

Accessible Telecommunications and Advanced Communications Services and Equipment

A. Justification

1. The Commission is submitting this revised information collection requests to the Office of Management and Budget (OMB) for the approval of minor adjustments needed for the filing of informal complaints alleging violations of section 255, 716, or 718 of the Communications Act of 1934 (the Act), as amended, and the Commission's regulations implementing those provisions. Pursuant to the new enforcement rules that will go into effect on October 8, 2013, these informal complaints will be filed on a new FCC Form 2000H. In addition, a new Request for Dispute Assistance Form (FCC Form RDA) will be used to initiate the 30-day period which must precede the filing of an informal complaint. The burdens associated with filing the new 2000H and RDA forms are contained in OMB collection 3060-0874. Therefore, the Commission removed those burdens from this information collection and inserted them into collection 3060-0874.

In addition, the Commission has revised its estimate of the number of requests for dispute assistance and the number of informal complaints that it expects to receive and the burdens associated with the processing and handling of those requests and complaints. This modest increase is due to several factors that were not given sufficient weight in the earlier analysis.

The information collections described herein cover the initial phased-in implementation period for rules adopted by the Commission in October 2011. For the reasons described below, the Commission estimates that the information collection burdens increase over the initial three-year phase-in period of those rules. The Office of Management and Budget (OMB) approval for this information collection that covers this initial period ends April 30, 2015. The adjustments and revised estimates related to requests for dispute assistance and the filing of informal complaints, described above, impact only the final phase of the implementation period, or the third year of the three-year period, and are relatively minor. The Commission anticipates that the information collection burdens associated with these rules will be more significant during subsequent approval periods when the rules are fully implemented. To retain the focus of this revised information collection on the relatively minor impact of the revisions described above, rather than increases related to full implementation of the rules, the Commission requests that the initial phased-in implementation period covered by this information collection and the current approval date (April 30, 2015) remain unchanged.

The "Twenty-First Century Communications and Video Accessibility Act of 2010" (CVAA) was enacted to increase the access of individuals with disabilities to modern communications, and for other purposes.¹ In enacting the CVAA, Congress noted that the communications marketplace had undergone a "fundamental transformation" since 1996, when it added section 255 to the Communications Act of 1934, as amended (the Act).² In October 2010, the Consumer and Governmental Affairs Bureau (CGB) and the

¹ Pub. L. No. 111-260, 124 Stat. 2751 (2010) (as codified in various sections of 47 U.S.C.). See also Amendment of Twenty-First Century Communications and Video Accessibility Act of 2010, Pub. L. No. 111-265, 124 Stat. 2795 (2010) (making technical corrections). Hereinafter, all references to the CVAA will be to the CVAA as codified in the Communications Act of 1934, as amended, unless otherwise indicated.

² See 47 U.S.C. § 255; S. Rep. No. 111-386, at 1 (2010) (Senate Report); H.R. Rep. No. 111-563, at 19 (2010) (House Report). Section 255 requires providers of telecommunications services and manufacturers

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Wireless Telecommunications Bureau (WTB) jointly issued a Public Notice seeking input on key provisions in sections 716, 717, and 718 of the Act, as amended by the CVAA.³ In March 2011, the Commission issued a Notice of Proposed Rulemaking, proposing new accessibility requirements to implement sections 716 and 717 of the Act and seeking comment on the implementation of section 718.⁴ On October 7, 2011, the Commission adopted rules to implement sections 716 and 717 of the Act, which were added to the Act by the CVAA.⁵ The Commission also released a Further Notice of Proposed Rulemaking (*Further Notice*) proposing rules to implement section 718 of the Act and seeking comment on several issues.⁶

Section 716 of the Act requires that providers of advanced communications services⁷ and manufacturers of equipment used for advanced communications services make their services and equipment accessible to and usable by individuals with disabilities, unless it is not achievable to do so.⁸ Advanced communications service providers and equipment manufacturers may comply with section 716 by building accessibility features into their services or equipment⁹ or by relying on third-party applications, peripheral devices, software, hardware, or customer premises equipment (CPE) that are available to individuals with disabilities at nominal cost and that individuals with disabilities can access.¹⁰ When this is not achievable, advanced communication service providers and equipment manufacturers ensure that their services or equipment is compatible with

of telecommunications equipment to ensure that their services and equipment are accessible to and usable by individuals with disabilities, if readily achievable. 47 U.S.C. § 255(b) and (c). When not readily achievable, such manufacturer or provider must ensure that the equipment or service is compatible with existing peripheral devices or specialized CPE commonly used by individuals with disabilities to achieve access, if readily achievable. 47 U.S.C. § 255(d).

³ See *Consumer and Governmental Affairs Bureau and Wireless Telecommunications Bureau Seek Comment on Advanced Communication Provisions of the Twenty-First Century Communications and Video Accessibility Act of 2010*, CG Docket No. 10-213, DA 10-2029, Public Notice, at 2, released October 21, 2010 (*October Public Notice*).

⁴ *Implementation of Sections 716 and 717 of the Communications Act of 1934, as Enacted by the Twenty-First Century Communications and Video Accessibility Act of 2010*, CG Docket No. 10-213, Notice of Proposed Rulemaking, 26 FCC Rcd 3133 (2011) (*Accessibility NPRM*).

⁵ *Implementation of Sections 716 and 717 of the Communications Act of 1934, as Enacted by the Twenty-First Century Communications and Video Accessibility Act of 2010*, CG Docket No. 10-213, Report and Order and Further Notice of Proposed Rulemaking, FCC 11-151 (2011) (*Report and Order and Further Notice*).

⁶ *Id.* The *Further Notice* sought comment on the following issues: section 718 implementation, recordkeeping, and enforcement; small entity exemption; interoperable video conferencing services; accessibility of information content; electronically mediated service; performance objectives; and safe harbors.

⁷ “Advanced communications services” are defined as interconnected voice over Internet protocol (VoIP) service, non-interconnected VoIP service, electronic messaging service, and interoperable video conferencing service. 47 U.S.C. § 153(1).

⁸ See 47 U.S.C. §§ 617(a)(1) and (b)(1). “Achievable” means with reasonable effort or expense, as determined by the Commission considering four specified factors. 47 U.S.C. § 617(g).

⁹ See 47 U.S.C. §§ 617(a)(2)(A) and (b)(2)(A).

¹⁰ See 47 U.S.C. §§ 617(a)(2)(B) and (b)(2)(B).

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existing peripheral devices or specialized CPE commonly used by individuals with disabilities to achieve access, unless doing so is not achievable. Section 716 grants the Commission the authority to waive these requirements for multipurpose services and equipment that are designed primarily for purposes other than using advanced communications services, and to exempt small entities.¹¹ Section 716 does not apply to any equipment or services, including interconnected voice over Internet Protocol (VoIP) service, that were subject to the requirements of section 255 on October 7, 2010, and which remain subject to the requirements of section 255.¹² Finally, section 716 provides that these requirements do not apply to customized equipment or services not offered directly to the public or to such classes of users as to effectively be made available to the public.¹³

Section 717 of the Act requires that the Commission establish recordkeeping and enforcement procedures for service providers and equipment manufacturers that are subject to sections 255, 716, and 718 of the Act.¹⁴ Covered entities must submit to the Commission an annual certification that records are kept in accordance with the requirements of section 717.¹⁵ Every two years after enactment of the CVAA, the Commission is required to file a report to Congress including an assessment of compliance with sections 255, 716, and 718; the extent of persistent barriers to accessibility with respect to new communications technologies; and a summary of complaints handled, along with their resolutions, over the preceding two years.¹⁶ Section 717 also compels the Comptroller General to conduct a study on the Commission's enforcement actions, as well as the extent to which the sections' requirements have affected the development of new technologies, within five years of enactment of the CVAA.¹⁷ Finally, section 717 requires the creation of a clearinghouse for information about the accessibility of products, services, and accessibility solutions and requires the Commission, in coordination with the National Telecommunications and Information Administration (NTIA), to develop an information and educational program to inform the public about the clearinghouse and the protections and remedies available under sections 255, 716, and 718.¹⁸

Section 718, which is effective three years after the date of enactment of the CVAA, requires mobile phone manufacturers and service providers to make the Internet browsers that they install or arrange to have included on mobile phones accessible to and useable by people who are blind or have a visual impairment, unless doing so is not achievable.¹⁹

¹¹ 47 U.S.C. § 617(h)(1)-(2).

