

Federal Communications Commission



2021

**Budget Estimates to Congress
February 2020**

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INTRODUCTION AND SUMMARY OF REQUEST

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INTRODUCTION AND SUMMARY OF REQUEST

The Federal Communications Commission (FCC or Commission) is pleased to present its fiscal year (FY) 2021 budget request.

The FCC is an independent regulatory agency of the United States Government. The FCC is charged with regulating interstate and international communications by radio, television, wire, satellite, and cable. The Commission also regulates telecommunications and advanced communication services and video programming for people with disabilities, as set forth in various sections of the Communications Act.

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

The FCC is directed by five Commissioners appointed by the President and confirmed by the Senate for five-year terms, except when filling the unexpired term of a previous Commissioner. Only three Commissioners can be from the same political party at any given time. The President designates one of the Commissioners to serve as Chairman.

The FCC's vision is to develop a regulatory environment to encourage the private sector to build, maintain, and upgrade next-generation networks so that the benefits of advanced communications services are available to all Americans. The FCC will work to foster a competitive, dynamic and innovative market for communications services through policies that promote the introduction of new technologies and services and ensure that Commission actions promote entrepreneurship and remove barriers to entry and investment. The Commission will also strive to develop policies that promote the public interest, improve the quality of communications services available to those with disabilities, and protect public safety. Furthermore, in FY 2021, the FCC will continue to implement its Agency Reform Plan to deliver on the needs of today and the future in a more proactive and efficient manner. Through these reform efforts, the Commission will develop and implement reforms that focus the Commission on effectively and efficiently leveraging human capital to deliver on programs that are the highest need to citizens and where there is a unique Federal role.

For FY 2021, the Commission is requesting the budget and personnel amounts that are summarized in the bullets and a table below:

- The Commission requests \$343,070,000 in budget authority from regulatory fee offsetting collections. This request represents an increase of \$4,070,000 or 1.2 percent from the FY 2020 appropriated level of \$339,000,000.

¹ 47 U.S.C. § 151.

² *Id.*

- The Commission requests \$134,495,000 in budget authority for the spectrum auctions program. This request represents an increase of \$1,956,000 or 1.5 percent from the FY 2020 appropriated level of \$132,539,000. To date, the Commission’s spectrum auctions program has generated over \$117 billion for government use; at the same time, the total cost of the auctions program has been less than \$2.1 billion or 1.7 percent of the total auctions’ revenue.
- In creating a lean, accountable, and efficient Commission that works for the American people, the Commission requests 1,448 Full Time Equivalents (FTEs) funded by budget authority from both regulatory fee offsetting collections and the spectrum auctions program. This FTE level is the same as the level enacted for FY 2020. With this FTE level, the Commission will continue to meet its mission demands in FY 2021.

(Dollars in Thousands)

	FY 2020		FY 2021		Change in Request	
	FTEs ¹	Enacted	FTEs ¹	Estimates to Congress	FTEs ¹	Amount
Budget Authority - Offsetting Collections:						
Regulatory Fees - Commission	1,388	\$327,894	1,388	\$331,743	0	\$3,849
Regulatory Fees - Office of Inspector General (OIG)	60	\$11,106	60	\$11,327	0	\$221
Subtotal - Offsetting Collections²	1,448	\$339,000	1,448	\$343,070	0	\$4,070
Budget Authority - Other Offsetting Collections:						
Economy Act Reimbursable Agreements		\$4,000		\$4,000		\$0
Auction Cost Recovery Reimbursement - Commission		\$132,402		\$134,355		\$1,953
Auction Cost Recovery Reimbursement - OIG		\$137		\$140		\$3
Subtotal - Other Offsetting Collections		\$136,539		\$138,495		\$1,956
Subtotal: Offsetting Collections	1,448	\$475,539	1,448	\$481,565	0	\$6,026
Other Budget Authority:³						
Credit Program Account ⁴		\$25		\$25		\$0
Universal Service Fund Oversight - OIG ⁵		\$4,549		\$0		-\$4,549
Subtotal: Other Budget Authority		\$4,574		\$25		-\$4,549
Total Gross Proposed Budget Authority	1,448	\$480,113	1,448	\$481,590	0	\$1,477

¹The FTE numbers include auctions FTEs. Refer to page 15 for a breakdown of FTEs between non-auctions (Regulatory Fees) and auctions.

