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## I. INTRODUCTION.

On May 7, 1997, the Commission adopted rules providing discounts on all telecommunications services, Internet access, and internal connections for all eligible schools and libraries. Section 54.504 of the Commission's rules require all 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 Commission'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.

All schools and libraries, or consortia acting on behalf of schools and libraries, requesting discounts on telecommunications services, Internet access, and internal connections, hereinafter "eligible services," pursuant to the universal service discount mechanism must file FCC Form 470. Each entity actually paying bills to the service provider for the schools and libraries ("the billed entity") should file a separate FCC Form 471. For this purpose, 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 day or residential school that provides elementary education, as determined under state law." 47 C.F.R. § 54.500(a). A secondary school is "a non-profit day or residential school that provides secondary education, as determined under state law. A secondary school does not offer education beyond grade 12." 47 C.F.R. § 54.500(i). 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 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(d). 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 are 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 systemic 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(e).

**B. When and Where to File.**

One copy of FCC Form 471 must be filed with the Universal Service Administrator each time the applicant seeks a commitment of funding for a specific set of services eligible for discounts under the universal service discount mechanism that it has ordered. The copy must be filed with the Administrator at the address listed at the bottom of the form: **Schools and Libraries Corporation, P.O. Box 4217, Iowa City, Iowa 52244-4217. DO NOT FILE THIS OR ANY OTHER UNIVERSAL SERVICE FORM WITH THE FEDERAL COMMUNICATIONS COMMISSION.**

**C. Compliance.**

Schools and libraries, or consortia acting on behalf of schools and libraries, failing to file the Services Ordered and Certification Form (FCC 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 able to demonstrate to the auditor how the entries in its application were provided.

### III. SPECIFIC INSTRUCTIONS.

Please type or clearly print in the spaces provided and attach additional pages if necessary. This form is also posted on the administrator's website at <<http://www.slcfund.org>>. Further information is available at **888-203-8100**. You may file more than one Form 471. For example, you may file one FCC Form 471 for internal connections, one for Internet access, one for high bandwidth video conferencing, and one for other telecommunications services. Alternatively, you may file a single FCC Form 471 that includes any combination of these services. Each billed entity must file a separate FCC Form 471. Thus, even if more than one billed entity filed a single FCC Form 470, each billed entity must file a separate FCC Form 471.

#### A. Block 1: Applicant Address and Identifications

Block 1 of FCC Form 471 is almost identical to Block 1 of Form 470: Description of Services Requested and Certification, except for question 3. Block 1 of FCC Form 471 asks you for your address and basic identifications. "You" refers hereinafter to the applicant -- the entity actually paying bills for eligible schools and libraries ("the billed entity").

**Item (1)** - Provide the name of your organization. You may be an individual school or library or a consortium, including a school district that is the billed entity for its schools. You may also be 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.

**Item (2)** - Provide the funding year, i.e., calendar year, for which you are applying for funds (e.g., "1998").

**Item (3a)** - If you are an individual school or library, provide the code number that the National Center for Educational Statistics (NCES) has assigned to you. If NCES has not assigned you such a number, the administrator will create a comparable number for identification purposes. If you do not know your codes, you can use the search system built into the application form for this item, on the administrator's website: <<http://www.slcfund.org>>. It permits you to enter your zip code and then select from the list of schools and libraries in your zip code. When you select your school or library, the system will insert the appropriate code in this box. Alternatively, you may call call the administrator at **888-203-8100**.

**Item (3b)** - The administrator will insert your "471 Application Number."

**Item (3c)** - Provide your billed entity number. The administrator provides billed entity numbers in Item (19) of FCC Form 470 for all billed entities listed in Item (19). If you were part of an application consortium, but are paying your bills separately, you can obtain the billed entity number from the person that filed the FCC Form 470 on your behalf. Alternatively, you can find it on the administrator's website: : <<http://www.slcfund.org>> or by calling the administrator at

**888-203-8100.**

**Item (4a)** - Check the box that best describes you. A "library consortium under the LSTA" refers to a library consortium as defined in the Library Services and Technology Act. See section II.A of these instructions. If you are ordering services as part of a consortium of schools, libraries, or other entities (other than a library consortium, as defined by the LSTA) you should check the fourth box.

**Item (4b)** - If you are ordering services as part of a consortium, you should also check all boxes in Item (4b) that apply. If your consortium includes non-governmental entities that are ineligible for support, you should check that box and remember that the pre-discount prices you secure for interstate services from incumbent local telephone companies cannot be below tariffed rates. (Note: Entities eligible for universal service support as "rural health care providers" should be treated as eligible for support for this purpose). Each billed entity will be required to fill out a separate FCC Form 471. You should also indicate if your consortium represents a region within a state, an entire single state, or a multi-state group. If your consortium is a state or local educational agency or an educational service agency, as those terms are defined in 20 U.S.C. § 8801, you should indicate this by checking the appropriate box. Note that school districts should not also check the box for "local educational agency," and that non-profit 501(c)(3) organizations are NOT governmental entities.

**Item (5)** - Provide your full mailing address, whether a street address, Post Office Box number, or route number, and your telephone number and e-mail address (if you have one).

**Item (6)** - Provide the name, address, phone number, fax number, and e-mail address, and indicate the preferred mode of contact for the person that should be contacted with questions about the 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. **IN ADDITION**, to help alleviate problems caused if the pages of an application become separated, please provide the name and phone number of the contact person at the top of each page of this form.