¹² 47 U.S.C. § 617(f).

¹³ 47 U.S.C. § 617(i).

¹⁴ See 47 U.S.C. § 618(a). As described further below, section 718 of the Act provides for the accessibility of Internet browsers installed in mobile phones.

¹⁵ 47 U.S.C. § 618(a)(5)(B).

¹⁶ 47 U.S.C. § 618(b).

¹⁷ 47 U.S.C. § 618(c).

¹⁸ 47 U.S.C. § 618(d), (e).

¹⁹ See 47 U.S.C. § 619.

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Mobile phone manufacturers and service providers may comply with this obligation with or without the use of third-party applications, peripheral devices, software, hardware, or CPE that is available to the consumer at nominal cost and that individual with disabilities can access.²⁰ This obligation does not include a requirement to make Internet content, applications, or services accessible to or usable by individuals with disabilities.²¹

Information Collection Requirements

The rules adopted in the Report and Order has the following possible related information collection requirements:

(a) The rules adopted in the Report and Order establish procedures for advanced communications service providers and equipment manufacturers to seek waivers from the accessibility obligations of section 716 of the Act and, in effect, waivers from the recordkeeping requirements and enforcement procedures of section 717 of the Act. Waiver requests may be submitted for individual or class offerings of services or equipment which are designed for multiple purposes, but are designed primarily for purposes other than using advanced communications services. All such waiver petitions will be put on public notice for comments and oppositions.

(b) The CVAA and the rules adopted in the Report and Order require service providers and equipment manufacturers that are subject to sections 255, 716, or 718 of the Act to maintain records of the following: (1) their efforts to consult with people with disabilities; (2) descriptions of the accessibility features of their products and services; and (3) information about the compatibility of their products with peripheral devices or specialized customer premises equipment commonly used by individuals with disabilities to achieve access. These recordkeeping requirements are necessary to facilitate enforcement of accessibility obligations. The Report and Order provides flexibility by allowing covered entities to keep records in any format, recognizing the unique recordkeeping methods of individual entities. Because complaints regarding accessibility of a service or equipment may not occur for years after the release of the service or equipment, covered entities must keep records for two years from the date the service ceases to be offered to the public or the equipment ceases to be manufactured. Service providers and equipment manufacturers are not required to keep records of their consideration of achievability or the implementation of accessibility, but they must be prepared to carry their burden of proof in any enforcement proceeding, which requires greater than conclusory or unsupported claims.

(c) The CVAA and the rules adopted in the Report and Order require an officer of service providers and equipment manufacturers that are subject to sections 255, 716, or 718 of the Act to certify annually to the Commission that records are kept in accordance with the recordkeeping requirements. The certification must be supported with an affidavit or declaration under penalty of perjury, signed and dated by an authorized officer of the

²⁰ 47 U.S.C. § 619(b).

²¹ 47 U.S.C. § 619(a)(2). Section 718 also amends section 503 of the Act to provide forfeiture penalties for manufacturers or providers that violate sections 255, 716, or 718. 47 U.S.C. § 619(c). Finally, section 718 amends section 402(b) of the Act to permit persons who are aggrieved or whose interests are adversely affected by a Commission determination of a complaint filed under section 717 to appeal such determination to the United States Court of Appeals for the District of Columbia. 47 U.S.C. § 619(d).

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entity with personal knowledge of the representations provided in the company's certification, verifying the truth and accuracy of the information. The certification must also identify the name and contact details of the person or persons within the company that are authorized to resolve accessibility complaints, and the agent designated for service of process. The certification must be filed with the Consumer and Governmental Affairs Bureau on or before April 1 each year for records pertaining to the previous calendar year. The certification must be updated when necessary to keep the contact information current.

(d) The Commission also established procedures in the Report and Order to facilitate the filing of formal and informal complaints alleging violations of sections 255, 716, or 718 of the Act. Those procedures include a nondiscretionary pre-filing notice procedure to facilitate dispute resolution. As a prerequisite to filing an informal complaint, complainants must first request dispute assistance from CGB's Disability Rights Office.

Small Entity Exemption

The rules adopted in the Report and Order temporarily exempt advanced communications service providers and equipment manufacturers from the accessibility obligations of section 716 of the Act and, in effect, from the recordkeeping requirements and enforcement procedures of section 717 of the Act, if they qualify as small business concerns under the Small Business Administration's (SBA) rules and size standards for the industry in which they are primarily engaged. These size standards are based on the maximum number of employees or maximum annual receipts of a business concern. The SBA categorizes industries for its size standards using the North American Industry Classification System (NAICS). The temporary exemption begins on the effective date of the rules adopted in the Report and Order and expires the earlier of the effective date of small entity exemption rules adopted pursuant to the Further Notice or October 8, 2013. For purposes of the Report and Order information collection analysis, the Commission assumes that the temporary small entity exemption, as adopted, will expire on October 8, 2013.²²

The statutory authority for this information collection is contained in sections 1-4, 255, 303(r), 403, 503, 716, 717, and 718 of the Communications Act of 1934, as amended, 47 U.S.C. §§ 151-154, 255, 303(r), 403, 503, 617, 618, and 619.

2. All collections of information are promulgated pursuant to section 104 of the CVAA which adds new sections 716 (access to advanced communications services and equipment), 717 (enforcement and recordkeeping requirements), and 718 (access to Internet browsers on mobile phones) to the Communications Act and requires the Commission to establish rules to implement these sections.

This information collection does contain personally identifiable information (PII) on individuals.

- (a) As required by the Office of Management and Budget (OMB) Memorandum M-03-22 (September 26, 2003), the FCC completed a Privacy Impact Assessment

²² See 47 C.F.R. § 14.4.

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(PIA)²³ on June 28, 2007, that gives a full and complete explanation of how the FCC collects, stores, maintains, safeguards, and destroys the PII covered by these information collection requirements. The PIA may be viewed at http://www.fcc.gov/omd/privacyact/Privacy_Impact_Assessment.html.

- (b) Furthermore, as required by the Privacy Act, 5 U.S.C. § 552a, the FCC published a system of records notice (SORN), FCC/CGB-1, “Informal Complaints and Inquiries,” in the *Federal Register* on December 15, 2009 (74 FR 66356), which became effective on January 25, 2010.

NOTE: The Commission will prepare a revision to the SORN and PIA to cover the PII collected related to this information collection, as required by OMB’s Memorandum M-03-22 (September 26, 2003) and by the Privacy Act, 5 U.S.C. § 552a.

3. Under sections 14.32(a) and 14.34(a) of the Commission’s rules, respectively, consumers or any other party may transmit a request for dispute assistance to CGB or an informal complaint to the Enforcement Bureau by any reasonable means, including by using the Commission’s online filing system, U.S. Mail, overnight delivery, or by e-mail. The Commission’s overall purpose is to make the filing of such requests or complaints as simple as possible for consumers, and filing by using the Commission’s online filing system or by e-mail will facilitate the Commission’s ability to gather the information relevant to identifying and resolving accessibility concerns. The development of FCC Form RDA to request dispute assistance and FCC Form 2000H for filing informal complaints (both of which are part of the OMB 3060-0874 collection) will enable consumers to file electronically.
4. The information is not duplicated elsewhere. No similar information is available.
5. In adopting these information collection requirements, the Commission concluded that there may be an increased administrative burden on small businesses. Thus, the Commission took steps to minimize the information collection burden for small business concerns, including those with fewer than 25 employees.

