

**E-RATE PROCESS MANUAL**

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6. **Competitive Bidding, Vendor Evaluation and Contracts**

This section covers steps to inform suppliers of the services or products the Cleveland Metropolitan School District is requesting. It will describe the notification of the services to the award of the contract. All material in this section will be maintained in a filing system in the E-rate/Project Management secured file room.

* 1. Request For Proposal (RFP) Process
     1. Technology leadership staff determines the services and products needed.
     2. Project Manager will secure a control number from the Purchasing Department.
     3. Project Manager will provide the Purchasing department with a basic description of the proposal.
     4. Project Manager will confirm any Purchasing document changes with the Purchasing Department.
     5. Project Manager will gather all the technical specifications and information from the Specialists in the area of the specific proposal services.
     6. Specific information will include the letter requesting the proposal, letter to the proposers, proposer’s qualification form, and instructions to the proposers, proposal process, general service requirements, evaluation criteria, submission instructions, and specifications for service, equipment, eligible school sites, and Glossary of terms.
     7. Project Manager will prepare the draft version for the Project Management Office and Deputy Chief to review.
     8. The Project Manager will make changes based on recommendations from the Specialists, Project Management Office and the Deputy Chief.
     9. The Deputy Chief approves the proposal.
     10. Project Manager submits the specifications to the Procurement department to post the RFP on the “District” website and in the local newspaper.
     11. Project Manager will send out a single batch email to the vendors that has provided email contact information on the “District’s” E-rate website under Vendors.
     12. The email notice will contain the RFP number, due date, location of the pre-proposal conference date, location and time, and “District” contact information for proposal questions.
  2. Pre-proposal Conference
     1. Project Manager will request the technology and meeting room needed for the conference.
     2. Specific technology needed is a microphone, tape recorder and conference bridge number.
     3. Project Manager will invite the appropriate staff members to answer questions that may arise during the conference.
     4. The conference will be recorded for clarity of questions and answers.
     5. Attendees will sign in at the beginning of the conference.
     6. Project Manager will host the conference.
     7. Attendees and “District” staff will introduce themselves.
     8. Project Manager will read out loud the letter requesting proposal within the RFP.
     9. Project Manager will ask if there are questions between every section of the RFP.
     10. Attendees are free to ask questions related to the RFP specifications, process, timeline and etc to get the most clarity possible for submittal.
     11. The recorded conference is used for official record and to transcribe any questions.
     12. All attendance forms and recorded tapes will be on file with the Project Management Office and/or E-rate file room.
  3. Vendor responses
     1. All proposals shall be made upon the Proposal Form furnished by the Cleveland Municipal School District in the proposal package. All information requested in the proposal and in the proposal package must be filled in legibly and completely, with blue ink signatures or the proposal will be disqualified. No stamped or electronic signatures will be accepted for any of the proposer documents. No oral, telephonic or telegraphic proposal or modifications will be considered. Submissions must state RFP Name, Number, and Sub-division(s) on outside of submission package, including shipping labels.
     2. Proposals are due in the Cashier’s Office, 1st Floor, Board of Education of the Cleveland Metropolitan School District, 1111 Superior Avenue, East, Cleveland, Ohio 44114, by 12:00 p.m. (noon) current local time.
     3. Prospective proposers are encouraged to attend the Pre-Proposal Conference to address any questions needed to submit a competitive proposal.
     4. **All** **questions must reference the section, specifications or item within the Request for Proposal** document, and include **the page number where the reference may be found**. There will be no response provided to questions that do not include a specific reference point or item. Responses will be sent to all parties that have indicated an interest in proposing on this RFP. Errors/omissions will be corrected/clarified via Addendum. Under no circumstances should any firm interested in providing services identified in this RFP, their designees, or anyone affiliated with their firm, contact any other District employee or official during the RFP process, in an attempt to lobby or influence the selection of a vendor pursuant to this RFP.
     5. All submissions must include **two (2) complete originals (with blue ink signatures), eight (8) paper copies of proposal, and one (1) electronic copy.** Vendors not complying with this requirement will be sent a notification notifying them that they have twenty-four (24) hours in which to submit the required copies or their proposal will be **disqualified. This applies to the copies ONLY.**
     6. The Cleveland Municipal School District reserves the right to reject any and all proposals, to waive any and all informalities or irregularities, and to disregard all non-conforming responsive conditional proposals.
     7. Proposers must present evidence to the District upon request, that they are fully competent and have the necessary facilities, equipment and financial resources to perform the work required in the Specifications within the agreed upon time frame.
     8. This request for Proposal should be submitted before **12:00 p.m. (noon)** current local time, to the Cashier’s Office of the Chief Financial Officer, 1st Floor, Board of Education of the Cleveland Municipal School District, 1111 Superior Avenue East, Cleveland, Ohio 44114, The submission must include **two (2) complete originals (with blue ink signatures), eight (8) paper copies of proposal, and one (1) electronic copy** for all submitted material including all forms.
        1. List of the Forms
           1. Intent to Submit

Acknowledgement

Vendor Request Form

W-9

Homeland Security

No Proposal Form

Conflict of Interest Form (Notarized)

Certification Regarding Debarment, Suspension

Proposer’s Qualification Form

Non-collusion Affidavit (Notarized)

DBE Form A – General Information

DBE Form B – Notice of Requirement to Ensure DBE Opportunity

DBE Form C – Schedule MBE/FBE Participation

DBE Form D – DBE Letter of Intent

DBE Form E – DBE Unavailability Certification

Non-Minority Prime’s Affidavit for DBE (Notarized)

DBE Form F – Information for Determining Joint Venture Eligibility

Non-Minority Prime’s Affidavit (Notarized)

Form 1 – Finance Department – Affirmative Action Division

Form 2 – Finance Department – Compliance Declaration

Form 3 – Current Employment Data

**Proposer acknowledges that all material and information responsive to specifications must be furnished or the proposal may be deemed non-responsive and not considered.**