**B. Block 2: Purpose of Request**

Block 2 asks you to indicate the type of your funding request. Check any of the three choices that apply. Note that in Items (15 & 16), below, you will need to indicate on which FCC Form 470 a particular service that you are ordering was requested.

**Item (7a)** - Check this box if you are seeking support for services under one or more **existing, binding contracts** that were entered into before the administrator's website was activated. You should also confirm that you filed a FCC Form 470 with regard to each of these contracts, for you may not file a Form 471 unless it is based on a Form 470 that has already been filed.

**Item (7b)** - Check this box if you are seeking support for services based on a request that you have submitted and that has been posted on the administrator's website.

**Item (7c)** - Check this box if your request is intended as a modification or supplement to a previously filed FCC Form 471 and provide the 471 Application Number (Item (3b)) from the previous FCC Form 471 that this is modifying or supplementing. If you are adding services in addition to those requested on the previous Form 471, please include only the additional services in this submission. If you are requesting fewer services than those requested on the previous Form 471, please call the administrator at **888-203-8100** to inform it of this change.

**B. Block 3: Characteristics of Applicant and Applicant's Service Order**

Block 3 of FCC Form 471 asks for much of the same type of information collected in FCC Form 470, Blocks 2 & 3. In Block 3 of FCC Form 471, however, you should provide estimates based on the schools and libraries covered by your particular funding request. These schools and libraries may be a subset of the entities covered in the FCC Form 470 upon which this FCC Form 471 is based. For example, an entire state may file an FCC Form 470 for a master contract (i.e., a contract negotiated by a consortium, state, or other entity on behalf of multiple entities leaving it up to the individual entities to order the services they desire) on behalf of all of its public school districts. An individual school district buying off of that master contract may file an FCC Form 471 for the services eligible for universal service discounts that it is purchasing. In such a situation, the individual school district would complete Block 3 as it applies to that district's needs.

**Item (8a)** - If your applicant group includes eligible K-12 schools, provide the total number of students in those schools.

**Item (8b)** - If your applicant group includes eligible libraries, provide the approximate number of patrons served as defined by either the census population within your service area or the number of cardholders you serve.

**Item (9)** - Provide the approximate total number of buildings for which you seek some form of telecommunications-related service.

**Item (10)** - Provide the approximate total number of rooms for which you are ordering service.

**Items (11-13)** - Provide particular information about the services you currently receive and the services that you will have after you have received the new services ordered. Complete components of this section that relate to the services for which you are requesting a discount.

**Item (11a)** - Provide the number of telephones (or fax machines or other devices that may terminate or originate what are commonly considered "calls") that currently have service (column two) and the total number that will have service after you have received the new services ordered

(column three). Do not include "extension" phones.

**Item (11b)** - Provide the number of your computers that are already linked to other computers (column two) and total number that will be linked to other computers after you have received the new services ordered (column three).

**Item (11c)** - Provide the number of high bandwidth video conferencing links you currently maintain (column two) and that you will have after you have received the new links ordered (column three).

**Item (12a)** - Provide the number of different buildings for which you already have one or more classrooms that have telecommunications connections to each other (column two) and the total number of buildings that will have one or more classrooms with telecommunications connections to each other after you have received the new services ordered (column three).

**Item (12b)** - Provide the total number of rooms in the buildings for which you already have one or more classrooms that have telecommunications connections to each other (column two) and the total number of rooms that will have telecommunications connections to each other after you have received the new services ordered (column three).

**Item (12c)** - Indicate the highest line speed you have for your current internal connections (column two) and the highest speed you will have after you have received the new services ordered (column three).

**Item (13a)** - Provide the number of dial up connections to the Internet that you have (column two) and that you will have after you have received the new services ordered (column three). This would include the number of "subscriptions" that you have and that you will have that allow simultaneous connections to the Internet by dialing a particular telephone number of an Internet service provider.

**Item (13b)** - Indicate the highest line speed of such dial up connection to the Internet that you have (column two) and will have after you have received the new services ordered (column three).

**Item (13c)** - Provide the number of direct connections to the Internet that you have (column two) and will have after you have received the new services ordered (column three). Direct connections to the Internet are dedicated links that go directly to an Internet service provider and are not available for ordinary voice phone calls.

**Item (13d)** - Indicate the highest speed of such direct connections to the Internet that you have (column two) and that you will have after you have received the new services ordered (column three).

D. Block 4: Determining Discount Percentage

**Item (14)** - If you have already filled out the information in this chart for the same parties and it is current, you may attach a copy of the previous sheet that you have filed. Note: In future years, if you file electronically, the administrator's website will automatically fill in this table with the data from your most recent FCC Form 471 filing, permitting you to limit yourself to only making the necessary modifications to that data.

If you are a billed entity that represents multiple school districts or library systems, each of which reimburses you for its portion of its charges for eligible services, you should fill out a separate Item (14) Table for each of those school districts and library systems so that you can calculate separately the appropriate discount rate for shared services. This is necessary to comply with 47 C.F.R. § 54.505(d), which requires that "[e]ach eligible school, school district, library, or library consortia will be credited with the discount to which it is entitled." If the discount rates for different schools districts or library systems are different, you should request that the service provider provide you with the appropriate discounts for each school district or library system. For example, the service provider might bill each school district or library system as a different sub-account.

