

FCC Form 481 Webinar: Program Year 2022 Updates

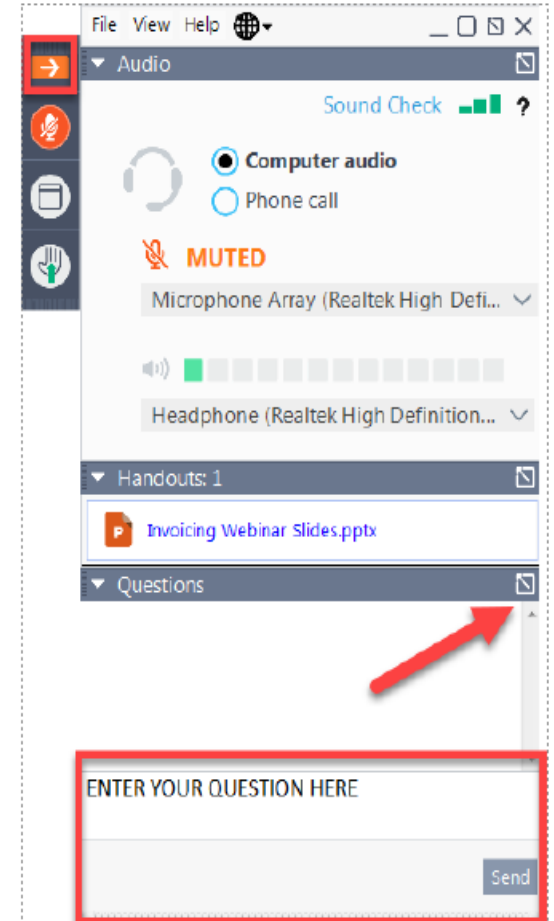
High Cost Program
May 13, 2021



Universal Service
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Housekeeping

- Audio is available through your computer's speakers.
- The audience will remain on mute.
- **Enter questions at any time using the “Questions” box.**
- If your audio or slides freeze, restart the webinar.
- **A copy of the slide deck is in the “Handouts” section of webinar panel.**



Today's Speaker



Elizabeth Pertsevoi

Senior Program Analyst | High Cost

Agenda

- FCC Form 481 Overview
- Supply chain certification
- Other changes for program year 2022 Form 481 filing
- Resources
- Questions

FCC Form 481: Overview

Form 481 Overview: Requirements

- All eligible telecommunications carriers (ETCs) participating in the High Cost and/or Lifeline programs, with the exception of Mobility Fund Phase I participants, must file FCC Form 481 on an annual basis
- The form collects financial and operations information used to validate carrier support
- Failure to file by the deadline may impact support. See 47 CFR 54.313
- **Filing due date: July 1, 2021**

Form 481 Overview: Access

- Access to the Form 481 system is through USAC's E-file
 - E-File can be accessed at <https://forms.universalservice.org/portal/login>
 - Or click "Sign In" at the top of the USAC website (usac.org)



Subscribe Payments Open Data

Sign In

- Users must have a 481 entitlement. The carrier's 498 officer can assign the entitlement.
 - 481 SPO – this entitlement allows data to be entered and certified
 - 481 SPU – this entitlement allows data to be entered, but not certified
 - 481 SPA - this entitlement allows data to be entered, but not certified

Form 481 Overview: Content

- The form collects operations information used to validate carrier support. This includes:
 - Certify ability to function in emergency situations
 - Holding company, operating companies, affiliates and branding designations (doing-business-as or dba)
 - Tribal lands engagement
 - Rate comparability (both voice and broadband)
 - Terrestrial Backhaul
- Carriers may also see support-specific sections

Form 481 Overview: System

- Please note that the system will automatically display only those sections that the carrier is required to complete, based on:
 - type of carrier (rate-of-return, price cap, competitor)
 - type of support received (ex. Auction, RBE, etc.)

- Carrier Contact Information
- (600) Functionality in Emergency Situations
- (800) Operating Companies
- (900) Tribal Lands Reporting
- (1000) Voice and Broadband Service Rate Comparability
- (1100) Terrestrial Backhaul Reporting
- (1200) Lifeline Terms and Conditions
- (2005) Price Cap Data
- Validate Filing
- Accuracy Certification

- Carrier Contact Information
 - (600) Functionality in Emergency Situations
 - (800) Operating Companies
 - (900) Tribal Lands Reporting
 - (1000) Voice and Broadband Service Rate Comparability
 - (1100) Terrestrial Backhaul Reporting
 - (6005) Phase II Auction Reporting
 - Validate Filing
 - Accuracy Certification
-

Form 481 Overview: System

- The system maintains a form template so that carriers can download completed forms.
 - This template includes all Form 481 sections. Sections that carriers are not required to complete will appear blank in the downloaded form.

