

# **Federal Communications Commission**



**Fiscal Year 2014 Budget Estimates  
Submitted to Congress  
April 2013**



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# **INTRODUCTION**





# Introduction

The Federal Communications Commission (FCC or Commission) is pleased to present its fiscal year (FY) 2014 budget request. The FCC is requesting a budget of \$359,299,000 to carry out the FCC's functions and meet the expectations of Congress.

The FCC's FY 2014 budget submission includes requests for funding to: (1) support Commission-wide information technology needs through extending the enterprise storage; (2) support for reform of the Universal Service Fund Support Program; (3) space consolidation and facilities improvement that will reduce lease arrangements that are not cost effective and improve efficiencies; (4) create a Do-Not-Call registry for telephone numbers used by Public Safety Answering Points (PSAPs); (5) provide resources for mission-critical systems to ensure that they are operational during a Continuity of Operations (COOP) event; and (6) provide contract funding to support mandatory audits for the Office of the Inspector General.

In furtherance of these objectives and the FCC's mission, the FY 2014 budget request will be used to support the following Strategic Goals:

## **Strategic Goal 1: Connect America**

*Maximize Americans' access to – and the adoption of—affordable fixed and mobile broadband where they live, work, and travel.*

## **Strategic Goal 2: Maximize Benefits of Spectrum**

*Maximize the overall benefits of spectrum for the United States.*

## **Strategic Goal 3: Protect and Empower Consumers**

*Empower consumers by ensuring that they have the tools and information they need to make informed choices; protect consumers from harm in the communications market.*

## **Strategic Goal 4: Promote Innovation, Investment, and America's Global Competitiveness**

*Promote innovation in a manner that improves the nation's ability to compete in the global economy, creating a virtuous circle that results in more investment and in turn enables additional innovation.*

## **Strategic Goal 5: Promote Competition**

*Ensure a competitive market for communications and media services to foster innovation, investment, and job creation and to ensure consumers have meaningful choice in affordable services.*

## **Strategic Goal 6: Public Safety and Homeland Security**

*Promote the availability of reliable, interoperable, redundant, rapidly restorable critical communications infrastructures that are supportive of all required services.*

## **Strategic Goal 7: Advance Key National Purposes**

*Through international and national interagency efforts, advance the use of broadband for key national purposes.*

**Strategic Goal 8: Operational Excellence**

*Make the FCC a model for excellence in government by effectively managing the Commission's human, information, and financial resources; by making decisions based on sound data and analyses; and by maintaining a commitment to transparent and responsive processes that encourage public involvement and best serve the public interest.*

The FCC's FY 2014 budget submission also includes a request to decrease the spending of Auctions funding from \$98.7 million to \$89.4 million to support the timely implementation of the Auctions Incentive program.

As in prior years, the FCC is submitting its FY 2014 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 2014 REQUEST**



## SUMMARY OF REQUEST

The Federal Communications Commission (FCC) is requesting a FY 2014 appropriation of \$359,299,000. We project the FCC will employ 1821 full-time equivalents (FTEs) in FY 2014 from requested resources.

The FCC will use the FY 2014 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.

(\$ in thousands)

	FY 2013 Congressional Request	FY 2014 Congressional Request	Requested Changes
	FTE	FTE	FTE
<b>Total Direct Appropriation</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Budget Authority to use Offsetting Collections:</b>			
Regulatory Fees - Commission	1,730	\$338,032	1,775
Regulatory Fees - OIG	46	\$8,750	46
<b>Total Offsetting Collections</b>	<b>1,776</b>	<b>\$346,782</b>	<b>1,821</b>
<b>Authority to spend Other Offsetting Collections:</b>			
Economy Act/Misc. Other Reimbursables		\$6,000	\$6,000
Auction Cost Recovery Reimbursements - Commission		\$97,447 <sup>1/</sup>	\$88,694
Auction Cost Recovery Reimbursements - OIG		\$1,292 <sup>1/</sup>	\$706
<b>Subtotal: Budget Authority Offsetting Collections</b>		<b>\$104,739</b>	<b>\$95,400</b>
<b>Subtotal: Offsetting Collections</b>	<b>1,776</b>	<b>\$451,521</b>	<b>1,821</b>
<b>Other Budget Authority:</b>			
Credit Program Account		\$3,926	\$1,933
Universal Service Fund (USF)	0	\$5,011 <sup>3/</sup>	\$4,259 <sup>3/</sup>
<b>Subtotal: Other Budget Authority</b>	<b>0</b>	<b>\$8,937</b>	<b>\$6,192</b>
<b>Total Gross Proposed Budget Authority</b>	<b>1,776 <sup>2/</sup></b>	<b>\$460,458</b>	<b>1,821</b>
		<b>\$460,891</b>	<b>0</b>
			<b>\$433</b>

1/ The FCC received a Continuing Resolution Anomaly for FY 2013 in the amount of \$13.7M for Auctions.

2/ The FTE number for FY 2013 has changed from the FY 2013 Congressional budget as it no longer reflects the higher FTE ceiling; instead it reflects the actual FTE number that is expected to be employed.

3/ The Consolidated Appropriations Act, 2008 (P.L. 110-161) authorizes use of \$21.5M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 - FY 2012, \$12.2M was obligated. The remaining \$9.3M has been carried forward, as follows: \$5.0M is estimated to be used in FY 2013, and \$4.3M will be used for future fiscal years.

## FY 2014 PROPOSED APPROPRIATION LANGUAGE

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, \$359,299,000, to remain available until expended: *Provided*, That \$359,299,000 of offsetting collections shall be assessed and collected pursuant to section 9 of title I of the Communications Act of 1934, shall be retained and used for necessary expenses 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 **2014** so as to result in a final fiscal year **2014** appropriation estimated at **\$0**: *Provided further*, That any offsetting collections received in excess of \$359,299,000 in fiscal year **2014** 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 year and otherwise becoming available on October 1, **2013**, 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 \$89,400,000 for fiscal year **2014**, including not to exceed \$705,897 for obligation by the Office of the Inspector General: *Provided further*, That, of the amount appropriated under this heading, not less than \$11,089,340 shall be for the salaries and expenses of the Office of Inspector General.

## **Legislative Proposals**

The Administration is proposing legislative changes in the President's FY 2014 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 License User Fee**

To promote efficient use of the electromagnetic spectrum, the Administration proposes to provide the FCC with express authority to use other economic mechanisms, such as fees, as a spectrum management tool. The FCC would be authorized to set user fees on unauctioned spectrum licenses, which could be useful in certain instances. Fees would be phased in over time to determine the appropriate application and level for fees. Fee collections are estimated to begin in 2013, and total \$4.8 billion through 2023.

### **Repurpose 1675 -1680 Megahertz using Auction or Fee Authority**

The Administration proposes to direct that the FCC use either auction or fee authority to repurpose spectrum frequencies between 1675-1680 megahertz for wireless broadband use by 2017, subject to sharing arrangements with Federal weather satellites. Currently, the spectrum is being used for radiosondes (weather balloons). A new weather satellite that is scheduled for launch in 2015 will operate in adjacent frequencies. If this proposal is enacted, the National Oceanic and Atmospheric Administration would move the radiosondes to another frequency, allowing the spectrum to be repurposed for commercial use with limited protection zones for the remaining weather satellite downlinks. Without this proposal, these frequencies are unlikely to be repurposed to commercial use. The proposal is expected to raise \$230 million over the next 10 years.

### **Auction Domestic Satellite Service Spectrum Licenses**

The FCC would be allowed to assign licenses for certain satellite services that are predominantly domestic through competitive bidding, as had been done before a 2005 court decision called the practice into question on technical grounds. The proposal is expected to raise \$50 million from 2013-2023.

**SUMMARY OF FY 2012 - FY 2014 FULL-TIME EQUIVALENTS (FTEs) AND FUNDING**

(Dollars in Thousands (\$000))	FY 12		FY 13		FY 14	
	FTEs	Appropriation Actuals	FTEs (Note 1)	Congressional Request	FTEs	Congressional Request
Chairman and Commissioners.....	25	\$4,278	31	\$5,509	31	\$5,508
Consumer & Governmental Affairs Bureau .....	172	25,827	167	25,109	167	26,815
Enforcement Bureau .....	267	44,546	265	48,338	265	46,251
International Bureau.....	121	21,549	120	21,268	120	21,427
Media Bureau .....	183	27,947	180	28,294	180	28,051
Public Safety & Homeland Security Bureau .....	111	17,997	112	19,109	112	18,262
Wireless Telecommunications Bureau .....	218	16,326	220	16,654	220	16,800
Wireline Competition Bureau .....	160	27,858	176	30,656	217	37,934
Office of Administrative Law Judges .....	3	386	4	545	4	550
Office of Commun. Business Opportunities .....	12	2,375	12	2,003	12	2,015
Office of Engineering & Technology.....	80	13,777	85	14,268	85	13,893
Office of the General Counsel .....	70	12,746	73	13,611	73	13,734
Office of Legislative Affairs .....	13	2,106	12	2,097	12	2,107
Office of the Managing Director .....	203	104,061	219	102,202	223	106,421
Office of Media Relations .....	16	2,717	16	2,501	16	2,525
Office of Strategic Planning & Policy Analysis....	26	3,932	33	5,037	33	5,079
Office of Workplace Diversity .....	5	803	5	829	5	837
<b>FCC SUBTOTAL</b>	<b>1,685</b>	<b>\$329,232</b>	<b>1,730</b>	<b>\$338,032</b>	<b>1,775</b>	<b>\$348,210</b>
Office of Inspector General .....	40	9,455	46	8,750	46	11,089
<b>FCC TOTAL</b>	<b>1,725</b>	<b>\$338,687</b>	<b>1,776</b>	<b>\$346,782</b>	<b>1,821</b>	<b>\$359,299</b>

**Note 1:** The FTE number for FY 2013 has changed from the FY 2013 Congressional budget as it no longer reflects the higher FTE ceiling; instead it reflects the actual FTE number that is expected to be employed.



## FY 2012 Full-Time Equivalent (FTE) Distribution by Goal

	Broadband	Consumers	Competition & Innovation	Continual Improvement	Public Safety & Homeland Sec	International	Total
<b>Commissioners</b>	12	12	12	12	12	12	12
<b>Offices</b>	2	6	11	2	3	1	25
<b>Bureaus</b>							
Consumer & Governmental Affairs	21	95	29	15	12	0	172
Enforcement	1	116	65	8	75	2	267
International	10	1	67	3	5	35	121
Media	4	2	164	10	3	0	183
Public Safety & Homeland Security	7	0	16	2	86	0	111
Wireless Telecomm.	50	3	134	23	7	1	218
Wireline Competition	47	35	74	3	1	0	160
<b>Subtotal Bureaus</b>	<b>140</b>	<b>252</b>	<b>549</b>	<b>64</b>	<b>189</b>	<b>38</b>	<b>1,232</b>
<b>Offices</b>							
Admin. Law Judges	0	3	0	0	0	0	3
Comm. Business Ops.	1	2	9	0	0	0	12
Engineering and Tech.	6	0	69	3	2	0	80
General Counsel	11	9	41	2	7	0	70
Legislative Affairs	7	1	5	0	0	0	13
Managing Director	5	13	31	149	4	1	203
Media Relations	0	0	0	16	0	0	16
Strategic Planning/ Policy Analysis	8	0	14	2	2	0	26
Workplace Diversity	0	0	0	5	0	0	5
<b>Subtotal Offices</b>	<b>38</b>	<b>28</b>	<b>169</b>	<b>178</b>	<b>14</b>	<b>1</b>	<b>428</b>
<b>Subtotal</b>	<b>180</b>	<b>286</b>	<b>729</b>	<b>244</b>	<b>206</b>	<b>40</b>	<b>1,685</b>
Inspector General	7	13	0	20	0	0	40
<b>Totals</b>	<b>187</b>	<b>299</b>	<b>729</b>	<b>264</b>	<b>206</b>	<b>40</b>	<b>1,725</b>

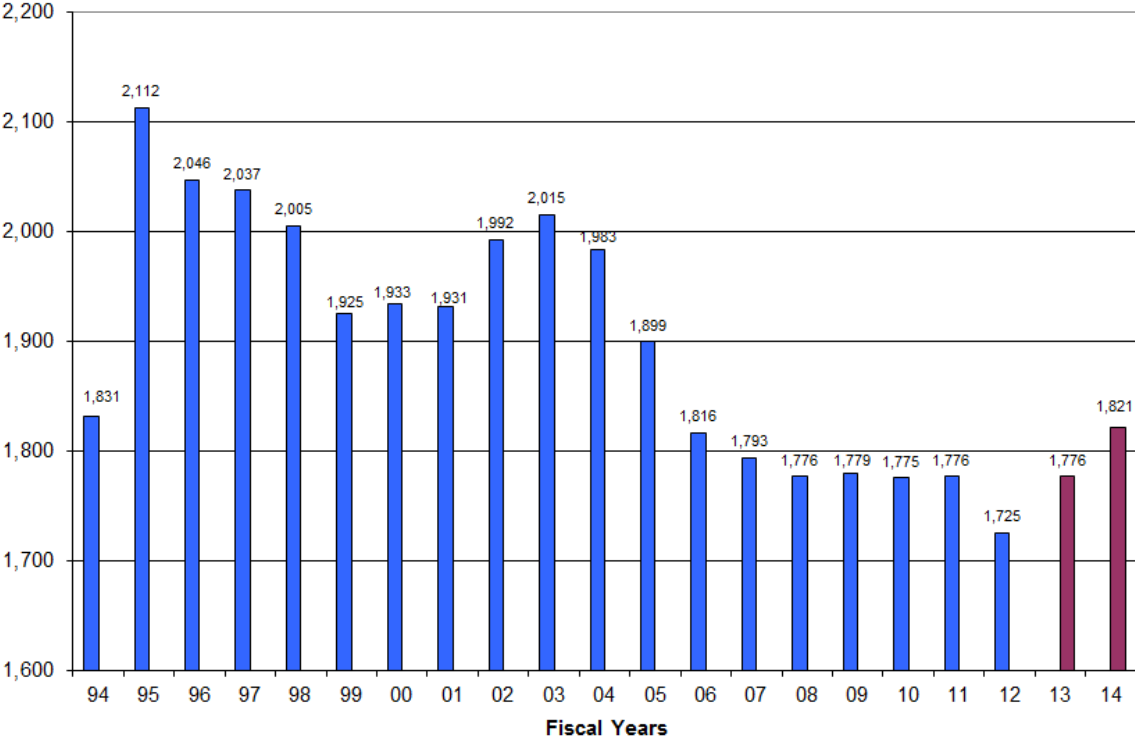
## FY 2013 - FY 2014 Full-Time Equivalent (FTE) Distribution by Goal

	Connect		Maximize		Protect &		America's		Promote		Public Safety		Advance Key		Operational		Total	
	America	14	Spectrum	14	Consumers	14	Competitiveness	14	Competition	14	Security	14	Purposes	14	Excellence	14	13	14
<b>Commissioners</b>	13	14	13	14	13	14	13	14	13	14	13	14	13	14	13	14	13	14
<b>Offices</b>	2	2	2	2	7	7	2	2	8	8	4	4	3	3	3	3	31	31
<b>Bureaus</b>																		
Consumer & Governmental Affairs	15	15	9	9	93	93	3	3	19	19	10	10	8	8	10	10	167	167
Enforcement	1	1	10	10	116	116	9	9	46	46	67	67	12	12	6	6	265	265
International	7	7	3	3	1	1	42	42	47	47	5	5	13	13	2	2	120	120
Media	3	3	4	4	2	2	16	16	113	113	3	3	32	32	8	8	180	180
Public Safety & Homeland Security	5	5	11	11	0	0	2	2	11	11	78	78	4	4	2	2	112	112
Wireless Telecomm.	35	35	18	18	3	3	14	14	94	94	6	6	32	32	17	17	220	220
Wireline Competition	40	81	10	10	38	38	7	7	55	55	2	2	22	22	2	2	176	217
<b>Subtotal Bureaus</b>	<b>105</b>	<b>146</b>	<b>65</b>	<b>65</b>	<b>253</b>	<b>253</b>	<b>93</b>	<b>93</b>	<b>384</b>	<b>384</b>	<b>170</b>	<b>170</b>	<b>123</b>	<b>123</b>	<b>47</b>	<b>47</b>	<b>1,240</b>	<b>1,281</b>
<b>Offices</b>																		
Admin. Law Judges	0	0	0	0	4	4	0	0	0	0	0	0	0	0	0	0	4	4
Comm. Business Ops.	1	1	0	0	2	2	1	1	6	6	0	0	2	2	0	0	12	12
Engineering and Tech.	6	6	3	3	1	1	7	7	48	48	2	2	15	15	2	2	85	85
General Counsel	8	8	4	4	9	9	4	4	31	31	6	6	9	9	2	2	73	73
Legislative Affairs	4	4	1	1	1	1	1	1	4	4	0	0	2	2	0	0	12	12
Managing Director	5	8	39	39	13	13	5	5	22	22	6	6	7	7	124	124	219	223
Media Relations	0	0	4	4	0	0	0	0	0	0	0	0	0	0	12	12	16	16
Strategic Planning/ Policy Analysis	8	8	2	2	1	1	2	2	11	11	2	2	6	6	2	2	33	33
Workplace Diversity	0	0	1	1	0	0	0	0	0	0	0	0	1	1	3	3	5	5
<b>Subtotal Offices</b>	<b>31</b>	<b>34</b>	<b>55</b>	<b>55</b>	<b>31</b>	<b>31</b>	<b>20</b>	<b>20</b>	<b>121</b>	<b>121</b>	<b>16</b>	<b>16</b>	<b>42</b>	<b>42</b>	<b>144</b>	<b>144</b>	<b>459</b>	<b>463</b>
<b>Subtotal</b>	<b>138</b>	<b>183</b>	<b>122</b>	<b>122</b>	<b>291</b>	<b>291</b>	<b>115</b>	<b>115</b>	<b>513</b>	<b>513</b>	<b>189</b>	<b>189</b>	<b>168</b>	<b>168</b>	<b>193</b>	<b>193</b>	<b>1,730</b>	<b>1,775</b>
Inspector General	6	6	7	7	14	14	1	1	1	1	1	1	1	1	15	15	46	46
<b>Totals (Note 1)</b>	<b>144</b>	<b>189</b>	<b>130</b>	<b>130</b>	<b>305</b>	<b>305</b>	<b>116</b>	<b>116</b>	<b>514</b>	<b>514</b>	<b>190</b>	<b>190</b>	<b>169</b>	<b>169</b>	<b>208</b>	<b>208</b>	<b>1,776</b>	<b>1,821</b>

**Note 1:** The FTE number for FY 2013 has changed from the FY 2013 Congressional budget as it no longer reflects the higher FTE ceiling; instead it reflects the actual FTE number that is expected to be employed.

# FCC Historical & Estimated FTEs

FY 1994 - 2014



*Full-time equivalent (FTE) employment – is the basic measure of the levels of employment used in the budget. It is the total number of hours worked (or to be worked) divided by the number of compensable hours applicable to each fiscal year, e.g., 2,087 hours worked equals 1 FTE.*

## SUMMARY OF CHANGES

(\$ in thousands)

	FY 2013 <u>Cong. Request</u>	FY 2014 <u>Cong. Request</u>	Net Change From <u>FY 2013 Request</u>
Offsetting Collections	\$338,032	\$348,210	\$10,178
Offsetting Collections - OIG	<u>8,750</u>	<u>11,089</u>	<u>2,339</u>
<b>Total Offsetting Collection/Spending Authority</b>	<b>\$346,782</b>	<b>\$359,299</b>	<b>\$12,517</b>
FCC Full-time Equivalents	1,730	1,775	45
FCC-OIG Full-time Equivalents	<u>46</u>	<u>46</u>	<u>0</u>
<b>Total Full-time Equivalents <sup>1/</sup></b>	<b><u>1,776</u></b>	<b><u>1,821</u></b>	<b><u>45</u></b>

### Explanation of Changes

<b>FCC - Commission without Office of the Inspector General</b>	<u>Amount</u>
<b>Inflationary Increases to Base:</b>	
Salary Increases - Pay Raise (1%)	\$2,073
Non Salary Increases (2%)	<u>\$1,768</u>
<b>Subtotal</b>	<b>\$3,841</b>
<b>Adjustments to the Base:</b>	
FY 2013 One-Time Cost	(\$10,600)
Decreases to the Base <sup>2/</sup>	(\$2,000)
Support for Reforms of the Universal Service Fund Support Programs	\$10,877
Increase to the Base Continuity of Operations Plan (COOP)	\$520
Increase to the Base Public Safety Answering Points (PSAP) - Do Not Call Registry	<u>\$500</u>
<b>Subtotal</b>	<b>(\$703)</b>
<b>Programmatic Increases:</b>	
Space Consolidation & Facilities Improvements	\$4,750
PSAP - Do Not Call	\$1,000
IT Storage Expansion	<u>\$1,290</u>
<b>Subtotal</b>	<b>\$7,040</b>
<b>FCC Subtotal - without Office of the Inspector General</b>	<b><u>\$10,178</u></b>
<hr/>	
<b>FCC - Office of the Inspector General</b>	
<b>Inflationary Increases to Base:</b>	
Salary Increases - Pay Raise (1%)	\$60
Non Salary Increases (2%)	<u>\$39</u>
<b>Subtotal</b>	<b>\$99</b>
<b>Adjustments to the Base:</b>	
Contract Services	<u>\$1,470</u>
	<b>\$1,470</b>
<b>Programmatic Increases:</b>	
Contract Services	<u>\$770</u>
<b>Subtotal</b>	<b>\$770</b>
<b>FCC-OIG Subtotal</b>	<b><u>\$2,339</u></b>
<b>Total FCC &amp; OIG Change to Offsetting Collections</b>	<b><u><u>\$12,517</u></u></b>

<sup>1/</sup> The FTE number for FY 2013 has changed from the FY 2013 Congressional budget as it no longer reflects the higher FTE ceiling; instead it reflects the actual FTE number that is expected to be employed.

