

*2013 Filing of Section 54.313
and Section 54.422 Annual Reporting*

**Electronic Filing of
FCC Form 481**

August 15, 2013 | Virtual Event

Electronic Filing of FCC Form 481

Background

Regulatory History

- New annual reporting requirements implemented with the release of the USF/ICC Transformation Order
- Eligible telecommunications carriers (ETCs) must complete OMB-approved filing requirements. ETCs:
 - Receiving High Cost Program support must complete Section 54.313 filing rules.
 - Receiving Lifeline Program support must complete Section 54.422 filing rules.
 - Subject to new broadband obligations must file five-year service quality improvement plans consistent with Section 54.202(a)(1)(ii).

Electronic Filing of FCC Form 481

Method of Filing

Electronic Submission

- ETCs should file the FCC Form 481 using the E-File system.
 - All fields are presented online.
 - Data is stored for carrier access.
 - Once complete, you will receive a receipt of your electronic submission.

Carrier or the Carrier's Agent May File

- The FCC Form 481 must be filed with the FCC, USAC, the universal service administrator, and the relevant state commissions, relevant authority in a U.S. territory, or Tribal governments, as appropriate.
 - A carrier may choose to complete this filing and have their authorized officer certify its submission.
 - A carrier can designate an authorized agent to input the information for the compliance filing, the carrier's authorized officer must certify its submission.

Main Menu

- E-File allows ETCs to file the FCC Form 481, including the required information for sections 54.313 and 54.422 compliance certifications, via a web-based, user-friendly system.
- E-File: <https://forms.universalservice.org/>

Electronic Filing of FCC Form 481

Accessing the E-File System

Designating Entitlements

- Ensure correct E-File entitlements are made for carrier's employees (authorized 481 User or authorized 481 Officer) and/or carrier's agents (authorized 481 Agent) who will be entering data.
- An individual can have only one E-File entitlement for the FCC Form 481—an individual cannot have multiple designations.

[FCC Form 498 online](#)

User Designation

http://localhost:20873/NavUserEntitlements.aspx Assign Entitlements to new ... X

User: Julie Laine
My Account | Log Out

Please ensure you add at least one entitlement above to this user. In order to successfully create a user they must have at least one entitlement. Once you have added an entitlement the "save button" will be available.

User Email:

Full Name:

Filer ID	SLD Form 472	RHC Invoice	LI 497	Not Selected	HCLI 525	525 User	HCLI Form 481	481 Officer
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
143031005	<input type="checkbox"/>	<input type="checkbox"/>	143031005	<input type="checkbox"/>	143031005	<input type="checkbox"/>	143031005	481 Officer
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not Selected
143029338	<input type="checkbox"/>	<input type="checkbox"/>	143029338	<input type="checkbox"/>	143029338	<input type="checkbox"/>	143029338	481 Agent
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	481 User
143027380	<input type="checkbox"/>	<input type="checkbox"/>	143027380	<input type="checkbox"/>	143027380	<input type="checkbox"/>	143027380	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143029320	<input type="checkbox"/>	<input type="checkbox"/>	143029320	<input type="checkbox"/>	143029320	<input type="checkbox"/>	143029320	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143030902	<input type="checkbox"/>	<input type="checkbox"/>	143030902	<input type="checkbox"/>	143030902	<input type="checkbox"/>	143030902	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143030901	<input type="checkbox"/>	<input type="checkbox"/>	143030901	<input type="checkbox"/>	143030901	<input type="checkbox"/>	143030901	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143031461	<input type="checkbox"/>	<input type="checkbox"/>	143031461	<input type="checkbox"/>	143031461	<input type="checkbox"/>	143031461	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143019922	<input type="checkbox"/>	<input type="checkbox"/>	143019922	<input type="checkbox"/>	143019922	<input type="checkbox"/>	143019922	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143030861	<input type="checkbox"/>	<input type="checkbox"/>	143030861	<input type="checkbox"/>	143030861	<input type="checkbox"/>	143030861	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143028427	<input type="checkbox"/>	<input type="checkbox"/>	143028427	<input type="checkbox"/>	143028427	<input type="checkbox"/>	143028427	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143030548	<input type="checkbox"/>	<input type="checkbox"/>	143030548	<input type="checkbox"/>	143030548	<input type="checkbox"/>	143030548	
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143030547	<input type="checkbox"/>	<input type="checkbox"/>	143030547	<input type="checkbox"/>	143030547	<input type="checkbox"/>	143030547	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143029821	<input type="checkbox"/>	<input type="checkbox"/>	143029821	<input type="checkbox"/>	143029821	<input type="checkbox"/>	143029821	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143033622	<input type="checkbox"/>	<input type="checkbox"/>	143033622	<input type="checkbox"/>	143033622	<input type="checkbox"/>	143033622	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143028901	<input type="checkbox"/>	<input type="checkbox"/>	143028901	<input type="checkbox"/>	143028901	<input type="checkbox"/>	143028901	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143019523	<input type="checkbox"/>	<input type="checkbox"/>	143019523	<input type="checkbox"/>	143019523	<input type="checkbox"/>	143019523	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143015152	<input type="checkbox"/>	<input type="checkbox"/>	143015152	<input type="checkbox"/>	143015152	<input type="checkbox"/>	143015152	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143031468	<input type="checkbox"/>	<input type="checkbox"/>	143031468	<input type="checkbox"/>	143031468	<input type="checkbox"/>	143031468	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143029347	<input type="checkbox"/>	<input type="checkbox"/>	143029347	<input type="checkbox"/>	143029347	<input type="checkbox"/>	143029347	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
143028428	<input type="checkbox"/>	<input type="checkbox"/>	143028428	<input type="checkbox"/>	143028428	<input type="checkbox"/>	143028428	

