

This document provides the instructions for FCC Reports 43-01 through 43-08, and the 495A and 495B. The instructions consist of the following five sections:

1. Reporting Procedures – a single document which begins on page 2 of these Instructions. Reporting Procedures provide detailed procedures to be followed when submitting these reports to the Commission. This document also includes an illustration of the Transmittal Letter and Certification Statement.
2. Report Definition – multiple documents, one for each ARMIS report, containing the following subsections:
 - a. Summary - description of the form and its reporting burden.
 - b. Form - illustration of the rows and columns to be reported.
 - c. Row Instructions - instructions for completing the rows to be reported.
 - d. Column Descriptions - description of the columns to be reported.
3. Automated Report Specifications – multiple documents, one for each ARMIS report, containing detailed automated data processing (ADP) specifications for the automated report to be filed.
4. COSA Code Table – a single document which lists the four letter COSA codes (CO = Company, SA = Study Area).

A. Introduction

This document contains details on the specific procedures to be followed when submitting the ARMIS FCC Reports 43-01 through 43-08, and 495A and 495B to the Commission.

B. General Information

1. Orders Adopting the Reports

- a. **Reports 43-01 through 43-04 and 495A and 495B:** Adopted by the Commission in the ARMIS Order, *Automated Reporting Requirements for Certain Class A and Tier 1 Telephone Companies (Parts 31, 43, 67, and 69 of the FCC's Rules)*, CC Docket No. 86-182, 2 FCC Rcd 5770 (1987). The report is prescribed for each incumbent local exchange carrier (ILEC) with annual operating revenues for the preceding year equal to or above the indexed revenue threshold. See Order titled *Reform of Filing Requirements and Carrier Classifications; Anchorage Telephone Utility, Petition for Withdrawal of Cost Allocation Manual*, CC Docket No. 96-193, FCC 97-145 (adopted April 22, 1997) and Public Notice titled *Annual Adjustment of Revenue Threshold*, DA 02-957 (dated April 26, 2002).
- b. **Report 43-05:** Adopted by the Commission in the LEC Price Cap Order, Policy and Rules Concerning Rates for Dominant Carriers, Second Report and Order, CC Docket No. 87-313, 5 FCC Rcd 6786, 6827-30 (1990). See also Quality of Service Standards Order, Policy and Rules Concerning Rates of Dominant Carriers and Amendment of Part 61 of the Commission's Rules to Require Quality of Service Standards in Local Exchange Carrier Tariffs, Memorandum Opinion and Order, CC Docket No. 97-28, 12 FCC Rcd 8115 (1997). This report is prescribed for every mandatory price cap ILEC and local exchange carriers electing the incentive regulation plan.
- c. **Reports 43-06 and 43-07:** Adopted by the Commission in the LEC Price Cap Order, Policy and Rules Concerning Rates for Dominant Carriers, Second Report and Order, CC Docket No. 87-313, 5 FCC Rcd 6786, 6827-30 (1990). See also Quality of Service Standards Order, Policy and Rules Concerning Rates of Dominant Carriers and Amendment of Part 61 of the Commission's Rules to Require Quality of Service Standards in Local Exchange Carrier Tariffs, Memorandum Opinion and Order, CC Docket No. 97-28, 12 FCC Rcd 8115 (1997). This report is prescribed for every ILEC for whom price cap regulation is mandatory.
- d. **Report 43-08:** Adopted by the Commission in the Common Carrier Bureau in Revision of ARMIS USOA Report (FCC Report 43-02) for Tier 1 Telephone Companies, DA 92-99, 7 FCC Rcd. 1083, 1992. The report is prescribed for each

ILEC with annual operating revenues for the preceding year equal to or above the indexed revenue threshold. See Order titled *Reform of Filing Requirements and Carrier Classifications; Anchorage Telephone Utility, Petition for Withdrawal of Cost Allocation Manual*, CC Docket No. 96-193, FCC 97-145 (adopted April 22, 1997) and Public Notice titled *Annual Adjustment of Revenue Threshold*, DA 02-957 (dated April 26, 2002).

