

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

Estimated Average Burden Hours Per Response: 4 hours

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

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- Although it is not required, we encourage you to file your Form 470 online. This speeds the processing of your form, reduces errors, and avoids rejection due to failure to meet Minimum Processing Standards.
- Do you qualify for E-certification? (See “For Applicants Filing This Form Online” below.) If you do, you may obtain a User ID and a PIN and certify your Form 470 online as well.
- Review the “MINIMUM PROCESSING STANDARDS AND FILING REQUIREMENTS” for Manual Filers, if you are filing on paper.
- The purpose of the FCC Form 470 is to open a competitive bidding process for the services desired.
- An applicant cannot seek discounts for services in a category of service on the Form 471 if those services in those categories were not indicated on a Form 470.
- The Form 470 MUST be completed by the entity that will negotiate with potential service providers.
- The Form 470 cannot be completed by a service provider who will participate in the competitive process as a bidder. If a service provider is involved in preparing the Form 470 and that service provider appears on the associated Form 471, this will taint the competitive process and lead to denial of funding requests that rely on that Form 470.
- The Form 470 applicant is responsible for ensuring an open, fair competitive process and selecting the most cost-effective provider of the desired services, with price as the most heavily weighted factor in the evaluation.
- Required documents MUST be retained for a period of at least five years after the last day of service delivered. You may be audited pursuant to participation in the schools and libraries program.

## NOTICE

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

The FCC is authorized under the Communications Act of 1934, as amended, to collect the information we request in this form. We will use the information you provide to determine whether approving this application is in the public interest. If we believe there may be a violation or potential violation of any 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. In addition, information provided in or submitted with this form or in response to subsequent inquiries may also be subject to disclosure consistent with the Communications Act of 1934, FCC regulations, the Freedom of Information Act, 5 U.S.C. § 552, or other applicable law.

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

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

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

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

## I. INTRODUCTION

On May 7, 1997, the Commission adopted rules providing discounts on eligible Telecommunications Services, Internet Access, and Internal Connections for eligible schools and libraries. To initiate the required competitive bidding process, begin by filing FCC Form 470 with the SLD. The SLD will post this Form 470 on the SLD web site. Contracts for newly contracted services or the selection of service providers for tariffed or month-to-month services cannot occur earlier than 28 days after either the descriptions set forth in the relevant Form 470 posted on the SLD web site [www.sl.universalservice.org](http://www.sl.universalservice.org) or the public availability of your RFP, whichever is later. The SLD will notify the applicant of the date that the applicant's request is posted and the date on which the 28-day waiting period ends based on the date that the Form 470 was posted to the web site. Complete program information — including more information on the competitive bidding requirement — is posted to the Schools and Libraries Division (SLD) web site at [www.sl.universalservice.org](http://www.sl.universalservice.org). You may also contact the SLD Client Service Bureau. (See "Assistance in Completing This Form" below.)

## II. REQUIREMENTS AND GENERAL INSTRUCTIONS

### A. Who Must File

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

For purposes of the universal service support mechanism, schools must meet the statutory definition of elementary and secondary schools found in the No Child Left Behind Act of 2001, 20 U.S.C. § 7801(18) and (38). An elementary school is a non-profit institutional day or residential school, including a public elementary charter school, that provides elementary education, as determined under state law. 47 C.F.R. § 54.500(b) and 20 U.S.C. § 7801(18). A secondary school is a non-profit institutional day or residential school, including a public secondary charter school, that provides secondary education, as determined under state law, except that such term does not include any education beyond grade 12. 47 C.F.R. § 54.500(j) and 20 U.S.C. § 7801(38). Schools operating as for-profit businesses or who have endowments exceeding \$50 million are not eligible. 47 C.F.R. § 54.501(b)(2) and (b)(3).

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

were not completely separate from the elementary school, the elementary school library would not be eligible for support independent from the school with which it is associated.