Form 481 Overview: System

- The option to certify does not become visible until the accuracy certification is completed and the filing validated.
- Note that the grey fields on the accuracy certification will be auto-populated upon certification

[Validate Filing](#)
[Accuracy Certification](#)

ACCURACY CERTIFICATION

[Instructional Video](#)

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:

Ext.

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.

[Validate Filing](#)
[Accuracy Certification](#)

VALIDATE FILING

[Instructional Video](#)

Please click the "Validate" button to determine whether or not this filing is eligible to be certified.

Form 481 Overview: System

- Validate Filing
- Accuracy Certification
- Certify Filing

VALIDATE FILING

 Instructional Video

Please click the "Validate" button to determine whether or not this filing is eligible to be certified.

Save Successful

Previous

Next

Validate

Exit

- Validate Filing
- Accuracy Certification
- Certify Filing

CERTIFY FILING

 Instructional Video

I certify under penalty of perjury that no universal service support has been or will be used to purchase, obtain, maintain, improve, modify, or otherwise support any equipment or services produced or provided by any company designated by the Federal Communications Commission as posing a national security threat to the integrity of communications networks or the communications supply chain since the effective date of the designations.

Previous

Certify

Exit

Supply Chain Report & Order Overview for FCC Form 481



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Order Overview: Supply Chain Report and Order

- On Nov. 26, 2019, the FCC issued the *Protecting the Communications Supply Chain Order*, adopting section 54.9 prohibiting the use of USF funds for the purchase of equipment or services from companies identified as a security threat to the nation's communications infrastructure (covered companies).
- On Jan. 3, 2020, section 54.9 went into effect and is applicable to all four USF programs.
- On June 30, 2020, the Public Safety and Homeland Security Bureau (PSHSB) of the Federal Communications Commission (FCC) designated [Huawei](#) and [ZTE](#), and their parents, affiliates, and subsidiaries, as covered companies.
- Additional certifications will be coming soon for section 54.10.

What This Means for the FCC Form 481:

- Service providers will see one new supply chain certification included in the FCC Form 481 in [E-File](#).
 - Section 54.9: *I certify under penalty of perjury that no universal service support has been or will be used to purchase, obtain, maintain, improve, modify, or otherwise support any equipment or services produced or provided by any company designated by the Federal Communications Commission as posing a national security threat to the integrity of communications networks or the communications supply chain since the effective date of the designations.*
- This certification affirms compliance with the Section 54.9 prohibition on USF support to purchase, obtain, maintain, improve, modify, operate, manage, or otherwise support equipment or services produced or provided by the covered companies.
- Service providers will be required to submit annual certification to USAC for each program in which they participate.

Supply Chain Audits

- USAC will conduct audits specific to supply chain to determine USF recipients' compliance with these new rules.
- These audits are separate from BCAP or PQA reviews.
- To help USF recipients prepare, USAC will host a series of webinars that will highlight how to prepare for the audit and what to expect if selected.
- Additionally, USAC will continue to update our [website](#) with more information about these audits and updates to supply chain information.

FCC Form 481: Other Changes for Program Year 2022

Form 481 Section (2005) Price Cap Reporting

- Price cap carriers, including carriers receiving **CAF II Model** support, are asked whether they have bid to provide E-Rate Category One telecommunications and Internet access services in response to all FCC Form 470 postings located within any area in a census block where a carrier receives Phase II Model support
 - Posting of FCC Form 470 opens the competitive bidding process for carriers seeking to provide telecommunications and/or Internet access service supported by the E-Rate program to eligible schools and libraries
 - Carriers must bid at rates that are reasonably comparable to rates charged to eligible schools and libraries in urban areas for comparable offerings
 - **Price cap carriers should select “not applicable” in response because this requirement is not yet fully implemented**

