

Contact Person's Name \_\_\_\_\_ and Phone Number: \_\_\_\_\_

16.  Check here if there are any restrictions imposed by state or local laws or regulations on how and when providers may contact you or on other bidding procedures. Please describe below any such restrictions or procedures. You may attach restrictions or give website where they are posted.

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17. Purchases in future years: If you have current plans to purchase additional services in future years, describe them below. (Providing this information is optional.)

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**Block 4: Technology Assessment**

18. Although the following services and facilities are ineligible for support, they are usually necessary if schools and libraries are to make effective use of the eligible services requested in this application. (If your application is only for basic voice telephone service, check this box  and go to Item 19. Otherwise, you must check at least one box on each of the other lines. You may provide details for purchases being sought.)

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

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

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

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

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

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

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Contact Person's Name \_\_\_\_\_ and Phone Number: \_\_\_\_\_

**Block 5: Listing Consortium Participants**

19. **Eligible Entities:** (Billed Entities.) If applicant is an individual school or a library or a school district or a library system that will receive only one bill, it should only fill in the first row of this chart. If applicant is a consortium of multiple billed entities, then it should fill out a row for each billed entity. (Applicant may attach additional pages.)

Billed Entity	Billed Entity's Zip Code	Billed Entity Code (Inserted by Administrator)	Zip Code(s) of Recipients of Service

20. **Entities Ineligible for Schools and Libraries Discount:**

Name of Entity	Zip Code(s) of Recipient of Service	Contact Person	Phone Number, E-mail Address, or Alternative Preferred Contact Method

**Block 6: Certifications and Signature**

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

- a.  schools under the statutory definitions of elementary and secondary schools found in the Elementary and Secondary Education Act of 1965, 20 U.S.C. Secs. 8801(14) and (25), that do not operate as for-profit businesses, and do not have endowments exceeding \$50 million; and/or
- b.  libraries or library consortia eligible for assistance from a State library administrative agency under the Library Services and Technology Act of 1996 that do not operate as for-profit businesses and whose budgets are completely separate from any school (including, but not limited to) elementary and secondary schools, colleges, and universities.

22. All of the individual schools, libraries, and library consortia listed above in item 19 are covered by:

- a.  individual technology plans and/or
- b.  higher-level technology plans for using the services requested in this application (if those services consist of other than voice services).

Contact Person's Name \_\_\_\_\_ and Phone Number: \_\_\_\_\_

23. Status of technology plans (check one):
- a.  Technology plan(s) has/have been approved; or
  - b.  Technology plan(s) will be approved by a state or other authorized body; or
  - c.  Technology plan(s) will be submitted to Schools and Libraries Corporation for approval.
24.  I certify that the services the applicant purchases at discounts provided by 47 U.S.C. Sec. 254 will be used solely for educational purposes and will not be sold, resold, or transferred in consideration for money or any other thing of value.
25.  I recognize that support under this support mechanism is conditional upon the school(s) or library(ies) I represent securing access to all of the resources, including computers, training, software, maintenance, and electrical connections necessary to use the services purchased effectively.
26.  I certify that I am authorized to submit this request on behalf of the above-named applicant, that I have examined this request, and to the best of my knowledge, information, and belief, all statements of fact contained herein are true.

27. Signature of authorized person	28. Date
29. Printed name of authorized person	
30. 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 54.504 of the Federal Communication Commission's rules requires all schools and libraries ordering services that are eligible for and seeking universal service discounts to file this Description of Services Requested and Certification Form (FCC Form 470) with the Universal Service Administrator, themselves or as part of a consortium. 47 C.F.R. § 54.504. The collection of information stems from the Commission's authority under Section 254 of the Communications Act of 1934, as amended, 47 U.S.C. § 254. The data in the report will be used to ensure that schools and libraries comply with the competitive bidding requirement contained in 47 C.F.R. § 54.504. All schools and libraries planning to order services eligible for universal service discounts must file this form themselves or as part of a consortium.

