

January 2022

SUPPORTING STATEMENT

This submission is being made pursuant to 44 U.S.C. 3507 of the Paperwork Reduction Act of 1995 to obtain the Office of Management and Budget (OMB) approval for an extension of the currently approved information collection 3060-1214.

A. Justification:

1. *Circumstances that make the collection necessary.* This information collection is necessary to institute a process by which interconnected VoIP providers may obtain authorization from the Federal Communications Commission (FCC) to demonstrate that they have the authority to provide voice services within specific areas so that these providers may in turn obtain numbers directly from the North American Numbering Plan Administrator (NANPA or the Numbering Administrator).

On June 18, 2015, the FCC adopted a Report and Order establishing the Numbering Authorization Application process. (FCC 15-70, rel. Jun. 22, 2015). The Numbering Authorization Application process allows applicants to apply for a blanket authorization from the FCC that, once granted, will allow them to demonstrate that they have the authority to provide service in specific areas, thus enabling them to request numbers directly from the Numbering Administrators.

Extension of currently approved information collection requirements for this collection:

The information required of an applicant as part of the Commission authorization process includes the following:

- a. Compliance with Number Administration Rules and Guidelines: Provision of the information required by these rules and guidelines will help alleviate concerns about telephone number exhaust and ensure competitive neutrality among providers of voice services.
- b. 30-Day Notice Requirement: Requiring interconnected Voice over Internet Protocol (VoIP) providers to file requests for numbers with the relevant state commission(s) at least 30 days prior to requesting numbers from the Numbering Administrators will allow the states to monitor number usage and raise any concerns about the request with the provider, the Commission, and the Numbering Administrators. This notice period will also allow the states to determine whether the request is problematic for any reason, such as a provider's failure to submit timely NRUF reports or meet the utilization threshold necessary to obtain additional numbers. This information collection and notice period will also allow state commissions to advise interconnected VoIP providers as to which rate centers have excess blocks of numbers available.
- c. Contact Information: This information will allow state commissions to effectively monitor local numbering issues, which will, in turn, help the FCC in its overall efforts to

January 2022

conserve numbers. The provision of this contact information will also allow state commissions to effectively and most readily address matters relating to regulatory compliance, provision of 911 service, and law enforcement.

- d. “Facilities Readiness” Requirement: This information will allow the FCC to accurately determine whether specific interconnected VoIP providers are capable of providing service within sixty days of the numbering resources activation date. This in turn will help the FCC verify that providers are able to deploy and properly use numbers prior to obtaining them.
- e. Certification of Capacity to Provide Service: This information will allow the FCC to determine whether the applicant has the requisite technical, managerial, and financial capacity to provide service. It will also allow the FCC to determine whether the Chief Operating Officer and Chief Technology Officer of an interconnected VoIP provider, or the equivalent, is being or has been investigated by the Commission or any law enforcement or regulatory agency for failure to comply with any law, rule, or order.
- f. Certification of Contribution Obligations: This information will allow the FCC to determine whether applicants are in compliance with their USF, TRS, and LNP contribution obligations, as well as their duties to pay regulatory fees and 911 obligations. This will, in turn, help to ensure that these programs are adequately funded.
- g. OCN Requirement: Requiring interconnected VoIP providers to use their own unique OCNs when obtaining numbers directly from the Numbering Administrators will improve utilization data used to predict number exhaust and will enable states to more easily identify the service providers involved when porting issues arise.

This information collection does not affect individuals or household; thus, there are no impacts under the Privacy Act.

Statutory authority for this information collection is contained in 47 U.S.C. §§ 151, 154(i), 201(b), and 251(e)(1).

