

FCC Form 471 Walkthrough for Tribal Applicants

March 8, 2022



Universal Service
Administrative Co.

DISCLAIMER

To accommodate all attendees, real-time closed captions will be present during this presentation. This is a new feature we are testing out to improve webinar accessibility for all. We understand it is a significant change and appreciate your patience. We apologize in advance for any transcription errors or distractions. Thank you for your support.

Housekeeping

- Audio is available through your computer's speakers
 - The audience will remain on mute
 - **Enter questions at any time using the “Questions” box**
 - If your audio or slides freeze, restart the webinar
 - **A copy of the slide deck is in the “Handouts” section of webinar panel**
-
- **Please indicate if you are a Tribal leader as we will answer Tribal leader questions first.**

Meet Our Team



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Agenda

- Application Process Refresher
- Wrapping up the Competitive Bidding Process
 - Review Step 2: Selecting Service Providers
- Begin Applying for Discounts (FCC Form 471)
 - Review Step 3: Calculating Discounts
 - Filing FCC Form 471
- After Filing
 - Review Step 4: Application Review Process
- Q&A

Application Process Refresher



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At a Glance: E-Rate Applicant Process Overview

✓ Pre-Plan [Before You Begin](#)

✓ Step 1 [Competitive Bidding](#) FCC Form 470 / Request Services

☐ Step 2 [Selecting Service Providers](#) **Evaluation Matrix & Select Invoice Method**

☐ Step 3 [Applying for Discounts](#) **FCC Form 471 / Discount Matrix**

☐ Step 4 [Application Review](#) **Program Integrity Assurance (PIA)**

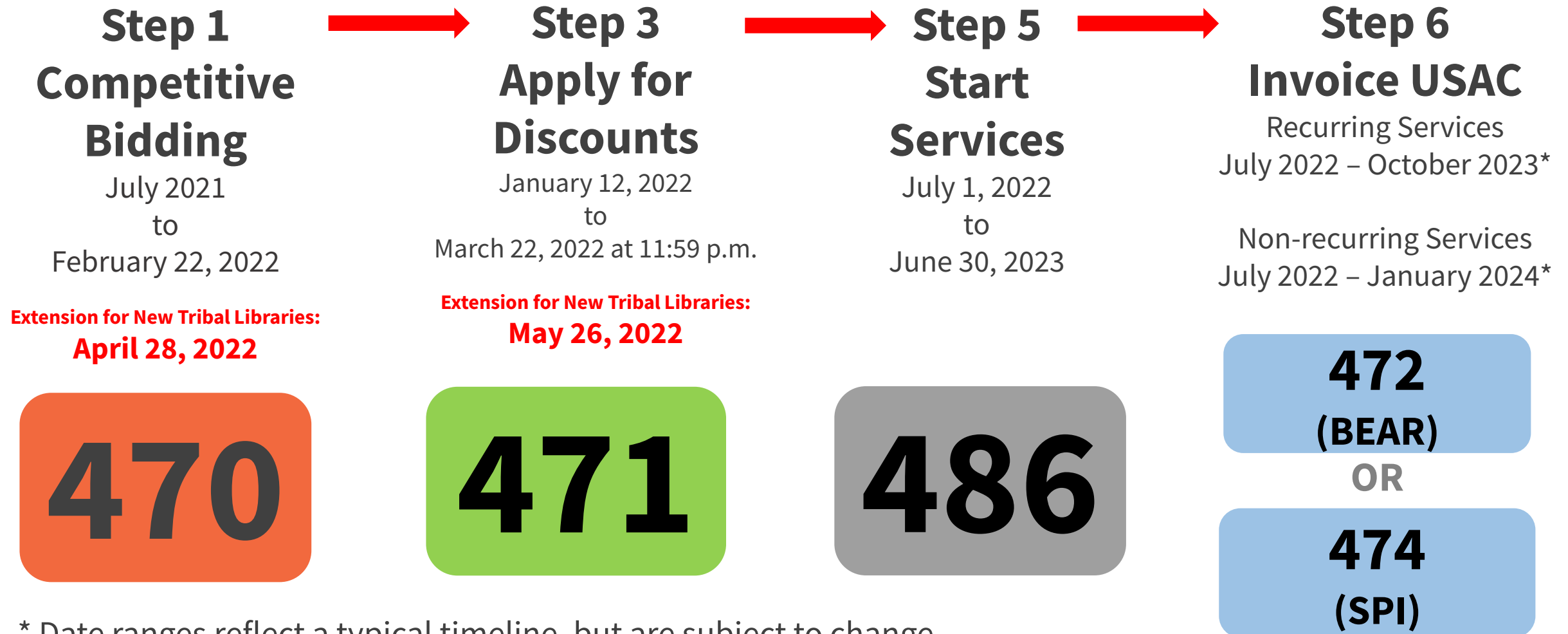
■ Step 5 [Starting Services](#)

■ Step 6 [Invoicing](#)

• Review [Before You're Done](#)

• Download the [Application Process Flow Chart](#)

Applicant Forms and Important FY2022 Dates



* Date ranges reflect a typical timeline, but are subject to change.

Know Your Role

Applicants

- Determine services needed, file FCC Form 470 and a Request for Proposals (RFP) if needed.
- Run competitive bidding process.
- Select winning bidder, using the price of eligible products and services as the primary factor.
- Respond to Program Integrity Assurance (PIA) Reviewer's questions and request for documentation.
- File other applicant forms (FCC Forms 471, 486, 472, 500, etc.).
- Document compliance with FCC rules on an ongoing basis.
- Retain documentation for at least ten years from last date of service delivery for a particular funding request.

Service Providers

- Respond to FCC Form 470 and RFPs.
- May assist with responding to PIA questions regarding the requested services or equipment (but not competitive bidding).
- File other service provider forms (FCC Form 473, 474, etc.).
- Document their compliance on FCC rules on an ongoing basis.
- Retain documentation for at least ten years from last date of service delivery for a particular funding request.

REVIEW

Step 2: Selecting Service Providers

Evaluating Bids

Evaluating Bids

- To evaluate incoming bids, create a bid evaluation matrix or similar document.
- Develop evaluation criteria or factors to assess the bids.
 - You can have one or multiple factors.
- Assign each evaluation factor a point value or percentage.
 - **The price of the eligible products and services must be the most heavily weighted factor.**
 - Other factors, including other non-price factors, can be considered as well; but they cannot be weighted equally or higher than price of the eligible equipment and services.
- The vendor with the most overall points is the winner.
- **Resources**
 - Review the [How to Construct an Evaluation Matrix](#) webpage
 - Download a [Sample Bid Evaluation Matrix](#) (PDF)
 - More details available in the Appendix Section of this slide deck

REVIEW

Step 3: Calculating Discounts

Discounts are calculated and reported to USAC on
FCC Form 471

Discounts – Overview

- Discounts depend on two factors:
 - The percentage of students eligible for the National School Lunch Program (NSLP) – in the school district.
 - The urban or rural status of the school district or library system.

FY2022 E-RATE COVID-19 RESPONSE UPDATE

- Due to the ongoing impact of the COVID-19 pandemic, the FCC acknowledges that it may be challenging to provide student enrollment and NSLP numbers as of October 1, 2021.
 - In preparation for the FY2022 application filing window, applicants will be permitted to provide full-time student enrollment numbers from their most recently approved FCC Form 471/NSLP profile information (including FY2020 or FY2021).
 - Applicants can use their more recently approved FCC Form 471 student enrollment/NSLP information available.
 - This includes providing full-time student enrollment numbers from the most recently approved FCC Form 471 and the most recent and available NSLP information, even if this information is across different school/funding years.

Discounts – NSLP Calculations

- **School District NSLP Calculations**

- Determine the total number of students eligible for NSLP in the school district.
- Determine the total number of students in the school district.
- Divide the first number by the second number.

- **Library NSLP Calculation**

- Determine the main branch of the library.
- Determine the school district in which the main branch of the library is located.
- Use the NSLP percentage calculation for that school district.

Discounts – Consortium Discount

- The discount calculation for a consortium is the simple average of the discounts of its members.
- However, the discount for a consortium on a particular application (FCC Form 471) is calculated based on the members of the consortium that are featured on that application.

Urban or Rural Status

- Automatically populated by the EPC portal based on physical address.
- The definition of “rural” and the manner in which schools and libraries determine their urban or rural status changed in Funding Year 2015. An individual school or library is designated as “urban” if located in an “Urbanized Area” or “Urban Cluster” with a population of 25,000 or more as determined by the U.S. Census Bureau.
- Any school or library not designated “urban” will be designated as “rural.”
- **Note: Urban/rural discount for a school district or library system**
 - If more than 50 percent of the schools in a school district or libraries in a library system are considered rural, the school district or library system is eligible for a rural discount. If 50 percent or fewer of the entities are considered rural, the school district or library system is eligible for an urban discount.
- For information, visit the [Urban or Rural Status](#) page or you can call the Customer Service Center (CSC) at (888) 203-8100, Monday – Friday, 8 a.m. to 8 p.m. ET, for help to determine your urban/rural status.

Discount Matrix

Income Measured by percentage of students eligible for NSLP	Urban Status Discount Rate	Rural Status Discount Rate
Less than 1%	20%	25%
1% to 19%	40%	50%
20% to 34%	50%	60%
35% to 49%	60%	70%
50% to 74 %	80%	80%
75% to 100%	90% for C1, 85% for C2	90% for C1, 85% for C2

- National School Lunch Program (NSLP)
- Category One (C1) Services
- Category Two (C2) Services

Category Two (C2) Budgets

- Your C2 budget for the 5 year period is determined when the first C2 FCC Form 471 in the budget cycle is certified. This includes a certified consortium FCC Form 471 that includes your organization.
- **For the FY2021-FY2025 cycle:**
 - The **school multiplier** is \$167.00 per student.
 - The **library multiplier** is \$4.50 per square foot for all libraries.
 - The **funding floor** is \$25,000.00.
- Applicants are eligible for \$25,000 when the C2 budget calculation for an entity results in a figure below the \$25,000 (less than 150 students or 5556 square feet of library space). Examples of entities eligible for the funding floor:
 - A school with fewer than 50 students ($\$167/\text{student} * 50 \text{ students} = \$8,350$ therefore **\$25,000**)
 - A library with less than 556 square feet ($\$4.50/\text{square foot} * 555 \text{ square feet} = \$2,497.50$ therefore **\$25,000**)
- Watch the [Category Two Budgets Webinar Recording](#) and review the [slide deck](#)

Calculating C2 Budgets with 10 or Fewer Sites

- School districts with 10 or fewer schools and library systems with 10 or fewer library branches have the option to calculate their C2 budgets on a per-site basis and then combine the results.
 - **Small school district example:** A school district consists of three schools – one school with 50 students, one school with 100 students, and one school with 200 students. This school district can calculate its C2 budget as $\$25,000 + \$25,000 + \$33,400 = \$83,400$, because the first and second schools would be eligible for the funding floor.
 - **Small library system example:** A library system consists of a bookmobile, a library branch with 4,000 square feet, and a library branch with 7,500 square feet. This library system could calculate its C2 budget as $\$25,000 + \$25,000 + \$33,750 = \$83,750$, because the bookmobile and the smaller library branch would be eligible for the funding floor.

Pro-Tip: Review Resource for Calculating Entity Discounts

- Entity discounts range from 20 to 90 percent of the cost of eligible services. You can:
 - Refer to the program's [discount matrix](#) for basic information on discount percentages, and
 - Review information on [calculating your discount](#) to find out what your discount would be.
- **Reminders**
 - Applicants seeking additional E-Rate discounts to [match state funding for special construction](#) must submit information with their FCC Form 471 filing that USAC will use to determine eligibility.
 - Schools and libraries can apply on their own or they can form [consortia](#) to aggregate demand and thereby negotiate lower prices. The entity leading the consortium may or may not be eligible for discounts.

Filing FCC Form 471

FCC Form 471 Overview

- Applicants file an FCC Form 471 (Description of Services Ordered and Certification Form) to request funding for eligible services and equipment for the upcoming funding year.
- Applicants must
 - include information on the recipients of services and service provider(s);
 - provide detailed descriptions of services including costs and dates of service and/or the requested equipment; and
 - certify compliance with program rules.

FCC Form 471 Application Window

- The filing window for the FCC Form 471 – generally opens in mid-January and **closes in mid-March**.
 - FY2022 Filing Window closes on **March 22 at 11:59 p.m. ET**.

WCB Extends FY2022 Application Filing Deadline for New Tribal Libraries

- A new Tribal Library applicant or an application with a new Tribal library entity(ies) listed as recipient(s) of service have until **Thursday, May 26, 2022** to submit and certify their FY2022 FCC Form 471 in EPC. See DA 22-231.
- You can file FCC Form 471 after you have completed your competitive bidding process (FCC Form 470), waited 28 days, selected your vendor(s), and signed contract(s) (if appropriate).
- If you are not a new Tribal library, you will need to file a waiver if you do not file your FCC Form 471 by 11:59 pm on March 22, 2022.

Out of Filing Window Applications

- If you certified your FCC Form 470 **after** February 22, 2022, you will still need to wait 28 days before certifying FCC Form 471, which means you will not be able to certify your FCC Form 471 before the filing window closes on March 22.
- You can still submit and certify your FCC Form 471 after waiting the 28 days and after March 22, but USAC cannot consider your FCC Form 471 unless the FCC grants a waiver.
 - FCC Forms 471 filed after the deadline are not considered for funding unless an FCC waiver is filed and approved by the FCC. You will need to file a waiver with the FCC and receive approval for USAC to consider your application.
- **FCC Window Waiver**
 - USAC cannot approve appeals or waiver requests that ask for a waiver of the E-Rate program rules—**you must file a request for waiver with the FCC.**
 - Basic instructions for filing the FCC Window Waiver Requests is on the [FCC Form 471 Filing](#) page.

Note: New Tribal libraries do not need to submit a waiver if the FCC Form 471 is submitted and certified on or before **Thursday, May 26, 2022**. New Tribal libraries must still file the FCC Form 470 and wait 28 days prior to selecting their service provider(s), before filing the FCC Form 471.