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

The FCC is authorized under the Communications Act of 1934, as amended, to collect the personal 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 of potential violation of a FCC statute, regulation, rule or order, your application may be referred to the Federal, state, or local agency responsible for investigating, prosecuting, enforcing or implementing the statute, rule, regulation or order. In certain cases, the information in your application may be disclosed to the Department of Justice or a court or adjudicative body when (a) the FCC; or (b) any employee of the FCC; or (c) the United States Government, is a party of a proceeding before the body or has an interest in the proceeding.

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

With the exception of your social security number, if you do not provide the information we request on the form, the FCC may delay processing of your application or may return your application without action.

Contact Person's Name \_\_\_\_\_ and Phone 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 6 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: **Schools and Libraries Corporation**  
**P.O. Box 4217**  
**Iowa City, Iowa 52244-4217**  
**1-888-203-8100**

**FCC Form 470**

Approval by OMB  
3060-0806

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

Estimated Average Burden Hours Per Response: 6 hours

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

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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, referred to henceforth as "eligible services" for all eligible schools and libraries. Section 54.504 of the Commission's rules requires all schools and libraries planning to order services under this discount mechanism to participate in a competitive bidding process except to the extent that they are bound by an existing contract for eligible services. 47 C.F.R. § 54.504 To the extent that they are not bound by an existing contract, Section 54.504 of the Commission's rules requires schools and libraries to describe the services they plan to order on this form prior to actually ordering the services. 47 C.F.R. § 54.504. The Universal Service Administrator will ensure that the information is disseminated in a manner likely to attract competing providers. The filing of this form with the Universal Service Administrator will fulfill the competitive bidding requirement and schools and libraries may sign contracts for services eligible for discounts four weeks after the descriptions set forth in Form 470 are posted on the administrator's website. The administrator will notify the applicant of the date their request is posted and the date on which the four-week waiting period ends. Those with questions about this application may call 1-888-203-8100.

## 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. The entity that will negotiate with potential service providers should complete FCC Form 470. For example, if a school district negotiates with potential service providers on behalf of the schools in the district, an authorized person from the district should complete the form. Similarly, if a regional entity negotiates on behalf of a number of school districts, an authorized person for that regional entity should complete this form.

For purposes of eligibility and participation in the universal service discount mechanism, the following must meet the criteria:

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, although it would be eligible to share in the benefits of the support secured by the elementary school.

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. Where and When to File.

FCC Form 470 must be filed with the Universal Service Administrator **either electronically** or 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.** To the extent that the applicant is seeking support for services that are not provided pursuant to an existing contract, it must wait at least four weeks from the date that the administrator has posted on its website a description of the applicant's request for eligible services, set forth in FCC Form 470, before the applicant may sign a contract for eligible

services. Upon receipt of FCC Form 470, the administrator will notify the applicant of the date after which it may sign a contract for services eligible for discounts. 47 C.F.R. §54.504(b)(3).

C. Compliance.

Schools and libraries filing false information are subject to penalties for false statements, including fine or imprisonment, 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 three 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 three 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

You are encouraged to fill this form out electronically. It will be posted on the administrator's website at <<http://www.slcfund.org>>. Instructions for using the website to file will be provided on the website. If you file paper copies of the application, please type or clearly print in the spaces provided and attach additional pages if necessary. Further information is available at 888-203-8100. You may file more than one FCC Form 470. For example, you may file one FCC Form 470 for internal connections, one for Internet access, one for high bandwidth video conferencing, and one for other telecommunications services, or you may file a single FCC Form 470 seeking all of these services. Also, an individual school or library may be covered by more than one FCC Form 470s filed by different consortia for different services.

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

Block 1 of FCC Form 470 asks you for your address and basic identifications. "You" refers hereinafter to the applicant -- eligible schools and libraries and those filing on their behalf.

**Item (1)** - Provide the name of your organization. You may be an individual school or library or a consortium, including a school district, a city, a state, or an entity created solely to participate in this universal service discount mechanism.

**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 the administrator at 888-203-8100.

**Item (3b-3c)** - The administrator will insert your "Universal Service Control Number" and your "Applicant ID Number" (which refers to the entity that negotiates). You may leave these items blank.