For instance, the Commission requires covered entities to maintain only the three categories of records as set forth in section 717(a)(5)(A) of the Act,²⁴ and allows covered entities to keep these records in any format they wish. This approach takes into account the variances in covered entities (*e.g.*, size, experience with the Commission), recordkeeping methods, and telecommunications and advanced communications services and equipment covered. Furthermore, this approach provides the greatest flexibility to small businesses and minimizes the impact that the statutorily mandated recordkeeping requirements impose on small businesses. Correspondingly, the Commission considered and rejected the alternative of imposing a specific format or system for recordkeeping that could potentially impose greater burdens on small businesses.

The Commission also requires annual certification by a corporate officer that the covered entity is keeping the required records. This certification requirement is possibly less

²³ The Commission is in the process of updating the PIA to incorporate various revisions to it as a result of revisions to the SORN.

²⁴ 47 U.S.C. § 618(a)(5)(A)(i)-(iii).

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burdensome on small businesses than large, as it is presumably a less resource intensive certification for smaller entities.

Further, the Commission adopted a requirement that consumers must file a request for dispute assistance with the CGB Disability Rights Office as a prerequisite to filing an informal complaint with the Enforcement Bureau. This information request is beneficial to consumers and industry because it will help to clarify the accessibility needs of consumers. It will also encourage resolution of accessibility issues without the expenditure of time and resources required by the informal complaint process.

Finally, the Commission temporarily exempted small entities from the accessibility obligations of section 716 of the Act and, in effect, from the recordkeeping requirements and enforcement procedures of section 717 of the Act until the earlier of the effective date of small entity exemption rules adopted pursuant to the Further Notice or October 8, 2013.

6. These information collections are required and necessary to carry out the purposes of and to comply with the CVAA. Completion of this information collection will afford the Commission an opportunity to ensure that the disability accessibility provisions mandated by Congress under sections 255, 716, 717, and 718 of the Act will benefit users of telecommunications and advanced communications services and equipment.

If this information collection was not completed, individuals with disabilities may not have access to the information, documentation, and training necessary to access or use advanced communications services and equipment that is available to consumers without disabilities. Without this information collection, the Commission would not be able to exercise its authority to waive the accessibility obligations under section 716 for multipurpose services or equipment that is designed primarily for purposes other than to access advanced communications services.

The information collection is required to ensure that telecommunications and advanced communications service providers and equipment manufacturers maintain records necessary to facilitate compliance with and enforcement of accessibility obligations. Moreover, these information collections provide a mechanism by which individuals with disabilities can request dispute assistance to resolve accessibility concerns or file informal or formal complaints about the accessibility of telecommunications and advanced communications services and equipment.

These information collections are necessary to implement sections 255, 716, 717, and 718 of the Act effectively; to inform the Commission, service providers, and equipment manufacturers about accessibility barriers; and provide consumers with a process for reporting and obtaining relief for accessibility concerns and complaints.

7. The collections are not being conducted in any manner inconsistent with the guideline of 5 C.F.R. § 1320.
8. The Commission published a notice in the *Federal Register* as required by 5 C.F.R. § 1320.8(d) seeking comments from the public on the information collection requirements contained in this supporting statement. See 78 FR 29369, May 20, 2013. The Commission has not received any comments in response to the notice.

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9. The Commission does not anticipate providing any payment or gift to respondents.
10. Some assurances of confidentiality are being provided to the respondents.

Petitioners (*e.g.*, telecommunications or advanced communications service providers or equipment manufacturers) seeking waivers from the accessibility obligations under section 716 of the Act for multipurpose services or equipment may seek confidential treatment of information they provide in support of such petitions pursuant to the Commission's existing rules.²⁵ Third parties may request inspection of confidential information under the Commission's rules.²⁶

Section 717(a)(5)(C) of the Act requires the Commission to keep confidential those records that are: (1) filed by a covered entity at the request of the Commission in response to a complaint; (2) created or maintained by the covered entity pursuant to the rules we adopt today; and (3) directly relevant to the equipment or service that is the subject of the complaint.²⁷ Accordingly, when a covered entity responds to a complaint alleging a violation of section 255, 716, or 718, or responds to a Commission inquiry, the covered entity may request confidential treatment of the documentation, information, and records that it files with the Commission under section 0.459 of our rules.²⁸ When covered entities file records that fall within the limited scope of section 717(a)(5)(C), they may assert the statutory exemption from disclosure under section 0.457(c) of the Commission's rules.²⁹ In all other cases, covered entities must comply with section 0.459 when seeking protection of their records.³⁰

With respect to the consumer dispute assistance and complaint procedures in Part 14 of the Commission's rules, the Commission is not requesting that complainants submit confidential information (*e.g.*, credit card numbers, social security numbers, or personal financial information) to the Commission. The PIA that the FCC completed on June 28, 2007 gives a full and complete explanation of how the FCC collects, stores, maintains, safeguards, and destroys PII, as required by OMB regulations and the Privacy Act, 5 U.S.C. § 552a. The PIA may be viewed at: http://www.fcc.gov/omd/privacyact/Privacy_Impact_Assessment.html.

Also, as stated above in question 2, the Commission will prepare a revision to the SORN and PIA to cover the PII collected related to this information collection, as required by OMB's Memorandum M-03-22 (September 26, 2003) and by the Privacy Act, 5 U.S.C. § 552a.

11. There are no questions of a sensitive nature with respect to the information collected.

²⁵ See 47 C.F.R. § 0.459.

²⁶ See 47 C.F.R. § 0.461.

²⁷ 47 U.S.C. § 618(a)(5)(C).

²⁸ 47 C.F.R. § 0.459.

²⁹ 47 C.F.R. § 0.457(c).

³⁰ See 47 C.F.R. § 0.459.

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12. Estimates of hour burdens for the collection of information are as follows:³¹

Information Collection Requirements

Consumer Dispute Assistance and Complaints:

The Commission estimates that there are 54 million individuals with disabilities (consumers) who may request dispute assistance, a pre-requisite to filing a complaint. In any given year, however, only a portion of those potential respondents will request dispute assistance. Based on the actual number of section 255 complaints filed over the past three years and other related factors, the Commission estimates that there will be **750 individuals** requesting dispute assistance (300 section 255 requests, 300 section 716 requests, and 150 section 718 requests), at least initially after October 8, 2013, when the accessibility and enforcement rules become effective.

Section 255:

Section 255 applies to all telecommunications and interconnected VoIP service providers and equipment manufacturers. There is no small entity exemption for section 255 obligations. The Commission estimates that there are **8,750 entities** subject to section 255:³²

5,354 telecommunications service providers
 1,095 telecommunications equipment manufacturers
 334 interconnected VoIP service providers
1,967 manufacturers of equipment or CPE that is specially designed to provide interconnected VoIP service
8,750 total entities subject to section 255

Section 716:

Section 716 applies to advanced communications service providers and equipment manufacturers. The Commission estimates that there are 28,077 entities that are subject to section 716, of which 26,465 entities are eligible for the temporary small entity exemption and 1,612 entities are not eligible.

For purposes of the information collection analysis, the Commission assumes that the rules adopted in the Report and Order that contain information collection requirements will be effective upon OMB approval, or about February 2012. However, recordkeeping and annual certification are required 30 days plus one year following publication of the Report and Order in the Federal Register, or around December 2012. Furthermore, the accessibility obligations of section 716, along with the enforcement requirements (dispute assistance, informal and formal complaints), will be implemented on October 8, 2013, the same date that the temporary small entity exemption expires.

³¹ Please note that all of the annualized calculations are annualized over a three year time period.

³² See OMB Control Number: 3060-0833 (Implementation of Section 255 of the Telecommunications Act of 1996: Complaint Filings) (May 2011); and OMB Control Number: 3060-1111 (Sections 225 and 255, Interconnected Voice over Internet Protocol Services (VoIP)) (March 2011).

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While the temporary small entity exemption is available, the Commission estimates that there are a total of 1,612 entities that are subject to section 716.

Upon expiration of the temporary small entity exemption, the Commission estimates that **28,077 entities** will be subject to section 716 of the Act.

Section 718:

Section 718 applies to manufacturers of telephones used with public mobile services that include an Internet browser, and providers of mobile services that arrange for the inclusion of a browser in telephones to sell to customers. There is no small entity exemption for section 718 obligations. Entities that have section 718 accessibility obligations also have section 255 accessibility obligations. Therefore, the number of entities that are subject to section 718 are included in the number of entities that are subject to section 255.