**Item (14, column 1)** - List the names of all of the schools or libraries represented by the billed entity filling out this form. List each school or library on a separate row.

**Item (14, column 2)** - Provide the code number that the National Center for Educational Statistics (NCES) has assigned to each of the schools and libraries that you have listed in column one. If NCES has not assigned such a number, the administrator will create a comparable number for identification purposes. If you do not know your codes, you can find them by either looking at the list of all schools and libraries and their NCES or comparable code numbers, which the administrator will post on its website: <<http://www.slcfund.org>> or by calling the administrator at 888-203-8100.

**Item (14, column 3)** - Indicate whether each school or library is located in an urban or a rural area. You should base your assessment on the Metropolitan Statistical Area (MSA) list posted on NECA's website <[www.neca.org](http://www.neca.org)> and on the administrator's website <[www.slcfund.org](http://www.slcfund.org)>. Instructions accompanying the MSA list will help you determine whether the school or library is located in an urban or a rural area for purposes of the universal service support mechanism.

**Item (14, column 4)** - If the entity is an individual school, you should provide its total number of students. If it is a library, you should provide the NCES school code for a school within the district in which it is located. (Because a library's level of discount depends upon the poverty level of the school district in which it is located, the school code will enable the administrator to identify the relevant school district to determine the library's discount percentage.) The library may secure that school code by checking the administrator's website, asking the school or school district, or contacting the administrator at 888-203-8100. A library may also obtain the actual percentage discount figure by contacting the school district.

**Item (14, column 5)** - If the entity is a school, you should provide the number of students eligible for the National School Lunch Program as of the December 1st prior to the filing of this form. Schools may choose to use an actual count of students eligible for the national school lunch program or may calculate that number using a federally approved alternative mechanism. Schools choosing 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 rule 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, however, that AFDC will be altered significantly by the recently-enacted welfare reform law. Schools using a federally approved alternative mechanism may use participation in other income-assistance programs, such as Medicaid, food stamps, or Supplementary Security Income (SSI), to determine the number of students that would be eligible for the National School Lunch Program.

**Item (14, column 6)** - Using the information in columns four through six and the FCC Discount Matrix (see below), you should determine the percentage discount to which each school or library is entitled. If you have any questions about determining this figure you can call the administrator at 888-203-8100. The administrator will verify this figure.

SCHOOLS AND LIBRARIES DISCOUNT MATRIX	DISCOUNT LEVEL	
	urban discount (%)	rural discount (%)
HOW DISADVANTAGED? % of students eligible for national school lunch program		
< 1	20	25
1-19	40	50
20-34	50	60
35-49	60	70
50-74	80	80
75-100	90	90

**Item (14, column 7)** - Check this box if the school listed in column one will be using any of the "shared services" listed in Item (15) during the funding year.

**Item (14, bottom row)** - Calculate the discount percentage applicable for shared services ordered by the billed entity as follows. First, calculate the appropriate discount rate for each individual school or library (Item 14, column 6)). Second, for schools, for each school receiving an appropriate share of shared services, multiply the discount rate for the school (column 6) by the number of students in the school (column 4). Add up the total for all schools and divide the total by the total number of students in all the schools receiving an appropriate share of shared services. Round the result to the nearest percentage point. For libraries, add up the discount rates (column 6) for all the libraries receiving an appropriate share of shared services, and divide by the total number of those libraries. Round the result to the nearest percentage point.

E. Block 5: Services Ordered

Block 5 asks you to provide information about the eligible services that you have ordered, which will enable the administrator to estimate your funding needs. You must base your spending estimates on the amounts you are willing and able to spend to cover the charges for purchases after the discount has been applied. Thus, you may not seek a commitment for support that would require you to spend more than you have budgeted or intend to budget for the funding year at issue. 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.

Eligible telecommunications-related purchases must be listed in either Item (15) OR Item (16). **No purchase may be double-counted by being listed in both.** Services that are strictly site specific should be listed in Item (16). These would only include: (1) internal connections, e.g., wiring or a wireless service, for a single school or library that is not available at any other school or library served by the billed entity; or (2) dedicated ("private line") connections from a single school or library to another end-user outside of the school district or library system or to an Internet service provider. For these purposes, site specific services do NOT include dedicated connections from individual schools or libraries to a district office or even to a telecommunications company central office, for those connections are not dedicated connections to an end-user or Internet service provider. For the purposes of Items (15 and 16), the latter connections are recognized as "shared" connections to a network. The only kind of connections that should be included in Item (16) are connections between a single school or library and a separate destination other than the facility of a provider of telecommunications or between a single school or library and an Internet service provider. All other eligible purchases should be listed in Item (15).

**Item (15, column 1)** - Provide the Schools and Library Corporation (SLC) service provider number for each service provider with whom one of your billed entities has contracted for eligible services and from which the billed entity seeks discounts. If you do not know the service provider number, you can use the search system built into the application form for this item on the administrator's website. If you are submitting Form 471 by paper and you do not know the service provider number, please provide the full legal name of the service provider in this item.

