1-5, please print your application to retain a copy for your records.

- You must also submit the Block 6 certification.

  - If you have a User ID and PIN and wish to submit your Block 6 certification online, follow the directions online. When you submit your certification online, you will receive a confirmation so that you can be assured that your submission has met any filing deadlines. If you file online and use online certification, do not mail any part of your Form 471 to the SLD, but do mail the Item 21 attachments to the SLD as soon as possible after completing your Form 471. Make a copy of the online certification confirmation page and attach that to the top of the Item 21 attachment so that the SLD will be able to match the Item 21 attachment with the correct Form 471. Check the "PIN Request Area" of the SLD web site for information about obtaining a User ID and a PIN.

  - If you wish to submit the completed and signed Block 6 certification on paper, print Block 6 using your browser. When you print Block 6 using the browser, the form will automatically include your Form 471 Application Number, Applicant Name, and Applicant Address. Item 34 requires the signature of the authorized person who will certify to the accuracy of the information on the form. Also, you must complete Items 24-33. Mail the signed Block 6 to: **SLD-Form 471, P. O. Box 7026, Lawrence, Kansas 66044-7026.** For express delivery services or U.S. Postal Service Return Receipt Requested, send to **SLD-Form 471, c/o Ms. Smith, 3833 Greenway Drive, Lawrence, Kansas 66046**. Note: Do not mail the complete Form 471. Mail only the signed Block 6 certification page along with your Item 21 Description of services and any other attachments. If the Block 6 certification is submitted on paper, you are advised to keep proof of the date of mailing.

For all applicants, filing on paper or online:

Item 24 - Certify that the entities listed in Block 4 of your application are eligible schools and/or libraries. If your application includes schools and all of the information in **Item 24a** is true of those schools seeking to receive discounted services, you should check the box in Item 24a. If

your application includes schools and any of the information in Item 24a is not true for the schools seeking to receive discounted services, those schools are not eligible to receive support under the universal service discount mechanism, and you should not check this box.

If your application includes libraries or library consortia and all of the information in **Item 24b** is true of the libraries seeking to receive discounted services, you should check the box in Item 24b. If your application includes libraries or library consortia and any of the information is not true for the libraries or library consortia seeking to receive discounted services, those libraries or library consortia are not eligible to receive support under the universal service discount mechanism, and you should not check this box.

Item 25 - Certify that the current budget and any other budgets applicable to the current funding year for the eligible schools and libraries listed in Block 4 of this application will provide sufficient funding in this funding year to purchase all of the resources—including computers, training, software, maintenance, and electrical connections—that are necessary for you to make effective use of the eligible services you have requested in Block 5, as well as to pay the non-discounted portion of the charges for eligible services.

As part of our review of your Item 25 certification, the SLD may request additional documentation to support your certification. The certification in Item 32 below states that you will retain for five years any and all worksheets and other records that you rely upon to fill out your Form 471. For Item 25, these worksheets and records include:

- **Paying your share of E-rate eligible costs.** You may be asked to provide documentation of your ability to pay the non-discounted portion of the products and services for which you have applied for discounts. You should already have the funds identified in your budget to pay for these costs. If your budget is not yet final, we may request additional documentation to substantiate your certification.
- **Paying for ineligible costs.** You may be asked to provide estimates of hardware, software, professional development, retrofitting (construction and electrical work necessary to prepare a building for technology), maintenance investments and other resources that are necessary to make effective use of the E-rate discounts you have requested. These resources may or may not be eligible for E-rate discounts. Again, if these resources will be purchased under your budget, you should already have the funds identified in your budget to pay for them. However, these resources may also be ones that you already have or own, such as computers purchased or donated in a prior year.
- **Technology Plan.** If you applied for more than basic local and long distance telephone services, you may be asked to provide a copy of your Technology Plan. Your Technology Plan should include a description of the products and services necessary to accomplish your technology service goals, whether they are eligible or ineligible for E-rate discounts.
- **Status of technology before and after E-rate discounts.** You may be asked to provide an estimate of the level of technology for all recipients of discounted services included in your application. This estimate would describe the level of technology for each recipient

both at the beginning of the funding year and after the planned products and services in your Technology Plan are delivered and installed.

Items 26 and 27 concern the technology plans that must be prepared and approved before schools and libraries may receive discounted services under the universal service support mechanism. The only schools and libraries that do not have to comply with the technology plan requirement are those entities requesting support ONLY for basic local and long distance telephone service.

Item 26 - Check the box that best describes the level of technology plan.

- **Item 26a -** Check here if the eligible entities are covered by individual technology plans for the services requested in your application.
- **Item 26b -** Check here if the eligible entities are covered by a higher-level, multi-entity technology plan, such as a school district or library system plan. Statewide technology plans are not acceptable.
- **Item 26c -** Check here if your application is ONLY for basic local and long distance telephone service, in which case no technology plan is required.

Item 27 - Check the box that best describes the status of the technology plan.