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

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

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

### **When:**

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

- Tariffed or month-to-month services for which you do not have a signed, written contract.
- Services for which a new written contract is sought for the funding year in Item 2. Services under a multi-year contract signed on or before 7/10/97 but for which no Form 470 has been filed in a previous program year.

You may file Form 470 after the SLD posts notice and when you begin your procurement process, as long as it is at least 28 days before you select your service provider and file Form 471 for those above services. Services covered by a **qualified existing contract** for all or part of the funding year, including multi-year contracts signed pursuant to the posting of a Form 470 in a previous funding year, do not require the filing of a Form 470, since you are not seeking bids for these services. A qualified existing contract is:

- a signed, written contract executed pursuant to the posting of a Form 470 in a previous funding year,  
OR
- a contract signed on or before 7/10/97 and reported on a Form 470 in a previous year as an existing contract.

Notice will be posted each year on the SLD web site when we will begin accepting Forms 470 for posting for the upcoming funding year. It is your responsibility to check the SLD web site, or contact the SLD Client Service Bureau (CSB) – see “Assistance in Completing this Form” below – to get the announcement of the filing window dates. In general, this notice will be posted at least 12 months before the start of the appropriate funding year. The precise timeframe for filing Form 470 depends on the kind of service you are seeking.

## **Where:**

If you are seeking support for eligible services not covered by a qualified, existing contract, you must file Form 470. The Form 470 must be filed **either online at the SLD web site, or on paper at the address listed at the bottom of the form (SLD Form 470, P.O. Box 7026, Lawrence, Kansas 66046-7026)**. For express delivery or U.S. Postal Service Return Receipt Requested, send to: **SLD Forms, ATTN: SLD Form 470, 3833 Greenway Drive, Lawrence, Kansas 66046**, phone (888) 203-8100. **DO NOT FILE THIS OR ANY OTHER UNIVERSAL SERVICE FORM WITH THE FCC.**

## **How many:**

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

## **After your Form 470 is posted:**

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

### **C. Assistance in Completing This Form**

There are several sources of assistance to guide you in completing this form. If you complete this form online on the SLD web site, prompts may occur to assist you as you enter information. Whether you file online or on paper, you are also urged to consult the Reference Area of the SLD web site for additional program guidance that may be useful in completing this form. You may also contact the SLD Client Service Bureau (CSB) by e-mail using the “Submit a Question” link on the SLD web site, by fax at 1-888-276-8736 or by phone at 1-888-203-8100.

### **D. Compliance**

Schools and libraries filing false information are subject to penalties for false statements under Title 18 of the United States Code, 18 U.S.C. § 1001. FCC rules require that program participants retain all documents to demonstrate compliance with the statute and FCC rules regarding the application for, receipt of, and delivery of services receiving schools and libraries discounts. Thus, if applicants represent multiple entities, collect data from those entities, and add up that data, they must retain those data sheets for five years. If an applicant is audited, it must be prepared to make the worksheets and other records used to compile these forms available to the auditor and/or the SLD, and it must be able to demonstrate to the auditor and/or 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, but 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 REQUIREMENT

#### Form 470 Minimum Processing Standards

When a Form 470 is submitted on paper and is received by the SLD, the form is first reviewed to make sure it complies with the following 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 470 fails to meet MPS, the Form 470 will be rejected. The SLD may be prevented from returning the rejected Form 470 to the sender if the form lacks essential identifying information. If an applicant receives a returned Form 470, it is important that it resubmit the corrected form quickly. Once the corrected form is successfully data entered, the form will be posted to the SLD web site. The posting of the corrected form to the SLD web site marks the beginning of the required 28-day waiting period.

#### Paper Filers

**1. Correct Form:** Each Form 470 must be:

- the correct, OMB-approved FCC Form 470, with a date of October 2004 or later in the lower right hand corner;
- submitted by regular mail, express delivery, or U.S. Postal Service Return Receipt Requested, or hand delivery. Forms may not be submitted by fax or e-mail. You are strongly advised to keep proof of the date of mailing.