* + 1. All prices must clearly delineate E-rate eligible and ineligible costs.
    2. All prices must be line itemized.
    3. General production support to include repair, error correction, file recovery, and documentation interpretation must be provided.
    4. Service providers should note that there may be changes in the site list due to new constructions sites, demolished sites, merged sites, swing sites, and other changes that may come after the signing of contracted services and/or products. The site list may include addresses for demolished buildings. Thus, the number of sites for services and/or products may be less than noted on the list. Costs must be adjusted accordingly.
    5. Negotiable production support Service Level Agreements must be provided. SLA’s, for the most part, are provided within each of the individual RFP’s with specifics negotiated with the selected vendor(s).
    - A negotiable problem management and escalation mechanism must be provided.
    - Periodic, systematic status reporting must be provided.
    - A process for review and replacement of vendor personnel unacceptable to CMSD must be provided.
    - A single point of contact with sufficient authority to direct and redirect vendor resources for problem resolution must be provided.
    - A formal installation review and acceptance process must be provided for all new products and services.
    - An agreed-upon dispute resolution mechanism must be defined.
    1. Willingness to invoice the District at the E-rate approved discount percentage, with the remainder directly to the SLD (SPI Form), pending the District certification for services performed.
    2. Proposers may be requested to give an oral presentation to CMSD staff in order to clarify their proposal.
    3. All information received by CMSD shall become the property of CMSD. CMSD reserves the right to accept or reject any or all proposals without explanation.
    4. All RFPs will be posted on a corresponding FCC Form 470 using whatever method for transmission required by FCC rules.
  1. Evaluation matrix and ratings
     1. Proposals will be evaluated as responsive or non-responsive to the RFP’s specifications.
     2. Proposal will be evaluated based on the information presented in the proposal and on additional information obtained during the evaluation process.
     3. Price of E-rate eligible services is the heaviest weighted criteria.
     4. Evaluations are based solely on the submitted proposal and, the in-person presentation.
     5. Based on the Request For Proposal (RFP), the Project Manager will assemble an ad hoc evaluation committee made up of technology specialists and other personnel as needed.
     6. The Project Manager will facilitate the Evaluation Committee’s meetings.
     7. The committee will review the all information gained from the RFP response and presentation along with any clarifications needed.
     8. Each committee member will be given an evaluation form: The matrix for the evaluation form contains the following criteria and their weights:
        1. Total Price and Cost Effectiveness (30%)
        2. Meeting Overall Requirements (25%)
        3. Vendor Experience and Demonstrated Support (20%)
        4. Technical Merits (15%)
        5. Vendor’s Demonstrated Ability to work with E-rate (10%)
     9. The evaluation form must be signed and dated by the evaluator.
     10. The form will be completed for each vendor responding to the RFP specification.
     11. The Project Manager will be responsible for tallying the scores and ranking of the individual evaluation forms.
     12. In the event of a majority, the Project Manager will meet with the committee as a whole to discuss the pros and cons of the responses.
     13. The Project Manager will request the committee to re-evaluate the RFP responses, using a new evaluation form.
     14. Steps 1.4.10 and 1.4.11
     15. The Project Manager will provide an award of service recommendation to the Deputy Chief/Chief Information Officer based on the evaluation rating.
     16. The recommendation will consist of the following:
* The RFP control number and services evaluated
* Committee member names
* The service providers or organizations who submitted a response
* The recommended service provider
* The supporting data for the recommendation
  + 1. If the Deputy Chief/Chief Information Officer requires more information to make an informed decision, the Project Manager will reach out to the service providers or reassemble the evaluation team for further assessment based on the information needed to award the service.
    2. If the information needed requires the evaluation to reach out to the service provider, steps 1.4.10 and 1.4.17 will need to be followed to evaluate all service providers on the same information requested.
    3. The Project Manager will share the selected vendor with the evaluation committee members.
    4. All copies will be filed electronically on a secured District website for record in Project Management Office
  1. Notice of Award Letters
     1. For the ***awarded service provider***, the Project Manager will populate the following information into the Purchasing Department’s “Notice of Intent to Award Letter”:
        1. Service Provider’s full organization name, the contact person, and address
        2. The RFP response due date
        3. Service term date
        4. The Project Manager’s name and full address
     2. The Project Manager will send via email or inter-office mail for the Director of Procurement’s signature.
     3. The Director of Procurement will review, sign and return to the letter to the Project Manager.
     4. The Project Manager will send the letter via email or U.S. Postal mail to the awarded vendor.
     5. Per the “Notice of Intent to Award Letter”, the service provider has five (5) business days to return the letter to the Project Manager.
        1. A signed copy of letter may be returned via email while the inked signature letter to arrive via USP mail.
     6. For the ***non-awarded service provider***, the Project Manager will populate the following into the Purchasing Department’s “Non-Service Award Letter”
        1. Service Provider’s full organization name, the contact person and address
        2. The RFP response due date
        3. The service requested
     7. The Project Manager will send via email or inter-office mail for the Director of Procurement’s signature.
     8. The Director of Procurement will review, sign and return to the letter to the Project Manager.
     9. The Project Manager will send the letter via email or U.S. Postal mail to the non-awarded vendor.
     10. All copies of the letters will be filed electronically on a secured District website for record in Project Management Office
  2. Contracts
     1. The Project Manager enters a Board resolution into the District’s financial OnBase system, for a Board approved resolution authorizing the CEO or his/her designee, to execute new contracts or exercise options to renew E-rate contracts on behalf of the District.
     2. Once the resolution is approved by the Board of Education, the Project Manager can prepare the contracts provided by the District’s Legal department.
     3. The information needed for the contracts will come directly from the awarded vendor’s RFP response for service. The Project Manager will fill in the following information into the Legal department’s “Vendor Contract” along with the Contract cover sheet.
        1. Vendor name and address
        2. Purpose
        3. List of equipment, supplies, goods, services and deliverables to be provided
        4. Service term
        5. Compensation
        6. Budget number
     4. The Project Manager will send the contract to the District’s Legal department for approval. All contracts must be approved by the District Legal department prior to the Vendor and the District’s signature execution.
     5. Once the Legal department has approved the contract, the Project Manager will obtain the signature of the CEO or his/her designee.
     6. Once the CEO or his/her designee has signed and returned the contract to the Project Manager, the Project Manager will send the contract to the Service provider’s Account Manager or Sales Manager via email or U.S. Postal mail to obtain the appropriate authorizing signature.
     7. The Service provider will return the contract to the Project Manager.
     8. All copies will be filed electronically on a secured District website for record in Project Management Office.

1. *CIPA (Children’s Internet Protection Act)*

**2. CIPA (Children’s Internet Protection Act)**

This section will show how the District meets the E-rate compliance requirement for educating minors about internet safety.

2.1 Compliance Actions

The Cleveland Board of Education has several policies on the school district’s website ([www.clevelandmetroschools.org](http://www.clevelandmetroschools.org)) providing detailed terms and conditions for the use of the Internet during a student’s educational process with the District.

2.1.1 Internet Acceptable Use Policy for Students

2.1.2 Student Code of Conduct – Student Rights and Responsibilities

2.1.3 Student Harassment, Intimidation and Bullying

2.2 Filtering Software

iboss protects students from inappropriate Web content to ensure the District is in compliant with CIPA rules and can qualify for valuable E-Rate funds. The extensive URL database is classified into categories for easy and efficient policy enforcement while iboss real-time threat defense protects against damaging malware and other exploits. The integrated Threat and Event Console Reporter provides forensic-level compliance reporting and live dashboards for instant visibility across the school network, allowing the District to mitigate problems before they can cause damage.

2.3 Internet Safety Policy

The Board of Education has an approved Internet Acceptable Use Policy for Students, located on the District’s website ([www.clevelandmetroschools.org](http://www.clevelandmetroschools.org)), detailing the following:

2.3.1 Terms and Conditions, Internet Acceptable and Unacceptable Uses

2.3.2 Internet Acceptable Uses

2.3.3 Internet Unacceptable Uses

2.3.4 Internet Filters

2.3.5 Personal E-mail Accounts Accessed Through the World Wide Web

1. *Program Integrity Assurance (PIA)*

**3.** **PIA (Program Integrity Assurance)**

This is the E-rate program’s compliance review process before funding is determined by the Universal Service Administrative Company.

