

**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)**

**CONTENTS**

	<b>Key Information</b>	<b>page 1</b>
	<b>Notice</b>	<b>page 2</b>
<b>I.</b>	<b>Introduction</b>	<b>page 3</b>
<b>II.</b>	<b>Filing Requirements and General Instructions</b>	<b>page 3</b>
<b>III.</b>	<b>Minimum Processing Standards and Filing Requirements</b>	<b>page 7</b>
<b>IV.</b>	<b>Specific Instructions</b>	<b>page 10</b>
<b>V.</b>	<b>Reminders</b>	<b>page 36</b>

**KEY INFORMATION**

- Although it is not required, we encourage you to file your Form 471 online. This speeds the processing of your form, reduces errors, and avoids rejection for failure to meet Minimum Processing Standards.
- 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.”**
- Note the detailed information provided in the specific instructions for Item 25.
- Remember that the Form 471 application filing window for the funding year closes at 11:59 PM EST on the last day of the filing window. It is your responsibility to check the SLD web site or contact the SLD Client Service Bureau (CSB) to get the announcement of the filing window dates. See the **“Filing Requirements for Forms 471 Submitted Either on Paper or 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). See 47 C.F.R. § 54.504. For purposes of this form, the Universal Service Administrator will be referred to as the SLD. 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 applicable 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 section of the USAC 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, as applicable; before you select your service provider for tariffed or month-to-month services; and before you submit your completed 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. See 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. See 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.” See 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.** See 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**

### **When:**

A Form 470 must be posted **for at least 28 days** and a **contract must be signed by the applicant and service provider** for all services, except non-contracted tariffed or month-to-month services, before submitting a completed Form 471 to the SLD.

The Form 470 Receipt Notification Letter will expressly identify the EARLIEST date — the Allowable Vendor Selection/Contract Date — on which you may choose a service provider and, if applicable, execute a contract, and sign and submit a Form 471. The Allowable Vendor Selection/Contract Date will also be indicated on the Form 470 posted in the SLD section of the USAC web site.

The earliest date that a Form 471 can be filed for a particular funding year will be the date established by the SLD 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.” It is your responsibility to check the SLD section of the USAC web site or contact CSB to obtain the filing window dates.

### **Where:**

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

- ***If You Are Filing Online:*** You may complete and submit the Form 471 by filing the Form online at the SLD section of the USAC web site [www.sl.universalservice.org](http://www.sl.universalservice.org). If filing your Form 471 online, you must also complete and submit to the SLD the documents listed below in order to successfully complete the submission of your Form 471 application. See MINIMUM PROCESSING STANDARDS AND FILING REQUIREMENTS below for more details on which requirements must be met by the close of the Form 471 application filing window.

- The Block 6 Certification with the signature of the authorized person (whether online or on paper) is an **in-window filing requirement**.
  - 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 section of the USAC web site for information about obtaining a User ID and a PIN.
- The Item 21 description(s) of services via e-mail, fax or mail are required before applications can be reviewed.
- ***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 SLD. The signed Form 471 must be filed with the SLD **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-Forms 471, ATTN: SLD Form 471, 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.**

### **How Many:**

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 and Basic Maintenance of 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. If there are questions about whether the service provider selection process was conducted in accordance with FCC rules, decisions on both Priority 1 and Priority 2 requests may be delayed while that process is reviewed.**

### **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 section of the USAC web site at [www.sl.universalservice.org](http://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 section of the USAC web site for guidance in completing this form. Complete program information is also available by contacting CSB via e-mail using the “Submit a Question” link on the SLD section of the USAC web site, via fax at 1-888-276-8736, or via toll-free telephone at **1-888-203-8100**.

### **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. Under FCC rules, 47 C.F.R. § 516(a)(2), you are required to retain the worksheets and other records used to compile these forms for at least five years after the last day of service delivered. 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 you represent multiple entities, collect data from those entities, and add up that data, you must retain those data sheets for at least five years. If you are audited, you must be able to make the worksheets and other records used to compile these forms available to the auditor and/or the SLD, and you must be able to demonstrate to the auditor and/or the SLD how the entries in its application were derived.

The following descriptive list is provided to illustrate documents that service providers and program beneficiaries must retain pursuant to program recordkeeping requirements. This list is provided as a guideline and can't be considered exhaustive.

- Pre-bidding Process – Beneficiaries must retain the technology plan and technology plan approval letter. If consultants are involved, beneficiaries must retain signed copies of all written agreements with E-rate consultants.
- Bidding Process – All documents used during the competitive bidding process must be retained. Beneficiaries must retain documents such as: RFP(s) including evidence of the publication date; documents describing the bid evaluation criteria and weighting, as well as the bid evaluation worksheets; all written correspondence between the beneficiary and prospective bidders regarding the products and service sought; all bids submitted, winning and losing; and documents related to the selection of service provider(s). Service providers must retain any of the relevant documents described above; in particular, a copy of the winning bid submitted to the applicant and any correspondence with the applicant. Service providers participating in the bidding process that do not win the bid need not retain any documents.
- Contracts – Both beneficiaries and service providers must retain executed contracts, signed and dated by both parties. All amendments and addendums to the contracts must be retained, as well as other agreements relating to E-rate between the beneficiary and service provider, such as up-front payment arrangements.
- Application Process – The beneficiary must retain all documents relied upon to submit the Form 471, including National School Lunch Program (NSLP) eligibility documentation supporting the discount percentage sought; documents to support the necessary resources certification pursuant to section 54.505 of the Commission's rules, including budgets; and documents used to prepare the Item 21 description of services attachment.
- Purchase and Delivery of Services – Beneficiaries and service providers should retain all documents related to the purchase and delivery of E-rate eligible services and equipment. Beneficiaries must retain purchase requisitions, purchase orders, packing slips, delivery and installation records showing where equipment was delivered and installed or where services were provided. Service providers must retain all applicable documents listed above.
- Invoicing – Both service providers and beneficiaries must retain all invoices. Beneficiaries must retain records proving payment of the invoice, such as accounts payable records, service provider statement, beneficiary check, bank statement or ACH transaction record. Beneficiaries must also