²The FY 2021 total request does not include funding to implement the requirements of the Preventing Illegal Radio Abuse Through Enforcement Act (PIRATE Act) passed by Congress on January 8, 2020 and signed into law on January 24, 2020 (P.L. 106-109).

³The Middle Class Tax Relief and Job Creation Act of 2012 (2012 Act) mandated that the Commission reimburse reasonable channel relocation costs incurred by those qualified TV Broadcasters that will be affected by spectrum relocation. The 2012 Act also gave the Commission the authority to use \$1.75 billion from Incentive Auction revenues to reimburse TV Broadcasters for relocation costs. Additional authority totaling \$1 billion was provided to the Commission for this and for other purposes by the Consolidated Appropriations Act, 2018, Public Law 115-141. The TV Broadcaster Relocation Fund (TVBRF) is capped at \$2.75 billion. This budget authority is not represented in the above schedule to provide a better historical comparison of the components of the FCC’s regular budgetary requests. The Commission’s budgetary authority related to the TVBRF is presented separately in the Appendices section on page 131.

⁴A permanent indefinite appropriation for credit reform that becomes available pursuant to a standing provision of law without further action by Congress.

⁵Represents unused carryover funds from prior fiscal years.

In furtherance of these objectives and the FCC's mission, the FY 2021 budget request will be used to support the following Strategic Goals for FY 2021:

Strategic Goal 1: Closing the Digital Divide

Develop a regulatory environment to encourage the private sector to build, maintain, and upgrade next-generation networks so that the benefits of advanced communications services are available to all Americans. Where the business case for infrastructure investment doesn't exist, employ effective and efficient means to facilitate deployment and access to affordable broadband in all areas of the country.

Strategic Goal 2: Promoting Innovation

Foster a competitive, dynamic, and innovative market for communications services through policies that promote the introduction of new technologies and services. Ensure that the FCC's actions and regulations reflect the realities of the current marketplace, promote entrepreneurship, expand economic opportunity, and remove barriers to entry and investment.

Strategic Goal 3: Protecting Consumers and Public Safety

Develop policies that promote the public interest by providing consumers with freedom from unwanted and intrusive communications, improving the quality of communications services available to those with disabilities, and protecting public safety.

Strategic Goal 4: Reforming the FCC's Processes

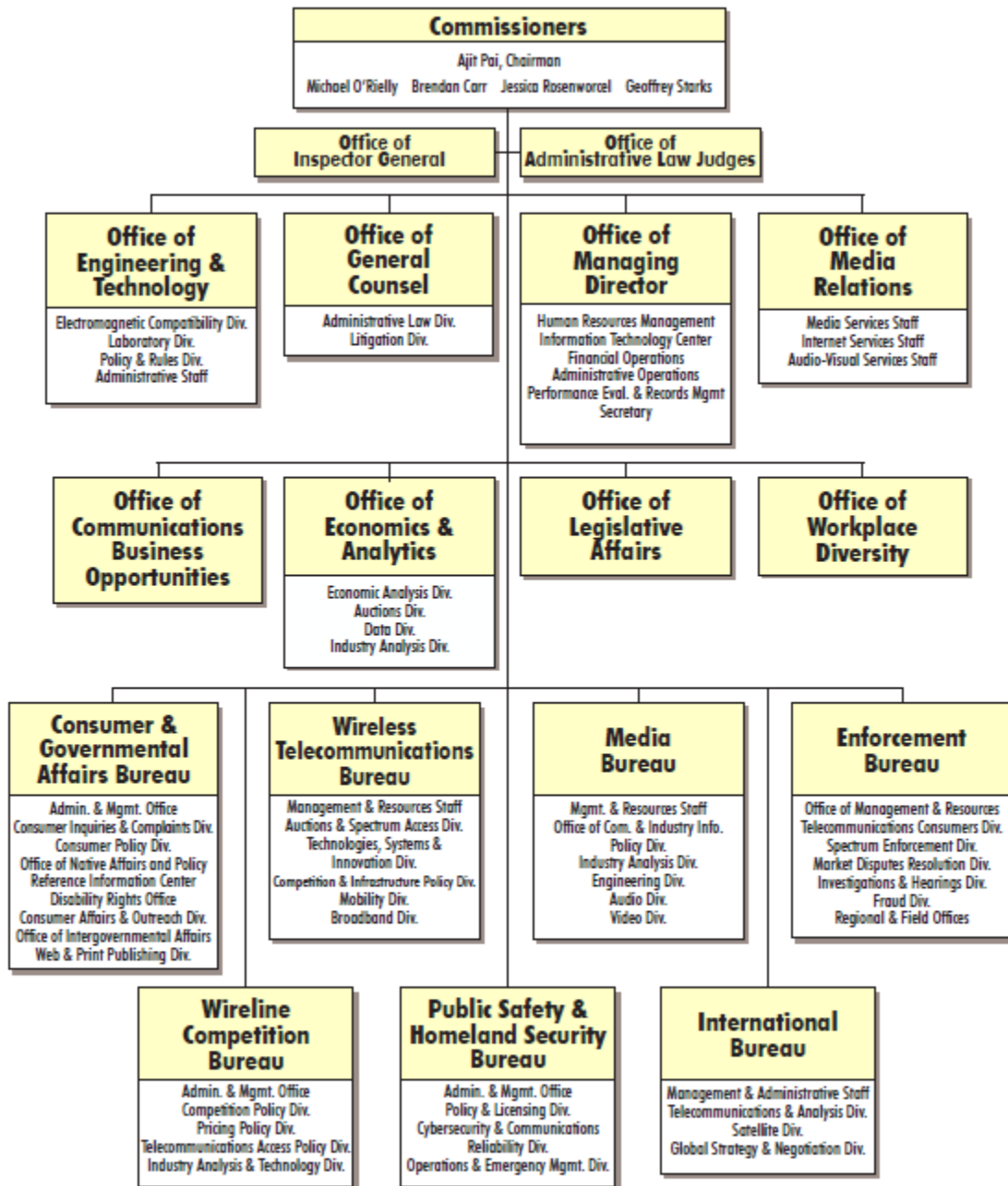
Modernize and streamline the FCC's operations and programs to increase transparency, improve decision-making, build consensus, reduce regulatory burdens, and simplify the public's interactions with the agency.

