FCC Form 471 Certification Worksheet Instructions

To ensure that funds are allocated appropriately, and in accordance with FCC Orders, each applicant is required to certify on the Certifications and Signatures page of the FCC Form(s) 471 that: "The entity I represent or the entities listed on this application have secured access, separately or through this program, to all of the resources, including computers, training, software, internal connections, maintenance, and electrical capacity, necessary to use the services purchased effectively. I recognize that some of the aforementioned resources are not eligible for support. I certify that the entities I represent or the entities listed on this application have secured access to all the resources to pay the discounted charges for eligible services from funds to which access has been secured in the current funding year. I certify that the Billed Entity will pay the non-discount portion of the cost of the goods and services to the service provider(s). "The FCC Form 471 Certification review also looks at the applicant's ability to pay for its share of funding.

Special Note to Consortium Applicants: You have an option to provide the information requested below for the overall consortium or on a disaggregated basis with information pertaining to each individual entity listed on the FCC Form 471.

We understand that some consortium applicants do not collect the information requested in the FCC Form 471 Certification Worksheet sections I-VI on a consortium basis. If you provide us with the requested information on a disaggregated basis, please make one copy of the FCC Form 471 Certification Worksheet Summary for each entity listed on the FCC Form 471 (usually a school district or library system). Be sure to complete the section at the end of that page that identifies the entity. In order to use this disaggregated method, you must appropriately apportion the dollars entered in Section I-B to each entity.

Note that the Federal Communications Commission (FCC) held in Central Minnesota Computing Center (DA 01-776) that consortium applicants must be able to provide information supporting the FCC Form 471 certifications for all members of their consortium, even if the resources are not under the direct control, or the responsibility, of the consortium leader.

Please contact the selective review team if you need further assistance in responding on a disaggregated basis.

INSTRUCTIONS SECTION I
Connectivity
This part of the selective review concerns your ability to pay the non-discount portion of the funding requested on your FCC Form(s) 471. Therefore, unless and until any Funding Request Numbers (FRN) are determined to be non-fundable (i.e., the funding cap prevents funding certain requests), you must demonstrate that you have budgeted for all requests listed on all current funding year FCC Forms 471 filed for your billed entity.

If a current funding year FCC Form 471 contains a request that duplicates a previous funding year's request due to uncertain funding for the prior year and USAC has not accounted for the duplication (i.e., reduced the total to remove the duplicate request) in the numbers in Sections I-A and I-B, please note that and provide an explanation.

If you submitted current funding year FCC Forms 471 in addition to those listed on the cover page of the Selective Review Information Request (SRIR), please (1) make necessary adjustments to Sections I-A and I-B to accurately reflect all FCC Forms 471 filed by your Billed Entity, (2) initial it, and (3) explain the adjustment when you return the worksheet.

INSTRUCTIONS SECTION I-A
Commitment Amount Requested
In Section I-A, on lines 1, 2, 3, 4, and 5 the totals of commitment amounts requested on the FCC Forms 471 are shown next to the five respective service types. Please verify that these are correct sums of the funding request amounts on all FCC Forms 471 that you filed for the current funding year.

INSTRUCTIONS SECTION I-B
FCC Form 471 Applicant's Share
In Section I-B you are asked to document the funds you have available to pay for the non-discount charges on eligible services. These are funds for paying your share of telecommunications services, voice services, Internet access, internal connections and managed internal broadband services (MIBS), and basic maintenance of internal connections costs after the discount has been applied. The FCC intentionally requires applicants to pay for a portion of their services in order to encourage cost-effective practices.

In Section I-B, on lines 6, 7, 8, 9, and 10, the "applicant share" of the amounts that you requested on current funding year FCC Forms 471 are shown by service type. Please verify that these are the correct sums of your share of the charges on all FCC Forms 471 that you filed for the current funding year.