Section 717:

Service providers and equipment manufacturers that are subject to sections 255, 716, and 718 of the Act are also subject the recordkeeping and annual certification requirements, and the enforcement procedures established by section 717 of the Act.

Recordkeeping and annual certification are required 30 days plus one year following publication of the Report and Order in the Federal Register, or around December 2012. The enforcement requirements (dispute assistance, informal and formal complaints) will be implemented on October 8, 2013, the same date that the temporary small entity exemption expires.

While the temporary small entity exemption is available, the Commission estimates that there are a total of 10,362 entities that are subject to section 717. This estimate is based on the estimates of the number of entities that are subject to sections 255 and 718 (8,750) plus the number of entities that are not eligible for the small entity exemption that are subject to section 716 (1,612). Because some entities are subject to sections 255, 716, and 718, and therefore theoretically counted more than once, the number of entities subject to section 717 may be overestimated. In addition, not every entity in the categories of entities included in these estimates are, in fact, subject to sections 255, 716, or 718, so the estimated number of entities subject to section 717 may be further overestimated.

Upon expiration of the temporary small entity exemption, the Commission estimates that 28,077 entities will be subject to section 717 of the Act. That is the same estimate of the total number of entities that may be subject to section 716. Because most entities that are subject to sections 255 and 718 are also likely subject to section 716, and, collectively, subject to section 717, entities subject to sections 255 and 718 are not added to the estimate of entities subject to section 717 to avoid theoretically being counted twice. Nonetheless, not every entity in the categories of entities included in these estimates is, in fact, subject to sections 255, 716, or 718, so the number of entities subject to section 717 may be further overestimated.

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Total Number of Respondents:

750 individuals requesting dispute assistance
28,077 telecommunications and advanced communications service providers and
 equipment manufacturers
28,827 Respondents

Effective Date and Phased-in Implementation

For purposes of the information collection analysis, the Commission assumes that the rules adopted in the Report and Order that contain information collection requirements will be effective upon OMB approval. However, recordkeeping and annual certification are required 30 days plus one year following publication of the Report and Order in the Federal Register, or around December 2012. Furthermore, the accessibility obligations of section 716, along with the enforcement requirements (dispute assistance, informal and formal complaints), will be implemented on October 8, 2013, the same date that the temporary small entity exemption expires. Therefore, the information collection burdens, described more fully below, are calculated, generally, for the three-year OMB approval period as follows:

47 C.F.R. § 14.5 Waivers – Multipurpose Services and Equipment. Effective when OMB approves information collection. Assumes the small entity exemption expires on October 8, 2013. The number of waiver petitions submitted is averaged over the three-year OMB approval cycle.

47 C.F.R. § 14.20(d) Information, Documentation, and Training. Implemented on October 8, 2013. Assumes the small entity exemption expires on October 8, 2013. Information will be collected in the third year of the three-year OMB approval period and related burdens are annualized over three years.

47 C.F.R. § 14.31(a) Recordkeeping.

47 C.F.R. § 14.31(b) Annual Certification.

Implemented 30 days plus one year following publication of the Report and Order in the *Federal Register*, or about December 2012. Information will not be collected in the first year of the three-year OMB approval period because of the one-year delay in implementation. Information will be collected in the second and third years of the three-year OMB approval period. Assumes the small entity exemption expires on October 8, 2013. As such, the number of entities subject to the recordkeeping and annual certification rules will be greater during the third year. Information collected and related burdens are annualized over the three-year OMB approval period.

47 C.F.R. § 14.32 Consumer Dispute Assistance.

47 C.F.R. § 14.34 Informal Complaints.

47 C.F.R. § 14.35 Procedure; Designation of Agents for Service.

47 C.F.R. § 14.36 Answers and Replies to Informal Complaints.

47 C.F.R. § 14.37 Review and Disposition of Informal Complaints.

47 C.F.R. §§ 14.38 - 14.52 Formal Complaints.

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Implemented on October 8, 2013. Assumes the small entity exemption expires on October 8, 2013. Information will be collected in the third year of the three-year OMB approval period and related burdens are annualized over three years.

The number of respondents, responses and burden hours for all the above stated requirements are encompassed in the burdens calculations below.

47 C.F.R. § 14.5 Waivers – Multipurpose Services and Equipment

Advanced communications service providers and equipment manufacturers or interested parties may petition for a waiver for any feature or function of equipment used to provide or access advanced communications services, or for any class of such equipment, for any provider of advanced communications services, or for any class of such services, that (i) is capable of accessing an advanced communications service; and (ii) is designed for multiple purposes, but is designed primarily for purposes other than using advanced communications services.

All petitions for waiver filed pursuant to this section shall be put on public notice, with a minimum of a 30-day period for comments and oppositions.

The Commission estimates that 50 advanced communications service providers and equipment manufacturers or interested parties will file waiver petitions per year. Of those 50 petitions, 50% (25 petitions) per year will be filed by an in-house attorney.

Total Number of Annual Respondents: 25

Total Number of Annual Responses: 25 Responses

The Commission estimates that each response will require approximately 5 hours for the submission of the waiver petition.

25 responses/submissions x 5 hours = 125 hours

Total Number of Annual Burden Hours: 125 hours

Annual “In House” Costs:

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents’ costs to be about \$87.37 per hour to comply with the requirement.

125 hours to prepare waiver petitions x \$87.37/hour = \$10,921.25

Total Annual “In-House” Costs = \$10,921.25

The Commission estimates that 50% (25 petitions) will be filed by outside counsel, in consultation with an in-house attorney.

Total Number of Annual Respondents: 25

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Total Number of Annual Responses: 25 Responses

The Commission estimates that each response will require approximately 1 hour for the consultation with outside counsel on the submission of the waiver petition.

25 responses/submissions x 1 hour = 25 hours

Total Number of Annual Burden Hours: 25 hours**Annual “In-House” Costs:**

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents’ costs to be about \$87.37 per hour to comply with the requirement.

25 hours for waiver consultations x \$87.37/hour = \$2,184.25

Total Annual “In-House” Costs = \$2,184.25

The Commission estimates that up to 4 comments or oppositions will be filed by interested parties for each waiver petition, or an average of 2 comments or oppositions per petition.

Total Number of Annual Respondents: 2

2 respondents x 50 waiver petitions = 100 responses

Total Number of Annual Responses: 100

The Commission estimates that each response will require approximately 5 hours for the submission of a comment or opposition.

100 responses/submissions x 5 hours = 500 hours

Total Number of Annual Burden Hours: 500 hours**Annual “In-House” Costs:**

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents’ costs to be about \$87.37 per hour to comply with the requirement.

500 hours to submit comments or oppositions x \$87.37/hour = \$43,685.00

Total Annual “In-House” Costs = \$43,685.00

Accessible Telecommunications and Advanced Communications Services and Equipment

The Commission estimates that up to 20% of the 50 respondents filing waiver petitions, or 10 respondents, will file reply comments. Of those 10 reply comments, 50% (5 reply comments) per year will be filed by an in-house attorney.

Total Number of Annual Respondents: 5

Total Number of Annual Responses: 5 Responses

The Commission estimates that each response will require approximately 5 hours for preparing the reply comments.

5 responses/submissions x 5 hours = 25 hours

Total Number of Annual Burden Hours: 25 hours

Annual “In-House” Costs:

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents’ costs to be about \$87.37 per hour to comply with the requirement.

25 hours to prepare reply comments x \$87.37/hour = \$2,184.25

Total Annual “In-House” Costs = \$2,184.25

The Commission estimates that 50% (5 petitions) will be filed by outside counsel, in consultation with an in-house attorney.

Total Number of Annual Respondents: 5

Total Number of Annual Responses: 5 Responses

The Commission estimates that each response will require approximately 1 hour for the consultation with outside counsel consulting on the reply comment.

5 responses/submissions x 1 hour = 5 hours

Total Number of Annual Burden Hours: 5 hours

Annual “In-House” Costs:

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents’ costs to be about \$87.37 per hour to comply with the requirement.