* 1. Letter of Agency (LOA) – Authorizing a person to represent the District in discounts being sought in the funding request.
     1. The following documents may be used to establish authorization of a person representing the District in funding matters:
        1. Project agreement
        2. Service contract
        3. Letter agreement
     2. The document must contain the following information:
        1. The name of the person filing the application.
        2. The name of the person authorizing the filing of the application; either the Chief Information Officer (CIO) or the Deputy Chief of Information Technology.
        3. Specific timeframe of the LOA include the Erate funding year (FY). The timeframe cannot be open ended.
        4. The signature, signature date and title of the person authorizing the filing of the application must be dated before the Form 471 is certified.
        5. The type of services covered by the LOA. The description can be as general as “all E-rate Program eligible services” or it can be restrictive.
     3. The LOA is created by the Agency representing the District on E-rate funding matters.
     4. The contracted Agency will provide the LOA with the required information to the District’s E-rate Specialist.
     5. The E-rate Specialist will forward the LOA to the CIO or Deputy Chief of Information Technology for the authorizing signature.
     6. The E-rate Specialist will forward the signed LOA to the contracted Agency’s representative via e-mail.
     7. All copies will be filed electronically on a secured District website for record in Project Management Office.
  2. Item 21
     1. The E-rate Specialist or a contracted Agency will provide specific information regarding the Funding Request Number (FRN) submitted on the E-rate Form 471.
     2. A separate line item is required for each service the District is requesting funding.
     3. The following information is needed:
        1. Type of service (from the types of services on the Eligible Services List for the appropriate funding year) – e.g., Digital Transmission Service, Telephone Service, Internet Access, etc.
        2. Type of connection
        3. Purpose (transport, Internet, both transport and Internet, voice)
        4. Quantity or number of lines
        5. Bandwidth upload speed
        6. WAN Connection: Indicate whether the Internet Access connection is part of a wide area network (WAN) that serves the entire district
        7. Enter the costs for the service, as described above
        8. The system will calculate the extended total cost for each line item
        9. Type of Internal Connections
        10. Type of Product – e.g., router, firewall, cabling
        11. Quantity and unit
        12. Make
        13. Model
        14. Indicate if this is being procured under a lease
        15. Type of managed service agreement – Select the service arrangement that most closely matches your contract: (1) managed and leased from a third party service provider; (2) managed by third party service provider; (3) purchased from them or other vendors; or (4) managed services contract of already installed equipment.
        16. From the list you entered in Block 4, select the schools, libraries and NIFs that are receiving this service. As indicated above, you will need to allocate the cost of the service among the recipients of service, keeping in mind that NIFs are not eligible for their own Category Two budget. However, you can use some of the budget from the schools that are sharing the equipment located in that central site to purchase equipment shared by the schools and housed at the NIF. You will need to cost-allocate the equipment among all of the schools that are sharing that piece of equipment. The system can help you with straight line cost allocations or you can use another method for allocating the costs, as long as the cost-allocation methodology is based on tangible criteria and reaches a realistic result.
  3. PIA Inquiries
     1. The E-rate Specialist or the contracted Agency will file the E-rate Form 471 and the associated Item 21.
     2. An assigned PIA reviewer will check the information for completeness and accuracy.
     3. The reviewer may have additional questions for the District to answer.
     4. All applications go through an initial and final review for one or more of the following reasons:
        1. Eligibility of entities receiving service
        2. Eligibility of the service requested
        3. Discount calculations
        4. Contracts
        5. Competitive bidding process
        6. Any discrepancies between the information on the funding request and the Item 21
     5. The E-rate Specialist or contracted Agency will receive PIA questions via email.
     6. The responses are expected within 15 days of the date on the request.
     7. The E-rate Specialist or contracted agency will gather the information requested in the PIA from the appropriate department source.
     8. The E-rate Specialist will review the information with the Deputy Chief of Information Technology.
     9. The E-rate Specialist will forward the requested information to the contracted Agency representative.
     10. The Agency representative will draft a response to the PIA questions.
     11. The CIO or Deputy Chief of Information Technology will review and approve the response to the questions.
     12. The contracted Agency will submit the response to USAC and carbon copy the appropriate District staff members.
     13. All copies will be filed electronically on a secured District website for record in Project Management Office.
     14. After the PIA review process has been completed, USAC issues a Funding Commitment Decision Letter (FCDL) detailing the decisions on the funding request.
  4. Request to Cancel Service or Adjust Funding Request
     1. The District must receive a Funding Commitment Decision Letter (FCDL) before a formal request to adjust or cancel service can be made to USAC.
     2. The District can file E-rate Form 500 for the following reasons:
        1. Adjust the funding service start date listed on the Form 471
        2. Adjust the contract expiration date listed on the Form 471
        3. Cancel the Funding Request Number (FRN)
        4. Reduce the amount of an FRN
     3. The E-rate Specialist and the contracted Agency will receive direction from the CIO or the Deputy Chief of Information Technology as to what FRN’s need modification.
     4. The E-rate Specialist or the contracted Agency will file the Form 500
     5. USAC will issue a Form 500 Notification Letter after the form has been successfully processed.
     6. All copies will be filed electronically on a secured District website for record in Project Management Office.

1. *Service Delivery & Inventory Management*
2. **Service Delivery & Inventory Management**

This section will cover the collaboration between the District’s Technology and Inventory Distribution department to manage technology equipment.

4.1 Inventory and Asset Registry

* + 1. The Inventory Distribution department receives and verifies the packing list against what is received.
    2. The Inventory Distribution department prints out the purchase orders which contains the following information:
       1. School, facility or department name
       2. Budget fund number
       3. Purchase order number
    3. The Inventory Distribution department inputs the following information into the inventory database:
       1. Date received
       2. School, facility or department
       3. Budget fund number
       4. Receiving number
    4. The information is forwarded to the asset tagging team.
    5. The equipment is stenciled or engraved with C.M.S.D and the funding information.
    6. The equipment is assigned an asset tag.
    7. The following information is registered in the Inventory Distribution database for an asset:
       1. Asset tag number
       2. Serial number
       3. Make
       4. Model
       5. Type of equipment
       6. Price
       7. District resolution number
       8. Vendor
       9. Purchase order number
       10. Budget number
       11. Program type
       12. Purchase date
       13. Ordered by
       14. Date received
       15. Use Type
       16. Ship date
       17. Inventory register date and time
  1. Receipt of Service and Installation
     1. Inventory Distribution department creates a shipping bill.
     2. Inventory Distribution department delivers the asset to the site.
     3. A signature is required by the secretary, principal or assistant principal for a school.
  2. Replacement and Upgrade logs
     1. Inventory Distribution receives email notification of unwanted, damaged, or broken equipment by the school.
     2. Inventory Distribution picks up the equipment from the school.
     3. Inventory Distribution assesses the equipment for recondition and redistribution value.
     4. If the equipment is reconditioned or reimaged, the Inventory Distribution department will note in the inventory database the transfer of equipment from one school to another school or department.
     5. If the equipment is damaged or issue is unknown to the Inventory Distribution department, it is removed from the inventory database and placed on the 2nd floor and basement of Woodland Data Center.

*5. Invoicing and Payments*

**5. Invoicing and Payments**

This section will detail the life cycle of receiving the customer invoice after the service is completed or the product is delivered to the District.

* 1. Customer Billing
     1. Customer billing is delivered via electronic E-mail, USPS, or retrieved from the customer’s interactive service website.
     2. The Specialist/Budget Analyst will receive the invoice.
     3. The Specialist/Budget Analyst will stamp the invoices received with an approval line for the Telecommunication Specialist for Telecom services and the Executive Director of IT Operations for Managed Broadband/Network Services to initial/approve.
        1. The Telecommunication Specialist will review all telecommunication invoices for addition and deletion of services and the Executive Director of IT Operations for Service Level targets.
        2. The Telecommunication Specialist will review address changes.
        3. The Telecommunication Specialist will review for correct usage amount of service, product and/or any inconsistencies per the contract.
        4. The Executive Director of IT Operations will review response and resolution time objective defined by the contract, the District and Service Provider.
        5. The Executive Director of IT Operations will review any inconsistencies per the contract, including but not limited to site billing, general services, etc.
     4. The Telecommunication Specialist and Executive Director of IT Operations will return the invoice to the Specialist with an approval for payment.
     5. The Specialist/Budget Analyst will send the customer invoice to Accounts Payable via E-mail for payment.

