



BATCH FILING GUIDE COLEM

Version 4.0
April 18, 2022

Batch Process Overview

Electronic batch filing by COLEMs for Commercial will follow the same approach as used by the Volunteer Exam Coordinators (COLEMs) for electronic batch filing of Commercial applications. COLEMs may only file applications related to Commercial licenses via electronic batch. Any applications filed for Restricted via batch will be rejected. The files are transmitted to the Wireless Telecommunications Bureau of the Federal Communications Commission using a https. The processing of these files entails entering information into the Universal Licensing System (ULS). ULS creates a response file for each data file received. The response file contains data informing the COLEM what happened when ULS processed each of the applications in the data file. The response file is placed on a ULS batch server to be picked up either manually or using an application executing https commands.

The COLEM is responsible for ensuring that each application file sent is uniquely named and correctly formatted. A COLEM can send multiple application files per day. Files can be posted at any time of the day, seven days a week.

Processing

ULS processes application files received from COLEMs every hour on the hour (i.e., 3:00 AM, 4:00 AM, 5:00 AM, etc.) between the hours of 3:30 AM and 11:30 PM, except when the ULS nightly batch process is running. On FCC business days, ULS will auto-grant each application that it can. If there is an issue with an application, an appropriate error code will be returned indicating to the COLEM why the application was not granted. Application files received on non-business days (i.e., weekends and federal holidays) will be submitted to ULS but not granted. The application is not granted until the next business morning.

The first step ULS takes with each application file is to verify the file format. If there is any problem with the format of the file, e.g., an unprintable character contained in the data, the file is not processed. A response file is created with an appropriate error code indicating the file could not be processed.

Assuming the format is acceptable; the file is processed. When ULS has finished processing the file, the response file is available on a ULS batch server for pick up. The response file contains either positive confirmation, including file number, FCC Registration Number (FRN), status of the application and the call sign or appropriate error messages.

Application File

File Definition

The application file is a variable length ASCII file being sent to the FCC must be a uniquely named file utilizing the naming convention provided.

File Name Convention	cmmddnn.dat	cc – the COLEM code mmdd – the month and day the file is sent nn – unique sequential number
File Type	ASCII MS DOS Text or Text Only	
File Extension	.dat	

The *mmdd* is not used to determine the receipt date, it is simply a mechanism for naming files, so if a file is created one day and sent on another, there is no need to change the *mmdd*. The receipt date of the applications within the file will be determined by the date and time the file is physically received at the FCC, i.e., the date it is received by a ULS batch server.

File Record Types

There are two possible record types per file with the contents of each record delimited by a pipe “|”. Each record type starts with the unique two-character record code. The length of each record is dependent upon the actual data contents of the fields in that record. The last data field of the record **is not** followed by “|”.

COLEM Record Type	CE	Identifies the COLEM
Application Record Type	CA	Contains the subsequent applicant information
Order of Record Types	CE CA CA CA	Identifies the COLEM submitting applications First applicant’s data Second applicant’s data Third applicant’s data

Sample COLEM Record Type - CE

CE|02|02/28/2017

COLEM Record Type - CE

Position	Data Element	Definition	Content
1	Record Type	char(2)	CE
2	COLEM Code	char(2)	Assigned by FCC
3	Filing Date	date	mm/dd/yyyy

Sample Application Record Type - CA

CA|||12/15/1948|Jane||Jones|||21 Condor
 Ave||Portland|OR|93088|||NE|PG|Y|Y|||0004283443|||Y||1|Favorite
 Color|Blue|N

Application Record Type - CA

Position	Data Element	Definition	Content
1	Record Type	char(2)	CA
2	Pending File Number for Withdrawals or Amendments	char(14)	Form 605 box 4
3	Call Sign / Serial #	char(10)	Form 605 box 5
4	*Social Security Number (or Licensee ID)	Null	N/A
5	Date of Birth	date	Form 605 box 11a mm/dd/yyyy
6	First Name	char(20)	Form 605 box 11
7	MI Name	char(1)	Form 605 box 11
8	Last Name	char(20)	Form 605 box 11