5 hours to consult on reply comments x \$87.37/hour = \$436.85

Total Annual “In-House” Costs = \$436.85

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47 C.F.R. § 14.20(d) Information, Documentation, and Training

Advanced communications service providers and equipment manufacturers must ensure that the information and documentation that they provide to customers is accessible, if achievable (*e.g.*, provided in alternate formats as needed).

The Commission estimates that all 28,077 advanced communications service providers and equipment manufacturers will be subject to this rule and that each will respond to an estimated 10 requests for accessible information during the third year of OMB's three-year approval period.

Maximum Number of Annual Respondents: 28,077 (9,359 annualized)

9,359 service providers and equipment manufacturers x 10 requests = 93,590 annualized responses

Total Number of Annualized Responses: 93,590 Responses³³

The Commission estimates that approximately 1 hour will be needed to respond to each request for accessible information.

93,590 responses x 1 hour = 93,590 hours

Total Number of Annualized Burden Hours: 93,590 hours**Annual "In-House" Costs:**

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-level federal employees (GS-13/5, plus 30% overhead); therefore, the Commission estimates respondents' costs to be about \$62.86 per hour to comply with the requirement.

93,590 hours to provide accessible information x \$62.86/hour = \$5,883,067.40

Total Annualized "In-House" Costs = \$5,883,067.40**47 C.F.R. § 14.31(a) Recordkeeping**

Each service provider and equipment manufacturer must create and maintain, in the ordinary course of business and for a two-year period from the date a product ceases to be manufactured or a service ceases to be offered, records of the efforts taken by such service provider or equipment manufacturer to implement sections 255, 716, and 718 with regard to the product or service, including:

³³ The requirements under section 14.20(d) of the Commission's rules will be implemented on October 8, 2013, the same day that the temporary small entity exemption will expire. Information collected in the third year of the three-year OMB approval period and associated burdens are annualized over the three-year period.

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- (1) information about the service provider's or equipment manufacturer's efforts to consult with individuals with disabilities;
- (2) descriptions of the accessibility features of its products and services; and
- (3) information about the compatibility of its products and services with peripheral devices or specialized customer premise equipment commonly used by individuals with disabilities to achieve access.

During the first year of the three-year OMB approval period, there are no recordkeeping requirements.

During the second year of the three-year OMB approval period, the Commission estimates that 10,362 of the 28,077 service providers and equipment manufacturers will be subject to this rule.

During the third year of the three-year OMB approval period, the Commission estimates that all 28,077 service providers and equipment manufacturers will be subject to this rule.

Maximum Number of Annual Respondents: 28,077 (9,359 annualized)

Total Number of Annualized Responses: 12,813 annualized responses

1 response x (0 + 10,362 + 28,077 responses) = 38,439 responses / 3 years = 12,813 annualized responses

The Commission estimates that each respondent will require an average of 2 hours per month or 24 hours per year to produce and maintain these records.

12,813 responses x 24 hours / year = 307,512 hours

Total Number of Annualized Burden Hours: 307,512 hours

Annual "In-House" Costs:

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-level federal employees (GS-13/5, plus 30% overhead); therefore, the Commission estimates respondents' costs to be about \$62.86 per hour to comply with the requirement.

307,512 hours to produce and maintain records x \$62.86/hour = \$19,330,204.32

Total Annualized "In-House" Costs = \$19,330,204.32

47 C.F.R. § 14.31(b) Annual Certification

An officer of each service provider and equipment manufacturer must sign and file a compliance certificate with the Commission annually that states that the service provider or equipment manufacturer has established adequate operating procedures to ensure compliance with the recordkeeping rules and that records are being kept accordingly.

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The certificate shall identify the name and contact details of the person or persons within the company that are authorized to resolve accessibility complaints, and the agent designated for service pursuant to section 14.35(b) of the Commission's rules.³⁴ The certificate must be updated when necessary to keep the contact information current.

During the first year of the three-year OMB approval period, there are no recordkeeping requirements.

During the second year of the three-year OMB approval period, the Commission estimates that 10,362 of the 28,077 service providers and equipment manufacturers will be subject to this rule.

During the third year of the three-year OMB approval period, the Commission estimates that all 28,077 service providers and equipment manufacturers will be subject to this rule.

Maximum Number of Annual Respondents: 28,077 (9,359 annualized)

Total Number of Annualized Responses: 12,813 Responses

1 response x (0 + 10,362 + 28,077 responses) = 38,439 responses / 3 years = 12,813 annualized responses

The Commission estimates that each respondent will require an average of .50 hour per year to produce and submit this annual certification.

12,813 responses x .50 hour = 6,406.50 hours

Total Number of Annualized Burden Hours: 6,407 hours (rounded)

Annual "In-House" Costs:

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents' costs to be about \$87.37 per hour to comply with the requirement.

6,407 hours for annual certifications x \$87.37/hour = \$559,779.59

Total Annualized "In-House" Costs = \$559,779.59

47 C.F.R. § 14.32 Consumer Dispute Assistance

Requests for dispute assistance may be submitted to CGB by using FCC Form RDA online or by any other reasonable means, and should include certain information.

³⁴ Every service provider and equipment manufacturer subject to section 255, 716, or 718 shall designate an agent for service of process in the annual certification pursuant to section 14.31 of the Commission's rules. See 47 C.F.R. § 14.35(b).

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CGB shall forward the request for dispute assistance to the named service provider or equipment manufacturer using the contact details provided under section 14.31(b) of the Commission's rules. CGB will assist the requester and the service provider or equipment manufacturer in reaching a settlement of the dispute. The requester may file an informal complaint with the Commission using FCC Form 2000H 30 days after filing the request for dispute assistance. When a requester files an informal complaint with the Enforcement Bureau, the CGB dispute assistance process will be closed and no longer available to the complainant.

The number of requests for dispute assistance, along with their associated burdens, have been removed from this collection and included in the collection for all FCC complaint forms under OMB Control Number 3060-0874. Although that collection is primarily for electronic filing, it acknowledges that a small percentage of complaints will be filed by telephone, fax, and letter and adjusts the burdens accordingly.

The information collection burdens associated with processing requests for dispute assistance are retained in this collection.

The Commission estimates that 750 requests for dispute assistance will be filed by 300 consumers and other interested parties under section 255, 300 under section 716, and 150 under section 718 of the Act during the third year of OMB's three-year approval period.

The Commission estimates that 75% of the 750 requesters (562.5 rounded to 563 requesters) will provide additional information to the Commission.

Maximum Number of Annual Respondents: 563 (187.6 rounded to 188 annualized)

Total Number of Annualized Respondents: 188

Total Number of Annualized Responses: 188 Responses

The Commission estimates that each response will require approximately 1 hour for the submission of the additional information.

188 responses/submissions x 1 hour = 188 hours

Total Number of Annualized Burden Hours: 188 hours

Annual "In-House" Costs: None

Total Annualized "In-House" Costs = \$0³⁵

47 C.F.R. § 14.34 Informal Complaints

An informal complaint alleging a violation of section 255, 716 or 718 may be transmitted to the Enforcement Bureau by the online FCC Form 2000H or by any other reasonable means and should include certain information.

³⁵ The Commission estimates that there are no specific "in house" or other annual costs for individuals who file requests for dispute assistance.

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The Commission estimates that 500 informal complaints will be filed by two-thirds of the 750 consumers and other interested parties who file requests for dispute assistance during the third year of OMB's three-year approval period.

The number of informal complaints filed, along with their associated burdens, have been removed from this collection and included in the collection for all FCC complaint forms under OMB Control Number 3060-0874. Although that collection is primarily for electronic filing, it acknowledges that a small percentage of complaints will be filed by telephone, fax, and letter and adjusts the burdens accordingly.

The information collection burdens associated with processing informal complaints is retained in this collection. See 47 C.F.R. § 14.36 Answers and Replies to Informal Complaints, below.

47 C.F.R. § 14.35 Procedure; Designation of Agents for Service

The Commission shall forward any informal complaint meeting the requirements of section 14.34 of the Commission's rules to each service provider or equipment manufacturer named or determined to be implicated by the complaint.