2. *Use of information.* The information collected as part of the Numbering Authorization Application will be used by the staff of the Wireline Competition Bureau (Bureau) of the FCC to verify that these applications conform to procedural rules. Thus, this information will help the FCC protect against number exhaust while also promoting competitive neutrality among traditional telecommunications carriers and interconnected VoIP providers by allowing both entities to obtain numbers directly from the Numbering Administrator. Bureau staff will also review the information collected as part of the Numbering Authorization Applications to ensure the fitness of the applicants and their principals to administer numbers, ensure that telephone numbers are not stranded, and maintain efficient utilization of numbering resources. Finally, Bureau staff will review the information collected as part of the Numbering Authorization to ensure applicant compliance with STIR/SHAKEN requirements.

January 2022

3. *Technological collection techniques.* The Commission permits carriers to file information electronically. In order to facilitate electronic filing of Numbering Authorization Applications, the agency has established within the FCC's Electronic Comment Filing System (ECFS) a "Submit a Non-Docketed Filing" module that facilitates filing of such applications into a single docket where all such applications must be filed. All subsequent filings by applicants and interested parties related to an application must be submitted via ECFS to the appropriate docket. Confidential, unredacted filings may be submitted to DAA@fcc.gov, an inbox created and controlled by Bureau staff for the administration of Numbering Authorization Applications.
4. *Efforts to identify duplication.* For the most part, the information does not duplicate any current information collections. While some of the contact information requested as part of this collection may be duplicated in FCC Form 499-A or 477 (which some interconnected VoIP providers already file), these forms are inadequate to demonstrate authorization to obtain numbers, in large part because they do not demonstrate compliance with the Commission's rules and specific numbering requirements. Nor do they reflect that an applicant has the appropriate technical, managerial, and financial capacity to provide service. Further, from a purely practical perspective, a new interconnected VoIP provider seeking direct access to numbers may not have a Form 477 on file at the time that it seeks to obtain numbers. Moreover, since these forms are filed only with the Commission, the contact information contained within them is not currently available to the states, which will require such information in order to properly monitor local telecommunications markets. Thus, these forms are insufficient to demonstrate authorization on the part of providers to provide service and obtain numbers directly from the Numbering Administrator.
5. *Impact on small entities.* The Commission is taking several steps to minimize the impact of the information collection on small businesses and other small entities. First, the Report and Order only requires those interconnected VoIP providers seeking direct access to numbers to comply with the applicable FCC rules, rather than all interconnected VoIP providers. And although VoIP numbering authorization applicants are required to submit specific documentation as a condition of obtaining FCC authorization, the agency has attempted to minimize this burden by streamlining the application process as much as possible. In order to ease the administrative burden on small entities of producing and submitting authorization applications, the Commission has established a module that facilitates filing of applications electronically within its own Electronic Comment Filing System (ECFS) and the submission of confidential, unredacted filings via electronic mail.
6. *Consequences if information is not collected.* Without this information the FCC would not be able to verify that specific interconnected VoIP providers are able to deploy and properly utilize numbering resources, or that they have the appropriate technical, managerial, and financial capacity to provide voice services. As a result, the FCC would not be able to grant these providers authorization to request telephone numbers directly from the Numbering Administrator. Interconnected VoIP providers would thus be obligated to continue to partner with telecommunications carriers when seeking numbers, a process which would necessitate unnecessary inefficiencies and associated expenses. It would also establish an unequal playing field as between traditional telecommunications carriers and interconnected VoIP providers in the competitive market for voice services, since only the former would be able to obtain numbers directly from the Numbering Administrator.