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

- Item 1 - Name of the Applicant or
- Item 3 - Entity Number.

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

**3. Services sought.** At least one of the Items 8–11 must be checked indicating the kind of services you are seeking.

- Item 8a or 8b - Telecommunications Services
- Item 9a or 9b - Internet Access
- Item 10a or 10b - Internal Connections Other than Basic Maintenance or
- Item 11a or 11b - Basic Maintenance of Internal Connections.

**4. Valid Certification:** Block 5, Item 27 Signature of authorized person must be completed. If Item 27 is left blank, the Form 470 will be rejected.

## Online Filers:

When Blocks 1-4 of a Form 470 are submitted online, you must also (1) submit the completed Block 5 certification online with a User ID and a PIN or (2) submit the completed and signed Block 5 certification on paper by mail, express delivery or U.S. Postal Service Return Receipt Requested. If the Block 5 certification is submitted on paper, you are advised to keep proof of the date of mailing. The Block 5 certification is reviewed to make sure it complies with the requirements listed in #4 above. Reviewers also look for the Form 470 Application Number before the Certification and Signature Page is accepted and the Form 470 reaches “certified” status. If the Block 5 certification document that was submitted on paper lacks the information necessary to match it with Blocks 1-4 of a form that was filed online, then your application will not meet the application filing requirements and cannot be used to support Form 471 funding requests.

## Filing Requirement for Forms 470 Submitted On Paper and Online

A completed Form 470 Certification filed as described below is a window filing requirement. A completed Form 470 Certification is either a Block 5 certification submitted online using a User ID and a PIN, or a Block 5 certification submitted on paper with the signature of the authorized person. Forms 470 with completed certifications submitted for the current year or in a previous year meet this requirement. Any Form 471 funding request based on a Form 470 whose certification has not been received or postmarked by 11:59 p.m. EST on the close of the Form 471 application filing window will be denied.

## IV. SPECIFIC INSTRUCTIONS

You are encouraged to complete, submit, and certify this form online at [www.sl.universalservice.org](http://www.sl.universalservice.org). If you file on paper, the Form 470 can be downloaded from the SLD web site. If you file paper copies of the application, please type or clearly print in the spaces provided and attach additional pages if needed. These instructions can also be downloaded from the SLD web site. No Forms 470 will be accepted if sent via e-mail or fax.

### A. Top of Form

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

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

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

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

**Top of each page after page 1:** If you are filing this application 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. If you are filing online, this information will automatically appear at the top of each page.

## **B. Block 1: Applicant Address and Identifications**

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

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

**Item 2** – Funding years begin on July 1 and end on June 30. 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 the SLD Client Service Bureau (CSB). (See "Assistance in Completing this Form.")

**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 fax number (including area code).

**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.)

**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, including how to obtain a copy of your request for proposal (RFP), if you have prepared one.

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

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

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

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

#### **Non-contracted services:**

**Item 7a** – Check this box if this Form 470 requests services that are provided as tariffed or month-to-month services without a written contract. These services require posting of a Form 470 for each funding year.

#### **Contracted services:**

**Item 7b** – Check this box if you are seeking services for which a new written contract is sought. If you are seeking a new multi-year contract or a new contract with voluntary extensions, check the appropriate box(es).

#### **Existing services:**

**Item 7c** – Check this box if this Form 470 describes services provided under a multi-year contract that was signed on or before July 10, 1997 but for which a Form 470 was never filed in a previous funding year. For example, if you are applying for the E-rate for the very first time for Funding Year 2005 (07/01/2005–06/30/2006), and some or all of your services are provided under a written 10-year contract that was signed on July 1, 1997, you will need to file a new Form 470 for this contract. In future years, for as long as that contract remains in force, you will not need to file a Form 470 for those services. There is no required timeframe for filing a Form 470 for this purpose, but your form must be posted for at least 28 days on the SLD web site before you can file a Form 471 online.