**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 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. In that case, however, you should note that you cannot negotiate pre-discount prices below tariffed rates for interstate services from incumbent local telephone companies. (Note: Those eligible for universal service support as "rural health care providers," who are members of a consortium, should be treated as "eligible for support" for the purpose of these categories). If your consortium intends to treat its contract as a master contract, with separate members of the consortium receiving separate bills, you should check this box to indicate this intention to potential service providers. Individual consortium members would then each 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 organization's full mailing address, whether a street address, Post Office Box number, or route number, 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. **ALSO**, 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 application.

B. Block 2: Other Characteristics of Applicant

Block 2 of FCC Form 470 asks you to provide information about you that can help service providers determine whether you are the type of customer that they may be able to serve well.

**Item (7a)** - If your applicant group includes eligible K-12 schools, provide the total number of students in those schools.

**Item (7b)** - 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 (8)** - Provide the approximate total number of buildings for which you seek some form of telecommunications-related service.

**Item (9)** - Provide the approximate total number of rooms for which you seek service.

C. Block 3: Summary Description of Needs or Services Requested

Block 3 of FCC Form 470 asks you to describe the services you desire. Like Block 2, this information can help service providers determine whether you are the type of customer that they may be interested in serving.

**Item (10)** - Check this box if you are only seeking discounts for eligible services that are the subject of an **existing, binding contract**, and fill in the date that the contract was signed and its termination date. If you have more than one existing contract, please list all of them. You can then skip the remainder of Block 3. **DO NOT CHECK THIS BOX** if you are seeking discounts for some services that are the subject of existing, binding contracts and some that are not. (Note: however, that FCC Form 471 requires applicants to provide much of the same type of information sought in Block 3 for their individual funding requests.) If you are purchasing telephone service at tariffed rates and have not signed a binding contract, you cannot treat this arrangement as an existing contract. While all forms of telecommunications services, including local and long distance services, are eligible for universal service discounts, you **MUST** seek competitive bids from providers of such services. That is, if you do not have an existing, binding contract for telephone service, you must include a description of the services you seek in Item (12) to give every service provider the opportunity to offer you services under contract.

**Item (11)** - Check this box if you have prepared a specific request for proposal (RFP) for any of the services sought. If your RFP is posted on a website, provide the website address where it is posted. If the RFP is not posted, your contact person (Item(6)) must be able to provide it to service providers.

**Items (12-14)** - All applicants, except those seeking discounts only for existing contracts, should fill out Items (12-14). For Items (12-14), you must provide particular information about the services you currently receive and additional services that you are interested in receiving in the future. If some, but not all, of the services for which you are seeking discounts are covered by a binding existing contract, you should explain that situation in the "Details" column of Items (12-14). You should provide as much information as possible in Items (12-14) to enable service providers to determine whether to submit a bid or contact you for further information. You may find that not all categories apply to your specific needs. Only complete the categories relevant to your request for services.

The specific data requested in Items (12-14) is sought only to provide potential service providers with information so that they may contact you for detailed information on your specific requirements. This requirement is not intended to restrict your ability to contract for whatever technologies best meet your educational purposes as authorized by FCC rules and the Telecommunications Act of 1996.

**Item (12) - Describe your needs with respect to telecommunications services.**

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), 47 C.F.R. 54.5. All commercially available telecommunications services are eligible for support under the universal service discount mechanism. 47 C.F.R. § 54.502. For example, local and long distance telephone services are generally considered telecommunications services.

Items (12a-12d) list specific data that should help service providers assess the types and quantities of telecommunications that you may desire to purchase.

**Item (12a) - Provide the number of telephones (or fax machines or other devices that may terminate or originate what are commonly considered "calls") that have service or for which you would like service. Do not include "extension" phones in columns two - four, but you should indicate that number in column five. Extension phones are phones associated with the same phone number. For example, if a library has two telephone numbers, but four telephones, then it should place a "2" in column two. The library should indicate that it has two extensions in column five.**

**Item (12b) - Provide the number of computers for which you have or will be requesting telecommunications-related service. This number includes those that are already linked to other computers and those that you would like to link to other computers. These computers would not, necessarily, be connected to the Internet.**

**Item (12c) - Provide the number of high bandwidth video conferencing links you currently maintain or desire.**

**Item (12d) - (Optional) You may specify any other telecommunications applications or services which you already receive or which you may wish to receive.**