January 2022

7. *Special circumstances.* This extension of a currently approved information collection does not have any of the characteristics that would require separate justification under 5 C.F.R. § 1320.5(d)(2).
8. *Federal Register notice; efforts to consult with persons outside the Commission.* Pursuant to 5 C.F.R Section 1320.8(d), a 60-day notice was published in the Federal Register on November 19, 2021 [86 FR 64934] seeking comments from the public. No PRA comments were received.
9. *Payments or gifts to respondents.* The Commission does not anticipate providing any payment or gift to respondents with this collection of information.
10. *Assurances of confidentiality.* If respondents submit information which respondents believe is confidential, respondents may request confidential treatment of such information pursuant to section 0.459 of the FCC's rules, 47 C.F.R. § 0.459.
11. *Questions of a sensitive nature.* This information collection does not address any private matters of a sensitive nature.
12. *Estimates of the hour burden of the collection to respondents.* Described below are the estimated burden hours associated with each collection of information.
 - a. Numbering Authorization Application: The potential number of respondents to this information collection is unclear, since the application is strictly voluntary and it is unknown how many interconnected VoIP providers may wish to apply.
 1. Number of estimated annual respondents: 30. The Commission estimates that 30 entities may choose to submit a Numbering Authorization Application. The Commission received 17 applications in 2019, 45 applications in 2020, and estimates it will receive 32 applications in 2021, giving us an average of 30 entities ($17 + 45 + 32 = 94$, $94/3 = 31.33$, which we round down to 30).
 2. Total number of annual responses: 30.
 3. Frequency of response: One-time. An applicant/respondent will file a Numbering Authorization Application only once.
 4. Total estimated annual burden: The Commission estimates that it will take 20 hours to produce the filing per respondent.
20 hours per respondent for 30 respondents filing once. Total estimated annual hours burden is calculated as follows: **30 estimated responses x 20 hours per response = 600 total estimated burden hours.**
 5. Total estimate of annual in-house cost to respondents for the hours burden: \$41,130. To meet the conditions required by the application, we estimate that several professionals at the provider's company, including accountants,

January 2022

information technology specialists, attorneys, and a compliance officer, will participate in the production and/ or review of the application. We also estimate a weighted average for the compensation of these professionals will be at a level comparable in pay to a GS-14/step 5 (\$68.55/hour) using the 2022 General Schedule Pay Table with locality payment for the Washington, D.C., Maryland, Virginia, West Virginia and Pennsylvania.

6. Explanation of calculation: The Commission estimates that it will take 20 hours to produce the filing per respondent. The burden per respondent is approximately \$1,371 ($\$68.55 \times 20 \text{ hours} = \$1,371$). The total industry dollar cost is approximately \$41,130 ($30 \times \$1,371 = \$41,130$). The total industry burden hours are 600 ($30 \times 20 = 600$). We note that this application need only be filed once, and will thus not be a recurring industry cost.

Expected Respondents	Hours Per Respondent	Hours to Industry	Hourly Salary	\$ Cost Per Respondent	\$ Cost to Industry
30	20	600	\$68.55	\$1,371	\$41,130.00

- b. 30-Day Notice Requirement: We estimate that approximately 30 interconnected VoIP providers may choose to apply for FCC authorization. Should their applications be approved, they will be required to file requests for numbers with the relevant state commission(s) at least 30 days prior to requesting numbers from the Numbering Administrator. To meet this condition, several professionals at the provider's company, including attorneys, information technology specialists, and a compliance officer, may participate in the production and/or review of the filing.
 1. The Commission estimates a weighted average for the compensation of these professionals will be at a level comparable in pay to a GS-14/step 5 (\$68.55/hour) using the 2022 General Schedule Pay Table with locality payment for the Washington, D.C., Maryland, Virginia, West Virginia and Pennsylvania.
 2. We also estimate it will take no more than 10 hours annually to produce the filing per respondent. Since the numbering requests sent to the state commissions will largely contain the same information as whatever numbering request the respondent intends to transmit to the Numbering Administrator, they will require many hours to prepare independent of the requests intended for the Numbering Administrator. The burden per respondent is approximately \$685.50 ($\$68.55 \times 10 \text{ hours} = \685.50).
 3. The total industry dollar cost is \$20,565 ($30 \times \$685.50 = \$20,565$). The total industry burden hours are 300 ($30 \times 10 = 300$).

