

**199—39.7(476) Schedule of filings.** The filing requirements specified below apply only to filings that are not available to the commission through the Universal Service Administrative Company's online filing portal or other means authorized by the FCC.

**39.7(1) Annual Lifeline compliance certifications.**

*a. FCC Form 555.* On or before January 31 of each year, or other date established by the Federal Communications Commission, each carrier designated by the commission as an eligible telecommunications carrier pursuant to 47 U.S.C. § 214(e) shall file with the commission the carrier's certification of compliance with federal Lifeline rules filed with the Federal Communications Commission and the Universal Service Administrative Company pursuant to 47 CFR § 54.416 using FCC Form 555.

*b. Filing instructions.* FCC Form 555 shall be filed using the commission's electronic filing system in accordance with 199—Chapter 14, unless the commission directs otherwise by order issued in advance of the filing deadline. The filing shall be titled "Annual Lifeline Eligible Telecommunications Carrier Certification," with a reference to the year for which the certification is filed. The document title for the FCC form shall be "FCC Form 555 Filing." The annual Lifeline compliance certifications are not subject to protection from public disclosure.

**39.7(2) Annual eligible recovery certifications.** On or before the date on which carriers file their access tariffs with the FCC, each price cap and rate-of-return carrier designated by the commission as an eligible telecommunications carrier pursuant to 47 U.S.C. § 214(e) shall file with the commission certifications of eligible recovery amounts as follows, as required by 47 CFR § 54.304(c) and (d).

*a. Price cap carriers.* Each price cap carrier designated by the commission as an ETC shall file with the commission the carrier's certification to the FCC and USAC regarding the connect America fund intercarrier compensation support amount the carrier is eligible to recover pursuant to 47 CFR § 51.915 and the certification that the carrier is not seeking duplicative recovery in Iowa for any eligible recovery subject to the federal recovery mechanisms.

*b. Rate-of-return carriers.* Each rate-of-return carrier designated by the commission as an ETC shall file with the commission the carrier's certification to the FCC and USAC regarding the connect America fund intercarrier compensation support amount the carrier is eligible to recover pursuant to 47 CFR § 51.917 and the certification that the carrier is not seeking duplicative recovery in Iowa for any eligible recovery subject to the federal recovery mechanisms.

*c. Filing instructions.* The annual eligible recovery certifications shall be filed using the commission's electronic filing system in accordance with 199—Chapter 14, unless the commission directs otherwise by order issued in advance of the filing deadline. The filing shall be titled "Connect America Fund – Intercarrier Compensation Recovery and Certification," with a reference to the year for which the certification is filed. The document title for the FCC form shall be "Annual Reporting Requirements for Section 54.304."

*d. Confidential information.*

(1) Requests to withhold from public inspection revenue recovery amounts and loop or line count data will be deemed granted as provided in 199—paragraph 1.9(5) "c."

(2) If a carrier considers other information filed on or with the annual Section 54.304 report to be confidential, the carrier shall file both a public version and a confidential version of the material pursuant to 199—14.12(17A,476), and a separate request for confidential treatment pursuant to 199—subrule 1.9(22) and Iowa Code section 22.7. Where a request for confidential treatment of information filed on or with the Section 54.304 report is based on a protective order issued by the FCC, the carrier's request for confidential treatment shall include a reference to the relevant protective order.

**39.7(3) Annual reporting requirements.**

*a. FCC Form 481.* On or before July 1 of each year, or other date established by the Federal Communications Commission, each carrier designated by the commission as an eligible telecommunications carrier pursuant to 47 U.S.C. § 214(e) for purposes of receiving Lifeline support only shall file with the commission the carrier's annual report filed with the FCC pursuant to 47 CFR § 54.422(a) using FCC Form 481 or such other form designated by the FCC as the form for the annual report for ETCs.

*b. FCC Form 690.* On or before July 1 of each year, or other date established by the Federal Communications Commission, each carrier designated by the commission as an eligible telecommunications carrier pursuant to 47 U.S.C. § 214(e) and that receives mobility fund support shall file with the commission the carrier's annual report filed with the FCC pursuant to 47 CFR § 54.1009.

*c. Annual certifications from carriers seeking to continue to receive high-cost support.* Any carrier seeking to continue to receive federal high-cost universal service support shall file with the commission no later than July 1 of each year an affidavit titled "Certification of [Company Name]." The company name shall be the name used on the carrier's initial application for ETC designation and its current name, if its name has changed.