**Items 8-11** – One or more of Items 8-11 must be completed to provide potential bidders with particular information about the services you are seeking. For more information on eligible services, please refer to the Eligible Services List on the SLD web site or contact CSB. Once you check the relevant category of service box(es) in Items 8, 9, 10 and/or 11, you must check either box a or b under the selected item and complete the item. You cannot seek discounts on services in a category of service on the Form 471 if you have not competitively bid those services in the same category of service on the Form 470.

The specific data requested in Items 8-11 are sought to provide potential service providers with information so that they may contact you if necessary for detailed information on your specific requirements. **This requirement is not intended to restrict your ability to contract for newly contracted services or select a vendor for tariffed or month-to-month services for whatever technologies best meet your educational purposes as authorized by FCC rules and the Telecommunications Act of 1996.** It is important that you complete all categories that are relevant to your requested services, so that the SLD can confirm that you have met the competitive bidding requirement before signing any contracts for newly

contracted services or selecting a vendor for tariffed or month-to-month services for which discounts are requested in FCC Form 471.

**Item 8 – Telecommunications Services. Important note: Only Telecommunications Services requested from telecommunications companies who provide their telecommunications services on a common carriage basis will be eligible for discount(s) under the universal service support mechanism. 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. If you request Telecommunications Services from a telecommunications provider that does not provide telecommunications services on a common carriage basis, your Form 471 Funding Request for such services will be denied.** Telecommunications is “the transmission, between or among points specified by the user, of information of the user’s choosing, without change in the form or content of the information as sent and received.” 47 U.S.C. § 153(43) and 47 C.F.R. § 54.5. All commercially available telecommunications services, including charges such as state and federal taxes, are eligible for support under the universal service discount mechanism. For example, local and long distance telephone services are generally considered Telecommunications Services. As another example, high-speed transmission lines over the public switched telecommunications network leased from an eligible telecommunications provider would be listed here as a Telecommunications Service. See the Eligible Services List on the SLD web site for more information.

**Item 8a –** Check this box if you have released or intend to release a Request for Proposal (RFP) that will provide potential bidders with specific information about the particular Telecommunications Services or functions you are seeking, and what quantity and/or capacity you seek. For example, you might have an RFP for voice services that specifies “local and long distance voice services sought for 20 existing phone lines, plus 10 new additional lines.” If you check Item 8a, you must indicate where this RFP is available, such as on your web site (list the web address); via the Contact Person listed in Item 6; and/or via the alternative contact person listed in Item 12. If the RFP is not posted on a web site, your designated contact person must be able to provide it to service providers on request. You must also complete Item 8b with the services you are seeking, whether or not you intend to release an RFP.

**Item 8b –** Check this box if you have not released or do not intend to release a Request for Proposal (RFP) for the Telecommunications Services you seek. Whether you check Item 8a or 8b, you must fill in details in the space provided about the specific Telecommunications Services or functions and quantity and/or capacity of service. For example, you might list “videoconferencing services” under Service or Function, and “for three school buildings” under Quantity and/or Capacity. If you issue an RFP, you may describe the services you are seeking in general terms on this Form 470 because more detailed descriptions are provided in the RFP.

**Item 8c –** Check the appropriate box to indicate if you prefer discounts on your bills from your service providers, if you prefer reimbursement after paying the bills from your service provider in full, or if you have no preference. This information is provided for potential bidders, and does not bind you to this invoicing arrangement.

**Item 9 – Internet Access.** Basic conduit non-content access to the Internet is eligible for support under the universal service discount program. See the Eligible Services List on the SLD web site for more information.

