

### **Overview**

- Completing FCC Form 497
  - Process
  - Overview and Validations
  - Filing a Single FCC Form 497
  - Filing Multiple Forms (Bulk Upload)
    - Certification
  - Helpful Tips and Contact Information

### **Completing FCC Form 497**

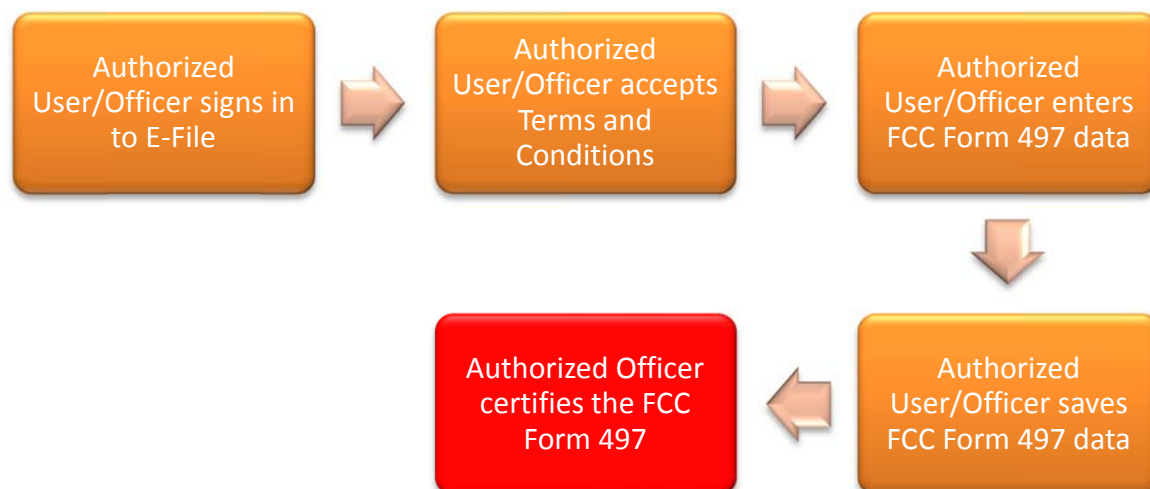
FCC Form 497, the Lifeline Worksheet, is an official FCC Form used by carriers to submit Low Income support claims.

Carriers first submit the FCC Form 497 to USAC. The form consists of two pages – details concerning monthly support claims and data certification. Carriers must file one FCC Form 497 for each month.

Carriers can submit this form via U.S. mail, fax, email, or online. The online FCC Form 497 is the preferred submission method.

Online filing increases process efficiencies, has built-in validations to ensure accuracy, and if filed online by the eighth calendar day, the FCC Form 497 will be processed for disbursement by the end of that month (beginning October 8, 2012).

### **Process Overview for Authorized Users**



## Completing Online FCC Form 497 User Instructions



### Signing Into E-File

If you have used E-File in the past, or if you have received a USAC assigned User ID and password, go to <https://forms.universalservice.org> and log in.

Contact your company's Officer or General Contact if you do not have a USAC User ID. A new user will be asked to change their password the first time they log in to E-File. The user will receive a confirmation message on screen for a successful password change and should then return to the E-File homepage to log in.

Existing users may log in below:

**E-File Sign In**

User ID:

Password:

[Forgot password](#)

New users, please select from the options below:

- [New Service Provider](#)
- [New Contributor](#)

After changing their password, first time E-File users will be asked to read and accept/reject the full E-File Terms and Conditions.

located in the District of Columbia and agree to waive any and all objections to the exercise of jurisdiction by such courts.

29. I acknowledge and agree that if my account is deactivated or terminated for any reason, the following obligations of the Terms and Conditions will survive: 4, 5, 11, 12, 13, 14, 15, 16, 17, 18, 19, 21, 24, 26 and 28.

**FOR ACCOUNTS ALLOWED TO SIGN AND CERTIFY FORMS ELECTRONICALLY:**

In addition to the Terms and Conditions listed above:

30. I acknowledge and agree that I may use my account and electronic signature to electronically sign forms, enabling me to certify and submit forms electronically without having to mail the original to USAC.

31. I acknowledge and agree that by logging into my account using my User ID and password, typing my password in the signature line of the form, and clicking the "Certify & Submit" button at the end of the form, I have submitted my electronic signature to the form.

