

# E-RATE PROGRAM BINDER

## TABLE OF CONTENTS GUIDE

There have been many requests for USAC to provide guidance with respect to what documents should be retained. Here is a guide that may be helpful. In addition, retaining this type of information will be very helpful if USAC requests this information in the future. This guide is not mandatory or intended to serve any other purpose than to respond to requests for guidance.

For forms filed in the E-rate Productivity Center (EPC), you can print a PDF copy of forms and letters if you wish to do so.

### 1. FCC FORMS & CERTIFICATIONS

- 1.1. FCC Form 470 & delivery confirmations
- 1.2. FCC Form 471 & delivery confirmations
- 1.3. FCC Form 472 & delivery confirmations
- 1.4. FCC Form 479 (consortium members & consortium leaders only)
- 1.5. FCC Form 486 & delivery confirmations
- 1.6. FCC Form 500 & delivery confirmations

### 2. USAC LETTERS

- 2.1. FCC Form 470 Receipt Notification Letter (RNL)
- 2.2. FCC Form 471 Receipt Acknowledgment Letter (RAL)
- 2.3. FCC Form 471 Out Of Window Letter (OOW)
- 2.4. Funding Commitment Decision Letter (FCDL)
- 2.5. FCC Form 486 Notification Letter
- 2.6. FCC Form 500 Notification Letter
- 2.7. BEAR Notification Letter
- 2.8. Quarterly Disbursement Reports (QDR)
- 2.9. Other USAC letters

### 3. COMPETITIVE BIDDING, VENDOR EVALUATION & CONTRACTS

- 3.1. State and Local Procurement Regulations (printout or website reference)
- 3.2. RFP/ Public Notice/ Advertisement
- 3.3. All Vendor responses & Bids received (winning and losing)
- 3.4. Bid Evaluation criteria, Evaluation Matrix & Bid ratings (Sample Available)
- 3.5. Notice of Award letters
- 3.6. Miscellaneous documents (memorandums, board minutes, notes to file)
- 3.7. Signed and Dated Contracts/ Service Agreements/ Notice of Award Letters
- 3.8. Contract Amendments/Addendums/Extensions
- 3.9. State Master Contracts (printout or website reference)
- 3.10. Vendor Correspondence

#### 4. PIA REVIEW

- 4.1. Letter of Agency (LOA) consortium (Sample Available)
- 4.2. Consultant agreement or LOA
- 4.3. Responses to PIA inquiries (email, faxes, case numbers)
- 4.4. Entity eligibility documentation (state website printout, matching records, etc.)
- 4.5. Discount eligibility calculation documentation (Sample Available)
- 4.6. Product Service Eligibility (warranties, product descriptions, network diagrams etc.)
- 4.7. Request to Cancel Services

#### 5. CIPA (CHILDREN'S INTERNET PROTECTION ACT)

- 5.1. Undertaking Actions to comply with CIPA (e.g., public notice, public meeting or hearing minutes, etc.)
- 5.2. Filtering Documentation (purchase, installation, use)
- 5.3. Internet Safety Policy

#### 6. SERVICE DELIVERY & INVENTORY MANAGEMENT

- 6.1. Inventory/Asset Registry (Sample Available)
- 6.2. Schematic of equipment
- 6.3. Receipt of service/ product and installation log (work orders)
- 6.4. Replacement Log (replacement or upgrades)
- 6.5. Maintenance Log
- 6.6. Equipment transfer log

#### 7. INVOICING & PAYMENTS

- 7.1. Customer Bills
- 7.2. Reconciliation Worksheet
- 7.3. Service Certifications
- 7.4. Proof of Payment of discount and non-discount amounts (cancelled checks, bank statements)
- 7.5. Reimbursement from vendor verification (BEAR only)
- 7.6. Miscellaneous (memos to vendors, notes to file, emails)

#### 8. CHANGE REQUESTS & APPEALS

- 8.1. Appeal Request (**Checklist Available**)
- 8.2. Appeals Delivery Receipt (proof of postmark, fax confirmation)
- 8.3. Service Substitution Request (**Sample & Checklist Available**)
- 8.4. SPIN Change Request (**Checklist Available**)
- 8.5. Documentation of Funds Returned to USAC
- 8.6. Invoice Deadline Extension Request
- 8.7. Service Deadline Delivery Request
- 8.8. Transfer of Equipment Notification

## 9. MISCELLANEOUS

- 9.1 PIN mailer (For the authorized user)
- 9.2 Audit documentation

## 10. LEGACY DOCUMENTATION (FOR FUNDING YEAR 2014 AND PREVIOUS YEARS)

### 10.1 PIA REVIEW

- 10.1.1 Item 21 Attachment (online or paper)

### 10.2 TECHNOLOGY PLAN & APPROVAL LETTER

- 10.2.1. Written Technology Plan with Creation Date
- 10.2.2 Approved Technology Plan
- 10.2.3 Approved Technology Plan updates
- 10.2.4 Certified Technology Plan Approver Letter (or screen print if approval is maintained online)
- 10.2.5 Professional Development Training Log
- 10.2.6 Technology Plan Training Sign In Sheet