

**Schools and Libraries Universal Service
Services Ordered and Certification Form**

Estimated Average Burden Hours Per Response: 4 hours

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

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NOTICE

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

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

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

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

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

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

For purposes of the schools and libraries universal service support mechanism, schools must meet the statutory definition of elementary and secondary schools found in the Elementary and Secondary Education Act of 1965, 20 U.S.C. § 8801(14) and (25). An elementary school is a non-profit institutional day or residential school, including a public elementary charter school, that provides elementary education, as determined under state law. 47 C.F.R. § 54.500(b) and 20 U.S.C. § 8801(14). A secondary school is a non-profit institutional day or residential school, including a public secondary charter school, that provides secondary education, as determined under state law, except that such term does not include any education beyond grade 12. 47 C.F.R. § 54.500(j) and 20 U.S.C. § 8801(25). In addition, eligible elementary and secondary schools may not have endowments exceeding \$50 million. 47 C.F.R. § 54.501(b)(3).

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

completely separate from any schools' (including, but not limited to, elementary and secondary schools, colleges, and universities) shall be eligible to receive discounted services under the universal service support mechanism. 47 C.F.R. § 54.501(c)(2). For example, an elementary school library would only be eligible to receive discounted services if its budget were completely separate from the elementary school. If its budget were not completely separate from the elementary school, the elementary school library would not be eligible for support independent from the school with which it is associated.

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

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

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

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

The earliest date that a Form 471 can be filed will be the date established by the Fund Administrator as the opening of the Form 471 application "window." The Form 471 application 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 window are considered as if they had arrived on the same day, and have priority over those postmarked after the closing date of the "window." For Funding Year 5, the application window will open at noon EST on Monday, November 5, 2001 and close at 11:59 p.m. EST on January 17, 2002.

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

- **Manual Filing Instructions:** You may complete and submit the Form 471 by filing a paper copy of the completed form, including the completed and signed Block 6 Certifications and any attachment(s), with the Fund Administrator. One signed Form 471 must be filed with the Fund Administrator each time the applicant seeks a commitment of funding of discounts for a specific set of services eligible for discounts under the universal service discount mechanism. The signed Form 471 must be filed with the Fund Administrator **at the address listed at the bottom of the form: SLD-Form 471, P.O. Box 7026, Lawrence, Kansas 66044-7026.** For express delivery or U.S. Postal Service Return Receipt, send to: **SLD-Form 471, c/o Ms. Smith, 3833 Greenway Drive, Lawrence, Kansas 66046,** phone (888) 203-8100. **DO NOT**

FILE THIS OR ANY OTHER UNIVERSAL SERVICE FORM WITH THE FEDERAL COMMUNICATIONS COMMISSION.

- **Electronic Filing Instructions:** You may complete and submit the Form 471 by filing the Form electronically online at the SLD web site <www.sl.universalservice.org>. If filing your Form 471 electronically, you must also complete and submit to the SLD the following documents in order to successfully complete the submission of your Form 471 application:
 - the Item (21) description(s) of services, and
 - the Block 6 Certification with the signature of the authorized person (whether paper or electronic)
 - You may qualify to submit your Form 471 certifications online. When you submit your certifications online, you will receive a confirmation so that you can be assured that your submission has met any filing deadlines. Check the SLD web site for information about obtaining a User ID and a PIN.

You may file more than one Form 471. For example, you may file one Form 471 for internal connections, one for Internet access, and one for telecommunications services. Alternatively, you may file a single Form 471 that includes any combination of these 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.

C. Assistance in Completing This Form

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

D. Compliance

Schools and libraries, or consortia acting on behalf of schools and libraries, failing to file the Services Ordered and Certification Form (Form 471) will not be eligible to receive universal service discounts. Schools and libraries filing false information are subject to fines under Section 502 of the Communications Act, 47 U.S.C. § 502, forfeiture penalties under Section 503(b) of the Communications Act, 47 U.S.C. § 503(b), or penalties for false statements under Title 18 of the United States Code, 18 U.S.C. § 1001. Applicants should retain the worksheets and other records they use to compile these forms for five years. Thus, if applicants represent multiple billed entities, collect data from those entities, and add up that data, they should retain those data sheets for five years. If an applicant is audited, it should be prepared to make the

worksheets and other records used to compile these forms available to the auditor and/or the Administrator, and it should be able to demonstrate to the auditor and/or the Administrator how the entries in its application were provided.

