

Federal Communications Commission



**Fiscal Year 2011 Budget Estimates
Submitted to Congress
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INTRODUCTION

Introduction

The Federal Communications Commission (FCC or Commission) is pleased to present its fiscal year (FY) 2011 budget request. The FCC is requesting a budget of \$352,500,000 to carry out the FCC's functions and meet the expectations of Congress. As detailed in this submission, the requested budget includes funding to: (1) support the Commission's cyber-security role; (2) implement the Broadband Plan; (3) overhaul the Commission's data systems and processes; and (4) modernize and reform the FCC by ushering in 21st century communications tools and expertise. We project we will require 1980 full-time equivalents (FTEs) from all available resources to carry out our mission for the American people. In furtherance of the FCC's mission, this FY 2011 budget request will be used to support the following Strategic Goals:

Broadband – The American Recovery and Reinvestment Act of 2009, P.L. 111-5, (Recovery Act) was signed into law on February 17, 2009. The Broadband initiatives outlined in the Act are intended to accelerate broadband deployment across the United States. The Recovery Act authorizes the FCC to create the National Broadband Plan that “shall seek to ensure that all people of the United States have access to broadband capability and shall establish benchmarks for meeting that goal.” To carry out the goals of the Recovery Act, the Commission has brought on close to 54 data experts, statisticians, econometricians, economists, and other expertise that did not exist at the FCC when the President signed the Recovery Act into law. In addition to bringing on these term employees, the Commission has relied heavily on the legal, economic and policy expertise of its existing work force. The Commission must supplement the existing work force and its expertise to carry out the broadband mission well beyond the date the Plan is due to Congress. The FCC's responsibility to promote broadband access throughout the country and to provide expertise and leadership on broadband policy will continue past March 2010 and well into and beyond FY 2011. As a result, the Commission will require significant additional base resources in the form of lawyers, economists, technologists and others to carry out this core mission.

Consumers – Among the Commission's most important responsibilities is protecting and empowering consumers. As communications networks and technologies become increasingly complex and essential to Americans' everyday lives, the Commission must be a vigilant watchdog for the consumer. In FY 2011, the FCC will ensure that Commission proceedings take account of consumer interests, that consumer protection and empowerment policies apply consistently and reasonably across technologies and bureaus at the FCC, that the public is able to engage fully in FCC processes, and that the agency enhances the public's understanding of Commission work through state-of-the-art consumer information programs, seizing the opportunities of information technology. We will continue to provide consumers with current, user-friendly publications concerning their rights, responsibilities, service options, and information to make informed decisions. The FCC will also continue its vigorous enforcement of communications statutes and regulations.

Competition and Innovation – In FY 2011, the FCC will continue its important work of supporting and enhancing the Nation's economy by implementing the investment and competition-enhancing provisions of national telecommunications laws. A continuing priority will be ensuring the viability of the Universal Service Fund to ensure access for consumers in rural and high cost areas and to promote access to advanced services for schools, libraries, and healthcare service providers in rural areas. The FCC's efforts will include the licensing and authorization of several thousand communications products and services each year. By carrying out programs in this area the FCC will help ensure that innovative communications and video programming choices are available to all Americans.

Continual Improvement – To achieve the goals and programs in the FY 2011 budget, the FCC will strive to be a highly productive, adaptive, and innovative organization that maximizes the benefit to stakeholders, staff, and management from effective systems, processes, resources, and organizational culture. In June, Senator Jay Rockefeller, Chairman of the Senate Commerce Committee, stated that he wants “an FCC that is transparent, that inspires public confidence and makes our digital infrastructure a model for the world.” To fix the FCC, as directed by Chairman Rockefeller, the Commission must retool and refocus its existing resources, but it cannot be successful without expanding its in-house expertise in new media technologies.

Much has been done with limited resources in a brief period. In just 4 weeks, we launched an internal website called Reboot which provided a forum to connect employees at the FCC and allow collaboration on how to best reform the FCC and increase efficiencies; we launched the first blog at the FCC to chronicle the events of the National Broadband Taskforce and to open communication between the agency and the public around the discussion of the National Broadband Plan; and we have extended the agency’s presence to social networking platforms such as Twitter, and will soon include many more.

This is a great start, but certainly not sufficient to satisfy the mandate that we make the Commission a model of transparency for the world. There is much to be done to reform the Commission’s online operations, including the massive projects of re-engineering the fcc.gov website, modernizing the online comment filing process, and instituting electronic ex parte reform. Ushering the FCC into 21st century style communications will require extensive expansion of current Commission staff, including technologists, programmers, developers and information technology specialists, with the experience and creativity needed to develop the Commission’s web site and new media presence to be the best and most innovative in all of government, both here and abroad.

In addition, as part of the Commission’s reform agenda for FY 2011, the FCC must have access to – and base its decisions on – data that are robust, reliable and relevant. As a result, the Commission must make a serious investment in the people and technology needed to overhaul the agency’s antiquated systems and processes for data collection, processing, analysis and dissemination. The expertise required for this effort will involve bringing expertise in the form of highly specialized IT professionals, econometricians, economists, and statisticians that the Commission currently lacks. In addition to the necessary influx of experts, the Commission will need new tools to help develop technological platforms and engineer a fully accessible and searchable data management system that will be essential to increasing openness and transparency at the FCC.

Public Safety and Homeland Security – In 2006, the Commission created the Public Safety and Homeland Security Bureau (PSHSB) to strengthen the agency’s ability to perform its public safety, homeland security, national security, emergency management and preparedness, disaster management and related functions. By concentrating in PSHSB existing resources from seven other existing bureaus and offices, the Commission has been better able to handle its core public safety responsibilities in a more efficient, effective and responsive manner.

Today, the Commission must play an expanded role in the areas of public safety and homeland security. Our evolving functions range from increasing our presence in the field to strengthening our role in government and industry cyber-security preparedness. Over the past several years, we have learned we are most effective and helpful to first responders when we are able to develop close working relationships with state, tribal and local emergency response communities. Accordingly,

deploying additional personnel to the field in areas that are disaster prone will enable us to be more responsive in preparing for emergencies and be on the ground when disasters strike. In addition, to guard against increasing threats to our nation's computer networks, to provide new and modified cyber-security best practices, and to increase our ability to protect our nation's cyber network, the Commission will require the addition of new expertise to our work force.

In addition, to support this goal the Commission is proposing adding resources to its base to put in place a permanent lifecycle replacement of its fleet of Mobile Digital Direction Finding (MDDF) vehicles that support public safety entities, such as local emergency responders, in the resolution of harmful interference to their communications systems.

International – The FCC is committed to greater international engagement and cooperation in an interconnected world. During FY 2011, final preparations will take place for the 2012 World Radiocommunication Conference (WRC-12). Preliminary views and proposals will be drafted and discussed within informal working groups and between the FCC, State Department, and the National Telecommunications and Information Administration. These negotiations will lead to recommendations that become part of U.S. positions and draft proposals and form the basis for discussions at bilateral, regional, and international meetings in preparation for WRC-12. In addition to WRC-12 preparations and discussions, the FCC will continue to strongly advocate for U.S. spectrum interests internationally, particularly in cross-border coordination efforts between the U.S. and Canada and the U.S. and Mexico to protect American communications licensees and consumers against interference.

Consistent with its recent budget submissions, the FCC is submitting its FY 2011 budget request information at the organizational level to show the proposed use of resources. In addition, the FCC's budget request also shows the proposed use of funds by key accounts within each bureau or office. This format provides a detailed view of the FCC's proposed use of budgetary resources. We welcome the budgetary process and stand ready to provide Congress with the information to ensure effective oversight of the FCC.

FY 2011 REQUEST

SUMMARY OF REQUEST

The Federal Communications Commission ("FCC") is requesting an FY 2011 appropriation of \$352,500,000. We project the FCC will employ 1980 full-time equivalents (FTEs) in FY 2011 from requested resources.

The FCC will use the FY 2011 funds to carry out its fundamental mission to ensure that the American people have available - at reasonable costs and without discrimination - rapid, efficient, Nation - and world-wide communications services whether by radio, television, wire, satellite, or cable.

	FY 2010 Enacted		FY 2011 Request		Requested Changes	
	FTE	\$ B/A	FTE	\$ B/A	FTE	\$ B/A
Direct Funding		0		1,000		
Total Direct Appropriation		0		1,000		\$1,000
Budget Authority to use						
Offsetting Collections:		335,794		351,500		
1) Total Regulatory Fees		335,794		351,500		\$15,706
Subtotal Discretionary B/A	Projected to Fund:		Projected to Fund:			
	1,886	\$335,794	1,961	\$352,500	75	\$16,706
Authority to spend						
Other Offsetting Collections:						
2) Economy Act/Misc. Other Reimbursables		2,500		2,500		
3) Auction Cost Recovery Reimbursements		85,000		85,000		
Total Gross Proposed Budget Authority		\$423,294		\$440,000		
Other Budget Authority						
Credit Program Account		5,499		3,787		
Universal Service Fund (USF)	19	0 ^{1/}	19	0 ^{1/}	0	
Grand Total Proposed Budget Authority	1,905	\$428,793	1,980	\$443,787	75	

^{1/} The Consolidated Appropriations Act, 2008 (P.L. 110-161) language authorizes use of \$21.48M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 and FY 2009, \$4.8M was obligated. The remainder \$16.7M has been carried forward, \$5.2M is estimated to be used in FY 2010, \$5.4M is estimated to be used in FY 2011, and \$6.1M will be used for future fiscal years.

FY 2011 PROPOSED APPROPRIATION LANGUAGE

FEDERAL COMMUNICATIONS COMMISSION

SALARIES AND EXPENSES

For necessary expenses of the Federal Communications Commission, as authorized by law, including uniforms and allowances therefore, as authorized by 5 U.S.C. 5901-5902; not to exceed \$4,000 for official reception and representation expenses; purchase and hire of motor vehicles; special counsel fees; and services as authorized by 5 U.S.C. 3109, **\$352,500,00**: *Provided*, That, offsetting collections shall be assessed and collected pursuant to section 9 of title I of the Communications Act of 1934, of which **\$351,500,000** shall be retained and used for necessary expenses in this appropriation, and shall remain available until expended: *Provided further*, That the sum herein appropriated shall be reduced as such offsetting collections are received during fiscal year **2011** so as to result in a final fiscal year **2011** appropriation of **\$1,000,000**: *Provided further*, That any offsetting collections received in excess of **\$351,500,000** in fiscal year **2011** shall not be available for obligation: *Provided further*, That remaining offsetting collections from prior years collected in excess of the amount specified for collection in each such year and otherwise becoming available on October 1, **2010**, shall not be available for obligation: *Provided further*, That notwithstanding 47 U.S.C. 309(j)(8)(B), proceeds from the use of a competitive bidding system that may be retained and made available for obligation shall not exceed \$85,000,000 for fiscal year **2011**.

Legislative Proposals

The Administration is proposing legislative changes in the President's FY 2011 Budget that pertain to the FCC and that are designed to improve spectrum management and represent sound economic policy. The proposed legislative changes are included below.

Spectrum Auction Authority

The Administration proposes to extend indefinitely the authority of the FCC to auction spectrum licenses, which will expire on September 30, 2012. The additional offsetting receipts associated with this permanent extension are estimated to total \$1.6 billion through 2020.

This proposal supports the Administration's efforts to foster new wireless broadband technologies by making new spectrum available. Specifically, the National Telecommunications and Information Administration of the Department of Commerce will collaborate with the FCC to develop a plan to make available significant spectrum suitable for both mobile and fixed wireless broadband use over the next ten years. The plan will focus on making spectrum available for exclusive use by commercial broadband providers or technologies, or for dynamic, shared access by commercial and government users, on either a licensed or unlicensed basis.

Domestic Satellite Service Spectrum License Auctions

The Administration proposes to ensure that spectrum licenses for predominantly domestic satellite services are assigned efficiently and effectively through competitive bidding. Services such as Direct Broadcast Satellite and Satellite Digital Audio Radio Services were assigned by auction prior to a 2005 court decision that called this practice into question on technical grounds. The Administration proposes to authorize through legislation auctions of licenses for these and similar domestic satellite services. Auction receipts associated with this clarification are estimated at \$200 million through 2020.

Spectrum Licensing User Fee

To promote efficient use of the electromagnetic spectrum, the Administration proposes to provide the FCC with new authority to use other economic mechanisms, such as fees, as a spectrum management tool. The Commission would be authorized to set user fees on unauctioned spectrum licenses based on spectrum-management principles. Fees would be phased in over time as part of an ongoing rulemaking process to determine the appropriate application and level for fees. Fee collections are estimated to begin in 2010, and total \$4.8 billion through 2020.

SUMMARY OF FY 2009 - FY 2011 FULL-TIME EQUIVALENTS (FTE'S) AND FUNDING

(Dollars in Thousands (\$000))	FY 09		FY 10		FY 11	
	FTE's	Appropriation Actual	FTE's	Appropriation Enacted	FTE's	Appropriation Request
Chairman and Commissioners.....	23	\$4,102	32	\$5,969	30	\$6,255
Consumer & Governmental Affairs Bureau	193	24,710	202	25,018	200	26,363
Enforcement Bureau	301	46,366	312	46,941	313	49,305
International Bureau.....	124	20,043	132	20,285	128	21,273
Media Bureau	218	29,857	229	30,243	225	31,880
Public Safety & Homeland Security Bureau	110	17,128	111	16,427	145	20,562
Wireless Telecommunications Bureau	215	14,090	229	14,228	237	16,268
Wireline Competition Bureau	148	25,169	165	23,961	159	26,465
Office of Administrative Law Judges	3	513	4	460	3	484
Office of Commun. Business Opportunities	14	1,404	11	1,449	13	1,520
Office of Engineering & Technology.....	84	12,772	90	12,904	96	14,326
Office of the General Counsel	73	13,004	77	13,141	82	14,636
Office of Inspector General	42	6,185	42	5,828	42	6,345
Office of Legislative Affairs	10	1,341	11	1,389	10	1,456
Office of the Managing Director.....	209	118,242	220	110,566	229	102,591
Office of Media Relations	15	2,247	16	2,230	18	2,334
Office of Strategic Planning & Policy Analysis....	23	3,895	18	4,213	45	9,728
Office of Workplace Diversity	4	527	4	543	5	710
FCC TOTAL	1,810	\$341,595	1,905	\$335,794	1,980	\$352,500

Note: The Office of Inspector General includes 19 limited term FTEs in FY 2009 Actual, FY 2010 Enacted, and the FY 2011 Congressional Requested Budget for USF audit oversight.

FY 2009 - FY 2010 Full-Time Equivalent (FTE) Distribution by Goal

	Broadband		Competition		Spectrum		Media		Public Safety/ Homeland Sec		Modernize		Total	
	09	10	09	10	09	10	09	10	09	10	09	10	09	10
Commissioners	1	3	6	9	7	10	5	6	2	2	1	2	23	32
Bureaus														
Consumer & Governmental Affairs	6	5	103	107	2	3	61	67	3	5	17	16	193	202
Enforcement	1	1	85	89	63	60	104	119	34	26	15	15	301	312
International	15	17	37	40	57	60	6	6	4	5	4	4	124	132
Media	3	2	21	24	98	102	83	88	3	3	11	12	218	229
Public Safety & Homeland Security	2	2	4	5	22	24	4	4	76	75	2	2	110	111
Wireless Telecomm.	40	38	19	23	107	115	14	16	2	2	34	36	215	229
Wireline Competition	21	19	109	124	2	3	7	8	1	1	8	9	148	165
Subtotal Bureaus	89	84	378	412	350	367	277	308	124	117	91	94	1,309	1,380
Offices														
Admin. Law Judges	0	0	0	0	3	4	0	0	0	0	0	0	3	4
Comm. Business Ops.	0	0	4	4	2	0	7	6	0	0	1	1	14	11
Engineering and Tech.	3	3	0	0	69	75	7	7	1	1	4	3	84	90
General Counsel	10	9	23	25	13	16	18	17	5	4	5	5	73	77
Inspector General	9	8	17	18	0	3	1	1	0	0	15	11	42	42
Legislative Affairs	3	2	2	2	1	1	3	2	0	0	2	4	10	11
Managing Director	12	9	29	33	43	46	46	48	10	9	70	75	209	220
Media Relations	1	0	2	2	2	2	3	3	1	1	7	7	15	16
Strategic Planning/ Policy Analysis	10	4	2	1	2	2	6	7	1	1	3	3	23	18
Workplace Diversity	0	0	0	0	0	0	0	0	0	0	4	4	4	4
Subtotal Offices	48	35	79	85	135	149	90	91	17	16	109	113	478	493
Totals	137	122	463	506	493	526	372	405	142	135	202	209	1,810	1,905

Note: The Office of Inspector General includes 19 limited term FTEs in FY 2009 Actual, and the FY 2010 Enacted for USF audit oversight.

FY 2011 Full-Time Equivalent (FTE) Distribution by Goal

	Broadband	Consumers	Competition & Innovation	Continual Improvement	Public Safety & Homeland Sec	International	Total
Commissioners	9	5	7	5	3	1	30
Bureaus							
Consumer & Governmental Affairs	8	64	89	28	7	4	200
Enforcement	51	49	116	26	59	12	313
International	23	5	32	8	6	54	128
Media	75	31	87	20	7	5	225
Public Safety & Homeland Security	17	4	9	5	107	3	145
Wireless Telecomm.	124	10	41	43	10	9	237
Wireline Competition	27	23	94	10	2	3	159
Subtotal Bureaus	325	186	468	140	198	90	1,407
Offices							
Admin. Law Judges	2	0	1	0	0	0	3
Comm. Business Ops.	1	3	7	1	0	1	13
Engineering and Tech.	55	6	17	6	5	7	96
General Counsel	23	9	32	7	7	4	82
Inspector General	5	1	21	13	1	1	42
Legislative Affairs	3	1	3	3	0	0	10
Managing Director	41	18	50	102	10	8	229
Media Relations	3	1	3	8	1	2	18
Strategic Planning/ Policy Analysis	26	2	6	6	2	3	45
Workplace Diversity	0	0	0	5	0	0	5
Subtotal Offices	159	41	140	151	26	26	543
Totals	493	232	615	296	227	117	1,980

Note: The Office of Inspector General includes 19 limited term FTEs in the FY 2011 Congressional Requested Budget for USF audit oversight.

SUMMARY OF CHANGES

(\$ in thousands)

	FY 2010 Enacted	FY 2011 Request	Net Change From FY 10 Cong. Request
Direct BA	\$0	\$1,000	\$1,000
Offsetting Collections	<u>\$335,794</u>	<u>\$351,500</u>	<u>\$15,706</u>
Spending Authority	\$335,794	\$352,500	\$16,706
Full-time Equivalents ^{1/}	1,905	1,980	75

Explanation of Changes

	Amount
One-time Decreases to FY 2010 Base Request	(\$17,900)
Inflationary Increases to Base:	
Annualization FY 2010 Pay Raise (2.4%)	\$1,476
FY 2011 Pay Raise (2.1%)	\$3,866
Non Salary Increases	<u>\$1,651</u>
Subtotal	\$6,994
Increases to Base:	
Staffing Adjustment (75 FTEs)	\$11,066
Locality Pay Adjustment	\$6,427
Staffing Adjustment (FY 2010 Initiative)	\$1,000
Public Safety Support Vehicles (FY 2010 Initiative)	<u>\$900</u>
Subtotal	\$19,392
Programmatic Increases:	
Centralized Data Center	\$2,880
Consolidated Commission Licensing System	\$1,440
Spectrum Inventory and Broadband Mapping Data	\$2,400
Emergency Response Interoperability Center (ERIC)	<u>\$1,500</u>
Subtotal	\$8,220
Total Change to Offsetting Collections:	\$16,706

^{1/} The FY 2010 Congressional Enacted Budget and FY 2011 Congressional Requested Budget includes 19 limited term FTEs, which represents USF audit oversight for the Office of Inspector General.

Narrative Explanation of Increases

Inflationary Increases to Base

\$6,993,527

1. Personnel Compensation and Benefits. The requested \$5.2M provides funds to cover the cost of the FY 2011 pay raise (2.1%) for 75% of the fiscal year, as well as funds to annualize 25% of the FY 2010 pay raise (2.42%) and pay increases as well as health benefit increases. Included in this \$5.2M is \$364.3K to cover the cost of the pay raise associated with the additional 75 FTEs discussed below under the Staffing Adjustment header.
2. Non-salary increases. The requested \$1.7M provides inflationary increases for space rentals (GSA and non-GSA facilities), phones, utilities, printing and reproduction services, contractual services, and supplies. These increases are developed in accordance with OMB guidelines for projected inflationary costs (2.1%).

Inflationary increases would provide current services level to recruit staff to continue the Commission's ability to provide baseline capabilities crucial to carrying out its mission.

Other Increases to Base

\$19,392,473

1. Staffing Adjustment. This one time base increase of \$11.1M would allow the Commission to replenish its ranks, bringing on an additional 75 FTEs with the needed skills to: support the cyber-security role the Commission is to undertake; implement fully the broadband responsibilities placed on this agency well after the broadband report is delivered to Congress; overhaul the Commission's data systems and processes; create a new way of working with the public and consumers; revitalize our position and influence internationally; and enable the Commission to lead the entire U.S. Government in the use of new media technologies that will ensure broad based public participation and transparency into our deliberations.
2. Locality Pay Adjustment. An additional \$6.4M has been added to the base to reflect the increased expenses for compensation and benefits arising from the annual pay raise increases. Each year the Commission has absorbed these increases by keeping the level of FTEs low, leaving the agency woefully understaffed in 2010. The requested increase of \$6.4M would provide the Commission with the ability to recover some of the compensation and benefit funding lost as a result of prior years' funding of annual pay raise calculations that vary from the President's proposed pay raise amounts. This amount will afford the Commission the opportunity to improve staffing and replace the core professional expertise the agency has lost due to retirements and other separations.
3. Continuation of FTEs from 2010. The Commission has requested \$1M to fulfill additional staffing needs. Over recent years, the Commission has lost a broad range of professional expertise due to retirements and other separations. As a result, the Commission plans to utilize these funds, which would enable us to begin filling 7 FTEs, to begin filling some of these essential positions. Our goal is to recruit and retain a highly skilled and results-oriented workforce such as economists and engineers, as well as legal, policy and professional staff. With the right mix of technical expertise, professional experience, and leadership capabilities, the Commission will be able to better ensure more fact-based and transparent decision making.

4. Public Safety Support Vehicle Lifecycle Replacement Program. Funding of \$900K would allow the Commission to incorporate certain annual and predictable items into the base and remove them from the Commission's initiative list. For example, this amount includes \$900K for Public Safety Vehicles. Each year, as part of the life cycle replacement effort, the Commission replaces a number of its Public Safety Vehicles. The base should be increased to reflect these core costs that are essential to supporting our ongoing public safety responsibilities.

Programmatic Increases to Base

\$8,220,000

1. Commission-wide Information Technology Initiatives: **\$4,320,000**

- *Centralized Data Center (\$2.880M)*: This initiative continues the work begun in FY 2010 to build a new, centralized data center combining the Gettysburg and District of Columbia facilities into a combined, state of the art data center. As more records go digital, efforts should be focused on reducing the size of the reference room and increasing and consolidating the data center.
- *Consolidate Commission Licensing Systems (\$1.440M)*: The IT staff has been working since 2009 to consolidate the Commission's licensing systems into one business unit. This effort will continue to improve the licensing transactions processing and reduce the costs of maintaining the more than half a dozen independent licensing systems, many of which are outdated. The overwhelming majority of these systems will be over ten years old. The Commission would like to continue to retire the older framework of these systems, and move to a more efficient, cost effective, and consolidated approach.

2. Spectrum Inventory and Broadband Mapping Data: **\$2,400,000**

- *Spectrum Inventory*: The spectrum inventory initiative is designed to enable user-friendly access to information regarding spectrum bands and licenses, including those that may be suitable for wireless broadband deployment. The FCC's spectrum inventory activities will focus on providing general information about commercial and non-commercial use of spectrum bands, by users other than federal users, in the mobile range of 225 MHz to 3.7 GHz, as well as more detailed information about bands of particular relevance to broadband. The public will be able to easily browse spectrum bands, search for spectrum licenses, produce maps, and download raw data for further analysis. Through a single FCC portal, users will be able to access basic information on licenses (e.g., licensee name, contact information, frequency bands) as well as descriptions of frequency bands and allocations. Further, the spectrum inventory will include the capability to search for licenses based on commonly recognizable names of companies (e.g. AT&T, Verizon, etc.), and the amount of spectrum held by licensees on a county-by-county basis for many types of licenses. The initiative contemplates continuing improvement and augmentation of the spectrum inventory over time with inclusion of more comprehensive data. The spectrum inventory is intended to assist in ongoing spectrum policy planning and decision-making, promote a robust secondary market in spectrum, and improve communications services in all areas of the United States, including rural and underserved areas as well as tribal lands.