For Section I-B of the worksheet, please provide the relevant income and expense pages of your approved current funding year operating or facilities budget - i.e., the pages that document your ability to pay your share of the purchased products/services and the pages that document your revenue. This should include not only the budget line items that you reference, but also a summary of your overall operating budget (e.g., total revenues and total expenses). To facilitate USAC's review, please be sure to include ALL of the following in the budget that you send to us:
- The name of the entity to which the budget applies (Is it for a school? For a district? For one library outlet? For a library system? For a municipality?)
- The timeframe that the budget covers, including a starting date and ending date (e.g., July 1, 2016-June 30, 2017)
- Both revenue and expense line items
- On the expense side of your budget, place an arrow pointing to the budget line(s) to show where you have allocated the necessary dollars for your share and write the specific amount that will come from each fund/budget line. For example, if budget line A0002 contains $200,000 and only $100,000 will be used to pay your share of, then please draw an arrow to it and write "E-rate Program, $100,000".

Please explain any discrepancies between the FCC Form 471 applicant share (Section I-B of the FCC Form 471 Certification Worksheet Summary) and the dollars you identified on the budget that you provide. Failure to do so could delay or jeopardize the processing of your funding. If you provide a final approved budget, USAC may verify that budget with independent sources.

INSTRUCTIONS SECTION I-C
Amounts NOT Covered by E-rate Program

In Section I-C you are asked to indicate the total amount of money that you will pay during the current funding year for eligible products/services for which you are NOT requesting funding. Separate the eligible products and services into their respective service types (Telecommunications Service, Voice Services, Internet Access, Internal Connections and Managed Internal Broadband Services (MIBS), and Basic Maintenance of Internal Connections) and total the results of each category. Enter these amounts in the FCC Form 471 Certification Worksheet Summary, Section I-C in the respective service type (Lines 11, 12, 13, 14, and 15).

INSTRUCTIONS SECTIONS II THROUGH VI
Hardware, Professional Development, Software, Retrofitting, and Maintenance

For Sections II through VI (Hardware, Professional Development, Software, Retrofitting, and Maintenance), please provide investment amounts in these five areas for the prior funding year and for the current funding year. You do not need to submit the documentation to substantiate your estimates when you return the FCC Form 471 Certification Worksheet Summary. However, you should retain relevant documents since you may be requested to clarify or substantiate your estimates during USAC's review or during an audit.

For Sections II through VI, securing access to necessary resources for non-eligible products and services does not mean that all resources to support the purchased services must be paid for using current year funds. Therefore, if you can demonstrate that the computers are in place, the training has occurred, or the electrical system has been upgraded as a result of investments in previous years, then those resources will be considered as being available to support the purchased services. You may attach a page to the worksheet to document that these resources are available. You may also estimate the value of donations and in-kind contributions you have received and include these values on the lines marked "Contribution/In-Kind Donations" and in the subtotals for each section on the worksheet.

For Sections II through VI, the items numbered 16a, 17a, 18a, etc. apply to the funding year prior to the funding year identified in your FCC Forms 471. The SRIR you receive will specify the funding years above these sections.

If you have submitted your funding request on behalf of a school system, a library system, or a consortium, your responses on the worksheet should represent the total of all of the resources available to all of the eligible entities covered by your request. For example, in Section II - Hardware, you would include your estimate of all networked computers in your school district or library system buildings that will be covered by your funding request.

If, as an applicant, you have submitted multiple FCC Forms 471, a single worksheet should be used to summarize the total requests for all of your FCC Forms 471, and the total resources that are available to support those funding requests. The exception to using a single worksheet is if you are a consortium applicant and you decide to use the disaggregated method for demonstrating compliance with your FCC Form 471 Certification, as noted above.

INSTRUCTIONS SECTION II
Hardware
Hardware not eligible for discounts includes computers, printers, fax machines, video equipment, scanners, and other hardware items that are used to support and improve education or library services. To use Internet access support effectively for improved education or library service, you should have computers that can take advantage of the resources available on the Internet. Legacy equipment (PCs below 486 or Macs below 040 processors) that cannot take full advantage of the Internet should not be included in the hardware available to support purchased services unless they can support text-based browsing.