Discrepancies with Invoices

* + 1. If there are discrepancies with the telecom or managed broadband/network service invoices, the Telecommunication Specialist or Executive Director of IT Operations will reach out to the vendor for clarification and resolution based on the contract.
    2. The Telecommunication Specialist/ Executive Director of IT Operations will track the communication of the initial contact to the resolution of the invoice issue while keeping Executive Director of IT Operations, E-rate Specialist, Specialist/Budget Analyst, and Director of PMO updated.
    3. For telecom discrepancies, the Telecommunication Specialist will escalate the discrepancy of service or product to the Executive Director of IT Operations for assistance in the final resolution.
    4. The Telecommunication Specialist/Executive Director of IT Operations will attach the supporting communication of the discrepancy and resolution with the invoice.
    5. The Telecommunication Specialist/Executive Director of IT Operations will return the invoice with initials/signatures approving to submit for payment to the Specialist/Budget Analyst.
  1. Reconciliation Documentation
     1. The Specialist/Budget Analyst will print a posted invoice record or payment record from Workday.
     2. The Specialist/Budget Analyst will record the invoice date, invoice amount, District’s E-rate discount and non-discount amount, and the date of the payment in a spreadsheet.
     3. The Specialist/Budget Analyst will look for any suspicious changes from the established pattern.
     4. The Specialist/Budget Analyst will validate the invoices are consistent with the contract.
     5. All copies will be filed electronically on a secured District website for record in Project Management Office.
  2. E-rate Invoicing
     1. The District will receive a Funding Commitment Decision Letter (FCDL).
     2. The District will file FCC Form 486.
     3. The District will file FCC Form 472 (BEAR), if it has agreed to pay invoices in full and has agreed to be reimbursed by the discounted amount.
        1. The service provider must approve the BEAR form before the District submits it to USAC.
     4. If the District has entered into an agreement with the service provider to get discounted invoices, the service provider will file FCC Form 474.
     5. Under both methods, USAC will review and process a payment to the service provider.
     6. The BEAR form must be filed and service provider must approve the form no later than 120 days after the Form 486.
  3. Requesting an E-rate Invoice Extension
     1. Extension must be requested on or before the original service delivery deadline. Conditions that are acceptable for an E-rate Invoice Extension:
        1. Service provider changes
        2. Service substitutions
        3. Untimely USAC notice
        4. USAC error that result in a late invoice
        5. Documentation that requires the 3rd party contact or certification
        6. Natural or manmade disasters
        7. “Good Samaritan” BEAR Forms
        8. Circumstances beyond the service provider’s control
     2. Send a letter to USAC detailing your request for an extension
     3. List the following information in the request
        1. Contact person name
        2. Contact information such as email address
        3. FCC Form 471 Application Number
        4. Funding Request Number (FRN)
        5. Service Provider Name
        6. Service Provider Identification Number (SPIN)
        7. Amount of Invoice
     4. Request may be files by mail, fax or email.
  4. Document Retention
     1. USAC requires the entities to maintain records of telecommunications and other E-rate discounted supported services for ten (10) years after the last day of service delivered for a particular funding year.
     2. The E-rate Specialist/Project Manager will retain the following documents as part the program:
        1. RFP(s) – publication date, bid evaluation criteria and weighting, bid evaluation worksheets, any written correspondence between the prospective bidder and the District regarding products/services, all bids submitted, and any documents related to the selection of the service provider.
        2. Contracts – executed contracts (signed and dated by parties), all amendments and addendums to the contract and any agreements relating to E-rate arrangements.
        3. Application process – all documents relied upon to submit the Form 471, including the Enrollment-Student by Grade Report supporting the discount percentage and all documents used to support the Item 21.
        4. Purchase and Delivery of Services – documents related to the purchase and delivery of E-rate eligible services and equipment, purchase requisitions, purchase orders, packing slips, delivery and installation records.
        5. Invoicing – all invoices and proof of payment.
        6. Inventory – asset and inventory records of equipment purchased and components of supported internal connections service to verify the location of equipment. Detailed records of any transfer of equipment within three (3) years after purchase and the reason for such a transfer.
        7. Program Compliance – all programs forms, attachments, PIA, Selective Review, Invoicing Review, SPIN change documents and any other request submitted to USAC.

*6. USAC Forms and Certifications Instructions*

**The Following Forms and their instructions are located on the USAC website, www.usac.org:**

**Form 470: Services Requested and Certification Form**

**Form 471: Services Ordered and Certification Form**

**Form 472: Billed Entity Applicant Reimbursement Form**

**Form 486: Receipt of Service Confirmation Form**

**Form 500: Adjustment to Funding Commitment and Modification to Receipt of Service Confirmation**

*7. Change Requests and Appeals*

**7. Change Requests and Appeals**

This section will give direction on how to file an appeal based on a USAC decision or seeking a waiver of FCC rules and what information is needed. There are a number of actions needed during the application process that are required to ensure proper invoicing and payment.

* 1. Appeal Request
     1. The E-rate Specialist or contractor will compose a letter of appeal. The following is required in the letter:
        1. Contact information including name, address, telephone number, email address of the person who can discuss the details with USAC
        2. Provide the documentation of USSAC’s decision
        3. Include supporting documents
        4. Identify the reason for the appeal
        5. Explain the relief requested in the appeal
     2. The District will receive an acknowledgment from USAC upon receipt of the appeal
     3. USAC will respond in writing with its decision
  2. Service Substitution Request. Changes in the technical components specified in the Item 21 attachment for an FCC Form 471
     1. Service substitution must meet specific FCC rules:
        1. Must have the same functionality as the service or product contained in the original proposal
        2. Does not violate any state or local procurement laws
        3. Does not result in an increase in the percentage of ineligible services or functions
        4. Change is within the scope of the controlling FCC Form 470, or RFP for the original service
     2. The E-rate Specialist will include the following information on official District letterhead:
        1. Applicant name
        2. Billed Entity Number (BEN)
        3. FCC Form 471 application number
        4. Name of submitter
        5. Title of submitter
        6. Submitter phone number
        7. Submitter mailing address
        8. Submitter email address
        9. Substitution service or equipment list
           1. A From and To list – original approved part or service to the change part or service. It is include manufacturer, model number, description, cost and quantity for each line item.
           2. Original commitment amount per FRN.
           3. Revised commitment amount (if changed) – If the requested substitution involves a decrease in cost. The new monthly recurring and annual cost must be provided so the funding commitment can be adjusted. If there is an increase in pre-discounted cost of an eligible item, the request will be funded at the original approved amount.
           4. The following certifications: *“I certify: that the substituted products or services have the same functionality as that contained in the original proposal, that the substitution does not result in an increase in the percentage of ineligible services or functions, that the requested change is consistent within the scope of the establishing controlling FCC Form 470, including and any Requests for Proposal for the original services”.*
     3. The E-rate Specialist will submit to the Executive Director of IT Operations for review.
     4. After the review, the Deputy Chief of IT will review and sign the request.
     5. The E-rate specialist has the options of faxing, emailing or sending the request by USPS mail.
     6. The fax number, email link for “Service Substitutions and the mailing address can be found on USAC’s website.
  3. SPIN Changes

**Corrective SPIN Changes** is associated with a FRN is not correct and is made by a data entry error or a change that occurred that was not initiated by the District. **Operational SPIN Changes** is a request to change the service provider associated with the FRN. This is usually a decision by the District to change the service provider supplying the service for an FRN. Before you request either request, wait until you receive the Request Acknowledgement Letter (RAL)

* + 1. ***For Corrective SPIN Changes:***
    2. The E-rate Specialist will make the requested changes on a copy of the RAL next the line of the incorrect information (SPIN and service provider name)
    3. The E-rate Specialist will note on the RAL one of the following reasons for the change:
       1. Data Entry Correction
       2. Merger/acquisition correction
       3. Correction due to a change not initiated by the District – a brief explanation should be provided of the circumstance
    4. The E-rate Specialist will make sure the contact information is correct at the beginning of the letter.
    5. The E-rate Specialist will send the marked up RAL by fax or US mail.
    6. The fax and mailing information is on USAC’s website.
    7. **Note: Corrective SPIN change request after the Commitment must be in writing.**
    8. ***For Operational SPIN Changes:***
       1. The change is allowed under the State and local procurement rules.
       2. The change is allowed under the terms of the contract with the original service provider.
       3. The District has notified the original service provider of its intent to change providers.
       4. The reason is legitimate (ex: breach of contract or contractor is unable to perform the service).
       5. The newly selected provider received the next highest rating in the original bid evaluation.
       6. The request must be postmarked or received no earlier than the date of the FCDL and no later than the last date to submit an invoice for that FRN.
       7. The following information is needed in writing for both Operational SPIN change and the Corrective SPIN change after the commitment:
          1. Billed Entity Number (BEN)
          2. Applicant Name
          3. Funding Request Number (FRN)
          4. FCC Form 471 application number
          5. Applicant contact
          6. Applicant phone number
          7. Applicant email address
          8. Original SPIN
          9. Original service provider
          10. Original service provider contact
          11. Original service provider email
          12. New SPIN
          13. New service provider
          14. New service provider contact
          15. New service provider phone number
          16. New service provider email address
          17. If the new service has provided service under the FRN, the District must provide the following information:

Monthly pre-discount amount for original service provider

Monthly pre-discount amount for new service provider

Effective date of change

Last day of service for new service provider

* + 1. The Director of IT Operations will review the changes.
    2. The Deputy Director of IT will sign the letter
    3. The E-rate Specialist will send the request by fax, email or U.S. mail along with the final bid evaluation worksheet.
  1. Invoice Deadline Extension Request. If the District or service provider has missed the deadline for submitting an invoice, they must request an extension before a new invoice can be submitted
     1. An extension may be considered for the following reasons:
        1. Authorized service provider changes
        2. Authorized service substitutions
        3. Untimely USAC notice
        4. USAC errors
        5. Documentation requirements that require third party contact or certification
        6. Natural or man-made disasters
        7. Good Samaritan BEAR forms
        8. Circumstances beyond the service provider’s control
     2. The following information is require on the District’s letterhead detailing the request:
        1. Contact person name
        2. Contact information (including email address)
        3. FCC Form 471 application number
        4. Service provider name
        5. Service Provider Id Number (SPIN)
        6. USAC – assigned Invoice Number (if known)
        7. Amount of Invoice
     3. The E-rate Specialist can submit the request by fax, email or U.S. mail.
     4. The USAC website has the fax, email link and U.S. mailing address information under Schools and Library Division.
  2. Service Delivery – Recurring services must be delivered July 1 through June 30. Extensions for delivery and installation of non-recurring services can occur for various reasons:
     + 1. Funding Commitment Decision Letter (FCDL) is issued after March 1.
       2. Operational SPIN change or service substitution are approved after March 1.
       3. Service provider was unable to complete delivery and installation beyond their control.
       4. Service provider is unwilling to complete delivery of installation after USAC withheld payment on a properly submitted invoice for more than 60 days.
     1. USAC will automatically extend the service delivery deadline for the first 2 reasons.
     2. The last 2 reasons, the E-rate Specialist must file an FCC Form 500 on or before the last date to receive service to request an extension.
  3. Transfer of Equipment Notification
     1. Eligible products and service purchased with SLD E-rate funds cannot be sold, resold or transferred for money or anything of value, with the following exceptions:
        1. Applicants can dispose of obsolete equipment for payment 5 years after the installation.
        2. Equipment can be transferred 3 years after the purchase but only to another eligible school site.
        3. Equipment can be transferred from a closed location to other eligible school sites within 3 years the date of purchase.
        4. When transferring equipment from a closed school site, the E-rate Specialist must notify USAC of the transfer and must maintain detailed records of the transfer and reason for the transfer for 5 years from the date of the transfer.
        5. The E-rate department must maintain records documenting the transfers that occur less than 5 years after the installation and the reason for the transfer for 5 years from the date of the transfer.
        6. To transfer equipment less than 3 years after purchase, the E-rate Specialist needs to FCC Form 500 after the transfer.
     2. For school closings and transfer of equipment, the District’s Helpdesk or Managed Broadband Service provider will de-install the equipment and move it to Woodland Data Center or a secured room in the Technology department.

*8. Miscellaneous*

1. **Miscellaneous**

**Building Project Request**

* 1. New School Technology- Includes Audio, Visual and Network Cabling
     1. A ticket is opened in Footprints by school or administrative personnel and assigned to the New School Technology queue.
     2. The Department of Information Technology (DoIT) Project Manager (PM) and the technology/electrical contractor get an email from FootPrints.
     3. If necessary, a site visit is scheduled to determine the scope of work. Depending on the request, these visits determine such things as installation location within a room, room configuration for network cabling, electrical needs, and required network switch size.
     4. The technology contractor sends a quote to the PM.
        1. If the quote is greater than $6,000, the PM solicits quotes from two additional technology contractors. The lowest quote that meets the requirements will be used.
        2. For schools, the PM forwards the quote to Capital Programs for a fund number, and Finance for a budget number.
     5. The Project Management Office (PMO) submits the fund and budget numbers in Workday.
     6. When the PMO receives the approved Supplier Contract from Workday, it is sent to the contractor who orders the materials and schedules the work.
     7. After the work is completed, the contractor sends the invoice along with completion documentation (signoff form, test results if applicable, etc.)
     8. The PM signs the invoice and forwards it to Finance for payment.
     9. The PM closes the ticket.
  2. Audit Documentation - **Schools and Libraries Program Documentation for Auditors Eligibility** 
     1. Documentation to support eligibility, such as:
        1. For schools - Accreditation, Charter, or other documentation that supports that the Block 4 entities meet the definition of Elementary or Secondary School
        2. For libraries – Documentation that shows the Block 4 entities are eligible to receive funds from a State library administrative agency under the Library Services and Technology Act (LSTA)
        3. For non-public schools or libraries – documentation that supports that the school or library is a non-profit entity
     2. Competitive Bidding
        1. Documentation to support competitive bidding, such as:
           1. Copies of state and local procurement regulations and procedures, if applicable
           2. Copy of procurement policy and/or procedure
           3. Overview of the service provider selection process including criteria and weighting of the criteria
           4. RFPs issued
           5. Copies of all bids received (winning and losing)
           6. Written correspondence between the applicant and any prospective bidders
           7. Bid evaluation documentation including evaluation worksheets
           8. Meeting minutes, sign-in sheets, and/or meeting agendas where bid evaluation was discussed
           9. Contracts for supported services
           10. List of all service providers supplying discounted services including contact information
           11. Documentation of any SPIN change request including copy of notice to original service provider
           12. Documentation to support that the selected services and/or equipment was cost effective
           13. Any other available documentation concerning bid evaluation
     3. Discount Calculation
        1. Documentation to support the discount calculation, such as:
        2. Documentation to support the discount calculation, such as:
        3. Supporting worksheets or reports that are used to populate Block 4 discount calculation information generated from the Student Information System (SIS)
           1. Request the Enrollment-Student by Grade report (snapshot between October 15-20) from the Senior Systems Analyst that is submitted to the State of Ohio weekly
           2. Request the Enrollment-Student by Grade on school letterhead (snapshot between October 15-20) from the Principals or the Program Coordinator of the residential schools.
           3. Request the Enrollment-Student by Grade on school letterhead (snapshot between October 15-20) from the Principal of the school building the State of Ohio recognizing as one student enrollment population but student population resides in multiple locations
           4. Submit the report to Funds For Learning, Erate consultants
           5. All copies be filed electronically on a secured District website for record in Project Management Office
     4. School Site Validation
        + 1. The IT Project Manager for school openings and closings will review the previously list of schools submitted to Erate for the following changes:

School closings

New school openings

Swing site buildings (Erate annexes)

Building name changes

Correct addresses

Misspellings

* + - * 1. If needed, the Erate specialist will request the Deputy Chief of Capital Programs review and validate the changes
        2. The changes will be noted and highlighted on the school list
        3. The school list will be submitted to Funds For Learning

If available, Funds For Learning will validate the list of state using the State of Ohio’s Department of Education school list report

* + - * 1. All copies will be filed electronically on a secured District website for record in Project Management Office
    1. Disbursements
       1. Documentation to support disbursements, such as:
          1. Detailed procedures for validating and processing service provider bills and submitting invoices to USAC (if applicable)
          2. Copies of service provider bills for supported services
          3. Reconciliation by FRN of service provider bills to invoices submitted to USAC (if applicable)
          4. Documentation of payment (canceled checks) for services to service providers
          5. Documentation showing receipt and deposit of any reimbursement amounts received
    2. Children's Internet Protection Act (CIPA)
       1. Documentation to support compliance with CIPA, such as:
          1. Copy of the Internet safety policy or acceptable use policy
          2. Documentation of the adoption of the Internet safety policy
          3. A copy of the minutes and the date of the public hearing regarding the Internet safety policy
          4. A description of the Technology Protection Measure used
          5. A copy of a report (if applicable) from the Technology Protection Measure for the Funding Year(s) subject to audit
          6. Copies of Forms 479, Certification by Administrative Authority to Billed Entity of Compliance with the Children's Internet Protection Act (CIPA) and/or Forms 486, Receipt of Service Confirmation, as applicable
    3. Services
       1. Documentation to support services, such as:
          1. Summary of the technology environment and a high-level network diagram
          2. Summary of the use of the supported service and/or equipment
          3. Any other documentation on the services (such as training and workstations) necessary to make effective use of Schools and Libraries Program discounts
          4. List of Schools and Libraries Program supported services and/or equipment including references to vendor bill, USAC invoice, serial number, and current physical location
          5. Documentation verifying date of receipt of services and/or equipment
          6. For Basic Maintenance of Internal Connections – documentation to support that the funded service was received
          7. Documentation to support any service substitutions
    4. Other
       1. Copies of all forms submitted to USAC and all letters/notifications received from USAC
          1. Reports of any other audits conducted that relate to either the Schools and Libraries program or the National School Lunch Program (NSLP)
          2. Copies of financial statements and annual budgets for the Funding Year(s) under review
          3. Copy of the records retention policy
          4. List of individuals including staff, service providers, and consultants that work on Schools and Libraries Program funding requests, as well as their roles and responsibilities
          5. Any correspondence from or to USAC, the FCC, potential service providers, or any individuals listed above
          6. For consortia, letters of agency
    5. Additionally, you should have the following people available to answer questions:
       1. Person who managed the bidding and award process
       2. Person who reviews and approves vendor bills
       3. Person who prepares invoices
       4. Person who writes checks, makes deposits, and reconciles the bank account
       5. Person knowledgeable about the network and the location of equipment
  1. Definitions