Save Cancel

User Assignments

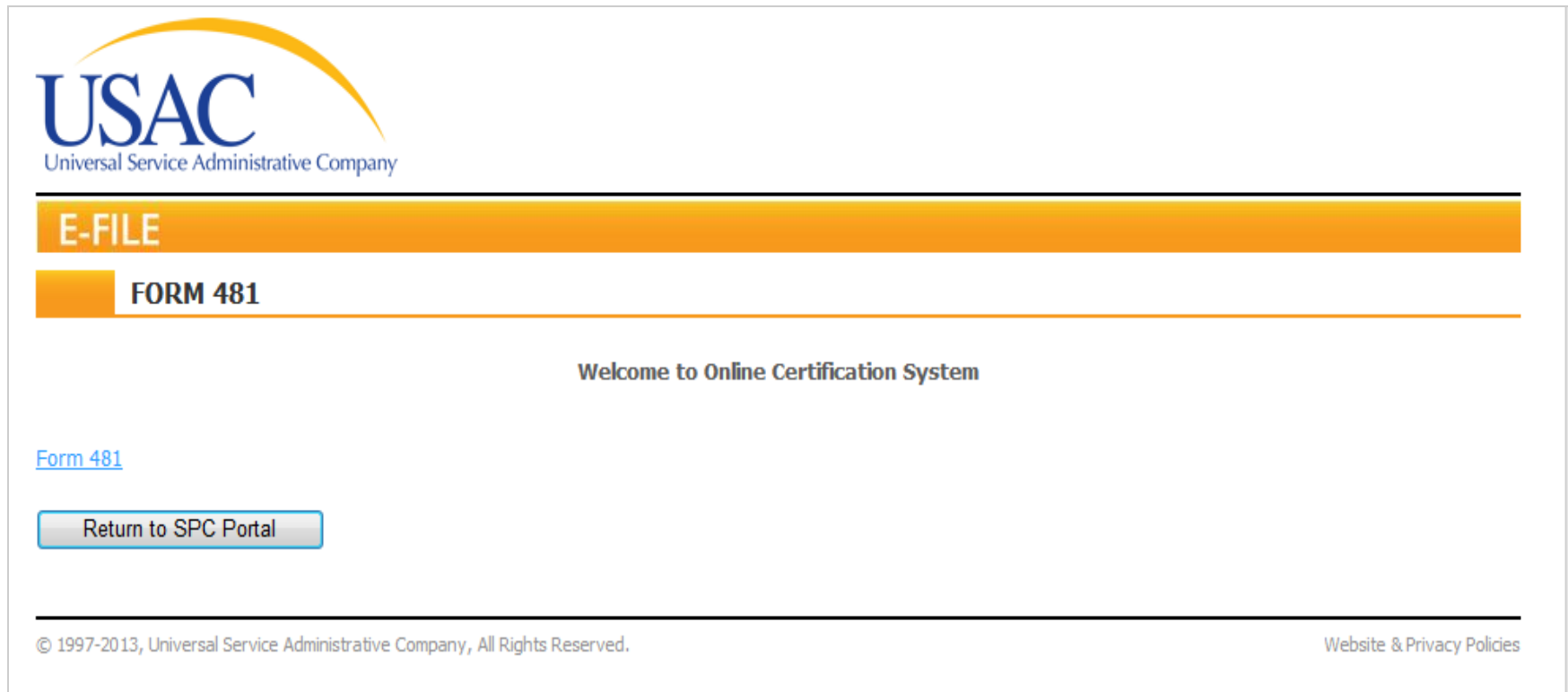
- The carrier's General Contact (as listed in Block 2 of FCC Form 498) or the carrier's certifying Company Officer (as listed in Block 16 of FCC Form 498) are the only carrier contacts who can login to E-File and assign permissions to employees to work on the FCC Form 481.
- New authorized users must:
 - Be authorized for "HCLI Form 481."
 - Be designated as "481 Officer," "481 Agent," or "481 User" (Note: of these three, only the "481 Officer" can certify the form).

Electronic Filing of FCC Form 481

Filing the FCC Form 481 in E-File

Filing the FCC Form 481 in E-File

This presentation will provide a detailed overview of the FCC Form 481 in E-File.



The screenshot shows the USAC E-File Form 481 portal. At the top left is the USAC logo. Below it is a large orange bar with the text "E-FILE" in white. Underneath that is a smaller orange bar with the text "FORM 481" in white. The main content area is white and contains the text "Welcome to Online Certification System" centered. Below this is a blue link labeled "Form 481". At the bottom left is a button labeled "Return to SPC Portal". At the bottom of the page, there is a copyright notice: "© 1997-2013, Universal Service Administrative Company, All Rights Reserved." and a link for "Website & Privacy Policies" on the right.

Filing FCC Form 481

- Search using your Carrier Name, Study Area Code (SAC), SPIN, or Operating State.
- Select either “Create New Form 481” or “Revise/Update”
- A list of the carriers’ SAC specific filings will reflect:
 - Filings which are certified/submitted.
 - Filings in process of being completed.

File Naming Convention for Attachments

- Carriers are required to use the following file naming convention when attaching PDF files:

SAC/State/Form Line number.pdf

- Example: Name of File: 170170pa310.pdf
 - Carrier with SAC “170170”
 - Study area located in Pennsylvania “pa”
 - Attaching the descriptive document of the “Detail in Attempts for Unfilled Service Requests (voice)” required on form line number “310”

Uploading Templates (Input page 200 and 800)

- Carriers must populate the data in the templates prior to uploading them.
- Carriers must follow these instructions for the template to upload successfully:
 - The template columns cannot be modified.
 - The first row of titles cannot be modified.
 - Data input begins on the second row.
 - Each row of data must be in the proper sequence matching the column titles and consistent with instruction stipulated formats.

Uploading Templates (Input Page 3005)

All privately held rate-of-return ETCs must file a full and complete annual report of the company's financial condition and operations as of the end of the preceding fiscal year.

- Any privately held rate-of-return carrier, not filing the financial reports to receive loans from the RUS, must complete and file the provided financial worksheet templates .
- Carriers must populate the data in the Excel templates, “Save” the file as a PDF attachment, and identify the file consistent with the required naming convention.
 - This must be performed prior to uploading the worksheets to E-File.