**Item (15, column 2)** - Provide the "Universal Service Control Number" from Item (3b) 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 (15, columns 3-5)** - Provide information about the contracts signed or other purchase agreements reached by the billed entity on which you seek discounts for eligible services. In column three, you must provide the contract number, if any, for the contracts signed by the billed entities for telecommunications services, internal connections, or Internet access. If the contract does not have a contract number, but has some other reference number, you should note that number. This number is to help the administrator identify the agreement if the administrator seeks to verify your contract terms. If you choose to purchase service at a tariffed rate, you should provide a tariff reference number for your service order instead of a contract number. In columns four and five, you must provide the award date and expiration date of each contract. If your tariffed rate is for a month-to-month period, you should insert the letter "T" (for tariffed rate) in both columns four and five.

If the billed entity orders services from a service provider based on different FCC Form 470s, then you should list the services corresponding to each FCC Form 470 in separate rows associated with the relevant FCC Form 470 number. When listing the services each service provider provides based on a single FCC Form 470, you should group them according to whether they represent Telecommunication Services, Internet Access, or Internal Connections. You should attach additional sheets of paper, as necessary, to complete Item (15). If you choose, you may provide more detailed information in Item (15) regarding the specific eligible services for which you request discounts. Such additional information, however, is not required.

**YOU MAY NOT SEEK SUPPORT ON THIS FORM FOR INELIGIBLE SERVICES.**  
You MAY NOT include any ineligible services in Items (15 or 16), nor may you include services provided to ineligible entities.

If you have any questions about whether a service is or is not eligible for support, you should confirm that a purchase is only for eligible services BEFORE submitting Form 471. You may contact the administrator with questions at 888-203-8100 or check the FCC website <<http://www.fcc.gov>> for frequently asked questions (FAQs). You may also file a separate Form 471 for services that you know are eligible while awaiting clarification on other purchases. You are responsible for confirming the eligibility of a purchase before you seek support for that purchase.

**Software provided by Internet service provider** - You may receive discounts on access to the Internet but not on separate charges for particular proprietary content or other information services or a package including content and conduit, unless the bundled package included minimal content and provided a more cost-effective means of securing non-content access to the Internet than other non-content alternatives. Thus, if a service provider that bundles Internet access with a

package of content that is available free of charge, the entire price of that bundle will be eligible for support. If the service provider offers Internet users access to its proprietary content for a price, you may treat the difference between that price and the price it charges for its access-only package as the price of non-content Internet access. For example, if an interexchange carrier (IXC) offers a \$50 per month service that includes unlimited Internet access, as well as free access to particular proprietary educational software services, and the proprietary services are available independently for \$30 per month, you may receive a discount on  $\$50 - \$30 = \$20$  per month. Finally, if a service provider offers a bundled package of Internet access and content that it does not offer on an unbundled basis and thus, the fair price of the conduit element cannot be ascertained readily, you may only receive support for such an Internet access package if you can affirmatively show that the price of the Internet access package is still the most cost-effective manner for you to secure basic, conduit access to the Internet.

**Eligible services bundled with ineligible services** - While you may contract with the same entity for both supported and unsupported services, you may only receive support if any purchase agreement covering eligible services specifically prices those services separately from ineligible services so that it will be easy to identify the purchase amount that is eligible for a discount. Consequently, where the service provider indicates separately what the prices of the eligible and ineligible offerings would be if offered on an unbundled basis, the service provider must indicate the "price reduction" that would apply if the services are purchased together. The provider would then be able to apply the appropriate universal service support discount to the price for the eligible services after reducing the price to reflect a proportional amount of the "price reduction" the provider applied. 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 the eligible and ineligible services 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 only receive support 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 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 Commission, the administrator, or state commissions.

**Item (15, column 7)** - For each contract and service listed separately, you should indicate the service start date in column seven. Note that, discounts will not be provided to the extent that services are received before January 1, 1998.

**Item (15, columns 8-10)** - For each of the services you have listed, you must estimate the pre-discount amounts you will be charged. The pre-discount price is the total amount charged for the service, before application of the discount for which you qualify.

**Item (15, column 8)** - Estimate your non-recurring (one time) pre-discount charges for each service listed here. If you expect to pay this in multiple installments over the funding year, you should amortize this estimate as part of monthly charges in column nine, not in column eight. **DO NOT** include this amount in both column eight and column nine.

**Item (15, column 9)** - Estimate your monthly pre-discount charges for each of the services listed here. If you expect to pay a non-recurring charge in multiple installments over the funding year, you should amortize this estimate as part of monthly charges in column nine, not in column eight. **DO NOT** include this amount in both column eight and column nine.

**Item (15, column 10)** - Give your best estimate of the total pre-discount charges you expect to incur for each of the services listed here. The total estimated pre-discount cost that you list here is the figure that the administrator will use to calculate the amount of support that it will commit to provide with respect to services purchased by each billed entity. This amount should reflect the sum of column eight and a multiple of column nine, which multiple corresponds to the number of eligible months in your contract for the funding year.

Note that if you are seeking support on explicit or implicit multi-year contracts, you may only request funding for that portion of the contract that is delivered in the relevant funding year.

**Item (15, column 11)** - If all schools in a school district or all library branches in a library system will be receiving an appropriate share of the benefits from shared services over the next five years, you should provide the average percentage discount for the school district or library system calculated in Item (14). The same average discount calculated in Item (14, bottom row) should be applied to every contract for shared services listed in Item (15). If only a subset of the schools in a school district or library branches in a library system will be receiving an appropriate share of the benefits from the shared services over the next five years, you should use the figures in Item (14) to calculate an appropriate average discount for those shared services.