Form 481 Section (6005) Phase II Auction Reporting

- **CAF II Auction** recipients that have newly deployed broadband service to community anchor institutions must upload a list of those anchor institutions
- **CAF II Auction** recipients must indicate whether the network funded by the program met relevant performance requirements and public interest obligations in the prior year
 - This requirement applies from the first July 1 after a CAF Phase II Auction recipient meets the final service milestone until the July 1 after the support term ends

Form 481 Section (6005) Phase II Auction Reporting

- **CAF II Auction** recipients are asked whether they have bid to provide E-Rate Category One telecommunications and Internet access services in response to all FCC Form 470 postings located within a census block where a carrier receives Phase II Auction support
 - Posting of FCC Form 470 opens the competitive bidding process for carriers seeking to provide telecommunications and/or Internet access service supported by the E-Rate program to eligible schools and libraries
 - Carriers must bid at rates reasonably comparable to rates charged to eligible schools and libraries in urban areas for comparable offerings
 - **CAF II Auction carriers should select “no” in response because this requirement is not yet fully implemented**

Form 481 Section (8005) Uniendo a Puerto Rico Fund Stage 2 *Fixed and Mobile Reporting*

- Recipients of **Uniendo a Puerto Rico Fund Stage 2** *fixed and mobile* support must:
 - Certify that support was not used for costs reimbursed by other sources
 - Indicate whether they have performed an annual review of the required Disaster Preparation and Response Plan
 - All Stage 2 support recipients must update their disaster preparedness plans when they make material changes to internal processes or responsible staff and share the updated plans with the FCC within 10 business days

Form 481 Section (8005) Uniendo a Puerto Rico Fund Stage 2 *Fixed Certification*

- Recipients of **Uniendo a Puerto Rico Fund Stage 2** *fixed* support must also:
 - Report total amount of fixed support, if any, used for capital expenditures
 - Disclose whether the carrier has available funds for all project costs that will exceed the amount of support to be received for the next calendar year
 - Disclose whether the carrier newly deployed broadband service to community anchor institution(s) in the previous calendar year and if so, upload a document listing those community anchor institutions
 - Indicate whether the network funded by the program met relevant performance requirements and public interest obligations in the prior year
 - This requirement applies from the first July 1 after the recipient meets the final service milestone until the July 1 after the support term ends

Form 481 Section (8005) Uniendo a Puerto Rico Fund Stage 2 *Fixed Certification*

- Recipients of **Uniendo a Puerto Rico Fund Stage 2** *fixed* support are asked whether they have bid to provide E-Rate Category One telecommunications and Internet access services in response to all FCC Form 470 postings located within any area in a census block where a carrier receives support
 - Posting of FCC Form 470 opens the competitive bidding process for carriers seeking to provide telecommunications and/or Internet access service supported by the E-Rate program to eligible schools and libraries
 - Carriers must bid at rates reasonably comparable to rates charged to eligible schools and libraries in urban areas for comparable offerings
 - **Uniendo a Puerto Rico carriers should select “not applicable” in response because this requirement is not yet fully implemented**

Form 481 Section (9005) Connect USVI Fund Stage 2 *Fixed and Mobile Reporting*

- Recipients of **Connect USVI Fund Stage 2** *fixed and mobile* support must:
 - Certify that support was not used for costs reimbursed by other sources
 - Indicate whether they have performed an annual review of the required Disaster Preparation and Response Plan
 - All Stage 2 support recipients must update their disaster preparedness plans when they make material changes to internal processes or responsible staff and share the updated plans with the FCC within 10 business days

Form 481 Section (9005) Connect USVI Fund Stage 2 *Fixed Certification*

- Recipients of **Connect USVI Fund Stage 2** *fixed* support must also:
 - Report total amount of fixed support, if any, used for capital expenditures
 - Disclose whether the carrier has available funds for all project costs that will exceed the amount of support to be received for the next calendar year
 - Disclose whether the carrier newly deployed broadband service to community anchor institution(s) in the previous calendar year and if so, upload a document listing those community anchor institutions
 - Indicate whether the network funded by the program met relevant performance requirements and public interest obligations in the prior year
 - This requirement applies from the first July 1 after the recipient meets the final service milestone until the July 1 after the support term ends