Forms

- FCC Form 481 – Input Template Worksheet
- FCC Form 481 – Uploading Templates
- FCC Form 481 – Surrogate ROR Financial Forms

Located on the High Cost Program forms page:

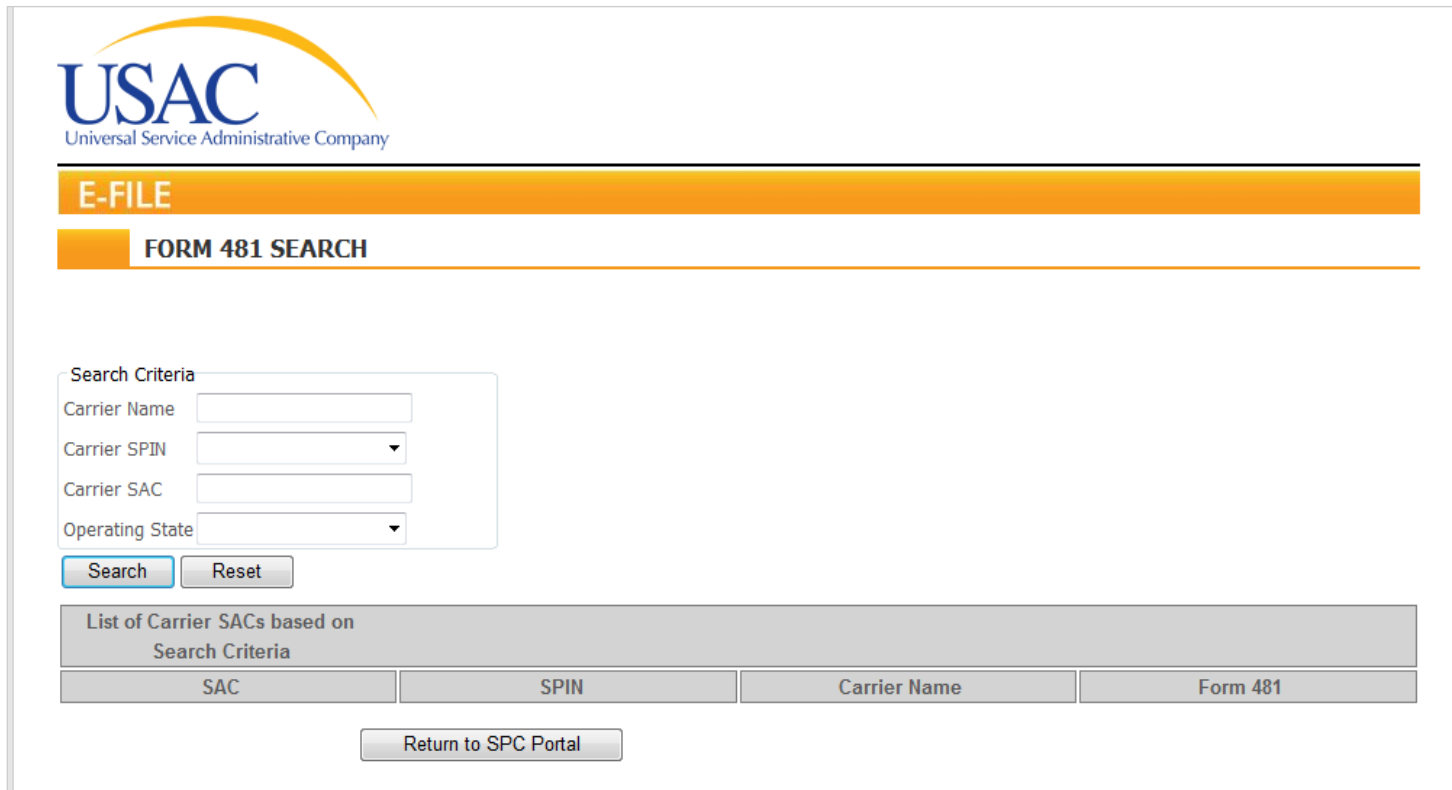
www.usac.org/hc/tools/forms.aspx

Electronic Filing of FCC Form 481

FCC Form 481 Input

Online Certification System

- <https://forms.universalservice.org/>



The screenshot shows the USAC E-FILE FORM 481 SEARCH interface. It features a search criteria section with input fields for Carrier Name, Carrier SPIN, Carrier SAC, and Operating State. Below the search criteria are 'Search' and 'Reset' buttons. A table titled 'List of Carrier SACs based on Search Criteria' is displayed, with columns for SAC, SPIN, Carrier Name, and Form 481. A 'Return to SPC Portal' button is located at the bottom of the interface.

USAC
Universal Service Administrative Company

E-FILE

FORM 481 SEARCH

Search Criteria

Carrier Name

Carrier SPIN

Carrier SAC

Operating State

List of Carrier SACs based on Search Criteria

SAC	SPIN	Carrier Name	Form 481
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Carrier Identification

- The top of every form section contains identifying carrier information:
 - System populated: Study Area Code, study area name, and program year.
 - Carrier populated: contact name, telephone number, and email.
- E-File will automatically populate the same data on remaining sections on the form.
- File a separate FCC Form 481 for each study area served.