If you are a billed entity that represents multiple school districts or library systems, each of which reimburses you for the portion it charges for eligible services, and if the discount rates for each of those districts or systems are different, calculate the multi-district discount rate by computing a straight average of the discount rates of each school district or library system. As indicated in Item (14) above, however, the billed entity must assure that each of the districts reimbursing that entity receives the discount rate to which it is entitled.

**Item (16, columns 1-11)** - Follow the same instructions for Item (16, columns 1-11) as for Item (15, columns 1-11)

**Item (16, column 12)** - Provide the code number that the National Center for Educational Statistics (NCES) has assigned to each individual school or library that will receive site-specific service. If NCES has not assigned a number to your school or library, the administrator will create a comparable number for identification purposes. If you do not know your codes, you can

use the search system built into the application form for Item 3(a), on the administrator's website: <<http://www.slcfund.org>>. It permits you to enter your zip code and then select from the list of schools and libraries in your zip code. When you select your school or library, the system will provide the appropriate code. Alternatively, you may call the administrator at 888-203-8100.

**Item (17)** - For each service provider listed in Items (15 & 16), please attach -- in an appendix to this form -- a list of all of the services that it is providing on which discounts are being sought. You should collect these lists by requesting them from each service provider. You may require the service provider to provide this list as a condition or term of your contract or service agreement. Both you and service providers are responsible for ensuring that discounts are only being sought for eligible services. If the administrator discovers that discounts are being sought for services that are not eligible for support, such discounts will not be provided and the administrator will take any other appropriate action.

**Item (18)** - The administrator will estimate the total dollar amount of support that you are requesting in the current funding year based on the information you provide in Items (15-16). This is the total amount of support that the administrator will reserve for reimbursing service providers listed in Items (15-16) for the discounts they provide to the billed entities listed in Item (15-16). The administrator will use the figures in Item (16) to make this estimate for the entire funding year (Item 18a). In addition, because there is a funding cap of \$1 billion for services used in the first six months of the initial funding year, the administrator will estimate your need for support for services that will be used in the first six months of 1998 in Item (18b). If the funding request is approved, the administrator shall set aside the estimated levels of funds requested for the service providers serving you. If you actually require less support, the residual amount shall be available to others or be carried forward for use of applicants in future funding years. If you find that you will actually need more funding than your initial estimate, such funding will be provided to the extent that funds are available at the time of additional support is requested. To secure a commitment of additional funds, you must file a supplementary Form 471.

**Item (19)** - Make a good faith estimate of your likely demand for eligible services in the funding year following the one to which this application applies. Your estimated pre-discount total price is not binding on you, but it will be used by the administrator to estimate total demand for the following year and whether there will be sufficient funds available to provide support for the predicted future demand. If the administrator predicts that demand will exceed the support available, it may recommend that the Commission adopt adjustments to the discount levels.

**Item (20)** - If your application is solely for basic voice telephone service, check yes. This information will enable the administrator to identify which applicants may be eligible for priority funding in the event that only \$250 million in funding remains under the funding cap and the trigger is reached. In that case, applicants that have not received any funding for services other than basic telephone service and are eligible for the highest discounts (80% or 90%) continue to retain eligibility for the highest funding priority. 47 C.F.R. § 54.507(f)(2)

F. 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.

**Item (21)** - This item is identical to Item (21) on FCC Form 470. Certify that you are an eligible school or library. If your application includes schools and all of the information in Item (21a) is true of those schools seeking to receive discounted services, you should check the box in Item (21a). If your applicant includes schools and any of the information in Item (21a) is not true for the schools seeking to receive discounted services, those schools are not eligible to receive support under the universal service discount mechanism.

If your application includes libraries or library consortia and all of the information in Item (21b) is true of the libraries seeking to receive discounted services, you should check the box in Item (21b). If your application includes libraries or library consortia and any of the information is not true for the libraries or library consortia seeking to receive discounted services, those libraries or library consortia are not eligible to receive support under the universal service discount mechanism.

**Item (22)** - Certify that your current budget and any other budgets applicable to the current funding year for the universal service discount mechanism will provide you with sufficient funding to purchase all of the resources that are necessary for you to utilize the eligible services you have listed in Items (15-16) effectively, including computers, training, software, maintenance, electrical connections, and eligible services at discounted prices.

**Items (23 and 24)** repeat the certifications in FCC Form 470: Items (22 and 23). They concern the technology plans that must be prepared before schools and libraries may apply for 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 for voice services (i.e., telephone service) only.

**Item (23)** - If all of the schools, libraries, and library consortia listed in Item (14) are covered by individual or multi-entity technology plans for the services requested in your application, you should check the box in Item (25). Technology plans that have been approved for other purposes, e.g., for participation in federal or state programs such as "Goals 2000" and the Technology Literacy Challenge, will be accepted without need for further independent approval. **Note: No support will be provided to any service providers until the submission of FCC Form 486, certifying that the technology plan(s) covering the relevant schools and libraries has/have been approved.**

**Item (24)** - Indicate either that the technology plan(s) that covers you has been approved (Item (25a)) or that you are currently seeking approval of your technology plan(s). If you are seeking

approval from a state or other authorized body, you should check the box in Item (25b). If, instead, you will be submitting your technology plan(s) to the Schools and Libraries Corporation for approval, you should check the box in Item (25c).

