



## 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

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

- 3.1. State and local procurement regulations (printout or website reference)
- 3.2. Request for proposals (RFP), public notice, advertisement
- 3.3. All vendor responses & bids received (winning and losing)
- 3.4. Bid evaluation criteria, bid 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. PROGRAM INTEGRITY ASSURANCE (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, customer service case numbers)
- 4.4. Entity eligibility documentation (state website printout, matching records, etc.)
- 4.5. Discount eligibility calculation documentation
- 4.6. Product service eligibility (warranties, product descriptions, network diagrams, etc.)
- 4.7. Request to cancel services
- 4.8. Any worksheets or other records relied upon to fill out an application.
- 4.9. Any documents that demonstrate compliance with statutory or regulatory requirements

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

- 5.1. Proof of undertaking actions to comply with CIPA (e.g., public notice, public meeting or hearing minutes)
- 5.2. Filtering documentation (purchase, installation, use)
- 5.3. Internet safety policy

### **6. SERVICE DELIVERY & INVENTORY MANAGEMENT**

- 6.1. Asset register/inventory list including location and dispositions (replacements, transfers, disposals) (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 (For FCC Form 472 (BEAR) forms filed before July 2016)
- 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
- 8.4. Service Provider Identification number (SPIN) change request
- 8.5. Documentation of funds returned to USAC
- 8.6. Invoice deadline extension request
- 8.7. Service deadline delivery request (if filed outside of EPC)
- 8.8. Transfer of equipment notification (if filed outside of EPC)

## 9. MISCELLANEOUS

- 9.1 Personal identification Number (PIN) mailer or email notification (for the authorized user)
- 9.2 Audit documentation
- 9.3 FCC correspondence

## 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