32. I acknowledge and agree that my electronic signature is equivalent to my handwritten signature on the form.

33. I acknowledge and agree that by electronically signing the form, I am making the certifications stated in that form.

34. I acknowledge and agree that when I electronically certify a form using my RHC Applicant Portal account, the firm will be considered filed and certified and an electronic acknowledgement will be sent to me. If I do not receive this acknowledgement, I shall immediately contact USAC at 1-800-229-5476 or rhc-admin@usac.org.

35. I acknowledge and agree that I am authorized to certify, sign and submit forms regarding the universal service fund on behalf of the HCP I represent.

36. I acknowledge and agree that my accounts associated with the HCP on whose behalf I am authorized to sign forms. I acknowledge and agree that if I am no longer authorized to the HCP I am currently associated with to sign forms, I must do one of the following: (1) change my permissions or deactivate my own account through the "Account Settings" functionality in the system; (2) if I am not the primary account holder, contact the primary account holder for my HCP and request changes to my permissions or deactivation if my account; or (3) contact USAC at 1-800-229-5476 or rhc-admin@usac.org, and request changes to my permissions or deactivation of my account.

37. I acknowledge that persons willfully making false statements on the FCC forms can be punished by fine or forfeiture, under the Communications Act, 47 U.S.C. §§ 502, 503(b), or fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. § 1001.

**FOR ACCOUNTS HOLDERS ALLOWED TO CREATE OR WHO HAVE CONTROL OVER SECONDARY ACCOUNT HOLDERS:**

In addition to the Terms and Conditions listed above:

38. I acknowledge and agree that I will only create secondary accounts for, and grant appropriate access to, individuals authorized to (1) view and upload HCP materials, information and FCC forms, and perform data entry on FCC forms and, (2) in certain cases, sign and certify FCC forms for their associated HCP's.

39. I acknowledge and agree that secondary account holders will have access to all of the information in the RHC Applicant Portal for the HCPs to which they are assigned regardless of who uploaded the information or when it was updated. I acknowledge and agree that if I do not want a secondary account holder to have access to one or more pieces of information for a HCP, I will not give the secondary account holder permissions to that HCP.

40. I acknowledge and agree that if a secondary account user over which I have control is no longer authorized by the HCP to (1) view, upload or data enter forms or materials, (2) in some cases, certify forms, or (3) otherwise have access to the RHC Applicant Portal, I will deactivate or modify the permissions accordingly.

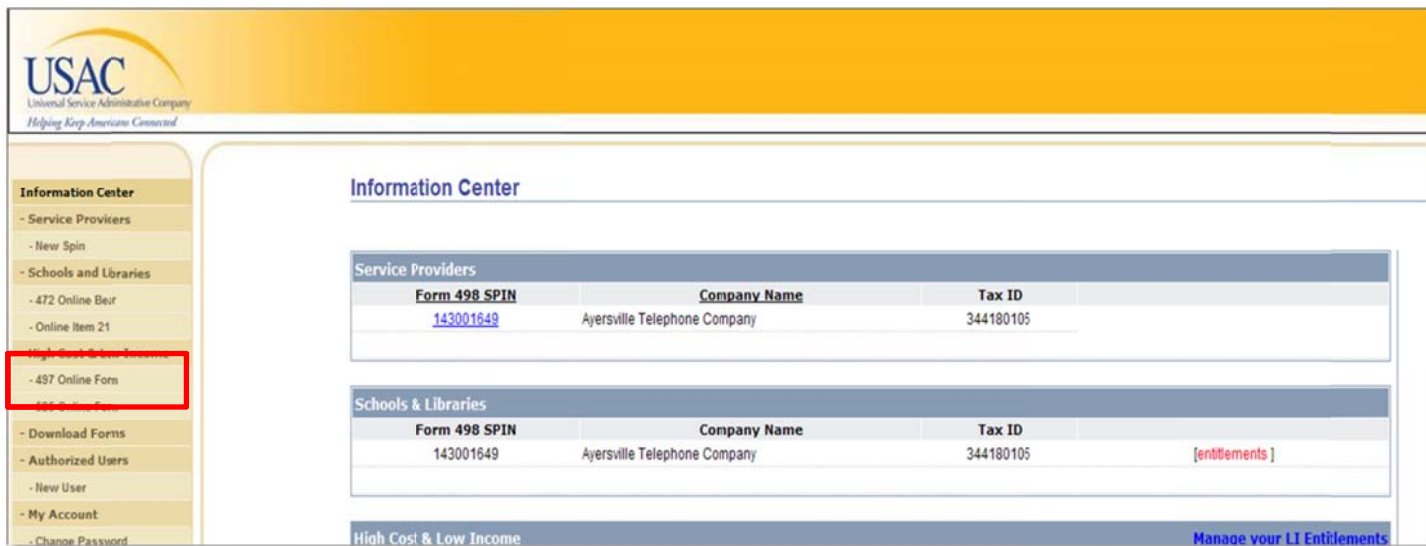
41. I acknowledge and agree that when my account is deactivated, a new primary account holder must be assigned within fourteen (14) days or these secondary accounts will be deactivated.