- *Broadband Mapping Data:* Pursuant to a Congressional mandate to publish a National Broadband Plan, the FCC purchased, using primarily Recovery Act funds, annual licenses for private sector data sets to help the FCC understand the current state of broadband deployment and utilization in the United States. These data sets included information about the availability of wireless broadband access, tower locations, consumer usage of broadband, and other telecommunications infrastructure data. The Broadband Plan team analyzed this data as part of the Plan and is making policy recommendations partly based upon this data. The FCC needs to renew these annual licenses in order to rely on refreshed data in future rule makings following Broadband Plan recommendations. Additionally, the National Broadband Map endeavors to utilize telecommunications infrastructure data purchased under the Plan to supplement and confirm data collected by state grantees under the NTIA mapping grant program. FCC and NTIA will continue to work together to provide accurate, robust, and timely broadband data.

3. **Emergency Response Interoperability Center: \$1,500,000**

The long term mission of the Emergency Response Interoperability Center (ERIC) will be to ensure the operability and interoperability of public safety wireless broadband communications capabilities. The funding provided will be to establish ERIC so that it is operational in advance of the deployment of the public safety broadband wireless capabilities. One function of ERIC will be to establish an advisory function for members of the public safety community and other federal government agencies, including [FCC], DHS and NTIA[, and will work in close coordination with the Department of Homeland Security's Cyber Security and Communications Directorate]. The long term goal of ERIC is to establish a public safety broadband interoperability communications profile including interoperability standards, authentication, encryption, roaming, priority access, application uses and interconnectivity which will be used to set baseline requirements for public safety users. In addition, public safety broadband capabilities are deployed, ERIC will resolve interoperability-related disputes between public safety entities, work with third parties (e.g., federal government, state and localities, tribal nations) on broadband infrastructure sharing, and maintain relevant databases, among other things. This important initiative will help to remedy historic barriers to public safety communications interoperability, and is a key element of next-generation public safety communications capabilities.

Office of Inspector General

The Office of Inspector General initial FY-2011 budget request included \$6.3M for its base budget plus an additional \$1.5M for an initiative. The FY-2011 Congressional Requested Budget includes the requested amount for the OIG base budget but not the additional \$1.5M for an initiative. The FY-2011 Congressional Requested budget also includes \$77.3K for OIG training and \$22.1K to support the interagency IG Council. In addition to these funds, the OIG has \$16.7M of USF funds available for USF audit support.

PERFORMANCE PLAN

FCC PERFORMANCE PLAN

OVERVIEW: FCC STRATEGIC GOALS - 2011 THROUGH 2015

As specified in section one of the Communications Act of 1934, as amended, the FCC's mission is to "make available, so far as possible, to all the people of the United States, without discrimination on the basis of race, color, religion, national origin, or sex, rapid, efficient, Nation-wide, and world-wide wire and radio communication service with adequate facilities at reasonable charges."¹ In addition, section one provides that the Commission was created "for the purpose of the national defense" and "for the purpose of promoting safety of life and property through the use of wire and radio communications."² The FCC is undertaking the process of revising its Strategic Plan. The strategic goals and performance goals shown below reflect those revisions.

BROADBAND

Broadband is the major communications infrastructure priority of our time. Through our policies, rulemaking activities, citizen outreach, and education initiatives, we will seek to ensure that all Americans have access to reliable and affordable high-speed fixed and mobile broadband capability.

CONSUMERS

Among the Commission's most important responsibilities is protecting and empowering consumers. Regulatory policies must take account of consumer interests; consumer protection and empowerment policies must apply consistently and reasonably across technologies; and information provided to consumers must be timely, accurate, and available on a variety of platforms.

COMPETITION AND INNOVATION

Competition in the provision of communications services, both domestically and overseas, supports the Nation's economy. The Commission should promote a healthy competitive dynamic for communications services that fosters research and innovation and presents consumers with reliable, meaningful choice in affordable services.

CONTINUAL IMPROVEMENT

The FCC is striving to become a model for excellence in government. We will be data-driven in our decision making and are committed to transparent and participatory processes that encourage public involvement and feedback. We will maintain an organizational culture that promotes innovation and accountability.

PUBLIC SAFETY AND HOMELAND SECURITY

Communications during emergencies and crises are essential lifelines for public safety, health, defense, and emergency personnel, as well as all consumers in need. The Nation's critical communications infrastructure must be reliable, interoperable, redundant, supportive of all needed services, and rapidly restorable.

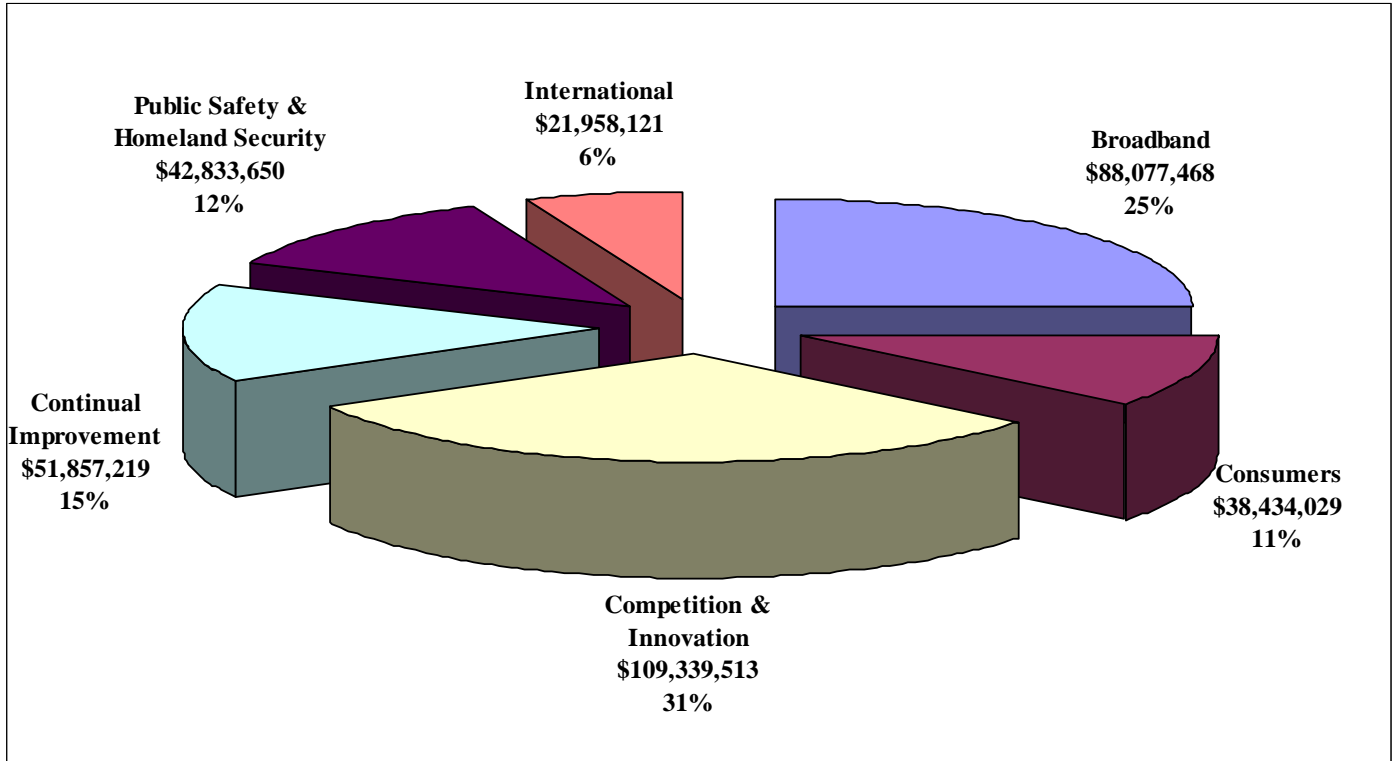
INTERNATIONAL

We are committed to greater international engagement and cooperation in an interconnected world. The FCC will promote sound telecommunications policies globally and will strongly represent U.S. interests internationally.

¹ 47 U.S.C. § 151.

² *Id.*

Budget Request by Strategic Goals
\$352,500,000



WHAT THE FCC COMMITS TO ACCOMPLISH IN FY 2011

In carrying out its strategic goals, the FCC has identified the following outcomes it will strive to accomplish in FY 2011. Each outcome is stated as a performance goal and each of the 24 outcome-focused performance goals has associated performance targets.

When reviewing the information on the following pages, the reader should note that the FCC, through its regulatory activities, influences numerous economic and social outcomes. However, since consumer choice, technological innovation, economic conditions, and international negotiations can all have an effect on outcomes, the FCC's approach to connecting its strategic goals to its performance measures includes only those factors within the FCC's control.

BROADBAND

Performance Commitments and Metrics

Outcome-oriented Performance Goal 1: Enact recommendations in the National Broadband Plan to broaden the deployment and adoption of broadband technologies to all Americans.

Targets with Subordinate Measures:

- (1) Support and facilitate the development and deployment of broadband services across multiple platforms, implementing the recommendations in the National Broadband Plan.
 - Seek to ensure that all people of the United States have access to broadband capability, through a variety of technologies, establishing and meeting benchmarks for attaining that goal.
 - Provide the support required under American Recovery and Reinvestment Act of 2009 in the development and execution of the Recovery Act's broadband initiatives, with the goal of providing improved access to wireline and wireless broadband service in unserved and underserved areas of the country.
 - Expeditiously issue spectrum licenses to auction winners, promoting the expanded deployment of broadband services.
- (2) Work in partnership with state, local, and tribal governments, consumer groups and industry to promote broadband availability to all Americans, including consumers in rural and high cost areas and individuals with disabilities.
 - In coordination with government, consumer and industry groups, conduct outreach activities to educate the public concerning the Commission's broadband initiatives, including those promoting universal service.
- (3) Measure and report on metrics that assess the success of the National Broadband Plan and provide data for evaluating implementation decisions.
 - Assess the availability and adoption of broadband services by consumers, businesses and other entities.
 - Assess actual speeds and performance of broadband networks and make the data publicly available to facilitate informed competitive service choices.

Outcome-oriented Performance Goal 2: Ensure the nation's broadband infrastructure advances national purposes (e.g. job creation, public safety, consumer benefits, energy efficiency, availability of health services, etc.).

Target with a Subordinate Measure:

- (1) Implement recommendations of the National Broadband Plan that support the advancement of national purposes described in the Plan.
 - Adopt Commission rules and policies that promote broadband expansion and innovative uses of broadband in addressing critical national priorities.

- Create appropriate output and outcome metrics to measure the advancement of national purposes.

Outcome-oriented Performance Goal 3: Ensure harmonized regulatory treatment of competing broadband services, to the extent consistent with the underlying technologies.

Targets with Subordinate Measures:

- (1) Support and encourage policies and regulations to ensure harmonized regulatory treatment among broadband technologies, platforms and service providers.
 - Review and revise, as necessary, the Commission’s licensing and technical rules and establish policies that promote similar regulatory treatment for competitive services regardless of platform or provider.
- (2) Support and address regulatory requirements that affect broadband service providers.
 - Review and revise, as necessary, the Commission’s rules and policies to ensure that broadband service providers comply with regulatory requirements benefiting public safety and law enforcement entities as well as consumers.

Outcome-oriented Performance Goal 4: Encourage and facilitate an environment that stimulates investment and innovation in broadband technologies and services.

Targets with Subordinate Measures:

- (1) Employ appropriate strategies to encourage new entrants and technology providers to participate in broadband markets.
 - Initiate or adopt rulemaking actions that provide opportunities for innovations and new options in broadband services.
- (2) Encourage research in areas that will advance the communications competitiveness of the United States.
 - Identify research areas that would benefit the communications competitiveness of the United States and suggest mechanisms in which research within these areas may best be supported.
- (3) Vigorously enforce and defend against legal challenges to policies and regulations that promote the deployment and adoption of all broadband technologies.
 - Promote the availability of broadband to all Americans by addressing 100% of consumer inquiries and complaints received regarding broadband availability.
- (4) Maintain efficient licensing and facilities siting processes to encourage and facilitate rapid deployment of broadband infrastructure.
 - Process 90% of routine license applications for wireless broadband services within 90 days of receipt.
 - Resolve, through rulemaking, addressing petitions for reconsideration, environmental analyses, or other means, communications tower and antenna siting issues.

Means and Strategies for Accomplishing Performance

BROADBAND		
Processes	Skills	Technology
<ul style="list-style-type: none"> ▪ Implementation of National Broadband Plan ▪ Rulemaking ▪ Enforcing the Communications Act and the Commission’s rules. ▪ Industry analysis ▪ Data collection ▪ Technology analysis ▪ Licensing 	<ul style="list-style-type: none"> ▪ Understanding of relevant law ▪ Ability to analyze competition in broadband markets ▪ Forecasting likely scenarios for convergence of varied technologies ▪ Assessing technical feasibility of emerging technologies ▪ Understanding of current technologies and their respective markets 	<ul style="list-style-type: none"> ▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS) ▪ Consolidated Licensing System (CLS) ▪ Consumer Complaints Management System (CCMS) ▪ Consumer Information Management System (CIMS) ▪ Electronic Document Management System (EDOCS) ▪ Electronic Comment Filing System (ECFS) ▪ Fee Filer ▪ Desktop/Network Document Development and Data Access Tools ▪ Form 477 Data Collection System ▪ Tower Construction Notification System ▪ E-106 System ▪ OFACS (coordination database) ▪ KDB (OET Knowledge Data Base)

CONSUMERS

Performance Commitments and Metrics

Outcome-oriented Performance Goal 5: Promote pro-consumer policies.

Target with Subordinate Measures:

- (1) Ensure that consumer interests are considered in all Commission policy and rulemaking activities.
 - Through the FCC's Consumer Task Force, foster collaborative efforts across all FCC bureaus and offices so that Commission proceedings take account of consumer interests.
 - Utilize state-of-the-art consumer information programs to enhance the public's understanding of the Commission's work and to enable the public to engage fully in the FCC's processes.

Outcome-oriented Performance Goal 6: Enforce the Commission's rules for the benefit of consumers.

Targets with Subordinate Measures:

- (2) Enforce and defend against legal challenges to the Commission's policies that promote the competitive provisions of the Communications Act of 1934, as amended, and the Commission's rules.
 - Ensure that consumers realize the benefits of competition by resolving 90% of formal complaints within one year.
 - Promote competition in the communications industry by addressing 100% of all complaints filed with the Commission alleging violations of the competition provisions of the Act and the Commission's rules, and take enforcement action where appropriate within 15 months.
- (3) Ensure, through litigation where necessary, that consumers are protected from anticompetitive practices.
 - Maximize compliance with the Commission's Customer Proprietary Network Information (CPNI) rules by reviewing 100% of annual CPNI Compliance Filings and taking appropriate enforcement action against 100% of those carriers' filings identified as non-compliant with the Communications Act or the Commission's rules. Resolve all such investigations within 15 months.
 - Deter business practices that are in violation of the Telephone Consumer Protection Act through rigorous enforcement of the Commission's rules addressing Do-Not-Call telephone solicitation requirements and restrictions on the use of pre-recorded advertising messages, as well as provisions governing telemarketing and the use of calling equipment. Improve consumer outreach and provide quick responses to consumer complaints.
 - Deter violations of the Commission's regulations by investigating and resolving at least 90% of formal complaints within one year and 90% of all other investigations and complaints within 15 months.
- (4) Share information about the Commission's enforcement investigations, policies, and practices with state and federal regulatory agencies and law enforcement agencies and encourage cooperation, when appropriate.
 - Provide information concerning policies and practices to multiple state and federal regulatory agencies.

Outcome-oriented Performance Goal 7: Work to inform American consumers about their rights and responsibilities in the competitive communications marketplace.

Targets with Subordinate Measures:

- (1) Engage consumers through outreach and education initiatives to facilitate informed choice in the competitive telecommunications marketplace.
 - Continue to promote media coverage, consumer advocacy group and business community awareness of legal requirements, penalties, and agency enforcement action associated with violations of the TCPA and Commission's consumer protection rules to increase business and consumer awareness of the consequences of such violations.

- Respond to 100% of consumer complaints concerning TCPA violations within 20 days of receipt by informing the consumer that sufficient information has been provided to warrant an enforcement referral or that the complaint cannot be referred for enforcement (and the reasons why).
 - Respond to 100% of non-TCPA consumer complaints and inquiries within 30 days.
 - Continue to promote media coverage, consumer advocacy group, and business community awareness of FCC’s accessibility rules and forfeitures associated with violations of these rules to increase business and consumer awareness of the rights of consumers and need to ensure that persons with disabilities have access to communications products and services, and video programming.
 - Provide outreach and other initiatives that will assist parents in determining how their children can best be served by communications technologies.
- (2) Evaluate and report on consumer complaints regarding communications services.
- Make information publicly available about the top subject areas for consumer inquiries and complaints filed with the Commission (including the number and type of consumer complaints).
- (3) Promote an environment in which consumers have a positive, efficient and effective experience with the Commission's call centers and website.
- Review call center and website trends and make enhancements and improvements, as necessary, to increase consumer awareness of the rights of consumers in the competitive communications marketplace.

Outcome-oriented Performance Goal 8: Ensure that consumer protection and empowerment policies apply consistently and reasonably across technologies.

Target with Subordinate Measure:

- (1) Support and encourage policies and regulations to ensure that consumers receive consistent treatment and protections across technologies and platforms, and across FCC bureaus and offices.
- Review and revise, as necessary, the Commission’s enforcement and consumer protection rules and establish policies that promote similar policies regardless of platform or provider.

Means and Strategies for Accomplishing Performance

CONSUMERS		
Processes	Skills	Technology
<ul style="list-style-type: none"> ▪ Rulemaking ▪ Enforcing the Communications Act and the Commission’s rules. ▪ Industry and consumer analysis ▪ Consumer protection ▪ Interactions with state and international regulators 	<ul style="list-style-type: none"> ▪ Understanding of various communications marketplaces ▪ Ability to analyze economic impact of industry behavior on consumers ▪ Consumer and public education and interaction skills ▪ Auditing, investigating and enforcing ▪ Forecasting changing needs of and expectations toward underserved groups 	<ul style="list-style-type: none"> ▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS) ▪ Consumer Complaints Management System (CCMS) ▪ Consumer Information Management System (CIMS) ▪ Electronic Tariff Filing System (ETFS) ▪ Electronic Document Management System (EDOCS) ▪ Electronic Comment Filing System (ECFS) ▪ Fee Filer ▪ Desktop/Network Document Development and Data Access Tools ▪ KDB (OET Knowledge Data Base)

COMPETITION AND INNOVATION

Performance Commitments and Metrics

Outcome-oriented Performance Goal 9: Develop media rules and policies that achieve statutory policy objectives in light of significant changes to traditional media services.

Target with Subordinate Measures:

- (1) Support the development of and defend against legal challenge to media rules and policies that comply with judicial directives and statutory requirements.
 - Develop Commission rulemaking items to promulgate policies for the effective provision of broadcast television and radio as well as cable and satellite television.
 - Promote competition, diversity and localism in Commission rulemaking items concerning media ownership and the distribution of video programming.

Outcome-oriented Performance Goal 10: Enforce compliance with media rules.

Targets with Subordinate Measures:

- (1) Timely resolve and defend against legal challenge to adjudicatory proceedings involving cable television, broadcast television and radio, and satellite services.
 - Deter violations of sponsorship requirements and payola violations by investigating and resolving 90% of all new complaints alleging violations of the sponsorship identification or payola provisions within 15 months.
 - Improve data collection and trend analysis by reviewing statistics on a quarterly basis to assess trends in compliance with media rules and identify areas requiring further action.
- (2) Ensure that broadcasters and cable operators comply with requirements of the Children's Television Act and the Commission's rules regarding children's educational television.
 - Ensure compliance with core programming guidelines and commercial time limitations by investigating and resolving 90% of complaints alleging violations within 15 months.
- (3) Participate in international organizations such as ITU, CITEL, APEC and OECD to establish pro-competitive regulatory frameworks for the advancement and deployment of new media technologies.
 - Participate in meetings held by these organizations, representing the U.S. position in negotiations concerning technical standards, pro-competitive policies and development of Mutual Recognition Agreements.
 - Engage in discussions with Mexico and Canada as required concerning cross-border issues.
 - Perform all necessary technical analysis and international negotiations to ensure that all DTV stations are properly coordinated with Canada and Mexico in the border zones to facilitate the maximization of DTV service to the U.S. consumer.

Outcome-oriented Performance Goal 11: Promote access to telecommunications services for all Americans.

Targets with Subordinate Measures:

- (1) Adopt, enforce and defend against legal challenge to policies and rules that enhance access to communications services for persons with disabilities.
 - Ensure continued viability of telecommunications relay services (TRS) for persons with disabilities by addressing 100% of the allegations and complaints referred to the Enforcement Bureau and taking enforcement action where appropriate in cases of non-compliance.
 - Increase access to communications services for persons with disabilities by addressing 100% of the allegations or complaints of misuse of services reimbursed through the TRS Fund.
- (2) Promote and advance universal service by increasing the number of USF enforcement actions.
 - Promote and advance universal service by reviewing 100% of referrals from the Commission's Office of Inspector General and taking enforcement action where appropriate in cases of non-compliance within 15 months.

- Report at least annually on USF enforcement actions.

Outcome-oriented Performance Goal 12: Ensure that American consumers can choose among multiple reliable and affordable communications services.

Targets with Subordinate Measures:

- (1) Promote competitive choices for wireless, satellite, and wireline voice and data service providers, for domestic and international services and for multichannel video programming.
 - Maximize compliance with the Commission’s rules governing the North American Numbering Plan Administration (NANPA) and Local Number Portability (LNP) Administration.
 - Promote competitive choices by adopting policies that lower relative prices for domestic and international wireline and wireless services.
 - Develop Commission policies and adopt items that promulgate policies designed to increase consumer’s competitive choices for broadband, telephone, and multichannel video programming equipment and services.
 - Review all carrier tariff filings for compliance with Commission rules and statutory requirements.
- (2) Evaluate and report on the competitive environment for communications services.
 - Develop and publish reports, by deadlines established in legislation or Commission policy, that provide information concerning competition in the telecommunications, broadcast, cable, commercial wireless, and satellite industries.

Outcome-oriented Performance Goal 13: Ensure that the Nation’s spectrum is used efficiently and effectively.

Targets with Subordinate Measures:

- (1) Facilitate the deployment of new or existing services and devices that use spectrum efficiently and effectively now and for the future.
 - Review and revise, as necessary, the Commission’s spectrum allocation, auctions, licensing and technical rules and establish policies that promote the development of new technologies and the provision of new or improved terrestrial and satellite communication services.
 - Analyze space station licensees’ compliance with system implementation milestones and take action, where necessary, to make unused spectrum available to new applications.
- (2) Pursue spectrum allocation and license assignment policies to achieve the effective and efficient use of spectrum.
 - Conduct auctions of licenses for electromagnetic spectrum as directed through statutory mandate or Commission decision.
 - Efficiently process applications regarding existing licenses, auctions participants, and winning bidders.
 - Complete transfer of all eligible auctions revenues to the U.S. Treasury within 30 days of license grant.
- (3) Conduct effective and timely spectrum licensing and equipment authorization activities.
 - Process 95% of routine spectrum license applications within 90 days of receipt.

Outcome-oriented Performance Goal 14: Enforce the Commission’s spectrum regulations and policies.

Targets with Subordinate Measures:

- (1) Enforce the Commission’s spectrum regulations and policies to provide certainty to spectrum users that they will not be subject to harmful interference by the use of devices that do not comply with the Commission’s rules.
 - Resolve 100% of non-emergency interference complaints within one month.
- (2) Enforce the Commission’s licensing and technical regulations, including limitations on power outputs, antenna and tower height, and build-out requirements, to ensure that licensees and operators of unlicensed devices are using spectrum efficiently and effectively.

- Continue an aggressive program of inspections and investigations by agents in the field to help maximize compliance with the Commission’s licensing and technical requirements.