be able to show proof of service provider payment to the beneficiary of the GEAR, if applicable. Service providers must retain similar records showing invoice payment by beneficiary to the service provider, USAC payment to the service provider, payment of the BEAR to the beneficiary, through receipt or deposit records, bank statements, beneficiary check or ACH transaction record, as applicable.

- **Inventory** – Beneficiaries must retain asset and inventory records of equipment purchased and components of supported internal connections services sufficient to verify the location of such equipment. Beneficiaries must also retain detailed records documenting any transfer of equipment within three years after purchase and the reasons for such a transfer.
- **Forms and Rule Compliance** – All program forms, attachments and documents submitted to USAC must be retained. Beneficiaries and service providers must retain all official notification letters from USAC, as applicable. Beneficiaries must retain FCC form 470 certification pages (if not certified electronically), FCC Form 471 and certifications pages (if not certified electronically), FCC Form 471 Item 21 attachments, FCC Form 479, FCC Form 486, FCC Form 500, FCC Form 472. Beneficiaries must also retain any documents submitted to USAC during PIA review, Selective Review and Invoicing Review, or for SPIN changes or other requests. Service providers must retain FCC Form 473, FCC form 474 and FCC Form 498, as well as service check documents. In addition, beneficiaries must retain documents to provide compliance with other program rules, such as records relevant to show compliance with CIPA.

### III. MINIMUM PROCESSING STANDARDS AND FILING REQUIREMENTS

#### Paper Filers:

#### 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 Minimum Processing Standards (MPS) before data entry begins. MPS are necessary in order to ensure the timely and efficient processing of properly completed applications. If a Form 471 fails to meet MPS, 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.

#### 1. **Correct Form:** Each Form 471 must be:

- a. the correct, OMB-approved FCC Form 471, with a date of October 2004 or later in the lower right-hand corner and;
- 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, at least one 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 – Name of Billed Entity or

- b. Item 3 – Billed Entity Number.

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

**3. 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 13 or Item 14 – Either the Service Provider Identification Number or the Service Provider Name;
- b. Item 23 – Sufficient information for the SLD to see or accurately calculate your funding commitment request in Item 23K. For example, the SLD could accurately calculate your funding commitment request if you provided entries in Item 23E (Annual pre-discount amount for eligible recurring charges), Item 23H (Annual eligible pre-discount amount for non-recurring services), and Item 23J (Discount from Block 4 Worksheet). Please note that you can't increase your request after filing your Form 471, unless you submit a new Form 471. Therefore, you should take care to complete **ALL** applicable fields in 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.

**4. Valid Certification:** Block 6, Item 38 – Signature of authorized person must be completed and all certifications must be included in the submission. If Item 38 is left blank or the page containing the Block 5 certifications is missing, the Form 471 will be rejected. If the Block 6 certification is not received or postmarked within the application filing window, the entire application will be considered as filed outside of the window.

## **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 valid signature requirement in #4 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 be rejected because it does not meet the application window filing requirements.

## **Filing Requirements for Forms 471 Submitted Either on Paper or Online:**

- 1. Application Materials:** The following materials associated with the Form 471 must be received by 11:59 p.m. EST on or before the last day of the Form 471 application filing window, if filed online, or postmarked on or before the last day of the Form 471 application filing window, if filed on paper, in order for the request to receive consideration as inside the window. It is your responsibility to check the SLD section of the USAC web site or contact CSB to obtain the announcement of the filing window dates.

The required materials are:

- The Form 471 itself (whether online or on paper)
- The Block 6 certification pages of the Form 471 with the signature of the authorized person (whether online or on paper)
- The Block 6 certification of any Form 470 cited in a 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 Form 471 Block 5 funding request based on a Form 470 whose certification has not been received by 11:59 p.m. EST on or before the last day of the Form 471 application filing window, if filed online, or postmarked on or before the last day of the Form 471 application filing window, if filed on paper, will be denied.

**2. Item 21 Attachment Labeling:** Label your attachment as "Item 21 Attachment," and include the application number of the Form 471 it supports, or 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. While the Item 21 attachment is not a window-filing requirement, you are encouraged to send it in either with your Form 471 or your Form 471 Certification, or as soon as possible after you submit your Form 471 so that review of your application can begin. Send your Item 21 Attachment to the SLD via e-mail, fax or mail. (See "Item 21 Attachments For Form 471" posted in the Reference Area of the SLD section of the USAC web site for more information.)

**Form 471 Application Filing Window Deadline:** It is your responsibility to check the SLD section of the USAC web site or contact CSB to obtain the filing window dates. Failure to file the Form 471 application materials by the deadline will place the entire application outside the window, and your funding will be jeopardized.