**Item (25)** - Certify that you have complied with all applicable state and local laws or rules regarding procurement. The Commission's rules are not intended to preempt state or local procurement rules.

**Item (26)** repeats the certification in Item (24) of FCC Form 470. 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 (27)** - 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 Commission.

**Item (28)** - Certify that you are aware that you may be audited under this mechanism 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 FCC 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 able to demonstrate to the auditor how the entries in its application were provided.

**Item (29)** requires the person authorized to complete FCC Form 471 to certify to the accuracy of the form.

**Item (30): For applicants filing electronically:** When you have completed this form, use your browser to print Block 6. When you print Block 6 using the browser, the form will automatically include your Form 470 Universal Service Control Number, Applicant Name, and Applicant Address. Item (30) must be signed by the person who will certify to the accuracy of the information on the form. Mail the signed Block 6 to: **Schools and Libraries Corporation, P.O. Box 4217, Iowa City, Iowa 52244-4217**. Note: Do not mail the complete Form 471; mail only the signed Block 6.

#### IV. REMINDERS.

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

- **The individual responsible for ordering telecommunications and other supported services for the school, school district, library, or library consortium must sign FCC Form 471.**
- **Provide data for all items that apply. On the items that do not apply, fill in "N/A." Attach additional sheets if necessary. Any attachments to Form 471 should be clearly labeled.**
- **The administrator will notify the applicant after its funding request has been approved.**
- **The administrator will not provide funds to service providers, however, until FCC Form 486 is filed, indicating that the service recipient's technology plan(s) (if necessary) has/have been approved (unless the recipient seeks only basic voice only 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.**

## Health Care Providers Universal Service

### Description of Services Requested and Certification Form

Estimated Average Burden Hours Per Response: 2.5 hours

Please read instructions before completing.

(To be completed by Health Care Provider or Consortium.)

**Block 1: Applicant Information**

1. Name of Applicant	2. Federal EIN	3. Universal Service Control Number <i>(to be completed by Rural Health Care Corporation)</i>	4. Customer ID Number <i>(to be completed by Rural Health Care Corporation)</i>	5. Funding Year	
6. Complete Mailing Address of Applicant					
Street	County	City	State	Zip Code	Telephone number
7. Contact Person's Name:					
8. Mailing Address (if different from Item 6)					
Street	County	City	State	Zip Code	Telephone number
FAX number			E-mail address		

**Block 2: Eligibility**

9. The applicant *(check only one)*:

a.  is located in a non-metropolitan county as defined by the Office of Management and Budget's list of Metropolitan Statistical Areas or in non-urban areas of those metro counties identified in the Goldsmith Modification used by the Office of Rural Health Policy/Department of Health and Human Services; or

b.  is not located in a rural area, but cannot obtain toll-free access to an Internet service provider.

10. Type of Institution *(check only one)*:

a.  rural health care provider

b.  non-rural health care provider

c.  consortium of health care providers and public sector entities

d.  consortium of health care providers and private sector entities

11. Complete Item 11 only if box 10a or 10b is checked.

If the applicant is a health care provider (not a consortium), the applicant is an eligible public or non-profit entity under 47 U.S.C. Sec 254(h)(4) because it is either a *(check only one)*:

- Post-secondary educational institution offering health care instruction, teaching hospital or medical school;
- Community health center or health center providing health care to migrants;
- Local health department or agency;
- Community mental health center;
- Not-for-profit hospital; or
- Rural health clinic

12. Complete Item 12 only if box 10c or 10d is checked. If the applicant is applying as a consortium of entities, provide the following information for each entity in the consortium: (Attach additional sheets if necessary.)

a. Federal EIN	b. Name of Entity	c. Type of Entity (e.g., rural health care provider, school, private sector entity)	d. Zip Code	e. Contact name, phone number, and address	f. Name of nearest large city

**Block 3: Description of Services Requested**

13. a. Services Requested (wireline or wireless) (Check all that apply. Certain limitations exist; see instructions.)

**Switched Services**

- Voice
- 1.44 Kbps
- 1.544 Mbps
- ISDN
- Frame Relay
- ATM
- Other

**Dedicated Services**

- 64 Kbps service
- 1.544 Mbps service
- ISDN
- DDS
- Other

- b. Please list any other telecommunications services requested or provide a description of the application desired (e.g., the capability to transmit data and medical images such as x-rays; provider-to-patient consultation using electronic diagnostic devices, continuing medical education programs for rural health care providers).

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14. Are there any applicable state or local procurement rules the applicant is required to follow?  Yes  No If yes, briefly describe those requirements.

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15. a. Can the applicant obtain toll-free access to an Internet service provider?  Yes  No (complete 15b)  
 b. What is the monthly toll charge incurred for thirty (30) hours of access to an Internet service provider? \_\_\_\_\_

**Block 4: Supplemental Information**

16. Name of nearest city in applicant's state with population of 50,000 or greater? \_\_\_\_\_  
 (Consortia should provide this information in Item 12.)

