

FCC Reporting Requirements for Rate-of-Return Carriers

Form	FCC Rule	Requirements	Filing Date	Submit to
Form 481 High-Cost USF Reporting	§ 54.313	Form 481 is due July 1 annually to USAC. Eligible telecommunications carriers that file their reports after the July 1 deadline shall receive a reduction in support (§ 54.313(j)). Section 54.313 requires all ETCs receiving high-cost support to file annual reports regarding compliance with the Commission’s rules and progress toward its universal service goals.	July 1	USAC
Form 481	§ 54.313(a)(1) functional in emergency situations	ETCs must certify they can remain functional in emergency situations , as set forth in section 54.202(a)(2). ETCs must separately file these data for voice and broadband service.	July 1	USAC
Form 481	§ 54.313(a)(2) pricing of voice services	ETCs must certify that the pricing of voice services is no more than two standard deviations above the applicable national average urban rate for voice service, which will be specified annually in a public notice issued by the FCC’s Wireline Competition Bureau.	July 1	USAC
Form 481	§ 54.313(a)(3) pricing of broadband services	ETCs must certify the pricing of broadband services that meet the broadband public interest obligations are no more than the applicable benchmark to be announced annually by the Wireline Competition Bureau or no more than the non-promotional price charged for a comparable fixed wireline service in urban areas in the states or U.S. territories where the ETC receives support.	July 1	USAC
Form 481	§ 54.313(a)(4) ownership information	File ownership information , including: holding company, operating companies, affiliates and any branding (a doing-business-as company or brand designation) as well as universal service identifiers for each such entity by study area codes.	July 1	USAC
Form 481	§ 54.313(a)(5) tribal lands	To the extent the recipient serves tribal lands , documents or information demonstrating that the ETC had discussions with tribal governments that, at a minimum, included: (i) a needs assessment and deployment planning with a focus on tribal community anchor institutions; (ii) feasibility and sustainability planning; (iii) marketing services in a culturally sensitive manner; (iv) rights of way processes, land use permitting, facilities siting, environmental and cultural preservation review processes; and (v) compliance with tribal business and licensing requirements.	July 1	USAC

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Form 481	§ 54.313(a)(6) network performance tests	ETCs must file the results of network performance tests pursuant to the methodology and in the format determined by the Wireline Competition Bureau, Wireless Telecommunications Bureau and Office of Engineering and Technology. <i>NOTE: Awaiting OMB approval. At this time, ETCs are not required to submit any network performance testing information pursuant to this section.</i>	Pending OMB approval	USAC
Form 481	§ 54.313(f)(1) § 54.308 broadband public interest obligations	<ul style="list-style-type: none"> (i) Carriers receiving legacy support must certify that it is taking reasonable steps to provide upon reasonable request broadband service at actual speeds of at least 25 Mbps downstream/3 Mbps upstream, with latency suitable for real-time applications, including VoIP, and usage capacity that is reasonably comparable to comparable offerings in urban areas as determined in an annual survey, and that requests for such service are met within a reasonable amount of time. (ii) Carriers receiving A-CAM support must certify that it is meeting the relevant reasonable request standard. (iii) Carriers receiving Alaska Plan support must certify that it is offering broadband service with latency suitable for real-time applications, including VoIP, and usage capacity that is reasonably comparable to comparable offerings in urban areas, and at speeds committed to in its approved performance plan to the locations it has reported pursuant to §54.316(a), subject to any limitations due to the availability of backhaul as specified in paragraph (g) of this section. (iv) All ETCs must report the number, names and addresses of community anchor institutions to which the ETC newly began providing access to broadband service in preceding calendar year. (v) ETCs must certify that it bid on category one telecommunications and internet access services for the schools and libraries USF support program in response to all reasonable requests posted in FCC Form 470s seeking broadband service that meets the connectivity for eligible schools and libraries (as described in §54.501) within its service area, and that such bids were at rates reasonably comparable to rates charged to eligible schools and libraries in urban areas for comparable offerings. 	July 1	USAC