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Position	Data Element	Definition	Content
9	Name Suffix	char(3)	Form 605 box 11
10	Attention To	char(35)	Form 605 box 14
11	Street Address	char(60)	Form 605 box 16
12	PO Box	char(20)	Form 605 box 15
13	City	char(20)	Form 605 box 17
14	State	char(2)	Form 605 box 18
15	Zip Code	char(9)	Form 605 box 19
16	Telephone Number	char(10)	Form 605 box 21
17	Fax Number	char(10)	Form 605 box 22
18	Email Address	char(50)	Form 605 box 23
19	Application Purpose Code	char(2)	Form 605 box 2
20	Operator Class	char(2)	Form 605 Schedule E box 1
21	Valid Signature / Certification	char(1)	Y/N; based on content of Form 605 Box 28 Signature block
22	Proof of Passing Certificate	char(1)	Y/N; indicates if the applicant passed the appropriate test
23	Requested Expiration date	mmdd	Form 605 box 6 <i>Not valid for operator class PG</i>
24	Waiver Request	char(1)	Form 605 box 7

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Position	Data Element	Definition	Content												
25	Attachments	char(1)	Form 605 box 8 Form 605 box 28 Send Y if application includes an attachment that will be faxed, mailed, or emailed else send null if no attachment.												
26	FCC Registration Numer (FRN)	numeric 10,0	Form 605 box 9c <i>Note:</i> value must be a valid FRN in CORES; the FRN must be 10 digits, use leading zeroes if necessary												
27	Attachment to be Faxed	char(1)	Do Not Use. Always send null.												
28	Ship Radar Endorsement	char(1)	Form 605 Sched E box 2												
29	Six Months Service Endorsement	char(1)	Form 605 Sched E box 2												
30	DM Serial Number for DO/DM Consolidation	char(10)	Form 605 Sched E box 1a												
31	Photo Included	char(1)	Send Y if a photo is being sent												
32	** Licensee Name Change	char(1)	If the licensee name in position 5 or 6-9 is different than what is on the license, this field must be sent as N. If you are not changing the name, send this as Null. Form 605 box 13												
33	Personal Security Question Code	varchar(4)	<table border="0"> <thead> <tr> <th><u>Definition</u></th> <th><u>Code</u></th> </tr> </thead> <tbody> <tr> <td>Custom PSQ</td> <td>1</td> </tr> <tr> <td>Original City of Birth</td> <td>2</td> </tr> <tr> <td>Pet's Name</td> <td>3</td> </tr> <tr> <td>Corp Internal Employee ID</td> <td>4</td> </tr> <tr> <td>Mother's Maiden Name</td> <td>5</td> </tr> </tbody> </table>	<u>Definition</u>	<u>Code</u>	Custom PSQ	1	Original City of Birth	2	Pet's Name	3	Corp Internal Employee ID	4	Mother's Maiden Name	5
<u>Definition</u>	<u>Code</u>														
Custom PSQ	1														
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Mother's Maiden Name	5														

Position	Data Element	Definition	Content
34	Custom Personal Security Question	varchar(60)	If the applicant chooses to use a custom security question, it will be sent in this position.
35	PSQ Answer	varchar(60)	The answer to the applicant's security question will be sent in this position.
36	Felony Question	char(1)	Form 605 box 28 Send Y/N for NE, MD, RO, RM and AM for NE, MD, RM. Send null for all other application purposes.

* The Social Security/Licensee ID field has been disabled, send as null. The applicant is now responsible for registering with the Commission Registration System (CORES) prior to filing in order to be assigned an FCC Registration Number (FRN). To register, the applicant should go to <http://www.fcc.gov> and click on the link labeled "Commission Registration System".

** In ULS, a name change indicates a sale (or transfer of control) of the license(s) to another party and for which proper FCC approval has not been received or proper notification provided and this is what this field is used for. This is why this field is sent as **N**. For example, a name change due to marriage does not meet this criteria.

Attachments

If an applicant requests a waiver by answering yes to question #8 on Form 605, the applicant must provide an attachment file to the COLEM. That attachment must be faxed to the Wireless Telecommunications Bureau in Gettysburg, PA or emailed to attach605@fcc.gov. Please write the applicant's FRN and file number or call sign, if available, on the fax or emailed attachment to identify it.

