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## E-Rate Modernization Funding Year 2015 for Kansas Schools

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(Includes content from November, 2014 SLD Seminars, with permission)

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## E-Rate 2015 Agenda

**9:00am - Morning Session**  
E-Rate Modernization Changes  
Preparing for E-Rate 2015  
Tech-Plans, CPA & Budgets  
Priorities -> Categories and Eligible Items  
Discounts Urban and Rural  
Applying for E-Rate 2015  
Competitive Process  
New Forms 470, 471, Item 21 Attachments

**12:00 - 1:00pm Lunch**

**1:00pm - Afternoon Session**  
E-Rate Approval and Acceptance Process  
PIA Review, Forms 486 & Form 500  
BEARS vs. Discounts  
Record Keeping, Appeals & Audits

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## What's in your email...handouts for today

- Copy of this presentation (.ppt)
- E-Rate Modernization Summary (.pdf)
- Form 470 Item 13 Requirements 2014 (MS Word)
- Form 470 Prep Worksheet Template & Example (.xls & .pdf)
- Form 470 Response Log Template & Example (.xls & .pdf)
- E-Rate Project Tracking Template & Example (.xls & .pdf)
- Sample Bid Evaluation (.xls & .pdf)
- SLD Contact Information (.pdf)
- SLD Glossary 2014 (.pdf)
- KS Funding 2013 (.xls)

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## E-Rate Changes for 2015 – “E-Rate Modernization”

- **Goal:** Re-focus E-Rate to provide broadband connectivity to and inside buildings for ALL schools and libraries (not just 90%) with no increase in funding
- **Solution:** Beginning FY2015 (7/1/2015)
  - Eliminate or phase out some Cat1 services (voice, email...) and equipment (voice and video) to provide more funds for Category Two broadband
  - Reduce the maximum discount and establish equipment funding caps per building to limit the amount of Cat2 funding per student and provide some funding to all applicants

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## E-Rate Changes for 2015

- E-Rate Modernization Changes
  - Close the “WiFi Gap”
  - Streamline Approvals
  - Reduce/Remove some eligible items and cap C2 spending
  - Change Discount Calculations / Urban & Rural Status
  - Many (many) others
- FCC Clarification Order (No Free Phones)
- New Eligible Services List
- New Form(s) 470 and 471
- New Broadband Access Goals

[FCC Modernization Order](#)

[Modernization Order - Schools and Libraries Program - USAC.org](#)

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## E-Rate Changes for 2015

- E-Rate Modernization Changes - Close the “WiFi Gap”
  - \$1B funding for FY2015 and FY2016 Category 2
  - If demand exceeds available, prioritize on discount rate
  - If insufficient funds in a single discount rate, prioritize based on percentage of F&R students in each district within that rate
  - Top Category 2 discount is now 85%
  - Two-in-Five rule not in effect for 2015 and 2016

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### E-Rate Changes for 2015

- E-Rate Modernization Changes – Streamline Approvals
  - All Decisions complete by 9/1/15
  - Multi-year Contracts reviewed only in first year
  - Start dates in April for Category 2
  - Preferred Master Contracts (PMC) – starting in 2016
  - Internet below \$300/mo/bldg. can be exempt from 470

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### E-Rate Changes for 2015

- “Commercially available” bundled Broadband/Internet packages that cost less than \$300 per month per building (pre-discount) can be purchased without first posting a Form 470
  - Minimum speed must be **100 mbps** downstream and **10 mbps** upstream
  - Cost must be based per building and cannot be averaged across multiple buildings
  - Annual cost of \$3600 must include all equipment and installation charges and monthly recurring charges

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### E-Rate Changes for 2015

- E-Rate Modernization – Reduce / Remove Eligible Items & Cap C2 spending
  - ~~Priority 1~~ => Category 1
    - Voice Services being phased out at 20% per year till gone
    - Web Hosting, Email and Cellular Data plans eliminated 7/1/15
    - NO CHANGES to Internet or WAN eligibility or discounts
  - ~~Priority 2~~ => Category 2
    - Network Equipment only eligible if required for Internal Broadband and WiFi – includes AP's, Switches, Cabling, UPS etc.
    - Includes MIB (Managed Internal Broadband) and Managed WiFi.
    - Max discount rate reduced from 90% to 85%
    - Max pre-discount amount \$150/student over 5 years

[Handouts/E-Rate Modernization Summary 08-13-14.pdf](#)

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### E-Rate Changes for 2015

- E-Rate Modernization – Changes to Discount Calculations
  - Single Discount rate for entire district – simplified calculations
  - Clarified E-Rate discounts for CEO/CEP – using 1.6 multiplier
  - C2 Discounts on a per building basis
  - Max C2 discount rate reduced from 90% to 85%
- Major changes to Urban / Rural classification
  - Now using 2010 Census data
  - Urban/rural status is now determined for the entire school district instead of for individual schools
  - FCC still working on 'urban cluster' problem

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### E-Rate Changes for 2015

- E-Rate Modernization – Other Changes
  - Adopted SETDA Broadband Access Goals
  - Removed Tech Plan requirements
  - Document retention expanded from 5 years to 10
  - Strict Deadlines for Invoicing – only one extension granted and MUST BE REQUESTED PRIOR TO DEADLINE
  - Moving to ALL Electronic Forms by 2016
  - BEAR payments directly to applicants by 2017
  - Price 'Transparency'

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### E-Rate Changes for 2015

- Adopted State Education Technology Director's Association (SETDA) Broadband Access Goals for the Program

Broadband Access for Teaching, Learning and School Operations	2015-2016 School Year Target	2017-2018 School Year Target
An external Internet Connection to the Internet Service Provider (ISP)	At least 100 mbps per 1,000 students/staff	At least 1 Gbps per 1,000 students/staff
Internal Wide Area Network (WAN) connections from the District to each school and among schools within the district	At least 1 Gbps per 1,000 students/staff	At least 10 Gbps per 1,000 students/staff

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## E-Rate Changes for 2015

- FCC Clarification Order (No Free Phones)

*"We therefore determine that E-rate applicants must deduct the value of ineligible components bundled with eligible services unless those ineligible components qualify as "ancillary" to the eligible services under the Commission's rules. This revised interpretation of our rules shall be effective beginning in funding year 2015."*

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[FCC Clarification DA-14-712A1 05-23-14.pdf](#)