Form 481 Section (9005) Connect USVI Fund Stage 2 *Fixed Certification*

- Recipients of **Connect USVI Fund Stage 2** *fixed* support are asked whether they have bid to provide E-Rate Category One telecommunications and Internet access services in response to all FCC Form 470 postings located within any area in a census block where a carrier receives support
 - Posting of FCC Form 470 opens the competitive bidding process for carriers seeking to provide telecommunications and/or Internet access service supported by the E-Rate program to eligible schools and libraries
 - Carriers must bid at rates reasonably comparable to rates charged to eligible schools and libraries in urban areas for comparable offerings
 - **Connect USVI Fund carriers should select “not applicable” in response because this requirement is not yet fully implemented**

Form 481: Resources

Form 481 Resources

Resources to help carriers complete Form 481:

<https://www.usac.org/high-cost/resources/forms-and-filing-deadlines/>

Resources include:

Online Filing User Guide

FAQs

Upload Templates

Filing Videos

Form 481 Resources

<https://www.usac.org/high-cost/resources/forms-and-filing-deadlines/>

FCC Form 481

[Log in to E-File](#) 

[Form 481 Form Template](#)  - DRAFT

[Form 481 Instructions](#)  - DRAFT

[Form 481 User Guide](#) 

[Form 481 Filing Guide](#) 

[Form 481 FAQs](#)

[Form 481 Videos](#)

[Form 481 Upload Templates](#)

Due Date

July 1, 2021

Who Must File

All carriers

[Learn more](#)

Form 481 Resources

FCC Form 481 Online Filing User Guide

- Steps to start a new filing or continue a pre-existing filing
- Information on how to populate the form, including:
 - Overview of each line item and possible answers
 - Instructions on how to attach files and upload data using upload templates
 - Explanation of how to populate the dynamic tables manually
- Instructions on how to certify a filing

Form 481 Resources

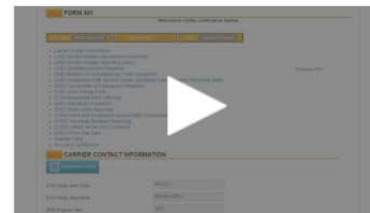
Filing Videos

(<https://www.usac.org/high-cost/learn/videos/#FCC-Form-481>)



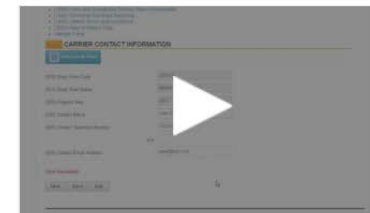
Introduction

1:06 minutes



Overview of the FCC Form 481 Online System

8:07 minutes



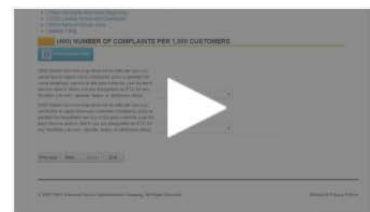
Carrier Contact Information

0:44 minutes



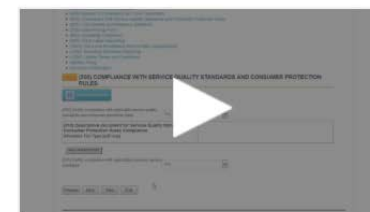
(200) Service Outage Reporting (Voice)

3:15 minutes



(400) Number of Complaints per 1,000

2:30 minutes



(500) Compliance With Service Quality Standards

1:06 minutes

[Load More](#)






Form 481 Resources

FCC Form 481 Filing Guide

481 Section & Issue	High Cost Program Rule	Notes	Lifeline Program Rule	Lifeline Program Filers
Section 600: Emergency certification	54.313(a)(1)	Certify for voice and for broadband service	54.422(b)(4)	54.422 only filings where Lifeline ETC is FCC-designated
Section 1000: Voice and Broadband Service Rate Comparability	54.313(a)(2) and (a)(3)	Certify that voice and broadband rates are reasonably comparable. Identify most recent wireline survey (see Section 1000 in FAQ for details).	N/A	N/A

Form 481 Resources

FCC Form 481 Upload Templates

- Use templates to upload data in our dynamic tables. Data can also be added manually.
- Rate-of-Return carriers may (not required) use the 3005 template to submit their financial data
 - [200 Service Outages Upload Template](#) 
 - [800 Operating Company Upload Template](#) 
 - [3005 Rate of Return Data Upload Template](#) 
 - [Community Anchor Institution Upload Template](#) 
 - [5005 Alaska Plan Upload Template](#) 

High Cost Support Center

1-844-357-0408

HCQuestions@USAC.org

Questions?



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