#### IV. SPECIFIC INSTRUCTIONS

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

##### 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** - 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** - 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. A billed entity may also be a city, a state, or an entity created solely to participate in this universal service discount mechanism, provided that the entity actually pays 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 the following June 30. For example, Funding Year 2005 runs from July 1, 2005 to June 30, 2006. 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, 2005 through June 30, 2006).

**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 contact CSB. (See “**Assistance in Completing This Form**” above.)

**Items 4a-4c** - 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 SLD may need to contact you via overnight or express delivery. In addition, please provide your telephone number with area code and extension and your fax number.

**Item 5** - Check the one box that best describes the type of application you are filing. If you are filing as an individual school, you should check the first box. If you are filing as a school district or local education agency (LEA), you should check the second box. If you are filing as a library (outlet/branch, system, or library consortium as defined under LSTA), 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.)

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** - 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, or fax number is different from those specified for the applicant in Item 4, please provide that information here. Also provide the contact person’s e-mail address. You **MUST** check your preferred mode of contact and provide the contact information for your preferred mode. 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.

### **C. Blocks 2 & 3: Impact of Services Ordered on Schools**

Blocks 2 & 3 ask for data to help the SLD document the potential impact of the universal service program for schools and libraries across the country, and compare that impact from year to year. These blocks request data pertinent to all applications filed by the Billed Entity for this funding year. If you file multiple applications, you should provide this data only on your first application, but your data should cover all the applications you will file. You need complete only those items that are relevant to your application(s). Please use precise data wherever possible, and your best estimates wherever necessary.

Schools/school districts should complete Block 2, Item 7, libraries should complete Block 3, Item 8, and consortia should complete either or both as appropriate.

These questions ask you to quantify the expected outcomes of the services you are ordering with all applications. The questions focus on typical benchmarks of technology development for schools and libraries, and request data about these benchmarks before and after your request for and receipt of supported services as reflected across all your Forms 471. Some questions are more relevant to certain types of applicants than others. **Please answer ALL the questions that are relevant to your situation and all of the applications you will file for this funding year.** If the quantity or capacity of a service you receive pursuant to receipt of funding remains the same before and after your request, please complete that question by entering the same data in both columns.

#### **Block 2: Impact of Services Ordered on Schools:**

**Item 7a** - Provide the total number of students that will potentially be affected by the services ordered in all Form 471 applications filed by this Billed Entity.

**Item 7b** - If you are requesting support for telephone service to reach classrooms, please indicate how many classrooms had telephone service before and after your receipt of supported services.

**Item 7c** - If your request for supported services includes dial-up Internet access, please identify the number of dial-up connections before and after your receipt of supported services.

**Item 7d** - If your request for supported services includes direct broadband services, please indicate how many buildings had such service before your receipt of supported services and how many will have such service after your receipt of supported services at the following speeds: less than 10 mbps, between 10 mbps and 200 mbps, and greater than 200 mbps.

**Item 7e** - If your request for supported services includes direct connections to the Internet, please indicate the number of such drops before and after your receipt of supported services. (A drop is defined as one port.)

**Item 7f** - Provide your best estimate of the number of classrooms with Internet access before and after your request for receipt of supported services.

**Item 7g** - 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 request for supported services, and how many will have Internet access after your receipt of supported services. These devices may access the Internet directly or via a local area network.

#### **Block 3: Impact of Services Ordered on Libraries:**

**Item 8a** - Provide the approximate number of patrons potentially affected by the request for supported services in all Form 471 applications filed by this Billed Entity, as defined by the number of cardholders served or other estimates of regular library users.

**Item 8b** - If you are requesting support for telephone service to reach library rooms, please indicate how many rooms had telephone service before and after your receipt of supported services.

**Item 8c** - If your request for supported services includes dial-up Internet access, please identify the number of dial-up connections before your request for supported services and after your receipt of supported services.

**Item 8d** - If your request for supported services includes direct broadband services, please indicate how many buildings had such service before your request for supported services and how many will have such service after your receipt of supported services at the following speeds: less than 10 mbps, between 10 mbps and 200 mbps, and greater than 200 mbps.

**Item 8e** - If your request for supported services includes direct access to the Internet, please indicate the number of such drops before your request for supported services and after your receipt of supported services. (A drop is defined as one port.)

**Item 8f** - Provide your best estimate of the number of buildings (including bookmobiles) with Internet access before your request for supported services and after your receipt of supported services.

**Item 8g** - 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 request for supported services, and how many will have Internet access after your receipt of supported services. These devices may access the Internet directly or via a local area network.

#### **D. Block 4: Discount Calculation Worksheets**

This block consists of one worksheet designed to meet the needs of those filing as:

- Schools/school districts.
- Libraries (outlet/branch, system).
- Consortia.

Applicants must complete a separate worksheet for each group of entities sharing one or more services. In addition, if you are filing as a consortium, you may also need to include one or more worksheets for individual school or school district consortium members and/or one or more worksheets for library outlet/branch or library system members.

Below is a list of the columns that must be completed for the type of entity represented on the worksheet. Detailed information for completing the worksheet follows this list.