## E-Rate Changes for 2015

- New Eligible Services List
  - Reduced from 49 pages to 8
  - Items NOT on the list are NOT eligible
- New Form(s) 470 and 471
  - No significant changes to Form 470
  - Major changes to Form 471
    - Need to provide much more detail on pricing and products
    - Category 2 'Budgets' per building
    - Item 21 included in Form 471 – must complete together

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## E-Rate Update 2015 – per Mel Blackwell 11/4/14

- FY2015 Filing Window will probably be close to 2015 (mid January to mid-late March 2015)
- SLD will add staff to meet 9/1/15 approval goals
- SLD will expand the current [online video library](#) to include instructions on all new rules and forms
- SLD will offer multiple [webinars](#) on modernization orders
- Expect to fund all Category 2 but also have a process to address shortfall
- Category 2 changes are a 'pilot' program for 2015 & 2016
  - No guarantees beyond that – but FCC will have to act

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## E-Rate Annual Cycle - 7/1/xx through 6/30/xx

Plan & File Form 470	Oct - Nov
Assess Technology Needs / Budgets	
Gather Discount Information	
Develop Competitive RFPs (if required)	Nov - Dec
Advertise	
Vendor Conference(s)	
Vendor Responses Received	
System / Vendor Selection	December
Board Approvals	
Contract Negotiation	
Final Contracts Signed	Jan - Feb
Forms Submission to SLD (Form 471)	<b>March 2015</b>
Implementation (Form 486 / 500 / 472)	July - June

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## GETTING READY TO APPLY

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## E-Rate Program Rules – Basic Requirements

- Focus on delivery of Broadband and WiFi access
- Competitive Process – requests must be posted for 28 calendar (not business) days
- All funds must be used for
  - eligible goods and services
  - installed at eligible facilities
  - provided by eligible service providers

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## Technology Plan – no longer required for E-Rate

"Even though technology plans are no longer required for E-Rate funding, KSDE encourages districts to submit updated technology plans for review. With an updated technology plan, districts will be able to prepare for the loss of funding source for technologies previously eligible."

Contact Linda Smith ( [take@ksde.org](mailto:take@ksde.org) )

<http://www.ksde.org/take>

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## You may need CIPA compliance for E-Rate

- CIPA (Children’s Internet Protection Act) compliance is only required if you are applying for Internet or Internal Connections
- If you don’t want to mess with CIPA...you should still file for Telecom
- No changes to CIPA/E-Rate for FY2015

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## CIPA Requirements

(Includes Protecting Children in the 21<sup>st</sup> Century Act )

- Must have an Acceptable Use Policy or Internet Safety Policy that contains specific elements
- Must have a public hearing and public notice
- Must have technology protection (filtering) software in place to protect minors.
- All documentation supporting compliance with CIPA rules is maintained in E-rate binder.

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## Acceptable Use Policy Requirements

- Access by minors to inappropriate matter on the Internet and World Wide Web.
- The safety and security of minors when using electronic mail, chat rooms, and other forms of direct electronic communications. Cyber-Bullying awareness and response.
- Unauthorized access including "hacking" and other unlawful activities by minors online.
- Unauthorized disclosure, use, and dissemination of personal information regarding minors.
- Measures designed to restrict minors' access to materials harmful to minors.

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## CIPA Requirements – PIA will ask you ...

- Do you have a technology protection measure in place?
- Have you provided reasonable public notice to address a proposed technology protection measure and Internet safety policy?
- Have you held at least one public hearing to address a proposed technology protection measure and Internet safety policy?
- Did you have an Internet Safety Policy in place?
- Provide a written copy

[PIA CIPA Questions.docx](#)

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## CIPA Resources

CIPA Rules from FCC  
<http://www.fcc.gov/cgb/consumerfacts/cipa.html>

CIPA Rules from SLD  
<http://www.usac.org/sl/applicants/step06/cipa.aspx>

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**ELIGIBILITY**

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**New for 2015**

E-Rate Eligibility – 2 Categories

- Priority Category 1 (to the building) – always funded
  - Telecommunications Services
  - Telecommunications (Dark Fiber)
  - Internet Access
- Priority Category 2 (within the building) - awarded to poorest applicants first, until all funds are exhausted
  - Internal Connections (~~only available 2 out of 5 years~~) (annual maximum per student per building)
  - Basic Maintenance of Internal Connections subject to same limits

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**New for 2015**

E-Rate Eligibility - What's Covered ?

- Category 1
  - Local and long distance telephone usage, VoIP, PRI, T-1, WAN (any technology), Cellular and Paging
  - Dark Fiber (from any provider)
  - Internet Access, Web Hosting, Email Service
- Category 2
  - Internal Broadband and WiFi - LAN/WAN wired and wireless components including cabling, switches, routers, racks, UPS. Includes installation and maintenance on all eligible items
  - Managed LAN and WiFi (equipment and 'management' do not have to come from same supplier)
  - Telephone systems (PBX's) including VoIP and VoiceMail
  - Video and Distance Learning systems

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What's Not Covered ?

- Servers, Voice and Video equipment (beginning 7/1/15)
- Computers, Telephone instruments, Video Cameras
- Power infrastructure
- Physical security or construction
- Application Software
- Internet Content
- Consulting Services, Training, Personnel Costs

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**New for 2015**

Eligible Services List (ESL) 2015

**ORDER**

Adopted: October 28, 2014      Released: October 28, 2014

By the Chief, Wireline Competition Bureau:

**I. INTRODUCTION**

1. In this Order, the Wireline Competition Bureau (Bureau) releases the eligible services list (ESL) for funding year 2015 for the schools and libraries universal service support program (more commonly referred to as the E-rate program) and authorizes the Universal Service Administrative Company (USAC) to open the annual application filing window no earlier than December 29, 2014.<sup>2</sup> In this Order, we adopt the proposals made in the *ESL Public Notice*, with modifications as described herein.<sup>3</sup> In so doing we streamline the structure of the ESL to provide guidance on the services the Commission found to be eligible for E-rate support in the recent *E-rate Modernization Order*.<sup>4</sup>

[http://hraunfoss.fcc.gov/edocs\\_public/attachmatch/DA-14-1556A1.pdf](http://hraunfoss.fcc.gov/edocs_public/attachmatch/DA-14-1556A1.pdf)

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**New for 2015**

Eligible Services List (ESL) 2015

FCC released ESL on 10/28/2014 – Many Major Changes

- Greatly 'simplified' (ESL reduced from 49 pages to 8)
- Full release notes plus ESL is 21 pages
- Assumption is that if it's not listed in the ESL it is NOT eligible