<sup>2/</sup> The \$2M decrease to the base reflects reductions to travel, telecommunications, contracts and other expenses.

## Narrative Explanation of Increases and Decreases

### Inflationary Increases to Base

**\$3,939,920**

1. Personnel Compensation and Benefits. The requested \$2.1M provides funding for an estimated 1% pay raise in FY 2014 as well as health benefit increases, effective January 2014, and has been developed in accordance with OMB economic assumptions.
2. Non-salary increases. The requested \$1.8M provides expected 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 (2.0%).

### Other Increases to Base

**\$13,367,080**

1. Additional Contract Services: \$1,470,080

The Office of Inspector General (OIG) is requesting an additional \$1,470,080. This baseline increase provides the Inspector General funding for mandated requirements and recurring costs for maintaining OIG information technology (IT) systems, software license, FCC CIO IT technical support, other recurring costs, and for performing recurring oversight audits of FCC programs and required investigational legal support.

2. Continuity of Operations Plan (COOP): \$520,000

The Commission must provide for its mission-critical systems to be redundant and fully operational in a Continuity of Operations (COOP) event. The Commission has many (over 20) mission-critical IT systems and is taking an on-going review, starting with the highest priority ones, to determine what actions are needed to be fully operational in such an event. In the past two years the FCC has assessed two of its most important mission-critical systems, the Universal Licensing System (ULS) and the Office of Engineering and Technology's Frequency Assignment System (OFACS).

The ULS is an interactive licensing database system used to track wireless licenses and to process and approve new applications, including emergency applications during disasters. This system is used for both commercial and public safety licenses. The ULS enables the FCC, public safety frequency coordinators, and the public to efficiently search for application and license information. The OFACS is also essential for the conduct of the FCC's spectrum management and coordination responsibilities. OFACS enables FCC spectrum personnel to access all major FCC spectrum license databases and to provide frequency assignment records to the National Telecommunications and Information Administration (NTIA), our primary partner in the conduct of the Nation's spectrum management activities.

In order for the Commission to conduct its regular business in emergencies, ULS and OFACS must be capable of operating at both Commission headquarters and at the Commission's COOP site. ULS and OFACS are especially important during major disasters when the FCC receives numerous special requests for emergency use of radio systems and spectrum that must be processed rapidly to address safety of life and communications recovery issues.

Maintaining ULS and OFACS in emergency situations is particularly important because licensees frequently require issuance of Special Temporary Authority (STA) during emergencies to address recovery issues. ULS and OFACS also provide contact information that assists recovery agencies in reaching out to licensees.

3. Public Safety Answering Points (PSAP) Do Not Call Registry: \$500,000

Section 6507 of the Middle Class Tax Relief and Job Creation Act of 2012 requires the FCC to create a Do-Not-Call registry for telephone numbers used by Public Safety Answering Points (PSAPs), and to prohibit the use of automatic dialing equipment to contact those numbers. PSAPs are facilities that have been designated to receive emergency calls and route them to emergency service personnel. On May 22, 2012, the FCC released a Notice of Proposed Rulemaking initiating a proceeding to create such a registry. Under the statute, verified PSAP administrators or managers must be able to place onto the PSAP registry telephone numbers that are used for the provision of emergency services or for communications between public safety agencies. The FCC requests \$500,000 for FY 2014 in order to provide operation and maintenance on an annual basis. The FCC has also requested \$1,000,000 as a one-time initiative for PSAP in FY 2014.

4. Support for Reforms of the Universal Service Fund Support Programs \$10,877,000

This request will support the Commission's work to modernize and reform the Universal Service Fund (USF) Support programs. Since 2009, the Commission has taken major steps to modernize the four USF support programs with a particular emphasis on improving broadband connectivity nationwide. In 2010, the Commission undertook fundamental reform of the rural portion of the USF program to repurpose approximately \$4.5 billion annually to provide broadband to all Americans, including the more than 19 million unserved homes. In 2011, the Commission reformed the Lifeline program, which provides basic phone service to low-income families, realizing cost savings of more than \$200 million in the past year and repurposing a portion of those savings to initiate a pilot program to provide broadband to low-income families. Also in 2011, the Commission undertook reform of the under-utilized program that provides broadband connectivity to non-profit rural health care providers, allowing them to realize cost savings through increased use of telemedicine under-utilized program. More resources are required to continue the Commission's work to modernize USF, implement reforms, and increase its oversight of the newly-reformed programs. This request will support funding for additional staff including, attorneys, economists, IT specialists, program managers, and technologists.

### **Decreases to Base**

1. **Decreases to Base \$2,000,000:** The FCC has taken steps to find efficiencies and savings when possible. The \$2M reflects where we have identified efficiencies and savings in travel, telecommunications, contracts, and other expenses.

### **New Programmatic Performance Initiatives**

1. **Commission-wide Information Technology: \$1,290,000**

*Storage Expansion (\$1.290M):* The FCC needs to expand the tiered enterprise storage solution to include off-site external storage providers, lower cost storage servers, distributed file

systems, and off-site backup and replication technologies. The solution will be able to seamlessly move and access data stored in multiple locations through multiple providers without impacting the users or business applications in the Commission. The system will be scalable at all levels and storage locations and provide for improved disaster recovery and COOP capabilities.

## 2. **Bureaus and Office: \$6,520,000**

*Space Consolidation & Facilities Improvement (\$4.8M)*: Consistent with a 2010 Executive Order, the FCC is working to reduce lease arrangements that are not cost effective. The FCC's goal is to consolidate our two headquarters offices into one building and by doing so cut significantly our lease expenditures. We recently completed a minor office consolidation that resulted in an overall savings of approximately \$1 million a year. Consolidating FCC Headquarters personnel into one building is a much more expansive undertaking that will involve architecture, design, furniture, facilities upgrades, and many other components. This effort will eliminate the more than \$2.7 million in annual rent paid for our Portals I facility, will cut the FCC's per employee expenditures on space, and will reduce dramatically unused and inefficiently used space in our Portals II Headquarters facility.

Part of our Enforcement Bureau Field Operations, equipment, and staff are located at the FCC's Columbia, MD, campus in an historic building (previously a "farmhouse"). The FCC continues to house employees and equipment in this aging facility, and it should undergo a significant renovation. This extensive work would require replacement of walls, ceilings, floors, mechanical and electrical systems, and other equipment. The "farmhouse" is a historical building, and as a result has presented challenges to any efforts to upgrade the facility. Because of this special designation, the age of the building, and the critical nature of the work performed at the facility, renovating the farmhouse would be a significant undertaking.

The HVAC system at the technology lab in Columbia, MD (the "Lab"), is operated by three roof top HVAC units that were installed in 1989. The equipment has far surpassed its service life expectancy of 15 years. There is no service agreement on these units. Over the past several years, the system has experienced numerous breakdowns which have resulted in costly repairs. In 2004, the FCC contracted with an engineering firm to conduct an assessment of HVAC needs of the Lab. The assessment report recommended that the entire system be replaced.

The Commission has a number of long outstanding high value capital improvement projects that must be addressed. These include facilities upgrades to the Columbia, MD, location and other field locations. Columbia, MD, upgrades needed include the following: security upgrades for the electronic gate; energy efficiency upgrades for the OET technology lab; construction of an aluminum carport for tractor; fence repair and tree removal; replacement of carpeting; and replacement of office furniture. In certain field locations, the Commission also needs to do the following: replace/repair falling gates and fences for security purposes; test and upgrade fire alarm systems; repair roads to enable safe passage of vehicles; replace old generator and diesel maintenance; install new locks on all doors; replace dilapidated front doors; remove dangerous trees and re-landscape grounds; re-grade and repave facilities to alleviate flooding; and replace carpet in multiple facilities.

*Public Safety Answering Points (PSAP) Do Not Call Registry (\$1.0M):* Section 6507 of the Middle Class Tax Relief and Job Creation Act of 2012 requires the FCC to create a Do-Not-Call registry for telephone numbers used by Public Safety Answering Points (PSAPs) and prohibit the use of automatic dialing equipment to contact those numbers. PSAPs are facilities that have been designated to receive emergency calls and route them to emergency service personnel. On May 22, 2012, the FCC released a Notice of Proposed Rulemaking initiating a proceeding to create such a registry. Under the statute, verified PSAP administrators or managers must be able to place onto the PSAP registry telephone numbers that are used for the provision of emergency services or for communications between public safety agencies. The FCC requests \$1,000,000 for FY 2014 in order to execute contractual arrangements to build and launch the registry. The FCC has also requested \$500,000 as a base budget increase in the FY 2014 budget.

*Audit Related & Investigation (\$770K):* INSPECTOR GENERAL REFORM ACT of 2008; 122 STAT. 4302 PUBLIC LAW 110-409 - OCT. 14, 2008; Public Law 110-409; 110th Congress (f)(1). For each fiscal year, an Inspector General shall transmit a budget estimate and request to the head of the establishment or designated Federal entity to which the Inspector General reports. The budget request shall specify the aggregate amount of funds requested for such fiscal year for the operations of the Inspector General, and shall specify the amount requested for all training needs, including a certification from the Inspector General that the amount requested satisfies all training requirements for the Inspector General's office for that fiscal year, and any resources necessary to support the Council of the Inspectors General on Integrity and Efficiency shall be specifically identified and justified in the budget request.

The Office of Inspector General (OIG) FY 2014 budget request includes funds necessary to perform regulatory and mandated audits, as well as several audit initiatives of FCC programs that are a priority to OIG. These audits will strengthen OIG program and FCC operations oversight.

In addition, the budget request contains funds for supporting ongoing and future litigation and legal support. In recent years, working with the Department of Justice (DOJ), the OIG investigative teams have produced a high volume of legal documents, data, and other litigation support for cases referred to the DOJ. This increased case involvement improves the validity of cases referred and assists DOJ in moving the case to prosecution. OIG needs contracted support to meet the high volume and demand for litigation and legal support.



### **Economy Act Reimbursable Agreements**

In FY 2012, the Commission earned approximately \$5.4M in Economy Act Reimbursable Agreements with other Federal agencies, of which the National Telecommunications Information Administration (NTIA) holds the largest agreement in the amount of \$2.8M. The Commission has agreements ranging from \$45K to \$1.3M with other agencies such as Broadcasting Board of Governors, Department of State, and Department of Justice, General Services Administration, and many others. The Commission estimates that in FY 2013 and FY 2014, reimbursable agreements will total close to \$6M per year.



# **PERFORMANCE PLAN**



## FCC PERFORMANCE PLAN

### OVERVIEW: FCC STRATEGIC GOALS - 2012 THROUGH 2016

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."<sup>1</sup> 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."<sup>2</sup> The FCC issued a new Strategic Plan for FY 2012 - 2016. The strategic goals and performance goals shown below reflect the new Plan.

#### **Strategic Goal 1: Connect America**

*Maximize Americans' access to – and the adoption of—affordable fixed and mobile broadband where they live, work, and travel.*

#### **Strategic Goal 2: Maximize Benefits of Spectrum**

*Maximize the overall benefits of spectrum for the United States.*

#### **Strategic Goal 3: Protect and Empower Consumers**

*Empower consumers by ensuring that they have the tools and information they need to make informed choices; protect consumers from harm in the communications market.*

#### **Strategic Goal 4: Promote Innovation, Investment, and America's Global Competitiveness**

*Promote innovation in a manner that improves the nation's ability to compete in the global economy, creating a virtuous circle that results in more investment and in turn enables additional innovation.*

#### **Strategic Goal 5: Promote Competition**

*Ensure a competitive market for communications and media services to foster innovation, investment, and job creation and to ensure consumers have meaningful choice in affordable services.*

#### **Strategic Goal 6: Public Safety and Homeland Security**

*Promote the availability of reliable, interoperable, redundant, rapidly restorable critical communications infrastructures that are supportive of all required services.*

#### **Strategic Goal 7: Advance Key National Purposes**

*Through international and national interagency efforts, advance the use of broadband for key national purposes.*

#### **Strategic Goal 8: Operational Excellence**

*Make the FCC a model for excellence in government by effectively managing the Commission's human, information, and financial resources; by making decisions based on sound data and analyses; and by maintaining a commitment to transparent and responsive processes that encourage public involvement and best serve the public interest.*

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<sup>1</sup> 47 U.S.C. § 151.

<sup>2</sup> *Id.*

## WHAT THE FCC COMMITS TO ACCOMPLISH IN FY 2014

In carrying out its strategic goals, the FCC has identified the following outcomes it will strive to accomplish in FY 2014. Each outcome is stated as a performance goal and each of the 27 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.

### ***CONNECT AMERICA***

#### **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 1.1:*** Maximize broadband adoption by promoting affordability and removing other barriers to adoption by all Americans, including those with low incomes and disabilities.

***Targets with Subordinate Measures:***

- (1) Support and facilitate the development, deployment, and adoption of broadband services across multiple platforms.
  - Carry out rulemakings, spectrum reallocation, and license modifications as needed to ensure that the growing demand for wireless broadband services, including satellite-delivered broadband, is met.
  - Expeditiously review and issue spectrum licenses to qualified auction winners, promoting the expanded deployment of broadband services.
  - Take concrete steps to increase broadband availability and innovative uses of broadband in addressing critical national priorities.
  - Complete the Broadband Adoption Lifeline Pilot Program and analyze project reports and data gathered during pilot program.
  - Initiate rulemakings and other actions as necessary to implement the statutory mandates of the Public Safety Spectrum Act.

***Outcome-oriented Performance Goal 1.2:*** Maximize availability of fixed and mobile broadband to all Americans and community anchor institutions, including in rural and insular areas and Tribal lands, while ensuring that universal service programs are efficient, effective, and impose no greater burden on consumers and businesses than necessary.

***Target with a Subordinate Measure:***

- (1) 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 state, local, and tribal governments, consumer and industry groups, conduct outreach activities to educate the public concerning the Commission's broadband initiatives, including those promoting universal service.
  - Work collaboratively across FCC Offices and Bureaus to identify and address Tribal and Native Community communications issues, including barriers to entry that operate against Tribal broadband deployment and adoption.
  - Coordinate with other Federal Government agencies on rules and policies designed to achieve access by people with disabilities to communications and information technologies.
  - Convene the FCC Native Nations Broadband Task Force on at least a quarterly basis.

- (2) Continue reform of the universal service program to reflect technological developments and changes in the market.
  - (2) Oversee implementation of reforms resulting in disbursements from the Connect America Fund.
    - Enhance access to broadband connectivity for health care providers through reform of Rural Health Care universal service support mechanism.
- (3) Promote and advance universal service through enforcement of the Commission's rules governing the Universal Service Fund.
  - 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.
  - Pursue complaints or other reports of fraud, waste, or abuse in the universal service programs.
  - Report at least annually on USF enforcement actions.

***Outcome-oriented Performance Goal 1.3:*** Enable the private sector to accelerate the deployment and expansion of broadband networks by minimizing regulatory and other barriers to broadband build out.

***Targets with Subordinate Measures:***

- (1) Employ strategies to encourage investment in networks and services by existing providers, while encouraging participation in broadband markets by new and non-traditional participants.
  - Initiate or complete rulemaking actions that provide opportunities for innovations in broadband services.
  - Coordinate with industry and academia to identify research opportunities and impediments towards broadband deployment.
  - Review and revise, as necessary, the Commission's rules and policies to promote broadband investment and innovation.
- (2) 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 in a timely fashion all communications tower and antenna siting issues that impede the deployment of broadband infrastructure and services.
  - Work with stakeholders to expand the reach and reduce the cost of broadband deployment by improving government policies for access to rights of way and wireless facilities siting.
- (3) Vigorously enforce policies and regulations that promote the deployment and adoption of all broadband technologies, and defend those policies and regulations against legal challenges.
  - Promote the availability of broadband to all Americans by taking action, in all appropriate cases, consistent with applicable statutes of limitation and other deadlines, on consumer inquiries and complaints received regarding broadband availability.
  - Take enforcement action in appropriate cases to deter anti-competitive practices that could affect the deployment of broadband technologies

***Outcome-oriented Performance Goal 1.4:*** Measure and monitor the country's progress on broadband.

***Targets with Subordinate Measures:***

- (1) Measure and report on progress towards the goals of ensuring that broadband is being deployed to and adopted by all Americans in a reasonable and timely fashion.
  - Monitor and, as appropriate, revise metrics for determining the extent to which broadband is being deployed in a reasonable and timely fashion.
  - Educate consumers about delivered speeds and performance of broadband networks and make data publicly available to facilitate informed competitive service choices.

## Means and Strategies for Accomplishing Performance

<b>CONNECT AMERICA</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Rulemaking</li> <li>▪ Enforcing the Communications Act and the Commission's rules.</li> <li>▪ Industry analysis</li> <li>▪ Data collection</li> <li>▪ Technology analysis</li> <li>▪ Licensing</li> <li>▪ Auctions</li> <li>▪ Stakeholder outreach</li> </ul>	<ul style="list-style-type: none"> <li>▪ Understanding of relevant law</li> <li>▪ Ability to analyze competition in broadband markets</li> <li>▪ Assessing likely scenarios for convergence of varied technologies</li> <li>▪ Assessing technical feasibility of emerging technologies</li> <li>▪ Understanding of current technologies and their respective markets</li> <li>▪ Auditing, investigating and enforcing (including on-scene investigative capability)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ Consumer Complaints Management System (CCMS)</li> <li>▪ Enforcement Bureau Automated Tracking System (EBATS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Electronic Tariff Filing System</li> <li>▪ International Bureau Filing System (IBFS/MyIBFS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ Form 477 Data Collection System</li> <li>▪ Tower Construction Notification System</li> <li>▪ OFACS (coordination database)</li> <li>▪ FCC Auction System</li> <li>▪ Electronic 106 Filing System (E-106)</li> </ul>



# ***MAXIMIZE BENEFITS OF SPECTRUM***

## **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 2.1:*** Develop and implement flexible, market-oriented spectrum allocation and assignment policies that promote innovation, investment, jobs and consumer benefits, including ensuring meaningful availability of unlicensed spectrum.

### ***Targets with Subordinate Measures:***

- (1) 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.
  - Complete transfer of all eligible auctions revenues to the U.S. Treasury within 30 days of license grant.
  - Provide opportunities for innovative and experimental use of spectrum.
  - Coordinate frequency assignments and rulemakings with Federal agencies such as NTIA.
- (2) Conduct effective and timely spectrum licensing and equipment authorization activities.
  - Process 95% of routine spectrum license applications within 90 days of receipt.
  - Process 95% of public safety spectrum license applications within 90 days of receipt
  - Process 90% of applications for equipment approvals and experimental authorizations within 90 days of receipt.
  - Take enforcement action in appropriate cases against violations of spectrum-related rules, such as interference and unauthorized use of frequencies.
- (3) Provide guidance and training to the recognized Telecommunications Certification Bodies (TCBs) to review equipment authorization applications on a consistent basis.
  - a. Conduct at least two workshops and other training sessions.

***Outcome-oriented Performance Goal 2.2:*** Develop and implement policies that support highly efficient use of spectrum.

### ***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.
  - Develop Commission policies and adopt items that promulgate policies designed to increase consumers' competitive choices for broadband, domestic and international wireline and wireless services, and multichannel video programming equipment and services.
  - Review, process and resolve in a timely manner applications for transfer of control and assignment of licenses, as well as applications to discontinue service.
  - Analyze space station licensees' compliance with system implementation milestones and take action, where necessary, to make unused spectrum available to new applications.
- (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.
- (3) Take enforcement action in appropriate cases against violations of spectrum-related rules, including harmful interference and unauthorized operation.
  - Conduct timely on-scene investigations to resolve instances of harmful interference and help ensure the reliability of the communications infrastructure.

- Investigate and take appropriate enforcement action against “pirate” broadcasters and other unlicensed operators, unauthorized operation and non-conform radio frequency equipment.
- Take concrete steps to investigate and limit disruptions to authorized spectrum users caused by signal jamming devices.
- Conduct routine inspections and audits of radio facilities, cable systems, and antenna structures.
- Provide a reliable, close-in direction finding capability (i.e., the ability to locate sources of harmful interference) for the civil sector.

***Outcome-oriented Performance Goal 2.3:*** Serve as a resource domestically and internationally on issues involving use and management of our spectrum resources.

***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 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.
  - Negotiate harmful, cross-border interference issues relating to licensed radio systems operating on the borders with Canada and Mexico.
- (2) Maintain an efficient licensing process for international Section 214 authorizations and cable landing licenses.
  - Process 90% of streamlined Section 214 applications within 90 days; process 90% of non-streamlined Section 214 applications within 292 days, except those applications pending over 292 days as a result of Executive Branch national security review.
  - Process 90% of streamlined Submarine Cable Landing License applications within 180 days; process 90% of non-streamlined Submarine Cable Landing License applications within 292 days, except those pending over 292 days as a result of Executive Branch national security review.
- (3) Encourage technological innovation in satellite-based technologies and the efficient use of spectrum.
  - Continue to streamline and reform Part 25 rules and requirements to facilitate the rapid deployment of satellite-based services and encourage technological innovation.
  - Process earth station application within an average of 112 days.
  - Process space station applications within an average of 270 days.
- (4) Reform Commission policies and processes for reviewing foreign ownership in U.S. licensees:
  - Carry out rulemaking proposing reforms.
- (5) Coordinate with appropriate executive branch agencies international applications and petitions from applicants having foreign ownership.
  - Coordinate applications and petitions on a bi-weekly basis.