For an individual school, complete:

- School District Name
- School District Entity Number
- Column 1 – Name of Eligible Entity
- Column 2 – Entity Number AND NCES Code
- Column 3 – Urban or Rural
- Column 4 – Total Number of Students (in the individual school)
- Column 5 – Number of Students Eligible for NSLP (in the individual school)
- Column 6 – Percent of Students Eligible for NSLP (in the individual school)
- Column 7 – Discount from Discount Matrix
- Column 9 – Pre-K, Adult Ed or Juvenile Justice
- Column 10 – Alternative Discount Mechanism

For a school district or group of schools in a school district sharing services, complete:

- A complete entry as defined above for each individual school
- Column 8 – Weighted Product for Calculating Shared Discount
- Total of Column 4 entries
- Total of Column 8 entries
- Column 13 – Shared Discount

For a library outlet/branch, complete:

- Library System Name
- Library System Entity Number
- Column 1 – Name of Eligible Entity
- Column 2 – Entity Number AND FSCS Code
- Column 3 – Urban or Rural
- Column 4 – Total Number of Students (in the school district in which the library outlet/branch is located)
- Column 5 – Number of Students Eligible for NSLP (in the school district in which the library outlet/branch is located)
- Column 6 – Percent of Students Eligible for NSLP (in the school district in which the library outlet/branch is located)
- Column 7 – Discount from Discount Matrix
- Column 11 – Entity Number of School District in which Library Outlet/Branch is Located

For a library system or group of library outlets/branches in a library system sharing services, complete:

- A complete entry as defined above for each library outlet/branch
- Total of Column 7 entries
- Column 13 – Shared Discount

For a consortium, complete:

For the preparatory worksheets that determine the shared discounts for member entities that are school districts, library systems, or subsets of those entities sharing services:

- One worksheet for each consortium member that is a school district or library system
- One worksheet for each group of individual schools in one school district or each group of library outlets/branches in one library system that is sharing services.

For each worksheet that determines the shared discount for member entities sharing services:

- A complete entry as defined above for each individual school or library outlet/branch that is a consortium member
- An entry for each member entity represented by a preparatory worksheet, as follows:
  - Column 1 – Name of Eligible Entity
  - Column 2 – Entity Number
  - Column 12 – Discount of Member Entity
  - Total of Column 12 entries
  - Column 13 – Shared Discount

### **Detailed Instructions**

#### **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 these instructions.

**Item 9a** - If you are filing this application as:

- a school, you need only complete one line of Item 9a, Columns 1-7 and Columns 9-10. 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 and Columns 9-10 of Item 9a 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 1-10 for each of your schools PLUS Item 9b for school districts.
- a school district and 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 1-10 PLUS Item 9b for school districts, for each different group of schools sharing a service, which will result in a weighted average discount for that group of schools. You will then label the worksheets 1, 2, 3, etc.

**Item 9b** - Use this item as instructed in Item 9a to calculate the appropriate discount(s).

**Item 9a, 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 9a, Column 2:** List each school’s Entity Number and NCES Code. If you do not know the Entity Number or NCES Code for a particular school or administrative building, contact CSB. CSB can also provide more information on how to locate NCES Codes.

**Item 9a, 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 section of the USAC web site. 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 and 9-10)***

**Item 9a, 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 9a, Column 5:** Provide the number of students eligible for 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 NSLP 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 section of the USAC web site.

**Item 9a, Column 6:** For each school, divide Column 5 by Column 4 to arrive at the percentage of students eligible for NSLP. 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 9a, 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, contact CSB. For “New School Construction” or for an “Administrative Entity” ONLY, enter the Weighted Average Discount for the School District. (A preparatory worksheet containing all the schools in the School District must be submitted documenting the Weighted Average Discount for the School District. If you are submitting your application on paper, a worksheet including all schools in the School District must be submitted and labeled “All Schools in the School District.”)

**Item 9a, Column 9:** Check this box if the individual school includes pre-kindergarten, adult education, or juvenile justice students and/or facilities.

**Item 9a, Column 10:** Check this box if the individual school used an alternative discount mechanism to calculate its entry in Column 5 for the number of students eligible for NSLP.

**DISCOUNT MATRIX**

<b>INCOME</b> <b>Measured by % of students eligible</b> <b>for the National School Lunch</b> <b>Program</b>	<b>URBAN LOCATION</b>  <b>Discount</b>	<b>RURAL LOCATION</b>  <b>Discount</b>
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 9b)***

**Item 9a, 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 9b, Column 4:** 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 9b, Column 8:** 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 9b, Column 13:** 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 Column 13. Discount calculations may be rounded up only when fully half a discount point is reached. If you file online, the system will calculate this figure for you.

## **Discount Calculation for those entities filing as Libraries**

If you checked the third box in Block 1, Item 5, you should use these instructions.

**Item 9a** - If you are filing this application as:

- a library consisting only of one outlet/branch, you need only complete one line of Item 9a, Columns 1-7 and Column 11. 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/branches and will not be shared, complete Columns 1-7 and Column 11 of Item 9a for each outlet/branch.
- 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 1-7 and Column 11 PLUS Item 9b for library systems.
- 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 1-7 and Column 11 PLUS Item 9b for library systems, for each different group of outlets/branches sharing a service. You will then label the worksheets 1, 2, 3, etc.

**Item 9b** - You will use this item as instructed in Item 9a to calculate the appropriate discount(s).

**Item 9a, 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 9a, Column 2:** List the Entity Number and FSCS Code for each library outlet/branch. If you do not know the Entity Number or FSCS Code for a particular library outlet/branch or administrative building, contact CSB. CSB can also provide more information on how to locate FSCS Codes.