*"As we have emphasized, applicants and service providers are required to know the relevant rules of the E-rate program and are ultimately responsible for compliance with them."*

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### Eligible Services List (ESL) 2015

- Category 1 - Major Changes
  - Telecom reduced 20% (i.e. 20 discount points from your current discount) per year until zero
  - Discontinued completely beginning 7/1/2015
 

Directory Assistance charges	Inside wire maintenance plans
Voicemail	Text Messaging
900/976 Call Blocking	Custom Calling Features
Direct Inward Dialing	<b>Data Plans on Cellular</b>
<b>Email</b>	<b>Text Messaging</b>
<b>Web Hosting</b>	

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### Eligible Services List (ESL) 2015

**NO MORE DATA PLANS...or AIR CARDS...**

- Data plans and air cards for mobile devices are eligible only in instances when the school or library seeking support demonstrates that the individual data plans are the most cost effective option for providing internal broadband access for mobile devices as required in the *E-rate Modernization Order*.
- Off-campus use, even if used for an educational purpose, is ineligible for support and must be cost allocated out of any funding request.

[PIA Data Plan review.doc](#)

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### Eligible Services List (ESL) 2015

Category 2 Additions

- Caching Servers and Software
- Installation can be separate from Equipment
- Managed Internal Broadband Services (MIBS)
  - Services which cover the operation, management, or monitoring of a LAN or WLAN - Includes managed Wi-Fi
  - Could have a contract that a vendor manages, operates and maintains network; or,
  - School could own the equipment, but have a vendor manage it for them

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### Eligible Services List (ESL) 2015

Category 2 Deletions

- Servers (except for caching)
- Voice equipment (PBX)
- Video and Distance Learning equipment (although the lines to provide it remain 100% eligible)

*Cat 1 telecom lines to support Video and Distance Learning remain eligible as part of WAN and Internet*

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### E-Rate Eligible Locations – no change

All K-12 Schools, Libraries and most NIFs (Non-Instructional Facilities)

**Definition of Educational Purposes**

- Activities that occur on library or school property are presumed to be integral, immediate, and proximate to the education of students or the provision of library services to library patrons and therefore qualify as educational purposes.
- Customary work activities of employees of a school or library are presumed to fall under the definition of education purposes.

[Step 6: Educational Purposes - Applicants - Schools and Libraries - USAC](#)

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### E-Rate Eligible Locations – No change

- Examples of Non-Instructional Facilities (NIFs) that can receive Priority 1 services

<b>SCHOOLS:</b>	<b>LIBRARIES:</b>
<ul style="list-style-type: none"> <li>Administrative buildings</li> <li>School bus barns and garages</li> <li>Cafeteria offices</li> <li>Facilities associated with athletic activities</li> </ul>	<ul style="list-style-type: none"> <li>Administrative buildings</li> <li>Bookmobile garages</li> <li>Interlibrary loan facilities</li> <li>Library technology centers</li> </ul>

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### E-Rate Eligible Locations – Category 2

- Category 2 services for administrative sites (NIFs) are NOT eligible unless those services are “essential for the effective transport of information to a classroom or library”.
- Even if eligible – NIFs do not have a C2 Budget and must be funded by cost allocating other eligible entities.

**New for 2015**



### E-Rate Eligible Locations – start your own list

- What locations (entities) are you responsible for ?
- Which will you want to include on E-Rate Form 470 ?
- Assume all locations are in need of Category 1
- Are some (all) locations in need of Category 2 ?
- What is the C2 budget for each location ?



### Priority 1 On-Premise Equipment

Same Rules – Less money

“My Internet Provider wants to ‘give’ me a router.” - OK

“ I Want Hosted VoIP “ – OK (reduced)

Beginning 7/1/15 all phones must be cost allocated.

**New for 2015**



### Priority 2 On-Premise Equipment

New Rules – Less money

Max is \$30/yr or \$150/5yr per student per building

Managed LAN and Managed WiFi is OK

Does not matter who ‘owns’ the equipment

Provider of equipment and provider of service may be different

**New for 2015**



### DISCOUNTS



### E-Rate Discounts are Based on Poverty Level

**Revised Discount Matrix**

% of students eligible for National School Lunch Program	Category one schools and libraries discount matrix		Category two schools and libraries discount matrix	
	Urban discount	Rural discount	Urban discount	Rural discount
< 1	20	25	20	25
1-10	40	50	40	50
20-34	50	60	50	60
35-49	60	70	60	70
50-74	80	80	80	80
75-100	90	90	85	85

Note lower top discount rate for Category Two services.

Copyright Discount Calculators Fall 2014 E-Rate Program Assistant Training © 2014

**New for 2015**

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E-Rate Discounts for C1 Voice are going away...

If Your District or Library's Discount Is:	Voice Discount Will Be:				
	FY 2014	FY 2015	FY 2017	FY 2018	FY 2019
20%	No Funding	No Funding	No Funding	No Funding	No Funding
25%	5%	No Funding	No Funding	No Funding	No Funding
40%	20%	No Funding	No Funding	No Funding	No Funding
50%	30%	10%	No Funding	No Funding	No Funding
60%	40%	20%	No Funding	No Funding	No Funding
70%	50%	30%	10%	No Funding	No Funding
80%	60%	40%	20%	No Funding	No Funding
90%	70%	50%	30%	10%	No Funding

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Calculating Discounts - two variables

- The percentage of students eligible for the National School Lunch Program (NSLP) or an equivalent measure of poverty  
<http://www.ksde.org/Default.aspx?tabid=2792>
- The urban or rural status of the county or census tract in which the school or library building is located  
<http://Urban/Rural Status - Schools and Libraries Program - USAC.org/>

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Calculating Discounts - Simplified

- Single schools or School Districts
  - Take the total number of students eligible for NSLP and divide by total students = percentage
  - Determine Urban or Rural Status
  - Take percentage to Discount Matrix to get discount
- All Schools within a district have the same discount
- New School Construction use same discount

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Determine Urban/Rural - Complicated

**USAC Urban/Rural Classification**

**Urban/Rural Status Changes**

- Urban/rural status is based on 2010 U.S. Census data.
- Urban/rural status is now determined for the entire school district or library system, instead of for individual schools or libraries.
- More than 50% of the entities in a district/system must be rural for district/system to be classified as rural.
- Non-instructional facilities do not get an urban/rural status and are not counted in the determination of whether more than 50% of the entities are rural.