17. a. Is the institution a party to an existing contract for telecommunications services?  Yes (complete 17b)  No  
 b. Provide the following information about the institution's existing service contract:

(1) Service Provider	(2) Number	(3) Award Date	(4) Expiration Date	(5) Description of Services Received

**Block 5: Certification**

18.  I certify that the services that the applicant purchases at rates comparable to urban rates under 47 U.S.C. Sec 254 will be used solely for purposes reasonably related to the provision of health care service or instruction that the health care provider is legally authorized to provide under the law of the state in which the services are provided and will not be sold, resold, or transferred in consideration for money or any other thing of value.
19.  Pursuant to 47 C.F.R. Secs. 54.601 and 54.603, I certify that the health care provider or consortium that I am representing satisfies all of the requirements herein and will abide by all of the relevant requirements with respect to funding provided under 47 U.S.C. Sec. 254.

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

21. Signature	22. Date
23. Printed name of authorized person	
24. Title or position of authorized person	

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.

**NOTICE TO INDIVIDUALS:** Section 54.615(c) of the Federal Communications Commission's rules requires all health care providers ordering services under this support mechanism to certify to their eligibility to receive support. 47 C.F.R. § 54.615(c). In addition, section 54.603 of the Federal Communications Commission's rules requires eligible health care providers to participate in a competitive bid process prior to receiving supported services. 47 C.F.R. § 54.603. The collection of information stems from the Commission's authority under Section 254 of the Communications Act of 1934, as amended, 47 U.S.C. § 254. The data in the report will be used to certify applicants' eligibility to receive support pursuant to 47 C.F.R. § 54.615(c) and to ensure compliance with the competitive bidding requirements of 47 C.F.R. § 54.603. All health care providers requesting services eligible for universal service support must file this Description of Services Requested and Certification Form (FCC Form 465).

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 control number.

The foregoing Notice is required by the Privacy Act of 1974, Pub. L. No. 93-579, December 31, 1974, 5 U.S.C. § 552, and the Paperwork Reduction Act of 1995, Pub. L. No. 104-13, 44 U.S.C. §§ 3501, et seq.

Public reporting burden for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, completing, and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the reporting burden to the Federal Communications Commission, Performance Evaluation and Records Management, Washington, D.C. 20554.

This form should be submitted to:

Administrator  
 Rural Health Care Corporation  
 100 South Jefferson Road  
 Whippany, New Jersey 07981

FCC Form 465

Approved by OMB  
3060-0804

**Health Care Providers Universal Service  
Description of Services Requested and Certification Form**

Expires 05-31-98

Estimated Average Burden Hours Per Response: 2.5 hours

For more information, call the Rural Health Care Corporation at 1-888-203-7300.

**Instructions for Completing the  
Health Care Providers Universal Service  
Description of Services Requested and Certification Form (FCC Form 465)**

**NOTICE TO INDIVIDUALS**

Section 54.615(c) of the Federal Communications Commission's rules requires all health care providers ordering services that are eligible for universal service support to file this Description of Services Requested and Certification Form (FCC Form 465) with the Rural Health Care Corporation. 47 C.F.R. § 54.615(c). In addition, section 54.603 of the Federal Communications Commission's rules requires eligible health care providers to participate in a competitive bid process prior to receiving supported services. 47 C.F.R. § 54.603. 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 reported will be used to certify applicants' eligibility to receive support pursuant to 47 C.F.R. § 54.615(c) and to ensure compliance with the competitive bidding requirements of 47 C.F.R. § 54.603. All health care providers requesting services eligible for universal service support must file this form.

The foregoing Notice is required by the Privacy Act of 1974, Pub. L. No. 93-579, December 31, 1974, 5 U.S.C. § 552, and the Paperwork Reduction Act of 1995, Pub. L. No. 104-13, 44 U.S.C. §§ 3501, *et seq.*

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## **PURPOSE OF FORM**

The Description of Services Requested and Certification Form (FCC Form 465) is the first step a health care provider or consortium (applicant) must take in order to benefit from the universal service support mechanisms. The Description of Services Requested and Certification Form (FCC Form 465) is the means by which an applicant: 1) requests bids for the provision of specific services from telecommunications service providers; and 2) certifies to the Rural Health Care Corporation, which serves as the administrator, that it is eligible to benefit from universal service support.

After the applicant submits a Description of Services Requested and Certification Form (FCC Form 465), the Rural Health Care Corporation will post the completed Form 465 on its website. This action is required by section 54.603(b)(2) of the Federal Communications Commission's rules. Posting an applicant's Form 465 provides information about the applicant and the services it has requested to telecommunications service providers that might wish to bid to provide the requested services.

The Rural Health Care Corporation will send each applicant confirmation that its Description of Services Requested and Certification Form (FCC Form 465) has been posted on the universal service website. The Rural Health Care Corporation is required to send this confirmation pursuant to section 54.603(b)(3) of the Federal Communications Commission's rules.

Each applicant's Description of Services Requested and Certification Form (FCC Form 465) must be posted on the universal service website for at least 28 days. After 28 days, an applicant may sign a contract for services with any of the telecommunications service providers that have submitted bids to the applicant in response to the Description of Services Requested and Certification Form (FCC Form 465). The confirmation of posting on the website sent by the Rural Health Care Corporation will indicate the date after which the applicant may sign a contract with a telecommunications service provider pursuant to section 54.603(b)(5) of the Federal Communications Commission's rules. The applicant must select the most cost-effective method of providing the requested service or services. Under section 54.603(b)(4) of the Federal Communications Commission's rules, "the most cost-effective method" is defined as the method that costs the least after consideration of the features, quality of transmission, reliability, and other factors that the applicant deems relevant to choosing a method of providing the required health care services.