III. MINIMUM PROCESSING STANDARDS AND FILING REQUIREMENTS

Form 471 Minimum Processing Standards

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

Manual Filers

1. Correct Form: Each Form 471 must be:

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

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

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

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

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

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

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

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

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

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

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

Online Filers:

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

Filing Requirements for Forms 471 Submitted Manually and Online:

1. Application Materials: The following materials associated with Funding Year 5 Form 471 must be received by 11:59 p.m. EST on January 17, 2002 or postmarked on or before January 17, 2002 in order for the request to receive consideration as inside the window. These materials are:

- The Form 471 itself (whether electronic or paper)
- The Block 6 certification of the Form 471 with the signature of the authorized person (whether electronic or paper)
- The Block 5 certification of any Form 470 cited in a Year 5 Form 471 with the signature of the authorized person.

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

Form 470 Certification: A completed Form 470 Certification is a Block 5 certification with the signature of the authorized person. Forms 470 with completed certifications submitted in a previous year meet this requirement, as do those filed for Year 5 and submitted to the SLD with a postmark date on or before January 17, 2002. Any Year 5 Form 471 Block 5 funding request based on a Form 470 whose certification has not been received by 11:59 p.m. EST on January 17, 2002 or postmarked on or before January 17, 2002 will be rejected.

January 17, 2002 Deadline: Failure to make the January 17, 2002 deadline for Form 471 application materials will place the entire application outside the window, and the applicant’s funding will be jeopardized.

IV. SPECIFIC INSTRUCTIONS

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

A. Top of Form

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

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

Applicant’s Form Identifier - 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 “School 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 manually, to help alleviate problems caused if the pages of an application become separated, please provide the Entity Number (from Item 3, below), your Applicant’s Form Identifier, and name and phone number of the contact person (from Item 6, below) at the top of each page of the application in the space provided.

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. You may also be a city, a state, or an entity created solely to participate in this universal service discount mechanism, but only if you are the billed entity, in that you actually pay the bills for the service to the service provider. **The billed entity itself may or may not be eligible for discounts.**

Item (2) - Funding years begin on July 1 and end on June 30 each year. For example, Funding Year Four (4) runs from July 1, 2001 to June 30, 2002. 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, 2001 through June 30, 2002).

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

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

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

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

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

Items (6)(b)-(f) - If the contact person's address, phone number, fax number, or e-mail address is different from those specified for the applicant (completed in Item (4)), please provide that information here. You MUST then check your preferred mode of contact. Wherever possible, the SLD will use this mode to contact you. In addition, in Item (6)(f), 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. Block 2: Minor Modification to Existing Contract or Service Agreement

Item (7) - Before completing this item, please check for guidelines at the SLD web site, <www.sl.universalservice.org> or by calling the SLD Client Service Bureau at 888-203-8100. The occasions for required use of this item will be identified each funding year. This item may be filed manually ONLY. No online filings will be accepted for this item. In general, you will use this item ONLY to propose a minor modification (such as a substitution of eligible services) to one or more existing contracts or service agreements for which you have already filed a Form 471 for the current program year. Such a modification must be considered minor according to your own local procurement rules, and cannot under any circumstances increase the size of your original request. In order to propose a minor modification to an existing

contract or service agreement described in a previously filed Form 471, you must already have been notified by the Fund Administrator via a Receipt Acknowledgment Letter (RAL) that your original Form 471 has been received and entered into the data system. You may file a minor modification request using Item (7) at any time after receiving the RAL. The RAL will provide a Form 471 Application Number and a Funding Request Number (FRN) for the affected service. You **MUST** provide this Form 471 Application Number and FRN in Item (7) in order to successfully submit a minor modification request. You will then skip the remainder of the form, attach an Item (21) description of services for the affected service only (highlighting the change from the originally filed description), and sign Block 6.

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

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

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

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

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

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

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

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

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

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

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

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

Item (9)(j) - Provide your best estimate of the number of computers or other devices (such as television sets, hand-held units, network terminals, and other non-PC Internet appliances) that had Internet access before your order, and how many will have Internet access after your order. These devices may access the Internet directly or via a local area network. If you complete this item, be sure to also reflect the quality and capacity of that access by completing Items (9)(b) and (c), and/or (d) and (e), and/or (f) and (g).

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

E. Block 4: Discount Calculation Worksheets

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

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

Each worksheet includes its own instructions and its own step-by-step discount calculation chart.

Instructions for Each Worksheet

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

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

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

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

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

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

Item (10)(b), Column 3: Indicate whether each school is located in an urban or a rural area. You should base your assessment on the “Rural Areas by State” table posted on the SLD web site <www.sl.universalservice.org>. Instructions accompanying the table will help you determine whether the school is located in an urban or a rural area for purposes of the universal service support mechanism.

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

Item (10)(b), 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 (10)(b), Column 5: Provide the number of students eligible for the National School Lunch Program (NSLP) as of the October 1st prior to the filing of this form, or use the most current figure available. (For “New School Construction” or for an “Administrative Entity,” enter “0” in this item.) You may choose to use an actual count of students eligible for the national school lunch program or use federally approved alternative mechanisms to determine the level of poverty for purposes of the universal service discount program. Schools that choose not to use an actual count of students eligible for the national school lunch program may use only the federally approved alternative mechanisms contained in the Improving America's Schools Act (34 C.F.R. § 200.28(a)(2)(i)(B)). That law states that private schools without access to the same poverty data that public schools use to count children from low-income families may use comparable data "(1) [c]ollected through alternative means such as a survey" or "(2) [f]rom existing sources such as AFDC [Aid to Families with Dependent Children] or tuition scholarship programs." *See* 34 C.F.R. § 200.28(a)(2)(i)(B). It should be noted that AFDC has been changed to Temporary Aid for Needy Families (TANF). 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.

Item (10)(b), Column 6: For each school, divide Column 5 by Column 4 to arrive at the percentage of students eligible for the National School Lunch Program. Discount calculations may be rounded up only when fully half a discount point is reached. For example, an urban school with a discount eligibility of 34.499% is in the 50% discount band from the matrix, and an urban school with a discount eligibility of 34.500% is in the 60% discount band from the matrix. For eligibility discounts of less than 1%, however, there is no rounding and the discount band from the matrix is 20% for urban and 25% for rural. (For “New School Construction” or for an “Administrative Entity,” leave this item blank.)

Item (10)(b), Column 7: Using the percentage in Column 6 and the FCC Discount Matrix (see below), you should determine the percentage discount to which the school is entitled. If you file online, the system will calculate this figure for you. If you have any questions about determining this figure you can call the SLD Client Service Bureau for assistance at **888-203-8100**. For “New School Construction” or for an “Administrative Entity” ONLY, enter the Weighted Average Discount for the School District. (A preparatory Worksheet A must be submitted documenting the Weighted Average Discount for the School District or, if a Worksheet A already includes all schools in the School District, label that worksheet “All Schools in the School District.”)

DISCOUNT MATRIX

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

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

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

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

Worksheet B: Discount Calculation for those entities filing as Libraries

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

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

- a library consisting only of one outlet/branch, you need only complete one line of Item (10)(b), Columns 1-5. All of the services for which you are applying will be subject to the same site-specific discount you calculate here.
- a library and you are a library system with more than one outlet/branch, and you are requesting services that will go ONLY to individual outlets and will not be shared, complete Columns 1-5 of Item (10)(b) for each outlet.
- a library and you are a library system with multiple outlets/branches, and ALL of the outlets/branches will share one or more services (whether or not those outlets/branches will also receive site-specific services), complete Columns 1-5 PLUS Item (10)(c).
- 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 1-5 PLUS Item (10)(c), for each different group of outlets/branches sharing a service. You will then label the worksheets B-1, B-2, B-3, etc.

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

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

Item (10)(b), Column 3: No information is required for this Item.

Identifying the Site-Specific Discount for Each Library Outlet

Item (10)(b), Column 4: List the name of the public school district in which each library outlet/branch is located.

Item (10)(b), Column 5: List the weighted average discount rounded to the nearest whole number percentage for each school district listed in Column 4. This weighted average figure is the individual discount for the corresponding library outlet/branch in Column 1. Obtain this weighted average figure by contacting the school district or your state library, or by completing Worksheet A, Columns 1-8 PLUS Item (10)(c), for each district. Please note: The weighted average discount is quite likely to be a number like 43% or 66%, rather than 40% or 60%. Libraries do not select their discounts directly from the Discount Matrix. (For “New Library Construction,” enter the Weighted Average Discount for the School District in which the library under construction is located. For an “Administrative Entity,” enter the Library System’s Average Discount.)