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BTU **New for 2015**

Determine Urban/Rural - Complicated

**USAC Urban/Rural Lookup Tool**

Schools and Libraries (E-rate)

**Urban/Rural Lookup Tool**

This tool is designed to help school districts, library systems, and individual schools and libraries determine the urban/rural status of their entities which will be used in calculating the national discount used to request E-rate. This tool is intended for informational purposes only. No data is stored from this tool with USAC.

Choose the entity type for which you want to determine the rural/urban status:

School District  
 Library System  
 Individual School  
 Individual Library

Urban / Rural Lookup Tool

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BTU **New for 2015**

Determine Urban/Rural - Complicated

**USAC Urban/Rural Classification**

**Is My Entity Rural?**

Schools/School Districts	Libraries/Library Systems
More than 50% of all schools are in rural areas.	More than 50% of all library outlets are in rural areas.
Do not include NIFs in the determination.	Do not include NIFs in the determination.
If there are six schools in district, and three are rural, district is urban.	If there are six libraries in district, and four are rural, library system is rural.

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### E-Rate Discounts – CEO/CEP Option

- CEP (Community Eligibility Program) is an FDA program that eliminates gathering application forms
- Schools that have an “Identified Student Percentage” (similar to Direct Certification) of 40% or more can qualify and can offer both free breakfast and free lunch daily to all students

**For E-Rate: Schools using CEP will use Direct Certs multiplied by 1.6 as the count of NSLP students.**

(The previous FCC guidance that CEP schools must use the NSLP data from the year before they opted into CEP has been repealed)

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## Category 2 Budgets

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### E-Rate Category Two Budgets

USAC

#### Category Two Budgets

##### What are Category Two budgets?

- Each school or library receiving Category Two support in FY2015 and/or 2016 will have a five-year budget for Category Two products and services (those that distribute broadband within schools and libraries).
  - Category Two products and services include Internal Connections, Managed Internal Broadband Services, and Basic Maintenance of Internal Connections.
  - Products and services ordered in excess of an entity’s Category Two budget will not receive E-rate discounts.
  - There is no budget for Category One services (those that connect broadband to schools and libraries).

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### E-Rate Category Two Budgets

USAC

#### Category Two Budgets

##### Which entities have Category Two budgets?

- Each individual school and each library outlet or branch has a pre-discount budget. School districts or library systems may not average their costs across multiple school or library budgets.
- Non-instructional facilities (NIFs) – including school NIFs with classrooms and administrative buildings – do not have pre-discount budgets.
  - If a NIF is essential for the effective transport of information to or within a school or library, the applicant must allocate the NIF costs to one or more of the entities benefiting from the service.

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### E-Rate Category Two Budgets

USAC

#### Category Two Budgets

##### How much is my budget?

- The pre-discount budget for a school is calculated by multiplying the total number of students at the school by \$150, with a minimum of \$9,200 if the school has fewer than 62 students.
- The pre-discount budget for a library is calculated by multiplying the total area in square feet – including all areas enclosed by the outer walls of the library and occupied by the library – by \$2.30, with a minimum of \$9,200 if the library is less than 4,000 square feet.

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### E-Rate Category Two Budgets

USAC

#### Category Two Budgets

##### How much is my budget (cont’d)?

- Remember that the budget is PRE-DISCOUNT.
- For example, for a school with 1,000 students:
  - At the 85% discount rate (the maximum discount rate for Category Two), the school will have a pre-discount budget of \$150,000, but may receive E-rate discounts of up to \$127,500.
  - At the 50% discount rate, the school will have a pre-discount budget of \$150,000, but may receive E-rate discounts of up to \$75,000.
  - At the 20% discount rate, the school will have a pre-discount budget of \$150,000, but may receive E-rate discounts of up to \$30,000.

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## E-Rate Category Two Budgets

**USAC Category Two Budgets**

**What period of time does my budget cover?**

- The pre-discount budget calculation is for a five-year period, starting with the first funding year in which you receive Category Two support.
  - However, you can apportion your pre-discount budget in a manner that best meets your needs. You could spend all of it in FY2015, spend 1/5 each year, or any other combination up to your total.
- If you do not receive any E-rate support for Category Two service in FY2015 or FY2016, and if the FCC does not act, the Two-in-Five rule will apply to your Category Two commitments in FY2017.

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## E-Rate Category Two Budgets

**USAC Category Two Budgets**

**How do I allocate costs for shared services?**

- On the FCC Form 471, you indicate how funding should be allocated among entities sharing services.
- Your allocation can be:
  - Straight-line (all entities share the cost equally)
  - Proportional (based on student count/square footage of each entity)
  - Specific (you specify each entity's share)

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## E-Rate Category Two Budgets

**USAC Category Two Budgets**

**Example 5**

My school district has three schools – School A with 25 students, School B with 50 students, and School C with 75 students. How do I correctly allocate a shared service with a pre-discount cost of \$300?

Straight line	Proportional by students	Specific (e.g., usage)
A = \$100	A = 25/150 x \$300 = \$50	A uses 30% = \$90
B = \$100	B = 50/150 x \$300 = \$100	B uses 15% = \$45
C = \$100	C = 75/150 x \$300 = \$150	C uses 55% = \$165
\$300	\$300	\$300

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## Should I file for Category 1, Category 2 or Both?

- Your discount level determines whether or not you will be funded for Priority 2 goods and services.
- ALL applicants should apply for ALL available Category 2 Funding in FY2015
  - Technically it is only funded for 2015 and 2016
  - Per student CAP will allow funds to spread much farther
  - Nobody knows how much money will really be available

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BTU) (Logo)

## Procurement Process

Plan

→

Procure

→

Implement

<p><b>Tech-Plan</b></p> <p>Requirements</p> <p>Design</p> <p>Detail Specifications</p> <p>Internal Approvals</p>	<p><b>Competitive RFP</b> (if required)</p> <p>Vendor Selection</p> <p>Award Contracts</p> <p>Submit Specific Requests</p>	<p>Coordinate Vendors</p> <p>Monitor Installation</p> <p>Resolve Upsets</p> <p>Audit Financial Documents</p> <p>Assure Completion</p> <p>Recommend Acceptance</p>
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## E-Rate Forms

Plan

→

Procure

→

Implement

<p>Form 470 <b>Nov 2015</b></p> <p>Notice of applicant's intent to acquire goods and services (non-specific as to amounts or vendors)</p>	<p>Form 471 <b>Nov 2015</b></p> <p>Specific request for goods and services, including total costs and vendor. (includes Item 21)</p> <p>Detailed cost and product info.</p>	<p>Form 486</p> <p>Notice of intent to accept funds awarded</p> <p>Form 500</p> <p>Change award amount or items</p>
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Form 472 (BEAR) – Recover discounts already paid to vendors for eligible goods and services.