2. Current Revisions

- a. **Report 43-01 Changes:** This report has been revised in accordance with the order titled *2000 Biennial Regulatory Review - Comprehensive Review of the Accounting Requirements and ARMIS Reporting Requirements for Incumbent Local Exchange Carriers: Phase 2, et al.*, CC Docket Nos. 00-199, 99-301, 97-212, 80-286, Report and Order in CC Docket Nos. 00-199, 97-212, and 80-286, Further Notice of Proposed Rulemaking in CC Docket Nos. 00-199, 99-301, and 80-286,” 16 FCC Rcd 19911 (2001) (*Phase 2 Report and Order*)
- b. **Reports 43-02, 43-03 and 43-04 Changes:** These reports have been revised in accordance with the *Phase 2 Report and Order on recon.*, 17 FCC Rcd 4766 (2002) (*Phase 2 Reconsideration Order*). Starting with the 2001 reporting year, the mid-sized ILECs, as defined by Section 32.9000, were relieved from filing these reports.
- c. **Reports 43-07 and 43-08 Changes:** These reports have been revised in accordance with the *Phase 2 Report and Order, Phase 2 Reconsideration Order*, and the order titled *2000 Biennial Regulatory Review – Comprehensive Review of the Accounting Requirements and ARMIS Reporting Requirements for Incumbent Local Exchange Carriers: Phase 2, et al.*, CC Docket Nos. 00-199, 99-301, 80-286, WC Docket No. 02-269, Order, FCC 02-309 (rel. Nov. 12, 2002) (*Accounting Suspension Order*).

3. Filing Requirements

- a. **Electronic Filing:** Data for reporting years 1990 through 2002 and beyond shall be filed electronically as mandated in the 1998 Biennial Regulatory Review - Review of ARMIS Reporting Requirements, *Report and Order in CC Docket No. 98-117, Fifth Memorandum Opinion and Order in AAD File No. 98-43*, released June 30, 1999, FCC 99-107, 14 FCC Rcd 11443 (*ARMIS Review Order*).
- b. **When to File:** For all ARMIS reports, except 495A, affected carriers shall file by April 1 for the previous calendar year. For ARMIS Report 495A, affected carriers shall file by April 1, forecasts for three consecutive calendar years beginning with the current year.

c. **Filing Level:**

- i. Reports 43-01, 43-03, and 43-04 are filed at the study area (jurisdiction) level.
- ii. Reports 43-05, 43-06, and 43-07 are filed at the study area (jurisdiction) level and at the holding company level.
- iii. Reports 43-02 and 43-08 are filed at the operating company level.
- iv. Reports 495A and 495B are filed at the study area (jurisdiction), consolidated access tariff area, and at the operating company level.

- d. **Proprietary Treatment:** Carriers seeking proprietary treatment for some data must provide two electronic versions of the automated report. The Confidential Version must contain all the required information (Confidential Treatment Data Records are provided to identify confidential data). The Public Version should not include data for which the carrier is seeking proprietary treatment.

Carriers not seeking proprietary treatment for any data should provide only one electronic version which should be identified as the Unrestricted Version.

The Confidential Treatment Data Records are to be included in all reports but are not a substitute for applying for confidential treatment with this Commission following established Commission procedures.

- e. **Required Information:** Electronically-Filed Data: for data reporting years 1990 through 2002 and beyond, carriers must file their ARMIS Reports electronically via the Internet. Header records in the ARMIS Report data files must include the report number, company, study area, period, COSA code, version and submission number. The report number identifies the ARMIS Report that is being filed. The period identifies the year covered by the data. See the COSA Code Table (CO = Company, SA = Study Area) for a list of companies and their respective COSAs. The version refers to whether the filing is the Confidential, Public or Unrestricted Version. The submission number is defined as follows: submission 0 is for test data purposes only; submission 1 is the first submission of a year's data. A higher number (2, 3, etc.) and a new data entry date must be used each time a change occurs to denote a new submission. When correcting format errors, a new submission number is not required; however, the data entry date must be changed to reflect the date of the format change.
- f. **Transmittal Letter Identification:** All correspondence and pleadings shall identify the proceeding as CC Docket 86-182, for ARMIS Reports 43-01 through 43-04, and 495A and 495B; CC Docket 87-313, for ARMIS Reports 43-05 through 43-07; and DA 92-99 for ARMIS Report 43-08.

- g. **Validation:** Each reporting carrier must validate its data by using the most recent edit check program(s), provided by the Commission, for the reporting year. When an error is detected, the carrier must correct the error prior to submitting the report to the Commission.