**Means and Strategies for Accomplishing Performance**

<b>MAXIMIZE BENEFITS OF SPECTRUM</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Spectrum auctions</li> <li>▪ Rulemaking</li> <li>▪ Enforcing the Communications Act and the Commission’s rules.</li> <li>▪ Industry analysis</li> <li>▪ Data collections</li> <li>▪ Licensing</li> <li>▪ Engineering analysis</li> <li>▪ Inter-governmental and international negotiations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Ability to plan and conduct auctions for limited spectrum resources</li> <li>▪ Understanding economic and technology aspects of the telecommunications industry</li> <li>▪ Perspective and innovative thinking in order to encourage the best use of spectrum while maintaining appropriate protections for public safety and national security</li> <li>▪ Auditing, investigating and enforcing (including on-scene investigative capability)</li> <li>▪ Forecasting changing needs of and expectations toward underserved groups</li> <li>▪ Understanding of relevant law</li> </ul>	<ul style="list-style-type: none"> <li>▪ FCC Auction System</li> <li>▪ International Bureau Filing System (IBFS/MyIBFS)</li> <li>▪ Experimental Licensing Filing System</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ Enforcement Bureau Automated Tracking System (EBATS)</li> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ KDB (OET Knowledge Data Base)</li> </ul>

# ***PROTECT AND EMPOWER CONSUMERS***

## **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 3.1:*** Promote transparency and disclosure.

***Targets with Subordinate Measures:***

- (1) Ensure that FCC policy, rulemaking, and enforcement documents clearly explain the basis for decisions to Congress, key constituencies, and the public.
  - Decision documents will cite relevant facts and data, and sources for that information, to convey the basis for decisions.
- (2) 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 recommend revisions, as necessary, to the Commission's enforcement and consumer protection rules and policies.
  - Utilize advisory committees, task forces, and intergovernmental groups to foster communications and coordination with industry representatives, consumer groups, and representatives of other governmental entities.
  - Review and revise, as necessary, FCC consumer publications.
  - Foster collaborative efforts across all FCC bureaus and offices to promote consistent treatment and protections across technologies and platforms in Commission proceedings.
  - Review carrier tariff filings for compliance with Commission rules and statutory requirements.
- (3) Inform the public about enforcement issues.
  - Use Enforcement Advisories and the agency's website to educate consumers and FCC regulatees about FCC requirements and the associated penalties for violation of those requirements.
- (4) 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.
  - Report to Congress on the level of compliance with the communications provisions of the Twenty-First Century Communications and Video Accessibility Act and the extent to which accessibility barriers continue to exist for persons with disabilities.
- (5) 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.
  - Continue implementation of system and process enhancements for the Commission's complaint and inquiries system and database to increase their efficiency and effectiveness.
  - Continue implementation of system and process enhancements to the Commission's website, including launch of the first FCC mobile site.
- (6) Ensure that individuals and organizations have maximum opportunities for civic engagement to provide information, data and opinions concerning FCC matters across a wide array of information gathering platforms.
  - Further enhance the FCC's web presence and social media environment to provide information and involve more entities in the decision making process.
  - Use workshops, focus groups and other means to solicit input to improve public participation.
  - Test and, where appropriate, implement new applications to enhance the public's involvement and experience with engaging the FCC.
  - Convene the Consumer Advisory Committee at least twice by 9/30/14.
  - Convene the Intergovernmental Advisory Committee at least twice by 9/30/14.

**Outcome-oriented Performance Goal 3.2:** Act swiftly and consistently in the use of enforcement authority to protect consumers.

**Targets with Subordinate Measures:**

- (1) Enforce the Commission's policies that promote the competitive provisions of the Communications Act of 1934, as amended, and the Commission's rules, and defend against legal challenges.
  - Ensure that consumers realize the benefits of competition by compiling a complete record and working toward resolution of all formal complaints within one year.
  - Promote competition in the communications industry by taking action, where appropriate, consistent with applicable statutes of limitation and other deadlines on all complaints filed with the FCC alleging violations of the competition provisions of the Act and the Commission's rules.
  - Promote the integrity of the communications infrastructure by taking action, where appropriate, consistent with applicable statutes of limitation and other deadlines, on complaints alleging violations of the Commission's equipment marketing rules.
  - Process 100% of slamming complaints filed with the Commission within 30 days of receipt.
- (2) Ensure, through enforcement action and litigation where necessary, that consumers are protected from anticompetitive practices and other practices that are harmful to consumers.
  - Maximize compliance with the Commission's Customer Proprietary Network Information (CPNI) rules by reviewing annual CPNI Compliance Filings and taking enforcement action where appropriate, consistent with applicable statutes of limitation and other deadlines, against (1) those carriers' filings identified as non-compliant with the Communications Act or the Commission's rules, and (2) those carriers that did not file annual CPNI Compliance Filings.
  - Deter business practices that are in violation of the Telephone Consumer Protection Act (TCPA) Act by taking action, where appropriate, consistent with applicable statutes of limitation and other deadlines, on complaints alleging violation 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.
  - Ensure continued viability of Telecommunications Relay Services for persons with disabilities by taking action, where appropriate, consistent with applicable statutes of limitations and other deadlines, on all allegations and complaints referred to the Enforcement Bureau.
  - Maximize compliance with the Commission's rules governing the North American Numbering Plan Administration and Local Number Portability Administration by taking action, where appropriate, consistent with applicable statutes of limitation and other deadlines, on all allegations and complaints referred to the Enforcement Bureau.
  - Deter and penalize unjust and unreasonable practices that harm consumers, such as "cramming," by taking action, where appropriate, consistent with applicable statutes of limitation and other deadlines, on all allegations and complaints referred to the Enforcement Bureau.
  - Enforce Commission policy in response to anti-competitive conduct in international markets, including disruption of traffic by foreign carriers by taking action, where appropriate, consistent with applicable statutes of limitation and other deadlines, on all allegations and complaints referred to the Enforcement Bureau.
  - Maximize compliance with the Commission's Hearing Aid Compatibility rules by reviewing manufacturers' and service providers' compliance filings and taking enforcement action where appropriate, consistent with applicable statutes of limitations and other deadlines, against (1) companies whose filings identify them as being out of compliance with the Commission's rules, and (2) companies that fail to make the required filings.
- (3) Engage consumers through outreach and education initiatives to facilitate informed choice in the telecommunications and media marketplace.
  - Develop Commission rules and policies to ensure that new technologies and services are accessible to persons with disabilities.

- Continue to promote broad 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 a variety of video programming, and communications products and services.
  - Monitor and maintain clearinghouse database of accessible products and services.
  - Continue to promote consumer and business community awareness of legal requirements, penalties, and agency enforcement action associated with violations of the TCPA and the 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.
  - Monitor and maintain a web portal disclosing wireless carrier alert procedures to prevent bill shock.
  - Respond to 100% of non-TCPA consumer complaints and inquiries within 30 days.
- (4) Ensure that the provisions of Section 716 of the Communications Act covering advance communication services are effectively applied to the broad range of evolving communication services.
- Ensure that persons with disabilities and other covered populations have access to these critical communication services.
- (5) Promote access to advanced telecommunications services and the public safety and convenience benefits of modern communications technology by consumers with hearing loss.
- Take enforcement action in appropriate cases, consistent with statutes of limitation and other deadlines, against violations of the Commission's hearing aid-compatible digital wireless handset deployment requirements.
  - Take enforcement action in appropriate cases, consistent with statutes of limitation and other deadlines, against violations of the Commission's television captioning requirements.
- (6) Coordinate information about the Commission's consumer protection and enforcement 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.
  - Work collaboratively with local and state government entities concerning policies and practices in response to consumer concerns regarding provision of telecommunications services.
  - Work collaboratively with federal government agencies (such as the Federal Trade Commission) regarding strategies for identifying and addressing consumer issues involving telecommunications services.
  - Coordinate with other federal government agencies on rules and policies designed to achieve access by persons with disabilities to communications and information technologies.

***Outcome-oriented Performance Goal 3.3:*** Develop and maintain policies that encourage variety in media programming sources and services for consumers.

***Targets with Subordinate Measures:***

- (1) Support the development of, enforce, and defend against legal challenge, media rules and policies that comply with judicial directives and statutory requirements.
- Develop appropriate rules, policies, and licensing procedures for the effective provision of broadcast television and radio as well as for cable and satellite television service.
  - Promote competition, diversity and localism in Commission rulemaking items concerning media ownership and the distribution of video programming.
  - Ensure that video programming continues to be accessible to all Americans, including persons with disabilities.
  - Work collaboratively across FCC Offices and Bureaus to examine and assess video description issues and requirements, particularly with respect to impact on persons with disabilities.

- (1) Timely resolve adjudicatory proceedings involving cable television, broadcast television and radio, and satellite services, and defend those decisions against legal challenge.
  - Deter violations of sponsorship requirements and payola violations by taking action, where appropriate, consistent with applicable statutes of limitations and other deadlines, on all new complaints alleging violations of the sponsorship identification or payola provisions.
  - Deter violations of the Commission’s rules governing assignments and transfers of control by taking action, where appropriate, consistent with applicable statutes of limitation and other deadlines, on all allegations and complaints referred to the Enforcement Bureau.
  - Deter violations of the Commission’s other media-related rules, including those governing broadcast of telephone conversations, contests, and public inspection files, by taking action, where appropriate, consistent with applicable statutes of limitation and other deadlines, on all allegations and complaints referred to the Enforcement Bureau.
  - Ensure competition and diversity in the market for video programming through timely resolution of adjudications regarding the agreements and related practices between Multichannel Video Programming Distributors (MVPDs) and video programming providers.
  - Work to ensure compliance with the Commission’s captioning rules.
- (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 taking action, where appropriate, consistent with applicable statutes of limitations and other deadlines, on all new complaints alleging violations.

**Means and Strategies for Accomplishing Performance**

<b>PROTECT AND EMPOWER CONSUMERS</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Rulemaking</li> <li>▪ Enforcing the Communications Act and the Commission’s rules.</li> <li>▪ Industry monitoring and analysis</li> <li>▪ Consumer protection</li> <li>▪ Interactions with state and international regulators.</li> <li>▪ Formal complaints and mediation</li> <li>▪ Stakeholder outreach</li> </ul>	<ul style="list-style-type: none"> <li>▪ Understanding of various communications marketplaces</li> <li>▪ Consumer and public education</li> <li>▪ Understanding of economic and legal impacts of converging media technologies</li> <li>▪ Ability to analyze economic impact of industry performance</li> <li>▪ Auditing, investigating and enforcing (including on-scene investigative capability)</li> <li>▪ Understanding of relevant law</li> </ul>	<ul style="list-style-type: none"> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ Consumer Complaints Management System (CCMS)</li> <li>▪ Enforcement Bureau Automated Tracking System (EBATS)</li> <li>▪ Electronic Tariff Filing System (ETFS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ International Bureau Filing System (IBFS/MyIBFS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ Form 655 Hearing Aid Compatibility Reporting System</li> </ul>

# ***PROMOTE INNOVATION, INVESTMENT, AND AMERICA'S GLOBAL COMPETITIVENESS***

## **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 4.1:*** Foster international engagement and cooperation on communications policy issues, including the broadband innovation initiative and free flow of data across borders.

### ***Targets with Subordinate Measures:***

- (1) Help promote global broadband infrastructure deployment and adoption.
  - Work domestically and internationally to identify possible additional spectrum bands for globally harmonized allocations for mobile broadband.
  - Collaborate with U.S. government agencies and international organizations on global initiatives to highlight innovative broadband deployment and adoption policies, such as ensuring broadband networks are able to be incorporated into new infrastructure projects.
- (2) Support the U.S. government's efforts to facilitate the free flow of data across borders.
  - Work with the Department of State, the Department of Commerce, and the Office of the U.S. Trade Representative to facilitate the interoperability of national/regional networks.
  - Collaborate with other nations on developing ways to facilitate the free flow of data across borders.

***Outcome-oriented Performance Goal 4.2:*** 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.
  - As appropriate, coordinate and implement action items as adopted at the World Radio Conference (WRC) 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 applicable provisions of bilateral and International Telecommunication Union (ITU) agreements and treaties.
- (3) Secure treaty on international telecommunications regulation that provides flexibility for the Internet and other new services.

***Outcome-oriented Performance Goal 4.3:*** Preserve the free and open Internet as a platform for economic growth, innovation, job-creation, and global competitiveness.

### ***Targets with Subordinate Measures:***

- (1) Adopt, enforce and defend against legal challenge to policies and rules that protect Internet freedom and openness and promote robust innovation and investment throughout the broadband ecosystem.
  - Ensure that consumers and innovators have clear and complete information to enable them to make informed choices in choosing networks, devices and services.
  - Ensure that consumers and innovators can send and receive lawful traffic and use the devices of their choice.
  - Ensure that consumers and innovators are protected from unreasonable discrimination.
  - Compile a complete record and work toward resolution of all formal complaints involving open Internet-related allegations within one year.



- Monitor informal complaints involving open Internet-related allegations, and open an investigation in appropriate cases when there is evidence of a pattern of violations.

**Means and Strategies for Accomplishing Performance**

<b>PROMOTE INNOVATION, INVESTMENT, AND AMERICA’S GLOBAL COMPETITIVENESS</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Rulemaking</li> <li>▪ Enforcing the Communications Act and the Commission’s rules.</li> <li>▪ Industry monitoring and analysis</li> <li>▪ Data collection and analysis</li> <li>▪ Licensing</li> <li>▪ Technology analysis</li> <li>▪ Formal complaints and mediation</li> <li>▪ Stakeholder outreach</li> </ul>	<ul style="list-style-type: none"> <li>▪ Understanding of various communications marketplaces</li> <li>▪ Understanding of economic and legal impacts of converging media technologies</li> <li>▪ Ability to analyze economic impact of industry behavior</li> <li>▪ Understanding technological advancement and establishing an environment that promotes it</li> <li>▪ Auditing, investigating and enforcing (including on-scene investigative capability)</li> <li>▪ Understanding of relevant law</li> </ul>	<ul style="list-style-type: none"> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ International Bureau Filing System (IBFS/MyIBFS)</li> <li>▪ Consumer Complaints Management System (CCMS)</li> <li>▪ Consumer Information Management System (CIMS)</li> <li>▪ Enforcement Bureau Automated Tracking System (EBATS)</li> <li>▪ Electronic Tariff Filing System (ETFS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ Equipment Authorization System</li> <li>▪ Experimental Licensing System</li> <li>▪ OFACS (coordination database)</li> <li>▪ KDB (OET Knowledge Data Base)</li> </ul>

# ***PROMOTE COMPETITION***

## **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 5.1:*** Ensure effective policies are in place to promote and protect competition for the benefit of consumers, including appropriate interconnection policies for communications networks.

### ***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.
  - Adopt policies that increase competition for communications services, resulting in greater value and lower costs for consumers.
  - Develop Commission policies and adopt items designed to increase consumers' competitive choices for broadband voice and data, and multichannel video programming equipment and services.
  - Review carrier tariff filings for compliance with Commission rules and statutory requirements.
  - Promote compliance with rules by taking enforcement action in appropriate cases.
- (2) Evaluate and report on the competitive environment for communications services.
  - Develop and publish reports on competition in the telecommunications, broadcast, cable, commercial wireless, and satellite industries by deadlines established in legislation or Commission policy.
- (3) Adopt, enforce and defend 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 taking action, where appropriate, on all new allegations referred to the Enforcement Bureau, consistent with applicable statutes of limitations and other deadlines.
  - Monitor and assess the program for distribution of specialized customer premises equipment designed to make telecommunications and related services accessible by individuals who are deaf-blind.
  - Address 100% of the allegations or complaints of violations of the Commission's rules on relay services, closed captioning, Section 255 and hearing aid compatibility.
  - Work closely with the TRS Fund Administrator to ensure that minutes of use submitted for reimbursement are legitimate and entitled to reimbursement.

***Outcome-oriented Performance Goal 5.2:*** Promote pro-competitive and universal access policies 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 in a timely manner for policy papers, best practices guidelines, studies and statistical reports.
- (3) Support and facilitate the deployment of satellite systems.

- Initiate rulemakings that adopt technical and service rules for licensing new satellite space and earth station facilities that will provide innovative satellite-based services and permit the more efficient use of spectrum resources.

**Outcome-oriented Performance Goal 5.3:** Ensure expeditious and thorough review of proposed transactions to ensure they serve the public interest.

**Targets with Subordinate Measures:**

- (1) Adhere to policies and processes for transaction review that are transparent and uniform across the FCC’s Bureaus and Offices.
  - Review, process and resolve applications for transfer of control and assignment of licenses in a timely manner.
  - Cite relevant facts and sources and convey the basis for decisions in all merger and transaction decision documents.
- (2) Maximize compliance with conditions imposed in approving transactions.
  - Take action in appropriate cases to enforce merger conditions, consistent with statutes of limitation and other deadlines.

**Means and Strategies for Accomplishing Performance**

<b>PROMOTE COMPETITION</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Rulemaking</li> <li>▪ Enforcing the Communications Act and the Commission’s rules.</li> <li>▪ Industry monitoring and analysis</li> <li>▪ Data collection and analysis</li> <li>▪ Licensing</li> <li>▪ Technology analysis</li> </ul>	<ul style="list-style-type: none"> <li>▪ Understanding of various communications marketplaces</li> <li>▪ Understanding of economic and legal impacts of converging media technologies</li> <li>▪ Ability to analyze economic impact of industry behavior</li> <li>▪ Understanding technological advancement and establishing an environment that promotes it</li> <li>▪ Auditing, investigating and enforcing (including on-scene investigative capability)</li> <li>▪ Understanding of relevant law</li> </ul>	<ul style="list-style-type: none"> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ International Bureau Filing System (IBFS/MyIBFS)</li> <li>▪ Consumer Complaints Management System (CCMS)</li> <li>▪ Consumer Information Management System (CIMS)</li> <li>▪ Enforcement Bureau Automated Tracking System (EBATS)</li> <li>▪ Electronic Tariff Filing System (ETFS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ Equipment Authorization System</li> <li>▪ Experimental Licensing System</li> <li>▪ OFACS (coordination database)</li> <li>▪ KDB (OET Knowledge Data Base)</li> </ul>

# ***PUBLIC SAFETY AND HOMELAND SECURITY***

## **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 6.1:*** Promote access to effective communications services, including next generation services, in emergency situations across a range of platforms by public safety, health, defense, and other emergency personnel, as well as all consumers in need.

### ***Targets with Subordinate Measures:***

- (1) 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.
  - Participate in international meetings, conferences, and activities to promote the continued reliability of the global communications infrastructure.
  - Promote Next Generation 911 and Text to 911 in order to enhance the ability of consumers to request assistance in times of emergencies.
  - Coordinate and work collaboratively across FCC Offices and Bureaus on rulemaking items regarding accessibility of emergency information to persons with disabilities.
  - Monitor and assess specialized Do-Not-Call Registry for Public Safety Answering Points.
- (2) Facilitate participation in the Wireless Priority Service (WPS) Program.
  - Work closely with the Department of Homeland Security to increase participation in the WPS program by federal, state, local, and tribal governments as well as first responder organizations.
- (3) Facilitate participation in the Telecommunications Service Priority (TSP) Program.
  - Work closely with the Department of Homeland Security to increase participation in the TSP program by federal, state, local, and tribal governments as well as 911 call centers and first responder organizations.
- (4) 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.
- (5) Gather and disseminate public safety communications information.
  - Coordinate with NTIA, DHS and other Federal entities as appropriate to facilitate and support the deployment of a nationwide wireless public safety broadband network as contemplated under the Public Safety Spectrum Act.

***Outcome-oriented Performance Goal 6.2:*** Evaluate and strengthen measures for protecting the nation's critical communications infrastructure and facilitate rapid restoration of the U.S. communications infrastructure and facilities after disruption by any cause, including cyberattacks.

### ***Targets with Subordinate Measures:***

- (1) Promote construction of nationwide, interoperable broadband public safety capabilities.
  - Adopt and implement Commission rules that would effectuate the deployment 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 and defend 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, consistent with statutes of limitation and other deadlines.
  - Promote compliance with the Commission's rules by taking action, where appropriate, consistent with applicable statutes of limitations and other deadlines, on all new complaints and referrals concerning the Commission's 911 and E911 rules.
- (3) Improve the effectiveness of an Emergency Alert System (EAS) and the Commercial Mobile Alerting System (CMAS).

- 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 and CMAS operational issues and potential improvements.
- Promote compliance with the Commission's EAS rules by taking enforcement action, where appropriate, consistent with applicable statutes of limitation and other deadlines, on all new complaints and referrals.

***Outcome-oriented Performance Goal 6.3:*** Implement, maintain and conduct exercises for the FCC's Continuity of Operations Plans (COOP) and Emergency Preparedness Plans and act swiftly in matters affecting public safety, homeland security, and disaster management.

***Targets with Subordinate Measures:***

- (1) Establish COOP and emergency preparedness procedures to ensure accuracy, improve effectiveness, and create a better state of readiness.
  - Annually update the COOP Plan for the agency
  - Annually update the Devolution Plan for the agency.
  - Annually update the Pandemic Plan for the agency.
  - Provide for the acquisition of resources necessary for continuity of operations on an emergency basis for up to 30 days or until normal operations can be resumed.
  - Annually exercise the agency's COOP, Devolution, and Pandemic Plans.
  - Draft After Action Reports after exercises in order to improve the agency's preparedness for future events.
- (2) Identify and provide continuity funding and specific budgetary guidance for all FCC bureaus and offices.
  - Use a risk assessment methodology to identify, prioritize, and justify the allocation of continuity budgetary resources.
  - Integrate continuity budgeting in multi-year strategic planning with performance linked to established objectives and metrics.
  - Budget for continuity requirements in accordance with NSPD-51/HSPD-20 and the National Communications System Directive 3-10 (Continuity Communications) as applicable.
- (3) Preserve the integrity of the communications infrastructure relating to public safety by taking action on 100% of complaints of interference to public safety communications within one day.
  - Complaints of interference to public safety communications will receive top priority in 100% of cases.
- (4) 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 and investigating unlicensed and unauthorized radio operations.
  - Report annually on the number of cable signal leakage inspections.
  - Maximize compliance and enhance public safety by taking enforcement action where appropriate, consistent with applicable statutes of limitation and other deadlines, against parties alleged to have violated the Commission's cable signal leakage rules.
  - Take enforcement action, where appropriate, consistent with applicable statutes of limitation and other deadlines, against parties alleged to have violated the Commission's statutory licensing requirements.
- (5) During crises, work closely with our federal partners such as FEMA and the Department of Homeland Security to provide situational awareness data from the Disaster Information Reporting System (DIRS) or data derived from the operation of Project Roll Call equipment.
  - Provide all staff resources necessary during crises to gather and provide data from DIRS and Project Roll Call.
- (6) Protect the safety of aviation and the general public by enforcing the Commission's licensing and technical regulations governing radio facilities, operations, and antenna structures, including specifications on power outputs, antenna location, painting, lighting and tower height, and build-out requirements.