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E-Rate Form 470

**DRAFT VERSION**  
FCC Form 470

Approval by CMB  
3090-0906

**Schools and Libraries Universal Service  
Description of Services Requested and Certification Form 470**  
Estimated Average Burden Hours per Respondent: 3 hours  
This form is designed to help you describe the eligible services you seek so that the data can be posted on the Fund Administrator Internet Site and interested service providers can identify you as a potential customer and compete to serve you.  
Please read instructions before beginning this form.

Applicant's Form Identifier (Optional: Create an identifier for your own reference)	Form 470 Application # (To be assigned by administrator)
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**Block 1: Applicant Address and Information**

1 Name of Applicant \_\_\_\_\_

2 Funding Year \_\_\_\_\_ (Funding years run from July 1 through the following June 30)

3 Entity Number \_\_\_\_\_

4a Street Address, P.O. Box, or Route Number \_\_\_\_\_

[Step 2: Competitive Bidding - Applicants - Schools and Libraries - USAC](#)

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BTU  
E-Rate Form 470 – New form for 2015

- FCC Form 470 has minimal changes for FY2015
  - Addition of “Managed Internal Broadband Services” to Internal Connections service type
  - No technology plan certification
  - Document retention certification – documents must be retained for 10 years
- NOTE: Current (FY2014) FCC Form 470 can be filed now for all service types by indicating in Item 13 that the form is intended for FY2015

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BTU  
E-Rate Form 470 – What's it for?

- Filing Form 470 opens a competitive bidding process
  - can also issue a Request for Proposals (RFP)
- Applicants are responsible for ensuring an open and fair process and selecting the most cost-effective provider of the desired services
- RFP is not required under FCC rules
- Even if you have an RFP, you must describe the services you desire on your Form 470

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BTU  
E-Rate Form 470 – Gotcha's

- You must wait at least 28 days from the submission date before entering into a contract for services
- If filed online, the form will calculate this date for you
- If you are under a multi-year contract from a previous year, you do not need to file a Form 470 every year
- If you are under Month-Month or Tariff rates, you must file a Form 470 every year
- Must indicate willingness for a multi-year contract or contract with extensions if appropriate

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BTU  
E-Rate Form 470

- Consider adding Item 13 'Requirements'
  - Responses must be received via email only to [erate@school-library.org](mailto:erate@school-library.org).
  - Responses must include detailed Item 21 level pricing and descriptions.
  - Responses must be received before the Allowable Contract Date.
  - Vendor must agree to SLD (SPI) invoicing.
  - Multi-year contracts and voluntary extensions accepted.
  - Vendor is aware of and agrees to follow SLD guidelines on Lowest Comparable Price.
  - Failure to comply with any of the items above may be grounds for disqualification.

[Form 470 Item 13 Requirements](#)

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BTU  
E-Rate Form 470 – What you will need

- Online Filers can use Interview Mode or Form Fill-out
- You will need the general descriptions for each service that you are requesting (*use Form 470 Prep Worksheet*)
- If using a consultant – will need Consultant Registration Number and contact info
- You will need a PIN # (automatically issued the first time you file a paper form)

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BTU

## E-Rate Form 470 Prep Worksheet

Form 470 Preparation Worksheet  
(Not a USAC Form)

Form Identifier (See Form 470)

1. Name of Applicant

2. Funding Year (2013)

3. E-Rate Entity Number (EEN)

4. Number of Sites

5. Site

6. Site

7. Site

8. Site

9. Site

10. Site

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Page 1

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Form 470 Prep Worksheet - Example

BTU

## E-Rate Form 470 – Online

Form 470 Video Training

Schools and Libraries Service Program  
New Form 470 Application

Be sure to review the Form 470 instructions, available in the Applying for Discounts, Step-by-Step section of the E-Rate site. Use these instructions to complete your application and save. Read the instructions in the upper right-hand corner of each screen.

Attention! MAC Users! If you are using Internet Explorer to access the online forms, you may have to disable some Internet Explorer features.

Enter Zip Code or Entity Number and Click Search

Zip Code

OR

Entity Number

Search

Training Website SLD Training Site

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BTU

## RFP Process – Issues in Competitive Bidding

SLD is on the lookout for these common 'problems'

- Must wait 28 days and 'be accessible'
- Must respond to all legitimate inquiries
- Vendor cannot help you with Form 470 or be involved in competitive process
- Multi-tiered vendor selection must follow rules
- NO 'Sham' Bidding (i.e. "I already know who I want")
- Cost to transfer to another provider alone is not by itself a good enough reason to stay with incumbent
- NO Gifts or 'Free' Services

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BTU

## E-Rate Form 470 – Gotcha's

Fair and Open Competition

Gifts

- Receipt or solicitation of gifts by applicants from service providers (and vice versa) and potential service providers is a competitive bidding violation.
- Service providers may not offer or provide any gifts or thing of value to applicant personnel involved in E-rate.
- Gift prohibitions are always applicable, not just during the competitive bidding process.
- Must always follow FCC rules. May also have to follow state/local rules.
- Counted per funding year.

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BTU

## E-Rate Form 470 – Gotcha's

Fair and Open Competition

Gift Rule Exceptions and more

- Items worth \$20 or less, including meals, if the value of these items received by any individual does not exceed \$50 from one service provider per funding year.
- Gifts to family and friends when those gifts are made using personal funds of the donor and not related to a business transaction or relationship.
- Charitable donations not directly or indirectly related to an E-rate procurement, and not intended to circumvent any other FCC rule.
- Cure violations by promptly returning any item or paying the donor its market value.
- Prizes at conferences are subject to the \$20/\$50 rule.