Calculating the Shared Discount for the Library System

Item (10)(b), Column 5, last cell: Add up all of the discounts in this column and enter the total in the cell at the bottom of Column 5. If you file online, the system will calculate this figure for you.

Item (10)(c) - Divide the total at the bottom of Column 5 by the total number of library outlets/branches listed in Column 1. Round the result to the nearest whole number percentage, and list this number in Item (10)(c). This is the library system’s shared discount. If you file online, the system will calculate this figure for you.

Worksheet C: Discount Calculation for Consortia

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

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

- a consortium and you are requesting services that will go ONLY to an individual consortium member and will not be shared, complete Columns 1-4 of Item (10)(b) for each member.
- a consortium and if ALL consortium members will share one or more services (whether or not those consortium members will also receive site-specific services), complete Columns 1-4 for each member of your consortium PLUS Item (10)(c).
- a consortium, and some requested services will be shared by some consortium members and not others (whether or not those consortium members will also receive site-specific services), you must complete a separate worksheet, Columns 1-4 PLUS Item (10)(c), for each different group of consortium members sharing a service. You will then label the worksheets C-1, C-2, C-3, etc.

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

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

Item (10)(b), Column 3: No information is required for this Item.

Identifying the Site-Specific Discount for Each Member

Item (10)(b), Column 4: Provide the correct discount for each eligible member depending on the type of entity it is.

- If the member is an individual school, use the discount from Worksheet A, Column 7. Attach a completed Worksheet A showing the calculations for each school that is a member of your consortium.
- If the member is a school district, use the discount from Worksheet A, Item 10c (the weighted average discount). Attach a completed Worksheet A showing the calculations for each school district that is a member of your consortium.
- If the member is a library outlet/branch, use the weighted average discount for the school district in which the library is located.
- If the member is a library system, use Worksheet B, Columns 1-5 PLUS Item (10)(c), to calculate the discount. Attach a complete Worksheet B showing these calculations for each library system that is a member of your consortium.

Calculating the Shared Discount for the Consortium

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

Item (10)(c) - Divide the total at the bottom of Column 4 by the total number of consortium members listed in Column 1. Round the result to the nearest whole number percentage, and list this number in Item (10)(c). This is the shared discount for the entire consortium. If you file online, the system will calculate this figure for you.

F. Block 5: Services Ordered

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

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

- Each service provider that will be providing you with service.
 - Each separate contract or service agreement (but not necessarily the individual service within that contract or agreement, as long as they are in the same category of service, e.g. telecommunications services).
 - Each different category of service provided by the same provider. For example, a PBX system that the applicant will purchase and own and local voice service from the same telephone company should go on separate Block 5 worksheets, since the PBX would be Internal Connections and the phone service is Telecommunications Services. Check the Eligible Services List and any updates at <www.sl.universalservice.org> to identify which category each service belongs in.
 - Local phone service.
 - Long distance phone service.
 - Site-specific service (service not shared by other sites).
 - If you are ordering services based on several different Forms 470, services corresponding to each Form 470 must be reported on separate Block 5 worksheets with the relevant Form 470 Application Numbers.
-
- **Ineligible costs:** You may not seek support for ineligible services, entities, and uses. The Block 5 worksheet will guide you through deducting any ineligible costs from your total cost of services before calculating your discount request. If you have any questions about whether a service is or is not eligible for support, please check the Eligible Services list on the SLD web site <www.sl.universalservice.org> or contact the SLD Client Service Bureau at 888-203-8100.
 - **Signed contracts:** You **MUST** have a signed contract (or a legally binding agreement between you and your service provider preparatory to a formal signed contract) for all services you order on your Form 471 except:
 - *Tariffed services:* Telecommunications services that you purchase at prices regulated by your state regulatory commission and/or the FCC, which do not require a signed, written contract.
 - *Month-to-Month Services:* Month-to-Month services which do not require a signed, written contract. Your billing arrangement signifies that you are receiving your services on a month-to-month basis.

Note: You must file a Form 470 and seek competitive bids for these two types of services each funding year.

