

## USF Record Keeping Checklist

The Item (32) certification of the Form 471 states: "I recognize that I may be audited pursuant to this application. I will retain for five years any and all worksheets and other records that I rely upon to fill out this application, and, if audited, will make available to the Administrator such records."

The following is a suggested checklist of information that should be available for an audit for which E-rate funds were awarded. This documentation should be retained for a minimum of five years and should be maintained by YEAR of application.

**Applicant:** \_\_\_\_\_

**Contact:** \_\_\_\_\_

**Funding Year:** \_\_\_\_\_

---

**Form 470**                      Form Identifier: \_\_\_\_\_                      Date Submitted: \_\_\_\_\_

- Copy of Form 470 (this can be obtained by printing it from the SLD website)
  - Copy of Form 470 certification that was mailed to the SLD (signature sheets)
  - Verification of Form 470 certification receipt (return receipt copy)
  - Copy of RFP or any documentation that is used in place of the RFP (if you needed any, not needed for tariff or month-to-month services)
  - Copy of Form 470 -Receipt Notification Letter (first used in year 4)
- 

**Form 471**                      Form Identifier: \_\_\_\_\_                      Date Submitted: \_\_\_\_\_

- Copy of a completed Form 471, if manually filed with signature (including student eligibility information – form SM-4012-SL, Item (21) information/attachments – highest monthly billing or purchase orders/signed proposals)
  - Copy of Form 471 certification, if filed online (signature sheets and return receipt copy)
  - Verification of receipt of Form 471 or certification at the SLD
  - Receipt Acknowledge Letter (RAL Letter to make changes if necessary)
  - Funding Decision Commitment Letter from the SLD
  - Documentation of any changes requested by the SLD (changes to the Form 471)
  - Any documentation for an Item (25) review by the SLD
- 

**Form 486**                      Form Identifier: \_\_\_\_\_                      Date Submitted: \_\_\_\_\_

- Copy of a completed Form 486
- Verification of Form 486 receipt (return receipt copy)

Check Service Start Dates \_\_\_\_\_

---

**Procurement Information** Form Identifier: \_\_\_\_\_ Date Submitted: \_\_\_\_\_

- Documentation that shows bills or P.O.s for services, invoices for payment
- Vouchers or canceled check that was used in payment, etc.
- Documentation that proves that the actual discounts that were received for products and/or services were correctly applied
- Inventory listing of tangible goods purchased with e-rate funds (i.e, product identification, serial number, location of product)

---

**Form 472 BEAR(s)** Form Identifier: \_\_\_\_\_ Date Submitted: \_\_\_\_\_

- Copy of a completed Form 472 BEAR(s) with signatures
- Verification of Form 472 receipt by the SLD (copy of Notification letter)
- SLD letter of vendor payment
- Copy of payments received

---

**Form 500 (if applicable)** Form Identifier: \_\_\_\_\_ Date Submitted: \_\_\_\_\_

- Copy of completed Form 500 with signatures
- Verification of Form 500 receipt by the SLD

---

**Additional Information** Form Identifier(s): \_\_\_\_\_ Date(s) Submitted: \_\_\_\_\_

- Appeal information (copies of letters and emails)  
Also any SPIN Changes or Corrections
- SLD communication notes (e.g., data entry or PIA requested support information)