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

**Item 9a** – Check this box if you have released or intend to release a Request for Proposal (RFP) that will provide potential bidders with specific information about the particular Internet Access services or functions you are seeking, and what quantity and/or capacity you seek. For example, you might have an RFP for Internet Access that specifies “high-speed direct access to the Internet sought for 10 public Internet stations in one library facility.” If you check Item 9a, you must indicate where this RFP is available, such as on your web site (list the web address); via the contact person listed in Item 6; and/or via the alternative contact person listed in Item 12. If the RFP is not posted on a web site, your designated contact person must be able to provide it to service providers on request. You must also complete Item 8b with the services you are seeking, whether or not you intend to release an RFP.

**Item 9b** – Check this box if you have not released or do not intend to release a Request for Proposal (RFP) for the Internet Access services you seek. Whether you check Item 9a or 9b, you must fill in details in the space provided about the specific Internet Access services or functions and quantity and/or capacity of service. For example, you might list “monthly Internet service” under Service or Function, and “for 500 student users” under Quantity and/or Capacity. If you issue an RFP, you may describe the services you are seeking in general terms on this Form 470 because more detailed descriptions are provided in the RFP.

**Item 9c** – Check the appropriate box to indicate if you prefer discounts on your bills from your service providers, if you prefer reimbursement after paying the bills from your service provider in full, or if you have no preference. This information is provided for potential bidders, and does not bind you to this invoicing arrangement.

**Item 10** – Internal Connections Other than Basic Maintenance. A given service is generally eligible for support under the universal service discount mechanism as a component of Internal Connections if it “is necessary to transport information within one or more instructional buildings of a single school campus or within one or more non-administrative buildings that comprise a single library branch.” 47 C.F.R. § 54.506. See the Eligible Services List on the SLD web site for more information.

**Item 10a** – Check this box if you have released or intend to release a Request for Proposal (RFP) that will provide potential bidders with specific information about the particular Internal Connections services or functions you are seeking, and what quantity and/or capacity you seek. For example, you might have an RFP for Internal Connections that specifies “a router, bug and cabling to connect one classroom of 30 students.” If you check Item 10a, you must indicate where the RFP is available, such as on your web site (list the web address); via the contact person listed in Item 6; and/or via the alternative contact person listed in Item 12. If the RFP is not posted on a web site, your designated contact person must be able to provide it to service providers on request. You must also complete Item 8b with the services you are seeking, whether or not you intend to release an RFP.

**Item 10b** – Check this box if you have not released or do not intend to release a Request for Proposal (RFP) for the Internal Connections services you seek. Whether you check Item 10a or 10b, you must fill in details in the space provided about the specific Internal Connections services or functions and quantity and/or capacity of service. For example, you might list “a router, hub and cabling” under Service or Function, and “connecting one classroom of 30 students” under Quantity and/or Capacity. If you issue an RFP, you may describe the services you are seeking in general terms on this Form 470 because more detailed descriptions are provided in the RFP.

**Item 10c** – Check the appropriate box to indicate if you prefer discounts on your bills from your service providers, if you prefer reimbursement after paying the bills from your service provider in full, or if you have no preference. This information is provided for potential bidders, and does not bind you to this invoicing arrangement.

**Item 11** – Basic Maintenance of Internal Connections. Services that fall under the definition of basic maintenance of internal connections are eligible for support. Basic maintenance services are “necessary” if, but for the maintenance at issue, the connection would not function and serve its intended purpose with the degree of reliability ordinarily provided in the marketplace to entities receiving such services without E-rate discounts. See the Eligible Services List on the SLD web site for more information.

**Item 11a** – Check this box if you have released or intend to release a Request for Proposal (RFP) that will provide potential bidders with specific information about the particular Basic Maintenance services or functions you are seeking, and what quantity and/or capacity you seek. For example, you might have an RFP for Basic Maintenance that specifies “basic maintenance of 10 routers.” If you check Item 11a, you must indicate where the RFP is available, such as on your web site (list the web address); via the contact person listed in Item 6; and/or via the alternative contact person listed in Item 12. If the RFP is not posted on a web site, your designated contact person must be able to provide it to service providers on request. You must also complete Item 8b with the services you are seeking, whether or not you intend to release an RFP.