- **Eligible service providers:** To provide you with telecommunications services, Internet access and internal connections under this program, a service provider must secure a Service Provider Identification Number (SPIN) from the Universal Service Administrative Company and certify that they will comply with program rules. *However, telecommunications services may be obtained only from telecommunications companies who provide those telecommunication services on a common carriage basis (meaning they provide their services for a fee to the general public).* If you receive telecommunications services from a provider that does not provide telecommunications services on a common carriage basis, your Funding Request for such services will be denied.
- **Discounted and undiscounted amounts:** Form 471 requires you to certify in Block 6, Item (25) that you have adequate budgetary resources for the undiscounted portion of any service you seek, as well as for related, ineligible services such as computers, training, software, maintenance, and electrical connections that you will need to make effective use of the services you order.

Item-by-Item Instructions

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

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

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

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

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

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

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

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

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

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

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

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

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

Item (21) - For each contract or service agreement upon which you based a request for discounts, you must provide a description of all the services that the service provider is providing on which discounts are being sought (see Special Notes below for details). Each description must be labeled with a unique "Attachment Number" of your choice. For the service you are requesting in this Block 5 worksheet, please enter the relevant Attachment Number for your attached description of services.

Special Notes on the "Description of Services"

A description of services, properly labeled with an Attachment Number, is required for every contract or service agreement. It is preferable that this be a list compiled by the service provider, who will be more familiar with the details of the services and products to be provided. To fulfill the requirement of Item (21), an attached description of services must include:

- the Attachment Number (assigned by you);
- the applicable contract number (for contracted services);
- the service provider's and contracting party's legal names; and
- a specific itemization of products and/or services to be provided and the associated costs adding up to the prediscount costs shown in Item (23) of Block 5. If ineligible services are also being provided under this contract or service agreement, and if they are featured on this list, the applicant should clearly identify them as ineligible and the price of those ineligible services must be deducted from the amount of prediscount costs identified in Item (23). You are responsible for assuring that you seek discounts only on eligible services. See instructions for Item (23) for details.

You may cite the same description of services in multiple Block 5 worksheets. For example, if you are ordering internal connections services under one contract to be installed in multiple specific sites and they are the same for each site, you may attach one description of services for that contract. Each Block 5 worksheet for each specific site can then include the same Attachment Number.

If the service you will be receiving is a continuation of service you have been receiving and your bill for the service shows the components of the service you are receiving, the bill may be attached for your Item (21) description of services. You need not send pages of the bill that detail individual transactions. If you are estimating that your costs will exceed the amounts shown on the bill, you should include as part of the Item (21) attachment an explanation for an increase in costs.

To facilitate review of your application, your Item (21) attachment should:

- list the equipment to be maintained and the associated costs if you are requesting discounts on maintenance services;
- provide itemized details of one-time costs associated with Internet access or telecommunications services;
- include a quote from the service provider or the criteria used to estimate costs for new services to be provided under tariff or month-to-month agreements;
- indicate if services are being purchased under a state master contract and include the contract number (if available) and the expiration date of the master contract; and
- 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.

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 (22)(a)**. 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 (22)(b)**.

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

Use Columns A-E for any *recurring* charges for this service, and Columns F-H for any *non-recurring* charges for this service.

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

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

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

- **Eligible services bundled with ineligible services:** While you may contract with the same service provider for both eligible and ineligible services, your contract or purchase agreement must clearly break out costs for eligible services from those for ineligible services. If the eligible and ineligible services were purchased together at a special “bundled” price, the service provider must also indicate the prices associated with each service if sold separately and the "price reduction" applied to the bundle. The applicant will use this reduced price when requesting universal service discounts on the eligible service. For example, if a provider offers to sell a school an eligible service for \$10.00 and an ineligible service for \$20.00, but also offers them as a bundle for \$24.00, this would indicate that the provider is offering a \$6.00, or 20%, price reduction. Therefore, the school could treat $\$10.00 - 20\% = \8.00 as eligible for universal service support.
- **Services shared by eligible and ineligible entities:** When you share a service with an ineligible entity, the provider may receive reimbursement only for that portion of the service that eligible entities are receiving. To help auditors confirm that this rule is being observed, you must keep and retain careful records of how you have allocated the costs of shared services and facilities among eligible and ineligible entities. You should maintain these records on some reasonable basis, consistent with any measures that may be established by the FCC, the SLD, or state commissions.
- **Bundled services from an Internet service provider:** You may receive discounts on access to the Internet but not on separate charges for particular proprietary content, other information services, or a package including content and conduit. The only exception is when the bundled package includes minimal content and provides a more cost-effective means of securing access to the Internet than other non-content alternatives. Thus, if a service provider bundles Internet access with a package of content that is available to all customers free of charge, the entire price of that bundle will be eligible for support. However, if the service provider a) does not offer an access-only service, and b) offers Internet users access to its proprietary content for a price, then you may treat the difference

between the content-only price and the price it charges for its bundled access as the price of non-content Internet access.