Every service provider and equipment manufacturer subject to section 255, 716, or 718 shall designate an agent for service of process in the annual certification pursuant to section 14.31 of the Commission's rules.

*See 47 C.F.R. § 14.31 Annual Certification, above, for the related burden analysis.*³⁶

47 C.F.R. § 14.36 Answers and Replies to Informal Complaints

- (a) The service provider or equipment manufacturer shall file and serve an answer responsive to the complaint and any inquires set forth by the Commission, and produce documents demonstrating its due diligence in exploring accessibility and achievability.³⁷
- (b) The answer shall be prepared or formatted in the manner requested by the Commission and the complainant.

³⁶ The annual burdens associated with 47 C.F.R. § 14.35 are already encompassed in the information collection requirement for 47 C.F.R § 14.31(b). See page 16 of this collection.

³⁷ Section 14.31(c) of the Commission's rules require that, upon the service of an informal or formal complaint, a service provider or equipment manufacturer must produce to the Commission, upon request, records covered by this section and may assert a statutory request for confidentiality for these records. All other information submitted to the Commission pursuant to Subpart D of Part 14 or to any other request by the Commission may be submitted pursuant to a request for confidentiality in accordance with section 0.459 of the Commission's rules.

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(c) The service provider or equipment manufacturer shall serve the complainant and the Commission with a non-confidential summary of the answer filed with the Commission.

(d) The complainant may file and serve a reply.

ANSWERS:

The Commission estimates that 500 service providers and equipment manufacturers subject to sections 255, 716, and 718 of the Act will file an answer to an informal complaint during the third year of the OMB three-year approval period.

Maximum Number of Annual Respondents: 500 (166.6 rounded to 167 annualized)

Of those 167 annualized answers, 50% (84 answers per year) will be prepared by an in-house attorney.

Maximum Number of Annual Respondents: 83 annualized

84 respondents x 1 = 84 annualized responses

Total Number of Annualized Responses: 84

The Commission estimates that each response will require approximately 6 hours for the preparation of the answer.

84 responses/submissions x 6 hours = 504 hours

Total Number of Annualized Burden Hours: 504 hours

Annual "In-House" Costs:

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents' costs to be about \$87.37 per hour to comply with the requirement.

504 hours to prepare answers x \$87.37/hour = \$44,034.48

Total Annualized "In-House" Costs = \$44,034.48

The Commission estimates that 50% of 500 (250 answers) will be prepared in consultation with an in-house attorney, with outside counsel, during the third year of the three-year OMB approval period.

Maximum Number of Annual Respondents: 250 (83.3 rounded to 83 annualized)

83 respondents x 1 answer = 83 annualized responses

Total Number of Annualized Responses: 83

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The Commission estimates that each response will require approximately 1 hour for the preparation of the answer.

83 responses/submissions x 1 hour = 83 hours

Total Number of Annualized Burden Hours: 83 hours

Annual “In-House” Costs:

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents’ costs to be about \$87.37 per hour to comply with the requirement.

83 hours to prepare answers x \$87.37/hour = \$7,251.71

Total Annualized “In-House” Costs = \$7,251.71

DEMONSTRATIONS:

The Commission estimates that 25% of 500 answers (125 answers) will include an analysis by staff engineers during the third year of the three-year OMB approval period.³⁸

Maximum Number of Annual Respondents: 125 (41.6 rounded to 42 annualized)³⁹

42 respondents x 1 analysis = 42 annualized responses

Total Number of Annualized Responses: 42⁴⁰

The Commission estimates that each response will require approximately 5 hours for the preparation of an engineering analysis.

³⁸ Section 14.20(b) of the Commission’s rules require advanced communications service providers and equipment manufacturers to identify barriers to accessibility and usability; consider performance objectives as early as possible in the design stage; and implement them if achievable. *See* 47 C.F.R. § 14.20(b). Service providers and equipment manufacturers that are subject to section 255 of the Act have similar obligations to ensure accessibility when readily achievable. *See* 47 U.S.C. § 255.

³⁹ The number of respondents mentioned herein are already included in the number of respondents for the “Answers” burdens noted on pages 20 and 21.

⁴⁰ The number of responses mentioned herein are already included in the number of responses for the “Answers” burdens noted on pages 20 and 21.

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42 responses/submissions x 5 hours = = 210 hours

Total Number of Annualized Burden Hours: 210 hours

Annual “In-House” Costs:

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents’ costs to be about \$87.37 per hour to comply with the requirement.

210 hours to prepare engineering analysis x \$87.37/hour = \$18,347.70

Total Annualized “In-House” Costs = \$18,347.70

The Commission estimates that 25% of 500 answers (125 answers) will include an analysis by a contract engineer, in consultation with staff engineers, during the third year of the three-year OMB approval period.

Maximum Number of Annual Respondents: 125 (41.6 rounded to 42 annualized)⁴¹

42 respondents x 1 analysis = 42 annualized responses

Total Number of Annualized Responses: 42⁴²

The Commission estimates that each response will require approximately 1 hour for the engineering analysis consultation.

42 responses/submissions x 1 hour = 42 hours

Total Number of Annualized Burden Hours: 42 hours

Annual “In-House” Costs:

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents’ costs to be about \$87.37 per hour to comply with the requirement.

⁴¹ The number of respondents mentioned herein is already included in the number of respondents for the “Answers” burdens noted on pages 20 and 21.

⁴² The number of responses mentioned herein is already included in the number of responses for the “Answers” burdens noted on pages 20 and 21.

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42 hours for engineering consultations x \$87.37/hour = \$3,669.54

Total Annualized “In-House” Costs = \$3,669.54

REPLIES:

The Commission estimates that up to 25% of the 500 complainants (125 complainants) will file a reply to the answer submitted during the third year of the three-year OMB approval period.

Maximum Number of Annual Respondents: 125 (41.6 rounded to 42 annualized)

42 respondents x 1 analysis = 42 annualized responses

Total Number of Annualized Responses: 42 Responses

The Commission estimates that each response will require approximately 2 hours for the submission of the reply.

42 responses/submissions x 2 hours = 84 hours

Total Number of Annualized Burden Hours: 84 hours

Annual “In-House” Costs: None

Total Annualized “In-House” Costs = \$0⁴³

47 C.F.R. § 14.37 Review and Disposition of Informal Complaints

The Commission will investigate the allegations in any informal complaint within 180 days after the complaint was filed, issue an order and finding, and provide a basis therefore, unless the complaint is resolved before that time.

If the Commission determines in an order that the service provider or equipment manufacturer violated section 255, 716, or 718, the Commission may direct the service provider or equipment manufacturer bring the service or the next generation of the equipment into compliance within a reasonable period of time, and take other enforcement action deemed appropriate. The service provider or equipment manufacturer shall have a reasonable opportunity to comment on the Commission’s proposed remedial action before the Commission issues a final order with respect to that action.

The Commission estimates that 25% of the 500 informal complaints (125 complaints) will result in proposed remedial action during the third year of the three-year OMB approval period.

⁴³ The Commission estimates that there are no specific “in house” or other annual costs for individuals who file replies.

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Maximum Number of Annual Respondents: 125 (41.6 rounded to 42 annualized)

Of those 125 proposed remedial actions, 50% (62.5 rounded to 63 annualized proposed remedial actions) will be reviewed by an in-house staff attorney.

Maximum Number of Annual Respondents: 63 (20.8 rounded to 21 annualized)

21 respondents x 1 analysis = 21 annualized responses

Total Number of Annualized Responses: 21 Responses

The Commission estimates that each response will require approximately 2 hours for the review of the proposed remedial action.

21 reviews of proposed remedial action x 2 hours = 42 hours

Total Number of Annualized Burden Hours: 42 hours**Annual "In-House" Costs:**

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents' costs to be about \$87.37 per hour to comply with the requirement.