C. **Data Items That Are "Not Available," "Withheld," or are "Irretrievable"**

1. **Not Available:** Applicable to all reports, the term "Not Available" is used below to refer only to those items which the Commission has ruled are not applicable to a particular row/column or are not required for a particular filing entity. The Confidential Version must contain values for all of the data items except those items which are "Not Available." If, in addition to the required study area reports, a carrier submits a report which combines data for more than one study area, and this report includes a field such as a sum, a ratio, or a percentage that cannot be computed completely and accurately because it relies on another item which the Commission has ruled is a "Not Available" item, then that field is also considered to be "Not Available."
2. **Withheld:** Applicable to all reports, the term "Withheld" is used below to refer only to those items for which the carrier has applied for confidential treatment with the Commission and is only applicable to the Public Version. If a field such as a sum, a ratio or a percentage relies on an item or items which have been withheld and that field is not also withheld, then it must include the withheld amount. For example, a carrier could withhold the individual values for two of three numbers, which are totaled. If the carrier does not also apply for confidential treatment for the total, then that total must be the sum of all three numbers, not just the one, which was not withheld. The Public Version must contain values for all of the data items except those items which are "Not Available" or those items which have been "Withheld."
3. **Irretrievable:** Applicable to the 43-05, 43-06, 43-07, and 43-08 reports, the term "Irretrievable" is reserved for data items that are not being reported because the filing carrier has a waiver or has applied for a waiver.
4. See the Automated Report Specifications for data entry conventions for these items.

- D. **Where to File** Electronic submission of ARMIS reports is made through the Internet by selecting the applicable link on the web page at <http://www.fcc.gov/wcb/armis/tools/upload/>.

E. **Footnotes**

1. **General:**
 - a. If any data for the current period differ materially from those for the previous period and the difference is not self-explanatory but was caused by unusual

circumstances, the carrier must include detailed footnote text to explain the specific circumstances.

- b. If the reporting carrier does not follow the procedures described in the row and column instructions of the attached Report Definition, it must explain any deviations from those procedures in an explanatory footnote. Such footnotes must provide detailed explanations of the procedures actually used by the carrier and its specific reasons for deviating from procedures prescribed by the Commission's Rules. This provision should not be interpreted to mean that deviations from the prescribed rules will automatically be approved by the Commission.

EXAMPLES:

Do not say, "Data are compiled using a more inclusive process than in previous filing."

Do say, "Data are compiled using a process that includes xxx, which was not included in previous filings. The impact of including xxx in this row inflates this number by x% over the previous reporting period."

Do not say, "This value was not calculated pursuant to the instructions."

Do, say "This value was calculated using the xxx method rather than the method described in the instructions because..."

Do not say, "Corrected Data."

Do say, "\$xxxx is changed to \$xxxx because ...".

Do not say, "Waiver" or "Waiver Granted."

Do say, "Waiver of Part xx.xxx was granted in CC Docket No. xx-xxx, X FCC, xxxx (1992) to allow Any Company tobecause...."

- c. Footnote entries must provide detailed explanations for only those items reported in the current submission. Footnotes from prior submissions should be included only if they remain applicable. In other words, when a resubmission nullifies an existing footnote, remove the footnote.
 - d. The footnote text must be included in the Footnote Text Records as specified in the Automated Report Specifications.
2. **Mandatory:** Certain items require accompanying footnotes and those items are specified in the appropriate section of the instructions for filing the reports. Such footnotes are mandatory and must be entered in the Footnote Text Records. Examples of such mandatory footnotes are as follows:
 - a. Report 43-01: Table III, Row 700, if (1) is entered.

- b. Report 43-02: Table B-1, Column (ab), if the reported balance does not equal the ending balance reported for the previous period.
- c. Report 43-05: Table III, Row 0181.
- d. Report 43-07: Table II, Row 0484.
- e. Report 43-08: Table II, Column (ci).

F. **Errata**

1. Carriers are under a legal obligation to correct any erroneous data discovered in ARMIS Reports. See Section B of the Reporting Procedures for the use of submission numbers when an erratum occurs.
2. Submissions containing corrected data must include references to indicate which data items were corrected since the previous submission. If the data items being corrected impact other data items in the report, then those items must also be corrected and referenced. Erratum references should reflect only those items corrected in the new submission. References from prior submissions must not be included in the new submission.
3. These references must be included in the Erratum Record(s). In addition, carriers must include in the transmittal letter, a brief statement indicating the reason for the errata.

G. **Related Documents**

1. **Transmittal Letter:** Each ARMIS report submission must be accompanied by a letter of transmittal containing the following information:
 - a. References to applicable IATD letter numbers and dates; and
 - b. The ARMIS report, reporting year, COSA, and company/study area name being impacted by the filing. When covering a resubmission, include the submission number and brief descriptive explanation of the data being corrected. See Attachment A for a sample transmittal letter. Details on the inclusion of the transmittal letter in the submission are provided in the Specifications for the reports.
2. **Certification Statements:**
 - a. Reports: Carriers must certify the accuracy of the data submitted in the ARMIS Reports by including a certification statement, signed by a corporate officer. The statement must identify the COSA and company/study area name being impacted by the filing. When accompanying a resubmission, include the submission number for each COSA.