E-Rate Program FCC Form 471 Submission Checklist

- Below is a list of the information applicants need before filing their FCC Form 471. This list is illustrative and is not intended to be exhaustive.
- 1. Make sure everything on your FCC Form 470 is accurate. (Separate FCC Forms 471 must be created for Category 1 and Category 2 services) If you need to make allowable corrections to the 470 or entity record, an Account Administrator must make them. The Account Administrator will have the **Manage Organization** button in EPC (top right of the screen).
- 2. Your FCC Form 470 filing number. This number is located on your FCC Form 470.
- 3. Contact Information
 - The "Main Contact Person" (Must be an EPC user)
 - Holiday/Summer Contact Name and phone number

(Continued on next slide)

- Download the [E-Rate Program FCC Form 471 Submission Checklist](#)

E-Rate Program FCC Form 471 Submission Checklist

4. The specifics of what you are purchasing

- The category(ies) of service entered on the FCC Form 471 must have been competitively bid for on the FCC Form(s) 470.
 - If you are receiving services under both categories of service, you will need to file separate FCC Forms 471.
 - Determine how many applications, FRNs, and line items you'll need (see training link).
 - Each **FRN** must have all of the following information in common: BEN, contact information, category of service (C1 or C2), Service type (Data Transmission and/or Internet Access, Internal Connections, BMIC, Managed Internal Broadband Services), FCC Form 470, Service Provider (SPIN), purchase type (contract, month-to-month, tariff), Contract ID (if you have one), service start and end dates, and recipients of service (ROS)
 - Each **FRN line item** must have all of the following information in common: equipment or service, rates and quantities, ROS. Each may have unique or overlapping ROS. (Duplicative or redundant services are ineligible.)
 - General product information (Use the [bulk upload template](#) to help you organize this information).
 - If you are continuing any FRNs from the previous year (as in a multi-year contract), you may copy the prior year FRN when filing your application and modify if needed.
- Download the [E-Rate Program FCC Form 471 Submission Checklist](#)

Before You Begin: FCDL Terms Defined

- **Pre-Discount:** Total cost of the equipment/services before the E-Rate discount is applied.
- **Discount Amount:** Pre-Discount Amount *times* discount rate.
- **Post-Discounts & Invoicing Amounts:**
 - Total Eligible Charges *times* discount rate equals FRN committed amount on the FCDL.
 - The “Commitment Request” in EPC is the amount eligible for funding and payment through the E-Rate program and for payment during the invoicing process.
- **Non-Discount Amount:** Amount applicant pays for the services/equipment using **non** E-Rate funds. The non-discount amount cannot be paid or credited by the service provider.

E-Rate FCC Form 471 Application Terms

- **Application Number** – A unique number that USAC assigns to each FCC Form 471. Each BEN can have one or more applications. C1 and C2 services must be on different applications. BENs applying for both of these categories of service will need at least two applications
- **Funding Request Number (FRN)** - A unique number that USAC assigns to each funding request in an FCC Form 471. Each FCC Form 471 application can have one or multiple FRNs.
 - Each FRN must have all of the following information in common: BEN, contact information, category of service (C1 or C2), Service type (Data Transmission and/or Internet Access, Internal Connections, BMIC, Managed Internal Broadband Services), FCC Form 470, Service Provider (SPIN), contract (if you have one), dates of service, recipients of service
- **FRN Line Item** - A unique number assigned to each Line Item within the FRN, beginning with the funding request number. For example, the first line item within FRN 2299000180 would be number 2299000180.001. Each FRN can have one or multiple line items.
 - Each FRN line item must have all of the following information in common: equipment or service, rates and quantities, recipients of service

E-Rate FCC Form 471 Application Terms

1. What is the specific equipment or service and which category does it fall under?

- C1: Data Transmission or Internet Access
- C2: Internal Connections, Basic Maintenance of Internal Connections (BMIC), or Managed Internal Broadband Services (MIBS)
- If you are requesting both C1 and C2 services, you will need to put these requests on **different FCC Form 471 applications**.

2. Is this a contracted or month to month service or multiple contracts?

- Services under different contracts, or services provided on a month-to-month basis, must be under **different FRNs**.
- If services are being provided by **multiple Service Providers**, then **separate FRNs** must be created.

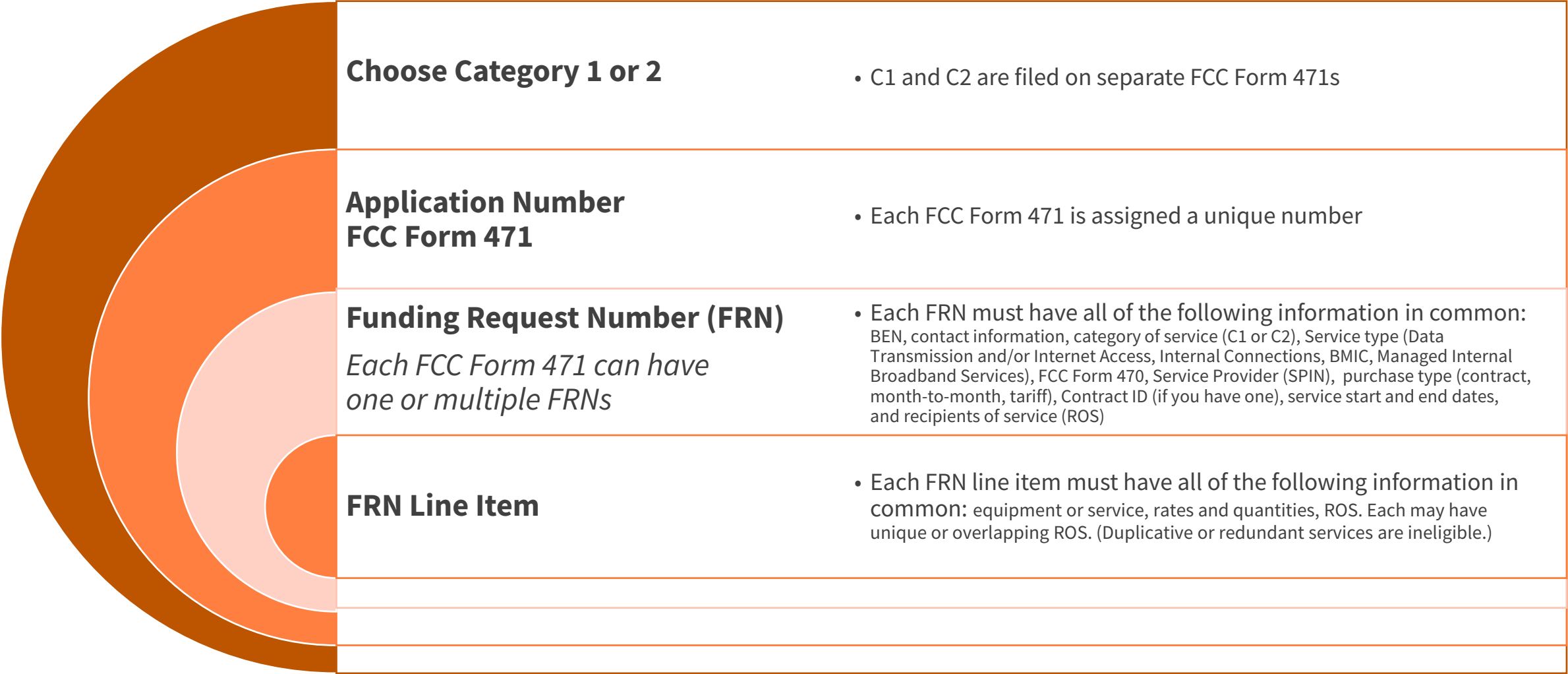
3. What is the exact type of equipment or connection being requested?

- C1 Example: Fiber Ethernet vs Copper Cable Modem
 - Since both fall under Data Transmission/Internet Access, they may be able to share an FRN using separate line items.
- C2 Example: Switch vs a License providing basic maintenance services
 - Since these are separate service types (i.e., internal connections and basic maintenance of internal connections) they require separate FRNs.

4. Are the recipients of service or the dates of service different?

- If either are different, **different FRNs** must be created.

Relationship Between Unique Numbers



Common FCC Form 471 Application Errors

- 1. Not correctly classifying the category of service or equipment/service type on the Form 470**
 - Determine the equipment/services you need and contact the CSC to verify correct classification of equipment/services.
 - Competitively bid for all necessary equipment and service types by filing an accurate Form 470 that accurately describes the equipment and service(s).
- 2. Filing an inaccurate FRN with the wrong equipment/service type**
 - Work with your service provider to ensure that equipment/services are accurately represented on the Form 471.
 - Contact the CSC or your PIA reviewer with any questions.
- 3. Failing to remove ineligible services/equipment.**
 - Work with your service provider to determine whether your requested service/equipment is 100% eligible.
 - Remove any ineligible amounts when creating your FRN(s).

Basic Information Needed to Create an FRN

- ☐ Application Number
- ☐ Category of Service
- ☐ Purchase Type (MTM, Contract, Tariff)
- ☐ EPC Contract ID (if applicable)
- ☐ Form 470 Number
- ☐ Service Provider ID Number
- ☐ Service Connection Type (C1)
- ☐ Bandwidth (C1)
- ☐ Type of Internal Connection (C2)
- ☐ Manufacturer
- ☐ Part #/SKU
- ☐ Monthly Recurring and/or One-Time Charges
- ☐ Service Start and End Dates
- ☐ Ineligible Amount(s)
- ☐ Quantity
- ☐ Recipients of Service

EPC Calculates:

- Total Pre-Discounted Amount
- Discount Rate
- Total Post-Discount

FRN Examples

Example: C1 Application - First FRN

Exception 9 - Library - 221000080

▲ Exception Records for : 5

Select the record to work at individual record level.

<input type="checkbox"/>	FRN Number	Review Status	Reviewer	Applicant Response Received	Escalation Response Received	Exception Returned	Auto Cleared
<input checked="" type="checkbox"/>	2299000083	Completed	Erin Hargis	×	×	×	✓
<input type="checkbox"/>	2299000180	Completed	Erin Hargis	×	×	×	✓

You can only take action on Pending Exceptions.

[Service Matrix](#) | [Threshold](#) | [Case Activity Log](#) | [Document Management](#)

▼ Services Reg

FRN # 2299000083

Funding Decision

Form 470 # None Found

Contract #

Contract Award Date (CAD)

Contract Expiration Date (CED)/Service End Date 6/30/2023

Tariff Rate Ind.

Purchase Type Month-to-Month

Service Start Date 7/1/2022

One-Time Cost \$0.00

Total Monthly Eligible Charges \$240.00

Annual Cost \$2,880.00

Discount Percentage 90

Pending Committed Amount \$2,592.00

Service Provider Name USAC TEST COMPANY-NOT FOR PAYMENT OR PRODUCTION USE

Type of Service Requested (from Item 21) Data Transmission and/or Internet Access

SPIN 143048166

Multi Year Contract FRN

Line Item [View Details](#)

Service Category 1

FRN Line Items

Auto Cleared	FRN Line Item Number	Function	Type of Connection	Quantity	Total Eligible Line Item Cost	
✓	2299000083.001	Copper	Switched Multimegabit Data Service	2	\$2,880.00	View

CLOSE

34

Example: C1 Application - Second FRN

Exception 9 - Library - 221000080

▲ Exception Records for : 5

Select the record to work at individual record level.

<input type="checkbox"/>	FRN Number	Review Status	Reviewer	Applicant Response Received	Escalation Response Received	Exception Returned	Auto Cleared
<input type="checkbox"/>	2299000083	Completed	Erin Hargis	×	×	×	✓
<input checked="" type="checkbox"/>	2299000180	Completed	Erin Hargis	×	×	×	✓

You can only take action on Pending Exceptions.

[Service Matrix](#) | [Threshold](#) | [Case Activity Log](#) | [Document Management](#)

▼ Services Reg

FRN # 2299000180

Funding Decision

Form 470 # 210026598

Contract #

Contract Award Date (CAD)

Contract Expiration Date (CED)/Service End Date 6/30/2023

Tariff Rate Ind.

Purchase Type Month-to-Month

Service Start Date 7/1/2022

One-Time Cost \$100.00

Total Monthly Eligible Charges \$2,000.00

Annual Cost \$24,000.00

Discount Percentage 90

Pending Committed Amount \$21,600.00

Service Provider Name SLD INTERIM

Type of Service Requested (from Item 21) Data Transmission and/or Internet Access

SPIN 143666666

Multi Year Contract FRN

Line Item [View Details](#)

Service Category 1

FRN Line Items

Auto Cleared

FRN Line Item Number	Function	Type of Connection	Quantity	Total Eligible Line Item Cost	
2299000180.001	Fiber	Ethernet	1	\$24,000.00	View

CLOSE

▼ FRN Narrative

Example: Two C2 Line Items

C2 Library Testing - 221000062

Exception Records for : 5

Select the record to work at individual record level.

<input checked="" type="checkbox"/>	FRN Number	Review Status	Reviewer	Applicant Response Received	Escalation Response Received	Exception Returned	Auto Cleared
<input checked="" type="checkbox"/>	2299000066	Pending	Erin Hargis	×	×	×	×

[Service Matrix](#) | [Threshold](#) | [Case Activity Log](#) | [Document Management](#)

Services Reg

FRN #	2299000066	Total Monthly Eligible Charges	\$0.00
Funding Decision		Annual Cost	\$2,050.00
Form 470 #	160002028	Discount Percentage	85
Contract #		Pending Committed Amount	\$1,742.50
Contract Award Date (CAD)	4/26/2016	Service Provider Name	USAC TEST COMPANY-NOT FOR PAYMENT OR PRODUCTION USE
Contract Expiration Date (CED)/Service End Date	6/30/2023	Type of Service Requested (from Item 21)	Internal Connections
Tariff Rate Ind.		SPIN	143048166
Purchase Type	Contract	Multi Year Contract FRN	
Service Start Date	7/1/2022	Line Item	View Details
One-Time Cost	\$1,250.00	Service Category	2