Means and Strategies for Accomplishing Performance

COMPETITION AND INNOVATION		
Processes	Skills	Technology
<ul style="list-style-type: none"> ▪ Rulemaking ▪ Enforcing the Communications Act and the Commission’s rules. ▪ Industry monitoring and analysis ▪ Data collection and analysis ▪ Licensing ▪ Technology analysis 	<ul style="list-style-type: none"> ▪ Understanding of various communications marketplaces ▪ Understanding of economic and legal impacts of converging media technologies ▪ Ability to analyze economic impact of industry behavior ▪ Understanding technological advancement and establishing an environment that promotes it ▪ Auditing, investigating and enforcing ▪ Forecasting changing needs of and expectations toward underserved groups 	<ul style="list-style-type: none"> ▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS) ▪ Consolidated Licensing System (CLS) ▪ Consumer Complaints Management System (CCMS) ▪ Consumer Information Management System (CIMS) ▪ Electronic Tariff Filing System (ETFS) ▪ Electronic Document Management System (EDOCS) ▪ Electronic Comment Filing System (ECFS) ▪ Fee Filer ▪ Desktop/Network Document Development and Data Access Tools ▪ Equipment Authorization System ▪ Experimental Licensing System ▪ OFACS (coordination database) ▪ KDB (OET Knowledge Data Base)

CONTINUAL IMPROVEMENT

Performance Commitments and Metrics

Outcome-oriented Performance Goal 15: Be data-driven in our policy and decision making.

Targets with Subordinate Measures:

- (1) Ensure that FCC policy and rulemaking documents clearly explain the basis for decisions to Congress, key constituencies, and the public.
 - Decision documents will cite all relevant facts and data, and sources for that information, to convey the basis for decisions.
- (2) Improve Commission systems to make information readily available to agency management for decision making.
 - Ensure that internal information systems provide timely and easily accessible data to FCC managers.
- (3) Upgrade and enhance technology and tools used by Commission staff to carry out the agency's mission.
 - Provide FCC staff with information technology hardware, systems and training to create an efficient and effective workforce.
- (4) Implement a new financial management system that includes automated interfaces with Commission licensing systems and integrates FCC Registration Numbers into all appropriate actions.
 - Complete deployment of the new financial management system.

Outcome-oriented Performance Goal 16: Ensure effective communications with consumers, Congress, the communications industry, and fellow federal, state, tribal, and local agencies.

Targets with Subordinate Measures:

- (1) Continue outreach to key constituencies to communicate the Commission's goals, plans and initiatives.
 - Review and revise, as necessary, FCC consumer publications.
 - Utilize advisory committees, task forces, and intergovernmental groups to foster communications and coordination with industry representatives, consumer groups, and representatives of other governmental entities.
- (2) Reduce the time it takes to process complaints filed with the FCC by fostering the use of automation to more efficiently and effectively respond to consumer complaints, carry out investigations, eliminate reliance on paper files, and improve the ability to develop data for trend analysis.
 - Finalize the implementation of a consolidated enforcement database to access, track, and facilitate processing of consumer complaints

Outcome-oriented Performance Goal 17: Foster public participation in reform and rulemaking.

Targets with Subordinate Measures:

- (1) Ensure that individuals and organizations have maximum opportunities to provide information, data and opinions concerning FCC matters across a wide array of information gathering platforms.
 - Continue to improve the FCC's web presence and social media environment to involve more entities in the decision making process.
- (2) Engage key stakeholders and members of the public to determine how they participate or seek to participate in Commission matters.
 - Use workshop, focus groups and other means to solicit input to improve public participation.
 - Test and implement new applications to enhance the public's involvement and experience with engaging the FCC.

Outcome-oriented Performance Goal 18: Create and sustain an organizational culture that encourages diversity, innovation, accountability, and continual improvement.

Targets with Subordinate Measures:

- (1) Conduct a program of continuous review and evaluation to assure that all administrative operations are helping control or contain costs, providing high quality customer service, and improving the effectiveness and efficiency of Commission operations.
 - Maintain an effective internal controls program that complies with all applicable laws and regulations to ensure proper stewardship of Federal resources. Promptly respond to and remediate identified risks, operational weaknesses, and internal control deficiencies that warrant correction.
- (2) Continue implementation of the FCC’s Strategic Human Capital plan.
 - Implement the Commission’s Human Capital Accountability System and Succession Management Program.
- (3) Develop targeted skills and competencies for FCC employees through appropriate career development aligned with the Commission’s strategic goals.
 - Increase the number of training instances for Commission employees.
- (4) Ensure compliance with all general administrative laws and regulations, including fiscal, procurement, ethics, employment, environmental, and appropriations.
 - Meet or exceed the Small Business Administration (SBA) contracting set-aside goal.
- (5) Promote greater fiscal accountability by strengthening cost and performance management controls.
 - Collect performance data for FCC managers to use in making decisions concerning program effectiveness and allocation of resources.
 - Review audits and evaluations from the Office of Inspector General and address recommended improvements in FCC operations and functions.

Means and Strategies for Accomplishing Performance

CONTINUAL IMPROVEMENT		
Processes	Skills	Technology
<ul style="list-style-type: none"> ▪ Management and document tracking and change control ▪ Workforce analysis ▪ Capital asset planning and deployment ▪ Strategic and performance planning ▪ Information technology planning and deployment ▪ Performance budgeting 	<ul style="list-style-type: none"> ▪ Planning, scheduling, and budgeting ▪ Change management ▪ Productivity and efficiency improvement ▪ Training and workforce development ▪ Workforce analysis 	<ul style="list-style-type: none"> ▪ Commission Registration System (CORES) ▪ Core Financial Management System ▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS) ▪ Electronic Document Management System (EDOCS) ▪ Electronic Comment Filing System (ECFS) ▪ Consumer Complaints Management System (CCMS) ▪ Consumer Information Management System (CIMS) ▪ Fee Filer ▪ Desktop/Network Document Development and Data Access Tools ▪ KDB (OET Knowledge Data Base)

PUBLIC SAFETY AND HOMELAND SECURITY

Performance Commitments and Metrics

Outcome-oriented Performance Goal 19: Promote the reliability, security, rapid restoration, and survivability of the communications infrastructure.

Targets with Subordinate Measures:

- (1) Ensure that communications are available during emergencies and crises by investigating and resolving 100% of complaints of interference to public safety communications within one day.
 - Report quarterly on actions to resolve public safety interference.
- (2) Ensure that communications are available during emergencies and crises by conducting cable signal leakage inspections to minimize harmful interference to aviation and public safety frequencies.
 - Report quarterly on the number of cable signal leakage inspections
- (3) Enhance communications and media network reliability, including emergency preparedness and disaster management practices.
 - Ensure that communications are available during emergencies and crises by pursuing network outage reporting enforcement actions.
- (4) Facilitate participation in the Wireless Priority Service (WPS) Program.
 - Work closely with the National Communications System to increase participation in the WPS program by federal, state, local, and tribal governments as well as first responder organizations.
- (5) Facilitate participation in the Telecommunications Service Priority (TSP) Program.
 - Work closely with the National Communications System to increase participation in the TSP program by federal, state, local, and tribal governments as well as 911 call centers and first responder organizations.
- (6) Improve and provide guidance as necessary to implement the Commission's COOP and emergency preparedness plans.
 - Review and update COOP and emergency preparedness procedures to ensure accuracy, improve effectiveness, and create a better state of readiness.
 - Actively participate in national level COOP planning sessions and exercises.

Outcome-oriented Performance Goal 20: Facilitate deployment of public safety technology.

Targets with Subordinate Measures:

- (1) Promote construction of nationwide, interoperable broadband public safety capabilities.
 - Adopt and implement Commission rules that would effectuate the construction and operation of a common, interoperable broadband infrastructure for America's first responders.
- (2) Take appropriate enforcement action for non-compliance with 911 and E911 requirements, including defending the Commission's VoIP and 911 and E911 rules in litigation.
 - Maximize compliance with the Commission's rules governing the nationwide availability of E911 solutions to ensure that consumers have access to advanced public safety services in an emergency by reviewing carrier compliance reports and taking enforcement action where appropriate.
 - Promote compliance with the Commission's rules by pursuing enforcement actions concerning the Commission's 911 and E911 rules and resolving 100% of such actions within 15 months.
- (3) Improve the effectiveness of an Emergency Alert System (EAS).
 - Promote actions to expand EAS to users of additional communications technologies and media.
 - Meet at least quarterly with FEMA and other relevant agencies regarding EAS operational issues and potential improvements.

Outcome-oriented Performance Goal 21: Maintain a clearinghouse of information for the public safety community.

Targets with Subordinate Measures:

- (1) Increase awareness of the Commission's public safety activities.

- Convene periodic public summits on topics of critical importance, providing outreach to first responders and the public safety community in general.
- (2) Gather and disseminate public safety communications information.
 - Maintain a comprehensive internet clearinghouse for the collection, evaluation and dissemination of public safety information, retrievable by target group and subject area.

Means and Strategies for Accomplishing Performance

PUBLIC SAFETY AND HOMELAND SECURITY		
Processes	Skills	Technology
<ul style="list-style-type: none"> ▪ Rulemaking ▪ Enforce the Communications Act and the Commission’s rules. ▪ Data collection and analysis ▪ Intergovernmental and international negotiations ▪ Communications and Crisis Management Center ▪ National Communications System (NCS) ▪ Government Emergency Telecommunications Service (GETS) ▪ Telecommunications Service Priority System (TSP) ▪ Continuity of Operations Plan (COOP) 	<ul style="list-style-type: none"> ▪ Knowledge of federal and state public safety and emergency procedures. ▪ Understanding of national defense operations. ▪ Facilitation and communication skills necessary to increase awareness of numerous emergency services and plans. ▪ Risk assessment. 	<ul style="list-style-type: none"> ▪ Network Outage Reporting System ▪ E-911/Wireless E-911 ▪ Emergency Alert System (EAS) ▪ Wireless Priority Access System (WPAS) ▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS) ▪ Consolidated Licensing System (CLS) ▪ Electronic Document Management System (EDOCS) ▪ Electronic Comment Filing System (ECFS) ▪ Fee Filer ▪ Desktop/Network Document Development and Data Access Tools

INTERNATIONAL

Performance Commitments and Metrics

Outcome-oriented Performance Goal 22: Be a world-leader by promoting sound policy worldwide.

Targets with Subordinate Measures:

- (1) Actively participate in bilateral and multilateral global discussions and debate on issues in coordination with other U.S. governmental agencies related to communications policy.
 - Participate in meetings and conferences with foreign regulators to foster sound communications policies.
 - Meet with NTIA and the Department of State as necessary to coordinate U.S. positions related to those policies.
 - Work with U.S. government agencies and foreign regulators to promote international trade policies for telecommunications services and equipment, e.g., Mutual Recognition Agreements for telecommunications product approval.
- (2) Work with other U.S. government agencies to participate in international studies that track the status of global communications.
 - Provide input, edits and comments within established deadlines for policy papers, best practices guidelines, studies and statistical reports.

Outcome-oriented Performance Goal 23: Advocate U.S. spectrum interests in the international arena.

Targets with Subordinate Measures:

- (1) Secure international spectrum allocations that allow for new services and protect incumbent services from interference.
 - Develop and coordinate draft proposals with other federal government agencies in preparation for the next World Radio Conference in 2012.
 - Prepare materials and participate in international meetings to secure spectrum and satellite positions as well as minimize interference issues between services through advocacy of U.S. positions.
- (2) Secure and enforce bi-lateral spectrum treaties and agreements working with appropriate U.S. and international government agencies.
 - Prepare detailed technical analyses and effectively represent the U.S. in bi-lateral negotiations and coordination activities.
 - Perform all technical analysis as necessary to ensure compliance with all applicable provisions of bilateral and International Telecommunication Union (ITU) agreements and treaties.

Outcome-oriented Performance Goal 24: Promote pro-competitive and universal access policies worldwide.

Target with Subordinate Measures:

- (1) Actively participate in bilateral and multilateral global discussions and debate on issues in coordination with other U.S. governmental agencies related to competition and universal access, including access for people with disabilities.
 - Participate in meetings and conferences with foreign regulators to foster competition in foreign markets and promote universal service policies.
 - Meet with NTIA and the Department of State as necessary to coordinate U.S. positions related to competition and universal access, including access for people with disabilities.

Means and Strategies for Accomplishing Performance

INTERNATIONAL		
Processes	Skills	Technology
<ul style="list-style-type: none"> ▪ Rulemaking ▪ Enforce the Communications Act and the Commission’s rules. ▪ Industry analysis ▪ Data collection ▪ Licensing ▪ Engineering ▪ Inter-governmental and international negotiations 	<ul style="list-style-type: none"> ▪ Understanding of both economic and technical aspects of the telecommunications industry, both domestically and internationally. ▪ Perspective and innovative thinking in order to identify ways to encourage the best use of spectrum while maintaining appropriate protections for U.S. spectrum interests. ▪ Effective negotiation skills ▪ Auditing, investigating, enforcing. 	<ul style="list-style-type: none"> ▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS) ▪ Consolidated Licensing System (CLS) ▪ Electronic Document Management System (EDOCS) ▪ Electronic Comment Filing System (ECFS) ▪ Consumer Complaints Management System (CCMS) ▪ Consumer Information Management System (CIMS) ▪ Fee Filer ▪ Desktop/Network Document Development and Data Access Tools

FEE COLLECTIONS AND AUCTIONS

FEE COLLECTIONS AND AUCTIONS

Regulatory Fees

P.L. 103-66, "The Omnibus Budget Reconciliation Act of 1993," requires that the FCC annually collect fees and retain them for FCC use in order to offset certain costs incurred by the Commission.

The fees collected are intended to recover the costs attributable to the Commission's enforcement, policy and rulemaking, user information services, and international regulatory activities.

The fees, often referred to as Section 9 fees, apply to the current holder of the license as of a specific date and to other entities (e.g., cable television systems) which benefit from Commission regulatory activities not directly associated with its licensing or applications processing functions.

The regulatory fees do not apply to governmental entities, amateur radio operator licensees, nonprofit entities holding tax exempt status under section 501(c) of the Internal Revenue code, 26 U.S.C. § 501, and certain other non-commercial entities.

The provisions of this law, codified at 47 U.S.C. § 159, give the Commission authority to review the regulatory fees and to adjust the fees to reflect changes in its appropriation from year to year. It may also add, delete or reclassify services under certain circumstances. Additionally, the legislation requires the Commission to charge a 25% late payment penalty and to dismiss applications or revoke licenses for non-payment of the fees, although it may waive, reduce or defer payment of a fee for good cause.

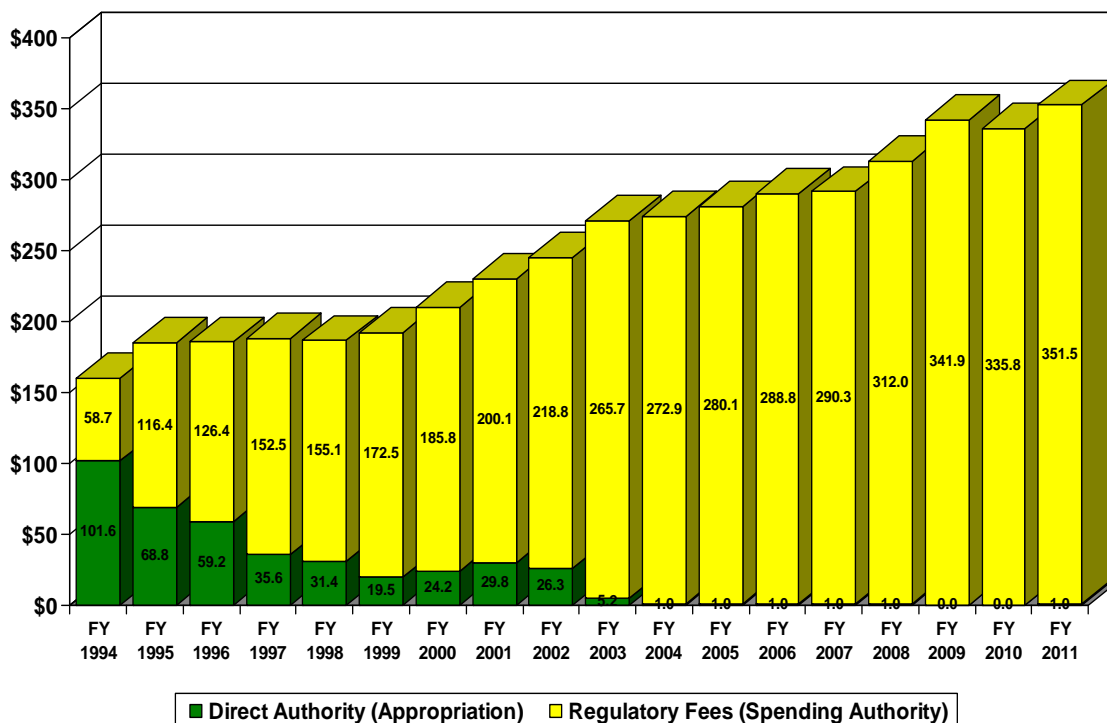
The Commission implemented the Regulatory Fee Collection Program by rulemaking on July 18, 1994. The most recent fee schedule became effective on September 10, 2009, pursuant to an order adopted by the Commission on July 28, 2009, released July 31, 2009, and published in the Federal Register August 11, 2009 (74 FR 40089).

Furthermore, when the Commission adopted the regulatory fee schedule for FY 2008, the Commission also adopted a Further Notice of Proposed Rulemaking seeking comment on ways that it can better determine and calculate the regulatory fees in a way that is aligned with the Commission's regulatory activities. Specifically, the Commission asked whether certain fee categories bear too heavy a regulatory burden and if other fee categories should be responsible for a larger share of the total regulatory fees collected by the agency. The Commission is still reviewing the comments and reply comments received from the FY 2008 Further Notice of Proposed Rulemaking but thus far, the Commission has acted on two of the regulatory fee issues raised in the FY 2008 Further Notice of Proposed Rulemaking.

Authorization to Retain Fees

Appropriations language for FY 2010 prohibits the Commission from using any excess offsetting collections received in FY 2010 or any prior years. The FCC proposes the same treatment of excess collections for FY 2011.

**FY 1994 – FY 2011 RESOURCE COMPARISON
Distribution of Appropriated Budget Authority**



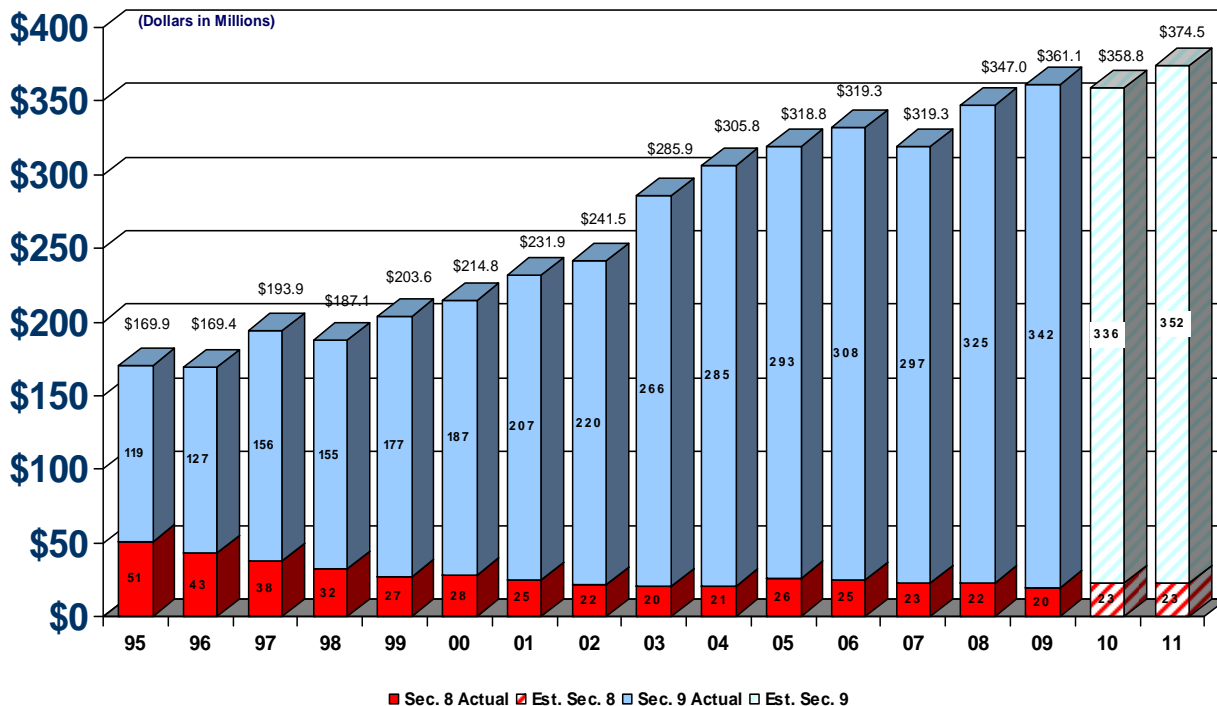
FY 2011 Regulatory Fee Assumptions

The FY 2010 Appropriation for the FCC authorized \$335.8 million in the collection of regulatory fees. The FY 2011 budget proposes an increase to regulatory fees to a level of \$351.5 million. These funds will support Commission-wide goals that will allow the FCC to serve the American public in an efficient, effective and responsive manner. The distribution of Budget Authority between direct and offsetting collections from Regulatory Fees is illustrated in the above graph.

Application Processing Fees

Since FY 1987 the FCC has collected and deposited into the General Fund of the U.S. Treasury application processing fees, often referred to as Section 8 fees. The fees are intended to recover a substantial portion of the costs of the Commission's applications processing functions. The program encompasses over 300 different fees with the vast majority collected at the time an original license application, renewal or request for modification is filed with the Commission. Most fees are assessed as a one-time charge on a per-application basis, although there are certain exceptions. Government, nonprofit, non-commercial broadcast and amateur license applicants are exempt from the fees. A lockbox bank is used to collect the fees, with all fees deposited into the General Fund of the U.S. Treasury. Once deposited, these fees are generally not refundable regardless of the outcome of the application process. The Commission must review and revise the fees every two years based upon changes to the Consumer Price Index (CPI). On September 15, 2008, the Commission adopted an Order which increased application fees to reflect these CPI changes; this change became effective on February 18, 2009. Application Processing Fee Collections (Section 8) and Regulatory Fee collections are summarized in the following graph.

FEE COLLECTIONS* FY 1995 – FY 2011



*In addition to Sec. 8 processing fees which go to General Fund of Treasury, totals for FY 1995-2011 include Sec. 9 Regulatory Fees. Sec. 9 actuals reflect fees collected thru 9/30. Est. Sec. 9 reflects fees established in appropriations language.

Spectrum Auctions

The Omnibus Budget Reconciliation Act of 1993, P.L. 103-66, required the FCC to auction portions of the spectrum for certain services, replacing the former lottery process. The Commission is required to ensure that small businesses, women, minorities, and rural telephone companies have an opportunity to participate in the competitive bidding process. The Commission initiated regulations implementing the spectrum auction authority granted by the legislation and conducted its first round of auctions in July 1994. To date the Commission has completed 75 auctions. As of December 31, 2009, total net winning bids collected and deposited into Treasury from this program have exceeded \$51.9 billion. The original spectrum auction authority was scheduled to expire in FY 1998; however, it was extended through FY 2007 in the Balanced Budget Act of 1997, P.L. 105-33. The authority has since been extended through FY 2011 by the Deficit Reduction Act of 2005, P.L. 109-171, and most recently, the authority was extended through September 30, 2012 by the DTV Delay Act, P.L. 111-4.

The Commission is authorized to retain from auction revenues those funds necessary to develop, implement and maintain the auction program. These funds cover the personnel and administrative costs required to plan and execute spectrum auctions; operational costs to manage installment payments and collections activities; development, implementation, and maintenance of all information technology systems necessary for Auctions operations, including development of a combinatorial bidding system, and a proportional share of the general administrative costs of the Commission based on the split of direct FTE hours charged to auctions in the previous year. This budget submission assumes the auctions program will continue to recover the costs of conducting all auctions activities from spectrum license receipts as the FCC continues to use auctions as a licensing mechanism for spectrum based communications services. It is anticipated that the FY 2011 Appropriation language will, again, cap the auctions program at \$85 million.

The Balanced Budget Act of 1997, P.L. 105-33, required that the Commission provide to authorizing committees a detailed report of obligations in support of the auctions program for each fiscal year of operation, as a prerequisite to the continued use of auctions receipts for the costs of all auctions activities. The FY 2009 Auctions Report will be submitted to the appropriate Congressional committees by September, 2010.

**BUREAUS AND OFFICES
FY 2011 REQUIREMENTS**

BUREAU/OFFICE FY 2011 REQUIREMENTS

Prior to FY 2006, the FCC did not provide information to the Congress to show the proposed use of appropriated funds at the organizational level. In the conference report for the FY 2006 appropriations law, the conferees required the FCC to submit a spending plan for FY 2006 at the organizational level and to provide this level of disaggregation in future budget reports. This section continues to provide that information consistent with the practice specified for FY 2007. Specifically, this section contains the FCC's proposed budget for FY 2011 at the bureau and office level.

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OFFICE OF THE CHAIRMAN AND COMMISSIONERS

	2009	2010	2011
	Actual	Enacted	Request
FTE	23	32	30
11-Compensation	\$2,928,463	\$4,331,540	\$4,581,595
12-Benefits	\$695,939	\$1,009,879	\$1,031,991
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$3,624,402	\$5,341,419	\$5,613,585
21-Travel	\$83,210	\$315,519	\$322,145
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$394,336	\$308,325	\$314,800
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$67	\$4,000	\$4,000
26-Supplies and Materials	\$0	\$0	\$0
31-Equipment	\$0	\$0	\$0
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$477,613	\$627,844	\$640,945
TOTAL	\$4,102,015	\$5,969,263	\$6,254,530

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X	X	X

The FCC is directed by five Commissioners appointed by the President and confirmed by the Senate for 5-year terms, except when filling an unexpired term. The President designates one of the Commissioners to serve as Chairman. Only three Commissioners may be members of the same political party. None of them can have a financial interest in any Commission-related business.

The Chairman serves as the chief executive officer of the Commission, supervising all FCC activities, delegating responsibilities to staff units and Bureaus, and formally representing the Commission before the Congress and the Administration.

CONSUMER AND GOVERNMENTAL AFFAIRS BUREAU

	2009	2010	2011
	Actual	Enacted	Request
FTE	193	202	200
11-Compensation	\$18,137,554	\$18,386,816	\$19,561,345
12-Benefits	\$4,234,551	\$4,288,515	\$4,410,683
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$22,372,105	\$22,675,331	\$23,972,028
21-Travel	\$62,576	\$69,084	\$70,535
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$1,164,639	\$1,149,117	\$1,173,248
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$1,108,367	\$1,120,590	\$1,144,122
26-Supplies and Materials	\$600	\$1,269	\$1,296
31-Equipment	\$2,088	\$2,209	\$2,255
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$2,338,270	\$2,342,269	\$2,391,457
TOTAL	\$24,710,375	\$25,017,600	\$26,363,485

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X		

The Consumer and Governmental Affairs Bureau develops and administers the Commission's consumer and inter-governmental affairs policies and initiatives to enhance the public's understanding of the Commission's work and to facilitate the Agency's relationships with other governmental agencies and organizations. The Bureau is responsible for rulemaking proceedings regarding general consumer and disability policy. The Bureau serves as the primary Commission entity responsible for communicating with the general public regarding Commission policies, programs, and activities in order to facilitate public education and participation in the Commission's decision-making processes.

The Bureau's overall functions include: advising the Commissioners and the other Bureaus and Offices on consumer, disability and inter-governmental-related areas of concern or interest; initiating, reviewing, and coordinating orders, programs and actions in conjunction with other Bureaus and Offices, in matters regarding consumer and disability policy and procedures, and any other related issues affecting consumer policy; representing the Commission on consumer and inter-governmental-related committees, working groups, task forces and conferences within and outside the Agency; and, providing expert advice and assistance to Bureaus, Offices and consumers regarding compliance with applicable disability and accessibility requirements, rules and regulations.

The Bureau serves as the public face of the Commission through outreach and education, as well as through our Consumer Center, which is responsible for responding to consumer inquiries and complaints. The Bureau also maintains collaborative partnerships with state, local, and tribal

governments in such critical areas as emergency preparedness and implementation of new technologies.

The Bureau's activities include: consumer and disability policy development and coordination; interaction with the public, federal, state, local, tribal and other government agencies and industry groups; oversight of the Consumer Advisory Committee, and the Intergovernmental Advisory Committee; informal complaint mediation and resolution; consumer outreach and education; maintaining official FCC records; coordination with the Office of Managing Director for Agency-wide strategic planning efforts; and any other functions as may be assigned, delegated, or referred to the Bureau by the Commission.

ENFORCEMENT BUREAU

	2009	2010	2011
	Actual	Enacted	Request
FTE	301	312	313
11-Compensation	\$32,947,166	\$33,482,539	\$35,528,527
12-Benefits	\$7,798,684	\$7,911,062	\$8,112,547
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$40,745,850	\$41,393,601	\$43,641,073
21-Travel	\$299,765	\$417,985	\$426,763
22-Transportation of Things	\$34,050	\$44,834	\$45,776
23-Rent and Communications	\$3,194,978	\$3,200,427	\$3,267,636
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$727,465	\$710,057	\$724,968
26-Supplies and Materials	\$263,402	\$264,205	\$269,753
31-Equipment	\$1,100,524	\$909,457	\$928,556
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$5,620,184	\$5,546,965	\$5,663,451
TOTAL	\$46,366,034	\$46,940,566	\$49,304,525

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X	X	

The Enforcement Bureau serves as the primary Commission entity responsible for enforcement of the Communications Act and other communications statutes, the Commission's rules, orders and authorizations, other than matters that are addressed in the context of a pending application for a license or other authorization or in the context of administration, including post-grant administration, of a licensing or other authorization or registration program. The Enforcement Bureau's responsibilities include:

- Resolve complaints regarding compliance with statutory and regulatory provisions, including complaints filed under section 208 of the Communications Act; complaints regarding acts or omissions of non-common carriers subject to the Commission's jurisdiction under Title II of the Communications Act and related provisions; formal complaints; complaints regarding radiofrequency interference and radiofrequency equipment and devices; complaints regarding compliance with the Commission's Emergency Alert System rules; complaints regarding the lighting and marking of radio transmitting towers; complaints regarding indecent communications subject to the Commission's jurisdiction; complaints regarding the broadcast and cable television children's television programming commercial limits contained in section 102 of the Children's Television Act; complaints regarding unauthorized construction and operation of communications facilities; complaints regarding false distress signals; other complaints against Title III licensees and permittees; complaints regarding pole attachments filed under section 224 of the Communications Act; complaints regarding multichannel video

and cable television service under part 76 of the Commission's rules; and complaints regarding other matters assigned to it by the Commission.

- Serve as trial staff in formal hearings conducted pursuant to 5 U.S.C. § 556 regarding applications, revocation, forfeitures and other matters designated for hearing.
- Provide field support for, and field representation of, the Bureau, other Bureaus and Offices and the Commission. Coordinate with other Bureaus and Offices as appropriate.
- Handle congressional and other correspondence relating to or requesting specific enforcement actions, specific complaints or other specific matters within the responsibility of the Bureau, to the extent not otherwise handled by the Consumer and Governmental Affairs Bureau, the Office of General Counsel (impermissible ex parte presentations) or another Bureau or Office.
- Have authority to issue non-hearing related subpoenas for the attendance and testimony of witnesses and the production of books, papers, correspondence, memoranda, schedules of charges, contracts, agreements, and any other records deemed relevant to the investigation of matters within the responsibility of the Bureau. Before issuing a subpoena, the Enforcement Bureau shall obtain the approval of the Office of General Counsel.

INTERNATIONAL BUREAU

	2009 Actual	2010 Enacted	2011 Request
FTE	124	132	128
11-Compensation	\$14,953,480	\$15,187,923	\$16,064,704
12-Benefits	\$3,612,786	\$3,657,741	\$3,737,828
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$18,566,266	\$18,845,664	\$19,802,532
21-Travel	\$430,771	\$380,455	\$388,445
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$1,020,310	\$979,869	\$1,000,446
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$15,044	\$60,774	\$62,050
26-Supplies and Materials	\$10,300	\$18,649	\$19,041
31-Equipment	\$0	\$0	\$0
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$1,476,425	\$1,439,747	\$1,469,982
TOTAL	\$20,042,691	\$20,285,411	\$21,272,514

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X		X	X	X	X

The International Bureau develops, recommends and administers policies, standards, procedures and programs for the regulation of international telecommunications facilities and services and the licensing of satellite facilities under its jurisdiction. The Bureau advises and recommends to the Commission, or acts for the Commission under delegated authority, in the development of and administration of international telecommunications policies and programs. The International Bureau assumes the principal representational role for Commission activities in international organizations. The International Bureau has the following duties and responsibilities:

- Promote pre-competitive and universal access policies worldwide.
- Initiate and direct the development and articulation of international telecommunications policies, consistent with the priorities of the Commission.
- Advise the Chairman and Commissioners on matters of international telecommunications policy, and on the status of the Commission's actions to promote the vital interests of the American public in international commerce, national defense, and foreign policy areas.
- Develop, recommend, and administer policies, rules, and procedures for the authorization and regulation of international telecommunications facilities and services and domestic and international satellite systems.

- Monitor compliance with the terms and conditions of authorizations and licenses granted by the Bureau, and pursue enforcement actions in conjunction with appropriate Bureaus and Offices.
- Represent the Commission on international telecommunications matters at both domestic and international conferences and meetings, and direct and coordinate the Commission's preparation for such conferences and meetings.
- Serve as the single focal point within the Commission for cooperation and consultation on international telecommunications matters with other federal agencies, international or foreign organizations, and appropriate regulatory bodies and officials of foreign government.
- Develop, coordinate with other federal agencies, and administer regulatory assistance and training programs for foreign administrations to promote telecommunications development.
- Provide advice and technical assistance to U.S. trade officials in the negotiation and implementation of telecommunications trade agreements.
- Conduct economic, legal, technical, statistical and other appropriate studies, surveys and analyses in support of development of international telecommunications policies and programs.
- Collect and disseminate within the Commission information and data on international telecommunications, broadband deployment, regulatory and market developments in other countries and international organizations.
- Promote the international coordination of spectrum allocation, and frequency and orbital assignments, so as to minimize cases of international radio interference involving U.S. licensees.
- Direct and coordinate, in consultation with appropriate Bureaus and Offices, negotiation of international agreements to provide for arrangements and procedures for bilateral coordination of radio frequency assignments to prevent or resolve international radio interference involving U.S. licensees.
- Ensure fulfillment of the Commission's responsibilities under international agreements and treaty obligations, and, consistent with Commission policy, ensure that the Commission's regulations, procedures, and frequency allocations comply with mandatory requirements of all applicable international and bilateral agreements.
- Oversee and, as appropriate, administer activities pertaining to the international consultation, coordination and notification of U.S. frequency and orbital assignments, including activities required by bilateral agreements, the International Radio Regulations, and other international agreements.

MEDIA BUREAU

	2009	2010	2011
	Actual	Enacted	Request
FTE	218	229	225
11-Compensation	\$22,948,116	\$23,302,338	\$24,760,635
12-Benefits	\$5,120,469	\$5,181,213	\$5,322,927
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$28,068,585	\$28,483,551	\$30,083,561
21-Travel	\$25,752	\$32,367	\$33,047
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$1,629,162	\$1,564,748	\$1,597,608
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$132,200	\$161,031	\$164,413
26-Supplies and Materials	\$0	\$0	\$0
31-Equipment	\$918	\$931	\$951
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$1,788,032	\$1,759,077	\$1,796,018
TOTAL	\$29,856,617	\$30,242,628	\$31,879,579

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X		

The Media Bureau develops, recommends and administers the policy and licensing programs for the regulation of media, including cable television, broadcast television and radio, and satellite services in the United States and its territories. The Bureau advises and recommends to the Commission, or acts for the Commission under delegated authority, in matters pertaining to multichannel video programming distribution, broadcast radio and television, direct broadcast satellite service policy, and associated matters. The Bureau will, among other things:

- Conduct rulemaking proceedings concerning the legal, engineering, and economic aspects of electronic media services.
- Conduct comprehensive studies and analyses concerning the legal, engineering and economic aspects of electronic media services.
- Resolve waiver petitions, declaratory rulings and adjudications related to electronic media services.
- Process applications for authorization, assignment, transfer and renewal of media services, including AM, FM, TV, the cable TV relay service, and related matters.
- Advise and recommend to the Commission, or act for the Commission under delegated authority, in matters pertaining to multichannel video programming distribution, broadcast radio and television, cable television systems, direct broadcast satellite service policy, and associated matters.

PUBLIC SAFETY AND HOMELAND SECURITY BUREAU

	2009	2010	2011
	Actual	Enacted	Request
FTE	110	111	145
11-Compensation	\$12,084,300	\$12,248,703	\$14,845,838
12-Benefits	\$2,980,145	\$3,014,291	\$3,627,798
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$15,064,445	\$15,262,994	\$18,473,637
21-Travel	\$134,210	\$105,805	\$108,027
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$716,688	\$882,307	\$900,835
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$842,031	\$132,338	\$1,035,117
26-Supplies and Materials	\$9,760	\$11,310	\$11,548
31-Equipment	\$360,963	\$31,847	\$32,516
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$2,063,652	\$1,163,607	\$2,088,043
TOTAL	\$17,128,097	\$16,426,601	\$20,561,679

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X		X	X	X

The Public Safety and Homeland Security Bureau (PSHS) advises and makes recommendations to the Commission, or acts for the Commission under delegated authority, in all matters pertaining to public safety, homeland security, national security, emergency management and preparedness, disaster management, and ancillary operations. The Bureau has responsibility for coordinating public safety, homeland security, national security, emergency management and preparedness, disaster management, and related activities within the Commission. The Bureau also performs the following functions:

- Develops, recommends, and administers policy goals, objectives, rules, regulations, programs and plans for the Commission to promote effective and reliable communications for public safety, homeland security, national security, emergency management and preparedness, disaster management and related activities, including public safety communications (including 911, enhanced 911, next generation 911, and other emergency number issues), development and deployment of broadband public safety networks, priority emergency communications, alert and warning systems (including the Emergency Alert System and the Commercial Mobile Alert System), continuity of government operations, implementation of Homeland Security Presidential Directives and Orders, disaster management coordination and outreach, communications infrastructure protection (including network outage reporting), reliability, operability and interoperability of networks and communications systems, cyber-security, the Communications Assistance for Law Enforcement Act, and network security. Recommends policies and procedures for public safety, homeland security, national security, emergency management and preparedness, and recommends national emergency plans and preparedness programs covering Commission functions during national emergency conditions. Conducts

outreach and coordination activities with, among others, state and local governmental agencies, hospitals and other emergency health care providers, and public safety organizations. Recommends national emergency plans, policies, and preparedness programs covering the provision of service by communications service providers, including telecommunications service providers, information service providers, common carriers, non-common carriers, broadcasting and cable facilities, satellite and wireless radio services, radio frequency assignment, electro-magnetic radiation, investigation and enforcement.

- Under the general direction of the Defense Commissioner, coordinates the public safety, homeland security, national security, emergency management and preparedness, disaster management, and related activities of the Commission, including national security and emergency preparedness and defense mobilization, Continuity of Government planning, alert and warning systems (including the Emergency Alert System), and other functions as may be delegated during a national emergency or activation of the President's war emergency powers as specified in section 706 of the Communications Act. Provides support to the Defense Commissioner, including with respect to his/her participation in the Joint Telecommunications Resources Board, and the National Security Telecommunications Advisory Committee and other public safety and homeland security organizations and committees. Represents the Defense Commissioner with other Government agencies and organizations, the communications industry, and Commission licensees on public safety, homeland security, national security, emergency management and preparedness, disaster management, and related issues.
- Develops and administers rules, regulations, and policies for priority emergency communications, including the Telecommunications Service Priority System. Supports the Chief of the Wireline Competition, International and Wireless Telecommunications Bureaus on matters involving assignment of Telecommunications Service Priority System priorities and in administration of that system.
- The Chief of the PSHS Bureau or designee Acts as the FCC Alternate Homeland Security and Defense Coordinator and principal to the National Communications System, and serves as the Commission's representative on the National Communications Systems Committees.
- Advises and makes recommendations to the Commission, or acts for the Commission under delegated authority, in all matters pertaining to the licensing and regulation of public safety, homeland security, national security, emergency management and preparedness, and disaster management wireless telecommunications, including ancillary operations related to the provision or use of such services.
- Conducts studies of public safety, homeland security, national security, emergency management and preparedness, disaster management, and related issues. Develops and administers recordkeeping and reporting requirements for communications companies pertaining to these issues. Administers any Commission information collection requirements pertaining to public safety, homeland security, national security, emergency management and preparedness, disaster management and related issues.
- Interacts with the public, local, state and other governmental agencies and industry groups (including advisory committees and public safety organizations and associations) on public safety, homeland security, national security, emergency management, disaster management and related issues.
- Maintains and operates the Commission's High Frequency Direction Finding Center which identifies sources of radio interference in support of law enforcement, air traffic control

operation, and maritime distress signaling. Serves as the point of contact for the U.S. Government in matters of international monitoring, fixed and mobile direction-finding and interference resolution, and oversees coordination of non-routine communications and materials between the Commission and international or regional public organizations or foreign administrations.

- Maintains and operates the Commission's public safety, homeland security, national security, emergency management and preparedness, and disaster management facilities and operations, including the Communications Center, the establishment of any Emergency Operations Center, and any liaison activities with other federal, state, or local government organizations.
- Reviews and coordinates orders, programs and actions initiated by other Bureaus and Offices in matters affecting public safety, homeland security, national security, emergency management and preparedness, disaster management and related issues to ensure consistency with overall Commission policy.
- Develops and recommends responses to legislative, regulatory or judicial inquiries and proposals concerning or affecting public safety, homeland security, national security, emergency management, disaster management and related issues. Responses to judicial inquiries are developed with and recommended to the Office of General Counsel.
- Develops and maintains the Commission's plans and procedures, including the oversight, preparation, and training of Commission personnel, for Continuity of Operations, Continuity of Government functions, and Commission activities and responses to national emergencies and other similar situations.
- Acts on emergency requests for Special Temporary Authority during non-business hours when the other Offices and Bureaus of the Commission are closed. Such actions shall be coordinated with, if possible, and promptly reported to the responsible Bureau or Office.
- Maintains liaison with other Bureaus and Offices concerning matters affecting public safety, homeland security, national security, emergency management and preparedness, disaster management and related issues.
- Is authorized to declare that a temporary state of communications emergency exists pursuant to § 97.401(b) of this chapter and to act on behalf of the Commission with respect to the operation of amateur stations during such temporary state of communications emergency.
- Performs such other functions and duties as may be assigned or referred to it by the Commission or the Defense Commissioner.
- Maintains liaison with other federal departments and agencies responsible for emergency alert systems and issues.
- Provides oversight and support to federal advisory committees tasked with advising the Commission on issues related to public safety, homeland security, national security, emergency management and preparedness, disaster management and related issues.

WIRELESS TELECOMMUNICATIONS BUREAU

	2009 Actual	2010 Enacted	2011 Request
FTE	215	229	237
11-Compensation	\$11,014,925	\$11,155,077	\$12,861,992
12-Benefits	\$2,705,648	\$2,710,955	\$3,036,049
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$13,720,573	\$13,866,032	\$15,898,041
21-Travel	\$20,120	\$19,851	\$20,268
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$306,464	\$283,956	\$289,919
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$42,142	\$58,220	\$59,443
26-Supplies and Materials	\$231	\$0	\$0
31-Equipment	\$0	\$0	\$0
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$368,957	\$362,027	\$369,630
TOTAL	\$14,089,530	\$14,228,059	\$16,267,671

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X	X	X

The Wireless Telecommunications Bureau advises and makes recommendations to the Commission, or acts for the Commission under delegated authority, in matters pertaining to the regulation and licensing of wireless communications services, devices, facilities, and electromagnetic spectrum resources. The Bureau develops and recommends policy goals, objectives, programs, and plans for the Commission on matters concerning wireless communications and electromagnetic spectrum resources, drawing upon relevant economic, technological, legislative, regulatory, and judicial information and developments. Such matters include addressing the present and future wireless communications and spectrum needs of U.S. consumers, businesses, state, local, and tribal governments, and other entities; promoting access, efficiency, and innovation in the allocation, licensing and use of the electromagnetic spectrum; ensuring choice, opportunity, and fairness in the development of wireless communication services and markets; developing policies regarding the conduct of auctions of Commission licenses; promoting investment in wireless communications infrastructure, including wireless broadband, and the integration and interconnection of wireless communications networks with other communications networks and facilities; and promoting the development and widespread availability of wireless broadband, mobile, and other wireless communications services, devices, and facilities, including through open networks, where appropriate.

The Bureau's activities include developing and coordinating policy; conducting rulemaking and licensing work; conducting spectrum auctions of wireless licenses; and acting on applications for

service and facility authorizations. The Bureau also determines the resource impact of existing, planned, or recommended Commission activities concerning wireless communications, and develops and recommends resources deployment priorities. The Bureau reviews and coordinates orders, programs, and actions initiated by other Bureaus and Offices in matters affecting wireless communications to ensure consistency of overall Commission policy.

WIRELINE COMPETITION BUREAU

	2009	2010	2011
	Actual	Enacted	Request
FTE	148	165	159
11-Compensation	\$17,955,481	\$18,203,941	\$20,317,779
12-Benefits	\$4,351,082	\$4,399,568	\$4,761,635
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$22,306,563	\$22,603,509	\$25,079,414
21-Travel	\$33,411	\$53,322	\$54,442
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$1,216,854	\$1,207,803	\$1,233,167
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$336,468	\$96,042	\$98,059
26-Supplies and Materials	\$5,755	\$0	\$0
31-Equipment	\$1,270,047	\$0	\$0
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$2,862,535	\$1,357,167	\$1,385,668
TOTAL	\$25,169,098	\$23,960,676	\$26,465,081

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X	X	X

The Wireline Competition Bureau advises and makes recommendations to the Commission, or acts for the Commission under delegated authority, in all matters pertaining to the regulation and licensing of communications providers and ancillary operations (other than matters pertaining exclusively to the regulation and licensing of wireless telecommunications services and facilities). The Bureau develops and recommends policy goals, objectives, programs and plans for the Commission on matters concerning wireline communications and broadband deployment, drawing on relevant economic, technological, legislative, regulatory and judicial information and developments. Overall objectives include meeting the present and future wireline communications needs of the Nation; fostering economic growth; ensuring choice, opportunity, and fairness in the development of wireline communications; promoting economically efficient investment in wireline communications infrastructure; and promoting the development and widespread availability of wireline communications services. The Bureau reviews and coordinates orders, programs and actions initiated by other Bureaus and Offices in matters affecting wireline communications to ensure consistency with overall Commission policy.

The Bureau's activities include: policy development and coordination; adjudicatory and rulemaking proceedings; action on requests for interpretation or waivers of rules; determinations regarding lawfulness of carrier tariffs; action on applications for service and facility authorizations; review of carrier performance; administration of accounting requirements for incumbent local exchange carriers; administration of FCC reporting requirements affecting telecommunications and broadband providers;

economic research and analysis; interaction with the public, local, state, and other government agencies, and industry groups on wireline communications regulation and related matters; and any other functions as may be assigned, delegated, or referred to the Bureau by the Commission.

AGENCY OFFICES

Office of Administrative Law Judges

	2009	2010	2011
	Actual	Enacted	Request
FTE	3	4	3
11-Compensation	\$360,347	\$364,677	\$385,729
12-Benefits	\$50,812	\$51,422	\$52,548
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$411,159	\$416,099	\$438,277
21-Travel	\$186	\$530	\$541
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$35,763	\$22,222	\$22,689
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$66,010	\$21,563	\$22,016
26-Supplies and Materials	\$0	\$0	\$0
31-Equipment	\$0	\$0	\$0
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$101,959	\$44,315	\$45,246
TOTAL	\$513,118	\$460,414	\$483,523

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X	X	X

The Office of Administrative Law Judges hears and conducts all hearing cases designated for formal evidentiary adjudication before an Administrative Law Judge under the Administrative Procedure Act (5 USCA §554 *et seq.*), except those designated to be heard by the Commission *en banc*, or by one or more members of the Commission. The Chief Judge, or a designated presiding Administrative Law Judge, has the following responsibilities:

- Preside over and conduct formal hearings involving adjudication or rule making.
- Conduct pre-hearing conferences.
- Act on motions, petitions, requests for subpoenas, and all pleadings filed in proceedings.
- Examine witnesses under oath or affirmation, rule on evidentiary questions, issue subpoenas, dispose of motions, prepare and issue decisions.
- Write and issue Initial Decisions, which are subject to review by the Commission.
- Perform substantially all functions of presiding judges in federal non-jury cases.
- Act as liaison for the Commission and this Office in securing advice or information from representatives of other agencies, bar associations and interested persons in matters pertaining to formal hearings and proceedings.

- Exercise such authority as may be assigned by the Commission pursuant to section 5(c) of the Communications Act of 1934, as amended.
- The Office management also has the following responsibilities:
 - Maintain hearing calendars, publicly announcing time and place of hearings.
 - Prepare reports, statistical data and information as requested by the Office of Personnel Management, Government Accountability Office, and other agencies of the U. S. government concerned with operations of federal Offices of Administrative Law Judges.

Office of Communications Business Opportunities

	2009 Actual	2010 Enacted	2011 Request
FTE	14	11	13
11-Compensation	\$1,064,408	\$1,105,229	\$1,169,033
12-Benefits	\$265,230	\$272,945	\$278,921
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$1,329,638	\$1,378,174	\$1,447,954
21-Travel	\$1,950	\$3,900	\$3,982
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$72,191	\$67,080	\$68,489
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$0	\$0	\$0
26-Supplies and Materials	\$0	\$0	\$0
31-Equipment	\$0	\$0	\$0
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$74,141	\$70,980	\$72,471
TOTAL	\$1,403,779	\$1,449,154	\$1,520,424

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
	X	X	X		

The Office of Communications Business Opportunities as a staff office to the Commission, develops, coordinates, evaluates, and recommends to the Commission policies, programs, and practices that promote participation by small entities, women, and minorities in the communications industry. A principal function of the office is to lead, advise, and assist the Commission, including all of its component Bureau/Office managers, supervisors, and staff, at all levels, on ways to ensure that the competitive concerns of small entities, women, and minorities are fully considered by the agency in notice and comment rulemakings. In accordance with this function, the office:

- Conducts independent analyses of the Commission's policies and practices to ensure that those policies and practices fully consider the interests of small entities, women, and minorities.
- Advises the Commission, Bureaus, and Offices of their responsibilities under the Congressional Review Act provisions regarding small businesses; the Report to Congress regarding Market Entry Barriers for Small Telecommunications Businesses (47 U.S.C. 257); and the Telecommunications Development Fund (47 U.S.C. 614).

The office has the following duties and responsibilities:

- Through its director, serves as the principal small business policy advisor to the Commission.
- Develops, implements, and evaluates programs and policies that promote participation by small entities, women and minorities in the communications industry.

- Manages the Regulatory Flexibility Analysis process pursuant to the Regulatory Flexibility Act and the Small Business Regulatory Enforcement Fairness Act to ensure that small business interests are fully considered in agency actions.
- Develops and recommends Commission-wide goals and objectives for addressing the concerns of small entities, women, and minorities and reports of achievement.
- Acts as the principal channel for disseminating information regarding the Commission's activities and programs affecting small entities, women, and minorities.
- Develops, recommends, coordinates, and administers objectives, plans and programs to encourage participation by small entities, women, and minorities in the decision-making process.
- Promotes increased awareness within the Commission of the impact of policies on small entities, women, and minorities.
- Acts as the Commission's liaison to other federal agencies on matters relating to small business.

Office of Engineering and Technology

	2009	2010	2011
	Actual	Enacted	Request
FTE	84	90	96
11-Compensation	\$9,609,233	\$9,736,082	\$10,931,379
12-Benefits	\$2,328,085	\$2,354,361	\$2,564,221
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$11,937,318	\$12,090,443	\$13,495,600
21-Travel	\$27,051	\$28,446	\$29,043
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$468,111	\$439,984	\$449,224
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$210,539	\$206,935	\$211,281
26-Supplies and Materials	\$36,282	\$43,512	\$44,426
31-Equipment	\$92,982	\$94,347	\$96,328
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$834,965	\$813,224	\$830,302
TOTAL	\$12,772,283	\$12,903,667	\$14,325,902

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X	X	X

The Office of Engineering and Technology advises the Commission concerning engineering and radio frequency allocation matters. Its mission is to manage the radio spectrum to meet the needs of commercial, private and non-federal users and to provide leadership in creating new opportunities for competitive technologies and services for the American public. The office also performs the following duties and responsibilities:

- Develop overall policies, objectives, and priorities for the programs and activities assigned to the Office of Engineering and Technology; perform management functions; and supervise the execution of these policies.
- Advise and represent the Commission on frequency allocation and spectrum usage matters, including those covered by international agreements.
- Plan and direct broad programs for development of information relative to communication techniques and equipment, radio wave propagation, and new uses for communications, and advise the Commission and staff offices in such matters.
- Represent the Commission at various national and international conferences and meetings devoted to the progress of communications and the development of information and standards.
- Conduct engineering and technical studies in advanced phases of terrestrial and space communications, and special projects to obtain theoretical and experimental data on new or improved techniques, including cooperative studies with other staff units and consultant and contract efforts as appropriate.

- Advise the Commission and other Bureaus and Offices concerning spectrum management, emerging technologies, including broadband, technical standards, international considerations and national security matters involved in making or implementing policy or in resolving specific situations involving these matters.
- Develop and implement procedures to acquire, store, and retrieve scientific and technical information required in the engineering work of the Commission.
- Provide advice to the Commission, participate in and coordinate staff work with respect to general frequency allocation proceedings and other proceedings not within the jurisdiction of any single Bureau, and provide assistance and advice with respect to rulemaking matters and proceedings affecting more than one Bureau.
- Administer parts 2, 5, 15, and 18 of the Commission's rules and regulations.
- Perform technical, engineering, and management functions of the Commission with respect to formulating rules and regulations, technical standards, and general policies for parts 2, 5, 15 and 18, and for equipment authorization of radio equipment for compliance with all appropriate rules.
- Maintain liaison with other agencies of government, technical experts representing foreign governments, and members of the public and industry concerned with communications and frequency allocation and usage.
- Coordinate frequency assignments for Commission licensees with federal government agencies, and represent the Commission on issues regarding use of spectrum when jurisdiction is shared with the federal government.
- Prepare recommendations for legislation, and review recommendations for rule changes and rulemaking proposals initiated by other offices affecting Bureau programs and operations.

Office of General Counsel

	2009 Actual	2010 Enacted	2011 Request
FTE	73	77	82
11-Compensation	\$9,925,216	\$10,050,831	\$11,309,530
12-Benefits	\$2,433,860	\$2,454,781	\$2,678,148
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$12,359,076	\$12,505,612	\$13,987,678
21-Travel	\$9,391	\$14,679	\$14,987
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$632,568	\$617,009	\$629,966
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$2,948	\$3,549	\$3,624
26-Supplies and Materials	\$0	\$0	\$0
31-Equipment	\$0	\$0	\$0
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$644,907	\$635,237	\$648,577
TOTAL	\$13,003,983	\$13,140,849	\$14,636,255

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X	X	X

As chief legal advisor to the Commission and its various components, the Office of General Counsel performs the following duties and responsibilities:

- Prepare and make recommendations and interpretations concerning procedural rules of general applicability.
- Review all proposed Commission orders and rules for consistency with the Constitution, laws of the United States, and other rules and precedents.
- Represent the Commission in litigation matters.
- Ensure consistent and timely public interest analysis of transactions considered by the Commission and provide technical expertise on various corporate, bankruptcy, fraud, and other transactional issues.
- Assist and make recommendations to the Commission with respect to cases of adjudication (including the review of initial decisions by Administrative Law Judges) and such other cases as, by Commission policy, are handled in a similar manner and that have been designated for hearing.
- Advise and make recommendations to the Commission with respect to proposed legislation.
- Interpret statutes, regulations, and international agreements affecting the Commission.

- Provide advice to the Commission and its components on general law issues (e.g., leases, contracts, debt collection, tort claims, fiscal law, labor law) common to most federal agencies.
- Serve as principal advisor to the Commission in the administration of laws and regulations regarding government ethics, as well as the Freedom of Information, Privacy, Government in the Sunshine and Alternative Dispute Resolution Acts.
- Exercise such authority as may be assigned or referred to it by the Commission pursuant to section 5(c) of the Communications Act of 1934, as amended, as well as the Commission's rules.

Office of Inspector General

	2009 Actual	2010 Enacted	2011 Request
FTE	42	42	42
11-Compensation	\$2,957,799	\$3,093,115	\$3,495,931
12-Benefits	\$707,600	\$727,651	\$800,123
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$3,665,399	\$3,820,766	\$4,296,053
21-Travel	\$67,018	\$106,862	\$109,106
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$244,425	\$248,016	\$253,224
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$2,111,050	\$1,643,147	\$1,677,653
26-Supplies and Materials	\$200	\$478	\$488
31-Equipment	\$96,791	\$8,514	\$8,693
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$2,519,484	\$2,007,017	\$2,049,164
TOTAL	\$6,184,883	\$5,827,783	\$6,345,217

Notes

Note 1: The Office of Inspector General initial FY-2011 budget request included \$6.3M for its base budget plus an additional \$1.5M for an initiative. The FY-2011 Congressional Requested Budget includes the requested amount for the OIG base budget but not the additional \$1.5M for an initiative. The FY-2011 Congressional Requested budget also includes \$77.3K for OIG training and \$22.1K to support the interagency IG Council. In addition to these funds, the OIG has \$16.7M of USF funds available for USF audit support.

Note 2: Funds have been included in the FY 2011 request to cover the IGSNet.

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X	X	X

The Office of Inspector General (OIG) was established in compliance with the Inspector General Act Amendments of 1988 to provide the FCC with independent audit, inspection and investigative services. The Inspector General reports directly to the Chairman.

The OIG is responsible by statute for audits, inspections and investigations. Audits and inspections are designed to evaluate the economy and efficiency of FCC programs and operations as well as to detect instances of waste, fraud, abuse and mismanagement. By regulation, audits of the FCC must be conducted in accordance with Generally Accepted Government Auditing Standards as well as requirements promulgated by other parts of the federal government. Investigations are conducted to determine whether Commission employees, contractors, or others whose activities affect, or are encompassed by, FCC programs and operations have violated specific statutes or regulations. Such violations can include administrative, civil, and criminal violations.

The Office of Inspector General also has the following duties and responsibilities:

- Conducts, supervises and coordinates audits and investigations relating to the programs and operations of the FCC.
- Recommend ways to improve the administration of agency programs, procedures and operations that will promote economy and efficiency in the administration of Commission programs, and prevent or detect waste, fraud, abuse or mismanagement in Commission operations.
- Provide the Chairman with independent and objective information on a timely basis related to issues that have significant impact upon the Commission. Draft audit, inspection and investigative reports which clearly define OIG findings and contain recommendations for corrective or administrative action as appropriate.
- Review existing and proposed legislation and regulations relating to programs and operations of the FCC to reduce the potential for fraud, waste and abuse and make recommendations as appropriate.
- Exeditiously report possible violations of criminal law to the U.S. Attorney General when there is reason to believe that a violation of U.S. criminal law has occurred.

Office of Legislative Affairs

	2009	2010	2011
	Actual	Enacted	Request
FTE	10	11	10
11-Compensation	\$1,026,300	\$1,040,846	\$1,100,933
12-Benefits	\$252,883	\$256,105	\$261,712
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$1,279,183	\$1,296,951	\$1,362,645
21-Travel	\$3,434	\$16,420	\$16,765
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$58,011	\$75,298	\$76,879
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$0	\$0	\$0
26-Supplies and Materials	\$0	\$0	\$0
31-Equipment	\$0	\$0	\$0
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$61,445	\$91,718	\$93,644
TOTAL	\$1,340,628	\$1,388,669	\$1,456,289

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X	X	X

The Office of Legislative Affairs informs the Congress of the Commission's decisions, facilitates responses to Congressional inquiries, and provides technical assistance to Congressional staff regarding proposed legislation. Specifically, the office has the following functions:

- Advise and make recommendations to the Commission with respect to legislation proposed by Members of Congress or other government agencies and coordinate the preparation of Commission views for submission to Congress or other government agencies.
- Track and monitor legislation impacting the Commission, providing technical assistance to Congressional staff, as necessary.
- Coordinate Commission and Bureau responses to formal inquiries by individual Members of Congress and committees, including tracking inquiries and setting response times.
- Assist the staffs of Members of Congress in responding to constituent concerns.
- Assist in the preparation for, and the coordination of, the Chairman's and Commissioners' appearances before Committees of Congress.
- Assist the Office of Managing Director in the preparation of the Managing Director's annual report to Congress, as well as with the annual submission of the Commission budget.
- Coordinate the Commission's legislative program, obtaining Bureau and Office comments and drafting final legislative proposals.

Office of the Managing Director

FTE	2009 Actual	2010 Enacted	2011 Request
	209	220	229
11-Compensation	\$20,234,422	\$19,114,956	\$21,203,207
12-Benefits	\$4,076,162	\$3,876,553	\$4,243,983
13-Benefits for Former Personnel	\$26,592	\$27,260	\$27,832
Subtotal, Personnel Costs	\$24,337,176	\$23,018,769	\$25,475,022
21-Travel	\$121,833	\$427,132	\$436,102
22-Transportation of Things	\$89,603	\$113,960	\$116,353
23-Rent and Communications	\$31,447,923	\$31,993,773	\$32,665,642
24-Printing and Reproduction	\$1,542,790	\$1,258,117	\$1,234,537
25-Other Contractual Services	\$54,350,472	\$44,455,205	\$34,529,819
26-Supplies and Materials	\$1,581,676	\$1,651,812	\$1,686,500
31-Equipment	\$4,645,553	\$7,647,452	\$6,446,952
42-Insurance Claims and Indemnities	\$125,354	\$200	\$200
Subtotal, Non-Personnel Costs	\$93,905,204	\$87,547,651	\$77,116,106
TOTAL	\$118,242,380	\$110,566,420	\$102,591,128

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X	X	X

The Managing Director is appointed by the Chairman with the approval of the Commission. Under the supervision and direction of the Chairman, the Managing Director serves as the Commission's chief operating official with the following duties and responsibilities:

- Provide managerial leadership to, and exercise supervision and direction over, the Commission's Bureaus and Offices with respect to management and administrative matters, but no substantive regulatory matters such as regulatory policy and rulemaking, authorization of service, administration of sanctions, and adjudication.
- Provide leadership and technical expertise designed to foster greater public participation in Commission reform, improvement and rulemaking.
- Formulate and administer all management and administrative policies, programs and directives for the Commission consistent with authority delegated by the Commission and the Chairman and recommend to the Chairman and the Commission major changes in such policies and programs.
- As the administrative head of the agency, assist the Chairman in carrying out the administrative and executive responsibilities delegated to the Chairman.
- Advise the Chairman and the Commission on management, administrative and related matters; review and evaluate the programs and procedures of the Commission; initiate action or make recommendations as may be necessary to administer the Communications Act most effectively in the public interest. Assess the management, administrative and resource implications of any

proposed action or decision to be taken by the Commission or by a Bureau or Office under delegated authority; recommend to the Chairman and the Commission program priorities, resource and position allocations, management and administrative policies.

- Direct agency efforts to continually improve management effectiveness, operational efficiency, employee productivity and service to the public. Administer Commission-wide management improvement programs.
- Plan and manage the administrative affairs of the Commission with respect to the functions of personnel and position management; labor-management relations; budget and financial management; information management and processing; organization planning; management analysis; procurement; office space management and utilization; administrative and office services; supply and property management; records management; personnel and physical security; and international telecommunications settlements.
- Serve as the principal operating official on ex parte matters involving restricted proceedings. Review and dispose of all ex parte communications received from the public and others. In consultation with the General Counsel, approve waivers of the applicability of the conflict of interest statutes pursuant to 18 U.S.C. §§ 205 and 208, or initiate necessary actions where other resolutions of conflicts of interest are called for.

Office of Media Relations

	2009	2010	2011
	Actual	Enacted	Request
FTE	15	16	18
11-Compensation	\$1,542,452	\$1,564,423	\$1,654,735
12-Benefits	\$405,993	\$410,840	\$419,835
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$1,948,445	\$1,975,263	\$2,074,571
21-Travel	\$0	\$1,417	\$1,447
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$111,992	\$108,800	\$111,085
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$82,232	\$111,075	\$113,408
26-Supplies and Materials	\$15,164	\$16,252	\$16,593
31-Equipment	\$89,185	\$17,010	\$17,367
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$298,573	\$254,554	\$259,900
TOTAL	\$2,247,018	\$2,229,817	\$2,334,470

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X	X	X

The Office of Media Relations informs the public and news media of Commission decisions and serves as the Commission’s main point of contact with the media. The Office of Media Relations has the following duties and responsibilities:

- Enhance public understanding of and compliance with the Commission’s regulatory requirements.
- Act as the principal channel for coordinating and communicating information to the news media on Commission policies, programs, activities, and to the public through the Daily Digest and web postings.
- Advise the Commission on information dissemination as it affects liaison with the media and the public.
- Manage the FCC’s Internet site and oversee the agency’s Web standards and guidelines, including accessibility.
- Manage the audio and visual support services for the Commission.

Office of Strategic Planning and Policy Analysis

	2009 Actual	2010 Enacted	2011 Request
FTE	23	18	45
11-Compensation	\$3,041,265	\$3,095,494	\$5,603,628
12-Benefits	\$705,036	\$714,419	\$1,312,420
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$3,746,301	\$3,809,913	\$6,916,048
21-Travel	\$16,371	\$26,451	\$27,006
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$132,758	\$376,424	\$384,329
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$0	\$0	\$2,400,000
26-Supplies and Materials	\$0	\$0	\$0
31-Equipment	\$0	\$314	\$321
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$149,129	\$403,189	\$2,811,656
TOTAL	\$3,895,430	\$4,213,102	\$9,727,704

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
X	X	X	X	X	X

The Office of Strategic Planning and Policy Analysis assists, advises, and makes recommendations to the Commission with respect to the development and implementation of communications policies in all areas of Commission authority and responsibility. Specifically, the Office performs the following functions:

- Conduct independent policy analyses to assess the long-term effects of alternative Commission policies on domestic and international communication industries and services, with due consideration of the responsibilities and programs of other staff units, and to recommend appropriate Commission action.
- Coordinate the policy research and development activities of other staff units, with special concern for matters which transcend their individual areas of responsibility.
- Identify and define significant communications policy issues, including broadband, in all areas of Commission interest and responsibility.
- Conduct economic, technical, and sociological studies of existing and proposed communications policies and operations, including cooperative studies with other staff units and consultant and contract efforts as appropriate.
- Develop and evaluate alternative policy options and approaches for consideration by the Commission that are data-driven and fact-based.
- Review and comment on all significant actions proposed for Commission action in terms of their overall policy implications.

- Recommend and evaluate governmental (state and federal) academic and industry-sponsored research affecting Commission policy issues.
- Prepare briefings, position papers, proposed Commission actions, or other agenda items as appropriate.
- Manage the Commission's policy research program, recommend budget levels and priorities for this program, and serve as central account manager for all contractual policy research studies funded by the Commission.
- Coordinate the formation and presentation of Commission positions in domestic communications policy; represent the Commission at appropriate interagency discussions and conferences.
- Participate in the development of international communications policy with the International Bureau and the Office of Engineering and Technology, and provide representation at meetings when appropriate.
- Develop and recommend procedures and plans for the effective handling of policy issues within the Commission.

Office of Workplace Diversity

	2009 Actual	2010 Enacted	2011 Request
FTE	4	4	5
11-Compensation	\$371,184	\$377,303	\$512,164
12-Benefits	\$92,943	\$94,202	\$124,534
13-Benefits for Former Personnel	\$0	\$0	\$0
Subtotal, Personnel Costs	\$464,127	\$471,505	\$636,698
21-Travel	\$0	\$32	\$33
22-Transportation of Things	\$0	\$0	\$0
23-Rent and Communications	\$40,749	\$40,749	\$41,605
24-Printing and Reproduction	\$0	\$0	\$0
25-Other Contractual Services	\$22,040	\$30,518	\$31,159
26-Supplies and Materials	\$300	\$517	\$528
31-Equipment	\$0	\$0	\$0
42-Insurance Claims and Indemnities	\$0	\$0	\$0
Subtotal, Non-Personnel Costs	\$63,089	\$71,816	\$73,324
TOTAL	\$527,216	\$543,321	\$710,023

FY 2011 Request: Applicability of FCC Strategic Goals					
Broadband	Consumers	Competition and Innovation	Continual Improvement	Public Safety and Homeland Security	International
		X	X		

The Office of Workplace Diversity, as a staff office to the Commission, develops, coordinates, evaluates, and recommends to the Commission policies, programs, and practices that foster a diverse workforce and promote and ensure equal opportunity for all employees and candidates for employment. A principal function of the office is to lead, advise, and assist the Commission, including all of its component Bureau/Office managers, supervisors, and staff at all levels, on ways to promote inclusion and full participation of all employees in pursuit of the Commission's mission. In accordance with this principal function, the office shall: (1) conduct independent analyses of the Commission's policies and practices to ensure that those policies and practices foster diversity in the workforce and ensure equal opportunity for employees and applicants; and (2) advise the Commission, Bureaus, and Offices of their responsibilities under: Title VII of the Civil Rights Act of 1964 as Amended; section 501 of the Rehabilitation Act of 1973 as amended; Age Discrimination in Employment Act of 1967, as amended; Executive Order 11478; and all other statutes, Executive Orders, and regulatory provisions relating to workforce diversity, equal employment opportunity, nondiscrimination, and civil rights. The office has the following duties and responsibilities:

- Through its Director, serves as the principal advisor to the Chairman and Commission officials on all aspects of workforce diversity, organization, equal employment opportunity, nondiscrimination, and civil rights.
- Provides leadership and guidance to create a work environment that values and encourages diversity in the workforce.

- Is responsible for developing, implementing, and evaluating programs and policies to foster a workforce whose diversity reflects the diverse makeup of the Nation, enhances the mission of the Commission, and demonstrates the value and effectiveness of a diverse workforce.
- Is responsible for developing, implementing, and evaluating programs and policies that promote understanding among members of the Commission's workforce of their differences and the value of those differences, and provides a channel for communication among diverse members of the workforce at all levels.
- Develops, implements, and evaluates programs and policies to ensure that all members of the Commission's workforce and candidates for employment have equal access to opportunities for employment, career growth, training, and development and are protected from discrimination and harassment.
- Develops and recommends Commission-wide workforce diversity goals and reports on achievements.
- Is responsible for developing, implementing, and evaluating programs and policies to enable all Bureaus and Offices to manage a diverse workforce effectively and in compliance with all equal employment opportunity and civil rights requirements.
- Works closely with the Associate Managing Director - Human Resources Management to ensure compliance with federal and Commission recruitment and staffing requirements.
- Manages the Commission's equal employment opportunity compliance program. Responsibilities in this area include processing complaints alleging discrimination, recommending to the Chairman final decisions on EEO complaints within the Commission, and providing consulting services to employees and applicants on EEO matters.
- Develops and administers the Commission's program of accessibility and accommodation for disabled persons in accordance with applicable regulations.
- Represents the Commission at meetings with other public and private groups and organizations on matters concerning workforce diversity and equal employment opportunity.
- Maintains liaison with and solicits views of organizations within and outside the Commission on matters relating to equal opportunity and workforce diversity.

APPENDICES

**FY 2011 Budget Estimates to Congress
Summary of Requested Resources**

(\$ in Thousands)

The Federal Communications Commission's budget estimates for Fiscal Year 2011 are summarized below:

DISTRIBUTION OF BUDGET AUTHORITY:

	<u>FY 2009 Actual BA</u>	<u>FY 2010 Enacted</u>	<u>FY 2011 Request</u>	<u>Change to Appropriated Budget Authority</u>
Direct Appropriation:				
Current: (P.L. 111 - 117)	\$0	\$0	\$1,000	\$1,000
Authority to Spend Offsetting Collections:				
Regulatory Fees	341,875	335,794	351,500	15,706
Appropriation Total:	\$341,875	\$335,794	\$352,500	16,706
Recission:				
Authority to Spend				
Other Off-setting Collections:				
1) Economy Act/Misc. Other	1,741	2,500	2,500	
2) Auctions Cost Recovery Reimbursements	85,000	85,000	85,000	
Subtotal Other Offsetting Collections:	\$86,741	\$87,500	\$87,500	
Total Budget Authority - Available to incur obligations:	\$428,616	\$423,294	\$440,000	
Other Budget Authority				
Credit Program Account	\$6,432	\$5,499	\$3,787	
Universal Service Fund (USF) ^{1/}	\$19,956	\$0	\$0	

1/ The Consolidated Appropriations Act, 2008 (P.L. 110-161) language authorizes use of \$21.48M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 and FY 2009, \$4.8M was obligated. The remainder \$16.7M has been carried forward, \$5.2M is estimated to be used in FY 2010, \$5.4M is estimated to be used in FY 2011, and \$6.1M will be used for future fiscal years.

FY 2011 Budget Estimates to Congress
Summary of Requested Resources
(\$ in Thousands)

DISTRIBUTION OF OBLIGATIONS:

	<u>FY 2009 Actual BA</u>	<u>FY 2010 Enacted</u>	<u>FY 2011 Request</u>	<u>Difference</u>
Direct Appropriation:				
Personnel Compensation	\$0	\$0	\$1,000	\$1,000
Personnel Benefits	0	0	0	0
Benefits to Former Employees	0	0	0	0
Other Obligations	0	0	0	0
Sum-Direct Obligations	<u>\$0</u>	<u>\$0</u>	<u>\$1,000</u>	<u>\$1,000</u>
Offsetting Collections - Obligations:				
Regulatory Fees	\$341,875	\$335,794	\$351,500	\$15,706
<hr/>				
Subtotal - Obligations from Appropriated Funds: (Less Recission/Lapsed):	\$341,875	\$335,794	\$352,500	\$16,706
Obligations - Other Offsetting Collections				
1) Economy Act/Misc. Other	1,490	2,500	2,500	
2) Auctions Cost Recovery Reimbursements	85,000	85,000	85,000	
<hr/>				
Subtotal Other Offsetting Collections:	\$86,490	\$87,500	\$87,500	
<hr/>				
TOTAL OBLIGATIONS	428,365	423,294	440,000	
TOTAL OUTLAYS				
(Includes Direct & All Offsetting Collections)				
<hr/>				
Other Budget Authority:				
Credit Program Account	\$6,432	\$5,499	\$3,865	
Universal Service Fund (USF) ^{1/}	\$4,397	\$5,209	\$5,355	

1/ The Consolidated Appropriations Act, 2008 (P.L. 110-161) language authorizes use of \$21.48M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 and FY 2009, \$4.8M was obligated. The remainder \$16.7M has been carried forward, \$5.2M is estimated to be used in FY 2010, \$5.4M is estimated to be used in FY 2011, and \$6.1M will be used for future fiscal years.

FY 2011 Budget Estimates to Congress
Summary of Requested Resources
(\$ in Millions)

OUTLAYS:	FY 2009	FY 2010	FY 2011
	Actual BA	Enacted	Request
Outlays from new discretionary authority:			
Direct	\$0	\$0	\$1
USF Transfer	0	0	0
New Offsetting Collections:			
Regulatory Fees	\$340	\$333	\$351
Auctions Receipts	85	85	85
Interagency/Other	2	3	3
Homeland Security	2	2	2
Subtotal, Outlays from new discretionary authority	\$429	\$423	\$442
Outlays from prior year discretionary balances	0	0	0
TOTAL OUTLAYS	\$429	\$423	\$442

	FY 2009	FY 2010	FY 2011
	Actual BA	Enacted	Request
Total Compensable Workyears:			
Full-Time Equivalent Employment (FTEs)	1,792	1,905	1,980
Proposed Distribution:			
Direct ^{1/}	0	0	7
Offsetting Collections ^{1/}	1,770	1,878	1,946
Auctions Credit Program Account	8	8	8
Universal Service Fund (USF) (Term)	23	19	19
TOTAL FTE CEILING	1,801	1,905	1,980

1/ The Consolidated Appropriations Act, 2008 (P.L. 110-161) language authorizes use of \$21.48M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 and FY 2009, \$4.8M was obligated. The remainder \$16.7M has been carried forward, \$5.2M is estimated to be used in FY 2010, \$5.4M is estimated to be used in FY 2011, and \$6.1M will be used for future fiscal years.

FY 2011 Budget Estimates to Congress
SUMMARY TABLES
DISTRIBUTION OF RESOURCES
(\$ in thousands)

DIRECT AUTHORITY - CURRENT:

<u>Object Class Description</u>	<u>FY 2009 Actual</u>	<u>FY 2010 Enacted</u>	<u>FY 2011 Request</u>
Personnel Compensation & Benefits:			
Full-time Permanent (11.1)	\$0	\$0	\$1,000
Full-time Temporary (11.3)			
Part-time (11.3)			
Personnel Benefits (12.1)	--	--	--
Subtotal Personnel Comp. & Benefits	<u>\$0</u>	<u>\$0</u>	<u>\$1,000</u>
Other Expenses:			
Benefits for Former Personnel (13.0)	\$- -	\$- -	\$- -
Travel (21.0)	--	--	--
Transportation of Things (22.0)	--	--	--
GSA Rent (23.1)	--	--	--
Other Rents, Comm., Utilities (23.3)	--	--	--
Printing and Reproduction (24.0)	--	--	--
Contract Services - Non-Fed (25.2)	--	--	--
Fed. Purchase, Goods & Services (25.3)	--	--	--
Operation & Maint. of Equipment (25.7)	--	--	--
Supplies and Materials (26.0)	--	--	--
Equipment (31.0)	--	--	--
Land and Structures (32.0)	--	--	--
Insurance Claims & Indemnities (42.0)	--	--	--
Subtotal Other Expenses	<u>\$- -</u>	<u>\$- -</u>	<u>\$- -</u>
Total Direct Authority Obligations	\$0	\$0	\$1,000

FY 2011 Budget Estimates to Congress
SUMMARY TABLES
DISTRIBUTION OF RESOURCES
(\$ in thousands)

REGULATORY FEES - CURRENT:

Object Class Description	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request
Personnel Compensation & Benefits:			
Full-time Permanent (11.1)	\$179,901	\$182,147	\$200,815
Full-time Temporary (11.3)	764	773	853
Part-time (11.3)	2,885	2,921	3,221
Personnel Benefits (12.1)	42,656	43,387	46,778
Subtotal Personnel Comp. & Benefits	<u>\$226,206</u>	<u>\$229,228</u>	<u>\$251,667</u>
Other Expenses:			
Benefits for Former Personnel (13.0)	\$27	\$27	\$28
Travel (21.0)	1,750	2,020	2,063
Transportation of Things (22.0)	163	159	162
GSA Rent (23.1)	35,089	36,017	36,773
Other Rents, Comm., Utilities (23.3)	6,890	7,549	7,707
Printing and Reproduction (24.0)	1,623	1,258	1,235
Contract Services - Non-Fed (25.2)	40,926	18,849	21,496
Fed. Purchase, Goods & Services (25.3)	3,808	3,179	3,246
Operation & Maint. of Equipment (25.7)	17,269	26,786	17,538
Supplies and Materials (26.0)	2,067	2,008	2,050
Equipment (31.0)	5,931	8,712	7,534
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	126	0	0
Subtotal Other Expenses	<u>\$115,669</u>	<u>\$106,566</u>	<u>\$99,833</u>
Total Obligations from Regulatory Fees	\$341,875	\$335,794	\$351,500
Total Resources from Direct Appropriations	\$341,875	\$335,794	\$352,500

FY 2011 Budget Estimates to Congress
SUMMARY TABLES
DISTRIBUTION OF RESOURCES
(\$ in thousands)

AUCTIONS COST RECOVERY REIMBURSABLE AUTHORITY:

-- The following table depicts the distribution of the actual FY 2009, enacted for FY 2010, and estimated for FY 2011 obligations utilizing auctions cost recovery reimbursable authority.

<u>Object Class Description</u>	<u>FY 2009 Actual</u>	<u>FY 2010 Enacted</u>	<u>FY 2011 Request</u>
Personnel Compensation & Benefits:			
Full-time Permanent (11.1)	\$22,145	\$22,256	\$22,743
Full-time Temporary (11.3)	5	5	5
Part-time (11.3)	315	317	323
Personnel Benefits (12.1)	5,478	5,666	5,789
Subtotal Personnel Comp. & Benefits	<u>\$27,943</u>	<u>\$28,244</u>	<u>\$28,861</u>
Other Expenses:			
Benefits for Former Personnel (13.0)	\$4	\$4	\$4
Travel (21.0)	265	360	360
Transportation of Things (22.0)	0	0	0
GSA Rent (23.1)	6,622	6,808	6,808
Other Rents, Comm., Utilities (23.3)	3,412	3,407	3,407
Printing and Reproduction (24.0)	110	120	120
Contract Services - Non-Fed (25.2)	12,626	11,205	10,631
Fed. Purchase, Goods & Services (25.3)	1,481	1,238	1,238
Operation & Maint. of Equipment (25.7)	29,282	30,339	30,309
Supplies and Materials (26.0)	492	456	456
Equipment (31.0)	2,762	2,819	2,805
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	<u>\$57,057</u>	<u>\$56,756</u>	<u>\$56,139</u>
Total Auctions Cost Recovery			
Reimbursable Obligations:^{1/}	\$85,000	\$85,000	\$85,000

^{1/} The Omnibus Appropriation Act, 2009 (P.L. 111-117) limits the Auctions Program to \$85M.

FY 2011 Budget Estimates to Congress
SUMMARY TABLES
DISTRIBUTION OF RESOURCES
(\$ in thousands)

GOVERNMENT/OTHER REIMBURSABLE AUTHORITY

-- The following table depicts the Economy Act/Other Reimbursable actual resources for FY 2009, enacted for FY 2010 and estimated for FY 2011.

Object Class Description	FY 2009 Actual	FY 2010 Enacted	FY 2011 Request
Personnel Compensation & Benefits:			
Full-time Permanent (11.1)	\$0	\$0	\$0
Full-time Temporary (11.3)	0	0	0
Part-time (11.3)	0	0	0
Personnel Benefits (12.1)	0	0	0
Subtotal Personnel Comp. & Benefits	\$0	\$0	\$0
Other Expenses:			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	86	100	100
Transportation of Things (22.0)	0	0	0
GSA Rent (23.1)	0	0	0
Other Rents, Comm., Utilities (23.3)	0	0	0
Printing and Reproduction (24.0)	0	0	0
Contract Services - Non-Fed (25.2)	865	1,365	1,365
Fed. Purchase, Goods & Services (25.3)	0	0	0
Operation & Maint. of Equipment (25.7)	2	10	10
Supplies and Materials (26.0)	21	25	25
Equipment (31.0)	516	1,000	1,000
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	\$1,490	\$2,500	\$2,500
Total Government/Other Reimbursable Authority	\$1,490	\$2,500	\$2,500

FY 2011 Budget Estimates to Congress
SUMMARY TABLES
DISTRIBUTION OF RESOURCES
(\$ in thousands)

CREDIT PROGRAM ACCOUNT:

-- The following table depicts the distribution of obligations from the Credit Program account for FY 2009, FY 2010, and FY 2011. These obligations are presented in separate schedules apart from the Salaries & Expenses account and funded from Permanent Indefinite Authority.

<u>Object Class Description</u>	<u>FY 2009 Actual</u>	<u>FY 2010 Enacted</u>	<u>FY 2011 Request</u>
Personnel Compensation & Benefits:			
Full-time Permanent (11.1)	\$948	\$964	\$985
Full-time Temporary (11.3)	0	0	0
Part-time (11.3)	0	0	0
Personnel Benefits (12.1)	228	231	236
Subtotal Personnel Comp. & Benefits	\$1,176	\$1,195	\$1,221
Other Expenses:			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	5	5	5
Transportation of Things (22.0)	0	0	0
GSA Rent (23.1)	0	0	0
Other Rents, Comm., Utilities (23.3)	0	0	0
Printing and Reproduction (24.0)	0	0	0
Contract Services - Non-Fed (25.2)	3,588	2,636	906
Fed. Purchase, Goods & Services (25.3)	1,573	1,573	1,566
Operation & Maint. of Equipment (25.7)	87	87	87
Supplies and Materials (26.0)	2	2	2
Equipment (31.0)	1	1	1
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	\$5,256	\$4,304	\$2,567
Total Credit Program	\$6,432	\$5,499	\$3,788

FY 2011 Budget Estimates to Congress
SUMMARY TABLES
DISTRIBUTION OF RESOURCES
(\$ in thousands)

UNIVERSAL SERVICE FUND:

-- The following table depicts the distribution of obligations from the use of Universal Service Funds for FY 2009, estimated for FY 2010 and FY 2011. These obligations are presented in separate schedules apart from the Salaries & Expenses account and funded from amounts transferred from USF in FY 2009, as permitted in appropriations language that year. No new budget authority was enacted in FY 2010 or is proposed for FY 2011; carryover balances will be used for continued USF oversight by the Inspector General.

Object Class Description	FY 2009 Actual	FY 2010 Estimated	FY 2011 Estiamted
Personnel Compensation & Benefits:			
Full-time Permanent (11.1)	\$0	\$0	\$0
Full-time Temporary (11.3)	1,994	2,228	2,336
Part-time (11.3)	0	0	0
Personnel Benefits (12.1)	521	742	778
Subtotal Personnel Comp. & Benefits	\$2,515	\$2,970	\$3,114
Other Expenses:			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	158	100	120
Transportation of Things (22.0)	0	0	0
GSA Rent (23.1)	0	0	0
Other Rents, Comm., Utilities (23.3)	0	0	0
Printing and Reproduction (24.0)	0	0	0
Contract Services - Non-Fed (25.2)	480	2,031	2,035
Fed. Purchase, Goods & Services (25.3)	0	0	0
Operation & Maint. of Equipment (25.7)	0	0	0
Supplies and Materials (26.0)	8	8	6
Equipment (31.0)	164	100	80
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	\$810	\$2,239	\$2,241
Total Universal Service Program	\$3,325 ^{1/}	\$5,209 ^{1/}	\$5,355

^{1/} The Consolidated Appropriations Act, 2008 (P.L. 110-161) language authorizes use of \$21.48M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 and FY 2009, \$4.8M was obligated. The remainder \$16.7M has been carried forward, and \$5.2M is estimated to be used in FY 2010, \$5.4M is estimated to be used in FY 2011, and \$6.1M will be used for future fiscal years.

**FY 2011 Budget Estimates to Congress
Distribution of Resources by Goal**

Goals:	Broadband	Competition	Spectrum	Media	Public Safety	Modernize	Resource Request
FY 2009 Resources by Goal 1/	\$18,746,372	\$85,796,998	\$77,108,252	\$99,075,260	\$28,633,414	\$32,514,487	\$341,874,783
Estimated FY 2010 Resources by Goal 2/	\$16,825,927	\$99,930,001	\$91,927,215	\$39,718,479	\$34,343,555	\$53,048,822	\$335,794,000
One-Time Decreases:	\$0	\$0	\$0	(\$1,000,000)	(\$900,000)	(\$16,000,000)	(\$17,900,000)
Requested Increases to Base Funding:							
--Staffing Adjustment (75 FTEs)	6,224,429	0	0	276,642	1,936,489	2,628,069	11,065,629
--Locality Pay Adjustment	322,036	1,912,585	1,759,418	760,182	657,310	1,015,314	6,426,844
--Continuation of 7 FTE from FY 2010	0	0	0	0	0	1,000,000	1,000,000
--Public Safety Support Vehicles	0	0	0	0	900,000	0	900,000
Estimated Base for FY 2011 Increments	\$23,372,392	\$101,842,586	\$93,686,633	\$39,755,303	\$36,937,354	\$41,692,205	\$337,286,473
Incremental Distribution:							
Fixed Cost Increases 3/	383,483	1,755,098	1,577,357	2,026,723	585,737	665,129	6,993,527
Subtotal	\$23,755,875	\$103,597,684	\$95,263,990	\$41,782,026	\$37,523,090	\$42,357,335	\$344,280,000

FY 2011 New Goals	Broadband	Consumers	Competition & Innovation	Continual Improvement	Public Safety	International	Resource Request
--Adjustment to Re-align FY 2010 Goals to FY 2011 Goals							
Broadband	23,755,875	0	0	0	0	0	23,755,875
Competition	0	25,899,421	60,086,657	5,179,884	0	12,431,722	103,597,684
Spectrum	61,921,593	0	20,005,438	0	3,810,560	9,526,399	95,263,990
Media	0	12,534,608	29,247,418	0	0	0	41,782,026
Public Safety	0	0	0	0	37,523,090	0	37,523,090
Modernize	0	0	0	42,357,335	0	0	42,357,335
FY 2011 Base Cost Adjusted to the FY 2011 New Goals	\$85,677,468	\$38,434,029	\$109,339,513	\$47,537,219	\$41,333,650	\$21,958,121	\$344,280,000

Programmatic Increases: 4/	25%	11%	31%	15%	12%	6%
--Centralized Data Center	0	0	0	2,880,000	0	0
--Consolidated Licensing System	0	0	0	1,440,000	0	0
--Spectrum Inventory & Broadband Mapping Data	2,400,000	0	0	0	0	0
--Emergency Response Interoperability Center (ERIC)	0	0	0	0	1,500,000	0
Total 2011 Request by Goal:	88,077,468	38,434,029	109,339,513	51,857,219	42,833,650	21,958,121

1/ The distribution of FY 2009 resources by goal are based on FY 2009 YTD cost reports.
2/ The estimated distribution of FY 2010 resources by goal are based on FY 2010 budget estimates to Congress, dated May 2009.
3/ Uncontrollable pay and inflationary increases requested have been prorated across all goals based on FY 2009 adjusted percentages.
4/ Programmatic increases requested have been identified and distributed to the goal and/or goals for which the resources will provide enhanced capabilities in FY 2011.

FY 2011 Budget Estimates to Congress
FY 2011 SUMMARY OF INCREASES BY BUDGET OBJECT CLASS CODE
(\$ in thousands)

OC Description	Programmatic Incr./Decr.	Perm. Increases to Base Budget	Inflationary Increase	FY 2011 New Initiatives
11.00 Compensation				
-- CY 2010 & CY 2011 Pay Raise for FY 2010			\$4,348	
-- Staffing Adjustment	(\$800)	\$16,079		420
12.00 Benefits				
-- Benefits associated with Pay Raise			998	
-- Staffing Adjustment	(200)	2,413		180
13.00 Benefits for Former Personnel				
			1	
21.00 Travel and Transportation of Persons				
-- Domestic/International/Joint Board Travel			40	
-- Leased, Passenger Vehicles			2	
22.00 Transportation of Things				
			3	
23.00 Rents, Communications, Utilities				
-- GSA Rent and Fees Increase: Portals I & II, and field offices			756	
-- Non-GSA Space Rent			28	
-- GSA and Non-GSA Telephones			70	
-- Mail Service--Postage			9	
-- GSA, Electric, Other Utilities			20	
-- Telecommunications Service-Non-GSA			4	
-- Other Equipment Rental/Copier Rental			27	
24.00 Printing and Reproduction				
			26	
25.00 Other Contractual Services				
-- Contract Services - Federal & Non-Federal	(1,200)	200	252	\$3,300
-- ADP Data Retrieval Services			28	
-- Training/Tuition/Fees; Gov't-wide training initiative			18	
-- Contract Purchases-Federal			5	0
-- Interagency Contracts			54	
-- Field Office Buildings and Grounds; Space Repair			5	
-- Health Services			2	
-- Repair/Maintenance of Vehicles			1	
-- ADP Software/ADP Equip. Maintenance; ADP Service Contracts	(10,500)		161	960
-- Repair Office Equipment/Technical Equipment			3	
26.00 Supplies and Materials				
-- Field Fuel Supplies			3	
-- Periodicals & Subscriptions			11	
-- General Supplies and Materials			29	
31.00 Equipment				
-- Technical Equipment	(330)	330	13	
-- ADP Equipment	(2,250)		38	2,400
-- ADP Software	(2,250)		26	960
-- Equipment			3	
-- Vehicle Purchase	(370)	370	8	
-- Other Equipment			0	
32.00 Lands and Structures				
42.00 Insurance Claims and Indemnities				
TOTAL				
	(\$17,900)	\$19,392	\$6,994	\$8,220
TOTAL INCREASE/DECREASE				
	\$16,706			

FY 2011 Budget Estimates to Congress
ALLOCATION OF OBLIGATIONS BY OBJECT CLASS CODE
(\$ in thousands)

OBJECT CLASS CODE	FY 2009 Actuals	FY 2010 Enacted	Adjustments To Establish FY 2011 Base	FY 2011 Base	Programmatic Changes (+/-)	FY 2011 Total Request
11 Personnel Compensation	\$183,550	\$186,637	\$19,627	\$206,264	\$420	\$206,684
12 Personnel Benefits	\$42,656	\$42,565	3,211	45,776	180	45,956
13 Benefits for Former Personnel	\$27	\$27	1	28	0	28
21 Travel & Trans. of Persons	\$1,750	\$1,954	42	1,996	0	1,996
22 Transportation of Things	\$163	\$167	3	170	0	170
23.1 GSA Rent	\$35,089	\$35,621	756	36,377	0	36,377
23.3 Other Rents, Communications, Utilities	\$6,890	\$7,216	159	7,375	0	7,375
24 Printing	\$1,623	\$1,258	(24)	1,235	0	1,235
25.2 Other Services	\$40,926	\$19,256	(653)	18,603	3,300	21,903
25.3 Fed. Purchase, Goods & Services	\$3,808	\$3,182	67	3,249	0	3,249
25.7 Op/Maint. of Equip./Software/ Info Sys	\$17,269	\$27,811	(10,208)	17,603	960	18,563
26 Supplies & Materials	\$2,067	\$2,000	42	2,042	0	2,042
31 Equipment/Software	\$5,931	\$8,025	(4,538)	3,487	3,360	6,847
32 Land, Buildings, Structures	\$0	\$0	0	0	0	0
42 Insur. Claims & Indemnities	\$126	\$75	0	75	0	75
SUB TOTAL APPROPRIATION AUTHORITY	\$341,875	\$335,794	\$8,486 1/	\$344,281	\$8,220	\$352,500
Reimbursables - Gov't/Other	1,490	2,500	0	2,500	0	2,500
Auctions Cost Recovery-Reimbursement	85,000	85,000	0	85,000	0	85,000
TOTAL REQUEST	\$428,365	\$423,294	\$8,486	\$431,781	\$8,220	\$440,000
OTHER BUDGET AUTHORITY						
Credit Program Account	\$6,432 2/	\$5,499				\$3,787
Universal Service Fund (USF)	\$4,397 3/	\$5,209 3/				\$5,355 3/

1/ Includes adjustments from prior year initiatives.

2/ The Commission received authority to use prior year balances to fund FY 2008 obligations and outlays.

3/ The Consolidated Appropriations Act, 2008 (P.L. 110-161) language authorizes use of \$21.48M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 and FY 2009, \$4.8M was obligated. The remainder \$16.7M will be carried forward, \$5.2M is estimated to be used in FY 2010, \$5.4M is estimated to be used in FY 2011, and \$6.1M will be used for future fiscal years.

FY 2011 Budget Estimates to Congress
PRO RATA ALLOCATION OF OBLIGATIONS BY OBJECT CLASS CODE
(\$ in thousands)

OBJECT CLASS CODE	FY 2010 Funding Source			FY 2011 Funding Source		
	Direct Authority	Offsetting Collections	Total OC Allocation	Direct Authority	Offsetting Collections	Total OC Allocation
11 Personnel Compensation	\$0	185,842	\$185,842	\$1,000	\$204,889	\$205,889
12 Personnel Benefits	0	43,387	43,387	0	46,778	46,778
13 Benefits for Former Personnel	0	27	27	0	28	28
21 Travel & Trans. of Persons	0	2,020	2,020	0	2,063	2,063
22 Transportation of Things	0	159	159	0	162	162
23.1 GSA Rent	0	36,017	36,017	0	36,773	36,773
23.3 Other Rents, Communications, Utilities	0	7,549	7,549	0	7,707	7,707
24 Printing	0	1,258	1,258	0	1,235	1,235
25.2 Other Services	0	18,849	18,849	0	21,496	21,496
25.3 Fed. Purchases, Goods & Services	0	3,179	3,179	0	3,246	3,246
25.7 Op/Maint. of Equip./Software/Info Sys	0	26,786	26,786	0	17,538	17,538
26 Supplies & Materials	0	2,008	2,008	0	2,050	2,050
31 Equipment/Software	0	8,712	8,712	0	7,534	7,534
32 Land, Buildings, Structures	0	0	0	0	0	0
42 Insur. Claims & Indemnities	0	0	0	0	0	0
Appropriation-Direct B/A	\$0	\$0	\$0	\$1,000	\$0	\$1,000
Appropriation-Offsetting Collections Reg. Fees B/A:	0	335,794	335,794	0	351,500	351,500
Subtotal-B/A in Language	\$0	\$335,794	\$335,794	\$1,000	\$351,500	\$352,500
Reimbursable Program - Gov't/Other (Est.)		2,500	2,500		2,500	2,500
Auctions Cost Recovery-Reimbursement		85,000	85,000		85,000	85,000
Total Obligations		\$423,294	\$423,294		\$440,000	\$440,000
<u>OTHER BUDGET AUTHORITY</u>						
Credit Program Account		\$5,499	\$5,499			\$3,787
Universal Service Fund (USF)		\$5,209	\$5,209			\$5,355

EXHIBITS AND REPORTS

UNIVERSAL SERVICE FUND

Under the Telecommunications Act of 1996, telecommunications carriers that provide interstate and international telecommunications services are required to contribute funds for the preservation and advancement of universal service. The contributions generally provided, in turn, by each carrier's subscribers, are used to provide services eligible for universal service support as prescribed by the FCC. Eligible telecommunications carriers receive support from the universal service funds if they (1) provide service to high cost areas, (2) provide eligible services at a discount rate to schools, libraries or rural health care providers, or (3) provide subsidized service or subsidized telephone installation to low income consumers. Interest income on these funds is utilized to offset carrier contributions. Administrative costs of the program are provided from carrier contributions.

Public Law 111-117 temporarily suspended the application of the Antideficiency Act to the Federal universal service fund programs authorized under section 254 of the Communications Act of 1934, through December 31, 2010. The Antideficiency Act requires that funds be available before incurring an obligation on behalf of the Federal Government.

As a result of the Program Assessment Rating Tool analyses of the USF programs, the FCC is examining program policies, performance measures, and administrative effectiveness in order to ensure that the programs use resources efficiently and provide meaningful results.

Program and Financing (in millions of dollars)				
	2009 Actual	2010 Est.	2011 Est.	
Obligation by program activity:				
00.01	Direct Program Activity	\$8,562	\$10,012	\$10,291
00.02	Program support	192	206	210
10.00	Total new obligations (object class 41.0)	<u>\$8,754</u>	<u>\$10,218</u>	<u>\$10,501</u>
Budgetary resources available for obligation:				
21.40	Unobligated balance carried forward, start of year	\$2,238	\$2,983	\$2,367
22.00	New budget authority (gross)	8,388	8,949	9,279
22.10	Resources available from recoveries of prior year obligations	1,111	653	853
23.90	Total budgetary resources available for obligation	<u>11,737</u>	<u>12,585</u>	<u>12,499</u>
23.95	Total new obligations	<u>(8,754)</u>	<u>(10,218)</u>	<u>(10,501)</u>
24.40	Unobligated balance carried forward, end of year	<u>\$2,983</u>	<u>\$2,367</u>	<u>\$1,998</u>
New budget authority (gross), detail:				
Mandatory:				
41.00	Transferred to other accounts	0	0	0
60.20	Appropriation (special fund)--Receipts	8,306	8,913	9,233
60.20	Appropriation (special fund)--Interest	68	36	46
60.20	Appropriation (special Fund)--Sale non-Federal	0	0	0
62.50	Appropriation (total mandatory)	<u>\$8,374</u>	<u>\$8,949</u>	<u>\$9,279</u>
70.00	Total new budget authority (gross)	<u>\$8,374</u>	<u>\$8,949</u>	<u>\$9,279</u>
Change in obligated balances:				
72.40	Obligated balance, start of year	\$3,508	\$3,060	\$3,082
73.10	Total new obligations	8,754	10,218	10,501
73.20	Total outlays (gross)	(8,091)	(9,543)	(9,842)
73.45	Recoveries of prior year obligations	<u>(1,111)</u>	<u>(653)</u>	<u>(853)</u>
74.40	Obligated balance, end of year	<u>\$3,060</u>	<u>\$3,082</u>	<u>\$2,888</u>
Outlays (gross), details:				
86.97	Outlays from new mandatory authority	5,289	6,040	6,490
86.98	Outlays from mandatory balances	<u>2,802</u>	<u>3,503</u>	<u>3,352</u>
87.00	Total outlays (gross)	<u>\$8,091</u>	<u>\$9,543</u>	<u>\$9,842</u>
Net budget authority and outlays:				
89.00	Budget authority	<u>\$8,374</u>	<u>\$8,949</u>	<u>\$9,279</u>
90.00	Outlays	<u>\$8,091</u>	<u>\$9,543</u>	<u>\$9,842</u>
Memorandum (non-add) entries:				
92.01	Total investments, start of year: Federal securities: Par value	\$5,741	\$6,008	\$6,006
92.02	Total investments, end of year: Federal securities: Par value	6,008	6,006	6,006
95.02	Unpaid obligation, end of year	3,060	0	0

SPECTRUM AUCTION PROGRAM ACCOUNT

This program provided direct loans for the purpose of purchasing spectrum licenses at the Federal Communications Commission's auctions. The licenses were purchased on an installment basis, which constitutes an extension of credit. The first year of activity for this program was 1996.

As required by the Federal Credit Refom Act of 1990, this account records, for this program, the subsidy costs associated with the direct loans obligated in 1992 and beyond (including modifications of direct loans or loan guarantees that resulted from obligations or commitments in any year), as well as administrative expenses of this program. The subsidy amounts are estimated on a present value basis and administrative expenses are estimated on a cash basis. The FCC no longer offers credit terms on purchases through spectrum auctions. Program activity relates to maintenance and close-out of existing loans.

Program and Financing (in millions of dollars)

	2009 Actual	2010 Est.	2011 Est.
Obligations by program activity:			
00.05 Reestimates of direct loan subsidy	\$12	\$14	\$0
00.06 Interest on reestimates of direct loan subsidy	40	0	0
00.09 Administrative Expenses	3	6	4
10.00 Total new obligations	\$55	\$20	\$4
Budgetary resources available for obligation:			
21.40 Unobligated balance carried forward, start of year	\$10	\$7	\$1
22.00 New budget authority (gross)	52	14	4
22.10 Resources available from recoveries of prior year	0	0	0
23.90 Total budgetary resources available for obligation	\$62	\$21	\$5
23.95 Total new obligations	(\$55)	(\$20)	(\$4)
24.40 Unobligated balance carried forward, end of year	\$7	\$1	\$1
New budget authority (gross), detail:			
Mandatory:			
60.00 Appropriation	\$52	\$14	\$4
Change in obligated balances:			
72.40 Obligated balance, start of year	\$2	\$2	\$1
73.10 Total new obligations	55	20	4
73.20 Total outlays (gross)	(55)	(21)	(4)
73.45 Recoveries of prior year obligations	0	0	0
74.40 Obligated balance, end of year	\$2	\$1	\$1
Outlays (gross), detail:			
86.97 Outlays from new mandatory authority	\$0	\$14	\$4
86.98 Outlays from mandatory balances	55	7	0
87.00 Total outlays (gross)	\$55	\$21	\$4
Net budget authority and outlays:			
89.00 Budget authority	\$52	\$14	\$0
90.00 Outlays	\$55	\$21	\$4
95.02 Unpaid obligation, end of year	\$1	\$0	\$0

Summary of Loan levels, Subsidy Budget Authority and Outlays by Program (in millions of dollars)

	2009 Actual	2010 Est.	2011 Est.
Direct loan upward reestimate subsidy budget authority			
1350 Spectrum auction	\$52	\$14	\$0
1359 Total upward reestimate budget authority	52	14	0
Direct loan downward reestimate subsidy budget authority			
1370 Spectrum auction	(112)	(57)	0
1379 Total downward reestimate budget authority	(112)	(57)	0
Administrative expense data:			
3510 Budget authority	3	6	4
3590 Outlays from new authority	3	6	4
Object Classification (in millions of dollars)			
	2009 Actual	2010 Est.	2011 Est.
11.11 Personnel compensation: Full-time permanent	\$1	\$1	\$1
11.21 Civilian personnel benefits	0	0	0
12.52 Other services	6	3	1
12.53 Other purch of goods & services from Government acct	4	2	2
14.10 Grants, subsidies, and contributions	44	14	0
99.95 Below reporting threshold	\$0	\$0	\$0
99.99 Total new obligations	\$55	\$20	\$4

SPECTRUM AUCTION DIRECT LOAN FINANCING ACCOUNT

As required by the Federal Credit Reform Act of 1990, this non-budgetary account records all cash flows to and from the Government resulting from direct loans obligated in 1992 and beyond (including modifications of direct loans that resulted from obligations in any year). The amounts in this account are a means of financing and are not included in the budget totals.

Program and Financing (in millions of dollars)

	2009 Actual	2010 Est.	2011 Est.
Operating Expenses:			
00.02 Interest Paid to Treasury	\$12	\$3	\$3
08.02 Direct program activity	112	29	0
08.04 Interest on downward reestimate	0	28	0
08.91 Direct Program by Activities - Subtotal	\$112	\$57	\$0
10.00 Total new obligations	\$124	\$60	\$3
Budgetary resources available for obligation:			
21.40 Unobligated balance carried forward, start of year	\$54	\$12	\$0
22.00 New financing authority (gross)	212	153	3
22.60 Portion applied to repay debt	(130)	(105)	0
23.90 Total budgetary resources available for obligation	\$136	\$60	\$3
23.95 Total new obligations	(124)	(60)	(3)
24.40 Unobligated balance carried forward, end of year	\$12	\$0	\$0
New financing authority (gross), detail:			
Mandatory:			
67.10 Authority to borrow:	\$64	\$57	\$3
Offsetting collections			
69.00 Offsetting collections	148	96	0
70.00 Total new financing authority (gross)	\$212	\$153	\$3
Change in obligated balances:			
73.10 Total new obligations	\$124	\$60	\$3
73.20 Total financing disbursements (gross)	(124)	(60)	(3)
87.00 Total financing disbursements (gross)	123	60	3
Offsets:			
Against gross financing authority and financing disbursements:			
Offsetting collections (cash) from:			
88.00 Federal sources	\$52	\$14	\$0
88.25 Interest on uninvested funds	6	0	0
Non-Federal sources:			
88.40 Interest received on loans	90	0	0
88.40 Non-Federal sources	0	0	0
88.40 Recoveries	0	82	0
88.90 Total offsetting collections (cash)	\$148	\$96	\$0
Net financing authority and financing disbursements:			
89.00 Financing authority	\$64	\$57	\$3
90.00 Financing disbursements	(\$25)	(\$36)	\$3

Status of Direct Loans (in millions of dollars)

	2009 Actual	2010 Est.	2011 Est.
Cumulative balance of direct loans outstanding:			
1210 Outstanding, start of year	\$212	\$203	\$54
1251 Repayments: Repayments and prepayments	(9)	0	0
1263 Write-offs for default: Direct loans	0	(149)	(28)
1264 Other adjustments, net(adjust to princ recoveries)	0	0	0
1290 Outstanding, end of year	<u>\$203</u>	<u>\$54</u>	<u>\$26</u>
6200 Net financing disbursements-Policy	(\$25)	(\$36)	\$3
6300 Net financing disbursements-Baseline	\$0	(\$36)	\$3

Balance Sheet (in millions of dollars)

	2009 Actual	2010 Est.	2011 Est.
ASSETS:			
1101 Federal assets: Fund balance with Treasury	\$12	\$0	\$0
Net value of assets related to post-1991 direct loan receivable:			
1401 Direct loans receivable, gross	\$203	\$0	\$0
1402 Interest receivable	16	0	0
1405 Allowance for subsidy cost (-)	(135)	0	0
1499 Net present value of assets related to direct loans	<u>\$84</u>	<u>\$0</u>	<u>\$0</u>
1901 Other Federal assets: Other assets	0	0	0
1999 Total assets	<u><u>\$96</u></u>	<u><u>\$0</u></u>	<u><u>\$0</u></u>
LIABILITIES:			
Federal liabilities			
2103 Resources payable to Treasury	\$46	\$0	\$0
2105 Other (liability to prog. acct.)	0	0	0
2105 Other Debt	6	0	0
2999 Total liabilities	<u><u>\$52</u></u>	<u><u>\$0</u></u>	<u><u>\$0</u></u>
3300 Cumulative results of operation	\$44	\$0	\$0
4999 Total liabilities and net position	<u><u>\$96</u></u>	<u><u>\$0</u></u>	<u><u>\$0</u></u>

**RESPONSES TO CONGRESSIONAL INQUIRIES
CONCERNING GAO RECOMMENDATIONS**

FCC Responses to Congress Concerning Recommendations from GAO

Pursuant to 31 USC § 720, attached are letters the FCC sent to the Senate Committee on Homeland Security and Governmental Affairs and the House Committee on Oversight and Government Reform during the time since it submitted its last budget to Congress. These letters address the steps that the FCC is taking or has taken to address recommendations made to the FCC in reports issued by the Government Accountability Office during the time since the FCC submitted its last budget. A copy of each letter was sent to the Chairs and Ranking Members of both Committees. To reduce reprinting, only the copies sent to the Chair of the Senate Homeland Security and Governmental Affairs Committee are attached. Below is a list of the reports for which letters are attached. The reports are listed in chronological order by the date of the letters to Congress.

- Telecommunications: Long-Term Strategic Vision Would Help Ensure Targeting of E-rate Funds to Highest-Priority Uses, GAO-09-253 (Letter sent June 26, 2009)
- Sovereign Wealth Funds: Laws Limiting Foreign Investment Affect Certain U.S. Assets and Agencies Have Various Enforcement Processes, GAO-09-608 (Letter sent July 20, 2009; Supplemental Response sent on January 4, 2010 also included)
- Telecommunications: Broadband Deployment Plan Should Include Performance Goals and Measures to Guide Federal Investment, GAO-09-494 (Letter sent August 10, 2009)
- Emergency Communications: Vulnerabilities Remain and Limited Collaboration and Monitoring Hamper Federal Efforts, GAO-09-604 (Letter sent September 25, 2009)



FEDERAL COMMUNICATIONS COMMISSION
WASHINGTON

June 26, 2009

OFFICE OF
THE CHAIRMAN

The Honorable Joseph I. Lieberman
Chairman
Committee on Homeland Security and Governmental Affairs
United States Senate
340 Dirksen Senate Office Building
Washington, D.C. 20510

Dear Chairman Lieberman:

On March 27, 2009, the Government Accountability Office (GAO) issued a report entitled Telecommunications: Long-Term Strategic Vision Would Help Ensure Targeting of E-rate Funds to Highest-Priority Uses (GAO 09-253).

In its report, the GAO first recommends that the Federal Communications Commission (Commission) report to Congress on its strategic vision for the E-rate program and whether the existing structure of the program is suitable to achieve this vision.¹ The GAO notes that the Commission should establish explicit performance goals and measures and identify projected target levels of performance for multiyear goals.² Second, the GAO recommends that the Commission include in its annual performance plan a report on steps the Commission will take to reduce the amount of E-rate funding that is committed but not disbursed.³

I have been a long-standing supporter of the E-rate program and its goal of ensuring that schools and libraries have access to affordable telecommunications and advanced services, and I appreciate the concern represented in the GAO's report. During its 11-year existence, the E-rate program has helped thousands of schools and libraries improve their technological capabilities. Pursuant to section 254 of the Communications Act of 1934, as amended (the Act), the Commission designated "telecommunications services" and certain additional services eligible for support under the E-rate program.⁴ Since the inception of the E-rate program, schools and libraries have received more than \$23.7 billion in funding commitments.⁵ E-rate funding has provided millions of school children, teachers and library patrons access to modern telecommunications and information services. In a study released in 2006, the National Center

¹ GAO Report at 49.

² *Id.* at 50, 66.

³ *Id.* at 49.

⁴ 47 U.S.C. § 254(c)(1), (c)(3); 47 C.F.R. §§ 54.502, 54.503.

⁵ See Universal Service Administrative Company, Schools and Libraries Division website, <http://www.sl.universalservice.org/funding/y1/national.asp> (1998-2008 data).

for Education Statistics (NCES) found that nearly 100 percent of public schools in the United States had Internet access, and 97 percent of these schools used broadband connections to access the Internet.⁶ Today, Internet access in public schools is nearly ubiquitous. Before the E-rate program was established in 1997, only 78 percent of public schools had any Internet access at all. In 1997, only 27 percent of public school instructional classrooms had Internet access. By 2005, that figure had increased to 94 percent.⁷ A 2006 study found that 99 percent of public library branches are connected to the Internet, 98 percent of which offer public Internet access.⁸

It is vital for all of the Commission's universal service programs, including the E-rate program, to have established goals. When the Commission adopted a structure for the E-rate program in its *Universal Service First Report and Order*, it identified as the program's goal to ensure that eligible schools and libraries have affordable access to modern telecommunications and information services that would enable them to provide educational services to all parts of the nation.⁹ To implement this goal, the Commission established funding priorities for the E-rate program, placing a higher priority on funding for telecommunications and Internet access (Priority 1 services) than on internal connections (Priority 2 services).¹⁰ The Commission also determined that schools with a higher poverty rate and schools located in rural areas would receive additional funding to assist them in meeting their telecommunications and information services needs.¹¹ Accordingly, a greater portion of E-rate funding is allocated to Priority 1 services than to Priority 2 services, and poor and rural schools receive more E-rate funding than more affluent and urban schools.

While the Commission did not set a target for achievement at the time it established program goals, the statistics above suggest that the program has been successful in getting schools and libraries connected to the Internet. The Commission also has endeavored to update and improve measures for gauging program success, in part in response to the GAO's previous reports. The Commission established two performance measures for the E-rate program in an August 2007 *Order*: one for Internet connectivity and another for application processing.¹² I

⁶ U.S. Dept. of Education, Institute of Education Sciences, *Internet Access in U.S. Public Schools and Classrooms: 1994-2005*, 4-5 (2006), <http://nces.ed.gov/pubs2007/2007020.pdf> (NCES Study).

⁷ *Id.* at 14, 16.

⁸ Information Use Management and Policy Institute, College of Information, Florida State University, *Public Libraries and the Internet 2006: Study Results and Findings*, 1 (2006), http://www.ii.fsu.edu/projectFiles/plinternet/2006/2006_plinternet.pdf (Florida State Study).

⁹ *Federal-State Joint Board on Universal Service*, CC Docket No. 96-45, Report and Order, 12 FCC Rcd 8776, 9002, para. 424 (1997) (*Universal Service First Report and Order*).

¹⁰ *Federal-State Joint Board on Universal Service*, CC Docket No. 96-45, Fifth Order on Reconsideration and Fourth Report and Order, 13 FCC Rcd 14915, 14938, para. 36 (1998); 47 C.F.R. § 54.507(g).

¹¹ *Universal Service First Report and Order*, 12 FCC Rcd at 9049-50, paras. 520-21.

¹² *Comprehensive Review of the Universal Service Fund Management, Administrations, and Oversight, Federal-State Joint Board on Universal Service, Schools and Libraries Universal Service Support Mechanism, Rural Health Care Support Mechanism, Lifeline and Link-Up, Changes to the Board of Directors of the National Exchange Carrier Association*, WC Docket No. 05-195, CC Docket No. 96-45, CC Docket No. 02-6, WC Docket No. 02-60,

also note that the Commission has established measures for the Universal Service Administrative Company (USAC) administrative tasks as part of the memorandum of understanding between the Commission and USAC.¹³ Thus, we disagree with the report's conclusion that the Commission does not have a basis on which to determine whether funds disbursed for Priority 1 services are appropriate. To the contrary, we believe the figures above demonstrate that the program has met what was established as its initial goal. We also disagree with the report's assertion that there is a "growing emphasis" on Priority 1 services. We agree that the amount of funds actually disbursed for Priority 1 services has increased in recent years, while the demand for Priority 1 support has not increased. This difference is a product of the Commission's policies – and the implementation and outreach of USAC – designed to improve applicants' success rate in obtaining funding for Priority 1 services.¹⁴ As the report itself notes, applicants place a higher priority on receiving funding for Priority 1 services.¹⁵

Still, given the pace at which society and technology move today, it is important to conduct periodic reviews of the Commission's goals to examine whether those goals remain valid or if adjustments are necessary. The Commission has taken the initial actions necessary to conduct this evaluation as part of its ongoing comprehensive review proceeding.¹⁶ Specifically, in its August 2008 *Notice of Inquiry*, the Commission requested comment on establishing new goals, both short-term and long-term, for the E-rate program.¹⁷ Once the Commission has developed these new goals, it will revise its policies as necessary to achieve them, and develop performance measures by which to determine relative success. I wish to caution, however, that performance measures not directly tied to results that the program can produce could be distinctly unhelpful. For example, it would be difficult to directly establish the effect of E-rate funds on student learning because there are so many variables involved in educational achievement, such as course work, quality of teaching, and parental influence.

The GAO's second recommendation is that the Commission should report annually in its performance plan on reducing the amount of E-rate funding that is committed but not

WC Docket No. 03-109, CC Docket No. 97-21, Report and Order, 22 FCC Rcd 16372, 16389-94, paras. 38-49 (2007) (*Comprehensive Review Order*).

¹³ See Memorandum of Understanding Between the Federal Communications Commission and the Universal Service Administrative Company (Sept. 9, 2008), <http://www.fcc.gov/omd/usac-mou.pdf> (last visited June 5, 2009).

¹⁴ The GAO notes that more funding for Priority 1 services is being disbursed although the requested dollar amounts have not increased. See GAO Report at 13. The Commission is pleased that the increase in Priority 1 funding is a result of applicants receiving a greater proportion of their requested funding. Given that the Commission has determined that Priority 1 telecommunications and Internet access services are the most crucial to schools and libraries, an increase in applicants' success rate in receiving these funds is a positive development.

¹⁵ GAO Report at 15-17.

¹⁶ *Comprehensive Review of the Universal Service Fund Management, Administration, and Oversight*, WC Docket No. 05-195, Notice of Proposed Rulemaking and Further Notice of Proposed Rulemaking, 20 FCC Rcd 11308 (2005) (*Comprehensive Review NPRM*); *Comprehensive Review of the Universal Service Fund Management, Administrations, and Oversight*, WC Docket No. 05-195, Notice of Inquiry, 23 FCC Rcd 13583 (2008) (*2008 NOI*).

¹⁷ See *2008 NOI*, 23 FCC Rcd at 13592, para. 29.

disbursed.¹⁸ The GAO report itself concedes that there are many legitimate reasons that the amount of committed funds is greater than the amount that ultimately is disbursed during any given funding year.¹⁹ Many applicants overestimate the amount of funds that they will use. Some applicants may not request full reimbursement. The Commission's rules also give applicants three additional months (until September 30 following the close of the funding year) to install one-time services known as non-recurring services, and allow applicants to request extensions of this deadline. Thus, particularly with Priority 2 services, these services might not be delivered during the funding year, or the applicants might receive service delivery extensions, pushing applicants' receipt of committed E-rate funds beyond the funding year in which the funds were committed. This, in turn, impacts the amount of disbursed funds in a given funding year due to the Priority 2 services being delivered and billed in a subsequent funding year.

That being said, I am pleased to report that the Commission has taken action to address gaps between committed funding and disbursed funding. The Commission and USAC have established policies to help applicants better utilize their approved funding in a timely manner, such as allowing applicants to change service providers or substitute other services. At this time, the Commission does not believe that it should shorten the amount of time that applicants have to complete projects, especially given that many schools can only install wiring and other types of equipment when school is closed during the summer. The Commission would welcome, of course, any specific suggestions GAO may have based on methods that may have proven successful in other programs.

The Commission also is pleased that the survey indicates that a majority of respondents believe the E-rate application process has become easier to navigate in the past three years.²⁰ Furthermore, GAO's review of data indicates that only 4 percent of applications were denied due to applicant error in 2007 – a significant decrease from 31 percent in 2002.²¹ We believe that this lower denial rate is the direct result of Commission actions taken in the *Bishop Perry Order* and other recent E-rate orders in which the Commission directed the universal service fund administrator, USAC, to assist applicants in correcting errors rather than deny funding in the first instance. For example, in the *Bishop Perry Order*, the Commission directed USAC to allow applicants to correct certain ministerial and clerical errors.²² In the *Aiken Order*, the Commission directed USAC to give applicants an opportunity to remove ineligible services from

¹⁸ GAO Report at 49.

¹⁹ *Id.* at 23-24.

²⁰ *Id.* at 34.

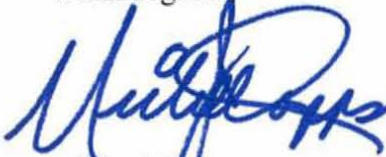
²¹ *Id.* at 37.

²² *Request for Review of the Decision of the Universal Service Administrator by Bishop Perry Middle School, et al., Schools and Libraries Universal Service Support Mechanism*, File Nos. SLD-487170, et al., CC Docket No. 02-6, Order, 21 FCC Rcd 5316 (2006) (*Bishop Perry Order*).

their applications, or to provide additional documentation to prove the eligibility of a service.²³ These and other on-going directives to USAC should improve applicant access to E-rate funding.

Once again, we appreciate GAO's recommendations. We agree that the Commission should continue to examine the E-rate program's goals to ensure that it is achieving the important universal service goals of providing needed technology to the nation's schools and libraries. We look forward to working with the GAO and Congress in the future to improve the E-rate program. Should you have any comments or questions, I would be pleased to discuss them with you.

Warm regards,



Michael J. Copps
Acting Chairman

cc: The Honorable Joe Barton
The Honorable Greg Walden
Director, Physical Infrastructure, Government Accountability Office
Office of Management and Budget

²³ *Request for Review of the Decision of the Universal Service Administrator by Aiken County Public Schools, et al., Schools and Libraries Universal Service Support Mechanism*, File Nos. SLD-397612, et al., CC Docket No. 02-6, Order, 22 FCC Rcd 8735 (2007) (*Aiken Order*).



OFFICE OF
THE CHAIRMAN

FEDERAL COMMUNICATIONS COMMISSION
WASHINGTON

July 20, 2009

The Honorable Joseph I. Lieberman
Chairman
Committee on Homeland Security and Governmental Affairs
United States Senate
340 Dirksen Senate Office Building
Washington, D.C. 20510

Dear Chairman Lieberman:

On May 20, 2009, the Government Accountability Office (GAO) issued a report entitled Sovereign Wealth Funds: Laws Limiting Foreign Investment Affect Certain U.S. Assets and Agencies Have Various Enforcement Processes (GAO 09-608). In its Report, the GAO recommends that the Federal Communications Commission (FCC) and other agencies review the sources of information that these agencies currently monitor to detect changes in ownership of U.S. assets subject to restriction or disclosure requirements applicable to foreign investors, and assess the value of supplementing these sources with information from other government and private data sources on investment transactions.

The Commission appreciates the recommendations offered by the GAO to enhance the FCC's oversight of foreign investment in the communications sector. As discussed in the Report, the FCC reviews foreign investment in the communications sector under the Communications Act of 1934, as amended (Communications Act) and the Submarine Cable Landing License Act of 1921 (Cable Landing Act).

The GAO Report accurately describes the FCC's approach to oversight of foreign investment in the communications sector. The agency relies primarily on self-reporting by regulated entities to ensure that changes of ownership do not exceed legal limits or otherwise contravene the FCC's foreign ownership rules and policies. There is a high level of compliance in filing the required applications, notifications, and periodic reports that identify ownership changes since initial licensing or authorization. As discussed in the GAO Report, FCC filing and reporting requirements are well-established, and the consequences of non-compliance can be severe. For example, if someone willfully makes false statements to the FCC, or willfully and knowingly violates a provision of the Communications Act, the Commission may impose civil penalties, and may work in conjunction with the Department of Justice to impose criminal penalties (18 U.S.C. § 1001; 47 U.S.C. § 501). Engaging in behavior proscribed by the Communications Act or by FCC rules may result in the revocation of station licenses and construction permits (47 U.S.C. §§ 312(a)(1)), and/or monetary forfeitures (47 U.S.C. §§ 502, 503). *See also* 47 U.S.C. § 35 (providing for revocation of submarine cable landing licenses); *id.*

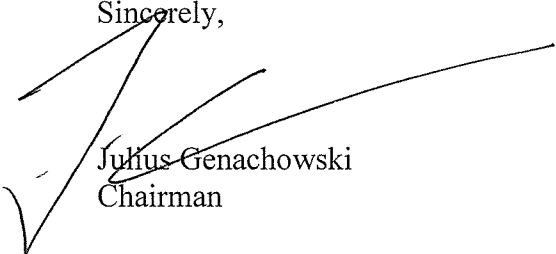
§37 (establishing fines and/or imprisonment for certain acts proscribed under the Cable Landing Act).

Each of the FCC's Bureaus and Offices that implement the foreign ownership and related provisions of the Communications Act and the Cable Landing Act have reviewed the GAO Report. As recommended by GAO, the appropriate Bureaus and Offices are reviewing the information that the agency currently monitors to detect changes in ownership of U.S. communications assets that are subject to restriction or disclosure under the Communications Act and the Cable Landing Act. The agency staff is assessing the usefulness of supplementing our system of self-reporting by regulated entities with routine monitoring of investment information from other government and private data sources. The private sources of data to which the FCC already has access include Nexis and SNL Kagan, which may be the most efficient and cost-effective means for the FCC to routinely compile data on planned or proposed foreign investments in the communications sector. Agency staff will meet with staff from the Securities and Exchange Commission (SEC) for assistance in determining the value of routinely searching reports filed with the SEC by U.S.-registered public companies. Currently, the FCC uses reports filed with the SEC to help verify the accuracy of ownership information submitted in applications and other required disclosure statements, and to follow up on reports of specific investments in communications companies.

A critical issue for the FCC will be weighing cost and the benefits of routinely monitoring other government and private data sources as opposed to refining agency ownership disclosure requirements, as necessary, and reviewing commercial transactions presented to us in a timely manner. As we engage in this analysis, be assured that we take our oversight responsibilities under the Communications Act and Cable Landing Act seriously. The FCC is committed to maintaining efficient and cost-effective procedures for ensuring that we detect all relevant transactions.

We anticipate completing our assessment of GAO's recommendation within 120 days. Should you have any comments or questions, I would be pleased to discuss them with you.

Sincerely,



Julius Genachowski
Chairman

cc: The Honorable Christopher J. Dodd
The Honorable Richard C. Shelby
Director, Physical Infrastructure, Government Accountability Office
Office of Management and Budget



FEDERAL COMMUNICATIONS COMMISSION
WASHINGTON

August 10, 2009

OFFICE OF
THE CHAIRMAN

The Honorable Joseph I. Lieberman
Chairman
Committee on Homeland Security and Governmental Affairs
United States Senate
340 Dirksen Senate Office Building
Washington, D.C. 20510

Dear Chairman Lieberman:

On June 10, 2009, the Government Accountability Office (GAO) released a report titled *Broadband Deployment Plan Should Include Performance Goals and Measures to Guide Federal Investment* (GAO-09-494) (GAO Broadband Report). Pursuant to 31 U.S.C. § 720, I am pleased to submit this statement of the actions that the Federal Communications Commission has taken, and plans to take, in response to the GAO recommendations outlined in the report.

The GAO Broadband Report examined federal government programs that support broadband deployment, reviewed broadband policies of other countries ranked ahead of the United States in certain broadband measures, and discussed actions the states have taken to encourage broadband deployment.¹ In particular, the GAO noted that broadband subscribership in the United States lags behind that in other countries, and that some countries with higher broadband subscribership rates have more detailed broadband policies, including action plans, timelines, and performance measures.² The GAO also discussed the requirement, set forth in the American Recovery and Reinvestment Act of 2009 (Recovery Act),³ that the Commission develop a National Broadband Plan, including benchmarks and a strategy for achieving affordable broadband service.⁴ Based on its findings, the GAO report recommends that, in developing the National Broadband Plan, the Commission work with the U.S. Department of Agriculture (USDA) and the National Telecommunications and Information Administration (NTIA) to: (1) specify performance goals and measures for broadband deployment, including time frames for meeting the goals, and (2) define the roles and responsibilities for each of these agencies in carrying out the plan.⁵

¹ GAO Broadband Report at 1-3, 12-21, App. I (Comparison of Various Broadband Organization Rankings), App. III (Agencies that Fund Some Aspects of Telecommunications, but Not Infrastructure).

² GAO Broadband Report at 1-3, 19-21, App. I (Comparison of Various Broadband Organization Rankings).

³ Pub. L. No. 111-5, 123 Stat. 115 (2009).

⁴ GAO Broadband Report at 11-12, 18, 22-23.

⁵ GAO Broadband Report at 23.

I share GAO's concern with the nation's current status when it comes to broadband. Many areas of our nation are without broadband, and many who have access to broadband, for a variety of reasons, might choose not to subscribe or take advantage of all that it has to offer. Congress has articulated in the Recovery Act what our goals must be. We must find ways to ensure that all people of the United States have access to broadband. We must devise a detailed strategy to ensure affordability of broadband. We must evaluate the nation's deployment of broadband, including the progress of projects supported by federal grants issued under the Recovery Act. And we must examine how our broadband infrastructure and services can be harnessed to advance national purposes, including job creation and economic growth, education, health care, energy, public safety, civic participation and others.⁶

I cannot imagine a more important set of objectives for this agency at this moment in history, and the Commission is actively working to achieve them. We are gathering and evaluating information on broadband from a wide range of sources to inform our development of the National Broadband Plan. On April 8, 2009, the Commission adopted the *Broadband Notice*, seeking comment on the development of the plan.⁷ Hundreds of parties filed, collectively, over twenty thousand pages of comments and reply comments, and the Commission is evaluating these submissions. The Commission has scheduled 22 staff workshops for August and early September to promote an open dialogue on topics related to the plan.⁸ And, on August 7, 2009, the Commission released a Congressionally-mandated *Notice of Inquiry* seeking comment on whether broadband is being deployed to all Americans in a reasonable and timely manner.⁹ The results of this inquiry, which will include an international comparison of broadband service capability, will inform the plan.

In his comments on the draft GAO Broadband Report, Acting Chairman Copps noted that the Commission already was engaged in efforts that would further the objectives of the GAO recommendations. I am pleased to inform you that we continue to build on what Acting Chairman Copps began. With regard to the GAO's first recommendation, the Recovery Act requires that the Commission must not only implement a plan "to ensure that all people of the United States have access to broadband capability," but must "establish benchmarks for meeting the goal."¹⁰ As noted earlier by Acting Chairman Copps, the Commission sought comment in the *Broadband Notice* on the appropriate performance goals and measures to

⁶ Recovery Act § 6001(k)(2).

⁷ See generally, *A National Broadband Plan for Our Future*, GN Docket No. 09-51, Notice of Inquiry, 24 FCC Rcd 4342 (rel. Apr. 8, 2009) (*Broadband Notice*).

⁸ See <http://www.broadband.gov/workshops.html>.

⁹ *Inquiry Concerning the Deployment of Advanced Telecommunications Capability to All Americans in a Reasonable and Timely Fashion, and Possible Steps to Accelerate Such Deployment Pursuant to Section 706 of the Telecommunications Act of 1996, as Amended by the Broadband Data Improvement Act*, GN Docket Nos. 09-137, 09-51, Notice of Inquiry, FCC 09-65 (rel. Aug. 7, 2009).

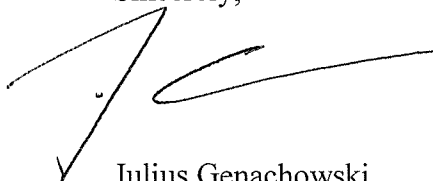
¹⁰ Recovery Act § 6001(k)(2).

include in the plan.¹¹ The *Broadband Notice* went on to “seek comment on quantifiable outcome measures and corresponding output measures that would be useful in assessing progress toward the goals of a national broadband plan . . . [and to] seek comment on how progress can be measured relative to progress that would have occurred in the absence of any program to better understand the impact of the program.”¹² Moreover, the Commission’s September 2, 2009 staff workshop will be devoted exclusively to examining the issue of benchmarks. Thus, the Commission is developing an extensive record on broadband benchmarks and intends to include such measures and benchmarks in its final plan, consistent with the GAO recommendations.

The Commission also continues its work with the USDA and the NTIA to define the agencies’ respective roles in implementing the National Broadband Plan. As noted by Acting Chairman Copps in January, key Commission staff began meeting regularly with representatives of the USDA and the NTIA, and other agencies, as part of an interagency broadband working group. This ongoing forum promotes an interagency dialogue on broadband-related programs and efforts. The working group thus helps to ensure that agencies tasked with broadband-related obligations under the Recovery Act – as well as agencies that do not have direct responsibilities but have important expertise or interests – work in concert as they carry out their missions. Commission staff also is in regular communication with the NTIA and the USDA in connection with their broadband grant and loan programs, working closely with those agencies to provide technical and other support as needed.

Once again, I appreciate the GAO’s recommendations and intend to address them as the Commission develops the National Broadband Plan. I look forward to working with the GAO and the Congress in the future on these important matters. Should you have any questions or comments, I would be pleased to discuss them with you.

Sincerely,

A handwritten signature in black ink, appearing to read 'Julius Genachowski', written over a horizontal line.

Julius Genachowski
Chairman

cc: The Honorable Henry A. Waxman
Director, Physical Infrastructure, Government Accountability Office
Office of Management and Budget

¹¹ *Broadband Notice*, 24 FCC Rcd 4342.

¹² *Broadband Notice*, 24 FCC Rcd at 4351-52, para. 34.



FEDERAL COMMUNICATIONS COMMISSION
WASHINGTON

September 25, 2009

OFFICE OF
THE CHAIRMAN

The Honorable Joseph I. Lieberman
Chairman
Committee on Homeland Security and Governmental Affairs
United States Senate
340 Dirksen Senate Office Building
Washington, D.C. 20510

Dear Chairman Lieberman:

On June 26, 2009, the Government Accountability Office (GAO) released a *Report* titled *Emergency Communications: Vulnerabilities Remain and Limited Collaboration and Monitoring Hamper Federal Efforts* (GAO-09-604). The *Report's* stated purpose was to examine issues related to emergency communications systems used by first responders in the aftermath of catastrophic disasters, including: (1) vulnerabilities, if any, to emergency communications systems; (2) federal assistance available or planned for first responders for addressing any vulnerabilities or enhancing emergency communications; and (3) challenges, if any, with federal emergency communications efforts. The *Report* concluded with four recommendations designed to improve federal agencies' collaboration and monitoring in efforts related to emergency communications.

I am gratified to have witnessed personally some of the incredibly challenging and vitally important work our first responders do every day. These experiences crystallized for me the importance of communications in times of crisis, and are part of the reason that public safety is one of my top priorities as Federal Communications Commission (FCC) Chairman. On my first full day as Chairman, I directed the Commission's Public Safety and Homeland Security Bureau (PSHSB) to conduct a 30-day, top-to-bottom review of the agency's state of readiness. Among four key areas for improvement highlighted by the Bureau's report is outreach and collaboration. PSHSB's report emphasizes the importance of maintaining strong partnerships with federal, state, and local governments, the public safety community, and providers of communications services. This outreach is important to identify in advance the communications needs of key stakeholders like hospitals and other strategic institutions. I am pleased to report the FCC already has created new working groups with both the Federal Emergency Management Agency and the Department of Health and Human Services.

The FCC has an important role to play in responding to public safety emergencies, and in helping ensure that our communications infrastructure serves its critical role in times of crisis. Thus, pursuant to 31 U.S.C. §720, I appreciate this opportunity to address actions taken by the Commission in response to the GAO's four recommendations.

Recommendation 1: DHS should complete its work to establish the Emergency Communications Preparedness Center (ECPC).

Commission Implementation: Although this recommendation is directed to DHS, the FCC has signed the ECPC charter and will work with the DHS Office of Emergency Communications (OEC) to finalize the ECPC. The FCC also has agreed to host the October ECPC Meeting. In addition, the FCC will continue to participate in the ECPC Working Group.

Recommendation 2: To help ensure that DHS and the FCC’s significant emergency communications, such as the National Emergency Communications Plan and the 700 MHz Public/Private Partnership, have a common vision and mutually reinforcing strategies, the Secretary of DHS and the Chairman of the FCC should establish a forum, or other mechanism, to better collaborate on each agency’s communications efforts.

Commission Implementation: The *Report* suggests that DHS and the Commission have failed to articulate a common vision for public safety broadband, particularly with respect to the 700 MHz band. The *Report* outlines the following specific areas for collaboration on 700 MHz:

- Aligning 700 MHz network buildout with national planning scenarios identified by DHS’s National Emergency Communications Plan.
- Include a role for state governments in the 700 MHz public/private partnership in light of state government involvement in DHS interoperability planning.
- Aligning the 700 MHz network encryption standards with certain federal standards.
- Accounting for other elements necessary for interoperability, including standard operating procedures, usage, governance and training.

As PSHSB noted in its comments on the Draft Report, the Commission and DHS have a sound mechanism for collaboration in place: OEC and PSHSB hold regular coordination meetings to identify areas for collaboration and to work jointly on common solutions as appropriate. PSHSB and OEC regularly discuss developments in the 700 MHz proceeding, both at these meetings and on an *ad hoc* basis. A lack of collaboration with DHS would not appear to be a problem.

Nevertheless, the GAO’s concerns are well-taken, and in response, we propose to form a new inter-agency working group consisting of representatives of PSHSB and OEC, whose purpose will be to collaborate specifically on the areas identified in this recommendation of the *Report* and take any appropriate actions.

Recommendation 3: The Secretary of DHS should provide guidance and technical assistance to other federal agencies to develop formal communications emergency plans, including identifying how federal assets can support state and local jurisdictions.

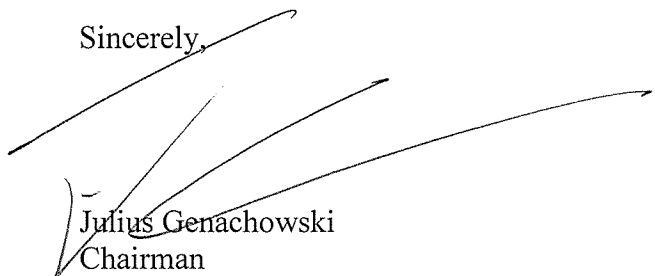
Commission Implementation: In its comments on the Draft Report, DHS indicated that under its organizing statute, it has limited authority to provide assistance to other federal agencies. However, to the extent that DHS attempts to carry out this recommendation, the Commission will offer its assistance to DHS as needed.

Recommendation 4: The Secretary of DHS and Chairman of the FCC should systematically track, assess and respond to stakeholder recommendations, including identifying actions taken by the agencies in response to recommendations, whether recommendations are duplicative with past recommendations, and opportunities to work with other agencies, as appropriate, to advance recommendations.

Commission Implementation: Although the Commission does track, assess, and respond to stakeholder recommendations to some extent, there is room for improvement. In response to the GAO's recommendation, PSHSB and the FCC's Office of Managing Director are in the process of reviewing current Commission practices, identifying areas where tracking can be improved, and developing a plan for my review.

I appreciate the opportunity to detail the Commission's actions in response to this *Report*. Please let me know if you have any questions.

Sincerely,



Julius Genachowski
Chairman

cc: The Honorable John F. Kerry
David J. Wise, Director, Physical Infrastructure Issues, GAO



OFFICE OF
THE CHAIRMAN

FEDERAL COMMUNICATIONS COMMISSION
WASHINGTON

January 4, 2010

The Honorable Joseph I. Lieberman
Chairman
Committee on Homeland Security and Governmental Affairs
United States Senate
340 Dirksen Senate Office Building
Washington, D.C. 20510

Dear Chairman Lieberman:

This letter supplements the Federal Communications Commission's (FCC) July 20, 2009 response to the Government Accountability Office's (GAO) report entitled, *Sovereign Wealth Funds: Laws Limiting Foreign Investment Affect Certain U.S. Assets and Agencies Have Various Enforcement Processes* (GAO 09-608) (Report). In its Report, GAO recommends that the FCC and other agencies review the sources of information that these agencies currently monitor to detect changes in ownership of U.S. assets subject to restriction or disclosure requirements applicable to foreign investors, and assess the value of supplementing these sources with information from other government and private data sources on investment transactions.

As discussed in more detail below, we have concluded that routinely monitoring government and private data sources to ascertain changes in ownership of U.S. communications assets prior to a change triggering licensee obligations would be of limited value to the FCC. This is due both to FCC licensees'/applicants' high level of compliance in filing the required applications, notifications, and periodic reports that identify changes in ownership, and the fact that private and government data sources may not contain timely or sufficiently detailed information. We believe that the Commission's current system of self-reporting by regulated entities, with targeted, case-specific inquiries and use of government and private data sources as warranted to conduct these inquiries, will continue to ensure that Commission staff has the information necessary to carry out its statutory functions with regard to foreign investment.

In the Commission's July 20, 2009 response, I noted that the GAO accurately describes the FCC's approach to oversight of foreign investment in the communications sector in that the FCC relies on self-reporting by regulated entities to assure that changes of ownership do not exceed legal limits or otherwise contravene the FCC's foreign ownership rules and policies. The response also stated that the Commission would review the sources of information the FCC monitors to detect changes in ownership of U.S. communications assets that are subject to restriction or disclosure under the Communications Act of 1934, as amended (Communications Act) and the Cable Landing License Act of 1921 (Cable Landing Act), and assess the usefulness of supplementing the existing system of self-reporting by regulated entities with routine

monitoring of investment information from other government and private data sources. I anticipated that the Commission would complete its assessment of GAO's recommendations within 120 days.

This assessment now is completed. The data and information contained in government and private data sources is useful to FCC staff primarily in cases where there is a question as to the accuracy or the completeness of ownership and other information filed by FCC regulated entities. Based on our review of, and Commission experience with, relevant data sources – in particular, the Securities and Exchange Commission's (SEC) data base of public filings as well as the Nexis and SNL Kagan information services to which the FCC subscribes, – it is our view that routinely monitoring these sources on a daily basis to ascertain changes in the ownership of U.S. communications assets prior to a change triggering licensee obligations to seek prior Commission approval would be of limited value to the FCC as it carries out its statutory responsibilities.

As noted in the July 20, 2009 response, FCC applicants and licensees demonstrate a high level of compliance in filing the required applications, notifications, and periodic reports that identify changes in ownership since initial licensing or authorization. The FCC's filing and reporting requirements are well-established, and the consequences of non-compliance can be severe, especially where aggravating factors are found to exist. In addition, FCC staff routinely reviews daily trade press publications, including Communications Daily and Telecommunications Reports. Staff also has access to Nexis and SNL Kagan to supplement, when necessary, information obtained from licensees and applicants, their competitors, and the trade press. A private data source that relies on SEC filings as well as independent company research, may not, however, have timely or sufficiently detailed information as to planned investments in U.S. communications assets, particularly when those investments fall below thresholds that trigger reporting under other government agency regulations. As a result, routine monitoring of these sources on a daily basis would be of marginal benefit to the Commission in carrying out its statutory responsibilities under the Communications Act or the Cable Landing Act.

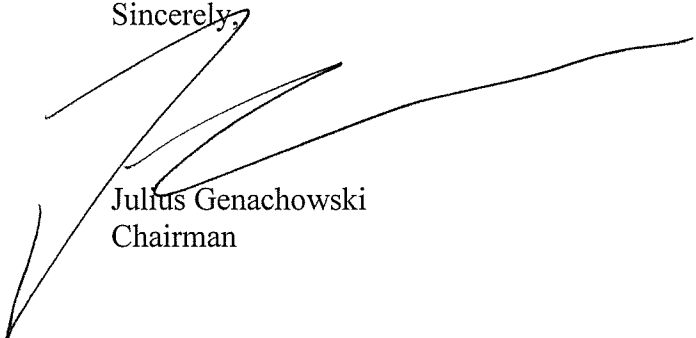
FCC staff met with relevant staff of the SEC on September 3, 2009, to discuss ownership disclosures filed with the SEC by beneficial owners of U.S.-registered equity securities. Disclosure statements filed pursuant to the SEC's Rule 13d-1 do not necessarily permit ready identification of persons who hold the economic interest in, or who ultimately may direct the voting of, a company's registered securities due to the widespread use of nominees, such as banks and brokers, who hold large blocks of shares in "street name" on behalf of their customers. These nominees are subject to privacy regulations and contractual agreements that limit disclosure of customer information, including disclosure to the SEC. As a result, FCC staff has concluded that routinely monitoring disclosure statements filed with the SEC with respect to purchases of securities issued by U.S.-registered communications companies would be of limited value to the FCC. To the extent a particular person or entity acquires, directly or indirectly, more than five percent of a company's registered class of equity securities, the FCC expects that the

trade press and other private data sources that do routinely monitor SEC filings, such as Nexis and SNL Kagan, will report the purchase and that we will become aware of the purchase in the normal course, whether from staff review of these data sources, from other applicants or licensees, or from other government agencies that review foreign investment in U.S. communications companies.

In summary, in accordance with the recommendation of the GAO, the FCC has assessed the value of routinely monitoring other government and private data sources to detect changes in ownership of U.S. communications assets. We have concluded that self-reporting by regulated entities, with targeted, case-specific inquiries and use of government and private data sources as warranted to conduct these inquiries, will continue to ensure that Commission staff has the information necessary to carry out its functions with regard to foreign investment pursuant to the requirements of the Communications Act of 1934 and the Cable Landing Act.

Please do not hesitate to contact me if you have any questions regarding this matter.

Sincerely,



Julius Genachowski
Chairman

cc: The Honorable Christopher J. Dodd
The Honorable Richard C. Shelby
Director, Physical Infrastructure, Government Accountability Office
Office of Management and Budget