(1) Contents of affidavit. The affidavit shall include the study area code (SAC) number associated with the company. The affidavit shall be sworn and notarized and shall be executed by an authorized corporate officer. The affidavit shall certify that the carrier has used all federal high-cost support provided in the preceding calendar year and will use all federal high-cost support provided to the carrier in the coming calendar year received pursuant to 47 CFR Subchapter B, Part 54, Subparts D, K, L, and M, as defined in 47 CFR § 54.5, only for the provision, maintenance, and upgrading of facilities and services for which the support is intended. The affidavit shall also certify to the following: as an eligible telecommunications carrier, the carrier agrees to provide timely responses to commission requests for information related to the status of local markets for supported services, including local markets for supported voice and broadband services.

(2) Certifications subject to complaint or investigation. Any certification filed by a carrier shall be subject to complaint or investigation by the commission.

(3) State certification of eligibility. An ETC's certification shall be the basis of the commission's certification to the FCC and USAC pursuant to 47 CFR § 54.314 that the ETC has used and will use the support for the purposes intended.

*d. Filing instructions for annual report filings.* FCC Form 481 if Form 481 is required to be filed with the commission, the affidavit certifying compliance, and FCC Form 690 shall be filed using the commission's electronic filing system in accordance with 199—Chapter 14, unless the commission directs otherwise by order issued in advance of the filing deadline. The filing shall be titled "Annual Eligible Telecommunications Carrier Reporting Requirements," with a reference to the year for which the report is filed. The document title for the FCC form shall be "FCC Form 481 Filing" or "FCC Form 690 Filing," as appropriate. The document title for the affidavit certifying compliance shall be "Carrier Certification."

*e. Confidential information.*

(1) Requests to withhold from public inspection financial reports and loop or line count data included in the rate floor data reports included in the annual report filings will be deemed granted as provided in 199—paragraph 1.9(5) "c."

(2) If a carrier considers other information filed on or with FCC Form 481 to be confidential, the carrier shall file both a public version and a confidential version of the material pursuant to 199—14.12(17A,476), and a separate request for confidential treatment pursuant to 199—1.9(22) and Iowa Code section 22.7. Where a request for confidential treatment of information filed on or with FCC Form 481 is based on a protective order issued by the FCC, the carrier's request for confidential treatment shall include a reference to the relevant protective order.

**39.7(4) Rate floor data and rate floor data updates.**

*a.* On or before July 1 of each year, or other date established by the FCC, each carrier designated by the commission as an eligible telecommunications carrier pursuant to 47 U.S.C. § 214(e) that is subject to the FCC's mandatory rate floor data reporting requirements in 47 CFR § 54.313(h)(1) shall file with the commission the annual rate floor data filed with the FCC. Carriers that are required to file or that elect to file rate floor data updates with the FCC on January 2 of each year pursuant to 47 CFR § 54.313(h)(2) shall also file the updates with the commission.

*b.* Filing instructions for rate floor data and rate floor data updates. The rate floor data and rate floor data updates shall be filed using the commission's electronic filing system in accordance with 199—Chapter 14, unless the commission directs otherwise by order issued in advance of the filing deadline. The filing shall be titled "FCC Section 54.313(h)(1) Rate Floor Data" or "FCC Section 54.313(h)

(2) Rate Floor Data Update,” with a reference to the year for which the update is filed. The document title for the report shall be “Rate Floor Data” or “Rate Floor Data Update,” as appropriate.

c. Confidential information.

(1) Requests to withhold from public inspection loop or line count data submitted as part of a rate floor data update will be deemed granted as provided in 199—paragraph 1.9(5)“c.”

(2) If a carrier considers other information filed on or with a rate floor data update to be confidential, the carrier shall file both a public version and a confidential version of the material pursuant to 199—14.12(17A,476), and a separate request for confidential treatment pursuant to 199—subrule 1.9(22) and Iowa Code section 22.7. Where a request for confidential treatment of information filed on or with a rate floor data update is based on a protective order issued by the FCC, the carrier’s request for confidential treatment shall include a reference to the relevant protective order.

[ARC 1899C, IAB 3/4/15, effective 4/8/15; ARC 4254C, IAB 1/16/19, effective 2/20/19; Editorial change: IAC Supplement 7/24/24]