**Items (12-14, column 2) - In the second column in Items (12-14), labeled "Existing Service," provide information on the services that you already receive. For example, if you currently purchase service for 14 phones, you would fill in "14" under Item (12a), column two.**

**Items (12-14, column 3) - In the third column in Items (12-14), labeled "Additional Services Desired," you must provide information on the additional services you seek. For example, if you already have one high bandwidth video conferencing link, but want to add three more such links, you would fill in "3" under Item (12c), column three.**

**Items (12-14, column 4) - Use the fourth column to total your existing service plus the desired additional services to yield your total desired level of service. For example, if you have 12 computers connected to the Internet and want to add connections for 24 more computers to permit connections to a total of 36 computers, then you would insert "36" in column four of Item (12b).**

**Items (12-14, column 5)** - You may use column five to provide additional detailed information that may assist potential service providers in assessing your request for services. Providing information in the fifth column is optional.

**Item (13)** - Describe your needs with respect to internal connections. 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 to individual classrooms. 47 C.F.R. § 54.500(c). For example, routers, hubs, and network file servers are eligible for discounts as components of internal connections. Computers, modems, fax machines, video monitors, and other equipment used in classrooms or throughout a library (at the endpoints of the communications network) are not eligible for discounts.

**Item (13a)** - Provide the number of different buildings for which you have or seek at least some internal connections. Note, that if you only seek to connect additional rooms in buildings that are already at least partially connected, then you would place a "0" in column three, because you would not be seeking internal connections for any *additional buildings*. You would indicate your desire to connect additional rooms in Item (13b, column 3).

**Item (13b)** - Provide the total number of rooms in the buildings for which you have or seek internal connections that are already connected or which you want to have connected.

**Item (13c)** - Indicate the highest line speed you have or seek for your internal connections.

**Item (13d)** - (Optional) You may specify any other internal connections, applications, or services that you already receive or that you seek.

**Item (14)** - Describe some of your needs with respect to Internet access. Basic conduit, or non-content, access to the Internet is eligible for support under the universal service discount program. 47 C.F.R. § 54.5. It is possible to have both dial-up and dedicated connections. In most cases, however, you may seek only one (14a, 14b) or the other (14c, 14d). Note, however, that schools and libraries may obtain universal service discounts on access to the Internet but not on separate charges for particular proprietary content or other information services or on a bundled package of conduit and content, 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.

**Item (14a)** - Provide the number of dial up connections to the Internet that you have or seek. This would include the number of "subscriptions" that you have or seek that allow simultaneous connections to the Internet by dialing a particular telephone number of an Internet service provider.

**Item (14b)** - Indicate the highest speed of such dial up connection to the Internet that you have or seek.

**Item (14c)** - Provide the number of direct connections to the Internet that you have or seek. 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 (14d)** - Indicate the highest speed of such direct connections to the Internet that you have or seek.

**Item (15)** permits you to provide additional information describing the services you are requesting for the current funding year. This may include technical information or simply an informal description of the your telecommunications-related goals. You may describe details about services you expect to seek in the future in Item (17).

**Item (16)** asks the applicant to indicate whether it is subject to any state or local restrictions regarding how and when it may be contacted by potential providers. 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 comply with any applicable state or local requirements when participating in the competitive bidding process used in the universal service discount mechanism. If the applicant is subject to any state or local restrictions, it must check the box in Item (16) and provide a description of the restrictions or procedures. It may do so by attaching those restrictions. Alternatively, applicants may reference a website where state or local restrictions can be found and a contact person who can provide the information to service providers without Internet access.

**Item (17)** - You may provide information on your plans to purchase additional services in future years. This information may encourage service providers to contact you even when you may not represent an especially financially attractive customer in the near term, if you will represent a financially attractive customer over a longer period of time. Providing this information is optional.

#### D. Block 4: Technology Assessment

Block 4 of FCC Form 470 asks you to provide an assessment of the technologies that you will need to use the services you request by checking off the appropriate boxes, unless you are only seeking support for basic voice telephone service. In that case, you should check the box indicated and skip the remainder of Item (18). If you are seeking support for any services in addition to basic voice telephone service, however, you must check off at least one box for each of the Items (18a-18e). You may check off both boxes in each case.