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Form 481	§ 54.313(f)(2) financial information for privately held RoR carriers	<p>Privately held RoR carriers must file a full and complete annual report of their financial condition and operations as of the preceding year.</p> <ul style="list-style-type: none"> (i) RUS borrowers to provide copies of their RUS operating report for telecommunications borrowers as filed with the RUS. (ii) Non-RUS borrowers that are audited must file a copy of the audited financial statements or financial report comparable to RUS operating report for telecommunications borrowers along with a copy of the management letter from auditor. (iii) All other privately-held RoR carriers must file either financial statements reviewed by a CPA or financial report comparable to RUS operating report for telecommunications borrowers, with officer certification. 	July 1	USAC
Form 481	§ 54.313(f)(3) backhaul for Alaska Plan carriers	For rate-of-return carriers participating in the Alaska Plan , funding recipients must certify as to whether any terrestrial backhaul or other satellite backhaul became commercially available in the previous calendar year in areas that were previously served exclusively by performance-limiting satellite backhaul.	July 1	USAC
Form 481	§ 54.313(f)(4) cost consultant information	Rate-of-return carriers receiving high-cost support must provide the name of any cost consultant and cost consulting firm , or other third party, retained to prepare financial and operations data disclosures submitted to NECA, USAC or the FCC.	July 1	USAC
Form 481	§ 54.313(g) no terrestrial backhaul	Carriers without access to terrestrial backhaul that are compelled to rely exclusively on satellite backhaul in their study area must certify annually that no terrestrial backhaul options exist. Any such funding recipients must certify they offer broadband service at actual speeds of at least 1 Mbps downstream and 256 kbps upstream within the supported area served by satellite middle-mile facilities.	July 1	USAC

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Rate floor data collection	§ 54.313(h)	<p>(1) Recipients of high-cost support must report all of their rates for residential local service for all portions of their service area, as well as state fees, to the extent the sum of those rates and fees are below the rate floor, and the number of lines for each rate specified. Carriers shall report lines and rates in effect as of June 1 of the reporting year.</p> <p>(2) Carriers may file updates of their rates for residential local service, as well as state fees. If rates are reduced below the rate floor, updates are required. Carriers shall report lines and rates in effect as of December 1 of the previous year.</p>	<p>Annual: July 1</p> <p>Updates: January 2</p>	USAC
Penalties	§ 54.313(j)	Form 481 annual reporting information is required by July 1 of each year. ETCs that file their reports after the July 1 deadline shall receive a reduction in support .	July 1	USAC
Use of funds certification	§ 54.314	States and ETCs not under state jurisdiction must certify that all federal high-cost support was used in the preceding calendar year and will be used in the upcoming calendar year only for the provision, maintenance and upgrading of facilities and services for which support is intended. Support will be reduced for late-filed certifications.	October 1	FCC, USAC
USAC HUBB deployment reporting	§ 54.316 broadband deployment reporting and certifications	<ul style="list-style-type: none"> • CAF BLS recipients with defined deployment obligations: <ul style="list-style-type: none"> ○ Must report, on a recurring basis, geocoded location information on where they offer broadband meeting their public interest obligations, as defined in 54.308 or 54.309, including newly-served locations. Carriers subject to 54.308(c) or 54.317(e) must submit fiber network maps or microwave network maps and middle mile maps. ○ Broadband deployment certifications regarding deployment milestones are due annually starting March 1, 2022, for RoR high-cost recipients (and only every five years thereafter) • All other CAF BLS recipients: <ul style="list-style-type: none"> ○ The Commission’s December 13, 2018 order determined all legacy carriers should be subject to deployment obligations and all will be required to report 	<p>CAF BLS with defined obligations: reporting started March 22, 2017; certifications due March 1, 2022</p> <p>All other CAF BLS:</p>	USAC HUBB portal