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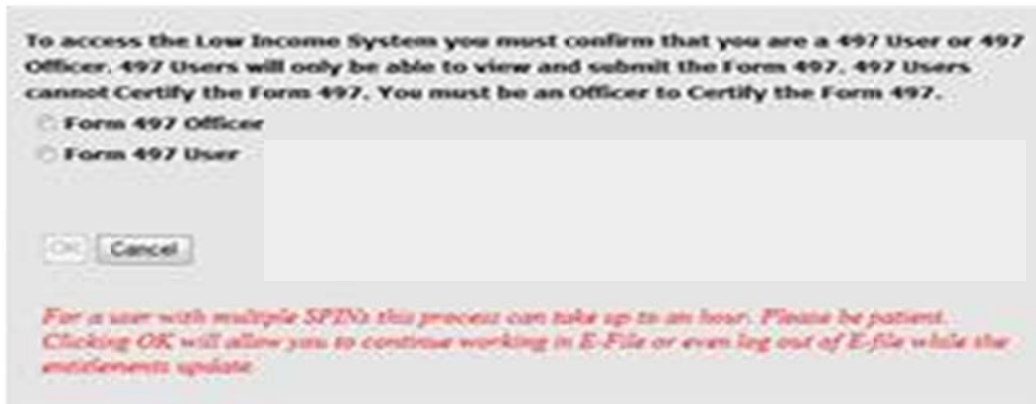
# Completing Online FCC Form 497 User Instructions



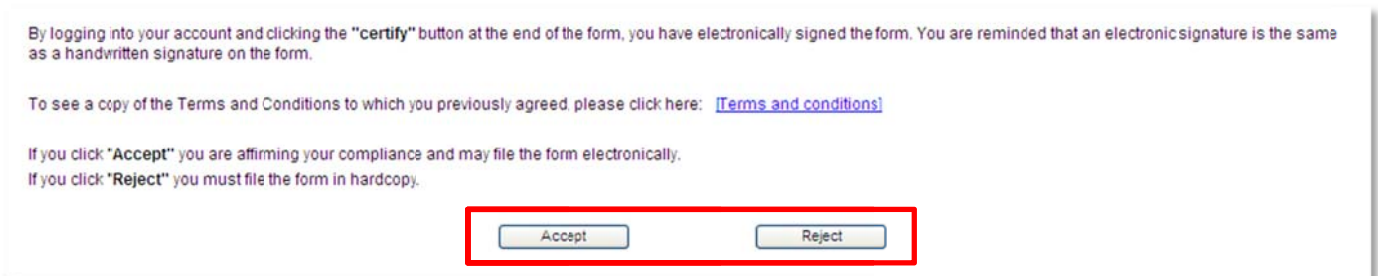
Select "497 Online Form" from the Information Center menu.



Following September 1, 2012, for your initial FCC Form 497 login, first time users must certify their entitlements as either an FCC Form 497 Officer or an FCC Form 497 User.