**Items (18a-18e)** - All of the advanced and facilities-based services (18a-18e) 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 universal communications services, Internet access, and internal connections that are eligible for discount. You do not need to certify that you have already secured all of the advanced and facilities-based services and discounted services effectively until you

file FCC Form 471, but Items (18a-18e) require you to assess the technologies that you have or will need. FCC Form 471, which you will also need to file to receive discounts, requires you to certify that you have secured or budgeted to secure adequate amounts of those resources to utilize effectively the services requested.

If you are still seeking the technologies indicated in Items (18a-18e), you may also provide additional details in the space at the bottom of Block 4 to help providers of desired technologies 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.

**Item (18a)** - Indicate whether you have secured or are in the process of securing access to the necessary software for the 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, use of the software necessary to operate the networks used to transport information to the classroom is an eligible service.

**Item (18b)** - Confirm that you have or are securing access to sufficient electrical capacity to handle the computers and other telecommunications-related facilities used as part of this mechanism.

**Item (18c)** - 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 for network servers would, generally, be eligible for support.

**Item (18d)** - Confirm that you have secured or are attempting to secure appropriate maintenance for your computer hardware.

**Item (18e)** - Confirm that you have arranged for or are arranging to secure the staff development necessary to use the discounted services effectively.

#### E. Block 5: Listing Consortium Participants

Block 5 requires applicants to list the billed entities that will receive services described in Block 3.

**Item (19)** - If you are an individual school or library, you need only fill out a single row of Item (19). If you are a consortium of multiple billed entities, you should list each billed entity separately. An entity is considered a "billed entity" if it will receive a separate bill for the services it receives or it will be responsible for paying a billed entity for the particular services that it receives. Thus, individual consortium members that will receive and pay for their own services are not billed entities. However, consortium members that will receive services from a consortium member that is a billed entity are billed entities.

eligible services without seeking reimbursement from the schools and library branches, respectively. On the other hand, if a state files FCC Form 470 on behalf of its school districts and each of the school districts will be charged for the services it receives, each of the school districts would be considered a billed entity. Similarly, if a school district files FCC Form 470 and individual schools in the district will be billed separately for the services then the individual schools are billed entities.

**Item (19, column 1)** - For each billed entity, provide the billed entity's name in column one.

**Item (19, column 2)** - For each billed entity, provide the billed entity's zip code.

**Item (19, column 3)** - The administrator will insert a billed entity code in this column, so you can leave this column blank.

**Item (19, column 4)** - You should list all of the zip codes of recipients of service that are represented by the billed entity. For example, a school district or library system should supply all of the different zip codes in which its schools or library branches are located.

**Item (20)** - Provide information about members of the consortium that are not eligible to receive universal service discounts. Only eligible schools and libraries may receive discounted services, so if the consortium includes entities such as health care providers, governmental entities, or private sector entities, you must list these entities in Item (20). For each ineligible entity, provide the zip codes where it seeks service, a contact person, and either a phone number, e-mail address, or alternative method for contacting it.

#### F. Block 6: Certifications and Signature

Block 6 requires you to certify certain information to ensure that only eligible entities receive support under the universal service discount mechanism.

**Item (21)** - Certify that you are an eligible school or library. If your application is on behalf of one or more 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 application is on behalf of one or more 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, and you should not check this box.

If your application is on behalf of one or more 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 is on behalf of one or more libraries or library consortia and any of the information is not true for the libraries or library consortia seeking to receive discounted services, those libraries or library consortia are not eligible to receive support under the universal service discount mechanism, and you should not check this box.

**Items (22 and 23)** 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. Note also that consortia and billed entities do not have to be covered by technology plans as long as all of the schools and libraries seeking discounts that they represent are covered by technology plans.

**Item (22)** - If all of the schools, libraries, and library consortia listed in Item (19) are covered by individual or multi-entity technology plans for the services requested in your application, you should check the box in Item (22). 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.

**Item (23)** - Indicate either that the technology plan(s) that covers you has been approved (Item (23a)) 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 (23b). 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 (23c).

**Item (24)** - Certify that services you order pursuant to the universal service discount mechanism must and 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 (25)** - Certify that you recognize that any support received under this mechanism is conditional upon the ability of your school(s) or library(ies) to secure access to all of the resources, including computers, training, software, maintenance, and electrical connections, necessary to use effectively the services that will be purchased under this mechanism. On FCC Form 471, you will need to certify that you have access to such funding.

**Item (26)** requires the person authorized to complete FCC Form 470 to certify to the accuracy of the form. The completed form must be **completed electronically** or submitted to: **Schools and Libraries Corporation, P.O. Box 4217, Iowa City, Iowa 52244-4217.**

**Item (27): 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 (27) 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 470; mail only the signed Block 6.

#### IV. REMINDERS.

- **All schools and libraries seeking support for eligible services pursuant to the universal service support mechanism must file FCC Form 470 individually or be included in a consortium that files FCC Form 470.**
- **The individual authorized to order telecommunications and other supported services for the school, school district, library, or library consortium must sign and date FCC Form 470. This signature certifies that the information submitted on FCC Form 470 is accurate.**
- **Provide data for all items that apply. For the items that do not apply, fill in "N/A." Attach additional sheets if necessary. Any attachments to FCC Form 470 should be clearly labeled.**

**471**

# Schools and Libraries Universal Service Services Ordered and Certification Form

Estimated Average Burden Hours Per Response: 6 hours

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

**Please read instructions before completing.** (To be completed by each Billed Entity)

**Block 1: Applicant Address and Identifications** (School, library, or consortium desiring Universal Service funding.)

1. Name of Applicant (Billed Entity)		2. Funding Year		
3a. NCES School Code (if individual school) or NCES Library Code (if individual library)				
3b. 471 Application Number (Administrator will insert this)		3c. Billed Entity Number		
4a. Type of Applicant (Check only one box.) <input type="checkbox"/> school <input type="checkbox"/> school district <input type="checkbox"/> library or library consortium under the LSTA <input type="checkbox"/> consortium of multiple entities		4b. If applicant is a consortium, check all other boxes that apply: <input type="checkbox"/> includes non-governmental entities ineligible for support <input type="checkbox"/> region of a state <input type="checkbox"/> statewide <input type="checkbox"/> multi-state <input type="checkbox"/> state educational agency <input type="checkbox"/> local educational agency <input type="checkbox"/> educational service agency		
5. Applicant's Street Address, P.O. Box, or Route Number				
City	State	Zip Code	Telephone Number	E-mail Address
6. Contact Person's Name				
Street Address, P.O. Box, or Route Number (if different from Item 5)				
City	State	Zip Code		
Fill in all of the following (if available), and check the preferred mode of contact: <input type="checkbox"/> Telephone _____				
<input type="checkbox"/> FAX _____ <input type="checkbox"/> E-mail _____ <input type="checkbox"/> Mail _____				

**Block 2: Purpose of Request**

7. Purpose of Request: (Check all that apply, if any.)

a.  Discount on contract(s) signed prior to a request being posted on the Administrator's website.  
Was an FCC Form 470 filed with regard to all the contract(s)?    Yes    No

b.  Discount on contract(s) signed after a request being posted on the Administrator's website.

c.  Minor modification or supplement to existing contract(s) for which a Form 471 was already filed.  
471 Application Number \_\_\_\_\_

**Block 3: Characteristics of Applicant and Applicant's Service Order (derived from FCC Form 470 Blocks 2 & 3)**

8a. Number of students	8b. Number of library patrons
9. Number of buildings to be served	10. Number of rooms to be served

Existing Service	Total Services After Order
---------------------	-------------------------------

Contact Person's Name \_\_\_\_\_ and Phone Number: \_\_\_\_\_

<b>11. Telecommunications Services</b>		
a. Number of phones that have or require service (See instructions concerning extension phones and fax machines.)		
b. Number of computers that have or require service		
c. Number of high bandwidth video conferencing links		
<b>12. Internal Connections</b>		
a. Number of buildings with at least some rooms connected		
b. Number of rooms connected		
c. Highest speed of connection		
<b>13. Internet Access</b>		
a. Number of dial up connections		
b. Highest speed of such dial up connections		
c. Number of direct connections		
d. Highest speed of such direct connections		

**Block 4: Determining Discount Percentage**

14. Fill in one line per school, library, or library consortium and calculate in the last line, an average discount rate for the billed entity. Attach additional pages if necessary. *Note: If the applicant has already completed this chart for all of the same entities with data that is current, provide the "471 Application Number" (Item 3b), from that previous FCC Form 471 here:*

(1) Name of Individual School or Library	(2) NCES or Comparable Code for School or Library (Obtain from Administrator)	(3) Urban or Rural	(4) <i>For Schools:</i> Number of Students <i>For Libraries:</i> NCES Code of a School in its District	(5) <i>For Schools:</i> Number of Students Eligible for National School Lunch Program	(6) Discount Calculated from Discount Matrix	(7) Check if School or Library will use "Shared Services" listed in Item 15.
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
FOR SHARED SERVICES ORDERED BY BILLED ENTITY (attach worksheet of calculations)						

Contact Person's Name \_\_\_\_\_ and Phone Number: \_\_\_\_\_

**Block 5: Services Ordered**

15. "Shared" services: All EXCEPT site-specific, internal connections and dedicated ("private line") connections from only one school or library to an ISP or other end-user

(1)	(2)	CONTRACT			(6)	(7)	Amount		(10)	(11)
		(3)	(4)	(5)			(8)	(9)		
SLC Service Provider Number or Full Legal Name of Service Provider	Universal Service Control Number for Form 470 on which this is based	Contract Number (if applicable)	Award Date	Expiration Date	Services or Products	Service Start Date	Estimated One Time Pre-discount Cost	Estimated Monthly Pre-discount Cost	Estimated Total Annual Prediscount Cost	Percentage Discount (from Item 14)
					Telecommunication Services					
					Internet Access					
					Internal Connections (Shared)					
					Telecommunication Services					
					Internet Access					
					Internal Connections (Shared)					
					Telecommunication Services					
					Internet Access					
					Internal Connections (Shared)					

Contact Person's Name \_\_\_\_\_ and Phone Number: \_\_\_\_\_

16. "Site Specific" Services: Internal connections not shared by multiple schools or libraries and dedicated ("private line") connections from only one school or library to an ISP or other end-user.

(1)	(2)	CONTRACT			(6)	(7)	Amount (See instructions about rounding)			(11)	(12)
		(3)	(4)	(5)			(8)	(9)	(10)		
SLC Number of Service Provider (Obtain from Service Provider)	Universal Service Control Number for Form 470 on which this is based	Contract Number (if applicable)	Award Date	Expiration Date	Services or Products	Service Start Date	Estimated One Time Pre-discount Cost	Estimated Monthly Pre-discount Cost	Estimated Total Annual Pre-discount Cost	Percentage Discount (from Item 14)	School or Library Code (Listed on website)
					Dedicated Services						
					Internal Connections						
					Dedicated Services						
					Internal Connections						
					Dedicated Services						
					Internal Connections						
					Dedicated Services						
					Internal Connections						
					Dedicated Services						
					Internal Connections						

Contact Person's Name \_\_\_\_\_ and Phone Number: \_\_\_\_\_

17.  Check this box to confirm that, for each service provider listed in 15 and 16, above, a list is attached (as an appendix to this form) of all of the services that each service provider is providing to the billed entity. Service providers should provide these lists on request.

18. a. Total dollars of support allocated for this application for the entire funding year (calculated by administrator)	
b. Amount of support set aside for this application for the first six months of the year (calculated by administrator)	
19. Provide the total estimated cost (pre-discount price) for the services you expect to order in the funding year following the one for which you are applying here. (This figure is not binding.)	
20. Is your order solely for basic telephone service? <input type="checkbox"/> Yes <input type="checkbox"/> No	