- **Item 27a -** Check here if your technology plan has been approved.
- **Item 27b -** Check here if you are currently seeking approval of your technology plan(s) from a state or other authorized body.
- **Item 27c -** Check here if your application is ONLY for basic local and long distance telephone service, since no technology plan is required.

Item 28 - Certify that you have complied with all applicable state and local laws or rules regarding procurement. The FCC's rules are not intended to preempt state or local procurement rules.

Item 29 - Certify that services ordered pursuant to the universal service discount mechanism will be used for educational purposes only and that the services will not be sold, resold, or transferred in consideration for money or any other thing of value.

Item 30 - Certify that you have complied with all program rules and that you acknowledge failure to do so may result in denial of discount funding and/or cancellation of funding commitments.

Item 31 - Certify that you understand that the discount level used for shared services is conditional, for future years, upon ensuring that the most disadvantaged schools and libraries that are treated as sharing in the shared services receive an appropriate share of benefits from those services, as defined by the FCC.

Item 32 - Certify that you are aware that you may be audited to ensure that the information that you are providing in this form is accurate and that you are abiding by all of the relevant regulations. You must also commit to retain any and all worksheets and other records that you have relied upon to fill out Form 471 for five years so that an auditor can verify the accuracy of the information you provide. This includes all documentation showing that you have complied with all applicable competitive bidding requirements, including copies of competing bids and documentation of the bid evaluation process and bid criteria used. Thus, if applicants represent multiple billed entities, collect data from those entities, and add up that data, they should retain those data sheets for five years. If an applicant is audited, it should be prepared to make the worksheets and other records used to compile these forms available to the auditor and/or the administrator, and it should be able to demonstrate to the auditor and/or the Administrator how the entries in its application were provided.

Item 33 - Certify that you are the person authorized to submit and certify to the accuracy of this form. This person must be authorized to represent any and all of the entities for which discounts are sought in this application. Documentation to confirm this person's authorization to represent all entities in this application may be sought by the Fund Administrator during review of this application. For example, for consortium applications, the consortium lead member must either collect Letters of Agency from each consortium member or be able to provide some other proof that each consortium member knew it was represented on the application. Consortia that have a statutory or regulatory basis and for which participation is mandatory must be able to provide documentation supporting this certification. For consultants or other signers who are not employees of the Billed Entity, those individuals must also have a Letter of Agency from the applicant affirming that they are authorized to represent the applicant. For more information, please refer to "Letters of Agency" on the SLD web site at www.sl.universalservice.org.

Item 34 requires the signature of the authorized person.

Item 35 requires that the date of signature of the Form 471 be provided. Please note that for applications requesting new services, this date CANNOT be earlier than any Allowable Vendor Selection/Contract Date you cited in Item 17 of any Block 5 submitted with this application.

Item 36 (30 characters maximum) - Print the name of the authorized person whose signature is provided in Item 34.

Item 37 (30 characters maximum) - Provide the title or position of the authorized person whose signature is provided in Item 34.

Item 38 - Provide the telephone number, including area code, of the authorized person whose signature is provided in Item 34.

V. REMINDERS

- All schools and libraries ordering services eligible for universal service discounts must file Form 471 each time they order telecommunications services, Internet access, and internal connections for which they are requesting discounts.

- Form 470 must be posted to the SLD web site for at least 28 days before filing Form 471.

- If you are applying for both Priority 1 (Telecommunications Services or Internet Access) and Priority 2 (Internal Connections) services, you are strongly encouraged to file these requests on separate Forms 471 — that is, to file one or more Forms 471 for your Priority 1 requests and one or more Forms 471 for your Priority 2 requests.

- For Funding Year 2003, the application window will open at noon EST on Monday, November 4, 2002 and close at 11:59 p.m. EST on January 16, 2003.

- The authorized individual representing the entity that pays the bills for ordered telecommunications and other supported services for the school, school district, or libraries, or consortium must sign the Form 471 or certify it online.

- Provide data for all items that apply. For items that do not apply, fill in "N/A."

- Attach additional sheets if necessary. Any attachments to Form 471 should be clearly labeled. In addition, your attachments for Item 21 description of services must be clearly labeled with Attachment Numbers assigned by you.

- If you are filing Blocks 1-5 of Form 471 online, you must also complete and submit your Block 6 Certification (whether online or on paper), your Item 21 description of services and any other attachments. If you have not already done so, you must also submit the Block 5 certification of any Form 470 cited in a Funding Year 2003 Form 471 with the signature of the authorized person.

- The Fund Administrator will notify the Form 471 applicant after our review of your application has been completed.

- The Fund Administrator will not provide funds to service providers for any service until FCC Form 486 is filed for that service, indicating that the service recipient's technology plan(s) (if necessary) has/have been approved (unless the recipient seeks only basic local and long distance telephone service) and that service has begun to be provided or that the recipient has confirmed with the service provider that services are schedule to begin in July of the funding year (early filing).

- You may be audited to ensure that the information that you are providing in this form is accurate and that you are abiding by all of the relevant regulations.

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