**Item 9a, Column 3:** Indicate whether each library outlet/branch 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 section of the USAC web site. 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.

### ***Identifying the Site-Specific Discount for Each Library Outlet***

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 NSLP 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 NSLP, you may generally obtain the necessary information by contacting your local school district.

**Item 9a, Column 4:** List the total number of K-12 students in the school district in which the library outlet/branch is located. For “New Library Construction” or for an “Administrative Entity,” enter “0” in this item.

**Item 9a, Column 5:** Provide the number of students eligible for the National School Lunch Program (NSLP) in the school district in which the library outlet/branch is located as of the October 1st prior to the filing of this form, or use the most current figure available. For “New Library Construction” or for an “Administrative Entity,” enter “0” in this item. You may choose to use an actual count of students eligible for the NSLP or use federally approved alternative mechanisms to determine the level of poverty for purposes of the universal service discount program. Libraries 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 section of the USAC web site.

**Item 9a, Column 6:** For each library, divide Column 5 by Column 4 to arrive at the percentage of students eligible for the NSLP in the school district in which the library outlet/branch is located. Discount calculations may be rounded up only when fully half a discount point is reached. For example, an urban library with a discount eligibility of 34.499% will round down to 34%, and an urban library 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 Library Construction” or for an “Administrative Entity,” leave this item blank.

**Item 9a, Column 7:** Using the percentage in Column 6 and the Discount Matrix (see below), you should determine the percentage discount to which the library outlet/branch is entitled. If you file online, the system will calculate this figure for you. If you have any questions about determining this figure, contact CSB. For “New Library Construction” or for an “Administrative Entity” ONLY, enter the shared discount for the Library System. (A preparatory worksheet containing all the library outlets/branches in the Library System must be submitted documenting the shared discount for the Library System. If you are submitting your application on paper, a worksheet including all library outlets/branches in the Library System must be submitted and labeled “All Library Outlets/Branches in the Library System.”)

## DISCOUNT MATRIX

<b>INCOME</b> <b>Measured by % of students eligible</b> <b>for the National School Lunch</b> <b>Program</b>	<b>URBAN LOCATION</b>	<b>RURAL LOCATION</b>
	<b>Discount</b>	<b>Discount</b>
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%

**Item 9a, Column 10:** Check this box if the library used an alternative discount mechanism to calculate its entry in Column 5 for the number of students eligible for NSLP.

**Item 9a, Column 11:** List the entity number of the school district in which the library outlet/branch is located.

### *Calculating the Shared Discount for the Library System*

**Item 9b, Column 7:** Add up all of the discounts in this column and enter the total in the cell at the bottom of Column 7. If you file online, the system will calculate this figure for you.

**Item 9b, Column 13:** Divide the total at the bottom of Column 7 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 Column 13. Discount calculations may be rounded up only when fully half a discount point is reached. This is the library system's shared discount. If you file online, the system will calculate this figure for you.

### **Discount Calculation for Consortia**

If you checked the fourth box in Block 1, Item 5, as a consortium of schools, school districts, libraries (outlets/branches, systems) or any combination of the above, you should use these instructions.

**Item 9a -** 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,
  - For an individual school or library outlet/branch member entity, enter a complete line as described above if you have not already done so on another worksheet.
  - For a school district or library system member entity, complete a worksheet as described above.
- 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),

- For an individual school or library outlet/branch member entity, enter a complete line as described above plus Column 12 for each member entity.
- For a school district or library system member entity, complete a separate worksheet to calculate the discount for that entity as described above, then complete Columns 1, 2 and 12 for each member entity.
- When you have listed all your member entities that will share these services, complete Item 9b for consortia.
- 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 for shared services as described above for each different group of consortium members sharing a service. You will then label the worksheets 1, 2, 3, etc.

**Item 9b** - You will use this item as instructed in Item 9a to calculate the appropriate discount(s).

**Item 9a, 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 9a, Column 2:** List each eligible consortium member's Entity Number and NCES Code (for schools) or FSCS Code (for libraries). If you do not know the Entity Number, NCES Code, or FSCS Code for a particular eligible consortium member, contact CSB. CSB can also provide more information on how to locate NCES Codes and FSCS Codes.

***Identifying the Site-Specific Discount for Each Member***

**Item 9a, Column 12:** 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 Column 7. You may attach a completed worksheet showing the calculations for an individual school that is a member of your consortium, or you may enter a completed line for that school on your consortium worksheet.
- If the member is a school district, use the discount from Item 9b of the worksheet for the school district (the weighted average discount). Attach the completed worksheet 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 from Column 7. You may attach a completed worksheet showing the calculations for an individual library outlet/branch that is a member of your consortium, or you may enter a completed line for that library outlet/branch on your consortium worksheet.
- If the member is a library system, use the discount from Item 9b of the worksheet for the library system (the shared discount). Attach the completed worksheet showing these calculations for each library system that is a member of your consortium.

### *Calculating the Shared Discount for the Consortium*

**Item 9b, Column 12:** If any entities on your consortium worksheet are individual schools or library outlets/branches, enter their discount(s) from Column 7 in Column 12. 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 9b, Column 13:** Divide the total at the bottom of Column 13 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 Column 13. Discount calculations may be rounded up only when fully half a discount point is reached. This is the shared discount for the entire consortium. If you file online, the system will calculate this figure for you.