- In Section II-A, line 16a, enter the number of computers connected to the Internet as of FY2015 (July 1, 2015 through June 30, 2016). In line 16b, enter the number of computers scheduled to be connected as of FY2016 (July 1, 2016 through June 30, 2017).
- In Section II-B, line 17a, enter the number of data and voice drops that are currently installed as of FY2015. In line 17b, enter the number of data and voice drops that are scheduled to be installed as of FY2016.
- In Section II-C, please estimate your total expenditures for hardware during FY2015 (line 18a) and FY2016 (line 18b).
- In Section II-D, please estimate the value of in-kind hardware donations received during FY2015 (line 19a) and expected donations in FY2016 (line 19b).

INSTRUCTIONS SECTION III
Professional Development
Professional development, which is not eligible for discounts, is necessary to ensure that you are prepared to make effective use of purchased services. Professional development should provide for ongoing and sustained training for not just the technical staff, but also the teachers or librarians. Your budget should provide for professional development that goes beyond the acquisition of generic computer skills to include mastery of technology applications specifically designed to improve teaching, learning, or library service. Training that is limited to the acquisition of basic computer skills is not sufficient. Training should be coordinated with the availability of appropriate technology in the school, classroom, or library.

The following professional development costs might have been incurred by your organization during seminars or conferences:

- faculty hired to conduct in-service or on-site training; or technology related courses attended by your staff and paid for by your organization;
- books and other instructional materials; or
- full-time professional development staff.

Peer tutoring and peer monitoring is another method for delivering training, and you may include this in your estimate of "Professional Development Contribution/In-kind donations" (line 21). However, for this section, please do not include any non-technology course costs.

Estimate the percent of your instructional or library service staff that has been trained to use technology during the past 3 years to improve education or library services and list the results in Section III-A Staff Training Hours (the combined total should equal 100 percent). Please provide the current cumulative percentages of teacher or librarian training.

Estimate the value of your professional development expenditures for FY2015 (line 20a) and FY2016 (line 20b). Estimate any in-kind or pro-bono professional development received in FY2015 (line 21a) and any anticipated during FY2016 (line 21b).

INSTRUCTIONS SECTION IV
Software

Some software (such as productivity tools, curriculum software, library content, etc.) is not eligible for discounts, but is necessary to make effective use of the purchased services. (Software to operate a network server is eligible and would be included in Section I - Connectivity).

Estimate the value of your software expenditures for FY2015 (line 22a) and FY2016 (line 22b). Estimate the value of any donated software products received during FY2015 (line 23a) and any anticipated contributions during FY2016 (line 23b).

INSTRUCTIONS SECTION V
Retrofitting

Retrofitting that may be necessary to make effective use of purchased services is not eligible for discounts, but it is necessary to make effective use of the purchased services. Retrofitting includes electrical wiring, asbestos removal, building modifications, renovations and repairs necessary to use the requested products and services. Retrofitting does not include the costs that you incurred to upgrade your computer wiring or network hardware.

Estimate your retrofitting investment during FY2015 (line 24a) and your anticipated investment for FY2016 (line 24b). Estimate any in-kind or pro-bono work in the area of retrofitting received during FY2015 (line 25a) or any anticipated during FY2016 (line 25b).

INSTRUCTIONS SECTION VI
Maintenance

Systems maintenance and operations costs for ineligible hardware and software and salaries of staff are ineligible for discounts. Nevertheless, they are necessary to make effective use of the purchased

services. Maintenance costs for eligible equipment and services that do not include applicant staff salaries should be included in Section I - Connectivity.

Estimate your expenditures for systems maintenance and operations in FY2015 (line 26a) and your anticipated expenditures in FY2016 (line 26b). Estimate any pro-bono maintenance or the value of donated time for maintenance during FY2015 (line 27a) and any anticipated during FY2016 (line 27b).

Note: If you have made a significant investment in technology prior to FY2016, please summarize the resources that are already in place in the resource plan (see "RESOURCE PLANNING AND IMPLEMENTATION DESCRIPTION" below).