If an applicant answers yes to question #28 on Form 605 the applicant must fax an attachment to the Wireless Telecommunications Bureau in Gettysburg, PA or email the attachment to attach605@fcc.gov. Please include the applicant's FRN and file number or call sign, if available, on the fax or within email attachment to identify it.

Response File

File Definition

The response file is a variable length ASCII file containing only printable characters.

File Type	ASCII MS DOS Text or Text Only	
File Extension	.rsp	

File Record Types

There are two possible record types per file with the contents of each record delimited by a pipe "|". Each record type starts with the unique two-character record code. The length of each record is dependent upon the actual data contents of the fields in that record. The last data field of the record **is not** followed by "|".

The file always starts with an RS Record. (If ULS could not process the file at all, then the response file will only contain an RS record.) Following the RS record will be one RA record per application received.

Session Response Record Type	RS	Contains exam information to identify the contents
Status Record Type	RA	Contains the status of the application
Order of Record Types	RS RA RA RA	Identifies the COLEM First applicant's data Second applicant's data Third applicant's data

Sample Session Response Record Type - RS

RS|L|02/28/2017

Session Response Record Type - RS

Position	Data Element	Definition	Content
1	Record Type	char(2)	RS
2	COLEM Code	char(1)	From the application file
3	Session Date	date	mm/dd/yyyy

Sample Status Record Type – RA

Granted

RA|0000162008|Jane|Q|Public||11375|PG00000524|0003215669|G|||

Pending Status Awaiting Payment

RA|0000162008|Dan|Q|Public||11375|PG00000525|0003215669|1|PRAM|1|35

Filed on Weekend

RA|0000162009|John|Q|Public|Jr|21403||0004125599|0|||

File Rejected

RA||Mary||Public||11372|||60|||

Status Record Type - RA

Position	Data Element	Definition	Content
1	Record Type	char(2)	RA
2	ULS File Number	char(14)	Assigned by ULS if status code is 0 (zero) or if amendment to existing file number else it will be null
3	Applicant First Name	varchar(20)	From CA record
4	Applicant Middle Initial	char(1)	From CA record
5	Applicant Last Name	varchar(20)	From CA record
6	Applicant Suffix	char(3)	From CA record
7	Applicant Zip Code	char(9)	From CA record
8	Call Sign	char(6)	If already licensed

Position	Data Element	Definition	Content
9	FRN	numeric(10,0)	
10	Status Code	integer	Indicates that the application was accepted for filing (0), the processing status of the application (G, D, R, 1, 2) or the error that kept the application from being accepted for filing.
11	Payment Type Code	char(4)	
12	Quantity	integer	
13	Fee Amount	money	Whole dollar amounts

Status Codes

Assuming the file has the correct file format and therefore could be processed, there is at least one "RA" record per "CA" record received. For application files received on FCC business days, if the application data on the "CA" record is complete, a "G," "1," or "2," is returned to indicate that the application was received and granted, pending or off-lined. The call sign is also returned in the response file. For application files received on weekends and holidays, if the application data on the "CA" record is complete, a zero is returned to indicate that the application was created and is accepted for filing, i.e., has been entered into ULS but is not yet processed. These applications are processed the morning of the next business day. If the application is accepted for filing, it can be downloaded in the daily data file from fcc.gov. It is also available in the following weekend's complete database download file. It can also be accessed online using ULS Application Search to check its status. If it has been granted, it can be accessed online using ULS License Search.

Status Code	Definition
G	The application was granted
R	The application was created but was returned to the applicant
D	The application was created and dismissed by ULS
W	The application was successfully withdrawn
0	The application was filed on a non-business day (weekend or federal holiday). The application will be processed on the next business day.
1	The application is in Pending Status awaiting payment.
2	The application is off-lined for processing by FCC staff.

Error Codes

A listing of current error codes can be found by selecting the “Documentation” tab at this link:
<https://www.fcc.gov/wireless/systems-utilities/uls-electronic-batch-filing>

Fee Codes

A listing of current fees and corresponding codes can be found at
<https://www.fcc.gov/wireless/systems-utilities/universal-licensing-system/wireless-fees/personal-service-and-amateur>