- 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
- Take action, where appropriate, consistent with applicable statutes of limitation and other deadlines, against parties alleged to have violated the Commission’s rules governing technical rules and technical authorizations.

**Means and Strategies for Accomplishing Performance**

<b>PUBLIC SAFETY AND HOMELAND SECURITY</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Rulemaking</li> <li>▪ Enforce the Communications Act and the Commission’s rules.</li> <li>▪ Data collection and analysis</li> <li>▪ Intergovernmental and international negotiations</li> <li>▪ Communications and Crisis Management Center</li> <li>▪ National Communications System (NCS)</li> <li>▪ Government Emergency Telecommunications Service (GETS)</li> <li>▪ Telecommunications Service Priority System (TSP)</li> <li>▪ Continuity of Operations Plan (COOP)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Knowledge of federal and state public safety and emergency procedures.</li> <li>▪ Understanding of national defense operations.</li> <li>▪ Facilitation and communication skills necessary to increase awareness of numerous emergency services and plans.</li> <li>▪ Risk assessment.</li> <li>▪ Auditing, investigating and enforcing (including on-scene investigative capability)</li> <li>▪ Understanding of relevant law</li> </ul>	<ul style="list-style-type: none"> <li>▪ Network Outage Reporting System (NORS)</li> <li>▪ Disaster Information Reporting System (DIRS)</li> <li>▪ DIRS Lite</li> <li>▪ E-911/Wireless E-911</li> <li>▪ Emergency Alert System (EAS)</li> <li>▪ Wireless Priority Access System (WPAS)</li> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ International Bureau Filing System (IBFS/MyIBFS)</li> <li>▪ Enforcement Bureau Automated Tracking System (EBATS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ Electronic Tariff Filing System (ETFS)</li> <li>▪ Project Roll Call equipment and vehicles</li> </ul>

## ***ADVANCE KEY NATIONAL PURPOSES***

### **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 7.1:*** Promote and facilitate the use of broadband to address key national challenges, including health care, education, energy, and e-government.

***Targets with Subordinate Measures:***

- (1) Support and facilitate the increased use of broadband across key national purposes.
  - Support the use of broadband to advance national purposes in rulemakings by promoting innovative and flexible uses of both wired and wireless broadband technology.
  - Support the use of broadband to advance national purposes through other means, such as by facilitating public and private partnerships across industry, government, and nonprofit organizations.
  - Enhance access to broadband connectivity for health care providers through reform of the Rural Health Care universal service support mechanism.

***Outcome-oriented Performance Goal 7.2:*** Ensure that small businesses have the access to broadband and other communications tools needed to drive innovation and economic growth.

***Targets with Subordinate Measures:***

- (1) Support and facilitate wired and wireless deployment and competition to ensure that small businesses have robust broadband connectivity and meaningful choice of broadband services.
  - Promote deployment of broadband services, both wired and wireless, to all small businesses across the country through continued regulatory reforms.
  - Promote competition across broadband service providers, including wired and wireless technologies, by facilitating competition and market entry.

### **Means and Strategies for Accomplishing Performance**

<b>ADVANCE KEY NATIONAL PRIORITIES</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Rulemaking</li> <li>▪ Enforce the Communications Act and the Commission’s rules.</li> <li>▪ Industry analysis</li> <li>▪ Data collection</li> <li>▪ Licensing</li> <li>▪ Engineering</li> <li>▪ Inter-governmental and international negotiations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Understanding of relevant law</li> <li>▪ Understanding of both economic and technical aspects of the telecommunications industry, both domestically and internationally.</li> <li>▪ Forecasting changing needs of and expectations toward underserved groups</li> <li>▪ Ability to analyze economic impact of industry performance</li> </ul>	<ul style="list-style-type: none"> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ International Bureau Filing System (IBFS/MyIBFS)</li> <li>▪ Consumer Complaints Management System (CCMS)</li> <li>▪ Enforcement Bureau Automated Tracking System (EBATS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Form 477 Data Collection System</li> <li>▪ Tower Construction Notification System</li> <li>▪ Electronic 106 Filing System (E-106)</li> <li>▪ OFACS (coordination database)</li> </ul>

# ***OPERATIONAL EXCELLENCE***

## **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 8.1:*** Effectively manage the FCC’s information technology resources by maintaining secure systems that meet the needs of both the FCC and the system users.

***Targets with Subordinate Measures:***

- (1) 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.
- (2) 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.
  - Continue developing custom-adapted investigative tools that enable the FCC to timely resolve interference and take appropriate enforcement action across a wide range of services.
  - Provide FCC staff with a secure digital infrastructure and maintain a high level of cyber security readiness and presence.

***Outcome-oriented Performance Goal 8.2:*** Effectively manage the human resources of the FCC in order to ensure sufficient resources and knowledge to handle the FCC’s workload.

***Targets with Subordinate Measures:***

- (1) Develop targeted skills and competencies for FCC employees through appropriate career development aligned with the Commission’s strategic goals.
  - Provide a robust selection of training opportunities for Commission employees and encourage employee participation.
  - Continue reevaluation and implementation of the FCC’s Strategic Human Capital plan.
- (2) Improve Commission Senior Executive Service Plans.
  - Continue to improve development of performance plans aligned with the Commission’s Strategic Plan and the latest Office of Personnel Management and other government-wide agency directives.
- (3) Upgrade and enhance personnel management processes and tools to speed delivery of services.
  - Provide streamlined and modernized processes to speed up and simplify the lifecycle work career for employees (recruitment to departures).
- (6) Reduce or eliminate under-representation in the workforce by recruiting and employing a highly-skilled, competent, and diverse workforce, free of discrimination, reprisal, and sexual harassment.
  - Ensure that statutory and legal requirements are met for discrimination complaints processing, affirmative employment, reasonable accommodation, and accessibility
  - Monitor agency compliance with various Equal Employment Opportunity Commission (EEOC) and Office of Personnel Management policy directives, such as EEOC Management Directive 715, which provides guidance for Federal managers to ensure that all employment decisions are free of discrimination
  - Continue to plan and coordinate annual “Special Emphasis Programs” designed to educate FCC employees on diverse cultures.

***Outcome-oriented Performance Goal 8.3:*** Effectively manage the FCC’s financial resources to best achieve the FCC’s mission and to maintain internal controls that ensure sound budgeting, financial, and fund management and accounting principles and practices.

***Targets with Subordinate Measures:***



- (1) Continue development and reevaluation of the budget cycle process to improve funding of current and new Commission critical projects and programs.
  - Maintain a robust process for reviewing funding of ongoing and future projects to meet Commission strategic goals.
- (2) Conduct a program of continuous review and evaluation to assure that all financial operations and programs 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.

***Outcome-oriented Performance Goal 8.4:*** Effectively manage the FCC’s administrative and management program resources to provide for the appropriate support for all of the FCC’s activities and to maintain internal controls that allow for sound facility, equipment, and security expenditures.

***Targets with Subordinate Measures:***

- (1) Promote greater accountability by strengthening performance management and administrative controls.
  - Collect and assess administrative cost data to use in making decisions on effectiveness and allocation of resources.
  - Collect performance data for FCC managers to use in making decisions concerning program effectiveness and allocation of resources.
  - Conduct internal risk assessments of all administrative and management programs and develop remediation plans through a lifecycle approach.
  - Review audits and evaluations from the Office of Inspector General and address recommended improvements in FCC operations and functions.
- (2) Ensure compliance with all general administrative laws and regulations, including fiscal, procurement, ethics, employment, environmental, and appropriations.
- (3) Continue improvement in contracts, procurement, and purchasing programs and activities.
  - Meet or exceed the Small Business Administration (SBA) contracting set-aside goal.

***Outcome-oriented Performance Goal 8.5:*** Effectively manage the FCC’s processes for monitoring and disposing of applications, petitions, and complaints before the FCC in order to achieve timely action on pending items.

***Targets with Subordinate Measures:***

- (1) Continue efforts to ensure timely decision making and response to petitioners and applicants.
  - Routinely collect and analyze data on items pending before the FCC to ensure effective operations and resource allocation.

***Outcome-oriented Performance Goal 8.6:*** Continuously review and examine our regulatory processes and significant regulations to achieve statutory objectives while reducing burdens on industry and promoting innovation and job growth.

***Targets with Subordinate Measures:***

- (1) Eliminate outdated regulations to ensure that FCC rules and policies promote a healthy climate for private investment and job creation.
  - Continue to conduct a review of rules and data collections within each FCC bureau and office with the goal of eliminating or revising requirements that are outdated, inconsistent with current technologies, or place needless burdens on businesses or FCC resources.

**Means and Strategies for Accomplishing Performance**

<b>OPERATIONAL EXCELLENCE</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Management and document tracking and change control</li> <li>▪ Workforce analysis and planning</li> <li>▪ Capital asset planning and deployment</li> <li>▪ Strategic and performance planning</li> <li>▪ Information technology planning and deployment</li> <li>▪ Performance budgeting</li> <li>▪ Acquisition and procurement strategy</li> <li>▪ Enhanced secure infrastructure and network</li> </ul>	<ul style="list-style-type: none"> <li>▪ Planning, scheduling, and budgeting</li> <li>▪ Change management</li> <li>▪ Productivity and efficiency improvement</li> <li>▪ Training and workforce development</li> <li>▪ Workforce analysis</li> <li>▪ Financial Accounting and Auditing Analysis</li> <li>▪ Cyber security expertise</li> <li>▪ Understanding of relevant law</li> </ul>	<ul style="list-style-type: none"> <li>▪ Commission Registration System (CORES)</li> <li>▪ Core Financial Management System</li> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Consumer Complaints Management System (CCMS)</li> <li>▪ Enforcement Bureau Automated Tracking System (EBATS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ Enterprise Architecture &amp; Program Management</li> <li>▪ Earned Value Management (EVM) &amp; Clarity</li> </ul>

# **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.

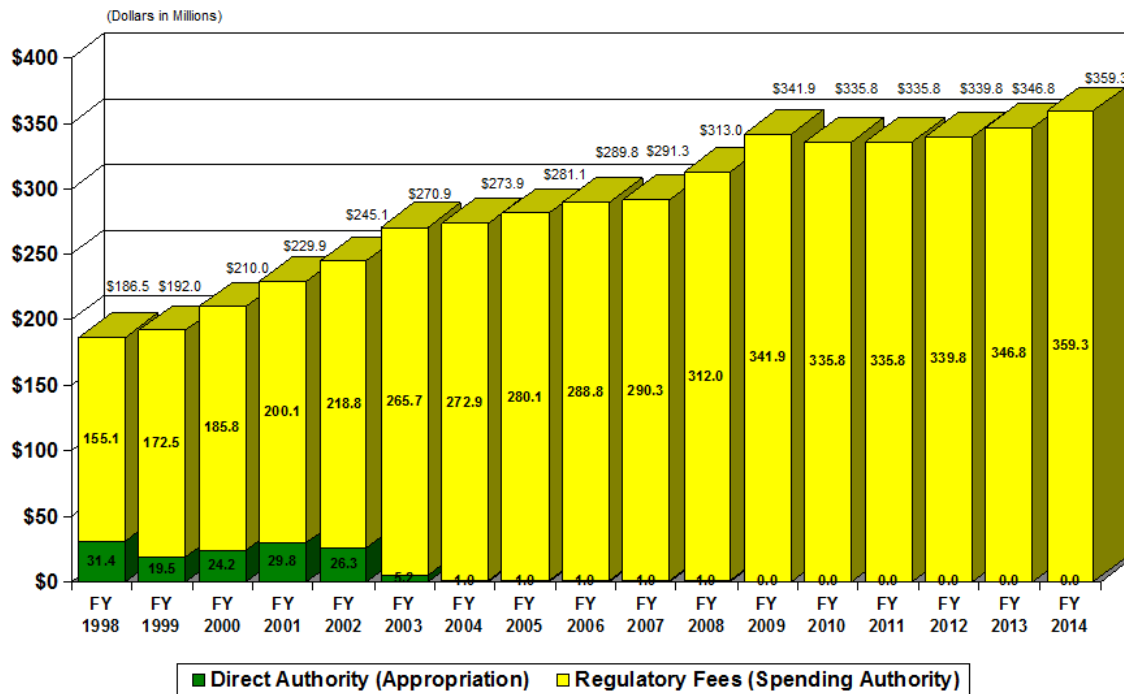
The Commission implemented the Regulatory Fee Collection Program by rulemaking on July 18, 1994. The most recent fee schedule became effective on September 4, 2012, pursuant to an order adopted by the Commission on July 13, 2012, released July 19, 2012, and published in the Federal Register August 3, 2012 (77 FR 46307).

### **Authorization to Retain Fees**

Fees collected up to the level established by Congress are applied against the Commission's annual appropriation at the close of each fiscal year. The regulatory fee levels of \$335.8 million for FY 2011 and \$339.8 million for FY 2012 were achieved. The Commission collected \$6.3 million above the required regulatory level in FY 2011, which are reported as temporarily not available pursuant to Public Law. The total cumulative amount collected above the required regulatory level was \$4.9 million at September 30, 2012.

Appropriations language for FY 2012 prohibits the Commission from using any excess offsetting collections received in FY 2012 or any prior years. The FCC proposed the same treatment of excess collections in its FY 2013 and FY 2014 budget request.

**FY 1998 – FY 2014 RESOURCE COMPARISON  
Distribution of Appropriated Budget Authority**



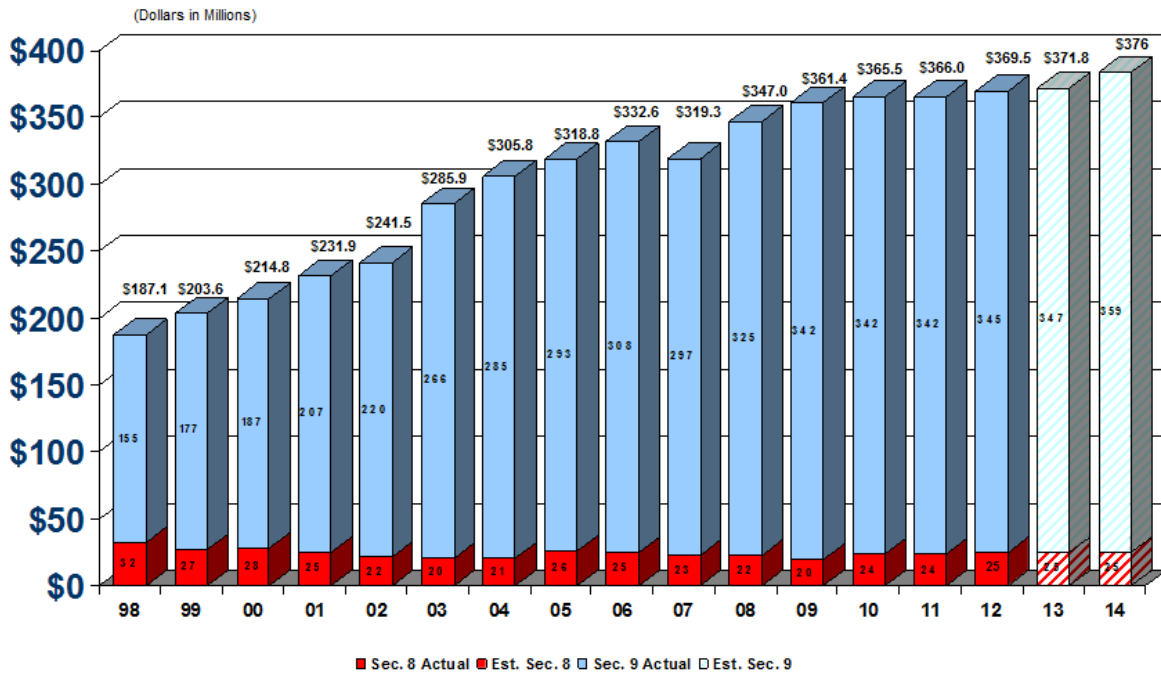
**FY 2014 Regulatory Fee Assumptions**

The FY 2012 appropriation for the FCC authorized \$339.8 million in collection of regulatory fees. The FY 2013 Congressional budget request increased regulatory fees to a level of \$346.8 million. The FY 2014 budget proposes an increase of regulatory fees to a level of \$359.3 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 February 28, 2011, the Commission adopted an Order which increased application fees to reflect these CPI changes; this change became effective June 21, 2011. Application Processing Fee Collections (Section 8) and Regulatory Fee collections are summarized in the following graph.

### FEE COLLECTIONS\* FY 1998 – FY 2014



\*In addition to Sec. 8 processing fees which go to General Fund of Treasury, totals for FY 1998-2014 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 81 auctions. As of December 31, 2012, 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; FY 2011 by the Deficit Reduction Act of 2005, P.L. 109-171; 2012 by the DTV Delay Act, P.L. 111-4; and most recently, the authority was extended through September 30, 2022, by the Middle Class Tax Relief and Job Creation Act of 2012, P.L. 112-96.

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 auction receipts as the FCC continues to use auctions as a licensing mechanism for spectrum based communications services. The FCC's FY 2012 Appropriations language capped the auctions program at \$85 million. The FCC's request during the Continuing Resolution (CR) for an anomaly in FY 2013 to fund the Auctions program was approved at \$98.7 million. We have requested \$89.4 million for the auctions program in FY 2014.

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 2012 Auctions Report will be provided to the appropriate Congressional committees by September, 2013. The FY 2013 Auctions Report will be submitted by September, 2014.

<b>FY 2009 - FY 2013 Auctions Activities</b>					
	2009	2010	2011	2012	2013 (December 31, 2012)
<b>Beginning Year Balance</b> <sup>1</sup>	132,198,740	\$250,788,174	\$240,860,779	\$166,489,364	\$135,626,870
<b>Less: Deferred Revenue</b> <sup>2</sup>	(27,234,636)	(33,210,155)	(41,411,725)	(13,135,795)	(10,828,640)
<b>Less: Deposit Liability - Refunds</b>	(18,224,781)	(297,756)	(297,756)	(725,484)	(725,524)
<b>Available Auction Cash</b>	<b>\$86,739,324</b>	<b>\$217,280,263</b>	<b>\$199,151,298</b>	<b>\$152,628,086</b>	<b>\$124,072,707</b>

<sup>1</sup> Includes current and prior year cash collections.

<sup>2</sup> Cash associated with licenses that have not been granted.



## FY 1994 - FY 2013 Auctions and Collections

<u>FY</u>	<u>Number of Auctions</u>	<u>Number of Licences Won</u>	<u>Amount Collected</u>
1994	2	604	\$652,954,213
1995	2	129	\$8,234,321,195
1996	6	2,026	\$2,019,328,594
1997	4	1,614	\$2,205,922,232
1998	2	1,388	\$860,878,576
1999	6	1,693	\$499,598,445
2000	8	4,403	\$1,335,043,186
2001	4	3,447	\$583,599,901
2002	7	7,036	\$135,450,240
2003	7	3,144	\$77,121,620
2004	5	267	\$126,790,232
2005	6	2,803	\$2,208,332,556
2006	5	1,284	\$13,834,972,696
2007	5	293	\$163,429,971
2008	3	1,144	\$18,985,204,841
2009	2	115	\$5,578,176
2010	3	4,788	\$25,923,987
2011	3	126	\$30,966,316
2012	1	93	\$3,829,068
	<u>81</u>	<u>36,397</u>	<u>\$51,989,246,043</u>



**BUREAUS AND OFFICES  
FY 2014 REQUIREMENTS**



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## OFFICE OF THE CHAIRMAN AND COMMISSIONERS

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
FTE	25	31	31
<b>11-Compensation</b>	\$3,023,807	\$3,960,555	\$3,995,247
<b>12-Benefits</b>	\$755,463	\$950,991	\$959,321
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$3,779,270</b>	<b>\$4,911,546</b>	<b>\$4,954,568</b>
<b>21-Travel</b>	\$215,326	\$279,950	\$229,560
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$282,897	\$313,203	\$319,467
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$469	\$4,000	\$4,000
<b>26-Supplies and Materials</b>	\$0	\$0	\$0
<b>31-Equipment</b>	\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$498,692</b>	<b>\$597,153</b>	<b>\$553,027</b>
<b>TOTAL</b>	<b>\$4,277,962</b>	<b>\$5,508,699</b>	<b>\$5,507,595</b>

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 Chairperson. 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

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
FTE	172	167	167
<b>11-Compensation</b>	\$18,087,343	\$18,011,555	\$18,169,325
<b>12-Benefits</b>	\$4,691,097	\$4,525,673	\$4,565,315
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$22,778,440</b>	<b>\$22,537,228</b>	<b>\$22,734,640</b>
<b>21-Travel</b>	\$222,251	\$211,222	\$173,202
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$1,116,675	\$1,148,087	\$1,171,049
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$1,662,661	\$1,209,369	\$2,733,556
<b>26-Supplies and Materials</b>	\$19,544	\$671	\$684
<b>31-Equipment</b>	\$27,718	\$2,175	\$2,219
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$3,048,849</b>	<b>\$2,571,524</b>	<b>\$4,080,710</b>
<b>TOTAL</b>	<b>\$25,827,289</b>	<b>\$25,108,752</b>	<b>\$26,815,350</b>

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 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 objectives 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 and 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**

	<b>2012</b>	<b>2013</b>	<b>2014</b>
	<b>Actuals</b>	<b>Cong. Request</b>	<b>Cong. Request</b>
<b>FTE</b>	<b>267</b>	<b>265</b>	<b>265</b>
<b>11-Compensation</b>	\$30,869,156	\$30,931,153	\$31,202,091
<b>12-Benefits</b>	\$8,149,975	\$8,225,137	\$8,297,184
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$39,019,131</b>	<b>\$39,156,290</b>	<b>\$39,499,275</b>
<b>21-Travel</b>	\$279,824	\$325,619	\$269,037
<b>22-Transportation of Things</b>	\$5,690	\$13,344	\$13,611
<b>23-Rent and Communications</b>	\$3,340,055	\$3,448,687	\$3,517,661
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$659,453	\$605,676	\$617,790
<b>26-Supplies and Materials</b>	\$310,179	\$262,945	\$268,204
<b>31-Equipment</b>	\$931,517	\$4,525,021	\$2,065,521
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$5,526,718</b>	<b>\$9,181,292</b>	<b>\$6,751,824</b>
<b>TOTAL</b>	<b>\$44,545,849</b>	<b>\$48,337,582</b>	<b>\$46,251,098</b>

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, among other things:

- Resolving complaints regarding:
  - compliance with statutory and regulatory provisions, including complaints filed under section 208 of the Communications Act;
  - acts or omissions of non-common carriers subject to the Commission’s jurisdiction under Title II of the Communications Act and related provisions;
  - accessibility to communications services and equipment for persons with disabilities;
  - radiofrequency interference and radiofrequency equipment and devices;
  - compliance with the Commission’s Emergency Alert System rules;
  - the lighting and marking of radio transmitting towers;
  - indecent communications subject to the Commission’s jurisdiction;
  - the broadcast and cable television children’s television programming commercial limits contained in section 102 of the Children’s Television Act;
  - unauthorized construction and operation of communications facilities;
  - false distress signals;

- Title III licensees and permittees;
  - pole attachments filed under section 224 of the Communications Act;
  - multichannel video and cable television service under part 76 of the Commission's rules; and
  - other matters assigned to it by the Commission.
- Resolving universal service suspension and debarment proceedings.
  - Conducting investigations and collecting information in connection with complaints, on its own initiative, or upon request of another Bureau or Office.
  - Mediating and settling disputes between service providers.
  - Serving as trial staff in formal hearings conducted pursuant to 5 U.S.C. § 556 regarding applications, revocation, forfeitures, and other matters designated for hearing.
  - Providing field support for, and field representation of, the Bureau, other Bureaus and Offices, and the Commission.
  - Handling 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.
  - Issuing 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.

## INTERNATIONAL BUREAU

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
FTE	121	120	120
<b>11-Compensation</b>	\$15,855,843	\$15,815,608	\$15,954,143
<b>12-Benefits</b>	\$3,996,682	\$3,979,870	\$4,014,731
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$19,852,525</b>	<b>\$19,795,478</b>	<b>\$19,968,874</b>
<b>21-Travel</b>	\$645,827	\$373,412	\$336,197
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$1,000,844	\$1,023,732	\$1,044,207
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$37,138	\$57,424	\$58,572
<b>26-Supplies and Materials</b>	\$12,860	\$18,363	\$18,730
<b>31-Equipment</b>	\$300	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$1,696,969</b>	<b>\$1,472,931</b>	<b>\$1,457,707</b>
<b>TOTAL</b>	<b>\$21,549,494</b>	<b>\$21,268,409</b>	<b>\$21,426,581</b>

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 and submarine cable 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:

- Initiating and directing the development and articulation of international telecommunications policies, consistent with the priorities of the Commission.
- Advising 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.
- Developing, recommending, and administering policies, rules, and procedures for the authorization, licensing, and regulation of international telecommunications facilities and services, and domestic and international satellite systems.
- Representing the Commission on international telecommunications matters at both domestic and international conferences and meetings, and directing and coordinating the Commission's preparation for such conferences and meetings.
- Serving 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.
- Directing and coordinating, 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.

- Developing, coordinating with other federal agencies, and administering regulatory assistance and training programs for foreign administrations to promote telecommunications development.
- Providing advice and technical assistance to U.S. trade officials in the negotiation and implementation of telecommunications trade agreements.
- Conducting economic, legal, technical, statistical, and other appropriate studies, surveys, and analyses in support of development of international telecommunications policies and programs.
- Collecting and disseminating within the Commission information and data on international telecommunications, and regulatory and market developments in other countries and international organizations.
- Promoting the international coordination of spectrum allocation, and frequency and orbital assignments, so as to minimize cases of international radio interference involving U.S. licensees.
- Ensuring fulfillment of the Commission's responsibilities under international agreements and treaty obligations, and, consistent with Commission policy, ensuring that the Commission's regulations, procedures, and frequency allocations comply with mandatory requirements of all applicable international and bilateral agreements.
- Overseeing and, as appropriate, administering 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.
- Monitoring compliance with the terms and conditions of authorizations and licenses granted by the Bureau, and pursuing enforcement actions in conjunction with appropriate bureaus and offices.

## MEDIA BUREAU

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
<b>FTE</b>	<b>183</b>	<b>180</b>	<b>180</b>
<b>11-Compensation</b>	\$21,047,283	\$20,830,226	\$21,012,686
<b>12-Benefits</b>	\$5,281,040	\$5,208,772	\$5,254,398
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$26,328,323</b>	<b>\$26,038,998</b>	<b>\$26,267,083</b>
<b>21-Travel</b>	\$37,605	\$28,684	\$23,521
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$1,525,660	\$1,560,551	\$1,591,762
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$55,590	\$652,153	\$155,196
<b>26-Supplies and Materials</b>	\$0	\$0	\$0
<b>31-Equipment</b>	\$249	\$13,454	\$13,723
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$1,619,104</b>	<b>\$2,254,842</b>	<b>\$1,784,202</b>
<b>TOTAL</b>	<b>\$27,947,427</b>	<b>\$28,293,840</b>	<b>\$28,051,285</b>

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.

**PUBLIC SAFETY AND HOMELAND SECURITY BUREAU**

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
FTE	111	112	112
<b>11-Compensation</b>	\$13,157,624	\$13,392,969	\$13,510,283
<b>12-Benefits</b>	\$3,552,444	\$3,593,291	\$3,624,766
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$16,710,068</b>	<b>\$16,986,260</b>	<b>\$17,135,049</b>
<b>21-Travel</b>	\$138,827	\$93,764	\$76,886
<b>22-Transportation of Things</b>	\$35,460	\$0	\$0
<b>23-Rent and Communications</b>	\$843,343	\$862,248	\$879,493
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$188,195	\$1,125,043	\$127,544
<b>26-Supplies and Materials</b>	\$12,620	\$10,810	\$11,026
<b>31-Equipment</b>	\$68,466	\$31,358	\$31,985
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$1,286,911</b>	<b>\$2,123,223</b>	<b>\$1,126,934</b>
<b>TOTAL</b>	<b>\$17,996,979</b>	<b>\$19,109,483</b>	<b>\$18,261,982</b>

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, and other emergency number issues), priority emergency communications, alert and warning systems (including the Emergency Alert System), continuity of government operations, implementation of Homeland Security Presidential Directives and Orders, disaster management coordination and outreach, communications infrastructure protection, reliability, operability and interoperability of networks and communications systems, the Communications Assistance for Law Enforcement Act (CALEA), 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 (COG) 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 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 PSHS Bureau or designee acts as the FCC Alternate Homeland Security and Defense Coordinator and principal to the successor to the National Communications System, and serves as the Commission's representative on the successor's 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. 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 (EOC), 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 should be 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 (COOP), 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.



## WIRELESS TELECOMMUNICATIONS BUREAU

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
<b>FTE</b>	<b>218</b>	<b>220</b>	<b>220</b>
<b>11-Compensation</b>	\$12,446,359	\$12,825,265	\$12,937,606
<b>12-Benefits</b>	\$3,242,439	\$3,479,755	\$3,510,235
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$15,688,798</b>	<b>\$16,305,020</b>	<b>\$16,447,842</b>
<b>21-Travel</b>	\$13,443	\$17,592	\$14,426
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$270,340	\$276,523	\$282,053
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$353,515	\$55,010	\$56,110
<b>26-Supplies and Materials</b>	\$0	\$0	\$0
<b>31-Equipment</b>	\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$637,298</b>	<b>\$349,125</b>	<b>\$352,590</b>
<b>TOTAL</b>	<b>\$16,326,096</b>	<b>\$16,654,145</b>	<b>\$16,800,431</b>

The Wireless Telecommunications Bureau (WTB) 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, public safety, 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; conducting auctions for other services and programs as needed; 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

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
<b>FTE</b>	<b>160</b>	<b>176</b>	<b>217</b>
<b>11-Compensation</b>	\$20,816,652	\$23,065,864	\$28,767,907
<b>12-Benefits</b>	\$5,506,354	\$6,078,584	\$7,631,829
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$26,323,006</b>	<b>\$29,144,448</b>	<b>\$36,399,735</b>
<b>21-Travel</b>	\$42,846	\$58,463	\$52,034
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$1,332,235	\$1,362,702	\$1,389,956
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$151,588	\$90,747	\$92,562
<b>26-Supplies and Materials</b>	\$2,023	\$0	\$0
<b>31-Equipment</b>	\$6,148	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$1,534,840</b>	<b>\$1,511,912</b>	<b>\$1,534,552</b>
<b>TOTAL</b>	<b>\$27,857,846</b>	<b>\$30,656,360</b>	<b>\$37,934,287</b>

The Wireline Competition Bureau advises and makes recommendations to the Commission, or acts for the Commission under delegated authority, on matters concerning wireline communications and ancillary operations, drawing on relevant economic, technological, legislative, regulatory, and judicial information and developments. The Bureau's objectives include: ensuring that all Americans are included in 21st century communications by reaching all of America with affordable broadband and voice services; ensuring access to affordable broadband connectivity for schools, libraries, and health care institutions; fostering competition, especially for small businesses; ensuring a sustainable framework for competitors who rely on the facilities of others; and ensuring that the public has access to accurate and comprehensive data about communications services, including data about broadband.

The Bureau's activities include: policy development and coordination; adjudicatory and rulemaking proceedings affecting wireline telecommunications service providers; administering the provisions of the Communications Act relating to charges, practices, and classifications for wireline telecommunications service providers to ensure that they are just and reasonable; action on requests for interpretation or waivers of rules; determinations regarding lawfulness of carrier tariffs; action on applications for authorization to transfer service and facility authorizations or to discontinue services or the operation of facilities; 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, industry groups, and other stakeholders on wireline communications regulation and related matters; reviewing and coordinating orders, programs, and actions initiated by other Bureaus and Offices in matters affecting wireline communications to ensure consistency with overall Commission policy; and any other functions as may be assigned, delegated, or referred to the Bureau by the Commission.

## AGENCY OFFICES

### Office of Administrative Law Judges

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
FTE	3	4	4
<b>11-Compensation</b>	\$306,738	\$429,748	\$433,512
<b>12-Benefits</b>	\$52,392	\$71,733	\$72,361
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$359,130</b>	<b>\$501,481</b>	<b>\$505,874</b>
<b>21-Travel</b>	\$497	\$522	\$428
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$22,123	\$22,627	\$23,080
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$4,000	\$20,375	\$20,783
<b>26-Supplies and Materials</b>	\$0	\$0	\$0
<b>31-Equipment</b>	\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$26,620</b>	<b>\$43,524</b>	<b>\$44,290</b>
<b>TOTAL</b>	<b>\$385,750</b>	<b>\$545,005</b>	<b>\$550,164</b>

The Office of Administrative Law Judges hears and conducts all adjudicatory cases designated for formal evidentiary hearing, other than those designated to be heard by the Commission *en banc* or by one or more members of the Commission, and other hearings as the Commission may assign. The Office has the following responsibilities:

- Presiding over and conducting formal hearings involving investigations rule-making and adjudication.
- Acting on motions, petitions, and other pleadings filed in proceedings, and conducting pre-hearing conferences.
- Administering the oath, examining witnesses, ruling upon evidentiary questions, issuing subpoenas, disposing of procedural motions, preparing and issuing Initial Decisions. Performing substantially the same functions of U.S. District Court judges in non-jury cases, with the exception that Initial Decisions rendered are subject to review by the Commission if requested by a party or on the Commission's own motion.
- Upon instruction of the Chairman, serving as liaison for the Commission and this Office in making appropriate arrangements for securing advice or information from representatives of other agencies, bar associations, and interested persons in connection with hearing procedures.
- Preparing and maintaining hearing calendars, showing time and place of hearings.

- Preparing reports, statistical data, and other information requested or required by the Office of Personnel Management, and other offices or agencies of the U.S. Government concerned with proper operation of the Office of Administrative Law Judges.
- Exercising such authority as may be assigned by the Commission pursuant to section 5(c) of the Communications Act of 1934, as amended.

## Office of Communications Business Opportunities

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
FTE	12	12	12
<b>11-Compensation</b>	\$1,413,436	\$1,500,906	\$1,514,053
<b>12-Benefits</b>	\$365,485	\$394,596	\$398,052
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$1,778,921</b>	<b>\$1,895,502</b>	<b>\$1,912,105</b>
<b>21-Travel</b>	\$29,259	\$34,380	\$28,192
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$71,886	\$73,510	\$74,980
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$494,902	\$0	\$0
<b>26-Supplies and Materials</b>	\$0	\$0	\$0
<b>31-Equipment</b>	\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$596,047</b>	<b>\$107,890</b>	<b>\$103,172</b>
<b>TOTAL</b>	<b>\$2,374,968</b>	<b>\$2,003,392</b>	<b>\$2,015,277</b>

The Office of Communications Business Opportunities (OCBO), 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:

- Serving, through its director, as the principal small business policy advisor to the Commission;
- Developing, implementing, and evaluating programs and policies that promote participation by small entities, women, and minorities in the communications industry;
- Managing 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;

- Developing and recommending Commission-wide goals and objectives for addressing the concerns of small entities, women, and minorities and reports of achievement;
- Acting as the principal channel for disseminating information regarding the Commission's activities and programs affecting small entities, women, and minorities;
- Developing, recommending, coordinating, and administering objectives, plans and programs to encourage participation by small entities, women, and minorities in the decision-making process;
- Promoting increased awareness within the Commission of the impact of policies on small entities, women, and minorities;
- Acting as the Commission's liaison to other federal agencies on matters relating to small business.

### Office of Engineering and Technology

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
<b>FTE</b>	<b>80</b>	<b>85</b>	<b>85</b>
<b>11-Compensation</b>	\$9,628,406	\$10,251,615	\$10,341,413
<b>12-Benefits</b>	\$2,540,859	\$2,709,445	\$2,733,178
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$12,169,265</b>	<b>\$12,961,060</b>	<b>\$13,074,591</b>
<b>21-Travel</b>	\$29,071	\$25,208	\$20,670
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$441,930	\$452,036	\$461,077
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$659,417	\$195,527	\$199,438
<b>26-Supplies and Materials</b>	\$36,766	\$41,404	\$42,232
<b>31-Equipment</b>	\$440,828	\$592,900	\$94,758
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$1,608,012</b>	<b>\$1,307,075</b>	<b>\$818,175</b>
<b>TOTAL</b>	<b>\$13,777,277</b>	<b>\$14,268,135</b>	<b>\$13,892,765</b>

The Office of Engineering and Technology allocates spectrum for commercial, private, and non-Federal governmental use and provides expert advice on technical issues before the Commission, including recommendations on technical standards for spectrum users. The Office also performs the following duties and responsibilities:

- Developing overall policies, objectives, and priorities for the Office of Engineering and Technology programs and activities; performing management functions; and supervising the execution of these policies.
- Advising and representing the Commission on frequency allocation and spectrum usage matters, including those covered by international agreements.
- Planning and directing broad programs for development of information relative to communication techniques and equipment, radio wave propagation, and new uses for communications, and advising the Commission and staff offices in such matters.
- Representing the Commission at various national and international conferences and meetings devoted to the progress of communications and the development of information and standards.
- Conducting 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.
- Advising the Commission and other Bureaus and Offices concerning spectrum management, emerging technologies, technical standards, international considerations, and national security matters involved in making or implementing policy or in resolving specific situations involving these matters.
- Developing and implementing procedures to acquire, store, and retrieve scientific and technical information required in the engineering work of the Commission.

- Providing advice to the Commission, participating in and coordinating staff work with respect to general frequency allocation proceedings and other proceedings not within the jurisdiction of any single Bureau, and providing assistance and advice with respect to rulemaking matters and proceedings affecting more than one Bureau.
- Administering Parts 2, 5, 15, and 18, of the Commission's Rules and Regulations.
- Performing 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.
- Maintaining 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.
- Coordinating frequency assignments for Commission licensees with Federal Government agencies, and representing the Commission on issues regarding use of spectrum when jurisdiction is shared with the Federal Government.
- Preparing recommendations for legislation, and reviewing recommendations for rule changes and rulemaking proposals initiated by other offices affecting Bureau programs and operations.



## Office of General Counsel

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
<b>FTE</b>	<b>70</b>	<b>73</b>	<b>73</b>
<b>11-Compensation</b>	\$9,659,720	\$10,355,313	\$10,446,019
<b>12-Benefits</b>	\$2,508,545	\$2,666,907	\$2,690,267
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$12,168,265</b>	<b>\$13,022,220</b>	<b>\$13,136,287</b>
<b>21-Travel</b>	\$11,663	\$13,008	\$10,666
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$559,705	\$572,505	\$583,955
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$6,165	\$3,353	\$3,420
<b>26-Supplies and Materials</b>	\$0	\$0	\$0
<b>31-Equipment</b>	\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$577,533</b>	<b>\$588,866</b>	<b>\$598,041</b>
<b>TOTAL</b>	<b>\$12,745,798</b>	<b>\$13,611,086</b>	<b>\$13,734,328</b>

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

- Prepares and makes recommendations and interpretations concerning procedural rules of general applicability.
- Reviews all proposed Commission orders and rules for consistency with the Constitution, laws of the United States, and other rules and precedents.
- Represents the Commission in litigation matters.
- Ensures consistent and timely public interest analysis of transactions considered by the Commission and providing technical expertise on various corporate, bankruptcy, fraud, and other transactional issues.
- Assists and makes 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.
- Advises and makes recommendations to the Commission with respect to proposed legislation.
- Interprets statutes, regulations, and international agreements affecting the Commission.
- Provides advice to the Commission and its components on general law issues (e.g., leases, contracts, debt collection, tort claims, fiscal law, and labor law) common to most federal agencies.

- Serves 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.
- Exercises 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

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
<b>FTE</b>	<b>40</b>	<b>46</b>	<b>46</b>
<b>11-Compensation</b>	\$3,419,851	\$5,452,687	\$5,500,160
<b>12-Benefits</b>	\$889,669	\$1,290,328	\$1,301,630
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$4,309,520</b>	<b>\$6,743,015</b>	<b>\$6,801,791</b>
<b>21-Travel</b>	\$39,259	\$95,197	\$97,101
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$347,968	\$350,709	\$357,723
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$4,641,516	\$1,552,562	\$3,823,693
<b>26-Supplies and Materials</b>	\$0	\$471	\$480
<b>31-Equipment</b>	\$116,542	\$8,384	\$8,552
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$5,145,285</b>	<b>\$2,007,323</b>	<b>\$4,287,549</b>
<b>TOTAL</b>	<b>\$9,454,805</b>	<b>\$8,750,338</b>	<b>\$11,089,339</b>

The Federal Communications Commission (FCC) Office of Inspector General (OIG) was established in compliance with the Inspector General Act of 1978 (Public Law 94-454), as amended. The OIG conducts and supervises audits, inspections, and investigations relating to FCC programs and operations. The OIG provides management feedback and leadership, and recommends policies for activities designed to promote economy, efficiency, and effectiveness in the administration of, and to prevent and detect fraud and abuse in, such programs and operations. The OIG communicates with the Commission and Congress to keep them informed about issues and deficiencies relating to the administration of such programs and operations and the necessity for and progress of corrective action. The Inspector General reports directly to the Commission. The primary duties and responsibilities of the OIG include:

- Conducting, supervising, and coordinating audits and investigations relating to the programs and operations of the FCC.
- Reviewing existing and proposed legislation and regulations relating to programs and operations of the FCC, and making recommendations in semiannual reports required by section 5(a) of the Inspector General Act concerning the impact of such legislation or regulations on the economy and efficiency in the administration of programs and operations administered or financed by the FCC, and the prevention and detection of fraud and abuse in such programs and operations.
- Recommending policies for, and conducting or coordinating other activities carried out by or financed by the FCC for, the purpose of promoting economy and efficiency in the administration of, or preventing and detecting fraud and abuse in, its programs and operations.

- Recommending policies for matters relating to the promotion of economy and efficiency in the administration of, or the prevention and detection of fraud and abuse in, programs and operations administered or financed by the FCC.
- Reporting expeditiously to the Attorney General whenever the Inspector General has reasonable grounds to believe there has been a violation of Federal criminal law.

## Office of Legislative Affairs

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
FTE	13	12	12
<b>11-Compensation</b>	\$1,594,503	\$1,583,862	\$1,597,736
<b>12-Benefits</b>	\$436,869	\$427,654	\$431,400
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$2,031,372</b>	<b>\$2,011,516</b>	<b>\$2,029,136</b>
<b>21-Travel</b>	\$5,234	\$14,551	\$4,932
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$69,816	\$71,413	\$72,841
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$0	\$0	\$0
<b>26-Supplies and Materials</b>	\$0	\$0	\$0
<b>31-Equipment</b>	\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$75,050</b>	<b>\$85,964</b>	<b>\$77,773</b>
<b>TOTAL</b>	<b>\$2,106,422</b>	<b>\$2,097,480</b>	<b>\$2,106,909</b>

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:

- Advising and making recommendations to the Commission with respect to legislation proposed by Members of Congress or other government agencies, and coordinating the preparation of Commission views for submission to Congress or other government agencies.
- Tracking and monitoring legislation impacting the Commission, providing technical assistance to Congressional staff, as necessary.
- Coordinating Commission and Bureau responses to formal inquiries by individual Members of Congress and committees, including tracking inquiries and setting response times.
- Assisting the staffs of Members of Congress in responding to constituent concerns.
- Assisting in the preparation for, and the coordination of, the Chairman's and Commissioners' appearances before Committees of Congress.
- Assisting 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.
- Coordinating the Commission's legislative program, obtaining Bureau and Office comments, and drafting final legislative proposals.