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BTU

## Vendor Selection – if there's not a formal RFP

- You must document and retain your vendor selection process
- Use this template or one of your own to record Form 470 responses from vendors
- Keep logs of all vendor emails
- Can also use for bid evaluations

Form 470 Response Log Spreadsheet

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BTU

## Vendor Selection – if there is a formal RFP

USAC

### Competitive Bidding

**Bid Evaluation Matrix (sample)**

Factor	Points Available	Vendor 1	Vendor 2	Vendor 3
Price of the EXISTING goods and services	30	15	30	25
Prior experience w/ vendor	20	20	0	20
Prices for (new) goods, services, products & fees	25	20	15	25
Flexible invoicing 472 or 474	15	0	15	15
Environmental objectives	5	5	3	2
Local or in-state vendor	5	5	5	5
<b>Total</b>	<b>100</b>	<b>65</b>	<b>68</b>	<b>92</b>

Step 3: Selecting a Vendor - Schools and Libraries - USAC

Handouts/Sample Bid Evaluation 2014.xlsx

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BTU

## E-Rate Form 471 – Do You Need a Contract?

USAC

- Applicants must have a signed contract or **other legally binding agreement** in place prior to submitting their FCC Forms 471 to USAC.
- Contracts can cover more than one year or contain extensions, but applicant must have indicated these options in the Form 470

Step 3: Contract Guidance - Schools and Libraries - USAC

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BTU

## E-Rate Form 471 – State Master Contracts

USAC

### Fair and Open Competition

#### State Master Contracts

- A state master contract (SMC) is competitively bid and put in place by a state government for use by multiple entities in that state.
- Single winner:** Single vendor wins the bid.
- Multiple winners:** State awards contract to several bidders.
- Multiple Award Schedule (MAS):** State awards contract for same goods and services to multiple vendors that can serve the same population.
  - Multiple winners always require vendor selection justification and applicants must conduct a mini-bid to award contract.

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BTU

## E-Rate Form 471 – State Master Contracts

USAC

### Contracts

#### State Master Contracts

- If the contract expires either before the funding year starts or during the funding year, you may be able to cite a **State Replacement Contract (SRC)** on FRNs
- FCC Form 470/Contract requirements:
  - Existing State Master Contract signed pursuant to a FCC Form 470 filed by the state
  - Replacement State Master Contract pursuant to a FCC Form 470 filed by the state
- See guidance on USAC's website for more information

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BTU

## E-Rate Form 471 – Online

USAC

**New for 2015**

CMB 3085-0808  
FCC Form 471

DRAFT VERSION  
Approved by CMB 3085-0808

Schools and Libraries Universal Service  
Description of Services Ordered and Certification Form 471

This form is designed to help schools and libraries file the right service. They have identified your estimate the annual charges for them to bid the Fund Administrator can determine the appropriate amount of Universal Service support for those services. **Please read instructions before beginning this application.** The instructions include information on the deadline for filing this application.

Applicant's Form Identifier (Create an identifier for your own reference) \_\_\_\_\_  
FCC Form 471 Revision # \_\_\_\_\_  
Title assigned by administrator \_\_\_\_\_

**Block 1: Billed Entity Address and Information**

1. Name of Billed Entity \_\_\_\_\_

2. Funding Year \_\_\_\_\_ (Funding years run from July 1 through the following June 30)

3a. Billed Entity Number \_\_\_\_\_

3b. FCC Registration Number \_\_\_\_\_

Training Website [SLD Training Site](#)  
Example [Sample 471 2014](#)

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BTU


## E-Rate Form – 471 New for 2015

USAC

**New for 2015**

- New and IMPROVED look and feel
- Online form totally redesigned
- Context sensitive
- Fields on the left, help/error messages on the right
- Buttons to exit, save, or continue at the bottom of each page, consistently labeled
- Basic flow unchanged (Billed Entity info → recipients of service → details of services and costs → certifications) **EXCEPT Item 21 is embedded in the form**

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BTU  **New for 2015**

### E-Rate Form – 471 New for 2015

- Templates will be available for applicants to prepare parts of the form in advance of the filing window.
  - Recipient of service lists and Item 21 details.
  - Templates will be specific to recipients of service or type of Item 21.
  - Formatting and dropdowns will be embedded to make uploads easier.
  - Modification of data (e.g., stripping headers and saving as \*.CSV files) not required.

Fall 2014

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BTU  **New for 2015**

### E-Rate Form – 471 New for 2015

- Additional features
  - Form navigation arrows at the top of the screen to show progress and pages completed.
  - Timeout feature warns the applicant after 25 minutes of no activity, i.e., no keystrokes or mouse clicks.
    - If no activity occurs after five additional minutes, applicant is timed out AFTER work to that point is saved
  - Error messages and help information written in clearer language.

Fall 2014

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BTU

### E-Rate Form - 471

- Provides specific information on services, service providers selected, and contracts
- Provides discount calculation information
- Must be filed for each funding year
- Contains certifications of compliance
- Includes one or more funding requests
- Each FRN must reference a specific Form 470


Fall 2014

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BTU

### E-Rate Form - 471

**Form 471 Blocks**

- Block 1 - Billed Entity Information
- Block 2 – Impact of Services Ordered for Schools
- Block 3 - Impact of Services Ordered for Libraries
- Block 4 - Discount Information
- Block 5 - Detailed Funding Requests & Item 21 
- Block 6 - Certifications and Signature

Fall 2014

[\(Sample Project Tracking Spreadsheet 2014\)](#)

BTU

### E-Rate Form – 471 - Deadline


- Must be filed online or postmarked on or before the close of the Form 471 application filing window.
- Forms 471 filed after the close of the window will be considered after all Forms 471 filed in-window.
- Certifications for associated Forms 470 also must be filed online or postmarked before the close of the window.

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BTU

### E-Rate Form 471 – Gotcha's

- Don't combine Category1 and Category 2 requests on the same Form 471 - review of C2 requests will hold up C1 commitments.
- The new forms require much more detail about pricing and description of your FRNs
- Goal is nation-wide transparency
- You will need an FCC Registration # avail at: <https://fjallfoss.fcc.gov/coresWeb/publicHome.do> 

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## PIA Review – Corrections Allowed

### Clerical Corrections

**Examples:**

- Entered the incorrect amount (i.e., data entered \$100 instead of \$1,000)
- Omitted an entity from the Block 4
- Provided the incorrect Form 470 number on the Form 471
- Selected the wrong category of service
- Submitted an unsigned contract to PIA
- Omitted an FRN
- **YOU ARE ALLOWED TO CORRECT ERRORS – BUT NOT TO CHANGE YOUR MIND**

[PIA Example Question](#)

[PIA Example Response](#)

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## PIA Review – Know Your Rights

- At the end of the review, your reviewer must give you an opportunity to respond to any reductions or denials
- Applicants can cancel or reduce funding requests as a result of PIA-detected errors
- Applicants can “split out” services or entities into separate (new) funding requests.

