

FEDERAL COMMUNICATIONS COMMISSION  
Washington, DC 20554

October 30, 2015

Mr. Alexander Hunt  
Chief, Information Policy Branch  
Office of Information and Regulatory Affairs  
Office of Management and Budget  
725 17<sup>th</sup> Street, N.W.  
Washington, D. C. 20503

Dear Mr. Hunt:

The Federal Communications Commission (Commission) requests Office of Management and Budget (OMB) approval to submit the information collection described herein under the “emergency processing” provisions of the Paperwork Reduction Act (PRA) of 1995 (5 CFR 1320.13). The Commission is requesting clearance for a new information collection entitled: 3060-XXXX, Application to Participate in a Reverse Incentive Auction, FCC Form 177. We respectfully request OMB approval for this new information collection no later than 19 days after it is received at OMB.

On February 22, 2012, the President signed the Spectrum Act, which, among other things, authorized the Commission to conduct incentive auctions, and directed that the Commission use this innovative tool for an incentive auction of broadcast television spectrum to help meet the Nation’s growing spectrum needs.<sup>1</sup>

The information collection requirements reported under this new collection are the result of various Commission actions—the latest of which was released on October 15, 2015—to implement this new and novel approach for use in the Commission’s broadcast incentive auction (BIA).

On June 2, 2014, the Commission released a Report and Order, *Expanding the Economic and Innovation Opportunities of Spectrum Through Incentive Auctions*, GN Docket No. 12-268, FCC 14-50, 29 FCC Rcd 6567 (2014) (*Incentive Auction R&O*), in which it adopted general rules to govern the broadcast incentive auction (BIA), including the framework for various application disclosure and certification requirements that must be made by applicants seeking to participate in reverse and forward components of the BIA.<sup>2</sup>

Since the *Incentive Auction R&O* was released, the Commission has worked to determine final auction procedures, develop the electronic FCC Form 177 reverse auction application, and begin integrating FCC Form 177 into the Commission’s Auction System. Over a series of subsequent orders and public notices—most recently on October 15, 2015—the Commission modified some of the previously-adopted information collection requirements for applicants to participate in the reverse and forward auctions, and

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<sup>1</sup> See Middle Class Tax Relief and Job Creation Act of 2012, Pub. L. No. 112-96, §§ 6402, 6403, 125 Stat. 156 (2012) (Spectrum Act), codified at 47 U.S.C. §§ 309(j)(8)(G), 1452.

<sup>2</sup> The BIA will have three main components: (1) a “reverse auction” in which broadcast television licensees will submit bids to voluntarily relinquish their spectrum usage rights in exchange for defined shares of proceeds from the “forward auction”; (2) a “repacking” of the broadcast television bands; and (3) a “forward auction” of initial licenses for flexible use of the newly available spectrum. See *id.* § 6403(a), (b) and (c), codified at 47 U.S.C. § 1452(a), (b), (c). See also *id.* § 6001(16) and (30) (defining “forward auction” and “reverse auction,” respectively).

adopted additional information collection requirements for each auction,<sup>3</sup> which required modifications and refinements to the FCC Form 177.

The Commission is seeking approval for the collection on FCC Form 177 of the disclosures and certifications that must be made by broadcast television licensees to establish their eligibility to participate in the reverse auction.

The Commission's auction rules and related requirements are designed to ensure that the competitive bidding process is limited to serious qualified applicants, deter possible abuse of the bidding and licensing process, and enhance the use of competitive bidding to assign Commission licenses and permits in furtherance of the public interest. The information collected on FCC Form 177 will be used by the Commission to determine if an applicant is legally qualified to participate in the reverse component of the BIA. Commission staff will review the information collected on FCC Form 177 for the reverse component of the BIA as part of the pre-auction process, prior to the start of the reverse auction. Staff will determine whether each applicant satisfies the Commission's requirements to participate in the reverse auction.

As noted above, Congress has directed that the Commission use its incentive auction authority to conduct the BIA. To comply with this directive, the Commission has scheduled the BIA to begin on March 29, 2016. The Commission's established pre-auction process for evaluating applications and identifying qualified bidders requires a substantial amount of review by Commission staff. Due to the novel and complex nature of the BIA, in order to conduct the reverse auction according to the announced schedule, the Commission will need to receive applications to participate in the auction at least three months prior to the start of the auction. Given the timing for the auction, the Commission will begin accepting FCC Form 177 applications to participate in the auction on December 1, 2015. Because the expected date on which applicants may begin submitting their FCC Form 177 applications to participate in the reverse auction is fewer than two months away, emergency approval is required. Accordingly, the Commission is requesting emergency processing and approval of the FCC Form 177.

The information requested as part of this new collection will be used by the Commission in its review of an applicant's legal qualifications to participate in the reverse auction.

If the Commission were to wait 120 days to formally notify the public and potential interested parties of its intent to collect this information on FCC Form 177, the Commission's ability to begin accepting applications to participate in the reverse component of the BIA would be substantially delayed, and would in turn substantially delay both the start of the reverse auction and the Commission's ability to meet its

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<sup>3</sup> See *Expanding the Economic and Innovation Opportunities of Spectrum Through Incentive Auctions* First Order on Reconsideration and Notice of Proposed Rulemaking, FCC 15-67, 30 FCC Rcd 6668 (2015) (modifying certain rules and information collection requirements adopted in the *Incentive Auction R&O* for the reverse auction with respect to channel sharing agreements); *Application Procedures for Broadcast Incentive Auction Scheduled to Begin on March 29, 2016 Procedures for Competitive Bidding in Auction 1000, Including Initial Clearing Target Determination, Qualifying to Bid, and Bidding in Auctions 1001 (Reverse) and 1002 (Forward)*, Public Notice, AU Docket No. 14-252, GN Docket No. 12-268, WT Docket No. 12-269, MB Docket No. 15-146, FCC 15-78, 30 FCC Rcd 8975 (2015) (adopting procedures for bidding in the reverse and forward auctions and additional information collection requirements for both auctions, and announcing the start date of the BIA); *Application Procedures for Broadcast Incentive Auction Scheduled to Begin on March 29, 2016; Technical Formulas for Competitive Bidding*, Public Notice, AU Docket No. 14-252, GN Docket No. 12-268, WT Docket No. 12-269, DA 15-1183 (rel. Oct. 15, 2015) (adopting procedures for applying to participate in the reverse and forward auctions, including additional information collection requirements for both auctions, and announcing the deadlines for filing applications to participate in the reverse and forward auctions).

statutory directive to conduct the BIA. Further, due to the emergency nature of this request, the Commission is requesting a waiver of the requirement to publish a 60-day notice in the Federal Register. However, on October 30, 2015, the Commission published a 14-day notice in the Federal Register concerning the new information collection under the emergency processing procedures to give the public an opportunity to comment on this emergency submission. The Commission will conduct all the necessary regular submission requirements under the PRA after approval of this emergency request.

The Commission's staff is ready to work with your PRA Desk Officer to immediately provide any additional information needed to ensure OMB's approval of this emergency request for this new information collection no later than 19 days after it is received at OMB. Please have your PRA Desk Officer contact Cathy Williams at (202) 418-2918 or [cathy.williams@fcc.gov](mailto:cathy.williams@fcc.gov), if there are any questions or requires any additional information.

Sincerely,



Mindy J. Ginsburg  
Deputy Managing Director  
Office of Managing Director  
Federal Communications Commission