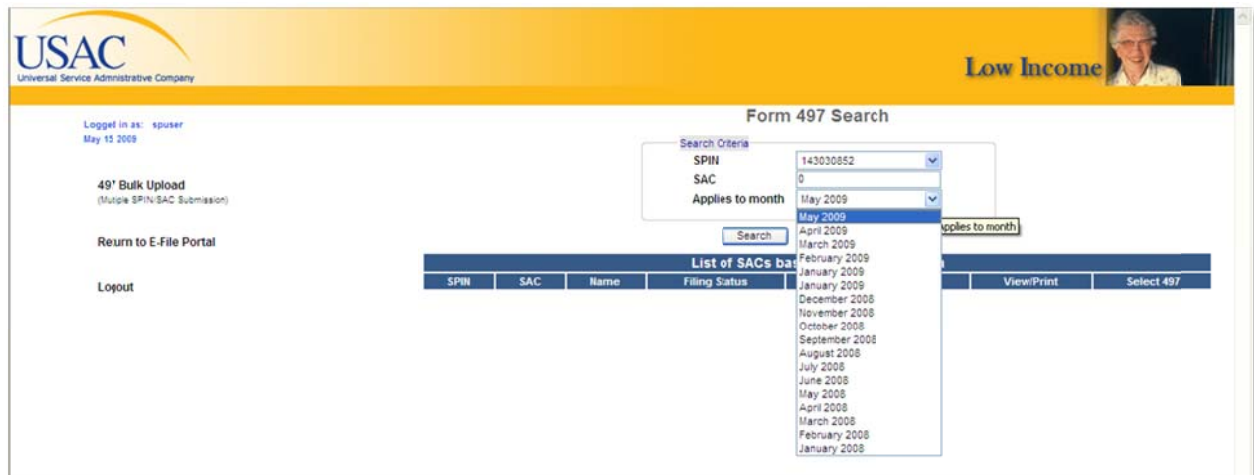


Each time you log in to "497 Online Form", users must accept or reject the Terms and Conditions. "Accept" will take the user to the online FCC Form 497. "Reject" will take the user back to the E-File homepage.



**Entering a Single FCC Form 497**

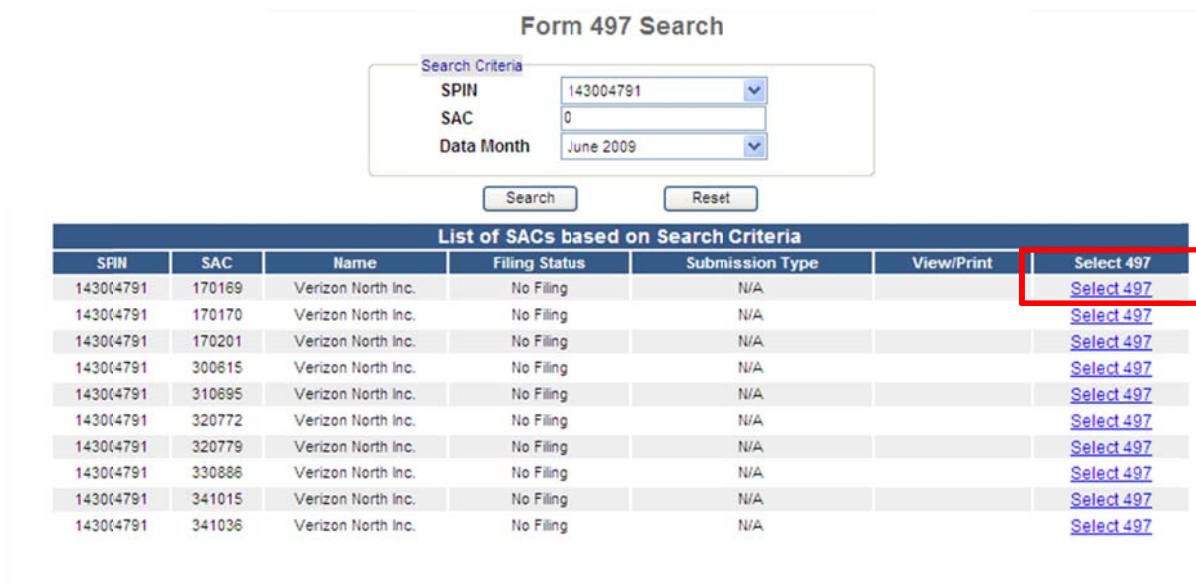
The online FCC Form 497 defaults to a single form submission. Carriers must submit forms for each month. Bulk Upload is available to users that submit data for multiple SPINs and/or SACs at a single time.



Once you’ve selected a SPIN, the system displays a list of SACs related to the selected SPIN. Carriers can submit new or revised forms for any month during the Administrative Window. Carriers must submit forms for each “Applies to Month” for active SPIN/SAC combinations.

On the List of SACs table, “Filing Status” lists whether there is currently no filing, a saved form, or a certified form. “Submission Type” lets you know if a form was submitted online, offline, or N/A. “View/Print” displays PDFs of forms submitted online.

To start a new filing, select “Select 497” for the SPIN/SAC combination that you wish to submit data for reimbursement.



**Completing Online FCC Form 497**  
User Instructions



Once you've made a selection, the information from the form is pre-populated into select fields. Selecting "Save" on any screen both saves data and identifies errors. Users can save the form at any time and move on to another page, or "Exit to 497 Search" page.

The online FCC Form 497 is similar to the paper FCC Form 497. The benefits of the online FCC Form 497 are that it identifies and explains any errors (red box below), will run calculations (orange box below), provides help language when you hover over a field (blue box below), and displays totals on each page (purple box).

Lifeline		# of Lifeline Subscribers	Lifeline Support per Subscriber	Total Lifeline Support
Non-Tribal	Low-income Subscribers receiving Federal Lifeline Support*	176090	\$25	\$4283333
Tribal	Low-income Subscribers receiving Federal Lifeline	50	200	10000
		Total Lifeline Support		\$4293333

## Completing Online FCC Form 497 User Instructions



When the Authorized Officer is ready to certify the form, select the "Certify" tab. Only Authorized Officers can view the Certify page (Authorized Users cannot certify forms).

Outstanding errors will be identified when the Authorized Officer attempts to certify the online form. After the Authorized Officer certifies the form by clicking "Certify," the Authorized Officer should "Exit to 497 Search."

Contact	Lifeline	Tribal Link Up	Toll Limitation Services(TLS)	Certify
SPIN: 1143001099	Serving Area: 299001			
Filer 499 ID: 801103	State Reporting: TENNESSEE			
Company Name: Ben Lomand Communications LLC	Data Month: August 2012			
Submission Date: 08/21/2012	Type Of Filing: Original			
Technology Type: <input checked="" type="radio"/> Wireline <input type="radio"/> Wireless	ETC Designation Type: <input type="radio"/> Lifeline Only <input checked="" type="radio"/> High Cost/Low Income			
		<b>Totals</b>		
		Total Lifeline Support:	1628833	
		Total TLS Support:	0	
		Total Link Up Support:	0	
		ETC Payment:	1628833	

I certify that my company will pass through the full amount of all Non-Tribal and Tribal federal Lifeline support for which it seeks reimbursement, as well as all applicable intrastate Lifeline support, to all qualifying low-income subscribers by an equivalent reduction in the subscriber's monthly bill for voice telephony service, or by offering a pre-paid wireless plan that includes a set number of minutes of use per month.

I certify that my company is in compliance with all of the Lifeline program rules, and, to the extent required, have obtained valid certifications for each subscriber for whom my company seeks reimbursement.

Based on the information known to me or provided to me by employees responsible for the preparation of the data being submitted, I certify under penalty of perjury that the data contained in this form has been examined and reviewed and is true, accurate, and complete.

I acknowledge the Fund Administrator's authority to request additional supporting information as may be necessary.

Persons willfully making false statements on this form can be punished by fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. 101.

Date: 08/21/2012      Officer Signature: *By logging into my account and clicking the Certify button below, I am electronically signing this form.*

Officer Title\*: \_\_\_\_\_      Officer Name\*: \_\_\_\_\_

### Bulk Upload

Carriers that submit forms for multiple SPIN/SAC combinations can use the FCC Form 497 Bulk Upload feature in E-File.

Form 497 - Bulk Upload

Logged in as: new497spu0@usac.com  
Aug 20, 2012

Data Month: July 2012  
File Name\*: \_\_\_\_\_

497 Forms Bulk Upload  
(Multiple SPIN/SAC Submission)

497 Search  
(Search Forms 497)

497 Bulk Certify  
(Certify Multiple Forms 497)

Return to E-File Portal

Logout

## Completing Online FCC Form 497 User Instructions



USAC will provide a formatted spreadsheet for upload. Please contact [telcolifeline@usac.org](mailto:telcolifeline@usac.org) to obtain the spreadsheet. Carriers can only submit data for one month per spreadsheet.

Once the file is uploaded, the file name and upload details will be displayed. Online FCC Form 497 will notify users of a successful bulk upload.

Logged in as: **new497spoJD@usac.com**  
Aug 20, 2012

• C:\Users\jschaffer\Desktop\Bulk Templates\New Bulk Tempv4.xls Rows read=1, Rows inserted=1

### Form 497 Upload Status

File Name: C:\Users\jschaffer\Desktop\Bulk Templates\New Bulk Tempv4.xls

497 Search (Search Forms 497)

497 Forms Bulk Upload (Multiple SPIN/SAC Submission)

497 Bulk Certify (Certify Multiple Firms 497)

Return to E-file Portal

Logout

Upload Status

Total Records Read	1
Records With Errors	0
Records With Warnings	0
Records Uploaded	1

[View Details](#)

Status: Succeeded.

The online FCC Form 497 will automatically reject spreadsheets that contain errors. The E-File system will notify the user if the bulk upload has failed.

• C:\Users\jschaffer\Desktop\Bulk Templates\New Bulk Tempv4.xls Error encountered :- Rows read=12, Rows inserted=0

### Form 497 Upload Status

File Name: C:\Users\jschaffer\Desktop\Bulk Templates\New Bulk Tempv4.xls

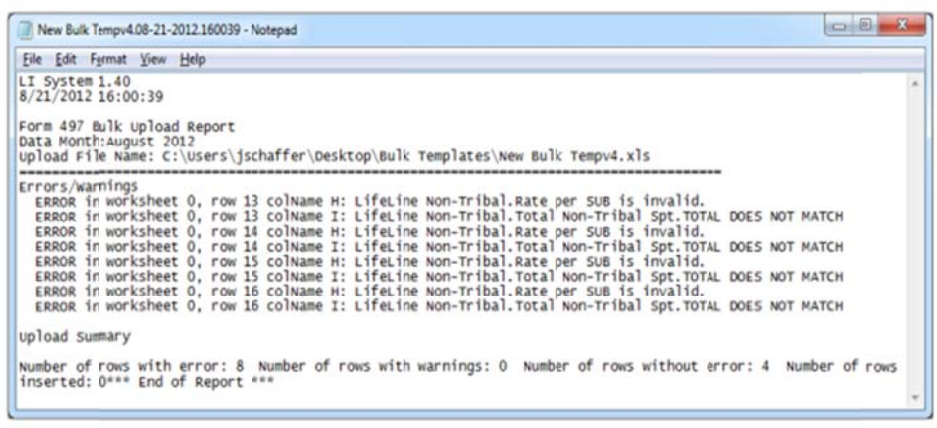
Upload Status

Total Records Read	12
Records With Errors	8
Records With Warnings	0
Records Uploaded	0

[View Details](#)

Status: Failed.

“View Details” on the Upload Status page will provide you with a text file detailing errors and warnings by row and column.

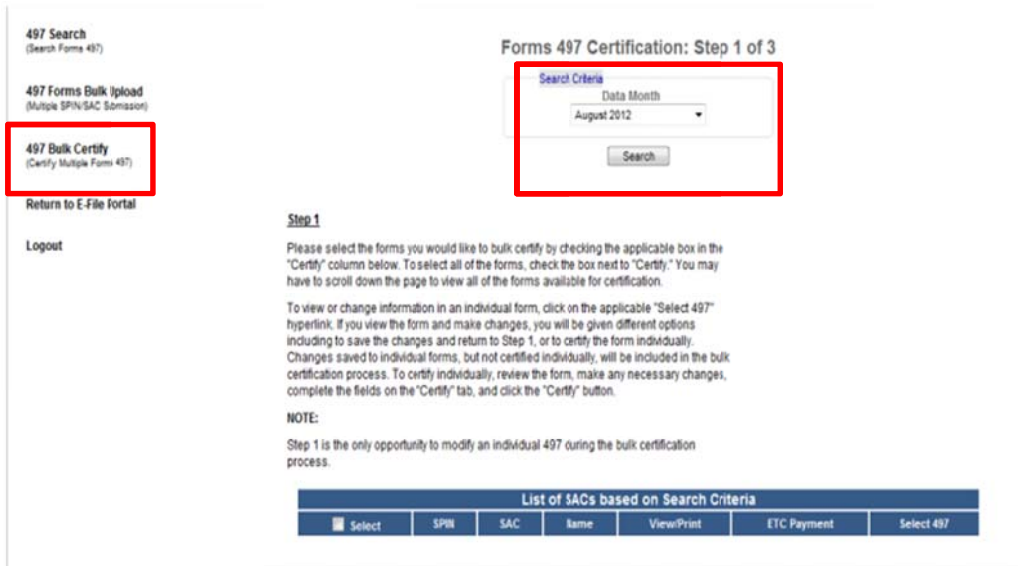


When successfully submitted, the Bulk Upload spreadsheets are displayed in a list.