**Item 11b** – Check this box if you have not released or do not intend to release a Request for Proposal (RFP) for the Basic Maintenance services you seek. Whether you check Item 11a or 11b, you must fill in details in the space provided about the specific Basic Maintenance services or functions and quantity and/or capacity of service. For example, you might list “basic maintenance of routers” under Service or Function, and “for 10 routers” under Quantity and/or Capacity. If you issue an RFP, you may describe the services you are seeking in general terms on this Form 470 because more detailed descriptions are provided in the RFP.

**Item 11c** – Check the appropriate box to indicate if you prefer discounts on your bills from your service providers, if you prefer reimbursement after paying the bills from your service provider in full, or if you have no preference. This information is provided for potential bidders, and does not bind you to this invoicing arrangement.

**Item 12** – You may (but are not required to) provide the name and contact information of the person on your staff or project who can provide additional technical details or answer specific questions from service providers about the services you are seeking. This need not be the contact person listed in Item 6 nor the authorized person identified in Item 27.

**Item 13a** – Indicate whether you are subject to any state or local restrictions regarding how and when you may be contacted by potential providers and what bidding procedures they must follow. For example, state bidding requirements might prohibit contacts between bidders and buyers between the time an official RFP is issued and when bids are due, or they may allow only written contacts. Applicants must also comply with any applicable state or local requirements when participating in the competitive bidding process used in the universal service discount mechanism. If you are subject to any state or local restrictions, you must check the box in Item 13a and provide a description of the restrictions or procedures. Alternatively, you may list a web site address where state or local restrictions can be found and the name and telephone number for a contact person who can provide the state or local restrictions and the applicable bidding procedures to service providers without Internet access. If no state or local procurement/competitive bidding requirements apply to this procurement of services, check the second box.

**Item 13b** – You may (but are not required to) provide information on your plans to purchase additional services in future years if you wish to encourage service providers to contact you even when you may not represent a financially attractive customer in the near term, but you may represent a financially attractive customer over a longer period of time. If you are requesting services for a funding year for which a Form 470 cannot yet be filed online, include that information here.

#### **D. Block 3: Technology Resources**

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

**Item 14** – Check this item if you are seeking support for basic telephone service and/or voice mail only. Basic telephone service is defined as wireline or wireless single line voice service (local, cellular/PCS, and/or long distance) and mandatory fees associated with such service (e.g., federal and state taxes and universal service fees). If you check Item 14, skip Item 15 and go to Item 16.

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

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

**Item 15a** – Indicate whether you have secured or are in the process of securing access to the necessary software for the desktop computers that will use eligible services. For example, computers that will be

connected to the Internet will probably need Web browsers. You should note that, although the software for the computers used in classrooms and other endpoints is not eligible for support, the software necessary to operate the networks used to transport information to the classroom is an eligible service.

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

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

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

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

**Item 15f** – You may (but are not required to) provide additional details to help providers identify the ineligible services you desire.

#### **E. Block 4: Recipients of Service**

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

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

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

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

**Item 16c** – Check this Item if you are a school district, library system, or consortium serving multiple entities. If you check Item 16c, you must specify the number of eligible entities that your application

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

**Item 17** – List here the entity or entities that will be paying bills directly to the service provider(s) for the services requested in this application. Such entities are known as “billed entities,” and are the entities who file Form 471. List these billed entities, whether or not they themselves are eligible for universal service discounts, and provide their Entity Numbers. For example, if you are a consortium of school districts joining together to aggregate demand and thus secure a better price on Telecommunications Services that each district will then contract for and pay for individually, list your member districts and their Entity Numbers in Item 17. As another example, if you are a library whose bills are paid by the municipal government, you should list the municipal government office and its Billed Entity Number. List each entity’s name in the left column, and its Entity Number in the right column. If, however, your application is statewide as indicated in Item 16b, then enter only one billed entity from your state. If you need help identifying Entity Numbers for each of these “billed entities,” contact CSB. Note that funding may be denied for the Form 471 funding requests associated with this Form 470 if the Form 471 Billed Entity is not listed in Item 17.