42 hours to review proposed remedial actions x \$87.37/hour = \$3,669.54

Total Annualized "In-House" Costs = \$3,669.54

The Commission estimates that, of those 125 proposed remedial responses, 50% (62.5 rounded to 63 annualized proposed remedial actions) will be reviewed by outside counsel, in consultation with an in-house attorney, during the third year of the three-year OMB approval period.

Maximum Number of Annual Respondents: 63 (20.8 rounded to 21 annualized)

21 respondents x 1 analysis = 21 annualized responses

Number of Annualized Responses: 21 Responses

The Commission estimates that each response will require approximately 1 hour for the consultation on the proposed remedial action.

21 consultations x 1 hour = 21 hours

Total Number of Annualized Burden Hours: 21 hours**Annual "In-House" Costs:**

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The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents' costs to be about \$87.37 per hour to comply with the requirement.

21 hours to consult on proposed remedial actions x \$87.37/hour = \$1,834.77

Total Annualized "In-House" Costs = \$1,834.77

47 C.F.R. §§ 14.38 - 14.52 Formal Complaints

Formal complaint proceedings are generally resolved on a written record consisting of a complaint, answer, and joint statement of stipulated facts, disputed facts and key legal issues, along with all associated affidavits, exhibits and other attachments. Commission proceedings may also require or permit other written submissions such as briefs, written interrogatories, and other supplementary documents or pleadings.

The Commission estimates that 1 complaint and 1 answer will be filed involving 1 complainant and 1 defendant during the third year of the three-year OMB approval period.⁴⁴ Of these responses, 50% of respondents will be represented by an in-house attorney.

Maximum Number of Annual Respondents: 1

1 respondent x 1 complaint or answer = 1 response

Total Number of Annualized Responses: 1 Response

The Commission estimates 5 hours of paralegal time and 35 hours in-house counsel time will be needed to prepare each complaint or answer

1 response/submission x 5 hours/paralegal time + 35 hours/in-house counsel time = 40 hours/3 = 13.3 annualized hours

Total Number of Annualized Burden Hours: 13 (13.3 hours rounded to 13 hours)**Annual "In-House" Costs:**

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-level federal employees (paralegal, GS-12/5, plus 30% overhead) and mid-to-senior level federal employees (attorney, GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents' costs to be about \$52.86 and \$87.37, respectively, to comply with the requirement.

5 hours for the complaint or answer x \$52.86/hour = \$264.30 / 3 years = \$88.10

35 hours for the complaint or answer x \$87.37/hour = \$3,057.95 / 3 years = \$1,019.32

Total Annualized "In-House" Costs = \$1,107.42

⁴⁴ The cumulative number of respondents for this requirement is 2.

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The Commission estimates that other 50% of respondents (1 complainant and 1 defendant) will be represented by outside counsel in consultation with an in-house staff attorney in the filing of 1 complaint or 1 answer during the third year of the three-year OMB approval period.

Maximum Number of Annual Respondents: 1

1 respondent x 1 complaint or answer = 1 response

Total Number of Annualized Responses: 1 Response

The Commission estimates that each response will require approximately 4.5 hours for the consultation on the preparation and filing of the complaint or answer.

1 consultation x 4.5 hour = 4.5 hours / 3 years = 1.5 hours

Total Number of Annualized Burden Hours: 2 hours (1.5 hours rounded to 2 hours)**Annual “In-House” Costs:**

The Commission assumes that respondents use in-house personnel whose pay is comparable to mid-to-senior level federal employees (GS-15/5, plus 30% overhead); therefore, the Commission estimates respondents’ costs to be about \$87.37 per hour to comply with the requirement.

2 hours to consult on complaint or answer x \$87.37/hour = \$174.74

Total Annualized “In-House” Costs = \$174.74

Cumulative Number of Respondents: 9,549**Cumulative Number of Annualized Responses: 119,816****Cumulative Annualized Burden Hours: 409,371 hours****Cumulative Annual “In-House” Costs: \$25,911,941.23**

Information Collection	Respondents	Estimated Annual Number of Responses	Estimated Annual Burden Hours Per Response	Annual Burden Hours	Total Annual “In-House” Costs
§ 14.5 Waivers	52 (50) ACS/EM ⁴⁵	160	1-5	680	\$59,411.60

⁴⁵ Advanced communications service providers and equipment manufacturers (ACS/EM).

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	(2) Consumers				
§ 14.20(d) Information	28,077 ACS/EM (9,359 annualized)	93,590	1	93,590	\$5,883,067.40
§ 14.31(a) Recordkeeping	28,077 SP/EM ⁴⁶ (9,359 annualized)	12,813	24	307,512	\$19,330,204.32
§ 14.31(b) Annual Certification	28,077 SP/EM (9,359 annualized)	12,813	.50	6,407	\$559,779.59
§ 14.32 Consumer Dispute Assistance	563/Consumers (188 annualized) ⁴⁷	188	1	188	0
§ 14.34 Informal Complaints ⁴⁸					
§ 14.35 Designation of Agents	See 47 C.F.R. § 14.31 Annual Certification, above, for the related burden analysis.				
§ 14.36 Answers and Replies	500 SP/EM (167 annualized)	167	1-6	587	\$51,286.19
Demonstrations	-- ⁴⁹	-- ⁵⁰	1-6	252	\$22,017.24
Replies	125 Consumers (42 annualized)	42	2	84	0
§ 14.37 Review and Disposition	125 SP/EM (42 annualized)	42	1-2	63	\$5,504.31
§§ 14.38 - 14.52 Formal Complaints	2 (1Consumer and 1 SP/EM)	2	4.5 - 40	15	\$1,282.16
Totals	9,549 ⁵¹	119,817	.50-40	409,378	\$25,912,552.81

⁴⁶ Service providers and equipment manufacturers (SP/EM).

⁴⁷ As noted above, the burdens associated with filing 750 (250 annualized) requests for dispute assistance are contained in OMB 3060-0874. The burdens associated with processing requests for dispute assistance for 563 (188 annualized) consumers is retained in this collection.

⁴⁸ As noted above, the burdens associated with filing 500 informal complaints are contained in OMB 3060-0874. The information collection burdens associated with processing informal complaints are retained in this collection. See 47 C.F.R. § 14.36 Answers and Replies to Informal Complaints.

⁴⁹ See nn.41 and 43.

⁵⁰ See nn.42 and 44.

⁵¹ The total number of respondents is derived from rules §§ 14.5 (2 consumers), 14.31(a) (9,359 annualized SP/EM), and 14.32 (188 annualized consumers) affected by this information collection. All remaining respondents identified under rules §§ 14.20, 14.31(b), and 14.34–14.52 are already included as respondents under rules §§ 14.5, 14.31(a), and 14.32.

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13. The following represents the Commission's estimate of the total annual cost burden resulting from the collection of information:

47 C.F.R. § 14.5 Waivers – Multipurpose Services and Equipment

The Commission estimates that 50 advanced communications service providers and equipment manufacturers or interested parties will file waiver petitions per year. Of those 50 petitions, the Commission estimates that 50% (25 petitions) will be filed by outside counsel, in consultation with an in-house attorney. The Commission estimates 5 hours will be needed to prepare each of these waivers petitions. The Commission estimates that outside counsel will charge approximately \$300.00 per hour:

25 petitions prepared by outside counsel x 5 hours/petition x \$300.00/hour = \$37,500.00

The Commission estimates that up to 20% of the 50 respondents filing waiver petitions, or 10 respondents, will file reply comments. Of those 10 reply comments, 50% (5 reply comments) per year will be filed by outside counsel, in consultation with an in-house attorney. The Commission estimates 5 hours will be needed to prepare each of these reply comments. The Commission estimates that outside counsel will charge approximately \$300.00 per hour:

5 replies prepared by outside counsel x 5 hours/reply x \$300.00/hour = \$7,500.00

47 C.F.R. § 14.36 Answers and Replies to Informal Complaints

The Commission estimates that 500 service providers and equipment manufacturers subject to sections 255, 716, and 718 of the Act will file an answer to an informal complaint during the third year of the three-year OMB approval period.