FRN Line Items

Auto Cleared	FRN Line Item Number	Type of Internal Connection	Type of Product	Quantity	Total Eligible Line Item Cost	
×	2299000066.002	Data Distribution	Switch	0	\$1,250.00	View
×	2299000066.001	Cabling/Connectors	Cabling	0	\$800.00	View

CLOSE

Eligible Equipment or Services: Key Reminders

- Equipment and services fall into a particular **Category of Service**.
- Commitments for different categories of service can be for different term lengths.
 - Internal Connections – **All years** of the contract can be billed in a single funding year
 - e.g., For a 3-year contract for 100% eligible Internal Connections equipment or services at a pre-discounted amount of \$12,000, the full amount of \$12,000 could be entered into a single FRN for that funding year.
 - BMIC – Only the **current year** of service can be included in a single funding year and multi-year contract amounts must be prorated.
 - e.g., For a 3-year contract for 100% eligible BMIC services at a total pre-discounted amount of \$12,000, the FRN could only request a single year of expenses, or \$4,000, in a single funding year. BMIC services can only be invoiced after they are actually provided/performed.

Eligible Equipment or Services: Key Reminders

- **E-Rate Eligibility:** Equipment or services may be partially eligible under E-Rate depending on the nature of the services and the Eligible Services List (ESL) for a particular year.
- **Applicants are responsible for determining before filing FCC Form 471:**
 1. Total Costs, and
 2. Ineligible portions

How To Determine

Contact the manufacturer or Customer Service Center (CSC) to determine a particular equipment item or service's eligibility before submitting your FCC Form 471 to:

1. Determine eligibility under E-Rate, and
2. Confirm the category of service for that eligibility.

Eligible Equipment or Services: Key Reminder Examples

Post-Discount Amount for Reimbursement =

Pre-Discounted Amount of Equipment or Service x Quantity x Percentage of Equipment or Service Eligible x Entity’s Discount Rate

	Example 1	Example 2	Example 3
Equipment or Service Name	Equipment A	Equipment B	Equipment C
Pre-Discounted Amount	\$1,000	\$1,000	\$1,000
Quantity	1	1	1
Percent Eligible under E-Rate	80%	100%	BMIC: 60% IC: 40%
Entity’s Discount Rate	90%	90%	90%
Post-Discount Amount Eligible for Invoicing & Reimbursement Funding Commitment on your FCC Form 471	\$720 (\$1,000 * 1 * 80% * 90%)	\$900 (\$1,000 * 1 * 100% * 90%)	BMIC FRN: \$540 IC FRN: \$360 (BMIC: \$1,000 * 1 * 60% * 90%) (IC: \$1,000 * 1 * 40% * 90%)
You Pay	\$ 280	\$100	BMIC FRN: \$460 IC FRN: \$640

Example 1: Equipment A

Tables contain an example of the Cost Calculation for an FRN Line Item at pre-discount.

Monthly Cost

Monthly Recurring Unit Cost	\$0.00
Monthly Recurring Unit Ineligible Costs	\$0.00
Monthly Recurring Unit Eligible Costs	= \$0.00
Monthly Quantity	0
Units	Each
Total Monthly Eligible Recurring Costs	= \$0.00
Months of Service	x 12
Total Eligible Recurring Costs	= \$0.00

One-Time Costs

One-time Unit Cost	\$1,000.00
One-time Ineligible Unit Cost	\$ 200.00
One-time Eligible Unit Cost	= \$800.00
One-time Quantity	1
Total Eligible One-time Costs	= \$800.00

Summary

Total Eligible Recurring Costs	\$0.00
Total Eligible One-time Costs	\$800.00
Pre-Discount Extended Eligible Line Item Cost	= \$800.00

Calculating Pending Commitment Amount

Pre-Discount Extended Eligible Line Item Cost	= \$800.00
Discount Rate	90%
Total Pending Committed Amount	\$720.00

You pay

$$\mathbf{\$1,000.00} - \mathbf{\$720.00} = \mathbf{\$280.00}$$

FCC Form 471 Walkthrough Videos

- **Navigating FCC Form 471 in EPC**


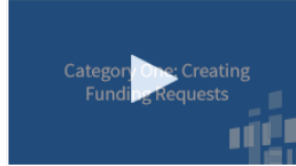

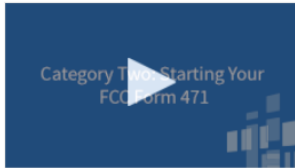
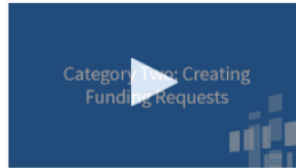

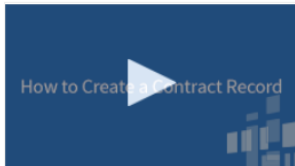
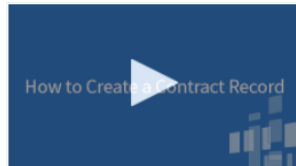
- Category One (C1)

- [Category One: Starting Your FCC Form 471](#)
 - [Category One: Creating Funding Requests](#)
 - [Category One: Certification](#)

- Category Two (C2)

- [Category Two: Starting Your FCC Form 471](#)
 - [Category Two: Creating Funding Requests](#)
 - [Category Two: Certification](#)

FCC Form 471

 <p>Category One: Starting Your FCC Form 471</p> <p>3:38 minutes</p>	 <p>Category One: Creating Funding Requests</p> <p>9:25 minutes</p>	 <p>Category One: Certification</p> <p>4:30 minutes</p>
 <p>Category Two: Starting Your FCC Form 471</p> <p>4:32 minutes</p>	 <p>Category Two: Creating Funding Requests</p> <p>13:03 minutes</p>	 <p>Category Two: Certification</p> <p>4:31 minutes</p>
 <p>How to Create a Contract Record</p> <p>How to Create a Contract Record</p>	 <p>How to Create a Contract Record "CABIO"</p> <p>How to Create a Contract Record "CABIO"</p>	

Sample 2: FCC Form 471 (Category 1)

- Download [Sample 2](#) (PDF; 7 pages)
- For Identification Purposes
 - Header: Description of Services Ordered and Certification Form 471
 - Application Number: 221000083
 - Category of Service: Category 1
- Developed for Training Purposes Only

OMB 3060-0806
FCC Form 471

Approval by OMB
December 2018



Description of Services Ordered and Certification Form 471

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FCC Form 471

Application Information

Nickname ex: internet access

Funding Year 2022

Application Number 221000083

Category of Service Category 1

Billed Entity

Independent Library 18
1112 East Ave Queens VA 64183
111-111-1112

Contact Information

Independent Library Admin 18
111-111-1111
ind_lib_18_aa@testmail.usac.org

Billed Entity Number 20327

FCC Registration Number 2234567890

Applicant Type Library

Entity Information

Library Entity - Details

BEN	Name	FSCS Code	Urban/ Rural	Total Square Feet	School District Name	School District BEN	Library Attributes

Sample 3: FCC Form 471 (Category 2)

- Download [Sample 3](#) (PDF; 7 pages)
- For Identification Purposes
 - Header: Description of Services Ordered and Certification Form 471
 - Application Number: 221000084
 - **Category of Service:** Category 2
- Developed for Training Purposes Only