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

## **F. Block 5: Certifications and Signature**

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

**Item 19** – Certify that the entities in Item 16 are eligible schools and/or libraries. 47 C.F.R. Sec. 54.502 (b)(2).

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

**Item 19b** – If your application includes libraries or library consortia and all of the information in Item 19b is true of the libraries seeking to receive discounted services, you should check the box in Item 19b. If your

application includes libraries or library consortia and any of the information is not true for certain libraries or library consortia seeking to receive discounted services, those ineligible libraries or library consortia are not eligible to receive support under the universal service discount mechanism, and they must be identified in Item 18.

**Item 20** - concerns the technology plans that must be prepared before schools and libraries may receive discounted services under the universal service support mechanism. The only schools and libraries that do not have to comply with the technology plan requirement are those requesting support for basic local, cellular, PCS, and/or long distance telephone service and/or voice mail only. Note also that consortia and some other billed entities do not have to be covered by technology plans as long as all of the schools and libraries that they represent are covered by technology plans. 47 C.F.R. Sec. 54.502 (b)(2).

**Item 20** – Check the box that best describes the level of technology plan(s) that covers the schools, libraries, and library consortia represented by your application. You are certifying that technology plan(s) are written that they cover all 12 months of the funding year and that they 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.

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

**Item 21** – Check this box to certify that you will post your Form 470 and (if applicable) make your RFP available for at least 28 days before considering all bids received and selecting a service provider. 47 C.F.R. Secs. 54.504 and 511. Certify that you will retain required documents for a period of at least five years after the last day of service delivered. Also, certify that you will retain all documents necessary to demonstrate compliance with the statute and Commission rules regarding the application for, receipt of, and delivery of services receiving schools and libraries discounts. Recognize that you may be audited pursuant to participation in the schools and libraries program. 47 C.F.R. Sec. 54.504 (c)(1).

**Item 22** – Check this box to certify that services you order pursuant to the universal service discount mechanism will be used solely for educational purposes and that those services will not be sold, resold, or transferred in consideration for money or any other thing of value, except as permitted by the Commission's rules at 47 C.F.R. Sec. 54.500(k). Additionally, you certify that the entities listed on this application have not received or a promise of anything of value, other than services and equipment sought by means of this form, from the service provider, or any representative or agent thereof or any consultant in connection with this request for services. See 47 C.F.R. Sec. 54.504 (c)(1).

**Item 23** – Check this box to certify that you recognize that any support received under this support mechanism is conditional upon the school(s) and/or library(ies) you represent to securing access, separately or through this program, to all of the resources, including computers, training, software, internal connections, maintenance, and electrical capacity, necessary to use the services purchased under this mechanism effectively. See 47 C.F.R. Sec. 54.504 (c)(1). On FCC Form 471, you will need to certify that you have access to such funding. You recognize that some of the aforementioned resources are not eligible for support.

**Item 24** – Check this box to certify that you are the person authorized to order telecommunications and other supported services for the eligible entity(ies). In the cases where an entity is authorized to post a Form 470 and negotiate with service providers on behalf of eligible entities, the term “order” in this certification can be interpreted to mean that the entity signing the Form 470 is authorized to competitively bid and negotiate the terms of a master contract for eligible services for eligible entities. In this situation, the entity filing the Form 470 may make the Item 24 certification. Certify that you are the person authorized to submit and certify to the accuracy of this form. See 47 C.F.R. Sec. 54.504 (b)(2).

**Item 25** – Check this box to certify that you have reviewed all applicable FCC, state, and local procurement/competitive bidding requirements, and that you have complied with them. Certify that you acknowledge that persons willfully making false statements on this form can be punished by fine or forfeiture, under the Communications Act, 47 U.S.C. Secs. 502, 503(b), or fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. Sec.1001.