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## E-Rate – PIA Review

- Provide information to PIA promptly
- Work with your service provider to comply with information requests
- Make sure your answers respond completely to the questions asked
- Ask for more time to respond if you need it.

**Check the 471 Application Status Tool (SLD website)**

[Form 471 Status Check Selection Criteria](#)

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## E-Rate Approval & Acceptance!

- You will receive an FCDL (Funding Commitment Decision Letter) for each Form 471 that you submit
  - cover page of important reminders
  - reports status of individual funding requests:
    - o funded
    - o not funded
    - o as yet unfunded (Priority 2 requests)
    - o Cancelled

[Sample FCDL](#)

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## E-Rate Approval & Acceptance

**ALWAYS Appeal a decision you don't agree with**

**Call BTU Hotline for assistance**

**866-372-8302**

[Appeal Example 06-09-2014](#)

[Appeal Approval 09-08-2014](#)

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## E-Rate Form 486

[Step 6: Form 486 Filing Information - Applicants - Schools and Libraries - USAC](#)

[SLD Training Video - 486](#)

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## E-Rate Form 486 – Certifications Required

- Notifies USAC that services have started and invoices can be paid
- ~~Certifies that Tech Plan (if required) is in force and meets program requirements.~~
- Certifies that CIPA is in force (if required) and meets requirements.

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## E-Rate Form 486 Deadline

- Form 486 must be filed online or postmarked no later than
  - 120 days after the Service Start Date OR
  - 120 days after the date of the FCDL whichever is later.
- If the Form 486 is late, the date 120 days before the Form 486 online filing or postmark date will become the start date for discounted services and funding may be reduced.

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## E-Rate Implementation Deadlines

### Service delivery deadlines

- Recurring Services (June 30)
- Non-recurring Services (September 30)

For Category 2 - you can request extensions – but your request must be filed before current deadline.

[Sample 486 2013](#)

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## E-Rate Reimbursements

### Don't Stop Here – you have to ask for the money

- Applicants must use SPI (Service Provider Invoicing) or BEAR (Billed Entity Application for Reimbursement) process to actually **GET THE MONEY**.
- Contact your vendor – some can provide you with full monthly detail of eligible and non-eligible payments

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## BEARs vs Discounts

- **BEAR** (Billed Entity Applicant Reimbursement) Form 472 is filed by the applicant and certified by the service provider after the applicant receives services and pays for the services in full.
- **DISCOUNTS** (SPI Service Provider Invoice) Form 474 is filed by the service provider after providing services and billing the applicant for its non-discount share.
- Form 472 or 474 must be filed online or postmarked no later than
  - 120 days after the last date to receive service OR
  - 120 days after the date of the 486 NL

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## New Rules for BEARs and Discounts

- A single 120 day invoice deadline extension will be granted **ONLY** if the request is rec'd by USAC on or before the original invoice deadline. Requests rec'd after the original deadline will not be granted by USAC.
- Can request waivers from FCC but only if 'extraordinary'
- If you need more time to invoice, file an [invoice deadline extension request](#)

*Goal is that unused funds will roll back into use more quickly*

[IDER Example](#)

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### KS 2013 Unclaimed Funds as of 11/06/2014

**Unclaimed Commitments MAY still be recovered!**

Applicat	Service	Funding	Last Date to	Orig	Comit	Invoicing	Total	Percent	Amount
n Type	Provider Name	Year	Invoice	Category	ment	Mode	Authorized	Disbursed	Unused
DISTRICT	TouchTone Cont	2013	10/28/2014	TELCOMM	\$	2,254	SP	0%	\$ 2,254
DISTRICT	Edline, LLC	2013	1/28/2015	INTERNET	\$	28,893	NOT SET	0%	\$ 28,893
DISTRICT	Southwestern B	2013	10/28/2014	INTERNET	\$	24,740	NOT SET	0%	\$ 24,740
DISTRICT	H & B Communi	2013	10/28/2014	TELCOMM	\$	4,584	NOT SET	0%	\$ 4,584
DISTRICT	H & B Communi	2013	10/28/2015	INTERNET	\$	12,008	NOT SET	0%	\$ 12,008
DISTRICT	AT&T Corp	2013	10/28/2014	TELCOMM	\$	14,273	NOT SET	0%	\$ 14,273
DISTRICT	TouchTone Cont	2013	1/22/2015	TELCOMM	\$	1,187	BEAR	0%	\$ 1,187
SCHOOL	Abolous Software	2013	10/28/2014	INTERNET	\$	2,861	BEAR	45%	\$ 1,564
DISTRICT	South Central W	2013	10/28/2014	INTERNET	\$	4,312	SP	50%	\$ 2,151
DISTRICT	West-Tech Inter	2013	10/28/2014	TELCOMM	\$	2,454	SP	50%	\$ 1,224
DISTRICT	Edline, LLC	2013	10/28/2014	INTERNET	\$	4,305	SP	50%	\$ 2,152
DISTRICT	AT&T Mobility	2013	10/28/2014	TELCOMM	\$	804	BEAR	50%	\$ 402
DISTRICT	CenturyLink Cor	2013	10/28/2014	TELCOMM	\$	11,438	BEAR	50%	\$ 5,719
DISTRICT	Foundation for E	2013	10/28/2014	INTERNET	\$	1,307	BEAR	50%	\$ 654
SCHOOL	West-Nova Pro	2013	10/28/2014	TELCOMM	\$	2,448	BEAR	50%	\$ 1,224
SCHOOL	CenturyLink Cor	2013	10/28/2014	TELCOMM	\$	3,989	BEAR	50%	\$ 1,995
DISTRICT	CenturyLink Cor	2013	10/28/2014	TELCOMM	\$	6,990	SP	50%	\$ 3,495
DISTRICT	Southwestern B	2013	10/28/2014	TELCOMM	\$	24,475	SP	50%	\$ 12,160

KS Unclaimed Funds FY2013

Fall 2014

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### E-Rate Form 472 - BEAR

FCC Form 472  
Do not write in this space.  
Approved by SLD  
09/17/2014  
Estimated time per response: 15 mins

Universal Service for Schools and Libraries

**BILLED ENTITY APPLICANT REIMBURSEMENT FORM**  
For reimbursement of eligible services provided to schools and libraries.