OMB 3060-0806 FCC Form 471		Approval by OMB December 2018	
 Universal Service Administrative Co.		Description of Services Ordered and Certification Form 471	
FCC Form 471			
<u>Application Information</u>			
Nickname	ex: access points	Application Number	221000084
Funding Year	2022	Category of Service	Category 2
<u>Billed Entity</u>		<u>Contact Information</u>	
Independent Library 18 1112 East Ave Queens VA 64183 111-111-1112		Independent Library Admin 18 111-111-1111 ind_lib_18_aa@testmail.usac.org	
Billed Entity Number	20327		
FCC Registration Number	2234567890		
Applicant Type	Library		
<u>Entity Information</u>			
<u>Library Entity - Details</u>			

After Certifying FCC Form 471

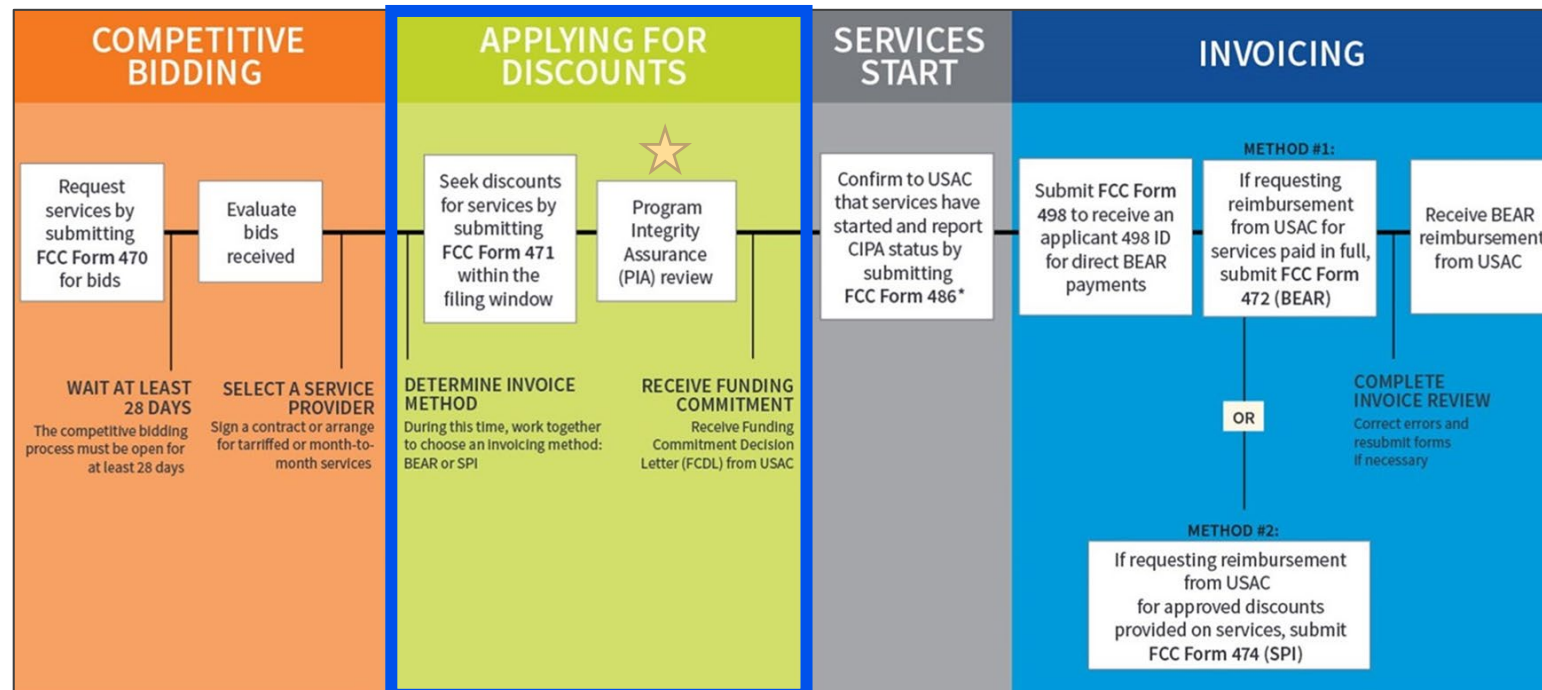
Step 4: Application Review
Program Integrity Assurance (PIA)



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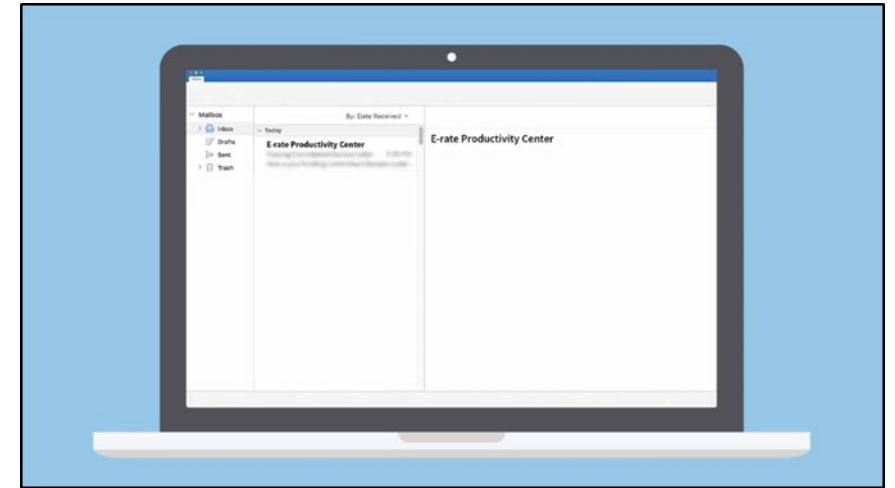
Program Integrity Assurance (PIA) Review

After the FCC Form 471 is certified in the filing window, or has been granted an FCC Waiver if filed out of the filing window, PIA reviewers check the information on the form for completeness and accuracy.



E-Rate Productivity Center (EPC) Account

- Monitor your email inbox and EPC account.
- Be ready to respond to the PIA reviewer's questions.
- The contact person identified on the FCC Form 471 should regularly monitor their email address and EPC account to check for PIA reviewer's questions.



Program Integrity Assurance (PIA) Review

- Your PIA reviewer may contact you to verify:
 - [Eligibility of one or more of your schools or libraries.](#)
 - [Eligibility of the requested services.](#)
 - Compliance with program rules.
- Additional information may be requested such as:
 - Vendor documentation that supports the funding request amount.
 - Supporting documentation that validates the requested discount percentage.
 - Supporting documentation that validates entity's eligibility for E-Rate funding.




Application Status

- While your form is under review, its status changes as the review process progresses.
- During the review process, your application may change status several times, including reverting back to a previous status.
 - This may occur due to the various levels of review involved.
 - Applications reflecting a PIA review status of “wave ready” may be excluded from the upcoming wave if the application is randomly selected for a quality check. After the quality check is completed, the application will return to “wave ready” status.
 - “Wave ready” means the review is completed and the funding decision will be issued in the next wave of commitments.