**Item 26** – Check this box to certify that you 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. See 47 C.F.R. Sec. 54.521.

**Item 27** requires the signature of the authorized person.

**Item 28** requires that the date of the signature of the Form 470 be provided.

**Item 29** – Print the name of the authorized person whose signature is provided in Item 27.

**Item 30** – Provide the title or position of the authorized person whose signature is provided in Item 27.

**Items 31a-31d** – 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 27.

**Item 31e** – Provide the name of the authorized person’s employer. If a consultant is acting as the authorized person, this will be the name of the company that employs the consultant and not the name of the applicant organization.

### **For Applicants Filing This Form Online:**

- When you have completed filing Blocks 1-4, please print your entire application to retain a copy for your records.
- You must also submit the Block 5 certification.
  - If you have a User ID and PIN and wish to submit your Block 5 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 certify online, do not mail any part of your Form 470 to the SLD. Check the SLD web site for information about obtaining a User ID and a PIN.
  - If you wish to submit the completed and signed Block 5 certification on paper, print Block 5 using your browser. When you print Block 5 using the browser, the form will automatically include your Form 470 Application Number, Applicant Name, and Applicant Address. Item 27 requires the signature of the authorized person who will certify to the accuracy of the information on the form. Also, you must complete Items 19-26. Mail the signed Block 5 to: **SLD-Form 470, P. O. Box 7026, Lawrence, Kansas 66044-7026**. For express delivery services or U.S. Postal Service Return Receipt Requested, send to **SLD-Forms 470, ATTN: SLD Form 470, 3833 Greenway Drive, Lawrence, Kansas 66046**. Note: Do not mail the complete Form 470. Mail only the signed Block 5 certification pages. If the Block 5 certification is submitted on paper, you are strongly advised to keep proof of the date of mailing.

### **For Applicants Filing This Form On Paper:**

After the authorized person signs Item 27, check to be certain that all other items—including Items 28-31—are properly completed. Make a copy of your entire form to keep for your records. Then submit your original form by mail to: **SLD-Form 470, P.O. Box 7026, Lawrence, Kansas 66044-7026**. For express delivery or U.S. Postal Service Return Receipt, send to: **SLD-Forms 470, ATTN: SLD Form 470, 3833 Greenway Drive, Lawrence, Kansas 66046**, phone 1-888-203-8100. **No Forms 470 will be accepted via e-mail or fax.**

## V. REMINDERS

- All schools and libraries seeking universal service support for ANY service not covered by a qualified existing contract (i.e., a contract executed pursuant to Form 470 posting in prior program years OR a contract signed on or before July 10, 1997 for which a Form 470 was not filed in a prior year) must file Form 470 individually or be included in a consortium that files Form 470. Services that must be represented in an individual or consortium Form 470 in order to qualify for universal service support include: eligible non-contracted tariffed Telecommunications Services or month-to-month services provided without a signed, written contract; new services for which a contract is sought; or services provided under a multi-year contract signed on or before July 10, 1997, for which a Form 470 was not filed in a prior program year.
- A Form 470 is NOT required for services covered by a qualified existing contract (i.e., a contract executed pursuant to Form 470 posting in a prior program year OR a contract signed on or before July 10, 1997 and identified as pre-existing in a Form 470 filed in prior years).
- Fill out all applicable items completely. Attach additional pages if necessary. Clearly label each page of all attachments to Form 470 with your Entity Number, Applicant's Form Identifier, Contact Person Name, and Contact Telephone Number.
- Any Request for Proposal (RFP) for any of the services requested in this Form 470 must be available to service providers via a web site or your designated contact person in Item 6 or the contact listed in Item 12 for at least 28 days before you select your service provider and sign and submit your Form 471.
- The individual authorized by the entity that will negotiate with potential service providers for telecommunications and other supported services for the school, school district, library, or consortium must sign and date Form 470.
- If you are filing Form 470 online, you must also complete and submit the Block 5 certification (whether online or on paper)