Of those 500 answers, 50% (250 answers/83.3 rounded to 83 annualized) will be prepared by outside counsel, in consultation with an in-house attorney. The Commission estimates 6 hours will be needed to prepare each of these answers. The Commission estimates that outside counsel will charge approximately \$300.00 per hour:

83 answers prepared by outside counsel x 6 hours/answer x \$300.00/hour = \$149,400.00 annualized cost

The Commission estimates that 25% of 500 answers (125 answers/41.6 rounded to 42 annualized) will include an analysis by a contract engineer in consultation with staff engineers. The Commission estimates 5 hours will be needed to prepare each of these analyses. The Commission estimates that contract engineers will charge approximately \$250.00 per hour:

42 analyses by contract engineers x 5 hours/analysis x \$250.00/hour = \$52,500.00 annualized cost

Section 14.36(b) of the Commission's rules requires that the answer to the complaint be prepared or formatted in the manner requested by the Commission and the complainant. The Commission estimates that 25% of 500 answers (125 answers/41.6 rounded to 42 annualized) will require such alternative formatting (*e.g.*, Braille). The Commission

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estimates that respondents will outsource such formatting of complaint answers and that 1 hour will be needed to format each answer. The Commission estimates that formatting services will charge approximately \$100.00 per hour:

42 answers in alternative format x 1 hour/answer x \$100.00/hour = \$4,200.00 annualized cost

47 C.F.R. § 14.37 Review and Disposition of Informal Complaints

The Commission estimates that 25% of the 500 informal complaints filed (125 complaints) during the third year of the three-year OMB approval period will result in proposed remedial action. Of those 125 proposed remedial actions, 50% (62.5 rounded to 63 annualized proposed remedial actions) will be reviewed by outside counsel, in consultation with an in-house attorney. The Commission estimates 2 hours will be needed to review each of these proposed remedial actions. The Commission estimates that outside counsel will charge approximately \$300.00 per hour:

63 proposed remedial actions x 2 hours/action x \$300.00/hour = \$37,800.00 annualized cost

47 C.F.R. §§ 14.38 - 14.52 Formal Complaints

The Commission estimates that 1 complaint and 1 answer will be filed during the third year of the three-year OMB approval period involving 1 complainant and 1 defendant. Of these responses, 50% of respondents will be represented by outside counsel in consultation with an in-house staff attorney in the filing of 1 complaint or 1 answer. The Commission estimates 5 hours of paralegal time and 25 hours of outside counsel time will be needed to prepare each complaint or answer. The Commission estimates that paralegals will charge \$52.86 (comparable mid-level federal employees, GS 12/5, plus 30% overhead) and outside counsel will charge approximately \$300.00 per hour:

1 answer/complaint x 5 paralegal hours x \$52.86/hour = \$264.30 / 3 years = \$88.10 annualized cost

1 answer/complaint x 25 outside counsel hours x \$300.00 = \$7,500.00 / 3 years = \$2,500.00 annualized cost

(a) Total annualized capital/start-up costs: None

(b) Total annual cost (operational and maintenance): \$291,488 (rounded)

(c) Total annualized cost requested: \$291,488 (rounded)

14. Estimates of annualized costs to the Federal government are as follows:

47 C.F.R. § 14.5 Waivers – Multipurpose Services and Equipment

The Commission estimates that 50 advanced communications service providers and equipment manufacturers or interested parties will file waiver petitions per year.

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The Commission will use GS 15/5 (\$67.21) staff attorneys to review these waiver petitions, comments and oppositions, and reply comments. The Commission estimates that this will require 2 to 4 hours (average 3 hours) for this review per petition.

50 petitions x 3 hours/petition x \$67.21/hour = \$10,081.50

47 C.F.R. § 14.32 Consumer Dispute Assistance

The Commission estimates that 750 requests for dispute assistance will be filed (300 under section 255, 300 under section 716, and 150 under section 718 of the Act) during the third year of the three-year OMB approval period, which will result in 250 annualized responses per year. The Commission will use GS 13/5 (\$48.35) staff analysts to review and forward these requests to service providers and equipment manufacturers. The Commission estimates that this will require 1 hour per request.

250 requests x 1 hour/request x \$48.35/hour = \$12,087.50 annualized cost

47 C.F.R. § 14.35 Procedure; Designation of Agents for Service

The Commission shall forward any informal complaint meeting the requirements of section 14.34 of the Commission's rules to each service provider or equipment manufacturer named or determined to be implicated by the complaint.

Every service provider and equipment manufacturer subject to section 255, 716, or 718 shall designate an agent for service of process in the annual certification pursuant to section 14.31 of the Commission's rules.

The Commission estimates that 500 informal complaints will be filed during the third year of the three-year OMB approval period, which will result in 166.6 (rounded to 167) annualized responses per year. The Commission will use GS 13/5 (\$48.35) staff analysts to review and forward these informal complaints to service providers and equipment manufacturers. The Commission estimates that this will require 1 hour per informal complaint.

167 requests x 1 hour/request x \$48.35/hour = \$8,074.45 annualized cost

47 C.F.R. § 14.36 Answers and Replies to Informal Complaints

The Commission estimates that 500 service providers and equipment manufacturers subject to sections 255, 716, and 718 of the Act will file an answer to an informal complaint during the third year of the three-year OMB approval period, which will result in 166.6 (rounded to 167) annualized responses per year. The Commission will use GS 15/5 (\$67.21) staff attorneys to review these answers and documents produced. The Commission estimates that this will require 2 to 4 hours (average 3 hours) for this review per answer.

167 answers x 3 hours/answer x \$67.21/hour = \$33,672.21 annualized cost

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The Commission estimates that 50% of 500 answers filed during the third year of the three-year OMB approval period (250 answers) will include an analysis by an engineer, which will result in 83.3 (rounded to 83) annualized responses per year. The Commission will use GS 15/5 (\$67.21) staff engineers to review these engineering analysis. The Commission estimates 1 to 3 hours (average 2 hours) will be needed to review these engineering analyses.

83 engineering analyses x 2 hours/analysis x \$67.21/hour = \$11,156.86 annualized cost

47 C.F.R. §§ 14.38 - 14.52 Formal Complaints

The Commission estimates that 1 complaint and 1 answer will be filed during the third year of the three-year OMB approval period involving 1 complainant and 1 defendant. The Commission will use GS 5/5 (\$18.50) administrative staff, GS 12/5 (\$40.66) staff paralegals, and GS 15/5 (\$67.21) staff attorneys to review these formal complaints and answers. The Commission estimates that this will require 2 hours of administrative staff time, 4 hours of paralegal time, and 10 hours of attorney time for this review per complaint or answer.

2 filings x 2 hours/filing x \$18.50/hour = \$74.00 / 3 years = \$24.67 annualized cost

2 filings x 4 hours/filing x \$40.66/hour = \$325.28 / 3 years = \$108.43 annualized cost

2 filings x 10 hours/filing x \$67.21/hour = \$1,344.20 / 3 years = \$448.00 annualized cost

Total Cost to Federal Government: \$75,653.62

15. This is a revised collection of information. The increases added to OMB's inventory as a result of these revisions are as follows:
 - (a) The Commission's estimate for the number of respondents has increased by **+95**, from 9,454 respondents to 9,549 respondents;
 - (b) The Commission's estimate for number of responses has increased by **+157**, from 119,659 responses to 119,817 responses;
 - (c) The Commission's estimate for the total annual burden hours has increased by **+683**, from 408,695 hours to 409,378 hours; and
 - (d) The Commission's estimate for the total annual costs has increased by **+\$180,900**, from \$110,588 to \$291,488.

16. The Commission posts on its website designated agent and other contact information submitted to the Commission pursuant to the information collection requirements discussed above. The Commission may also post aggregate complaint information on its website, and will comply with all valid FOIA requests with regard to information sought pertaining to accessibility complaints.

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17. The Commission is not seeking approval not to display the expiration date for OMB approval of the information collection because the collection does not include a form number.
18. There are exceptions to the Certification Statement. The number of responses is 119,817 and the annual burden hours are 409,378. There are no other exceptions to the Certification Statement.

B. Collections of Information Employing Statistical Methods

The Commission does not anticipate that the collection of information will employ any statistical methods.