Organize Documentation

- Save and organize copies of all your documentation such as:
 - Competitive bidding documentation
 - Contracts
 - Network diagrams
 - National School Lunch Program (NSLP) documentation
- Use the [E-Rate Program Applicant Document Retention List](#) as a guide.

Available for Public Use



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[Schools and Libraries \(E-rate\) Program Applicant Document Retention List](#)

This list provides guidance regarding what E-rate Program related documents should be retained by applicants to comply with FCC [document retention](#) requirements. This guide provides document retention guidance to E-rate Program applicants. It includes items that do not apply to every applicant and is not an exhaustive list.

For forms filed in the [E-rate Productivity Center \(EPC\)](#), you can print a PDF copy of forms, letters and correspondence for your records.

1. FCC FORMS & CERTIFICATIONS

1.1. FCC Form 470

1.2. FCC Form 471

1.3. FCC Form 498 - applicants filing FCC Form 472 (BEAR)

1.4. FCC Form 472 - Billed Entity Applicant Reimbursement (BEAR)

1.5. FCC Form 479 - consortium members & consortium leaders only

1.6. FCC Form 486

1.7. FCC Form 500

1.8. Delivery confirmations for forms filed outside of EPC

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. Revised Funding Commitment Decision Letter (RFCDLs)

2.6. FCC Form 486 Notification Letter

2.7. FCC Form 486 Urgent Reminder Letter

2.8. FCC Form 500 Notification Letter

2.9. FCC Form 472 (BEAR) Notification Letter

2.10. Quarterly Disbursement Reports (QDR)

2.11. Other USAC letters

usac.org/e-rate

Updated April 2021

Correcting a Mistake on FCC Form 471

- **Reminder:** If you notice mistakes on your form, you may be able to submit a request for a correction. See [Ministerial and Clerical Error Corrections](#) for a list of allowable corrections.
 - To submit an allowable corrections request, see the [RAL Modification Guide](#) (PDF) for step-by-step walkthrough of the EPC system.
- RAL Requests can only be filed during the PIA review stage.

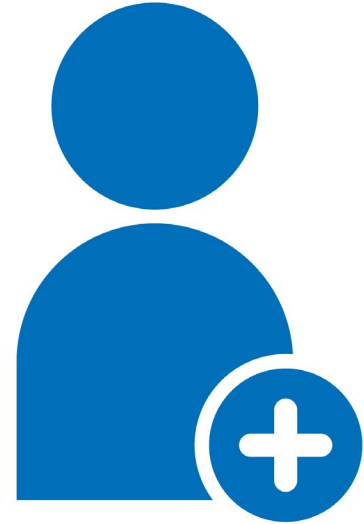
TIP: Remember to upload documentation to support your request when applicable.

Changing Service Types After Submitting FCC Form 471

- All services must be properly bid during the FCC Form 470 process.
- Ensure your FCC Form 470 clearly explains what licenses and other equipment you are seeking bids for.
- FCC Forms 470 must be correctly filed in order for corrections to be made on the FCC Form 471.
- For changes identified **after the FCC Form 471 is certified and before the FCDL** is issued:
 - Submit a Receipt Acknowledgement Letter (RAL) to make the correction.
- Changes identified **after the FCDL is issued**:
 - Submit a Service Substitution request with a detailed narrative:
 - Background information
 - Calculation for changes (single vs. multi-year)
 - Reason for the correction

Update Your Contact Information

You can file a RAL modification to update your home contact information if we should use a different email address or telephone number to contact you. If you have authorized someone else to answer questions on your behalf.



- Open your certified application within EPC and go to Related Actions, then Submit Modification Request (RAL) and complete the form.

FCC Form 471 Modifications

- As part of the review process, the PIA reviewer may be required to modify information on your funding request.
 - For example: PIA reviewer may change student count, service type or remove ineligible services based on the information available.
- If a PIA reviewer discovers ineligible services in a funding request, applicants can ask to have them moved to a separate funding request or removed altogether.
 - The 30% Rule



FCDL: Review USAC's Decision on Your Application

- What to review:
 - The decision that was made and what is listed on the issued FCDL.
 - PIA modifications to your FRN made due to program rules.
 - If you have questions, contact the Customer Service Center (CSC).
- Notifications via EPC: Generally most FY 2022 applications will receive an FCDL containing the decision between May and September 2022.
 - EPC News Feed: Click “News” at the top of EPC **or**
 - Records/FCC Forms 471, Select your Application Number, Scroll to the bottom of the Summary Tab to find the pdf of your FCC Form 471 under “FCC Form 471 Generated Documents.”

Document Retention Requirement

Applicants and service providers are required to keep records relating to the application process for at least **ten years** after the latter of the last day of the applicable funding year or the service delivery deadline for the funding request.

TIP: In your personal record keeping, use filenames and folder names that are specific and descriptive to locate them more easily.

Learn more on the [Document Retention](#) page.



Available Training

- Read more info on the [Application Review](#) page
- Relevant Training
 - Program Integrity Assurance (PIA) Review and Selective Review
 - [Webinar slides](#) (May 26, 2021) for information about:
 - Application Review Process
 - Preparing for PIA Review
 - PIA Inquiries Selective Review
 - Funding Decisions
 - Updating Your Contract Information

At a Glance: E-Rate Applicant Process Overview

✓ Pre-Plan [Before You Begin](#)

✓ Step 1	Competitive Bidding	FCC Form 470 / Request Services
✓ Step 2	Selecting Service Providers	Evaluation Matrix & Select Invoice Method

✓ Step 3	Applying for Discounts	FCC Form 471 / Discount Matrix
☐ Step 4	Application Review	Program Integrity Assurance (PIA)

☐ Step 5	Starting Services	More Training will be scheduled
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☐ Step 6	Invoicing	More Training will be scheduled
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• Review [Before You're Done](#)

• Download the [Application Process Flow Chart](#)

Questions?

Save the Date

FY 2023 Competitive Bidding Process Starts in July 2022

Upcoming Trainings

- **FY2022 E-Rate Tribal Training Series**

- **Completed Sessions.**

- A recording will be available on the [E-Rate Tribal Training](#) page.