Expected Respondents	Hours Per Respondent	Hours to Industry	Hourly Salary	\$ Cost Per Respondent	\$ Cost to Industry
30	10	300	\$68.55	\$685.50	\$20,565.00

January 2022

- c. Contact Information to States: We estimate that roughly 30 interconnected VoIP providers may choose to apply for FCC authorization. Should their applications be approved, they will be required to file accurate regulatory and numbering contact information with the state commission when they request numbers in that state, and to update this information whenever it becomes outdated. To meet this condition, several professionals at the provider's company, including attorneys and a compliance officer, may participate in the production and/or review of the filing.
 - 1. The Commission estimates a weighted average for the compensation of these professionals will be at a level comparable in pay to a GS-14/step 5 (\$68.55/hour) using the 2022 General Schedule Pay Table with locality payment for the Washington, D.C., Maryland, Virginia, West Virginia and Pennsylvania.
 - 2. We estimate it will take no more than 10 hours annually to produce the filing per respondent. Since only contact information is required to be submitted as a part of this requirement, these filings will not require many hours to prepare. The burden per respondent is approximately \$685.50 (\$68.55 x 10 hours = \$685.50).
 - 3. The total industry dollar cost is \$20,565 (30 x \$685.50 = \$20,565). The total industry burden hours are 300 (30 x 10 = 300).

Expected Respondents	Hours Per Respondent	Hours to Industry	Hourly Salary	\$ Cost Per Respondent	\$ Cost to Industry
30	10	300	\$68.55	\$685.50	\$20,565.00

Grand Total of Information Collection Requirements contained in this collection:

Information Collection Requirements	Respondents	Hours Per Respondent	Hours to Industry	\$ Cost Per Respondent	\$ Cost to Industry
a. Numbering Authorization Application	30	20	600	\$1,371.00	\$41,130.00
b. 30-Day Notice Requirement	30	10	300	\$685.50	\$20,565.00
c. Contact Information to States	30	10	300	\$685.50	\$20,565.00
Totals (in bold)	30	40	1,200	\$2,742	\$82,260.00

January 2022

13. *Estimates of the annual cost burden of the collection to respondents.* There are no outside costs to the respondent:

- a. There are no capital or start-up costs.
- b. There are no operational or maintenance costs.

Total Cost: \$0.

14. *Estimates of the cost burden to the Commission.* We estimate that roughly 30 interconnected VoIP providers may choose to apply for FCC authorization. We further estimate that two attorneys will be needed to review the applications. We also estimate a weighted average for the compensation of these professionals will be at a level of a GS-14/step 5 (\$68.55/hour). We estimate that it will take 5 hours for each attorney or 10 hours to review each application. The burden per application is thus approximately \$685.50 (\$68.55 x 2 attorneys x 5 hours = \$685.50). The total dollar cost is \$20,565 (30 x \$685.50 = \$20,565). The total burden hours is 300 (30 x 2 x 5 = 300). We note that this application need only be filed once, and will thus not be a recurring government cost.

Expected Respondents	Hours Per Application	Total Hours	Hourly Salary	\$ Cost Per Application	Total \$ Cost to Government
30	10	300	\$68.55	\$685.50	\$20,565.00

15. *Program changes or adjustments.* From the last submission to OMB, the Commission is reporting adjustments/increases to this information collection. The total respondents/total annual responses increased from 13 to 30 (+17) and the total annual burden hours increased from 520 hours to 1,200 hours (+680). This is due to increased interest in the industry for the authorization, as well as the industry's implementation of the STIR/SHAKEN caller ID authentication framework to fight illegal robocalling, where direct access to numbers was previously required for voice service providers to participate in the framework.

16. *Collections of information whose results will be published.* The Commission is not planning on publishing the results of this information collection. Information filed by the respondents will be publicly available.

17. *Display of expiration date for OMB approval of information collection.* The Commission is not seeking approval to not display the expiration date of OMB approval of this information collection.

18. *Exceptions to certification statement for Paperwork Reduction Act submissions.* There are no exceptions to the certification statement.

B. Collections of Information Employing Statistical Methods:

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