## Office of the Managing Director

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
FTE	203	219	223
<b>11-Compensation</b>	\$19,605,863	\$21,148,901	\$21,314,396
<b>12-Benefits</b>	\$4,550,684	\$4,870,644	\$4,915,073
<b>13-Benefits for Former Personnel</b>	\$15,050	\$28,843	\$29,420
<b>Subtotal, Personnel Costs</b>	<b>\$24,171,597</b>	<b>\$26,048,388</b>	<b>\$26,258,888</b>
<b>21-Travel</b>	\$163,063	\$239,763	\$145,489
<b>22-Transportation of Things</b>	\$67,690	\$112,211	\$114,455
<b>23-Rent and Communications</b>	\$32,594,339	\$32,379,660	\$32,427,253
<b>24-Printing and Reproduction</b>	\$1,155,079	\$1,012,178	\$1,032,422
<b>25-Other Contractual Services</b>	\$41,050,618	\$38,111,283	\$41,067,621
<b>26-Supplies and Materials</b>	\$1,355,995	\$1,446,568	\$1,475,499
<b>31-Equipment</b>	\$3,295,952	\$2,852,033	\$3,899,074
<b>42-Insurance Claims and Indemnities</b>	\$206,357	\$200	\$200
<b>Subtotal, Non-Personnel Costs</b>	<b>\$79,889,093</b>	<b>\$76,153,896</b>	<b>\$80,162,013</b>
<b>TOTAL</b>	<b>\$104,060,690</b>	<b>\$102,202,284</b>	<b>\$106,420,901</b>

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:

- Providing managerial leadership to, and exercising 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.
- Formulating and administering all management and administrative policies, programs, and directives for the Commission consistent with authority delegated by the Commission and the Chairman, and recommending to the Chairman and the Commission major changes in such policies and programs.
- As the administrative head of the agency, assisting the Chairman in carrying out the administrative and executive responsibilities delegated to the Chairman.
- Advising the Chairman and the Commission on management, administrative, and related matters; reviewing and evaluating the programs and procedures of the Commission; initiating action or making recommendations as may be necessary to administer the Communications Act most effectively in the public interest. Assessing 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; recommending to the Chairman and the Commission program priorities, resource and position allocations, management, and administrative policies.
- Directing agency efforts to improve management effectiveness, operational efficiency, employee productivity, and service to the public. Administering Commission-wide management improvement programs.

## Office of Media Relations

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
FTE	16	16	16
<b>11-Compensation</b>	\$1,724,587	\$1,779,077	\$1,794,661
<b>12-Benefits</b>	\$469,989	\$488,325	\$492,602
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$2,194,576</b>	<b>\$2,267,402</b>	<b>\$2,287,263</b>
<b>21-Travel</b>	\$13,509	\$1,395	\$1,144
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$92,886	\$94,959	\$96,858
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$325,386	\$104,951	\$107,050
<b>26-Supplies and Materials</b>	\$9,851	\$15,596	\$15,908
<b>31-Equipment</b>	\$81,235	\$16,749	\$17,084
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$522,867</b>	<b>\$233,650</b>	<b>\$238,044</b>
<b>TOTAL</b>	<b>\$2,717,443</b>	<b>\$2,501,052</b>	<b>\$2,525,307</b>

The Office of Media Relations informs the 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:

- Enhancing public understanding of and compliance with the Commission's regulatory requirements.
- Acting as the principal channel for communicating information to the news media on Commission policies, programs, and activities.
- Advising the Commission on information dissemination as it affects liaison with the media.
- Managing the FCC's Internet site and oversee the agency's Web standards and guidelines, including accessibility.
- Managing the audio and visual support services for the Commission.
- Also, manages the FCC's social media sites including Twitter, Facebook, YouTube, Flickr and others.

## Office of Strategic Planning and Policy Analysis

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
<b>FTE</b>	<b>26</b>	<b>33</b>	<b>33</b>
<b>11-Compensation</b>	\$2,976,380	\$3,808,434	\$3,841,794
<b>12-Benefits</b>	\$785,736	\$1,052,720	\$1,061,941
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$3,762,116</b>	<b>\$4,861,154</b>	<b>\$4,903,735</b>
<b>21-Travel</b>	\$21,387	\$23,440	\$19,221
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$148,988	\$152,396	\$155,444
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$0	\$0	\$0
<b>26-Supplies and Materials</b>	\$0	\$0	\$0
<b>31-Equipment</b>	\$0	\$309	\$315
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$170,375</b>	<b>\$176,145</b>	<b>\$174,980</b>
<b>TOTAL</b>	<b>\$3,932,491</b>	<b>\$5,037,299</b>	<b>\$5,078,715</b>

The Office of Strategic Planning and Policy Analysis (OSP) works with Bureaus and other Offices, including those of the Chairman and other Commissioners, to develop and implement communications policies in all areas of Commission authority and responsibility. Specifically, the Office performs functions including:

- Acting as home for the FCC’s Chief Economist and Chief Technologist.
- Hosting Visiting Scholars from academia and elsewhere that joins the FCC on a temporary basis to contribute to the Commission’s mission.
- Coordinating the publication of the FCC White Paper series, a forum for staff to publish research aside from formal Commission actions.
- Working on high-priority issues at the request of the Chairman, Commissioners, or Bureau/Office Chiefs.
- Leading outreach efforts to relevant stakeholders, e.g., within academia, think tanks, the business community, and the capital markets.
- Providing research and expertise on request to any member of the Commission as resources allow.



## Office of Workplace Diversity

	2012	2013	2014
	Actuals	Cong. Request	Cong. Request
FTE	5	5	5
<b>11-Compensation</b>	\$562,042	\$586,750	\$591,890
<b>12-Benefits</b>	\$159,235	\$170,984	\$172,482
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$721,277</b>	<b>\$757,734</b>	<b>\$764,371</b>
<b>21-Travel</b>	\$0	\$32	\$0
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$40,567	\$41,495	\$42,325
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$40,761	\$28,889	\$29,467
<b>26-Supplies and Materials</b>	\$0	\$509	\$519
<b>31-Equipment</b>	\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$81,328</b>	<b>\$70,925</b>	<b>\$72,311</b>
<b>TOTAL</b>	<b>\$802,605</b>	<b>\$828,659</b>	<b>\$836,682</b>

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 promotes and ensures 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:

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

- Developing, implementing, and evaluating 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.
- Developing and recommending Commission-wide workforce diversity goals and reporting on achievements.
- 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.
- Working closely with the Associate Managing Director - Human Resources Management to ensure compliance with Federal and Commission recruitment and staffing requirements.
- Managing 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.
- Developing and administering the Commission's program of accessibility and accommodation for disabled persons in accordance with applicable regulations.
- Representing the Commission at meetings with other public and private groups and organizations on matters concerning workforce diversity and equal employment opportunity.
- Maintaining liaison with and soliciting views of organizations within and outside the Commission on matters relating to equal opportunity and workforce diversity.

# **APPENDICES**



**FY 2014 Budget Estimates to Congress  
Summary of Requested Resources**

(\$ in Thousands)

**DISTRIBUTION OF BUDGET AUTHORITY:**

	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>	<u>Change to Appropriated Budget Authority</u>
<b>FCC - Commission without Office of the Inspector General:</b>				
Direct Appropriation	\$0	\$0	\$0	\$0
<b>Authority to Spend Offsetting Collections:</b>				
Regulatory Fees	329,232	338,032	348,210	10,178
Appropriation Total	<u>\$329,232</u>	<u>\$338,032</u>	<u>\$348,210</u>	<u>\$10,178</u>
<b>Authority to Spend</b>				
<b>Other Off-setting Collections:</b>				
1) Economy Act/Misc. Other	\$4,564	\$6,000	\$6,000	\$0
2) Auctions Cost Recovery Reimbursements	83,900	97,447	88,694	(8,753)
Other Offsetting Collections	<u>\$88,464</u>	<u>\$103,447</u>	<u>\$94,694</u>	<u>(\$8,753)</u>
<b>Total Budget Authority - Available to incur obligations</b>	<u><u>\$417,696</u></u>	<u><u>\$441,479</u></u>	<u><u>\$442,904</u></u>	<u><u>\$1,425</u></u>
<b>Other Budget Authority</b>				
Credit Program Account 1/	\$477	\$3,621	\$1,510	(\$2,111)
<b>FCC - Office of the Inspector General:</b>				
Direct Appropriation	\$0	\$0	\$0	\$0
<b>Authority to Spend Offsetting Collections:</b>				
Regulatory Fees	9,455	8,750	11,089	2,339
OIG Appropriation Total	<u>\$9,455</u>	<u>\$8,750</u>	<u>\$11,089</u>	<u>\$2,339</u>
<b>Authority to Spend</b>				
<b>Other Off-setting Collections:</b>				
1) Economy Act/Misc. Other	\$0	0	0	\$0
2) Auctions Cost Recovery Reimbursements	1,009	1,292	706	(586)
OIG Other Offsetting Collections	<u>\$1,009</u>	<u>\$1,292</u>	<u>\$706</u>	<u>(\$586)</u>
<b>OIG Total Budget Authority - Available to incur obligations</b>	<u><u>\$10,464</u></u>	<u><u>\$10,042</u></u>	<u><u>\$11,795</u></u>	<u><u>\$1,753</u></u>
<b>Other Budget Authority</b>				
Credit Program Account 1/	\$301	\$305	\$423	\$118
Universal Service Fund (USF) 2/	\$11,391	\$5,011	\$4,259	(\$752)
<b>Total FCC with OIG</b>				
Appropriation Total	<u>\$338,687</u>	<u>\$346,782</u>	<u>\$359,299</u>	<u>\$12,517</u>
Other Offsetting Collections	<u>\$89,473</u>	<u>\$104,739</u>	<u>\$95,400</u>	<u>(\$9,339)</u>
<b>Total Budget Authority - Available to incur obligations</b>	<u><u>\$428,160</u></u>	<u><u>\$451,521</u></u>	<u><u>\$454,699</u></u>	<u><u>\$3,178</u></u>

1/ Credit Program Account carryover amount.

2/ The Consolidated Appropriations Act, 2008 (P.L. 110-161) authorizes use of \$21.5M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 - FY 2012, \$12.2M was obligated. The remaining \$9.3M has been carried forward, as follows: \$5.0M is estimated to be used in FY 2013, and \$4.3M will be used for future fiscal years.

**FY 2014 Budget Estimates to Congress**  
**Summary of Requested Resources**  
(\$ in Thousands)

**DISTRIBUTION OF OBLIGATIONS:**

	FY 2012 Actual	FY 2013 Cong. Request	FY 2014 Cong. Request	Difference
<b>FCC - Commission without Office of the Inspector General:</b>				
Direct Appropriation	\$0	\$0	\$0	\$0
<b>Offsetting Collections - Obligations:</b>				
Regulatory Fees	\$329,232	\$338,032	\$348,210	\$10,178
Subtotal - Obligations from Appropriated Funds	<u>\$329,232</u>	<u>\$338,032</u>	<u>\$348,210</u>	<u>\$10,178</u>
<b>Obligations - Other Offsetting Collections</b>				
1) Economy Act/Misc. Other	\$4,564	\$6,000	\$6,000	\$0
2) Auctions Cost Recovery Reimbursements	83,900	97,447	88,694	(8,753)
Subtotal Obligations Other Offsetting Collections	<u>\$88,464</u>	<u>\$103,447</u>	<u>\$94,694</u>	<u>(\$8,753)</u>
<b>TOTAL OBLIGATIONS &amp; OUTLAYS</b>	<u><u>\$417,696</u></u>	<u><u>\$441,479</u></u>	<u><u>\$442,904</u></u>	<u><u>\$1,425</u></u>
<b>Other Budget Authority:</b>				
Credit Program Account	\$477	\$3,621	\$1,510	(\$2,112)
<b>FCC - Office of the Inspector General:</b>				
Direct Appropriation	\$0	\$0	\$0	\$0
<b>Offsetting Collections - Obligations:</b>				
Regulatory Fees	\$9,455	\$8,750	\$11,089	\$2,339
OIG Subtotal - Obligations from Appropriated Funds	<u>\$9,455</u>	<u>\$8,750</u>	<u>\$11,089</u>	<u>\$2,339</u>
<b>Obligations - Other Offsetting Collections</b>				
1) Economy Act/Misc. Other	\$0	\$0	\$0	\$0
2) Auctions Cost Recovery Reimbursements	1,009	1,292	706	(586)
OIG Subtotal Obligations Other Offsetting Collections	<u>\$1,009</u>	<u>\$1,292</u>	<u>\$706</u>	<u>(\$586)</u>
<b>OIG TOTAL OBLIGATIONS &amp; OUTLAYS</b>	<u><u>\$10,464</u></u>	<u><u>\$10,042</u></u>	<u><u>\$11,795</u></u>	<u><u>\$1,753</u></u>
<b>Other Budget Authority:</b>				
Credit Program Account	\$301	\$305	\$423	\$118
Universal Service Fund (USF) <sup>1/</sup>	\$2,119	\$5,011	\$4,259	(\$752)
<b>Total FCC with OIG</b>				
Subtotal - Obligations from Appropriated Funds	<u>\$338,687</u>	<u>\$346,782</u>	<u>\$359,299</u>	<u>\$12,517</u>
Subtotal Obligations Other Offsetting Collections	<u>\$89,473</u>	<u>\$104,739</u>	<u>\$95,400</u>	<u>(\$9,339)</u>
<b>TOTAL OBLIGATIONS &amp; OUTLAY</b>	<u><u>\$428,160</u></u>	<u><u>\$451,521</u></u>	<u><u>\$454,699</u></u>	<u><u>\$3,178</u></u>

<sup>1/</sup> The Consolidated Appropriations Act, 2008 (P.L. 110-161) authorizes use of \$21.5M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 - FY 2012, \$12.2M was obligated. The remaining \$9.3M has been carried forward, as follows: \$5.0M is estimated to be used in FY 2013, and \$4.3M will be used for future fiscal years.

**FY 2014 Budget Estimates to Congress  
Summary of Requested Resources**

(\$ in Millions)

OUTLAYS:	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>FCC - Commission without Office of the Inspector General:</b>			
New Offsetting Collections:			
Regulatory Fees	\$327	\$336	\$346
Auctions Receipts	84	98	88
Interagency/Other	5	6	6
Homeland Security	<u>2</u>	<u>2</u>	<u>2</u>
Subtotal, Outlays from new discretionary authority	<u>\$418</u>	<u>\$442</u>	<u>\$442</u>
Outlays from prior year discretionary balances	<u>0</u>	<u>0</u>	<u>0</u>
SUBTOTAL OUTLAYS	<u>\$418</u>	<u>\$442</u>	<u>\$442</u>
<b>FCC - Office of the Inspector General:</b>			
New Offsetting Collections:			
Regulatory Fees	\$10	\$9	\$11
Auctions Receipts	1	1	1
Interagency/Other	0	0	0
Homeland Security	<u>0</u>	<u>0</u>	<u>0</u>
Subtotal, Outlays from new discretionary authority	<u>\$11</u>	<u>\$10</u>	<u>\$12</u>
Outlays from prior year discretionary balances	<u>0</u>	<u>0</u>	<u>0</u>
OIG SUBTOTAL OUTLAYS	<u>\$11</u>	<u>\$10</u>	<u>\$12</u>
TOTAL FCC with OIG OUTLAYS	<u>\$429</u>	<u>\$452</u>	<u>\$454</u>

**FY 2014 Budget Estimates to Congress**  
**Summary of Requested Resources**

(\$ in Millions)

	FY 2012 Actual	FY 2013 Cong. Request	FY 2014 Cong. Request
<b>FCC - Commission without Office of the Inspector General:</b>			
<b>Total Compensable Workyears:</b>			
Full-Time Equivalent Employment (FTEs)	1,685	1,730	1,775
<b>Proposed Distribution:</b>			
Direct	0	0	0
Offsetting Collections <sup>1/</sup>	1,682	1,725	1,770
Auctions Credit Program Account	3	5	5
<b>TOTAL FTE - Commission</b>	<u>1,685</u>	<u>1,730</u>	<u>1,775</u>
<b>FCC - Office of the Inspector General:</b>			
<b>Total Compensable Workyears:</b>			
Full-Time Equivalent Employment (FTEs)	40	46	46
<b>Proposed Distribution:</b>			
Direct	0	0	0
Offsetting Collections <sup>1/</sup>	29	29	29
Auctions Credit Program Account	0	0	0
Universal Service Fund (USF) (Term)	11	17	17
<b>TOTAL FTE - OIG</b>	<u>40</u>	<u>46</u>	<u>46</u>
<b>TOTAL FCC with OIG FTE</b>	<u>1,725</u>	<u>1,776</u>	<u>1,821</u>



**FY 2014 Budget Estimates to Congress**  
**SUMMARY TABLES**  
**DISTRIBUTION OF RESOURCES**  
(\$ in thousands)

**REGULATORY FEES - CURRENT:**

<u>Object Class Description</u>	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$186,196	\$195,730	\$202,925
Personnel Benefits (12.0)	47,935	50,186	52,127
Subtotal Personnel Comp. & Benefits	<u>\$234,131</u>	<u>\$245,916</u>	<u>\$255,052</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$15	\$29	\$29
Travel (21.0)	1,909	1,836	1,504
Transportation of Things (22.0)	109	126	128
GSA Rent (23.1)	36,873	36,769	37,504
Other Rents, Comm., Utilities (23.3)	7,229	7,438	6,987
Printing and Reproduction (24.0)	1,155	1,012	1,033
Contract Services - Non-Fed (25.2)	23,805	19,046	23,856
Fed. Purchase, Goods & Services (25.3)	3,360	3,319	3,885
Operation & Maint. of Equipment (25.7)	23,166	21,451	21,355
Supplies and Materials (26.0)	1,760	1,797	1,833
Equipment (31.0)	4,969	8,043	6,133
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	206	0	0
Subtotal Other Expenses	<u>\$104,556</u>	<u>\$100,866</u>	<u>\$104,247</u>
<b>Total Obligations from Regulatory Fees</b>	<b>\$338,687</b>	<b>\$346,782</b>	<b>\$359,299</b>
<b>Total Resources from Regulatory Fees</b>	<b>\$338,687</b>	<b>\$346,782</b>	<b>\$359,299</b>

**FY 2014 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 resources for FY 2012, Congressional Request for FY 2013, and estimated for FY 2014 obligations utilizing auctions cost recovery reimbursable authority.

<u>Object Class Description</u>	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$23,892	\$27,366	\$25,893
Personnel Benefits (12.0)	6,443	7,131	6,882
Subtotal Personnel Comp. & Benefits	<u>\$30,335</u>	<u>\$34,497</u>	<u>\$32,775</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$2	\$4	\$2
Travel (21.0)	324	482	330
Transportation of Things (22.0)	10	10	10
GSA Rent (23.1)	6,322	6,844	6,448
Other Rents, Comm., Utilities (23.3)	3,416	3,352	3,485
Printing and Reproduction (24.0)	164	242	167
Contract Services - Non-Fed (25.2)	10,556	19,213	10,857
Fed. Purchase, Goods & Services (25.3)	443	389	451
Operation & Maint. of Equipment (25.7)	30,825	26,449	32,311
Supplies and Materials (26.0)	242	253	246
Equipment (31.0)	2,270	6,994	2,317
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	10	0
Subtotal Other Expenses	<u>\$54,574</u>	<u>\$64,242</u>	<u>\$56,625</u>
<b>Total Auctions Cost Recovery</b>			
<b>Reimbursable Obligations:</b>	<b>\$84,909</b>	<b>\$98,739</b> 1/	<b>\$89,400</b>

1/ The FCC received a Continuing Resolution Anomaly for FY 2013 in the amount of \$13.7M for Auctions.

**FY 2014 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 2012 and estimated for FY 2013 and FY 2014.

<u>Object Class Description</u>	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$453	\$600	\$600
Personnel Benefits (12.0)	119	200	200
Subtotal Personnel Comp. & Benefits	<u>\$572</u>	<u>\$800</u>	<u>\$800</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	112	205	205
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)	796	805	805
Fed. Purchase, Goods & Services (25.3)	500	750	750
Operation & Maint. of Equipment (25.7)	2,117	2,900	2,900
Supplies and Materials (26.0)	34	40	40
Equipment (31.0)	433	500	500
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	<u>\$3,992</u>	<u>\$5,200</u>	<u>\$5,200</u>
<b>Total Government/Other Reimbursable Authority</b>	<b>\$4,564</b>	<b>\$6,000</b>	<b>\$6,000</b>

**FY 2014 Budget Estimates to Congress**  
**SUMMARY TABLES**  
**DISTRIBUTION OF RESOURCES**  
(\$ in thousands)

**CREDIT PROGRAM ACCOUNT:**

-- The following table depicts the distribution of actual obligations from the Credit Program account for FY 2012 and estimated for FY 2013 and FY 2014. 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 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$327	\$483	\$430
Personnel Benefits (12.0)	90	118	112
Subtotal Personnel Comp. & Benefits	\$417	\$601	\$542
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	0	3	0
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)	359	1,180	390
Fed. Purchase, Goods & Services (25.3)	1	2,141	1,001
Operation & Maint. of Equipment (25.7)	0	0	0
Supplies and Materials (26.0)	0	0	0
Equipment (31.0)	0	1	0
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	\$360	\$3,325	\$1,391
<b>Total Credit Program</b>	<b>\$777</b>	<b>\$3,926</b>	<b>\$1,933</b>

**FY 2014 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 (USF) for FY 2012, estimated for FY 2013 and FY 2014. These obligations are presented in separate schedules apart from the Salaries & Expenses account and funded from amounts transferred from USF in FY 2008, as permitted in appropriations language that year. No new budget authority was enacted in FY 2012; carryover balances will be used for continued USF oversight by the Inspector General.

<u>Object Class Description</u>	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$1,441	\$1,920	\$1,632
Personnel Benefits (12.0)	389	752	639
Subtotal Personnel Comp. & Benefits	<u>\$1,830</u>	<u>\$2,672</u>	<u>\$2,271</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	19	35	30
Transportation of Things (22.0)	0	0	0
GSA Rent (23.1)	0	71	60
Other Rents, Comm., Utilities (23.3)	0	137	116
Printing and Reproduction (24.0)	17	0	0
Contract Services - Non-Fed (25.2)	253	2,004	1,704
Fed. Purchase, Goods & Services (25.3)	0	25	21
Operation & Maint. of Equipment (25.7)	0	24	20
Supplies and Materials (26.0)	0	13	11
Equipment (31.0)	0	30	26
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	<u>\$289</u>	<u>\$2,339</u>	<u>\$1,988</u>
<b>Total Universal Service Program</b> <sup>1/</sup>	<b>\$2,119</b>	<b>\$5,011</b>	<b>\$4,259</b>

<sup>1/</sup> The Consolidated Appropriations Act, 2008 (P.L. 110-161) authorizes use of \$21.5M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 - FY 2012, \$12.2M was obligated. The remaining \$9.3M has been carried forward, as follows: \$5.0M is estimated to be used in FY 2013, and \$4.3M will be used for future fiscal years.

**FY 2014 Budget Estimates to Congress  
FCC SUMMARY TABLES (EXCLUDING OIG)  
DISTRIBUTION OF RESOURCES  
(\$ in thousands)**

**REGULATORY FEES - CURRENT (EXCLUDING OIG):**

<u>Object Class Description</u>	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$182,776	\$190,278	\$197,425
Personnel Benefits (12.0)	47,045	48,895	50,825
Subtotal Personnel Comp. & Benefits	<u>\$229,821</u>	<u>\$239,173</u>	<u>\$248,250</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$15	\$29	\$29
Travel (21.0)	1,870	1,741	1,407
Transportation of Things (22.0)	109	126	128
GSA Rent (23.1)	36,530	36,418	37,147
Other Rents, Comm., Utilities (23.3)	7,224	7,438	6,987
Printing and Reproduction (24.0)	1,155	1,012	1,032
Contract Services - Non-Fed (25.2)	19,164	17,494	20,032
Fed. Purchase, Goods & Services (25.3)	3,360	3,319	3,885
Operation & Maint. of Equipment (25.7)	23,166	21,451	21,355
Supplies and Materials (26.0)	1,760	1,797	1,833
Equipment (31.0)	4,852	8,034	6,125
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	206	0	0
Subtotal Other Expenses	<u>\$99,411</u>	<u>\$98,859</u>	<u>\$99,960</u>
<b>Total Obligations from Regulatory Fees</b>	<b>\$329,232</b>	<b>\$338,032</b>	<b>\$348,210</b>
<b>Total Resources from Regulatory Fees</b>	<b>\$329,232</b>	<b>\$338,032</b>	<b>\$348,210</b>

**FY 2014 Budget Estimates to Congress  
FCC SUMMARY TABLES (EXCLUDING OIG)  
DISTRIBUTION OF RESOURCES  
(\$ in thousands)**

**AUCTIONS COST RECOVERY REIMBURSABLE AUTHORITY (EXCLUDING OIG):**

-- The following table depicts the distribution of the actual resources for FY 2012, Congressional Request for FY 2013, and estimated for FY 2014 obligations utilizing auctions cost recovery reimbursable authority.

<u>Object Class Description</u>	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$23,578	\$26,983	\$25,576
Personnel Benefits (12.1)	6,339	7,027	6,776
Subtotal Personnel Comp. & Benefits	<u>\$29,917</u>	<u>\$34,010</u>	<u>\$32,352</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$2	\$4	\$2
Travel (21.0)	324	482	330
Transportation of Things (22.0)	10	10	10
GSA Rent (23.1)	6,322	6,844	6,448
Other Rents, Comm., Utilities (23.3)	3,416	3,352	3,485
Printing and Reproduction (24.0)	164	242	167
Contract Services - Non-Fed (25.2)	9,965	18,422	10,574
Fed. Purchase, Goods & Services (25.3)	443	389	451
Operation & Maint. of Equipment (25.7)	30,825	26,449	32,311
Supplies and Materials (26.0)	242	253	246
Equipment (31.0)	2,270	6,980	2,316
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	10	0
Subtotal Other Expenses	<u>\$53,983</u>	<u>\$63,437</u>	<u>\$56,342</u>
<b>Total Auctions Cost Recovery</b>			
<b>Reimbursable Obligations:</b>	<b>\$83,900</b>	<b>\$97,447</b> 1/	<b>\$88,694</b>

1/ The FCC received a Continuing Resolution Anomaly for FY 2013 in the amount of \$13.7M for Auctions.

**FY 2014 Budget Estimates to Congress**  
**FCC SUMMARY TABLES (EXCLUDING OIG)**  
**DISTRIBUTION OF RESOURCES**  
(\$ in thousands)

**GOVERNMENT/OTHER REIMBURSABLE AUTHORITY (EXCLUDING OIG):**

-- The following table depicts the Economy Act/Other Reimbursable actual resources for FY 2012 and estimated for FY 2013 and FY 2014.

<u>Object Class Description</u>	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$453	\$600	\$600
Personnel Benefits (12.1)	119	200	200
Subtotal Personnel Comp. & Benefits	<u>\$572</u>	<u>\$800</u>	<u>\$800</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	112	205	205
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)	795	805	805
Fed. Purchase, Goods & Services (25.3)	500	750	750
Operation & Maint. of Equipment (25.7)	2,117	2,900	2,900
Supplies and Materials (26.0)	34	40	40
Equipment (31.0)	433	500	500
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	<u>\$3,991</u>	<u>\$5,200</u>	<u>\$5,200</u>
<b>Total Government/Other Reimbursable Authority</b>	<b>\$4,563</b>	<b>\$6,000</b>	<b>\$6,000</b>



**FY 2014 Budget Estimates to Congress**  
**FCC SUMMARY TABLES (EXCLUDING OIG)**  
**DISTRIBUTION OF RESOURCES**  
(\$ in thousands)

**CREDIT PROGRAM ACCOUNT (EXCLUDING OIG):**

-- The following table depicts the distribution of actual obligations from the Credit Program account for FY 2012 and estimated for FY 2013 and FY 2014. 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 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$275	\$427	\$277
Personnel Benefits (12.1)	74	101	75
Subtotal Personnel Comp. & Benefits	\$349	\$528	\$352
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	0	4	0
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)	127	947	157
Fed. Purchase, Goods & Services (25.3)	1	2,141	1,001
Operation & Maint. of Equipment (25.7)	0	0	0
Supplies and Materials (26.0)	0	0	0
Equipment (31.0)	0	1	0
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	\$128	\$3,093	\$1,158
<b>Total Credit Program</b>	<b>\$477</b>	<b>\$3,621</b>	<b>\$1,510</b>

**FY 2014 Budget Estimates to Congress**  
**FCC OIG SUMMARY TABLES**  
**DISTRIBUTION OF RESOURCES**  
(\$ in thousands)

**REGULATORY FEES - CURRENT (OIG):**

<u>Object Class Description</u>	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$3,420	\$5,453	\$5,500
Personnel Benefits (12.0)	890	1,290	1,302
Subtotal Personnel Comp. & Benefits	<u>\$4,310</u>	<u>\$6,743</u>	<u>\$6,802</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	39	95	97
Transportation of Things (22.0)	0	0	0
GSA Rent (23.1)	343	351	358
Other Rents, Comm., Utilities (23.3)	5	0	0
Printing and Reproduction (24.0)	0	0	0
Contract Services - Non-Fed (25.2)	4,641	1,553	3,824
Fed. Purchase, Goods & Services (25.3)	0	0	0
Operation & Maint. of Equipment (25.7)	0	0	0
Supplies and Materials (26.0)	0	0	0
Equipment (31.0)	117	8	9
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	<u>\$5,145</u>	<u>\$2,007</u>	<u>\$4,288</u>
<b>Total Obligations from Regulatory Fees</b>	<b>\$9,455</b>	<b>\$8,750</b>	<b>\$11,089</b>
<b>Total Resources from Regulatory Fees</b>	<b>\$9,455</b>	<b>\$8,750</b>	<b>\$11,089</b>

**FY 2014 Budget Estimates to Congress**  
**FCC OIG SUMMARY TABLES**  
**DISTRIBUTION OF RESOURCES**  
(\$ in thousands)

**AUCTIONS COST RECOVERY REIMBURSABLE AUTHORITY (OIG):**

-- The following table depicts the distribution of the actual resources for FY 2012, Congressional Request for FY 2013, and estimated for FY 2014 obligations utilizing auctions cost recovery reimbursable authority.

<u>Object Class Description</u>	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$314	\$383	\$317
Personnel Benefits (12.0)	104	104	105
Subtotal Personnel Comp. & Benefits	<u>\$418</u>	<u>\$487</u>	<u>\$422</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	0	0	0
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)	591	791	283
Fed. Purchase, Goods & Services (25.3)	0	0	0
Operation & Maint. of Equipment (25.7)	0	0	0
Supplies and Materials (26.0)	0	0	0
Equipment (31.0)	0	14	1
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	<u>\$591</u>	<u>\$805</u>	<u>\$284</u>
<b>Total Auctions Cost Recovery</b>			
<b>Reimbursable Obligations:</b>	<b>\$1,009</b>	<b>\$1,292</b> <sup>1/</sup>	<b>\$706</b>

<sup>1/</sup> The FCC received a Continuing Resolution Anomaly for FY 2013 in the amount of \$13.7M for Auctions.

**FY 2014 Budget Estimates to Congress**  
**FCC OIG SUMMARY TABLES**  
**DISTRIBUTION OF RESOURCES**  
(\$ in thousands)

**GOVERNMENT/OTHER REIMBURSABLE AUTHORITY (OIG):**

-- The following table depicts the Economy Act/Other Reimbursable actual resources for FY 2012 and estimated for FY 2013 and FY 2014.

<u>Object Class Description</u>	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$0	\$0	\$0
Personnel Benefits (12.0)	0	0	0
Subtotal Personnel Comp. & Benefits	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	0	0	0
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)	0	0	0
Fed. Purchase, Goods & Services (25.3)	0	0	0
Operation & Maint. of Equipment (25.7)	0	0	0
Supplies and Materials (26.0)	0	0	0
Equipment (31.0)	0	0	0
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
<b>Total Government/Other Reimbursable Authority</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**FY 2014 Budget Estimates to Congress  
FCC OIG SUMMARY TABLES  
DISTRIBUTION OF RESOURCES  
(\$ in thousands)**

**CREDIT PROGRAM ACCOUNT (OIG):**

-- The following table depicts the distribution of actual obligations from the Credit Program account for FY 2012 and estimated for FY 2013 and FY 2014. 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 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time/Part-time Permanent (11.0)	\$53	\$56	\$153
Personnel Benefits (12.0)	15	16	37
Subtotal Personnel Comp. & Benefits	<u>\$68</u>	<u>\$72</u>	<u>\$190</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	0	0	0
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)	233	233	233
Fed. Purchase, Goods & Services (25.3)	0	0	0
Operation & Maint. of Equipment (25.7)	0	0	0
Supplies and Materials (26.0)	0	0	0
Equipment (31.0)	0	0	0
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	<u>\$233</u>	<u>\$233</u>	<u>\$233</u>
<b>Total Credit Program</b>	<b>\$301</b>	<b>\$305</b>	<b>\$423</b>

**FY 2014 Budget Estimates to Congress**  
**FCC OIG SUMMARY TABLES**  
**DISTRIBUTION OF RESOURCES**  
(\$ in thousands)

**UNIVERSAL SERVICE FUND (OIG):**

-- The following table depicts the distribution of obligations from the use of Universal Service Funds (USF) for FY 2012, estimated for FY 2013 and FY 2014. These obligations are presented in separate schedules apart from the Salaries & Expenses account and funded from amounts transferred from USF in FY 2008, as permitted in appropriations language that year. No new budget authority was enacted in FY 2012; carryover balances will be used for continued USF oversight by the Inspector General.

<u>Object Class Description</u>	<u>FY 2012 Actual</u>	<u>FY 2013 Cong. Request</u>	<u>FY 2014 Cong. Request</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time Temporary (11.0)	\$1,441	\$1,920	\$1,632
Personnel Benefits (12.0)	389	752	639
Subtotal Personnel Comp. & Benefits	<u>\$1,830</u>	<u>\$2,672</u>	<u>\$2,271</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	19	35	30
Transportation of Things (22.0)	0	0	0
GSA Rent (23.1)	0	71	60
Other Rents, Comm., Utilities (23.3)	0	137	116
Printing and Reproduction (24.0)	17	0	0
Contract Services - Non-Fed (25.2)	253	2,004	1,704
Fed. Purchase, Goods & Services (25.3)	0	25	21
Operation & Maint. of Equipment (25.7)	0	24	20
Supplies and Materials (26.0)	0	13	11
Equipment (31.0)	0	30	26
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	<u>\$289</u>	<u>\$2,339</u>	<u>\$1,988</u>
<b>Total Universal Service Program <sup>1/</sup></b>	<b>\$2,119</b>	<b>\$5,011</b>	<b>\$4,259</b>

<sup>1/</sup> The Consolidated Appropriations Act, 2008 (P.L. 110-161) authorizes use of \$21.5M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 - FY 2012, \$12.2M was obligated. The remaining \$9.3M has been carried forward, as follows: \$5.0M is estimated to be used in FY 2013, and \$4.3M will be used for future fiscal years.



**FY 2014 Budget Estimates to Congress**  
**SUMMARY OF INCREASES BY BUDGET OBJECT CLASS CODE**  
(\$ in thousands)

OC Description	Adjustment to Base Budget	Inflationary Increase	FY 2014 New Initiatives
<b>11.00 Compensation</b>			
-- CY 2013 Pay Raise for FY 2014	\$0	\$1,694	\$0
-- Staffing Adjustment	0	0	5,500
<b>12.00 Benefits</b>			
-- Benefits associated with Pay Raise	0	438	0
-- Staffing Adjustment	0	0	1,500
-- Worker Compensation	0	3	0
-- Staffing Adjustment	0	0	0
<b>13.00 Benefits for Former Personnel</b>	0	0	0
<b>21.00 Travel and Transportation of Persons</b>			
-- Domestic/International/Joint Board Travel	0	34	0
-- Leased, Passenger Vehicles	0	1	0
<b>22.00 Transportation of Things</b>	0	3	0
<b>23.00 Rents, Communications, Utilities</b>			
-- GSA Rent and Fees Increase: Portals I & II, and field offices	0	735	0
-- Non-GSA Space Rent	0	29	0
-- GSA and Non-GSA Telephones	(400)	63	0
-- Mail Service--Postage	0	9	0
-- GSA, Electric, Other Utilities	0	19	0
-- Telecommunications Service-Non-GSA	(100)	4	0
-- Other Equipment Rental/Copier Rental	(100)	25	0
<b>24.00 Printing and Reproduction</b>	0	20	0
<b>25.00 Other Contractual Services</b>			
-- Contract Services - Federal & Non-Federal	(430)	294	6,647
-- ADP Data Retrieval Services	0	41	0
-- Training/Tuition/Fees; Gov't-wide training initiative	0	16	0
-- Contract Purchases-Federal	0	5	0
-- Interagency Contracts	0	55	0
-- Field Office Buildings and Grounds; Space Repair	0	5	500
-- Health Services	0	2	0
-- Repair/Maintenance of Vehicles	0	1	0
-- ADP Software/ADP Equip. Maintenance; ADP Service Contracts	(5,580)	313	3,040
-- Repair Office Equipment/Technical Equipment	0	3	0
<b>26.00 Supplies and Materials</b>			
-- Field Fuel Supplies	0	3	0
-- Periodicals & Subscriptions	0	10	0
-- General Supplies and Materials	0	23	0
<b>31.00 Equipment</b>			
-- Technical Equipment	(3,000)	26	0
-- ADP Equipment	(500)	26	0
-- ADP Software	0	19	0
-- Equipment	0	3	1,500
-- Vehicle Purchase	0	18	0
-- Other Equipment	0	0	0
<b>32.00 Lands and Structures</b>	0	0	0
<b>42.00 Insurance Claims and Indemnities</b>	0	0	0
<b>TOTAL</b>	<b>(\$10,110)</b>	<b>\$3,940</b>	<b>\$18,687</b>
<b>TOTAL INCREASE/DECREASE</b>	<b>\$12,517</b>		



**FY 2014 Budget Estimates to Congress  
ALLOCATION OF OBLIGATIONS BY OBJECT CLASS CODE**  
(\$ in thousands)

OBJECT CLASS CODE	FY 2012 Actual	FY 2013 Request	Adjustments To Establish FY 2014 Base	FY 2014 Base	Programmatic Changes (+/-)	FY 2014 Total Request
11 Personnel Compensation	\$182,776	\$195,730	\$1,694	\$197,425	\$5,500	\$202,925
12 Personnel Benefits	47,045	50,185	441	50,627	1,500	52,127
13 Benefits for Former Personnel	15	29	1	29	0	29
21 Travel & Trans. of Persons	1,870	1,836	36	1,504	0	1,504
22 Transportation of Things	109	126	3	128	0	128
23.1 GSA Rent	36,530	36,769	735	37,504	0	37,504
23.3 Other Rents, Communications, Utilities	7,224	7,438	(451)	6,987	0	6,987
24 Printing	1,155	1,012	20	1,032	0	1,032
25.2 Other Services	19,164	19,046	(79)	19,335	4,520	23,855
25.3 Fed. Purchase, Goods & Services	3,360	3,319	66	3,385	500	3,885
25.7 Op/Maint. of Equip./Software/Info Sys	23,166	21,451	(5,263)	16,188	5,167	21,355
26 Supplies & Materials	1,760	1,797	36	1,833	0	1,833
31 Equipment/Software	4,852	8,042	(3,409)	4,633	1,500	6,133
32 Land, Buildings, Structures	0	0	0	0	0	0
42 Insur. Claims & Indemnities	206	0	0	0	0	0
<b>SUB TOTAL APPROPRIATION AUTHORITY</b>	<b>\$329,232</b>	<b>\$346,782</b>	<b>(\$6,170)</b>	<b>\$340,613</b>	<b>\$18,687</b>	<b>\$359,299</b>
Reimbursables - Gov't/Other	\$4,564	\$6,000	\$0	\$6,000	\$0	\$6,000
Auctions Cost Recovery-Reimbursement	\$84,909	\$98,739	(\$9,339)	\$89,400	\$0	\$89,400
<b>TOTAL REQUEST</b>	<b>\$418,705</b>	<b>\$451,521</b>	<b>(\$15,509)</b>	<b>\$436,013</b>	<b>\$18,687</b>	<b>\$454,699</b>
<b>OTHER BUDGET AUTHORITY</b>						
Credit Program Account	\$778	\$3,926				\$1,933
Universal Service Fund (USF) 1/	\$2,119	\$5,011				\$4,259

1/ The Consolidated Appropriations Act, 2008 (P.L. 110-161) authorizes use of \$21.5M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 - FY 2012, \$12.2M was obligated. The remaining \$9.3M has been carried forward, as follows: \$5.0M is estimated to be used in FY 2013, and \$4.3M will be used for future fiscal years.

**FY 2014 Budget Estimates to Congress**  
**PRO RATA ALLOCATION OF OBLIGATIONS BY OBJECT CLASS CODE**  
(\$ in thousands)

OBJECT CLASS CODE	FY 2013 Funding Source			FY 2014 Funding Source		
	Direct Authority	Offsetting Collections	Total OC Allocation	Direct Authority	Offsetting Collections	Total OC Allocation
11 Personnel Compensation	\$0	195,730	\$195,730	\$0	\$202,925	\$202,925
12 Personnel Benefits	0	50,185	50,185	0	52,127	52,127
13 Benefits for Former Personnel	0	29	29	0	29	29
21 Travel & Trans. of Persons	0	1,836	1,836	0	1,504	1,504
22 Transportation of Things	0	126	126	0	128	128
23.1 GSA Rent	0	36,769	36,769	0	37,504	37,504
23.3 Other Rents, Communications, Utilities	0	7,438	7,438	0	6,987	6,987
24 Printing	0	1,012	1,012	0	1,032	1,032
25.2 Other Services	0	19,046	19,046	0	23,855	23,855
25.3 Fed. Purchases, Goods & Services	0	3,319	3,319	0	3,885	3,885
25.7 Op/Maint. of Equip./Software/Info Sys	0	21,451	21,451	0	21,355	21,355
26 Supplies & Materials	0	1,797	1,797	0	1,833	1,833
31 Equipment/Software	0	8,042	8,042	0	6,133	6,133
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	\$0	\$0	\$0
Appropriation-Offsetting Collections Reg. Fees B/A:	0	346,782	346,782	0	359,299	359,299
Subtotal-B/A in Language	\$0	\$346,782	\$346,782	\$0	\$359,299	\$359,299
Reimbursable Program - Gov't/Other (Est.)		6,000	6,000		6,000	6,000
Auctions Cost Recovery-Reimbursement		98,739	98,739		89,400	89,400
Total Obligations		\$451,521	\$451,521		\$454,699	\$454,699
<b>OTHER BUDGET AUTHORITY</b>						
Credit Program Account		\$3,926	\$3,926		\$1,933	\$1,933
Universal Service Fund (USF)		\$5,011	\$5,011		\$4,259	\$4,259

## **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. Interest income on these funds is utilized to offset carrier contributions. Administrative costs of the program are provided from carrier contributions.

For budgetary purposes, the USF comprises five elements that consist of four universal service support mechanisms and the Telecommunications Relay Service (TRS) Fund. The TRS Fund represents a program established under section 225 of the Act. This statute provides for a mechanism to support relay services necessary for telecommunications access by speech or hearing impaired populations.

Public Law 112-74 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, 2013. The Antideficiency Act requires that funds be available before incurring an obligation on behalf of the Federal Government.