#### **E. Block 5: Discount Funding Request(s)**

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 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 (but not necessarily the individual service within that contract, as long as they are in the same category of service, e.g., Internal Connections Other than Basic Maintenance).
- 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 must go on separate Funding Requests, since the PBX is categorized as Internal Connections and the phone service is categorized as Telecommunications Services. Check the “Eligible Services List” and any updates on the SLD section of the USAC web site to identify the category where each service belongs.
- Local phone service.
- Long distance phone service (if, for example, your long distance service is billed separately from your local phone service on a bill from a different service provider).
- Site-specific service (service not shared by other sites).
- Services ordered based on different Forms 470, services corresponding to each Form 470 must be reported on separate Funding Requests with the relevant Form 470 Application Numbers. This includes services ordered from the same service provider in the same category of service if the order is based on different Forms 470.
  
- **Priority 1 and Priority 2 services.** Applicants who are applying for both Priority 1 (Telecommunications Services or Internet Access) and Priority 2 (Internal Connections Other than Basic Maintenance and Basic Maintenance of 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, nor should you inflate your funding request beyond what you are able to substantiate as your likely costs during the funding year. Block 5 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 web site or contact CSB.

**Signed contracts:** You MUST sign a 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, for which you do not have a signed, written contract.
- *Month-to-Month Services:* Month-to-month services for which you do not have a signed, written contract. Your billing arrangement signifies that you are receiving your services on a month-to-month basis.
- *State Master Contracts:* A signed state master contract between the state and service provider(s) meets the FCC’s signed contract requirement. There may be additional state master contract and/or local or state procurement requirements.

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

- **Eligible service providers:** To provide you with eligible services under this program, service providers must secure a Service Provider Identification Number (SPIN) from USAC and certify that they will comply with program rules. **In addition, telecommunications services may be obtained only from telecommunications companies who provide those telecommunication services on a common carriage basis. To be a telecommunications carrier, the carrier must (1) allow the customer to transmit intelligence of its own design and choosing and (2) provide the service to the general public (hold itself out to serve indifferently all potential users) for a fee.** You may check the “SPIN Search” on the SLD section of the USAC web site 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 SLD will assign and insert a unique number to each Funding Request. Leave this item blank.

**Item 10** – If this is a duplicate funding request (e.g., of an FRN that is not yet approved, under appeal, etc.), check this box and enter the original FRN in the space provided.

**Item 11** - Check the correct category for the service listed on this Funding Request. You may check only ONE category. Please consult the “Eligible Services List” and any updates on the web site or contact CSB.

**Item 12** - Provide the 15-digit Form 470 Application Number of the Form 470 in which the services ordered here were sought. This number appears on your Form 470 Receipt Notification Letter.

**Item 13** - Enter the 9-digit 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 “SPIN Search” area of the web site for a list of service provider contacts. A service provider who does not have a SPIN must file the FCC Form 498 to obtain one. The Form 498 and Instructions can be downloaded from the Service Provider Forms area of the web site.

**Item 14** - Provide the full legal name of the service provider for this Funding Request. You may list only ONE service provider per Funding Request. The name of your service provider whose SPIN is indicated in Item 13 above must be provided.

**Item 15** - Provide the contract number for this service.

- **Item 15a** - If this funding request is for a non-contracted tariffed or month-to-month service, check this box.
  - a. Tariffed services. A tariffed service is a telecommunications service that you purchase at prices (rates) regulated by your state regulatory commission and/or the FCC, for which you do not have a signed, written contract.
  - b. Month-to-month services. Certain services are commonly offered on the basis of a month-to-month arrangement where there may be no contract between the customer and the service provider. These include services such as Internet access, cellular services and paging services. These arrangements are different from tariffed services, which may also be offered month-to-month but at regulated prices.
- **Item 15b** - If you are receiving services under a contract, enter the contract number in Item 15b.
  - a. 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 in Item 15b.
  - b. 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 state 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.
- **Item 15c** – Check this box if this funding request is covered under a master contract – a contract negotiated by a third party, the terms and conditions of which are then made available to an eligible entity that purchases directly from the service provider.
- **Item 15d** – Check this box if this funding request is a continuation of an FRN from a previous funding year based on a multi-year contract. If so, enter that FRN in the space provided.

**Item 16** - 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 or multiple Billing Account Numbers, provide one main number in Item 16a, check the box in Item 16b, and attach a list of all the numbers to this page of your application.** 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.

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

**Item 18** - For contracted services, enter the date that your contract for this service was signed, using mm/dd/yyyy format.

- a. For non-contracted tariffed services and month-to-month services, leave this item blank.
- b. If this funding request is covered under a state master contract but the state did not file a Form 470, enter the date that you chose the state master contract as the most cost-effective offering pursuant to your posted Form 470, rather than the date that the state master contract was actually signed.

**Item 19** - For all services, provide the date **when services will start in the funding year** for which you are applying, using mm/dd/yyyy format. In general, 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 20a** - For all services, enter the date that services will end in the funding year for which you are applying, using mm/dd/yyyy format.

**Item 20b** - For contracted services, enter the date the contract expires, in mm/dd/yyyy format. For non-contracted tariffed services and month-to-month services, leave this item blank.