After an applicant signs a contract for services with a telecommunications service provider, the applicant must submit a Services Ordered and Certification Form (FCC Form 466) and the telecommunications service provider must submit a Telecommunications Service Providers

## FILING REQUIREMENTS AND GENERAL INSTRUCTIONS

### *Who is Eligible?*

***A health care provider must meet two criteria in order to benefit from universal service support:***

- ***First, only certain types of health care providers may participate.***

Under sections 54.601(a)(2)-(3) of the Federal Communications Commission's rules, only public or non-profit health care providers that fall within one of the following categories may benefit from universal service support:

- post-secondary educational institutions offering health care instruction, including teaching hospitals or medical schools;
- community health centers or health centers providing health care to migrants;
- local health departments or agencies;
- community mental health centers;
- not-for-profit hospitals;
- rural health clinics; and
- consortia of health care providers consisting of one or more of these entities.

Health care providers that do not fall into one of these categories are not eligible to benefit from universal service support. Examples of health care providers that are ineligible to benefit from universal service support include private physicians' offices, nursing homes (unless they are part of a not-for-profit hospital or rural health clinic), private health clinics and for-profit hospitals.

- ***Second, to be eligible, health care providers must be located in a rural area, with one exception.***

"Rural area" is defined in section 54.5 of the Federal Communications Commission's rules. The Federal Communications Commission uses lists published by the Office of Management

and Budget (OMB) and the Office of Rural Health Policy of the U.S. Department of Health and Human Services (ORHP/HHS) to identify rural areas.

There are two ways a health care provider can determine whether it is located in an area that falls within the Federal Communication Commission's definition of "rural area." First, it can consult the Rural Health Care Corporation's website at <<http://www.rhccfund.org>>. This website includes instructions for using the information posted to determine whether a health care provider is located in a rural area for universal service purposes. Second, a health care provider may call the Rural Health Care Corporation at 1-888-203-7300 for assistance in making this determination.

***Health care providers that meet both of these criteria shall be considered "eligible health care providers."***

***Health care providers that meet the first criteria (i.e., public or non-profit entities that fall within one of the seven categories listed above) but are not located in rural areas, may nevertheless receive toll-free access to an Internet service provider.***

This is a limited exception to the requirement that a health care provider must be located in a rural area in order to benefit from universal service support. Some public and non-profit health care providers must pay toll charges for access to an Internet service provider because there is no Internet service provider within the local calling area. Even if they are not located in a rural area, health care providers that do not have toll-free access to an Internet service provider may be eligible to receive up to 30 hours per month of toll-free access to an Internet service provider or up to \$180 per month in toll charge credits, whichever is less. *This support, like all universal service support, will be directed to the telecommunications service provider serving the health care provider; health care providers will benefit from reduced rates for telecommunications services, but will not receive money directly.*

### ***Where to File?***

The Description of Services Requested and Certification Form (FCC Form 465) must be filed with the Rural Health Care Corporation at: Administrator, Rural Health Care Corporation, 100 South Jefferson Road, Whippany, New Jersey 07981 OR an applicant may file this form electronically. Instructions on how to file electronically will be posted on the Rural Health Care Corporation's website at <<http://www.rhccfund.org>>. **DO NOT FILE THIS OR ANY OTHER UNIVERSAL SERVICE FORM WITH THE FEDERAL COMMUNICATIONS COMMISSION.**

### ***Compliance.***

Anyone filing false information is subject to penalties for false statements, including fine or forfeiture, under the Communications Act, 47 U.S.C. §§ 502, 503(b), or fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. § 1001.

### ***Where to Get More Information?***

You may call the Rural Health Care Corporation at 1-888-203-7300 for more information on how to complete this or other universal service forms. Information is also available on the Rural Health Care Corporation's website at <<http://www.rhccfund.org>>.

## **SPECIFIC INSTRUCTIONS**

Type or print clearly in spaces provided. Attach additional sheets if necessary. Applicants are encouraged, however, to complete this form electronically. It will be posted on the Rural Health Care Corporation's website at <<http://www.rhccfund.org>>. Instructions on how to file electronically will be posted on this website.

### ***Block 1: Applicant Information***

Block 1 of the Description of Services Requested and Certification Form (FCC Form 465) requires information about the applicant (health care provider or consortium).

**Item 1** requires the name of the applicant. If applying as part of a consortium, the applicant should use the name of one of the entities participating in the consortium. This name must be used consistently on all universal service forms (FCC Forms 466, 467 and 468).

**Item 2** requires the Federal Employer Identification Number (EIN) of the health care provider applying for supported telecommunications service. If a health care provider is applying as part of a consortium along with other entities and the consortium does not have an EIN, the EIN of the participating entity named in Item 1 must be provided in this space. The same EIN must be used to identify a consortium on all universal service forms (FCC Forms 465, 466, 467 and 468).

**Item 3** provides a space for the Universal Service Control Number. *This space will be completed by the Rural Health Care Corporation.*

**Item 4** provides a space for the Customer Identification Number. *This space will be completed by the Rural Health Care Corporation.*

**Item 5** requires the applicant to indicate the funding year (January 1 through December 31) for which it is applying. An applicant may complete and submit a form in the year preceding the funding year, so the funding year in Item 5 will not necessarily match the year in which the application is filed.

**Item 6** requires the full mailing address and the telephone number of the applicant applying for discounted service. If the applicant is a consortium, provide the address of the