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| --- | --- |
| **Term** | **USAC Definition** |
| 1st Demand Letter | The initial letter sent by USAC to recover funds from applicants or service providers who have committed program rule violations. |
| 28--Day Posting Period | The time period an applicant is required to wait after posting the FCC Form 465 or FCC Form 461 (RHC) or FCC Form 470 (SL) before entering into any contract with a service provider. The purpose is to ensure a fair and open competitive bidding process for service providers. |
| 2nd Demand Letter | A follow-up letter to a 1st Demand Letter sent by USAC in an attempt to recover funds from applicants or service providers who have committed program rule violations. |
| Administrative Authority | The relevant authority with responsibility for administration of the eligible school or library who must certify the status of the entity’s compliance with the Children's Internet Protection Act (CIPA) in order to receive universal service support. |
| Allowable Contract Date (ACD) | Month-to-month (MTM) services with a service provider. This date is always 28 days from the posting of the FCC Form 470 and/or the public availability of the RFP (if one is issued), whichever is later. |
| alternative discount mechanisms | Schools that choose not to use the National School Lunch Program (NSLP) participation numbers to calculate their E-rate Program discounts may use certain federally-approved alternative mechanisms instead. These alternative discount mechanisms are not less stringent than the same measure of poverty established for the NSLP. |
| appeal | An appeal is a request to reconsider a USAC decision. Appeals can be made to either USAC or the FCC. Appeals must be filed within 60 days of the original USAC decision. Requests for waivers of rules must be filed directly with the FCC. |
| applicant | The entity applying for universal service support. In the Schools and Libraries Program the entity is a school, library, consortium, or other eligible entity that files program forms. In the Rural Health Care Program the entity is a health care provider or consortium. |
| audit | A review of documentation and resources that verify the state of compliance with program rules. |
| Basic Maintenance of Internal Connections (BMIC) | A category of service on the Eligible Services List. Basic Maintenance of Internal Connections services cover the repair and upkeep of eligible products. Eligible repair and upkeep services include hardware, wire, and cable maintenance, along with basic technical support and configuration changes. The products must be eligible for discounts in order for their associated repair and upkeep services to be eligible. |
|  | A basic terminating component, which is normally located on a customer’s premises, is necessary to receive an end-to-end service because it provides translation of the digital |
| BEAR | See FCC Form 472. |
| BEAR Notification Letter | A BEAR (FCC Form 472) Notification Letter is sent to the service provider and the applicant after a BEAR form has been processed by USAC. |
| BEN | See Billed Entity Number." " |
| Beneficiary and Contributor Audit Program (BCAP) | Run by USAC, and carried out by auditors trained in universal service and program audit requirements, these audits of beneficiaries and contributors serve to identify noncompliance with program rules and amounts of recoverable funds. |
| bid | A response from a service provider (bidder) to a request for services. |
| Billed Entity | The entity that receives the bill and pays for the supported service. A Billed Entity may be different from the physical location being supported. |
| Billed Entity Number (BEN) | The unique number assigned by USAC to each billed entity (school, library, or consortium) that pays for services. |
| Block 4 worksheet | The FCC Form 471 is divided into six blocks. In a Block 4 worksheet, the applicant lists the entities receiving services and establishes the appropriate discount level. |
| Block 5 funding request | The FCC Form 471 is divided into six blocks. In a Block 5 funding request, the applicant provides details about services requested including service provider, category of service, and cost. |
| Board of Directors | USAC Board of Directors |
| Bundled Services Cost Allocation | Beginning with FY2015, E-rate Program recipients must cost allocate non-ancillary ineligible components that are bundled with eligible products or services, such as handsets |
|
|
| Category One Services | Services used to connect broadband or Internet to eligible locations, or services that provide the basic conduit access to the Internet. Telecommunications Services, Internet Access, and voice services are Category One services. |
| Category Two Budget | Applicants applying for Category Two services in FY2015 or FY2016 will be able to request discounts up to $150 per student pre-discount per school, up to $2.30 per square foot pre-discount per library, or minimum (floor) of $9200.00 per school or library over a five-year period. |
| Category Two Services | Internal connections services needed to enable high-speed broadband connectivity and broadband internal connections components. Category Two includes local area networks/wireless local area networks (LAN/WLAN), eligible broadband internal connections components, basic maintenance of eligible broadband internal connections components, and managed internal broadband services. |
| Chief Financial Officer (CFO) | Corporate officer responsible for financial operations. |
| Children’s Internet Protection Act (CIPA) | A law that mandates certain Internet safety policy and filtering requirements for recipients of E-rate Program discounts for services other than telecommunications services. |
| Commitment Adjustment (COMAD) | The process by which a funding commitment is reduced because of program rule violations. |
| Commitment Adjustment Letter (CAL) | This letter notifies both the applicant and the service provider of a COMAD. It contains a Funding Commitment Report which lists the Funding Request Numbers (FRNs) affected by the COMAD. |
| Community Eligibility Option (CEO) | An alternative provision to the normal requirements for annual determinations of eligibility for free and reduced price meals under the National School Lunch Program. |
| competitive bidding process | A requirement for applicants participating in the Rural Health Care or Schools and Libraries programs. The applicant conducts the process to select a service provider and order products and/or services. This process must be a fair and open competitive procurement. |
| consortium | A consortium (plural consortia) is a group of entities that apply together for funding. |
| consultant | A company or individual (non-employee of the entity) selected to perform certain activities related to the application process on behalf of the applicant or service provider for a fee. A Letter of Agency (LOA) or consultant agreement must be in place before the consultant undertakes these activities. |
| contract award date (CAD) | The date the contract is awarded to the service provider and signed by the applicant. Program rules state that this must be at least 28 days after an applicant posts FCC Form 465 or FCC Form 461 (RHC) or FCC Form 470 (SL). |
| Contract Expiration Date (CED) | The date the contract between the applicant and service provider ends. |
| contributor | A company that, based on the revenue reported on the FCC Forms 499-A/Q, is required to pay contributions directly to the universal service fund. |
| corrective SPIN change | A change to the SPIN featured on one or more FRNs that corrects a data entry error, reflects a merger or acquisition, or fixes some other type of error. It is not the result of a change to the actual service provider. |
| Data Retrieval Tool (DRT) | A web based USAC tool used to access information related to applications, funding commitments, and disbursements. |
| Debt Collection Improvement Act (DCIA) | Service fund are subject to the DCIA. In the event that a balance becomes over 120 days past due, (or 90 days past due for service providers), USAC will transfer the debt to the |
| delegated users | The employee(s) of a service provider company authorized to enter and modify company information on FCC Forms 498 and 499 through the E-File application. |
| demarcation or demarc | A demarcation refers to the point where a service provider’s network ends and where an applicant’s local area network (LAN) begins. |
| direct connections | Direct connections allow rural schools and libraries to share access to high-speed broadband services. |
| discount calculation section | The section of the FCC Form 471 where the applicant lists the entities receiving services and establishes the appropriate discount level. |
| district wide discount rates | Starting with FY2015, all funding requests for any school or combination of schools within a school district qualify for a single school-district wide discount rate. |
| document retention | Applicants and service providers must retain documentation related to the application for, receipt, and delivery of discounted services for at least 10 years from the last date of service delivery. |
| e-certification (E-Cert) | Process that allows applicants to certify and submit forms online, eliminating the need for a paper form with an original signature. |
| Educational Service Agency (ESA) | A regional public multi-service agency authorized by state statute to develop, manage, and provide services or programs to its component school districts. In some states, ESAs are called Educational Service Units (ESUs), Local Educational Agencies (LEAs), Board of Cooperative Educational Services (BOCES), or other similar designations. |
| E-File | USAC is online forms submission tool, available at https://forms.universalservice.org. |
| eligible broadband internal connections components | Broadband distribution services and equipment needed to deliver broadband, a service eligible for E-rate Program support starting in FY2015. |
| eligible entity | An entity, in the Rural Health Care Program or Schools and Libraries Program that meets the requirements for eligibility to participate in the program. |