See Attachment B for the text of the certification statement. Details on the inclusion of the certification statement in the submission are provided in the Specifications for the reports.

- b. Part 64 Certifications by Mid-Sized Carriers: for details, see the 43-01 Report Definition.
- c. 495 “No Data” Letters: for details, see the 495A or 495B Report Definitions.
3. **10-K Reports**: for details, see the 43-02 Report Definition.
4. **Independent Auditor’s Opinion Letter**: for details, see the 43-03 Report Definition.

H. **Waivers**

1. If a carrier determines that it will be unable to provide data required by an ARMIS report, it must file an application for waiver with the Commission following established Commission procedures. All such requests from a carrier should be included in a single application. The application must demonstrate good cause for reporting a different or lower level of detail and indicate how these deficiencies will be corrected.
 2. Carriers should not act upon requests for waiver until waivers are granted. It is important that carriers be aware that waivers are not in effect until they are granted, in writing, by the Commission or under delegated authority.
 3. Omission of individual data items or entries, without request for waiver, is unacceptable. One reason that compliance with the full requirements is so important is that omission of any single data entry by any carrier will jeopardize the accuracy of aggregate industry information.
- I. **Extension of Filing Time**: Requests for extensions of filing time must be made in a timely manner. Requests received less than 72 hours prior to a filing date are prima facie unreasonable.

J. **Public Information**

1. ARMIS Report Data are available on the Commission’s ARMIS web site at <http://www.fcc.gov/wcb/armis/>.
2. Public Internet Access is available at the FCC Reference Information Center (RIC), 445 Twelfth Street, S.W., Washington, D.C. Parties should contact the RIC at (202) 418-0270.

3. Copies of the detailed reporting procedures for these reports may be obtained over the Internet, from the Commission's ARMIS web site, at <http://www.fcc.gov/wcb/armis/>.

K. Contact Information

1. **Carriers:** Carriers requiring further information regarding these procedures, contact: Barbara Van Hagen, FCC Wireline Competition Bureau, Industry Analysis and Technology Division, (202) 418-0840.
2. **Public:** Questions from the public about ARMIS should be directed to armis-hp@fcc.gov.

SAMPLE TRANSMITTAL LETTER

<Company's letter head>

<Dated>

Federal Communications Commission
 Office of the Secretary
 445 Twelfth Street, S.W.; TWB-A325
 Washington, DC 20554

Attention: ARMIS

IATD Reference No.: *(List IATD Reference Number(s) and date(s), e.g. IATD 2003-01, 04/04/2003)*

ARMIS Report: *(Only one ARMIS Report per transmittal letter, e.g FCC Report 43-01)*

Year: *(Only one year per transmittal letter, e.g. 2002)*

<Transmittal Letter Identification (see Reporting Procedures, Section B) (e.g. "Pursuant to the Commission's rulings in CC Docket No.86-182, the following 2003 ARMIS report...")>

<Provide the COSA and its submission number with a brief descriptive explanation of data corrected. If there are multiple COSAs filed for the same reason, see example below.>

One-COSA example:

"BellSouth – Florida (SBFL), Submission No. 2 is filed to correct data reported on Row 1090. Row 1090 is the summation of Rows 1010 through 1060, which was reported incorrectly, due to a keying error in the previous submission."

Multiple-COSAs example:

<u>COSA</u>	<u>Submission No.</u>
SBFL	2
SBGA	2
SBNC	2

"The above BellSouth COSAs are filed to correct data reported on Row 1090. Row 1090 is the summation of Rows 1010 through 1060, which was reported incorrectly, due to a keying error in the previous submissions."

(Note: A transmittal letter may contain multiple reasons for multiple COSAs or one COSA with multiple reasons but only for one report and one year.)

<Any other pertinent information>

<List of Enclosures>

CERTIFICATION

I certify that I am an officer of _____; that I have examined ARMIS Report _____ and that to the best of my knowledge, information, and belief, all statements of fact contained in this report are true and that said report is an accurate statement of the affairs of the above named respondent in respect to the data set forth herein for the period from _____ to _____.

This certification is for the following company/study area(s):

<u>COSA</u>	<u>Company/Study Area(s)</u>	<u>Submission</u>
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PRINTED NAME:

POSITION:

SIGNATURE:

DATE:

(Persons making willful false statements in this report form can be punished by fine or imprisonment under the Communications Act, 47 U.S.C. 220(e).)

CONTACT PERSON:

TELEPHONE NUMBER: