

FEDERAL COMMUNICATIONS COMMISSION Washington, D.C. 20554 FCC DIRECTIVE	Title	
	CORES/FCC Registration Number	
	Directive Number	Effective Date
	FCCINST 1058.4	April 2020

1. **PURPOSE:** To provide guidance concerning the implementation and management of the Commission REGistration System (CORES¹) and to establish responsibility for the maintenance, and related financial matters.
2. **CANCELLATION:** This instruction supersedes FCCINST 1058.3 dated March 2015.
3. **AUTHORITY:** The Debt Collection Improvement Act of 1996 (DCIA), Public Law 104-134, 110 Stat. 1321-358 (April 26, 1996), enacted as Section 31001 of the Omnibus Consolidated Rescissions and Appropriations Act of 1996 (31 USC §§ 3711 *et. seq.*).
4. **BACKGROUND:**

CORES is designed to track and record the issuance of the FCC Registration Number (FRN). The FRN enables the agency to determine whether the holder has any delinquent debt by linking the FRN to the Tax Payer Identification Number (TIN) in order to be in compliance with the DCIA. The DCIA requires anyone doing business with the Federal government to provide their TIN issued by the Internal Revenue Service (IRS). The TIN is used to identify entities owing Federal debt; therefore, an FRN will not be issued to an entity without receiving their TIN.

Because the TIN is personally identifiable information with privacy protection considerations, the Commission requires persons or entities doing business with the Commission and its reporting components (Universal Service Fund (USF), North American Numbering Plan Administrator (NANPA), Telecommunications Relay Service (TRS), *etc.*) to obtain an FRN.

This Directive does not address the question of how the FRN will be used to determine whether persons or entities doing business with the Commission have outstanding delinquent debts or what action will be taken against those applicants or entities. The procedure of handling applications or filings by persons or entities with non-tax delinquent debt owed to the Commission or the Federal government is addressed in Directive FCC INST 1064.3 – Debt Collection.

5. **POLICY:**

The Commission will:

- a. Maintain a link between the TIN and the FRN.
- b. Require the submission of the FRN on all feeable and non-feeable filings and applications, including those filings with USF, NANPA, and TRS, which may result in the grant of a benefit.

¹ CORES represent the old Legacy CORES, new CORES II, and any other future versions of CORES.

- c. Require the mandatory use of the FCC Form 159 (Remittance Advice) for all payments, except those payments accompanied by an invoice or payment order. Check to see if an applicant has an outstanding delinquent auction debt existing on the Commission's records.
- d. Check to see if applicants interested in participating in the auction program have ever defaulted on debts or loans owed the Commission.
- e. Check to see if applicants interested in participating in the auction program have ever defaulted on debts or loans owed the Commission.
- f. Establish procedures that provide assurance that fees have been paid prior to the grant of any request for benefit.
- g. Deactivate a FRN when discovered that an incorrect TIN has been used in CORES.
- h. Notify both parties when an FRN is deactivated due to an incorrect TIN recording in CORES.
- i. Eliminate repetitive collection of data.
- j. Improve the Commission's mechanism for properly recording and tracking receipts made to the Commission.
- k. Not return a payment of a civil monetary penalty or an outstanding accounts receivable.
- l. Require that individual users to either log into CORES II with unique Username (i.e., email) in order to identify who is acting upon an FRN, or to log into Legacy CORES with FRN/Password.

6. RESPONSIBILITIES:

The Commission is required to assure compliance with DCIA. In furtherance of this requirement:

- a. The Office of the Managing Director/Financial Operations is responsible for:
 - (1) Collecting all delinquent debts, and for monitoring collections.
 - (2) Compiling the files necessary for transmission to the Treasury and for referral of delinquent debts to the Treasury.
 - (3) Maintaining a link between the FRN and the TIN.
 - (4) Implementing a system that compares outgoing refunds as possible offset for outstanding delinquent debt.
 - (5) Contacting and coordinating resolution with applicants, licensees, or regulatees who are delinquent on a debt. The Genesis core financial system (Red Light Display System (RLDS)) will respond when a section 8 fee is received, and delinquent debt is recognized for that TIN and when an applicant submitting an upfront remittance is delinquent on any current or prior FCC debt.
 - (6) Providing assistance to the Bureaus and Offices on matters related to this Directive.
 - (7) Returning any applications or filings as unprocessable if the remittance advice is incomplete or obsolete.
 - (8) Processing FCC Form 160 and registering entities.
 - (9) Recording the FRN on the FCC Form 160 once registration has been completed.
 - (10) Accessing the CORES database in order to validate FRNs.
 - (11) For Section 9 (regulatory fee) payers, verifying the applicant, licensee or regulatee's fee exempt status under section 501(c) (3) of the Internal Revenue Code.
 - (12) Contacting the payer/applicant in order to secure a valid FRN if the event is related to the following activities:
 - a. Auctions;

- b. Section 9;
 - c. Special Temporary Authority Request (STA emergency); or
 - d. Payments received against outstanding debts and civil monetary penalties.
- (13) Staffing a help desk that will respond to telephone and e-mail inquiries.

b. The Bureaus and Offices are responsible for:

- (1) Reviewing applications, request for authorizations and other fee filings to ensure that the correct fee for each application has been paid prior to granting the application.
- (2) Verifying applicant, licensee or regulatee fee exempt status.
- (3) Compiling a list of specific instances in which the FRN must be provided for services under their purview.
- (4) Allow applicants a 10-business day grace period for applications that have time-critical deadlines and may be filed on paper. The filer will be notified of the omission of the FRN and informed of the deadline for submitting the correct FRN.
- (5) Allow applicants a 10-business day grace period for appearances in hearing proceedings.
- (6) Maintaining automated systems to:
 - a. Ensure that the proper fee has been received prior to the grant of any application or authorization.
 - b. Capture/validate the FRN or User ID at the time of log-on.
 - c. Incorporate the FRN into their database.
 - d. Provide an access mechanism to the CORES Web site to register a new entity for the licensing system.
 - e. Provide FRN for fee sufficiency check.
 - f. Populate the electronic FCC Form 159 with the applicant FRN.
- (7) Notify OMD if there is a Section 8 Application Fee remittance amount due for an emergency Special Temporary Authority (STA). Remittance Advice (FCC Form 159) and fees are not sent to the FCC with emergency requests for STA. The Bureau or Office will notify OMD of the amount due, and ask OMD to bill the applicant for the amount. OMD will notify the Bureau or Office when the amount is paid.
- (8) The Wireline Competition Bureau will notify tariff filers that a tariff was ineffective if and when it is discovered that the tariff fee for the service was not properly submitted or paid, and take other appropriate action.
- (9) Assigning an FRN to all outgoing civil monetary penalty payment orders, where the alleged violator is not already registered in CORES.
- (10) The Wireless Telecommunications Bureau (WTB) has established a help desk that will assist users of CORES to gain access to their FRN(s).

7. EFFECTIVE DATE AND IMPLEMENTATION: This Directive is effective immediately and shall be implemented promptly upon distribution.


Mark Stephens
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