List of SACs based on Search Criteria						
SPIN	SAC	Name	Filing Status	Submission Type	View/Print	Select 497
143004791	170169	VerizonNorth Inc.	Saved	On-Line		<a href="#">Select 497</a>
143004791	170170	VerizonNorth Inc.	Saved	On-Line		<a href="#">Select 497</a>
143004791	170201	VerizonNorth Inc.	Saved	On-Line		<a href="#">Select 497</a>
143004791	300615	VerizonNorth Inc.	Saved	On-Line		<a href="#">Select 497</a>
143004791	310695	VerizonNorth Inc.	Saved	On-Line		<a href="#">Select 497</a>
143004791	320772	VerizonNorth Inc.	Saved	On-Line		<a href="#">Select 497</a>
143004791	320779	VerizonNorth Inc.	Saved	On-Line		<a href="#">Select 497</a>
143004791	330886	VerizonNorth Inc.	Saved	On-Line		<a href="#">Select 497</a>
143004791	341015	VerizonNorth Inc.	Saved	On-Line		<a href="#">Select 497</a>
143004791	341036	VerizonNorth Inc.	Saved	On-Line		<a href="#">Select 497</a>

### Bulk Upload Certification

When an Authorized Officer is ready to certify a Bulk Upload, first select “497 Bulk Certify” from the left hand menu, then select “Data Month” for the forms submitted.





**Completing Online FCC Form 497**  
User Instructions



Next, select the box for each SPIN/SAC filing that you wish to certify. The top box may be selected to select all filings or individual boxes may be checked. Select "Continue to Step 2" to continue to the bulk certification process.

**Step 1**

Please select the forms you would like to bulk certify by checking the applicable box in the "Certify" column below. To select all of the forms, check the box next to "Certify." You may have to scroll down the page to view all of the forms available for certification.

To view or change information in an individual form, click on the applicable "Select 497" hyperlink. If you view the form and make changes, you will be given different options including to save the changes and return to Step 1, or to certify the form individually. Changes saved to individual forms, but not certified individually, will be included in the bulk certification process. To certify individually, review the form, make any necessary changes, complete the fields on the "Certify" tab, and click the "Certify" button.

**NOTE:**  
Step 1 is the only opportunity to modify an individual 497 during the bulk certification process.

**August 2012**

Select	SPIN	SAC	Name	View/Print	ETC Payment	Select 497
<input checked="" type="checkbox"/>	143001099	299001	Ben Lomand Communications LLC		\$1,628,833.00	<a href="#">Select 497</a>
<input type="checkbox"/>	143001420	190567	CenturyLink United Telephone-Southeast Inc. (FKA Embarq)		\$1,628,833.00	<a href="#">Select 497</a>
<input type="checkbox"/>	143001420	290567	CenturyLink United Telephone-Southeast Inc. (FKA Embarq)		\$1,628,833.00	<a href="#">Select 497</a>
<input checked="" type="checkbox"/>	143001645	294338	CITIZENS TEL OF TENNESSEE LLC		\$1,628,833.00	<a href="#">Select 497</a>

In Step 2 of the process, Authorized Officers will need to enter their title and full name. Select "Certify" to certify the SPIN/SAC combinations identified via a checked box. Select "Continue to Step 1" to start the certification process over.

Certify	SPIN	SAC	Name	View/Print	ETC Payment
<input checked="" type="checkbox"/>	143001099	299001	Ben Lomand Communications LLC		\$1,628,833.00
<input type="checkbox"/>	143001420	190567	CenturyLink United Telephone-Southeast Inc. (FKA Embarq)		\$1,628,833.00
<input type="checkbox"/>	143001420	290567	CenturyLink United Telephone-Southeast Inc. (FKA Embarq)		\$1,628,833.00
<input checked="" type="checkbox"/>	143001645	294338	CITIZENS TEL OF TENNESSEE LLC		\$1,628,833.00

Based on the information known to me or provided to me by employees responsible for the preparation of the data being submitted, I certify under penalty of perjury that the data contained in this form has been examined and reviewed and is true, accurate, and complete.

I acknowledge the Fund Administrator's authority to request additional supporting information as may be necessary. Persons willfully making false statements on this form can be punished by fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. 1001.

