

October 10, 2012

TO: Directors of Public Library Systems and Directors of Reference and Research Library Resources Councils

FROM: Lisa Areford, State E-Rate Coordinator for Libraries

SUBJECT: New 2013-2016 E-Rate Technology Plans Due December 28, 2012

The current library system E-Rate Technology Plans cover the three-year period, July 1, 2010 - June 30, 2013. Based upon the requirement of the Schools and Libraries Division (SLD) for Priority 2 E-rate funding, the New York State Library is requesting new E-Rate Technology Plans to cover the period July 1, 2013 - June 30, 2016.

The deadline for receipt of the library system plans is December 28, 2012. E-Rate Technology Plans must be created before Form 470's (Description of Services Requested and Certification Form that opens the competitive bidding process for services desired by applicants that are eligible for discounts under the E-Rate Program.) are filed. In the past few years the deadline for filing Form 470's has been early to mid-February. After the Form 470 is filed/posted, the Form 471 (Services Ordered and Certification Form) is used to report services ordered and discounts requested for those services. The window for filing the Form 471 is generally between mid-November and mid-February prior to the start of the Funding Year. The E-Rate Technology Plan needs to be approved prior to a Form 486 being filed/issued. (Form 486 is the Receipt of Service Confirmation and is filed by the applicant to inform USAC that services have begun and provide the status of the applicant's tech plan approval and of CIPA compliance.) Please see the USAC site at: <http://www.universalservice.org/sl/> for forms, terms, deadlines, etc.

Please send one paper and one electronic copy of your plan to:

Lisa Areford, E-Rate Coordinator

Division of Library Development

New York State Library

10B41 Cultural Education Center

Albany, New York 12230

The State Library recommends that member library plans also be submitted to their library systems by December 28, 2012. Library systems will review member library plans and send a certified list to Lisa Areford's attention by **February 1, 2013**. Member library plans should be retained by the library system. Please do not send member plans to the State Library. A copy of the certification form for member library plans is available on the State Library's website at

<http://www.nysl.nysed.gov/libdev/univsvc/>. **The submitted copy of the certification must have an original signature.**

Both the library system and the member library plans are covered by the same SLD criteria and the same level of specificity for technology plans. The criteria are described below in “Who Needs a Plan?” Library systems should require member plans to have the same level of detail as their own.

Who Needs a Plan?

Public libraries and library systems that seek discounts only for Priority 1 services (Telecommunications and Internet Access, including basic local and/or long distance telephone services – wireline or wireless) need not prepare technology plans. If a library system decides that it is not necessary to file a technology plan, then the system needs to file a certification informing the State Library of that decision. A copy of the certification form is available on the State Library’s website. Please send one copy with original signature to Lisa Areford by **December 28, 2012** if your library system determines that it is not necessary to file a technology plan.

For all Priority 2 services (Internal Connections equipment and basic maintenance), applicants must have a technology plan. There are two critical planning deadlines. First, a technology plan, at least in draft form, must be created before applicants file their Form 470s for FY 2013. Second, before discounted services are received for FY 2013, beginning July 1, 2013, system technology plans must be approved by an SLD-certified technology plan approver. In New York State, the State Library provides this certification. Assisting the State Library in this effort is E-Rate Central, a company that holds a contract with the State Education Department to provide E-Rate information services for all New York State schools and libraries.

Libraries requiring technology plans for Priority 2 E-rate services are reminded to document their plans’ creation and approval dates. Creation dates may be documented by e-mailing copies of the plans internally. Approval dates will be documented by a State Library letter.

Required Components

The SLD states that the technology plan required for the E-Rate discount should guide planning and investment--both for E-Rate funds and for the other resources needed to take advantage of technology. The plan must contain the following four components:

1. Clear goals and a realistic strategy for using telecommunications and information technology to improve education or library services.
2. A professional development strategy to ensure that members of staff know how to use these new technologies to improve education or library services.
3. A needs assessment of the telecommunication services, hardware, software, and other services that will be needed to improve education or library services.

4. An evaluation process that enables the school or library to monitor progress toward the specified goals and make mid-course corrections in response to new developments and opportunities as they arise.

It is important to note that the SLD expects technology plans to provide a sufficient level of detail to support all the services requested in the 470 and 471 forms and confirmed in the 486 form. In the event of an audit, the examiners may ask for a copy of the technology plan.

(For more guidance in creating technology plans see: **Technology Plans and the E-Rate Program: A Primer for New York Schools and Libraries** at: http://www.e-ratecentral.com/us/nys/techPlan_nys/default.asp)

Impact of Children's Internet Protection Act (CIPA)

Effective June 23, 2003, the Supreme Court ruled that the filtering requirement in CIPA was constitutional for public libraries. The Court's decision means that any public library using E-Rate for Internet Access or Internal Connections must comply with the law's filtering and Internet safety policy requirements. CIPA does not apply to discounts on Telecommunication services, including voice or data circuits.

For more detailed information about CIPA and E-Rate, you can go to the Wisconsin Department of Public Instruction website: <http://dpi.wi.gov/pld/cipafaq.html> or the website at E-Rate Central at <http://www.e-ratecentral.com/CIPA/default.asp>.

If you have questions about this memo, the plan requirements or about the review process, please contact Lisa Areford at 518-473-6941 or at lareford@mail.nysed.gov. This memo and all related documents, including certification forms, are available on the State Library's website at: <http://www.nysl.nysed.gov/libdev/univsvc/>. Forms are available in both Word and PDF format.

CC: Winston Himsworth, E-Rate Central

Bernard A. Margolis, State Librarian and Assistant Commissioner for Libraries

Carol Ann Desch, Coordinator of Statewide Library Services

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