TECHNOLOGY IMPLEMENTATION LEVEL WORKSHEET
In column (A), list the number of schools or libraries that currently fall into the technology levels described on the worksheet.

In column (B), indicate where you anticipate your schools/libraries to be, as a result of the technology requests you made on your FY2016 FCC Form(s) 471.

Once you have completed the Technology Implementation Level Worksheet, use the results from this worksheet to complete Section VII of the FCC Form 471 Certification Worksheet Summary.

If you are responding on behalf of a consortium, a school district, or a library system that has schools or libraries (outlets/branches) at different levels, please list the number of sites that are at each level.

RESOURCE PLANNING AND IMPLEMENTATION DESCRIPTION
Submit a narrative describing your overall strategy for implementing your E-rate Program requests this year, including any significant investment in technology prior to FY2016. Tell us if you have applied for matching funds or grants from other sources that have not been approved. Include all information about resources that you have available to make effective use of E-rate Program funding. Give us an overall picture of what you are trying to accomplish so that we can better understand how the requested services will work in conjunction with the resources you have identified throughout this document.

If you have indicated zero dollars in Sections IV - VI: Software, Retrofitting, and Maintenance on the FCC Form 471 Certification Worksheet, please explain or provide details as to why no investments are being made in those categories (e.g., explain what retrofitting work has already occurred, what software you have on hand, and if any maintenance contracts are still in place).

OPERATING BUDGET
Final, Approved Budget
Provide an approved operating or facilities budget, including total revenues and expenses, that covers FY2016 and that documents your expenditures and ability to pay your share of the purchased products/services. You must indicate the expense line(s) from which your share will be paid. If you provide a final approved budget, USAC may verify that budget with independent sources. Please indicate on the budget whether or not it is final and approved.

Alternatives to a Final, Approved Budget
If a final, approved budget is not available or is still in the approval process, USAC will accept certain alternative documentation as delineated below.

A letter signed and dated by a school or library official (e.g., superintendent, board president, chief business officer) must accompany the document(s). The letter should explain (1) what phase of the approval process you are in; (2) whether your share of funding is contingent on any outside action (e.g., voter approval, board approval, state legislation, etc.); and (3) whether in the absence of such outside approval, you anticipate being able to pay your share. Please make sure that the letter identifies the specific amount that you will have available to pay your share.

For example, if you have $100,000 allocated in your budget, make sure that is noted in the letter.

In addition to the letter, we require one of the following items:
- A draft budget covering the current funding year that includes all of the following:
    - The name of the entity to which the draft budget applies (Is it for a school? For a district? For one library outlet? For a library system? For a municipality?)

    - The timeframe that the draft budget covers, including a starting date and ending date (e.g., July 1, 2016-June 30, 2017).

    - Both revenue and expense line items. Note that if a deficit exceeds 30 percent of the total budget you will be contacted and asked to describe measures that will be taken to remedy the deficit.
    - On the expense side of your draft budget, place an arrow pointing to the budget line(s) to show where you have allocated the necessary dollars for your non-discount share and write the specific amount that will come from each fund/budget line. For example, if budget line A0002 contains $200,000 and only $100,000 will be used to pay your share, then please draw an arrow to it and write "E-rate Program, $100,000".
- A dated resolution – signed, if possible – of a governing board authorizing the filing of the FCC Form(s) 471 for a given dollar amount, for given services and/or products, and within a given timeframe. For USAC to consider such a resolution sufficient evidence that your entity has provided for payment of your share, the resolution should specify the funding year, the fiscal year, or the school year for which the payment is authorized.
- A reasonable expectation of a donation. If donations (or other dollars from any contributor) are a source of funding then both of the following items must be provided:
    - Historical documentation indicating that funding has existed in prior years, and
    - Letter from a school or library official indicating:
        - Source of funding
        - Amount of funding
        - Explanation of why the entity has a reasonable expectation that it will receive such funding prior to the delivery of services