Carrier Identification

CARRIER ANNUAL REPORTING DATA COLLECTION FORM

(010) Study Area Code

199008

(015) Study Area Name

VIRGINIA PCS ALLIANCE, LC DB

(020) Program Year

2014

(030) Contact Name

(035) Contact Telephone Number

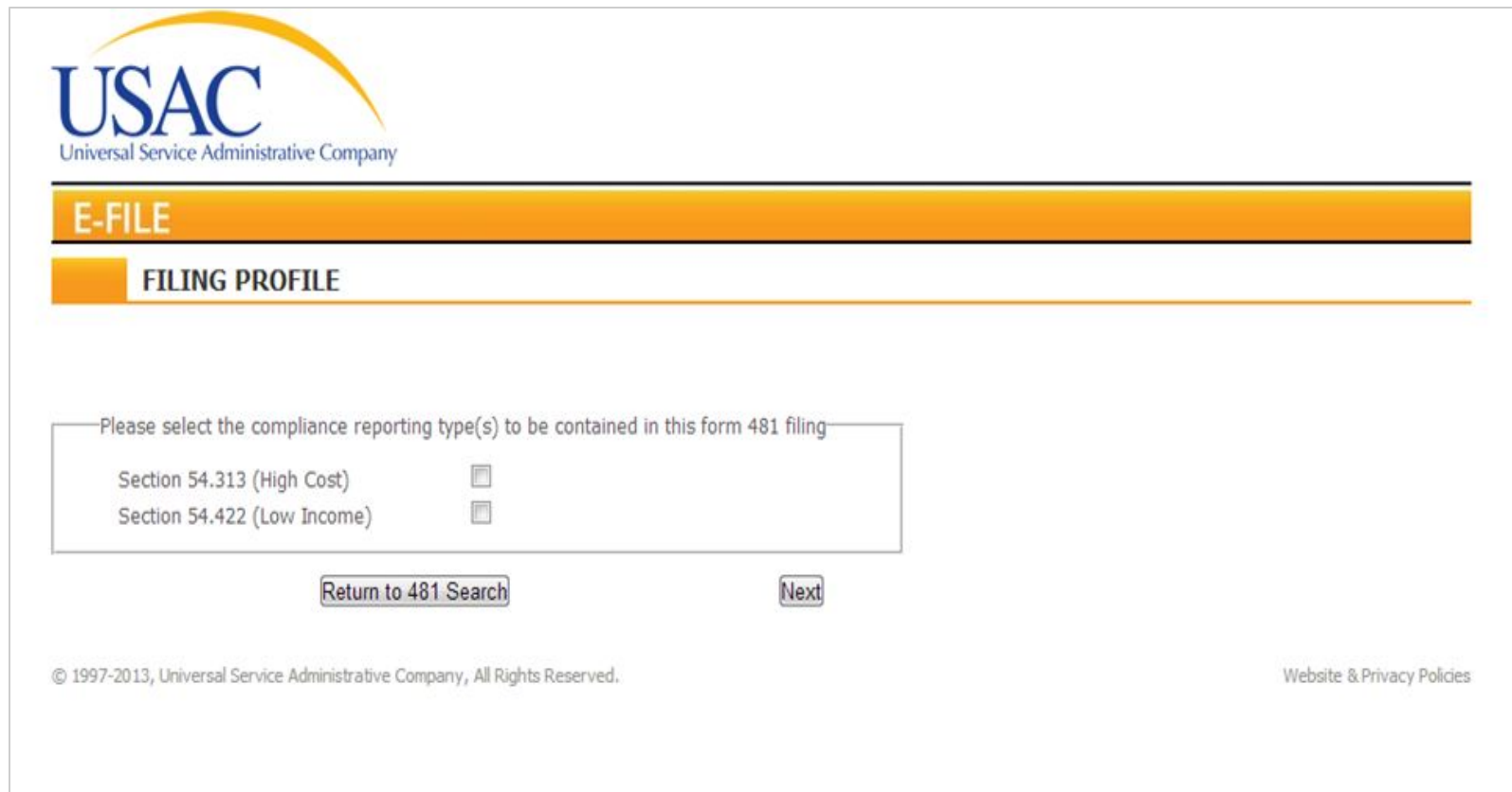
(039) Contact Email

lalexeeva_ofc@usac.org

Filing Identification

- After selecting the Study Area Code, if a new FCC Form 481 filing is being started:
 - Select “Create New Form 481.”
 - The next screen will request identification as to the compliance reporting to be entered.
 - Identify the type of filing (Section 54.313 only, Section 54.422 only, or both).

Filing Identification



The screenshot shows the USAC E-FILE FILING PROFILE page. At the top left is the USAC logo. Below it is a large orange bar with the text "E-FILE". Underneath that is a smaller orange bar with the text "FILING PROFILE". The main content area contains a text prompt: "Please select the compliance reporting type(s) to be contained in this form 481 filing". Below this prompt are two options, each with a checkbox: "Section 54.313 (High Cost)" and "Section 54.422 (Low Income)". At the bottom of the form area are two buttons: "Return to 481 Search" and "Next". At the very bottom of the page, there is a copyright notice: "© 1997-2013, Universal Service Administrative Company, All Rights Reserved." and a link for "Website & Privacy Policies".

Electronic Filing of FCC Form 481

481 Checklist

481 Checklist

- “Page 1” is a checklist of sections to be completed.
- Numbers at the beginning of each line item identify the form section number.
- The “§54.313” column pertains to High Cost Program requirements.

481 Checklist

- The “§54.422” column pertains to Lifeline Program requirements.
 - Only FCC designated Lifeline Program carriers are required to file all of this section
 - State designated Lifeline Program carriers are required to file the operating company data (800) and the Lifeline terms and conditions sections (1200).
- Most sections require additional documentation.
- Check the box to denote completion of a specific section and certification of specific regulatory requirements.

	Section 54.313 <input type="checkbox"/>	Section 54.422 <input type="checkbox"/>
(100) Service Quality Improvement Reporting	<i>(check box when complete)</i> (100) <input type="checkbox"/>	

- Carriers are required to file an annual progress report on its five-year service quality improvement plan, which was filed pursuant to Section 54.202(a).
- CETCs whose support is being phased down do not have to file new five-year build-out plans, but must file updates to their existing plans.
- Price cap and rate of return (ROR) recipients of frozen support or Connect America Fund incremental support do not have to file new five-year plans in 2013.

(200) Outage Reporting (voice)	(200) <input type="checkbox"/>	(200) <input type="checkbox"/>
(210) No Outages to Report	<input type="checkbox"/>	

Both High Cost Program and Lifeline Program recipient carriers must complete the voice service outage worksheet for each service area.

(300) Unfulfilled Service Request (voice)	<input type="text"/>	(300) <input type="checkbox"/>
(310) Detail on Attempts (voice)		(310) <input type="checkbox"/>
Click to Upload PDF file		
(320) Unfulfilled Service Request (broadband)	<input type="text"/>	(320) <input type="checkbox"/>
(330) Detail on Attempts (broadband)		(330) <input type="checkbox"/>
Click to Upload PDF file		

- These lines pertain to a carrier’s inability to complete service requests; both voice and broadband.
- A description of the process used to provide service to both types of these potential customers should be outlined in an attachment prepared by the carrier.
- This reporting is not required for Lifeline Program only ETCs.

(400) Number of Complaints per 1,000 customers (voice)	(400) <input type="checkbox"/>	(400) <input type="checkbox"/>
(410) Fixed	<input type="text"/>	*
(420) Mobile	<input type="text"/>	*
(430) Number of Complaints per 1,000 customers (broadband)	(430) <input type="checkbox"/>	
(440) Fixed	<input type="text"/>	
(450) Mobile	<input type="text"/>	

- Carriers must enter the number of complaints per 1,000 customers.
- Voice customer complaints are reported separate from broadband complaints,
 - Each of which must be broken between fixed and mobile devices.

(500) Service Quality Standards & Consumer Protection Rules Compliance	(500) <input type="checkbox"/>	(500) <input type="checkbox"/>
* (510)		
Click to Upload PDF file	(510) <input type="checkbox"/>	(510) <input type="checkbox"/>
(600) Functionality in Emergency Situations	(600) <input type="checkbox"/>	(600) <input type="checkbox"/>
* (610)		
Click to Upload PDF file	(610) <input type="checkbox"/>	(610) <input type="checkbox"/>

- For lines 500, 600 – Checking these boxes certifies a companies’ compliance with the required regulations.
- For lines 510, 610 – Check these boxes after the completion of the required worksheet which documents that company’s processes implemented to assure compliance with these certification requirements.

(700) Company Price Offerings (voice)	(700) <input type="checkbox"/>	
(710) Company Price Offerings (broadband)	(710) <input type="checkbox"/>	
(800) Operating Companies and Affiliates	(800) <input type="checkbox"/>	(800) <input type="checkbox"/>
(900) Tribal Land Offerings (Y/N)? If Yes, please complete worksheet Yes <input type="radio"/> No <input checked="" type="radio"/>	(900) <input type="checkbox"/>	

- Check these boxes after the completion of the required worksheet which documents that company's processes are in compliance with these reporting requirements.

*Note: The Company Price Offerings (voice) and Company Price Offerings (broadband) are not required in the 2013 filing. It will be necessary in 2014.

(1100) Terrestrial Backhaul (Y/N)? If Not, check to indicate certification

Yes

No

(1100)

(1110)

(complete worksheet)

(1110)

- For lines 1000*, 1100 – Checking these boxes certifies a companies’ compliance in the required regulations.
- For lines 1010*, 1110 – Check these boxes to note the completion of the worksheet which documents the elements of the company’s compliance with the regulatory requirements.

*Note: The Voice Services Rate Comparability is not required in the 2013 filing. It will be necessary in 2014.

(1200) Terms and Condition for Lifeline Customers

(1200)

Price Cap Carriers, Proceed to Price Cap Additional Documentation Worksheet
Including Rate-of-Return Carriers affiliated with Price Cap Local Exchange Carriers

- Line 1200 to be completed by carriers offering Lifeline Program services.
- Check the box after completing the worksheet which documents the company's processes implemented to assure compliance with the regulatory requirements.

(2000)	Price Cap Carriers, Proceed to Price Cap Additional Documentation Worksheet Including Rate-of-Return Carriers affiliated with Price Cap Local Exchange Carriers <i>(check to indicate certification)</i>	(2000) <input type="checkbox"/>
(2005)	<i>(complete worksheet)</i>	(2005) <input type="checkbox"/>
(3000)	Rate of Return Carriers, Proceed to ROR Additional Documentation Worksheet <i>(check to indicate certification)</i>	(3000) <input type="checkbox"/>
(3005)	<i>(complete worksheet)</i>	(3005) <input type="checkbox"/>

- Not required for carriers offering Lifeline Program services.
- For lines 2000, 3000 – Checking these boxes certifies a companies’ compliance in the required regulations.
- For lines 2005, 3005 – Check these boxes to denote the completion of the worksheet which documents the company’s processes implemented to assure compliance with the regulatory requirements.

The 481 Checklist

CARRIER ANNUAL REPORTING DATA COLLECTION FORM

(010) Study Area Code

(015) Study Area Name

(020) Program Year

(030) Contact Name

(035) Contact Telephone Number

(039) Contact Email Address

Section 54.313 Section 54.422

(100) Service Quality Improvement Reporting (check box when complete) (100)

(200) Outage Reporting (voice) (200) (200)

(210) No Outages to Report

(300) Unfulfilled Service Request (voice) (300)

(310) Detail on Attempts (voice) (310)

(320) Unfulfilled Service Request (broadband) (320)

(330) Detail on Attempts (broadband) (330)

(400) Number of Complaints per 1,000 customers (voice) (400) (400)

(410) Fixed

(420) Mobile

(430) Number of Complaints per 1,000 customers (broadband) (430)

(430) Wireless

(500) Service Quality Standards & Consumer Protection Rules Compliance (500) (500)

(510) (510) (510)

(600) Functionality in Emergency Situations (600) (600)

(610) (610) (610)

(700) Company Price Offerings (voice) (700)

(710) Company Price Offerings (broadband) (710)

(800) Operating Companies and Affiliates (800) (800)

(900) Tribal Land Offerings (Y/N)? If Yes, please complete worksheet (900)

Yes No

(1100) Terrestrial Backhaul (Y/N)? If Not, check to indicate certification (1100)

Yes No

(1110) (complete worksheet) (1110)

(1200) Terms and Condition for Lifeline Customers (1200)

Price Cap Carriers, Proceed to Price Cap Additional Documentation Worksheet Including Rate-of-Return Carriers affiliated with Price Cap Local Exchange Carriers (check to indicate certification) (2000)

(2000) (check to indicate certification) (2000)

(2005) (complete worksheet) (2005)

Rate of Return Carriers, Proceed to ROR Additional Documentation Worksheet (check to indicate certification) (3000)

(3000) (check to indicate certification) (3000)

(3005) (complete worksheet) (3005)

Electronic Filing of FCC Form 481

(100) Service Quality Reporting

(100) Service Quality Reporting

<110>	Has your company received its ETC certification from the FCC?	(yes / no)
If your answer to Line <110> is yes, do you have an existing §54.202(a) "5		
<111>	year plan" filed with the FCC?	(yes / no)
<p>If your answer to Line <111> is yes, then you are required to file a progress report, on line <112> delineating the status of your company's existing § 54.202(a) "5 year plan" on file with the FCC, as it relates to your provision of voice telephony service.</p>		
<112>	<p>Attach Five-Year Service Quality Improvement Plan or, in subsequent years, your annual progress report filed pursuant to 47 C.F.R. § 54.313(a)(1). If your company is a CETC which receives only frozen support, your progress report is only required to address voice telephony service</p>	
<p>Please check these boxes below to confirm that the attached PDF, on line 112, contains a progress report on its five-year service quality improvement plan pursuant to § 54.202(a). The information shall be submitted at the wire center level or census block as appropriate.</p>		
		Name of Attached Document (.pdf)

(100) Service Quality Reporting

- | | | |
|-------|---|--------------------------|
| <113> | Maps detailing progress towards meeting plan targets | <input type="checkbox"/> |
| <114> | Report how much universal service (USF) support was received | <input type="checkbox"/> |
| <115> | How (USF) was used to improve service quality | <input type="checkbox"/> |
| <116> | How (USF) was used to improve service coverage | <input type="checkbox"/> |
| <117> | How (USF) was used to improve service capacity | <input type="checkbox"/> |
| <118> | Provide an explanation of network improvement targets not met in the prior calendar year. | <input type="checkbox"/> |

- The progress report must address the required information requirements listed in lines 113-118.
- By marking each line, the carrier certifies that the progress report contains the denoted information requirement.
- The FCC waived this requirement for price cap carriers (recipients of frozen or incremental support) and rate-of-return ETCs in 2013.

Service Quality Reporting in E-File

(110) Has your company received its ETC certification from the FCC?

Yes No

(111) If your answer to Line (110) is yes, do you have an existing §54.202(a) "5 year plan" filed with the FCC?

Yes No

If your answer to Line (111) is yes, then you are required to file a progress report, on line (112) delineating the status of your company's existing §54.202(a) "5 year plan" on file with the FCC, as it relates to your provision of voice telephony service.

(112) Attach Five-Year Service Quality Improvement Plan or, in subsequent years, your annual progress report filed pursuant to 47 C.F.R. § 54.313(a)(1). If your company is a CETC which receives only frozen support, your progress report is only required to address voice telephony service.

Progress report file

[Click to Upload PDF file](#)

Please check these boxes below to confirm that the attached PDF, on line 112, contains a progress report on its five-year service quality improvement plan pursuant to §54.202(a). The information shall be submitted at the wire center level or census block as appropriate.

- (113) Maps detailing its progress towards meeting its plan targets
- (114) Report how much universal service (USF) support was received
- (115) How (USF) was used to improve service quality
- (116) How (USF) was used to improve service coverage
- (117) How (USF) was used to improve service capacity
- (118) Provide an explanation of network improvement targets not met in the prior calendar year

[Previous](#)

[Next](#)

[Save](#)

[Exit](#)

Electronic Filing of FCC Form 481

(200) Voice Outages

<220>	<a>	<b1>	<b2>	<b3>	<b4>	<c1>	<c2>	<d>	<e>	<f>	<g>	<h>
	NORS Reference Number	Outage Start Date	Outage Start Time	Outage End Date	Outage End Time	Number of Customers Affected	Total Number of Customers	911 Facilities Affected (Yes / No)	Service Outage Description (Check all that apply)	Did This Outage Affect Multiple Study Areas (Yes / No)	Service Outage Resolution	Preventative Procedures

- When possible, use the data already reported in the Network Outage Reporting System.
- Each line represents one service outage.

<220>	<a>	<b1>	<b2>	<b3>	<b4>	<c1>	<c2>	<d>	<e>	<f>	<g>	<h>
NORS Reference Number	Outage Start Date	Outage Start Time	Outage End Date	Outage End Time	Number of Customers Affected	Total Number of Customers	911 Facilities Affected (Yes / No)	Service Outage Description (Check all that apply)	Did This Outage Affect Multiple Study Areas (Yes / No)	Service Outage Resolution	Preventative Procedures	

- Time and date inputs must be entered in the proper format.
- Complete all columns for each outage reported.

Voice Outages Reporting in E-File

Attach Service Outage Data

[Click to Upload XLSM file](#)

(Use 200_Service_Outages_Upload_Template.xlsm provided on USAC website)

Previous

Next

New Row

Select All Rows

Delete Checked Rows

(220a) NORS Reference Number	(220b1) Outage Start Date (MM/DD/YYYY)	(220b2) Outage Start Time	(220b3) Outage End Date (MM/DD/YYYY)	(220b4) Outage End Time	(220c1) Number of Customers Affected	(220c2) Total Number of Customers	(220d) 911 facilities Affected (Yes/No)	(220e) Wireline (including cable) VoIP	(220e) Wireline (including cable) Voice (non- VoIP)	(220e) Cellular	(220e) Voice Over LTE (VoLTE)	(220e) Other Wireless Se on
---------------------------------------	---	------------------------------------	---	----------------------------------	---	--	---	--	---	--------------------	---	---

Previous

Next

New Row

Select All Rows

Delete Checked Rows

Previous

Next

Save

Exit

Electronic Filing of FCC Form 481

(800) Operating Company

(800) Operating Company

<810>	Reporting Carrier		
<811>	Holding Company		
<812>	Operating Company		
<813>	<a1>	<a2>	<a3>
	Affiliates	SAC	Doing Business As Company or Brand Designation

- The reporting carrier must list:
 - Complete name, holding company, and operating company
 - The affiliates and their Doing Business As (DBA) entities operating in the SAC should be listed

Operating Company Reporting in E-File

(810) Reporting Carrier *

(811) Holding Company

(812) Operating Company

Attach Operating Company data

[Click to Upload XLSM file](#)

(Use 800_Operating_Company_Upload_Template.xlsx provided on USAC website)

Previous
Next
New Row
Select All Rows
Delete Checked Rows

(813a1) Affiliates	(813a2) SAC	(813a3) Doing Business As Company or Brand Designation

Previous
Next
New Row
Select All Rows
Delete Checked Rows

Previous
Next
Save
Exit

Electronic Filing of FCC Form 481

(900) Tribal Lands

Filing Requirements

- ETC service area must cover Tribal lands
- Identify which Tribal lands are served by the SAC reported on this FCC Form 481
- Attach a narrative (separate PDF)
 - Delineating the compliance contacts with Tribal governments
 - Explaining the carrier's processes to comply with Tribal government regulations
 - Follow naming protocol to identify document to be filed

<910> Tribal Land(s) on which ETC Serves	
<920> Tribal Government Engagement Obligation	
Name of Attached Document (.pdf)	
<p>If your company serves Tribal lands, please select (Yes, No, NA) for each these boxes to confirm the status described on the attached PDF, on line 920, demonstrates coordination with the Tribal government pursuant to § 54.313(a)(9) includes:</p>	
<921> Needs assessment and deployment planning with a focus on Tribal community anchor institutions;	Select (Yes, No, NA)
<922> Feasibility and sustainability planning;	<input type="checkbox"/>
<923> Marketing services in a culturally sensitive manner;	<input type="checkbox"/>
<924> Compliance with Rights of way processes	<input type="checkbox"/>
<925> Compliance with Land Use permitting requirements	<input type="checkbox"/>
<926> Compliance with Facilities Siting rules	<input type="checkbox"/>
<927> Compliance with Environmental Review processes	<input type="checkbox"/>
<928> Compliance with Cultural Preservation review processes	<input type="checkbox"/>
<929> Compliance with Tribal Business and Licensing requirements.	<input type="checkbox"/>

- Identify whether your company complies (YES), not able to comply (NO), or if the requirement is not applicable to the Tribal lands being reported upon (NA).
- The attached document should explain why your company compliance and its processes which dictated the reported level of compliance.

Tribal Lands Reporting in E-File

(910) Tribal Land(s) on which ETC Serves

(920) Tribal Government Engagement
Obligation

[Click to Upload PDF file](#)

If your company serves Tribal lands, please select (Yes, No, NA) for each of these boxes to confirm the status described on the attached PDF, on line 920, demonstrates coordination with the Tribal government pursuant to § 54.313(a)(9) includes:

(921) Needs assessment and deployment planning with a focus on Tribal community anchor institutions;

(922) Feasibility and sustainability planning;

(923) Marketing services in a culturally sensitive manner;

(924) Compliance with Rights of way processes;

(925) Compliance with Land Use permitting requirements;

(926) Compliance with Facilities Siting rules;

(927) Compliance with Environmental Review processes;

(928) Compliance with Cultural Preservation review processes;

(929) Compliance with Tribal Business and Licensing requirements;

[Previous](#)

[Next](#)

[Save](#)

[Exit](#)

Electronic Filing of FCC Form 481

(1110) No Terrestrial Backhaul Reporting

(1110) No Terrestrial Backhaul Reporting

<1120>	Please check this box to confirm no terrestrial backhaul options exist within the supported area pursuant to § 54.313(G)	<input type="checkbox"/>
<1130>	Please check this box to confirm the reporting carrier offers broadband service of at least 1 Mbps downstream and 256 kbps upstream within the supported area pursuant to § 54.313(G)	<input type="checkbox"/>

- Check the box on line 1120 if your company has no terrestrial backhaul options.
- If a carrier has certified they have no terrestrial backhaul, they must affirm these specific elements of the alternative network provisioning of service.

No Terrestrial Backhaul Reporting in E-File

(1100) No Terrestrial Backhaul Reporting Data Collection Form

(1120) Please check this box to confirm no terrestrial backhaul options exist within the supported area pursuant to § 54.313(G)

(1130) Please check this box to confirm the reporting carrier offers broadband service of at least 1 Mbps downstream and 256 kbps upstream within the supported area pursuant to § 54.313(G)

Previous

Next

Save

Exit

Electronic Filing of FCC Form 481

(1200) Lifeline Terms and Conditions

(1200) Lifeline Terms and Conditions

<1210> Terms & Conditions of Voice Telephony Lifeline Plans

Name of attached document (.pdf)

<1220> Link to Public Website

HTTP _____

ETCs have the option to provide summary information of their Lifeline Program plan by either attaching a document or entering a website address.

(1200) Lifeline Terms and Conditions

Please check these boxes below to confirm that the attached PDF, on line 1210, or the website listed, on line 1220, contains the required information pursuant to § 54.422(a)(2) annual reporting for ETCs receiving low-income support, carriers must annually report:

- | | | |
|--------|---|--------------------------|
| <1221> | Information describing the terms and conditions of any voice telephony service plans offered to Lifeline subscribers, | <input type="checkbox"/> |
| <1222> | Details on the number of minutes provided as part of the plan, | <input type="checkbox"/> |
| <1223> | Additional charges for toll calls, and rates for each such plan. | <input type="checkbox"/> |

- By checking these boxes, the Lifeline Program provider confirms the attached summary document or website progress report addresses the required information listed in lines 1221-1223.

(1200) Lifeline Terms and Conditions

Terms and Conditions Reporting in E-File

Lifeline terms and conditions information required for this filing can be: uploaded as a PDF file in data item 1210, Terms & Conditions of Voice Telephony Lifeline Plans, OR referenced by a specific link to your company's website in data item 1220, Link to Public Website. You must utilize one of these two data items.

(1210) Terms & Conditions of Voice Telephony Lifeline Plans

[Click to Upload PDF file](#)

(1220) Link to Public Website

HTTP

Please check these boxes below to confirm that the attached PDF, on line 1210, or the website listed, on line 1220, contains the required information pursuant to § 54.422(a)(2) annual reporting for ETCs receiving low-income support, carriers must annually report:

(1221) Information describing the terms and conditions of any voice telephony service plans offered to Lifeline subscribers

(1222) Details on the number of minutes provided as part of the plan

(1223) Additional charges for toll calls, and rates for each such plan

[Previous](#)

[Next](#)

[Save](#)

[Exit](#)

Electronic Filing of FCC Form 481

(2005) Price Cap Carrier Documentation

(2005) Price Cap Documentation

CHECK the boxes below to note compliance as a recipient of Incremental Connect America Phase I support, frozen High Cost support, High Cost support to offset access charge reductions, and Connect America Phase II support as set forth in 47 CFR § 54.313(b),(c),(d),(e) the information reported on this form and in the documents attached below is accurate.							
	Incremental Connect America Phase I reporting						
<2010>	2nd Year Certification {47 CFR § 54.313(b)(1)}					<input type="checkbox"/>	
<2011>	3rd Year Certification {47 CFR § 54.313(b)(2)}					<input type="checkbox"/>	
	Price Cap Carrier Receiving Frozen Support Certification {47 CFR § 54.312(a)}						
<2012>	2013 Frozen Support Certification					<input type="checkbox"/>	
<2013>	2014 Frozen Support Certification					<input type="checkbox"/>	
<2014>	2015 Frozen Support Certification					<input type="checkbox"/>	
<2015>	2016 and future Frozen Support Certification					<input type="checkbox"/>	
	Price Cap Carrier Connect America ICC Support {47 CFR § 54.313(d)}						
<2016>	Certification Support Used to Build Broadband					<input type="checkbox"/>	
	Connect America Phase II Reporting {47 CFR § 54.313(e)}						
<2017>	3rd year Broadband Service Certification					<input type="checkbox"/>	
<2018>	5th year Broadband Service Certification					<input type="checkbox"/>	
<2019>	Interim Progress Certification					<input type="checkbox"/>	
<2020>	Please check the box to confirm that the attached PDF , on line 2021, contains the required information pursuant to § 54.313 (e)(3)(ii), as a recipient of CAF Phase II support shall provide the number, names, and addresses of community anchor institutions to which began providing access to broadband service in the preceding calendar year.					<input type="checkbox"/>	
<2021>	Interim Progress Community Anchor Institutions	Name of Attached Document Listing Required Information					

Certification

- The price cap carrier must certify in this section each type of support listed below that they are receiving:
 - Incremental Connect America Fund Phase I Reporting,
 - Price Cap Carrier Receiving Frozen Support,
 - Price Cap Carrier Connect America Fund ICC Support, and
 - Connect America Fund Phase II Reporting.
- Ensure that the correct year of certification is selected.
- Starting with the 2014 filing, price cap carriers must provide an interim progress report for providing service to community anchor institutions.

Price Cap Documentation Reporting in E-File

CHECK the boxes below to note compliance as a recipient of Incremental Connect America Phase I support, frozen High Cost support, High Cost support to offset access charge reductions, and Connect America Phase II support as set forth in 47 CFR § 54.313(b),(c),(d),(e) the information reported on this form and in the documents attached below is accurate.

(2010) Incremental Connect America Phase I reporting - 2nd Year Certification {47CFR§54.313(b)(1)}

(2012) Price Cap Carrier Receiving Frozen Support Certification {47CFR§54.312(a)} - 2013 Frozen Support Certification

(2016) Price Cap Carrier Connect America ICC Support{47CFR§54.313(d)} - Certification Support Used to Build Broadband

Previous

Next

Save

Exit

Electronic Filing of FCC Form 481

(3005) Rate of Return Carrier Documentation

RoR Carrier Filing

Privately held rate of return carriers must file either:

- Carrier's RUS annual report,
- Carrier's audited financial statements and the auditor's management letter, or
- Carrier's reviewed financial statements, the CPA's management letter, and an officer's statement attesting to the financial statements.

*Note: For Program Year 2014 filing purposes, the current year would refer to 2012 financials and the prior year refers to 2011 financials.

RoR Carrier Filing

- If the privately held rate of return carriers do not submit all financial statements, they must complete financial statement templates.
 - 3005a Balance Sheet
 - 3005b Income Statement
 - 3005c Statement of Cash Flows
- Starting with the 2014 filing, all rate of return carriers must report progress on its five-year plan and report on the community anchor institutions served.

RoR Documentation Reporting in E-File

CHECK the boxes below to note compliance on its five year service quality plan (pursuant to 47 CFR § 54.202(a)) and, for privately held carriers, ensuring compliance with the financial reporting requirements set forth in 47 CFR § 54.313(f)(2). I further certify that the information reported on this form and in the documents attached below is accurate

(3013) Is your company a Privately Held ROR Carrier {47 CFR § 54.313(f)(2)}? Check the checkbox for Yes. Do not check the checkbox for No

(3014) If yes, does your company file the RUS annual report Check the checkbox for Yes. Do not check the checkbox for No
Please check these boxes to confirm that the attached PDF, on line 3017, contains the required information pursuant to § 54.313(f)(2) compliance requires:

(3015) Electronic copy of their annual RUS reports (Operating Report for Telecommunications Borrowers)

(3016) PDF of Balance Sheet, Income Statement and Statement of Cash Flows

(3017) If the response is yes on line 3014, attach your company's RUS annual report and all required documentation
[Click to Upload PDF file](#)

(3018) If the response is no on line 3014, Is your company audited? Check the checkbox for Yes. Do not check the checkbox for No
If the response is yes on line 3018, please check the boxes below to confirm your submission, on line 3026 pursuant to § 54.313(f)(2), contains:

(3019) Either a copy of their audited financial statement; or (2) a financial report in a format comparable to RUS Operating Report for Telecommunications Borrowers

(3020) PDF of Balance Sheet, Income Statement and Statement of Cash Flows

(3021) Management letter issued by the independent certified public accountant that performed the company's financial audit
If the response is no on line 3018, please check the boxes below to confirm your submission, on line 3026 pursuant to § 54.313(f)(2), contains:

(3022) Copy of their financial statement which has been subject to review by an independent certified public accountant; or 2) a financial report in a format comparable to RUS Operating Report for Telecommunications Borrowers,

(3023) Underlying information subjected to a review by an independent certified public accountant

(3024) Underlying information subjected to an officer certification.

(3025) PDF of Balance Sheet, Income Statement and Statement of Cash Flows

(3026) Attach the worksheet listing required information
[Click to Upload PDF file](#)

[Previous](#) [Next](#) [Save](#) [Exit](#)

Electronic Filing of FCC Form 481

Final Certifications

Who Can Certify?

- Once all elements of the FCC Form 481 have been completed, the filing in its entirety must be certified.
- For the FCC Form 481 to be considered complete, an FCC Form 498 Company Officer, an FCC Form 498 General Contact, or an authorized 481 Officer must be involved.
- An FCC Form 498 Company Officer, an FCC Form 498 General Contact, or an authorized 481 Officer is required to certify if filing on its own behalf.
- An FCC Form 498 Company Officer, an FCC Form 498 General Contact, or an authorized 481 Officer must certify that it has authorized an agent (authorized 481 Agent) to file this form on their behalf.

Carrier vs. Agent

- If a carrier is certifying on its own behalf, the data and signatures must be of the authorized “481 Officer.”
 - If the authorized 481 Officer is certifying, additional data required is the authorized 481 Officer’s title, phone number, carrier’s name, carrier’s SAC number, and filing date.
- If an authorized 481 Agent is filing on the carrier’s behalf, they must provide:
 - Name, title, phone number, and date of certification of the authorized 481 Agent.
 - Carrier’s name, SAC number, and filing date.

Accuracy Certification in E-File

Certification of Officer as to the Accuracy of the Data Reported for the Annual Reporting for CAF or LI Recipients

I certify that I am an officer of the reporting carrier; my responsibilities include ensuring the accuracy of the annual reporting requirements for universal service support recipients; and, to the best of my knowledge, the information reported on this form and in any attachments is accurate.

Name of Reporting Carrier:

Signature of Authorized Officer: Date:

Printed Name of Authorized Officer:

Title or Position of Authorized Officer:

Telephone Number of Authorized Officer:

Study Area Code of Reporting Carrier: Filing Due Date for this Form:

Persons willfully making false statements on this form can be punished by fine or forfeiture under the Communications Act of 1934, 47 U.S.C. §§ 502, 503(b), or fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. § 1001.

Agent Certification in E-File

Name of Reporting Carrier:	<input type="text"/>	
Name of Authorized Agent or Employee of Agent:	<input type="text"/>	
Signature of Authorized Agent or Employee of Agent:	CERTIFIED ONLINE	Date: <input type="text"/>
Printed Name of Authorized Agent or Employee of Agent:	<input type="text"/>	
Title or Position of Authorized Agent or Employee of Agent:	<input type="text"/>	
Telephone Number of Authorized Agent or Employee of Agent:	<input type="text"/>	
Study Area Code of Reporting Carrier:	<input type="text"/>	Filing Due Date for this Form: <input type="text" value="9/3/2013"/>

Filing Form 481 to FCC, Relevant State Commissions and Other Regulatory Agencies

- After FCC Form 481 is certified and submitted to USAC, remember to print out a PDF copy of the form and submit it to the FCC, relevant state commissions and/or other regulatory agencies.

Questions?

Contact us:

questions@hcli.universalservice.org

Thank you!