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		<p>their deployed locations in the HUBB portal. CAF BLS carriers that have not had HUBB portal reporting obligations will be provided an opportunity to certify as needed 25/3 Mbps or higher locations deployed to since May 25, 2016.</p> <ul style="list-style-type: none"> ○ Initial certification that it fulfilled the deployment obligations meeting the requisite public interest obligations as specified in §54.308(a)(2) to the required number of locations as of December 31, 2023. ○ Every subsequent five-year period thereafter, a certification that it fulfilled the deployment obligation meeting the requisite public interest obligations. <ul style="list-style-type: none"> ● A-CAM recipients: <ul style="list-style-type: none"> ○ Initial certification that by the end of the prior calendar year, it was offering broadband meeting the requisite public interest obligations specified in §54.308 to the required percentage of its fully funded locations in the state pursuant to the interim deployment milestones set forth in §54.311(d). ○ Subsequent certification that as of December 31, 2026, it was offering broadband meeting the requisite public interest obligations specified in §54.308(a)(1) to all of its fully funded locations in the state and to the required percentage of its capped locations in the state. ● Alaska Plan recipients: <ul style="list-style-type: none"> ○ Initial certification that it fulfilled the deployment obligations and is offering service meeting the requisite public interest obligations as specified in §54.308(c) to the required number of locations as of December 31, 2021. ○ Subsequent certification that it fulfilled the deployment obligations and is offering service meeting the requisite public interest obligations as specified in §54.308(c) to the required number of locations as of December 31, 2026. 	<p>Reporting to start March 1, 2020, pending OMB approval.</p> <p>Certifications due March 1, 2024, and every five years thereafter.</p> <p>A-CAM:</p> <p>Certifications start March 1, 2021, and every year thereafter ending no later than March 1, 2029.</p> <p>Alaska Plan:</p> <p>Certifications due March 1, 2022 March 1, 2027</p>	
Record retention	§ 54.320	<ul style="list-style-type: none"> ● Carriers receiving universal service high-cost support are subject to random compliance audits and other investigations to ensure compliance with program rules and orders. Documentation must be maintained for at least 10 years from the receipt of funding. 	Upon request	USAC and/or FCC and/or auditors

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		<ul style="list-style-type: none"> Carriers subject to defined buildout milestones must notify the Commission and USAC, and the relevant state, U.S. territory or tribal government, if applicable, within 10 business days after the applicable deadline if they have failed to meet a buildout milestone. 		
Form 507	§ 54.903(a)(1) § 54.903(a)(2) § 54.313(f)(5) line count data	<ul style="list-style-type: none"> Legacy RoR carriers are required to report the number of lines they serve within each RoR study area, showing residential and single-line business line counts, multi-line business line counts, and consumer broadband-only line counts separately. ACAM and Alaska Plan RoR carriers that are not otherwise required to file line count data pursuant to §54.903(a)(1) of this subpart, must file the line count data required by §54.903(a)(1) by July 1. 	Required: March 31 Voluntary: July 31 September 30 December 30 ACAM/AK: July 1	USAC
Form 508	§ 54.903(a)(3) projected CAF BLS data	Carriers receiving BLS support must file projected CAF BLS data , including common line and consumer broadband-only loop cost and revenue data, for each study area for the upcoming funding year for July 1 of the current year through June 30 of the next year. Companies must certify that the cost data is compliant with the Commission's cost allocation rules and does not reflect duplicative assignment of costs to the consumer broadband-only loop and special access categories.	March 31	USAC
Form 509	§ 54.903(a)(4) prior year actual CAF BLS data	Carriers receiving BLS support must file prior calendar actual CAF BLS data , including common line and consumer broadband-only loop cost and revenue data, for each study area. Companies must certify that the cost data is compliant with the Commission's cost allocation rules and does not reflect duplicative assignment of costs to the consumer broadband-only loop and special access categories.	December 31	USAC
Annual Tariff Filing	§ 51.917(f)(3)	RoR carriers must certify with their annual access tariff filing that they have complied with the eligible recovery and access recovery charge rules in § 51.917(d) and (e).	Mid-June for July 1 effective date	FCC, USAC

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	CAF ICC distribution certification			
NECA HCLS form	§ 54.1305 § 54.1306 high-cost loop support	RoR ILECs must provide unseparated investment and expense data related to exchange line C&WF and COE circuit equipment investment as specified in § 54.1305. NOTE: FCC rules require RLECs that elected to receive A-CAM or Alaska Plan support to submit USF data even though they are no longer eligible to receive HCL support; RLECs that elect to move their BDS services to incentive regulation are exempt from submitting these data.	Required: July 31 Voluntary: September 30 December 30 March 30	NECA
Study area boundary data		ILECs must provide updated data when their study area boundaries change. When this occurs, ILECs and/or state entities must submit updated data by March 15 of the year following the change. In addition, all ILECs and state entities must recertify existing study area boundary data every two years. Biennial recertifications of existing study area boundary data are due no later than May 26 of odd-numbered years.	March 15 of year after any changes are made; Recertify on May 26 of odd-numbered years.	FCC
Form 477	broadband deployment data:	Facilities-based providers of broadband and providers of fixed or mobile voice service, including providers of interconnected VoIP, are required to file data with the FCC twice a year on where they offer service – March 1 for data as of December 31 and September 1 for data as of June 30 of each year.	March 1 September 1	FCC