

# The E-rate Program

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# **Changes and Corrections**

Fall 2012 Applicant Trainings

## Overview

- Ministerial and clerical errors
- SPIN changes
- Service substitutions
- Invoice deadline extensions
- Service delivery deadline extensions

## General guidelines

- Provide contact information in case we have questions
- Use the appropriate document(s) on the USAC website as a guide when preparing your request, and include all pertinent information noted in the document(s)
- Include evidence of your authorization, for example:
  - Be the contact person or authorized person on the form
  - Email your request from your entity's domain name
  - Provide a consultant letter of agency or similar document
- Submit your request before the deadline

## Ministerial and clerical (M&C) errors

- M&C errors “include only the kinds of errors that a typist might make when entering data from one list to another, such as mistyping a number, using the wrong name or phone number, failing to enter an item from the source list onto the application, or making an arithmetic error.” (Order [FCC 11-60](#), released April 14, 2011)
- Examples of allowable and non-allowable errors can be found in the Ann Arbor Order ([DA 10-2354](#), released December 16, 2010) and in the [Ministerial & Clerical Errors](#) web page on the USAC website

## Submitting corrections

- Submit M&C corrections to an FCC Form 470 using the process described in the Receipt Notification Letter (RNL) by email, fax, or online
  - NOTE: There are only a few allowable corrections to FCC Forms 470, as changes to some fields could affect the competitive bidding process
    - For example, if you add a category of service or make a significant change to the scope of a project, then your revised FCC Form 470 will be posted as a new form.

## Submitting corrections (continued)

- Submit M&C corrections to an FCC Form 471 using the process described in the Receipt Acknowledgment Letter (RAL) by email, fax, or online
- M&C corrections can also be made during the PIA review process
  - Remember that PIA reviewers can identify some – but not all – potential M&C errors

NOTE: RAL corrections will be made to the version of the FCC Form 471 displayed on the USAC website as the “Current” view

## Don't forget to include ...

- If the information to be corrected does not appear on the RAL, include a printout of the information with corrections (e.g., an annotated Block 4 worksheet) or a separate page that provides the corrected information
- Supplemental documentation, ideally dated on or before the FCC Form 471 certification date, that establishes that the error was truly an M&C error
- Note, you cannot “correct” a Block 4 worksheet simply to remove lower-discount entities after the Priority 2 funding threshold is set

## DEADLINE:

- M&C corrections must be received or postmarked before the FCDL is issued
- Corrections after this date must be addressed through the appeals process



## SPIN change requests

- SPIN change requests are filed to change the Service Provider Identification Number (SPIN) associated with a particular Funding Request Number (FRN)
  - A corrective SPIN change request (pre- or post-commitment) – fixes a data entry error, reflects a merger or acquisition, or corrects information that was not a result of an applicant action
  - An operational SPIN change request (post-commitment only) – changes the actual service provider

## Submitting requests

- Submit pre-commitment corrective SPIN changes via a RAL correction or to your reviewer during PIA review
- Submit all post-commitment SPIN changes through [Submit a Question](#) (choose “SPIN Changes” from the Topic Inquiry menu) or by fax or mail
  - You can submit an attachment using [Submit a Question](#) if you need more space to provide all necessary information
- **DEADLINE:** Requests must be received or postmarked no later than the last day to submit an invoice

## Don't forget to include ...

### Corrective SPIN changes

- A list of specific information to include can be found in the [Corrective SPIN Change](#) document on the USAC website
- Provide a short description of the reason the SPIN is incorrect
- If possible, include documentation supporting the change (e.g., merger or acquisition announcement)

## Don't forget to include ...

### Operational SPIN changes

- A list of specific information to include can be found in the [Operational SPIN Change](#) document on the USAC website
- If any service was provided by the original SPIN, clearly indicate the dates, charges, and other pertinent information for both the original and new SPINs

## Don't forget to include ...

### Operational SPIN changes (continued)

- A statement that:
  - The change is allowed under your applicable state and local procurement rules
  - The change is allowable under the terms of any contract between you and the original service provider
  - You have notified the original service provider of your intent to change service providers

## Don't forget to include ...

### Operational SPIN changes (continued)

- For FRNs from FY2011 and future funding years:
  - A statement of your legitimate reason to change service providers (e.g., breach of contract or unable to provide service)
  - A copy of your bid evaluation OR a statement that you received only one or no bids