| eligible managed internal broadband services | The operations, management, and/or monitoring of eligible broadband internal connections components by a service provider, a service eligible for E-rate Program support starting in FY2015. |
| eligible services | Products and services that are eligible for universal service support. |
| Eligible Services List (ESL) | An FCC-released annual list of the products and services approved for funding by the FCC under the Schools and Libraries Program. The FCC seeks public comment on this list every year. |
| eligible telecommunications carrier (ETC) | A designation given to telecommunications service providers by their state public utility commissions or the FCC, enabling them to participate in universal service programs. |
| end-user equipment | Equipment located on school or library premises which staff members would use to access phone and/or Internet services: e.g., telephone handsets, cell phones, computers, and fax machines. End-user equipment is not eligible for E-rate Program discounts. |
| E-rate Modernization Order | The FCC Report and Order that modernized the E-rate Program and focused on high-speed broadband connectivity to schools and libraries (FCC 14-99). |
| E-rate Productivity Center (EPC) | EPC is the account and application management portal for the Schools and Libraries (E-rate) Program. Applicants, consultants, and service providers participating in the E-rate Program use this tool to manage program processes and to submit questions. |
| E-rate Program | The common term used in place of the Schools and Libraries Program. The E-rate Program provides discounts to schools and libraries for eligible products and services. |
| FCC Form 470 | The Description of Services Requested and Certification Form is an FCC form that schools and libraries complete to request services and establish eligibility. The completed form is posted to USAC’s website for potential bidders to review, which opens the competitive bidding process for services desired that are eligible for discounts under the E-rate Program. |
| FCC Form 471 | The Services Ordered and Certification Form is an FCC form that schools and libraries use to report services ordered and discounts requested for those services. |
| FCC Form 471 Filing Window | The period generally between mid-November and mid-February, (prior to the start of the funding year) when forms filed are treated as having been received on the same day and are considered for funding before any other forms filed after the window closes. |
| FCC Form 472 (BEAR) | The Billed Entity Applicant Reimbursement Form is an FCC form that schools and libraries submit to USAC after paying for services in full, to request reimbursement from the service provider for the discount on those services. |
| FCC Form 473 (SPAC) | The Service Provider Annual Certification Form is an FCC form that service providers file annually to certify that they will comply with program rules and guidelines. This must be filed before USAC will pay invoices. |
| FCC Form 474 (SPI) | The Service Provider Invoice Form is an FCC form that service providers submit to request reimbursement for discounted eligible services already provided to the schools or libraries on their customer bills. |
| FCC Form 479 | The Certification by Administrative Authority to Billed Entity of Compliance with the Children’s Internet Protection Act Form is an FCC form that schools and libraries submit to certify that they are in compliance with the Children’s Internet Protection Act. |
| FCC Form 486 | The Receipt of Service Confirmation Form is an FCC form that schools and libraries file to inform USAC that services have begun, to provide the status of their technology plan approval, and of CIPA compliance. |
| FCC Form 486 Notification Letter | This letter is issued by both the applicant and service provider to indicate that an FCC Form 486 has been successfully processed. |
| FCC Form 500 | The Adjustment to Funding Commitment and Modification to Receipt of Service Confirmation Form is filed by schools and libraries to notify USAC of reductions to or cancellations of approved FRNs and/or changes to reported Service Start Dates or Contract Expiration Dates. |
| Federal Communications Commission (FCC) | The U.S. government agency that regulates interstate and international communications and oversees the universal service fund. In 1997, the FCC designated USAC to be the independent not-for-profit corporation to administer the universal service fund in accordance with its rules. |
| Funding Commitment Decision Letter (FCDL) | A letter that contains USAC’s funding decisions on an applicant’s funding requests. |
| Funding Request Number (FRN) | A unique number that USAC assigns to each funding request in a completed FCC Form 466 (RHC), FCC Form 462 (RHC), or FCC Form 471 (SL) application. This number can be found in an applicant’s FCDL or FCL. |
| funding year (FY) | In the Rural Health Care and Schools and Libraries programs, the funding year is a time during which program support is being provided. The FY begins July 1 and ends June 30 of the following calendar year. |
| General Contact | The employee of a service provider company who filled out the FCC Form 498. This individual is listed on Line 8. The latest General Contact on file has access to submit and modify data in the E-file system, and to create delegated or authorized users. |
| Generally Accepted Auditing Standards (GAAS) | Standards promulgated by the Auditing Standards Board (ASB) of the American Institute of Certified Public Accountants (AICPA) These standards are recognized by state boards of accountancy and the SEC. GAAS consists primarily of 10 standards and accompanying statements on auditing standards. |
| Generally Accepted Government Auditing Standards (GAGAS) | The standards that apply to all government audits and will apply to audits of the fund and fund recipients effective with the Government Accounting Order. |
| Internal Connections | A category of service on the Eligible Services List. Internal Connections services are eligible products, such as routers, switches, hubs, and wiring. Eligible products are located at the applicant site and must be considered a necessity to transport information to classrooms or publicly accessible areas of a library. Product eligibility does not include services that extend across a public right-of-way beyond the school or library facility. Starting with FY2005, under the Two-in-Five Rule, eligible entities can only receive discounts for internal connections in two of every five funding years. |
| Internet Access | A category of service on the Eligible Services List. Internet Access services are eligible basic conduit access to the Internet. Ineligible access includes content, equipment purchases, or other services beyond basic conduit access. However, selected services that are an integral component part of an Internet access service, (and other services designated as eligible by the FCC) may be eligible for discounts on interconnected VoIP, email service, and web hosting. |
| Internet service provider (ISP) | A company that provides Internet access service (also referred to as a service provider). |
| invoice | A statement or document that service providers submit to USAC after they have provided or completed service to the applicant. Invoices are submitted using FCC Form 474 (SL) or an FCC Form 463 invoice template (RHC). |
| invoice status report (ISR) | A USAC generated report sent to service providers upon receipt of the service provider’s invoices. The report breaks out which invoice line items were accepted and denied. |
| Item 21 Attachment | The Item 21 Attachment to FCC Form 471 provides details on the products or services requested in FRNs that appear on the form. |
| legally binding agreement | A written offer from a service provider and acceptance from the applicant that includes all the material terms and conditions and is legally binding. |
| Letter of Agency (LOA) | A Letter of Agency (LOA) authorizes a consortium leader to apply for program support on behalf of each consortium member or a consultant to conduct specified activities on behalf of an applicant or service provider. |
| local area network (LAN) | A voice, data, and/or video network that provide connections generally within an eligible school or library to other locations within the school or library. |
| ministerial and clerical errors | Sometimes known as M&C, errors made in E-rate Program forms that can be corrected after the forms are submitted to USAC. |
| National School Lunch Program (NSLP) | This program provides school lunches to eligible students at a free or reduced rate. |
| News Brief | A weekly newsletter that provides up-to-date program information, including important dates, tips regarding the application process, and other breaking news. |
| No Child Left Behind Act | The No Child Left Behind Act, 20 U.S.C. Section 7801 et seq., provides the statutory definition of elementary and secondary schools. |
| non-discount portion | The non-discount portion (also called non-discount share) is the applicant’s share of the cost of the eligible E-rate Program products and services, i.e., the cost to be paid by the applicant after the E-rate Program discount is applied. |
| non-instructional facility (NIF) | A school building without classrooms or a library building without public areas. Examples of school NIFs include administrative buildings, bus barns, and cafeteria facilities. Examples of library NIFs include administrative buildings, bookmobile garages, and interlibrary loan facilities. |
| Notice of Inquiry (NOI) | Adopted by the Commissioners primarily for fact-gathering; which is a way to seek comments from the public or industry on a specific issue. |
| Notice of Proposed Rulemaking (NPRM) | An announcement issued by the FCC to detail proposed changes to FCC rules and policies and seek public comment on the changes. |
| Office of Inspector General (OIG) | A division of the FCC that provides independent and objective audits and investigations relating to agency programs and operations. |