<b>Program and Financing (in millions of dollars)</b>				
		2012 Actual	2013 Est.	2014 Est.
<b>Obligation by program activity:</b>				
0001	Universal service fund	\$10,512	\$11,428	\$11,023
0002	Program support	108	125	128
0900	Total new obligations (object class 41.0)	\$10,620	\$11,553	\$11,151
<b>Budgetary resources</b>				
1000	Unobligated balance carried forward, start of year	\$2,684	\$3,178	\$2,514
1021	Recoveries of prior year unpaid obligations	1,058	762	850
1050	Unobligated balance (total)	\$3,742	\$3,940	\$3,364
<b>Budget authority:</b>				
Mandatory:				
1201.1	Appropriation (special fund)--Receipts	10,017	10,118	9,846
1201.2	Appropriation (special fund)--Interest	25	9	11
1260	Appropriation, mandatory (total)	\$10,042	\$10,127	\$9,857
<b>Spending authority from offsetting collections, mandatory:</b>				
1850	Collected (total)	\$14	\$0	\$0
1900	Budget authority (total)	10,056	10,127	9,857
1930	Total budgetary resources available	\$13,798	\$14,067	\$13,221
1941	Unexpired unobligated balance, end of year	\$3,178	\$2,514	\$2,070
<b>Change in obligated balances:</b>				
3000	Unpaid obligated balance, start of year	\$3,335	\$3,492	\$3,995
3010	Obligation incurred, unexpired accounts	\$10,620	\$11,553	\$11,151
3020	Total outlays (gross)	(9,405)	(10,288)	(10,228)
3040	Recoveries of prior year obligations	(1,058)	(762)	(850)
3050	Unpaid obligated balance, end of year (net)	\$3,492	\$3,995	\$4,068
3100	Obligation balance, start of year	\$3,335	\$3,492	\$3,995
3200	Obligation balance, end of year	\$3,492	\$3,995	\$4,068
<b>Budget authority and outlays net:</b>				
4090	Budget authority gross:	\$10,056	\$10,127	\$9,857
4100	Outlays from new mandatory authority	6,122	6,226	6,095
4101	Outlays from new mandatory balances	3,283	4,062	4,133
87.00	Total outlays (net)	\$9,405	\$10,288	\$10,228
<b>Offsets against gross budget authority and outlays</b>				
4123	Offsetting collection from Non-Federal sources	(\$14)	\$0	\$0
4160	Budget authority net (mandatory)	\$10,042	\$10,127	\$9,857
4170	Outlays net (mandatory)	\$9,391	\$10,288	\$10,228
<b>Memorandum (non-add) entries:</b>				
5000	Total investments, start of year: Federal securities: Par value	\$5,815	\$6,541	\$6,541
5001	Total investments, end of year: Federal securities: Par value	6,541	6,541	6,541

## 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.

<b>Program and Financing (in millions of dollars)</b>			
	2012 Actual	2013 Est.	2014 Est.
<b>Obligations by program activity:</b>			
0705 Reestimates of direct loan subsidy	\$3	\$0	\$0
0706 Interest on reestimates of direct loan subsidy	15	0	0
0709 Administrative Expenses	1	4	2
0900 Total new obligations	\$19	\$4	\$2
<b>Budgetary resources available for obligation:</b>			
1000 Unobligated balance carried forward, start of year	\$4	\$3	\$3
<b>Budget authority</b>			
1200 Appropriation, mandatory	\$18	\$4	\$2
1260 Appropriation, mandatory (total)	\$18	\$4	\$2
1930 Total budgetary resources available	\$22	\$7	\$5
<b>Memorandum (non-add) entries</b>			
1941 Unexpired unobligated balance, end of year	\$3	\$3	\$3
<b>Change in obligated balances:</b>			
3000 Unpaid obligated balance, start of year	\$2	\$1	\$1
3010 Obligations incurred, unexpired accounts	19	4	2
3020 Total outlays (gross)	(20)	(4)	(2)
3050 Unpaid obligation, end of year (gross)	\$1	\$1	\$1
3100 Unpaid obligation, start of year (net)	\$2	\$1	\$1
3100 Unpaid obligation, end of year (net)	\$1	\$1	\$1
<b>Budget authority and Outlays (net)</b>			
4090 Budget authority, gross	\$18	\$4	\$2
Outlays, gross:			
4100 Outlays from new mandatory authority	\$0	\$4	\$2
4101 Outlays from mandatory balance	20	0	0
4110 Outlays gross (total)	\$20	\$4	\$2
4160 Budget authority, net (mandatory)	\$18	\$4	\$2
4170 Outlays, net (mandatory)	\$20	\$4	\$2
4180 Budget authority, net (total)	\$18	\$4	\$2
4190 Outlays, net (total)	\$20	\$4	\$2

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

	2012 Actual	2013 Est.	2014 Est.
<b>Direct loan upward reestimate:</b>			
1350 Spectrum auction	\$18	\$0	\$0
1359 Total upward reestimate budget authority	0	0	0
<b>Direct loan downward reestimate:</b>			
1370 Spectrum auction	0	0	0
1379 Total downward reestimate budget authority	0	0	0
<b>Administrative expense data:</b>			
3510 Budget authority	1	1	1
3590 Outlays from new authority	1	1	1

**Object Classification (in millions of dollars)**

	2012 Actual	2013 Est.	2014 Est.
1111 Personnel compensation: Full-time permanent	\$0	\$1	\$1
1252 Other services	0	1	0
1253 Other purch of goods & services from Government acct	0	2	1
1410 Grants, subsidies, and contributions	19	0	0
9999 Total new obligations	\$19	\$4	\$2

## 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.

<b>Program and Financing (in millions of dollars)</b>			
	<b>2012 Actual</b>	<b>2013 Est.</b>	<b>2014 Est.</b>
<b>Obligation by program activity:</b>			
<b>Credit program obligations:</b>			
0713 Payment of interest to Treasury	\$2	\$7	\$7
0900 Total new obligations	\$2	\$7	\$7
<b>Budgetary resources:</b>			
<b>Unobligated balance:</b>			
1000 Unobligated balance carried forward, start of year	\$37	\$5	\$5
1023 Unobligated balance applied to repay debt	(33)	0	0
1050 Unobligated balance (total)	\$4	\$5	\$5
<b>Financing authority :</b>			
<b>Borrowing authority, mandatory:</b>			
1400 Borrowing authority	\$1	\$7	\$7
1440 Borrowing authority, mandatory (total)	\$1	\$7	\$7
<b>Spending authority from offsetting collections, mandatory:</b>			
1800 Offsetting collections	\$21	\$0	\$0
1825 Spending authority from offsetting collections applied to repay debt	(18)	0	0
1850 Spending authority from offsetting collections, mandatory:	\$3	\$0	\$0
1900 Financing authority (total)	\$4	\$7	\$7
1930 Total budgetary resources available	\$8	\$12	\$12
<b>Memorandum (non-add) entries:</b>			
1941 Unexpirsd unobligated balance, end of year	\$5	\$5	\$5
<b>Change in obligated balances:</b>			
3010 Obligation incurred, unexpired accounts	\$3	\$7	\$7
3020 Financing disbursements (gross)	(3)	(7)	(7)
<b>Financing authority and disbursements, net</b>			
4090 Financing authority, gross (mandatory)	\$4	\$7	\$7
4110 Financing disbursements, gross	\$3	\$7	\$7
Offsetting against gross financing authority from:			
4120 Federal sources	(\$18)	\$0	\$0
4122 Interest on uninvested funds	(3)	0	0
4123 Non-federal sources	0	0	0
4130 Offsets against gross financing authority and disbursements (total)	(\$21)	\$0	\$0
4160 Financing authority, net (mandatory)	(\$17)	\$7	\$7
4170 Financing disbursements, net (mandatory)	(\$18)	\$7	\$7
4180 Financing authority, net (total)	(\$17)	\$7	\$7
4190 Financing disbursements, net (total)	(\$18)	\$7	\$7



**RESPONSES TO CONGRESSIONAL INQUIRIES  
CONCERNING GAO RECOMMENDATIONS**





FEDERAL COMMUNICATIONS COMMISSION

October 5, 2012

JULIUS GENACHOWSKI  
CHAIRMAN

The Honorable Darrell Issa  
Chairman  
Committee on Oversight and Government Reform  
U.S. House of Representatives  
2157 Rayburn House Office Building  
Washington, D.C. 20515

Dear Chairman Issa:

On August 7, 2012, The Government Accountability Office (GAO) issued a report entitled *Exposure and Testing Requirements for Mobile Phones Should Be Reassessed*. The Report recommends that the Chairman take two specific actions:

(1) Formally reassess the current RF energy exposure limit, including its effects on human health, the costs and benefits associated with keeping the current limit, and the opinions of relevant health and safety agencies, and change the limit if determined appropriate; and

(2) Reassess whether the mobile phone testing requirements result in the identification of maximum RF energy exposure in likely usage configurations, particularly when mobile phones are held against the body, and update testing requirements as appropriate.

I agree with GAO's recommendations. Earlier this summer I circulated a draft rulemaking making proposals and seeking public comment on the current RF safety standards and testing requirements, as well as a variety of other matters related to RF safety. We have coordinated our activities in this area with other federal agencies and are committed to continue doing so as we move forward.

The Commission and its staff appreciate GAO's analysis and recommendations. I look forward to working with GAO and Congress as we address this important topic.

Sincerely,



Julius Genachowski

Cc: The Honorable Anna G. Eshoo  
The Honorable Henry A. Waxman  
The Honorable Edward J. Markey



## FEDERAL COMMUNICATIONS COMMISSION

JULIUS GENACHOWSKI  
CHAIRMAN

November 9, 2012

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 September 10, 2012, The Government Accountability Office (GAO) issued a report entitled, *Regulatory Fee Process Needs To Be Updated* (GAO 12-686). The Report recommends that the Chairman of the Federal Communications Commission take three specific actions:

- 1) Determine whether and how the current fee schedule should be revised—including an overall analysis of the appropriate number of categories and bases for calculating rates—to reflect the current telecommunications industry and FCC's regulatory activities, and in consideration of the processes of other regulatory fee-funded agencies that may be instructive, including, if appropriate, proposing to Congress any needed changes to its current statutory authority;
- 2) Perform an updated FCC FTE analysis by fee category and establish a process to assure that the FTE analysis be performed at least biennially, consistent with federal guidance on user fees; and
- 3) Increase the transparency of FCC's regulatory fee process by describing in each future year's *NPRM* and subsequent report, in sufficient detail for stakeholders to understand, the methodology and analysis used to divide fees among fee categories, including the year any FTE data used was collected, any additional information needed to explain the effect of other adjustments, and the amount of excess fees collected.

I agree with these recommendations, and as GAO noted in its Report, the Commission is addressing these issues via a *Notice of Proposed Rulemaking on Regulatory Fee Reform (Fee Reform NPRM)* issued on July 13, 2012.<sup>7</sup> The *Fee Reform NPRM* sets forth three goals to guide the Commission in its reform initiative: fairness, administrability, and sustainability. To achieve these goals the Commission proposes a series of fundamental changes to its regulatory fee program that include, but are not limited to, the proposals contained in the Report's

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<sup>7</sup> *In the Matter of Procedures for Assessment and Collection of Regulatory Fees*, MD Docket No. 12-201, Notice of Proposed Rulemaking, 27 FCC Rcd 8458, FCC 12-77 (2012). A copy of the *Fee Reform NPRM* is attached for your reference.

program that include, but are not limited to, the proposals contained in the Report's recommendations. Further, on September 24, 2012, the FCC's Office of Managing Director (OMD) issued a Public Notice ("PN") seeking comment on the Report and extending the deadline for filing reply comments in response to the *Fee Reform NPRM* until October 23, 2012.<sup>8</sup> This extension effectively incorporated the Report into the record of the *Fee Reform NPRM*, giving interested parties the opportunity to concurrently examine and comment on the common issues raised in the Report and in the *Fee Reform NPRM*.

The Commission and its staff appreciate GAO's analysis and its recommendations. I look forward to working with Congress as the Commission reforms its regulatory fee process.

Sincerely,

A handwritten signature in black ink, appearing to read 'Julius Genachowski', with a stylized flourish at the end.

Julius Genachowski

cc: The Honorable Henry A. Waxman  
The Honorable Anna G. Eshoo

Enclosures

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<sup>8</sup> *Office of Managing Director Seeks Comment on Government Accountability Office Regulatory Fees Reform Report and Extends Reply Comment Deadline for Regulatory Fees Reform Rulemaking*, MD Docket No. 12-201, Public Notice, DA 12-1527 (rel. Sept. 24, 2012); 77 F.R. 60666 (Oct. 4, 2012). A copy of the *Fee Reform Public Notice* is attached for your reference.





FEDERAL COMMUNICATIONS COMMISSION

December 5, 2012

JULIUS GENACHOWSKI  
CHAIRMAN

The Honorable Darrell Issa  
Chairman  
Committee on Oversight and Government Reform  
U.S. House of Representatives  
2157 Rayburn House Office Building  
Washington, D.C. 20515

Dear Chairman Issa:

On September 18, 2012, the Government Accountability Office (GAO) issued a Report entitled "Better Implementation of Controls for Mobile Devices Should be Encouraged," (GAO 12-757). The Report recommends that the Federal Communications Commission take two primary actions:

- (1) continue to work with wireless carriers and device manufacturers on implementing cybersecurity best practices by encouraging them to implement a complete industry baseline of mobile security safeguards based on commonly accepted security features and practices; and
- (2) monitor progress of wireless carriers and device manufacturers in achieving their milestones and time frames once an industry baseline of mobile security safeguards has been implemented.

The Commission has carefully reviewed the findings and recommendations of the GAO Report. It is pursuing several initiatives – in coordination with its Communications Security, Reliability, and Interoperability Council (CSRIC), a federal advisory committee – that address the first item, and will actively monitor the status of progress discussed in the second item. These efforts are intended to address all aspects of the GAO Report's recommendations in this rapidly changing area of communications.

As noted in the GAO Report, Commission action alone will not fully address the mobility ecosystem threats and vulnerabilities. The Commission understands it will take a multi-stakeholder approach by government, industry, civil society and other stakeholders to fully combat the serious threats and vulnerabilities to mobile devices. We stand ready to do our part and to collaborate with other stakeholders and Congress to address this growing threat.

The Commission and its staff appreciate GAO's analysis and recommendations. Should you have any comments or questions, I would be pleased to discuss them with you.

Sincerely,

A handwritten signature in black ink, appearing to read 'J. Genachowski', with a stylized flourish at the end.

Julius Genachowski

Enclosure

cc: The Honorable Fred Upton  
The Honorable Henry A. Waxman  
The Honorable Greg Walden  
The Honorable Anna G. Eshoo  
The Honorable Cliff Stearns  
The Honorable Diana DeGette



FEDERAL COMMUNICATIONS COMMISSION

January 14, 2013

JULIUS GENACHOWSKI  
CHAIRMAN

The Honorable Tom Carper  
Chairman  
Committee on Homeland Security and Governmental Affairs  
United States Senate  
Washington, D.C. 20510

Dear Chairman Carper:

On November 14, 2012, the Government Accountability Office (GAO) issued a report entitled "Spectrum Management: Incentives, Opportunities, and Testing Needed to Enhance Spectrum Sharing" (GAO-13-7). The Report recommends that, to better identify the most feasible incentives to promote spectrum efficiency and sharing, the FCC Chairman and the NTIA Administrator jointly take three actions:

- 1) Report their agencies' views and conclusions regarding spectrum usage fees to the relevant congressional committees, specifically with respect to the merits, potential effects, and implementation challenges of such a fee structure, and what authority, if any, Congress would need to grant for such a structure to be implemented.
- 2) Based on the findings of current research and development efforts under way, determine how the federal government can best promote federal and nonfederal investment in the research and development of spectrally efficient technologies, and whether additional spectrum is needed for testing new spectrum efficient technologies.
- 3) Evaluate regulatory changes, if any, that can help improve and expedite the spectrum sharing process.

The FCC works closely with NTIA on spectrum planning matters, "including spectrum management techniques to promote increased shared use of the spectrum."<sup>1</sup> However, considering our respective agencies' different responsibilities, the Commission is providing its separate response in the following pages.

Thank you for the opportunity to address the GAO Report's recommendations. If you have additional questions, please do not hesitate to contact me.

Sincerely,

A handwritten signature in black ink, appearing to be "J. Genachowski", written over a horizontal line.

Julius Genachowski

<sup>1</sup> 47 U.S.C. §§ 902(b)(2)(L)(i), 922(4). See, e.g., Memorandum of Understanding Between the Federal Communications Commission and the National Telecommunications and Information Administration (Jan. 31, 2003).



Page 2—The Honorable Tom Carper

cc: The Honorable Fred Upton  
The Honorable Henry A. Waxman  
The Honorable John D. Rockefeller IV  
The Honorable Greg Walden  
The Honorable Anna G. Eshoo

Enclosure

**Enclosure**  
**FCC Response to GAO-13-7**

1. It is critical that the FCC have broad and flexible authority to adopt measures that create incentives for more efficient and effective use of our nation's scarce spectrum resource. Multiple Administrations have proposed that the FCC receive new authority to use spectrum fees (as well as other economic mechanisms) as a spectrum management tool for promoting efficient use of the electromagnetic spectrum.<sup>6</sup> Spectrum fees could be used to set user fees on unauctioned spectrum licenses in cases where they could be useful for spectrum management purposes, and could be phased in over time to determine the appropriate application and level for fees.<sup>7</sup> With respect to users licensed or otherwise authorized by the FCC, Congress could provide such authority, and any factors that it thought should be considered in exercising such authority, as part of Title III of the Communications Act of 1934, which includes provisions relating to wireless services and conditions that attach to wireless licenses.

2. The GAO Report recommends determining how the federal government can best promote federal and non-federal investment in the research and development of spectrally efficient technologies and whether additional spectrum is needed for testing new spectrum efficient technologies. FCC staff participate in several R&D related forums that include other federal agencies, academia and industry to inform researchers on the types of research that would be helpful to advance the development of spectrum efficient technologies. These include the Wireless Spectrum R&D (WSRD) group that coordinates spectrum-related R&D activities across the federal government, the International Symposium on Advanced Radio Technologies (ISART) sponsored by NTIA to promote the development of advanced radio communications technologies, and the Enhancing Access to the Radio Spectrum (EARS) Program established by the National Science Foundation to fund interdisciplinary research on ways to increase spectrum efficiency and expand access to wireless-enabled services. The Commission intends to adopt this month changes to the Experimental Radio Service to encourage innovation and development of new radio technologies.<sup>8</sup> Under the proposed rules, qualified entities would be granted considerable flexibility to conduct experiments without the need for any spectrum set-aside.

3. The GAO Report recommends evaluating regulatory changes, if any, that can help improve and expedite the spectrum sharing process. The Commission has taken significant actions and is currently considering further major proposals to advance spectrum sharing. In 2010, the Commission adopted rules to provide access to white spaces in the TV spectrum based on sharing through access to a data base that protects against harmful interference to TV broadcasters and other users of the spectrum. The President's Council of Advisors on Science and Technology (PCAST) recommended that the federal government build upon this model to

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<sup>6</sup> See, e.g., Federal Communications Commission, *Fiscal Year 2013 Budget Estimates Submitted to Congress (February 2012)* (FCC FY 2012 Budget Request) at p.5; Federal Communications Commission, *FY 2009 Budget Estimates Submitted to Congress (February, 2008)* at p. 6. See also FCC, *Connecting America: The National Broadband Plan* at 82-83 (Recommendation 5.6) (2010).

<sup>7</sup> See FCC FY 2012 Budget Request at p.5.

<sup>8</sup> See FCC Notice of Proposed Rulemaking. In the Matter of Promoting Expanded Opportunities for Radio Experimentation and Market Trials under Part 5 of the Commission's Rules and Streamlining Other Related Rules 2006 Biennial Review of Telecommunications Regulations -Part 2 Administered by the Office Of Engineering and Technology (OET), 25 FCC Rcd 16544 (2010).

provide access to spectrum in the 2700-3700 MHz band. The Commission this past December, working in collaboration with the NTIA, proposed rules to provide access to the 3550-3650 MHz band for small cell technology and other uses consistent with the President's Council of Advisors on Science and Technology (PCAST) recommendation. Commission staff also is participating with the NTIA, federal agencies and industry to assess the viability of commercial wireless systems sharing the 1755-1850 MHz band with federal systems. We are also working with the NTIA and federal agencies towards providing access to additional unlicensed spectrum in the 5 GHz band using advanced sharing techniques.



FEDERAL COMMUNICATIONS COMMISSION

JULIUS GENACHOWSKI  
CHAIRMAN

April 4, 2013

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

Dear Chairman Carper:

On January 25, 2013, the Government Accountability Office (GAO) issued a report entitled *Federal Communications Commission Needs to Strengthen Controls over Enhanced Secured Network Project*, GAO-13-155. The report included seven recommendations for action to the Federal Communications Commission.

The security of FCC systems and information is one of the Commission's highest priorities. This GAO report has given the FCC valuable recommendations on how we can continue to strengthen our security environment. The Commission's staff reviewed the findings of the GAO report carefully and had commenced corrective actions to address the recommendations even prior to the release of the final report. Today, the Commission is pleased to report that it has resolved six of GAO's seven recommendations, and it anticipates finalizing its implementation of the final recommendation by the end of this month. Attached, please find a more detailed update from the FCC's Office of the Managing Director on the Commission's progress in resolving each of GAO's recommendations.

The FCC and its staff appreciate GAO's analysis and recommendations. Today, the FCC's network is stronger, better, and more secure than it was before the Commission started its upgrade efforts, and the GAO analysis in this report has helped the FCC during that process. I look forward to continuing to work with Congress and GAO to strengthen the FCC's information security controls. Should you have any comments or questions, I would be pleased to discuss them with you.

Sincerely,

A handwritten signature in black ink, appearing to read "Julius Genachowski".

Julius Genachowski

Enclosure