**Technical Guidelines for DSPs making Adjustments pursuant to 210.27(k) for Phono 3 Periods (2021-2022)**

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This communication solely addresses technical guidelines for providing data in connection with reports of adjustments filed pursuant to 37 CFR 210.27(k) for periods spanning January 1, 2021 through December 31, 2022, not certification or other requirements of 37 CFR 210.27.

If you have questions about the contents of this document, please contact The MLC’s DSP Relations team at dsp.relations@themlc.com

**Contents**

[Section 1: For DSPs making no changes (NOT changing the inputs to royalty pool calculations and NOT changing track/usage level information) 3](#_Toc142649646)

[Section 2: For DSPs changing the inputs to royalty pool calculations, NOT changing track/usage level information 4](#_Toc142649647)

[Section 3: For DSPs changing inputs to royalty pool calculations AND changing track/usage level information 5](#_Toc142649648)

[Section 4: For DSPs adding/splitting previously reported service offerings 6](#_Toc142649649)

# **Section 1: For DSPs making no changes (NOT changing the inputs to royalty pool calculations and NOT changing track/usage level information)**

(i.e., no changes to previously provided Annual Reports of Usage (and related adjustments, if any)

In this scenario, a DSP will simply re-certify information provided in the 2021 and 2022 Annual Reports of Usage and any subsequent adjustments. No additional delivery of royalty pool information or track/usage information is necessary.

# **Section 2: For DSPs changing the inputs to royalty pool calculations, NOT changing track/usage level information**

(i.e., DSPs who are changing revenue, number of subscribers, TCC and/or performance royalties ONLY)

In this scenario, DSPs only need to re-send royalty pool information. DSPs should not re-send track/usage information.

***Organisation and Content of Files:***

For each file supplied during 2021 and 2022, please supply a corresponding report of adjustment (“RoA”) file.

So, if for example you supplied 1 file each month in 2021 containing 3 different service configurations, then please supply 12 files (one for each month), each of which would contain the same 3 service configurations.

Alternatively, if you supplied 10 files each month, each of which contained a single service configuration, then you would supply 120 files.

Please do not compress the files.

***File Format:***

For DDEX users:

Please supply DDEX HEAD and SYxx records only.

For SURF users:

Please supply SURF REV file(s) only.

***File Naming:***

For DDEX users:

The filename pattern for the RoA is very similar to the filename for the pattern for the ARoU, please just add “ADJ” after “DSR”:

e.g.

DSR**ADJ**\_\_[sender]\_[service(s)]\_ [usage-period]\_US\_1of1\_[message-created-timestamp].tsv

For SURF users:

The filename pattern for the RoA is very similar to the filename for the pattern for the ARoU, please just add “ADJ” after the file-type indicator:

e.g.

MLC\_REV**ADJ**\_[sender]\_v1.0\_[service(s)]\_[usage-period]\_[message-created-timestamp].tsv

***File Delivery Location:***

Please deliver your RoA files into the /incoming\_2021\_phono\_3\_adjustment/ and /incoming\_2022\_phono\_3\_adjustment/ folders onto the same SFTP as your MRoU + ARoU.

# **Section 3: For DSPs changing inputs to royalty pool calculations AND changing track/usage level information**

(e.g., adding/removing tracks or changing play counts on previously reported tracks)

***Organisation and Content of Files:***

For each file supplied during 2021 and 2022, please supply a corresponding RoA file.

So, if for example you supplied 1 file each month containing 3 different service configurations, then please supply 12 files (one for each month), each of which would contain the same 3 service configurations.

Alternatively, if you supplied 10 files each month, each of which contained a single service configuration, then you would supply 120 files.

We envisage 4 different scenarios for information at the track/usage level:

1. The RoA contains Track/usage level information that is new (i.e., was not previously reported in the most recently received corresponding MRoU or ARoU)
2. The RoA contains Track/usage level information that is to be removed in comparison to the most recently received corresponding MRoU or ARoU.
3. The RoA contains Track level information that was reported in the most recently received corresponding MRoU or ARoU, but the play count is changing.
4. The RoA contains Track/usage level information that is unchanged from the most recently received corresponding MRoU or ARoU.

The MLC will be using the unique Sales Transaction ID (called the Usage Identifier in SURF) to tie the transactions supplied in the MRoUs, ARoUs and RoA together. So, for corresponding scenarios above:

1. The Sales Transaction ID in the RoA must be new.
2. The Sales Transaction ID supplied in the RoA must match the Sales Transaction ID to be removed from the most recently received corresponding MRoU or ARoU. The number of plays must be zero.
3. The Sales Transaction ID supplied in the RoA must match the Sales Transaction ID whose play count is to be updated in the most recently received corresponding MRoU or ARoU.
4. The Sales Transaction ID supplied in the RoA must match the Sales Transaction ID in the the most recently received corresponding MRoU or ARoU.

If helpful, files may be individually compressed using gzip compression. Please do not use zip compression.

***File Format:***

For DDEX users:

Please supply DDEX DSR file(s).

For SURF users:

Please supply SURF REV + USG file(s).

***File Naming:***

Please see section 1 above.

***File Delivery Location:***

Please see section 1 above.

# **Section 4: For DSPs adding/splitting previously reported service offerings**

(e.g., breaking out service offerings such as student or family plans which had not previously been broken out)

***Organisation and Content of Files:***

For each MRoU file supplied during 2021 and 2022, please supply at least one corresponding RoA file.

We envisage 4 different scenarios for information at the track/usage level:

1. The ARoU contains Track/usage level information that is new (i.e., was not previously reported in the most recently received corresponding MRoU or ARoU)
2. The ARoU contains Track/usage level information that is to be removed in comparison to the most recently received corresponding MRoU or ARoU.
3. The ARoU contains Track/usage level information that was reported in the most recently received corresponding MRoU or ARoU with the same service offering, but the play count is changing.
4. The ARoU contains Track/usage level information that was reported in the most recently received corresponding MRoU or ARoU, but now will be reported in different service offering(s).
5. The ARoU contains Track/usage level information that is unchanged from the most recently received corresponding MRoU or ARoU.

The MLC will be using the unique Sales Transaction ID (called the Usage Identifier in SURF) to tie the transactions supplied in the MRoUs and ARoU together. So, for corresponding scenarios above:

1. The Sales Transaction ID in the RoA must be new.
2. The Sales Transaction ID supplied in the RoA must match the Sales Transaction ID to be removed from the most recently received corresponding MRoU or ARoU. The number of plays must be zero.
3. The Sales Transaction ID supplied in the RoA must match the Sales Transaction ID whose play count is to be updated in the most recently received corresponding MRoU or ARoU.
4. The Sales Transaction ID(s) supplied in the RoA must match the Sales Transaction ID in the most recently received corresponding MRoU or ARoU.
5. The Sales Transaction ID supplied in the RoA must match the Sales Transaction ID in the most recently received corresponding MRoU or ARoU.

If helpful, files may be individually compressed using gzip compression. Please do not use zip compression.

***File Format:***

For DDEX users:

Please supply DDEX DSR file(s).

For SURF users:

Please supply SURF REV + USG file(s).

***File Naming:***

Please see section 1 above.

***File Delivery Location:***

Please see section 1 above.