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

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

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

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

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

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

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

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

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

G. Block 6: Certification and Signature

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

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

Special Block 6 Instructions for Electronically Filed Applications

- When you have completed the electronic 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 electronically submit your Block 6 certification, follow the directions online. When you submit your certification online, you will receive a confirmation so that you can be assured that your submission has met any filing deadlines. If you file online and use electronic certification, do not mail any part of your Form 471 to the SLD, but do mail the Item 21 attachments to the SLD as soon as possible after completing your Form 471. Make a copy of the electronic certification confirmation page and attach that to the top of the Item 21 attachment so that the SLD will be able to match the Item 21 attachment with the correct Form 471. Check the SLD web site for information about obtaining a User ID and a PIN.
 - If you wish to submit the completed and signed Block 6 certification manually, print Block 6 using your browser. When you print Block 6 using the browser, the form will automatically include your Form 471 Application Number, Applicant Name, and Applicant Address. Item (34) requires the signature of the authorized person who will certify to the accuracy of the information on the form. Also, you must complete Items (24)-(33). Mail the signed Block 6 to: **SLD-Form 471, P. O. Box 7026, Lawrence, Kansas 66044-7026**. For express delivery services or U.S. Postal Service Return Receipt Requested, send to **SLD-Form 471, c/o Ms. Smith, 3833 Greenway Drive, Lawrence, Kansas 66046**. Note: Do not mail the complete Form 471. Mail only the signed Block 6 certification page along with your Item (21) Description of services and any other attachments. If the Block 6 certification is submitted manually, you are advised to keep proof of the date of mailing.

For all applicants, filing manually or electronically:

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

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

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

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

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

- **Item (26)(a)** - Check here if the eligible entities are covered by individual technology plans for the services requested in your application.
- **Item (26)(b)** - 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 (26)(c)** - Check here if your application is **ONLY** for basic local and long distance telephone service, in which case no technology plan is required.

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

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

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

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

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

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

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

Item (33) - Certify that you are the person authorized to submit and certify to the accuracy of this form. This person must be authorized to represent any and all of the entities for which discounts are sought in this application. Documentation to confirm this person's authorization to represent all entities in this application may be sought by the Fund Administrator during review of this application.

Item (34) requires the signature of the authorized person.

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

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

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

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

V. REMINDERS

- All schools and libraries ordering services eligible for universal service discounts must file Form 471 each time they order telecommunications services, Internet access, and internal connections for which they are requesting discounts.
- Form 470 must be posted to the SLD web site for at least 28 days before filing Form 471.
- The authorized individual representing the entity that pays the bills for ordered telecommunications and other supported services for the school, school district, or libraries, or consortium must sign or electronically certify Form 471.
- Provide data for all items that apply. For items that do not apply, fill in "N/A."
- Attach additional sheets if necessary. Any attachments to Form 471 should be clearly labeled. In addition, your attachments for Item (21) description of services must be clearly labeled with Attachment Numbers assigned by you.
- If you are filing electronically, PLEASE use your browser to print out a copy of YOUR ENTIRE APPLICATION **before** you select **"Submit."** Keep this as your file copy for future reference.
- If you are filing Blocks 1-5 of Form 471 electronically, you must also complete and submit your Block 6 Certification (whether electronic or paper), your Item (21) description of services and any other attachments. If you have not already done so, you must also submit the Block 5 certification of any Form 470 cited in a Funding Year 5 Form 471 with the signature of the authorized person.
- The Fund Administrator will notify the Form 471 applicant after our review of your application has been completed.
- The Fund Administrator will not provide funds to service providers for any service until FCC Form 486 is filed for that service, indicating that the service recipient's technology plan(s) (if necessary) has/have been approved (unless the recipient seeks only basic local and long distance telephone service) and that service has begun to be provided.
- 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.