| Online BEAR | The online version of FCC Form 472. |
| On-Premise Priority 1 Equipment | Equipment owned by a service provider but located at an applicant site. This equipment can be funded as Priority 1 if it meets the conditions of the Tennessee Test. |
| operational SPIN change | A change to the SPIN featured on one or more FRNs made as a result of a change to the actual service provider. |
| Payment Quality Assurance (PQA) Program | USAC’s own program, created to comply with IPIA, which assesses specific payments made to beneficiaries in all four programs to determine if these payments were made in accordance with FCC rules. Using results of these assessments, USAC calculates estimates of improper payment rates and provides this information to the FCC. |
| Personal Identification Number (PIN) | A code assigned to a specific authorized person at a specific billed entity to allow online form certification. |
| preferred master contracts | Master contracts designated by the FCC that are nationwide contracts that offer Category Two equipment. |
| Preparer | The employee of company that filed an FCC Form 499-A/Q. This individual is listed on the FCC Form 499-Q Line 108 and FCC Form 499-A Line 203. The latest preparer on file has access to submit and modify data in the E-File system. |
| pricing transparency | Provides greater visibility into pricing and technology choices by applicants. Information and pricing regarding the specific services and equipment purchased by schools and libraries shall be publicly available on USAC’s website. |
| Priority 1 (P1) or Priority One | Telecommunications services, Internet Access, and Telecommunications are known collectively as Priority 1, since they are considered primary and were funded first for funding years prior to 2015. |
| Priority 2 (P2) or Priority Two | Internal Connections and Basic Maintenance of Internal Connections are collectively known as Priority 2, since they were funded after Priority 1 services beginning with the applicants at the highest discount levels for funding years prior to 2015. |
| Program Integrity Assurance (PIA) | The compliance review process completed before funding commitments are made by USAC. |
| Public Notice (PN) | A notice issued by the FCC to notify the public of an action taken, a change made, or an upcoming event. |
| Quarterly Disbursement Report | A report issued by USAC to the applicant detailing all invoicing activity (BEARs and SPIs) for all funding years that occurred during the previous quarter. |
| Receipt Acknowledgment Letter (RAL) | Issued by USAC to both the applicant and service provider to indicate that a filed FCC Form 471 has been received before the deadline and certified to allow ministerial and clerical corrections. |
| Receipt Notification Letter (RNL) | The FCC Form 470 Receipt Notification Letter (RNL) is a letter issued by USAC to notify applicants that the FCC Form 470 has been successfully posted. |
| remand | Action taken by the FCC to return applications to USAC for further review. |
| Request for Proposal (RFP) | A form of solicitation for products or services that provides detailed information regarding those products or services and any additional details necessary for potential bidders to respond. Program applicants may incorporate RFPs in addition to the FCC Form 465 (RHC) or FCC Form 470 (SL). |
| Revised Funding Commitment Decision Letter (RFCDL) | A letter issued by USAC to applicants and service providers when changes to a funding commitment occur, usually as the result of a successful appeal. |
| Schools and Libraries Program (SL) | One of the four universal service programs administered by USAC. |
| Selective Review | A detailed compliance review in addition to the normal PIA review that certain applicants must undergo before funding commitments can be issued. |
| Selective Review Information Request (SRIR) | The request for information sent to applicants when they have been chosen for Selective Review. |
| Service End Date | The date that services will end for an FRN. USAC may adjust this date if a program violation is identified or a deadline is missed. |
| service provider | A company that participates in one of four universal service programs and provides telecommunications or Internet services, equipment, hardware, or software. Types of companies include but are not limited to: competitive access/competitive local exchange carriers (cellular, personal communications, or specialized mobile radio providers), incumbent local exchange carriers, interexchange carriers, Internet service providers, interconnected VoIP, local resellers (coaxial cable, non-]traditional, operator, paging, messaging, payphone, prepaid card, private and satellite service providers), shared-tenant service providers or building local exchange carriers, SMR (dispatch), toll resellers, or wireless data providers. |
| Service Provider Identification Number (SPIN) | A unique number that USAC assigns to each service provider once that service provider has submitted the FCC Form 498 to USAC. Every service provider is required to have a SPIN in order to participate in any universal service programs and to receive payments from USAC. |
| Service Start Date | The date that services will start for an FRN. USAC may adjust this date if a program violation is identified or a deadline is missed. |
| service substitution | A change in the products and/or services originally requested in an FRN for the HCF or Pilot programs. |
| shared discounts | Discounts calculated for a group of individual schools and/or libraries that will share a particular service. They may be simple averages or weighted averages of the discounts of the individual entities. |
| state master contract (SMC) | A contract that is competitively bid and implemented by a state government which can be used by eligible entities within the state to procure products or services, or both. |
| state replacement contract | A state master contract, filed pursuant to a state filed FCC Form 470, which can replace an existing state master contract that expires before the end of the upcoming funding year. |
| technology plan | Technology plans must be approved by a USAC certified Technology Plan Approver. Beginning with Funding Year (FY) 2011, technology plans are only required for Priority 2 services. |
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| technology plan approval date | The date that a USAC certified Technology Plan Approver officially approves the technology plan (this is different from the technology plan creation date). |
| technology plan approval letter | The letter issued by a USAC certified Technology Plan Approver to approve an applicant is technology plan. Approvals may also be issued electronically or posted on a website. |
| Technology Plan Approver (TPA) | An agency or organization that has been certified by USAC to approve technology plans. |
| technology plan creation date | The date that a USAC certified Technology Plan Approver officially approves the technology plan (this is different from the technology plan creation date). |
| telecommunications | 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. |
| Telecommunications | A category of service on the Eligible Services List. Telecommunications was added as a category of service on the Eligible Services List starting in Funding Year (FY) 2011. |
| telecommunications carrier | Common carrier, as defined by the FCC, is an entity that provides telecommunications service including interexchange carriers, wireless carriers, and competitive local exchange carriers (also referred to as service provider). |
| Telecommunications Services | Inter-connected VoIP; cellular phone service, including text messaging and voicemail, and Centrex service. Digital Subscriber Line (DSL), Primary Rate Interface (PRI), T-1, T-3, and satellite services are also eligible. Telecommunications Services must be provided by a telecommunications carrier, that is, a company that offers telecommunications services on a common carriage basis. |
| Two-in-Five Rule | The Two-In-Five Rule states that beginning with Funding Year (FY) 2005, eligible entities will only be able to receive E-rate Program discounts for Internal Connections Other than Basic Maintenance two out of every five funding years. |
| universal service | Under the authority of the 1996 Telecom Act, the FCC created universal service as well as the Universal Service Administrative Company (USAC), the organization charged with administering universal service. Companies make contributions based on revenues from providing international and interstate telecommunications services. |
| Universal Service Administrative Company (USAC) | An independent, not-for-profit corporation created by the FCC in 1997 to administer the four universal service programs which help provide communities across the country with access to affordable telecommunications services. |
| Voice over Internet Protocol (VoIP) | A technology that allows users to make phone calls using the same line as an Internet connection. |
| voice services | Telephone services, such as Centrex, local and long distance, POTS, wireless telephone service, etc. are voice services. Starting with FY2015, support for voice services will be reduced by 20 percent a year. |
| Wave | This term is used for a group of funding commitment notifications that USAC issues to applicants and service providers on a given date. Waves are usually issued weekly. |
| wide area network (WAN) | A voice, data, and/or video network that provides connections from within an eligible school or library to other locations beyond the school or library. |

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| **Document History and Version Control** | | | |
| **Version** | **Action** | **Approval Authority** | **Action Date** |
| 1.0 | Creation of original manual and reviewed for compliance by E-Rate Central | Senior Technology Team | 12/30/15 |
| 1.1 | Updated Chapter 5; Sections 5.1 and 5.2. Reviewed for compliance by Funds For Learning | Roderick Houpe, CIO | 11/13/17 |
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