- **Session 1: E-Rate Tribal Info Session**
 - **Session 2: FCC Form 470 Walkthrough for Tribal applicants (The First Form)**
 - **Session 3: Office Hours for Tribal Applicants**
 - **Session 4: FCC Form 471 Walkthrough for Tribal applicants (The Second Form)**

- **Upcoming Sessions.**

- **Session 5: Office Hours for Tribal Applicants - [Register](#)**
March 15, 2022 at 4 p.m. ET

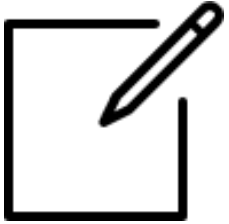
Resources

- [E-Rate Tribal Training webpage](#)
- [E-Rate Webinars](#)
- [Video Tutorials](#)
- [E-learning Modules](#)
- [E-Rate Program Applicant Document Retention List](#)

Additional Resources

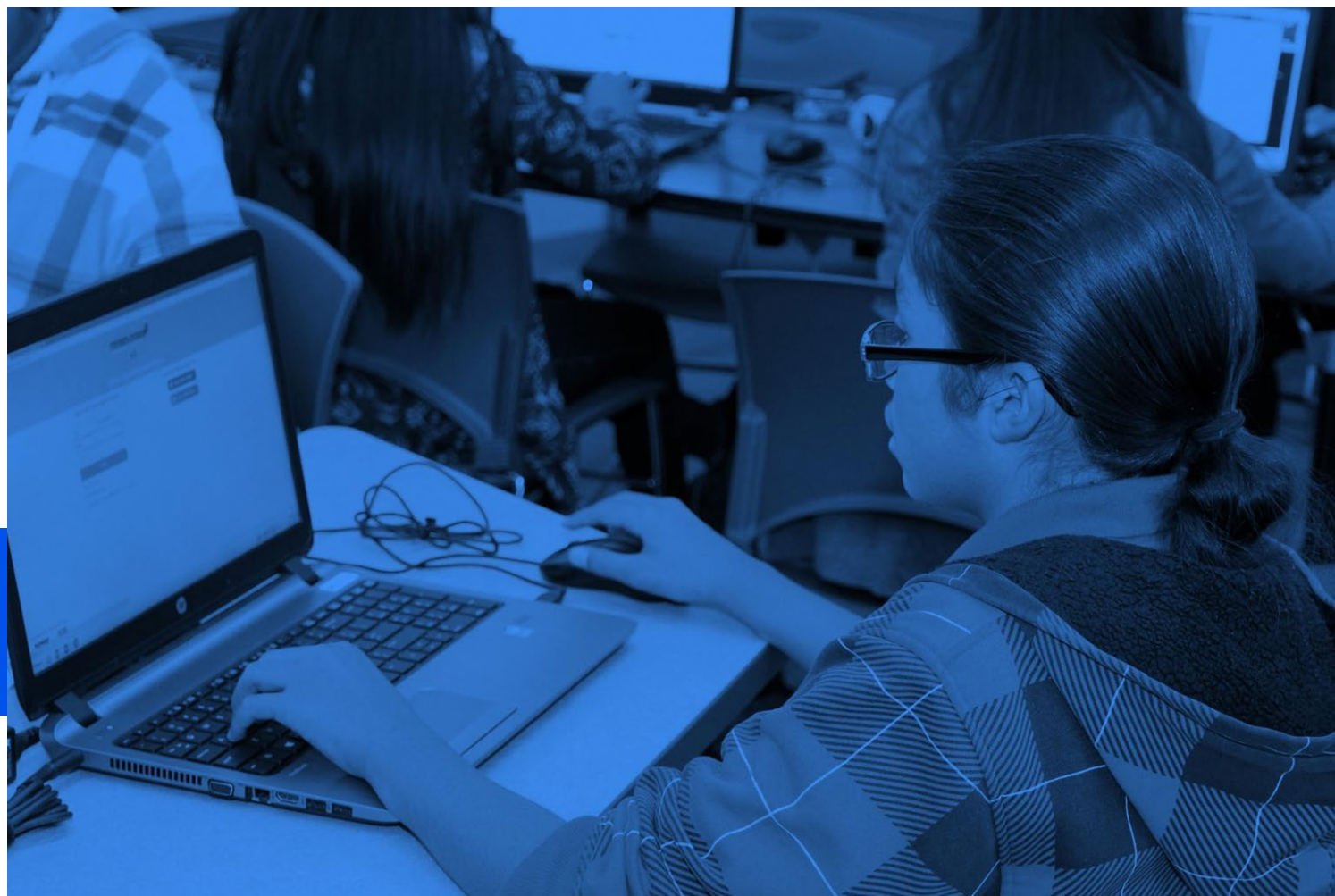
- [Subscribe](#) to the E-Rate News Brief and the E-Rate Tribal e-Newsletter
 - Deadline reminders
 - Training announcements
- Customer Service Center (CSC)
 - Call us at (888) 203-8100
 - Monday – Friday, 8 a.m. to 8 p.m. ET
- For Tribal Partners: The [USAC Tribal Liaison](#) can help guide you to public resources, call centers, or program teams. You can contact USAC's Tribal Liaison at TribalLiaison@usac.org.

Take Our Survey



- We want to hear about your webinar experience.
- Expect an email from invites@mailersurveygizmo.com with a unique survey link in 1-2 business days.
- We appreciate your feedback!

Thank You!





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Appendix

Review Step 2: Selecting Service Providers

- Evaluating Bids



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Evaluating Bids

- To evaluate incoming bids, create a bid evaluation matrix or similar document.
- Develop evaluation criteria or factors to assess the bids.
 - You can have one or multiple factors.
- Assign each evaluation factor a point value or percentage.
 - **The price of the eligible products and services must be the most heavily weighted factor.**
 - Other factors, including other non-price factors, can be considered as well; but they cannot be weighted equally or higher than price of the eligible equipment and services.
- The vendor with the most overall points is the winner.
- **Resources**
 - Review the [How to Construct an Evaluation Matrix](#) webpage
 - Download a [Sample Bid Evaluation Matrix](#) (PDF)

Sample: Bid Evaluation Matrix

- Evaluate your bids using a matrix, filled in with your chosen factors and point values.

Factor	Points Available	Vendor 1	Vendor 2	Vendor 3
Price of eligible products and services	50	15	50	35
Prior experience with vendor	20	20	0	20
Service provider bonded	20	7	13	20
Local or in-state vendor	10	10	8	7
Total	100	52	71	82

Result: Vendor #3 wins. Note that this may not be the lowest cost vendor.

Evaluating Bids: Zero or One Bid Received

- If you receive only one bid, and it is cost-effective, you may accept it.
 - Document your decision with a memo or email to your file.
- If you did not receive any bids, you can solicit bids after the 28-day waiting period.
 - Reach out to vendors in the area.
 - Ask your current service provider to submit a bid or confirm they are willing to continue your current services at the same cost.

Duplicative Services

- Duplicative services are services that provide the same functionality for the same population in the same location during the same period of time.
- Backup or redundant services – services sought to reduce reliance on any single service provider's network during an outage – are considered duplicative.
- Services that provide necessary bandwidth requirements, such as multiple T-1 lines when appropriate for the population served and the services to be received, may not be considered duplicative. However, the applicant must still evaluate and choose the most cost-effective option from the bids received.
- USAC cannot fund duplicative services.

Contracts

- Applicants must have a signed contract or other legally binding agreement in place and loaded in EPC prior to submitting their FCC Forms 471 to USAC.
- Applicant must not sign a contract before the Allowable Contract Date (ACD), which is 28 days after the FCC Form 470 is filed.
- Signed contracts constitute the best evidence that a legally binding agreement exists.
- A verbal offer and/or acceptance will not be considered evidence of the existence of a legally binding agreement.
- Learn more on the [State Master Contracts](#) webpage.
- **Resource**
 - **Instructional Videos**
 - [How to Create a Contract Record](#) (5:58 mins)
 - [How to Create a Contract for Low Cost High Speed Internet](#) (4:55 mins)