Date:  Officer Signature:  **By logging into my account and clicking the "Certify" button below, I am electronically signing this form.**

Officer Title\*:  Officer Name\*:

**NOTICE:** To implement Section 254 of the Communications Act of 1934, as amended, the Federal Communications Commission has adopted changes to the federal four-income programs. The Commission has expanded the availability of these programs and the level of funding for discounts to low-income customers.

The following worksheet provides the means by which eligible telecommunications carriers will be reimbursed by the Universal Service Administrative Company (USAC) for their participation in these programs. Failing to collect the information, or collecting it less frequently, would prevent the Commission from implementing sections 214 and 254 of the Act, would thwart Congress' goals of providing affordable service and access to advanced services throughout the nation, and would result in eligible telecommunications carriers not receiving universal service support reimbursements in a timely fashion.

We have estimated that each response to this collection of information will take, on average, three hours for each respondent. Our estimate includes the time to read this data request, review existing records, gather and maintain required data, and complete and review the response. If you have any comments on this estimate, or on how we can improve the collection and reduce the burden it places on you, please write the Federal Communications Commission, AMO-PERRM, Washington, D.C. 20554, Paperwork Reduction Project (3050-0819). We will also accept your comments on the burden estimate via the Internet if you send them to jboley@fcc.gov. Please DO NOT SEND the data requested to this e-mail address.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

The FCC is authorized under the Communications Act of 1934, as amended, to collect the information we request in this form. If we believe there may be a violation or a potential violation of a FCC statute, regulation, rule or order, your worksheet may be referred to the Federal, state or local agency responsible for investigating, prosecuting, enforcing, or implementing the statute, rule, regulation or order. In certain cases, the information in your worksheets may be disclosed to the Department of Justice or a court or adjudicative body when (a) the FCC, or (b) any employee of the FCC, or (c) the United States Government is a party of a proceeding before the body or has an interest in the proceeding.

If you do not provide the information we request on the form, the FCC may delay processing of your worksheet or may return your worksheet without action.

The foregoing Notice is required by the Privacy Act of 1974, Pub. L. No. 93-579, December 31, 1974, 5 U.S.C. Section 552, and the Paperwork Reduction Act of 1995, Pub. L. No. 104-13, 44 U.S.C. Section 3501, et seq.

# Completing Online FCC Form 497 User Instructions



Once you click the “Certify” button, you will receive a confirmation message. Select “OK” from the successfully certified pop-up window and then click “Exit to 497 Search” to exit the certification.

Button below, I am electronically signing this form.

OfficerName\*

lement Section 254 of the Communications Act of 1934, as amended, the Federal Communications Commission has adopted  
ederal low-income  
income customer

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Commission, A)J

burden estimate via the Internet if you send them to jccarey@fcc.gov. Please DO NOT SEND the data requested to this e-mail

not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid  
sber.

xrized under the Communications Act of 1934, as amended, to collect the information we request in this form. If we believe there  
in or a potential violation of a FCC statute, regulation, rule or order, your worksheet may be referred to the Federal, state or local  
le for Investigating, prosecuting, enforcing, or implementing the statute, rule, regulation or order. In certain cases, the information  
s may be disclosed to the Department of Justice or a court or adjudicative body when (a) the FCC; or (b) any employee of the FCC;  
States Government is a party of a proceeding before the body or has an interest in the proceeding.

vide the information we request on the form, the FCC may delay processing of your worksheet or may return your worksheet without

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1995, Pub. L. No. 104-13, 44 U.S.C. Section 3501, et seq.

of the Certification Process

Message from webpage

You have successfully certified 2 Forms 497.

OK

### **Helpful Tips and Common Problems**

#### Form Submission

- ETCs can begin using the Online FCC Form 497 at any time.
- If filed online by the eighth calendar day, FCC Forms 497 will be processed for disbursement by the end of that month.
- New ETCs must submit their first FCC Form 497 via U.S. Mail, fax, or email.
- Only submit one copy (do not fax or mail copies of forms submitted online).
- Bulk upload will only accept error-free submissions.

#### Validations

- .01-.49 rounds down
- .50-.99 rounds up
- Authorized Officers should review data submitted by Authorized Users

### **Contact Information for Other Questions**

(888) 641-8722

[CustomerSupport@usac.org](mailto:CustomerSupport@usac.org)

#### FCC Form 497 Questions

- (866) 873-4727
- [LIFilings@usac.org](mailto:LIFilings@usac.org)