## Don't forget to include ...

### Operational SPIN changes (continued)

- For FRNs from FY2011 and future funding years, it is helpful to provide a copy of the following:
  - Your bid evaluation document
  - Documentation, if any, to support your legitimate reason for changing service providers

## Service substitution requests

- Service substitutions are changes in the products and/or services specified and approved in the FCC Form 471 and Item 21 attachment
  - Global service substitutions can be requested by the service provider if one make or model of equipment is being discontinued/replaced by another
  - Other service substitutions must be requested by the applicant



## Submitting requests

- Submit your request through [Submit a Question](#) (choose “Service Substitutions” from the Topic Inquiry menu) or by fax or mail
  - You can submit an attachment using [Submit a Question](#) if you need more space to provide all necessary information
- **DEADLINE:** Request must be received or postmarked by the last day to receive services

## Don't forget to include ...

- A list of specific information to include can be found in the [Service Substitutions](#) document on the USAC website
- A “From” and “To” list, i.e., a list of the products and services originally approved and a similar list of the products and services now desired
- An explanation of any reduction in cost (USAC will reduce the funding commitment if the cost of the new products and services is lower than the original)

## Don't forget to include ...

- Statements that:
  - The substituted products or services have the same functionality as that contained in the original proposal
  - The substitution does not violate any contract provisions or state or local procurement laws
  - The substitution does not result in an increase in the percentage of ineligible services or functions
  - The requested change is within the scope of and consistent with the establishing FCC Form 470 and any RFPs issued for the original services

## Invoice deadline extension requests

- Applicants and service providers can request an extension of the deadline to file invoices
  - FCC Form 472 (BEAR Form)
  - FCC Form 474 (SPI Form)
- After the invoice deadline has passed, an extension request must be filed with and granted by USAC before an invoice can be processed
- More than one extension can be granted for an FRN

## Submitting requests

- Submit your request through [Submit a Question](#) (choose “Invoice Deadline Extension Request” from the Topic Inquiry menu) or by fax or mail
- The applicant or the service provider can prepare and submit a request
- **DEADLINE:** Requests should be received or postmarked no later than 120 days after the last day to invoice
  - Requests submitted after this date should include a detailed explanation of the reason for the delay

## Don't forget to include ...

- A list of specific information to include can be found in the [Invoice Extensions](#) document on the USAC website
- Provide the reason and an explanation for the request:

- |  |   |
|--|---|
| <ul style="list-style-type: none"><li>• Authorized service provider changes</li><li>• Authorized service substitutions</li><li>• No timely USAC notice</li><li>• USAC errors that result in a late invoice</li></ul> | <ul style="list-style-type: none"><li>• Documentation requirements that necessitate third-party contact</li><li>• Natural or man-made disasters</li><li>• "Good Samaritan" BEAR Forms</li><li>• Circumstances beyond the service provider's control</li></ul> |
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## Service delivery deadline extension requests

- In general, service providers have until September 30 following the close of a funding year to deliver and install non-recurring services
  - Some extensions of this deadline can occur automatically (see next slide)
  - Others must be requested by either the applicant or the service provider due to specific circumstances

## Service delivery extension requests (continued)

- One-year extensions occur automatically (and need not be requested) if USAC issues one of the following on or after March 1:
  - Funding Commitment Decision Letter (FCDL)
  - Operational SPIN change approval
  - Service substitution approval
- You should follow up with USAC if you believe you should have received an extension but you do not see the extended date on the [FRN Extension Table](#)



## Service delivery extension requests (continued)

- Extensions can be requested if the service provider:
  - Was unable to complete delivery and installation for reasons beyond the service provider's control
  - or
  - Was unwilling to complete delivery and installation after USAC withheld payment for those services on a properly submitted invoice for more than 60 days after submission of the invoice

## Submitting requests

- Submit your request through [Submit a Question](#) (choose “Invoice Implementation Extension Request” from the Topic Inquiry menu) or by fax or mail
  - The applicant or the service provider can prepare and submit a request
- **DEADLINE:** Requests MUST BE received or postmarked on or before the last date to receive service
  - USAC cannot process late requests
  - FCC Form 500 CANNOT be used to extend the service delivery deadline

## Don't forget to include ...

- A list of specific information to include can be found in the [Service Delivery](#) document on the USAC website
- The applicant or service provider must provide documentation or other support for either the service provider's inability or unwillingness to complete delivery and installation

# Questions?