1. Biller Entity Name: KANSAS PROJECT

2. Biller Entity Number: 000007

3. Service Provider Identification Number (SPIN): 043002288

4. Contact Name: KANSAS PROJECT

5. Contact Telephone Number: 913-355-1916

6. Reimbursement Form Number: KANSAS4000

7. Reimbursement Date to USAC: 08/01/2014

8. Total Reimbursement Amount (total of Block 2, Item 10 - 14.2 digit maximum): 0000 00

Form 472 and Instructions - Tools - Schools and Libraries - USAC

Training Website [SLD Training Site](#)

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### E-Rate Changes – Form 500

- Change FRN Start Date
- Contract Extensions
- FRN Extensions
- FRN Reductions
- FRN Cancellations (Unused Funds)

Fall 2014

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### E-Rate Changes Form 500

6. Service Start Date

FCC Form 471	FRN(s)	Original Date (mm/dd/yyyy)	New Date (mm/dd/yyyy)

7. Contract Expiration Date

FCC Form 471	FRN(s)	Original Date (mm/dd/yyyy)	New Date (mm/dd/yyyy)

Make as many copies of this page as needed, and number the completed pages so that they are all processed correctly. Please number your pages 2A, 2B, 2C, etc. and provide the number in space provided in Block 2.

- No ONLINE version (yet) – must print / fill out / mail

Form 500

Fall 2014

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### E-Rate Changes – Stuff Happens...

- You must notify SLD of any changes in the services that have been approved
  - Service Substitutions – you change your Internet from a DSL line to a T1 line
  - SPIN Changes – your ISP goes out of business and you need a new provider
- There are standard SLD processes for all of these (and more)
- Examples and assistance at SLD website or ask for help.

Fall 2014

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### Service Substitutions

- Use if you change (buy) *anything* that varies from what you described on your 471 & Item 21
- No FORM, just follow instructions
- File Online using “Submit a Question”

Service Substitutions - Schools and Libraries - USAC

Fall 2014

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### SPIN (Service Provider ID Number) Changes

- CORRECTIVE changes will be approved (correct errors, mergers, acquisitions etc)
- OPERATIONAL changes are usually not approved unless the original provider goes out of business
- No FORM, just follow instructions
- File online using "Submit a Question"
- Usually approved (or denied) in a few weeks
- Vendors will be notified

[SPIN Change Guidance - Schools and Libraries - USAC](#)

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### Record Retention – "if it isn't written down it didn't happen"

- Setup an electronic and paper file for each funding year
- Make a checklist of included items
- Make a spreadsheet across years
- Monitor at least monthly
- Build an E-Rate Binder

**Must Retain for 10 YEARS (up from 5)**

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### Record Retention – USAC Guidance

- Downloadable Table of Contents Guide
- Downloadable Table of Contents (Word document preformatted for Avery® Ready Index 10)
- Located in USAC web site Reference Area

[Samples & Examples - Schools and Libraries Program - USAC.org](#)

[E-Rate Binder Electronic - Example](#)

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### Appeals

- USAC decisions can be appealed to USAC or to the FCC.
  - *Beginning NOW – you must appeal first to USAC.*
  - Can appeal to the FCC if USAC denies.
- Can be filed electronically or on paper.
- Must be filed within 60 days of the USAC decision.
- Requests for waivers of rules must be filed with the FCC.

[File an Appeal - Schools and Libraries - USAC](#)

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### Final Tips

- Document everything
- Email yourself to memorialize
- Build and retain an "E-Rate Binder" (10 years)
- Plan for eventual audit

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**New for 2015**

### FY 2015 Window

**Per FCC Window opens 'no earlier than' 12/29/14**  
**Per Mel Blackwell – mid January thru mid March**

#### 471 Filing Window:

opens at noon (EST) on ????

closes at 11:59pm (EST) on ????

**LAST DAY FOR Form 470 is ????**

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**BTU**  
Kansas Resources

**Kansas Department of Education**  
[http://www.ksde.org/Agency/FiscalandAdministrativeServices/InformationTechnology\(IT\)/TAKE/E-Rate.aspx](http://www.ksde.org/Agency/FiscalandAdministrativeServices/InformationTechnology(IT)/TAKE/E-Rate.aspx)

**Kansas E-Rate Listserve**  
Email to [take@ksde.org](mailto:take@ksde.org)  
and request to be added to the E-rate listserv

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**BTU**  
More Resources

**EDLINC (Education & Library Networks Coalition):**  
<http://www.edline.org/>

**Funds for Learning:**  
<http://www.fundsforlearning.com>

**E-Rate Central:**  
<http://www.eratecentral.com/>

**SLD Home Page:**  
<http://www.usac.org/sl/>

[E-rate Program Website Tour - Online Learning Library](#)

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**BTU**  
Information & Assistance  
Kansas E-Rate Support Hotline

**866-372-8302**

*Our Goal: Answer all questions – escalate or provide references and contacts as required.*

*Resources include:*  
SLD and affiliated agencies & hotlines  
Kansas State Dept of Ed: Kimberly Wright ([kwright@ksde.org](mailto:kwright@ksde.org))  
State Library of Kansas: Jeff Hixon ([jeff.hixon@library.ks.us](mailto:jeff.hixon@library.ks.us))

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**BTU**  
Information & Assistance  
E-Rate Support Hotline

**We Can Provide Advice on:**  
SLD forms 470, 471, att 21, 486, 472, 500  
Eligibility of goods, services and locations  
How to prepare a SPIN change letter  
How to prepare a Service Substitution letter  
Strategy for writing an appeal  
When to file an invoice extension request

**We Cannot:**  
Prepare, complete or submit FCC forms  
Act on behalf of an entity

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**BTU**  
Information & Assistance

**BTU Consulting, LLC**  
Toll Free Support Hotline – 866-372-8302

**Website:** [http://www.btu-consultants.com/KS\\_Erate\\_Services.html](http://www.btu-consultants.com/KS_Erate_Services.html)

**Email to:**  
Carol Underriner: [carol@btu-consultants.com](mailto:carol@btu-consultants.com)  
Lori Thompson: [lori@btu-consultants.com](mailto:lori@btu-consultants.com)  
Don Dietrich's email: [ddietrich01@earthlink.net](mailto:ddietrich01@earthlink.net)

Don Dietrich's Cell Phone: 314-378-1667

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**BTU**  
Questions

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