**Item 21** - Each 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 must submit your Item 21 Attachment to the SLD via e-mail, fax or mail even if you are submitting your Form 471 online. (See “Item 21 Attachments For Form 471” posted in the Reference Area of the SLD section of the USAC web site.)

You may cite the same description of services in multiple Funding Requests. For example, if you are ordering Internal Connections products and services (other than Basic Maintenance) under a single

contract for multiple sites and the products and services are the same for each site, each 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

Sufficient information must be provided so that the installation location is clearly identified. “One per school, district office, or Entity Number 12345” may be used for the location description.

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. (Note that for Priority 2 services, Basic Maintenance of Internal Connections is a separate category of service.)
- 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, 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 need to reach out to you to request additional information. For this reason, you can significantly speed up the application review process by including complete information in the Item 21 Attachment.

**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 Items 23A-23E for **recurring** charges (monthly charges) for this service, and Items 23F-23H 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 section of the USAC web site.

**Item 23A:** 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 Items 23A-23E or include the full amount of this charge in Items 23F-23H. **DO NOT** include this amount under both recurring and non-recurring charges. If you amortize this charge in items 23A-23E, you will not be eligible for discounts on the non-recurring services provided after June 30 of the funding year.

**Item 23B:** 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 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. You 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  $\$10.00 * 80\% = \$8.00$  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 are required to 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 must treat the difference between the content-only price and the price the service provider charges for its bundled access as the price of non-content Internet access.

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

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

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

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

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

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

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

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

## E. Block 6: Certifications and Signature

Block 6 requires program participants 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

- A complete Block 6 Certification is an MPS and in-window filing requirement. See MINIMUM PROCESSING STANDARDS AND FILING REQUIREMENTS earlier in these instructions.
- 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 submit the Item 21 attachments and any other required documents 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, and any other required documents, so that the SLD will be able to match the Item 21 attachment, and any other required documents, with the correct Form 471. Check the “PIN Request Area” of the 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 38 requires the signature of the authorized person who certifies to the accuracy of the information on the form. Also, you must complete Items 24-42e. 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-Forms 471, ATTN: SLD Form 471, 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 required documents. 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.

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.

**Item 25** - Check this box to 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, separately or together with E-rate funding, in this funding year to purchase all of the resources—including computers, training, software, internal connections, maintenance, and electrical capacity—that are necessary for them to make effective use of the eligible services you have requested in Block 5, as well as to pay the non-discount portion of the charges for eligible services. Please recognize that some of the aforementioned resources are not eligible for support.

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 at least five years after the last day of service delivered 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-discount portion of the products and services for which you have applied for discounts. You are required to 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 more detailed 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. If these resources will be purchased under your budget, you must 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 telephone services and/or voice mail, 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 a more detailed 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.

**Item 25a** - Add your entries from Items 23I, Total funding year pre-discount amount, on all Block 5 Discount Funding Requests and enter the total here.

**Item 25b** - Add your entries from Items 23K, Funding Commitment Request, on all Block 5 Discount Funding Requests and enter the total here.

**Item 25c** - Subtract Item 25b from Item 25a and enter the result here. This is the total non-discount share for the funding requests on this Form 471. Remember that applicants are required to pay this non-discount portion of the cost of E-rate eligible products and services to their service providers.

**Item 25d** - Enter the total amount in your budget that has been allocated for resources not eligible for E-rate support. These are the resources that are necessary for you to support and improve education and library services and to make effective use of the eligible services you have requested in all Block 5 funding requests across all Forms 471 you will submit for this funding year. These resources may include, but are not limited to:

- Hardware, such as computers, printers, fax machines, video equipment, scanners, CD-ROM drives, and servers;
- Professional development, such as ongoing technology-related training for technical staff, teachers and/or librarians;
- Software, such as end-user applications;
- Maintenance, such as systems maintenance and operations costs for ineligible hardware and software and salaries of technical staff;
- Retrofitting, such as electrical wiring, asbestos removal, building modifications, renovations, and repairs.

If you file multiple Forms 471 for this funding year, you must calculate your total budgeted amount allocated for these resources and enter that total on Item 25d of each Form 471. Consortia must add the budgeted amounts for all of their member entities and enter that total on this line.

**Item 25e** - Add your entries for Item 23c and Item 23d and enter the total here. This is the amount necessary to pay the non-discount share of the services requested on this Form 471 AND to make effective use of the discounts requested on all your applications for this funding year. This amount will not include amounts necessary to pay the non-discount share of requests on other Forms 471.

**Item 25f** - Check this box if your service provider has provided direct financial assistance to you for any of the funds in Item 25c or Item 25d. Also, check this box if your service provider assisted you in locating funding for any of the funds in Item 25c or Item 25d. Service providers may assist applicants in locating grants and donations consistent with program rules and the Obligation to Pay notice on the SLD section of the USAC web site. Service providers may provide assistance to applicants for ineligible products and services consistent with program rules and the Free Services Advisory as explained on the web site.

**Item 26** concerns 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 telephone service and/or voice mail.

**Item 26** - Check this box to certify that the schools and libraries listed on this Form 471 are covered by technology plans that are written, that cover all 12 months of the funding year, and that have been or will be approved by a state or other authorized body, and an SLD-certified technology plan approver, prior to the commencement of service. Then 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, cellular, PCS, and/or telephone service and/or voice mail, in which case no technology plan is required.