**Block 6: Certifications and Signature**

21. The applicant is eligible for support because it includes: (Check one or both.)
- a.  schools under the statutory definitions of elementary and secondary schools found in the Elementary and Secondary Education Act of 1965, 20 U.S.C. Secs. 8801(14) and (25), that do not operate as for-profit businesses and do not have endowments exceeding \$50 million; and/or
  - b.  libraries or library consortia eligible for assistance from a state library administrative agency under the Library Services and Technology Act of 1996 that do not operate as for-profit businesses and whose budgets are completely separate from any schools', including, but not limited to, elementary and secondary schools, colleges, or universities.
22. The school(s) or library(ies) I represent have secured access to all of the resources, including computers, training, software, maintenance, and electrical connections necessary to make effective use of the services purchased as well as to pay the discounted charges for eligible services.
23. All of the individual schools, libraries, and library consortia listed above in items 15 and 16 are covered by:
- a.  an individual; and/or
  - b.  higher-level technology plan(s) for using the services requested in this application (if those services consist of other than voice services).
24. Status of technology plans (check one):
- a.  Technology plan(s) has/have been approved; or
  - b.  Technology plan(s) will be approved by a state or other authorized body; or
  - c.  Technology plan(s) will be submitted to Schools and Libraries Corporation for approval.
25. I certify that the entities eligible for support that I am representing have complied with all applicable state and local laws regarding procurements of services for which support is being sought.
26. I certify that the services the applicant purchases at discounts provided by 47 U.S.C. Sec. 254 will be used solely for educational purposes and will not be sold, resold, or transferred in consideration for money or any other thing of value.
27. I understand that the discount level used for shared services is conditional, for future years, upon ensuring that the most disadvantaged schools and libraries that are treated as sharing in the service receive an appropriate share of benefits from those services.
28. I recognize that I may be audited pursuant to this application and will retain for five years any and all worksheets and other records that I rely upon to fill out this application.
29. I certify that I am authorized to submit this request on behalf of the above-named institution, that I have examined this request, and to the best of my knowledge, information, and belief, all statements of fact contained herein are true.

30. Signature	31. Date
32. Printed name of authorized person	
33. 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.	

Contact Person's Name \_\_\_\_\_ and Phone Number: \_\_\_\_\_

**NOTICE TO INDIVIDUALS:** Section 54.504 of the Federal Communication Commission's rules requires all schools and libraries ordering services that are eligible for and seeking universal service discounts to file this Services Ordered and Certification Form (FCC Form 471) with the Universal Service Administrator 47 C.F.R. § 54.504. The collection of information stems from the Commission's authority under Section 254 of the Communications Act of 1934, as amended, 47 U.S.C. § 254. The data in the report will be used to ensure that schools and libraries comply with the competitive bidding requirement contained in 47 C.F.R. § 54.504. All schools and libraries planning to order services eligible for universal service discounts must file this form themselves or as part of a consortium.

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

The FCC is authorized under the Communications Act of 1934, as amended, to collect the personal 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 of potential violation of a FCC statute, regulation, rule or order, your application may be referred to the Federal, state, or local agency responsible for investigating, prosecuting, enforcing or implementing the statute, rule, regulation or order. In certain cases, the information in your application may be disclosed to the Department of Justice or a court or adjudicative body when (a) the FCC; or (b) any employee of the FCC; or (c) the United States Government, is a party of a proceeding before the body or has an interest in the proceeding.

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

With the exception of your social security number, if you do not provide the information we request on the form, the FCC may delay processing of your application or may return your application without action.

The foregoing Notice is required by the 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 6 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: **Schools and Libraries Corporation**  
**P.O. Box 4217**  
**Iowa City, Iowa 52244-4217**  
**1-888-203-8100**

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

Estimated Average Burden Hours Per Response: 6 hours

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

**NOTICE TO INDIVIDUALS**

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

The FCC is authorized under the Communications Act of 1934, as amended, to collect the personal 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 an FCC statute, regulation, rule or order, your application may be referred to the Federal, state, or local agency responsible for investigating, prosecuting, enforcing, or implementing the statute, rule, regulation, or order. In certain cases, the information in your application may be disclosed to the Department of Justice or a court or adjudicative body when (a) the FCC; or (b) any employee of the FCC; or (c) the United States Government, is a party of a proceeding before the body or has an interest in the proceeding.

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

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

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