**Item 27** - Check this box to certify that you posted your Form 470 and (if applicable) made your RFP available for at least 28 days before considering all bids received and selecting a service provider, and that all bids were carefully considered and the most cost-effective service offering was selected, with price being the primary factor considered, and is the most cost-effective means of meeting educational needs and technology plan goals.

**Item 28** - Check this box to certify that the entity responsible for selecting the service provider(s) has reviewed all applicable FCC, state, and local procurement/competitive bidding requirements and that the entities named on this Form 471 have complied with them. The FCC's rules are not intended to preempt state or local procurement rules.

**Item 29** - Check this box to 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, except as permitted by the Commission's rules at 47 C.F.R. Sec. 54.500(k). Additionally, you certify that the Billed Entity has not received anything of value or a promise of anything of value, other than services and equipment requested under this Form 471, from the service provider(s), or any representative or agent thereof or any consultant in connection with this request for services.

**Item 30** - Check this box to certify that you and the entity(ies) you represent 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. You also certify that there are signed contracts covering all of the services listed on this Form 471 except for those services provided under non-contracted tariffed or month-to-month arrangements. You acknowledge that failure to comply with program rules could result in civil or criminal prosecution by the appropriate law enforcement authorities.

**Item 31** - Check this box to 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.

**Item 32** - Check this box to certify that you will retain all required documents for a period of at least five years after the last day of service delivered. This includes all documentation showing that you have complied with all statute and Commission rules regarding the application for, receipt of, and delivery of services receiving schools and libraries discounts. See 47 C. F. R. 54 Secs. 504 – 516. Refer to Section II, D of these instructions for examples of the required documentation. You also recognize that you may be audited pursuant to participation in the schools and libraries program at the discretion of the Commission, USAC or another authorized governmental oversight body and that these required documents and records must be available for review. 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 SLD, and it should be able to demonstrate to the auditor and/or the SLD how the entries in its application were provided.

**Item 33** – Check this box to 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 SLD 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 section of the USAC web site. You also certify that the entities that are receiving discount pursuant to this application have complied with the terms, conditions and purposes of the program, that no kickbacks were paid to anyone and that 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 and civil violations of the False Claims Act.

**Item 34** – Check this box to acknowledge that FCC rules provide that persons who have been convicted of criminal violations or held civilly liable for certain acts arising from their participation in the schools and libraries support mechanism are subject to suspension and debarment from the program. 47 C.F.R., Sec. 54.521. You agree to institute reasonable measures to be informed, and will notify USAC should you be informed or become aware that you or any of the entities named on this Form 471, or any person associated in any way with your entity and/or the entities named on this Form 471, is convicted of a criminal violation or held civilly liable for acts arising from their participation in the schools and libraries support mechanism.

**Item 35** – Check this box to certify that if any of the Funding Request Numbers on this Form 471 contain requests for discounts for products or services that contain both eligible and ineligible components, that you have allocated the cost of the contract to eligible and ineligible components as required by the Commission's rules at 47 C.F.R. Sec. 54.504(g)(1), (2).

**Item 36** – Check this box to certify that this funding request does not constitute a request for internal connections services, except basic maintenance services, in violation of the Commission requirement that eligible entities are not eligible for such support more than twice every five funding years beginning in Funding Year 2005 as required by the Commission's rules at 47 C.F.R. Sec. 54.506(c).

**Item 37** – Check this box to certify that the non-discount portion of the costs for eligible services will not be paid by the service provider, and that the pre-discount cost of eligible services featured on this Form 471 are net of any rebates or discounts offered by the service provider. You understand that, for the purpose of this rule, the provision, by the provider of a supported service, of free services or products unrelated to the supported service or product constitutes a rebate of some or all of the cost of the supported services.

**Item 38** requires the signature of the authorized person.

**Item 39** – Provide the date of signature of the Form 471. 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 40** – Print the name of the authorized person whose signature is provided in Item 38.

**Item 41** – Provide the title or position of the authorized person whose signature is provided in Item 38.

**Item 42a-42d** – Provide the street address, the telephone number, the fax number and the e-mail address of the authorized person whose signature is provided in Item 38.

**Item 42e** – Provide the name of the authorized person's employer. If a consultant is acting as the authorized person, provide the name of the company that employs the consultant, not the name of the applicant organization.

## V. REMINDERS

- A complete Block 6 Certification is an MPS and in-window filing requirement. See **MINIMUM PROCESSING STANDARDS AND FILING REQUIREMENTS** earlier in these instructions.
- 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. It is your responsibility to check the web site or contact CSB to obtain the filing window dates.
- Form 470 must be posted to the SLD section of the USAC 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 Other than Basic Maintenance and Basic Maintenance of 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.
- The authorized individual representing the entity that pays the bills for ordered telecommunications and other supported services for the school, school district, library, or consortium must sign the Form 471 or certify it online.
- Provide data for all items that apply.
- Attach additional sheets if needed. 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 6 certification of any Form 470 cited in a Form 471 funding request with the signature of the authorized person.
- The SLD will notify the Form 471 applicant after our review of your application has been completed.
- The SLD 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) covering all 12 months of the funding year has/have been approved (unless the recipient seeks only basic telephone service and/or voice mail) prior to the commencement of service and that service has begun to be provided or that the recipient has confirmed with the service provider that services are scheduled to begin in July of the funding year (early filing). The Form 486 must also indicate the status of the recipient of discounted service with respect to compliance with the Children's Internet Protection Act.
- 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.