Additional Useful Information to Better Understand the Budget Request

Below is some additional useful information for readers to better understand the information presented in the Commission's budget request:

- FY 2019 numbers presented are actual numbers.
- FY 2020 numbers presented are appropriated and enacted numbers.
- There is no change in the total FTE level from the enacted FTE level for FY 2020 to the requested FTE level for FY 2021.
- The FTE numbers included in the charts on pages 89 – 118 include Spectrum Auctions Program FTEs, but the personnel compensation and benefits dollar amounts only represent personnel compensation and benefits dollars from Salaries and Expense (S&E) – regulatory fees.

Organizational Chart



Fiscal Year 2021 Proposed Appropriation Language

For necessary expenses of the Federal Communications Commission, as authorized by law, including uniforms and allowances therefor, 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, \$343,070,000, to remain available until expended: *Provided*, That \$343,070,000 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 2021 so as to result in a final fiscal year 2021 appropriation estimated at \$0: *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 \$134,495,000 for fiscal year 2021: *Provided further*, That, of the amount appropriated under this heading, not less than \$11,326,800 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 2021 Budget that pertain to the FCC. These proposals are designed to improve spectrum management and represent sound economic policy.

Spectrum License Fee Authority

To promote efficient use of the electromagnetic spectrum, the Administration proposes to provide the FCC with new authority to use other economic mechanisms, such as fees, as a spectrum management tool. The FCC would be authorized to set user fees on unauctioned commercial spectrum licenses based on spectrum-management principles. Fees would be phased in over time as part of an ongoing rulemaking process to determine the appropriate application and level for fees. Fee collections are estimated to begin in 2021 and total \$4.0 billion through 2030.

Spectrum Auctions

The Spectrum Pipeline Act of 2015 requires 30 MHz of spectrum to be reallocated from Federal use to non-Federal use or shared Federal and non-Federal use, or a combination thereof; requires the FCC to auction this spectrum by 2024; and extends the FCC's auction authority only to allow auction of this spectrum. To facilitate this, the Act also authorizes the use of funds from the Spectrum Relocation Fund for research and development and planning activities by Federal entities that are expected to increase the probability of relocation from or sharing of Federal spectrum and that meet other requirements. The Budget proposes to require the auction of additional spectrum by 2030 and further extend the FCC's auction authority solely to allow this auction to proceed. Additional net auction proceeds are expected to exceed \$1 billion through 2030.

Auction or Assign via Fee 1675-1680 Megahertz

The Budget proposes that the FCC either auction or use fee authority to assign spectrum frequencies between 1675-1680 megahertz for flexible use by 2022, subject to sharing arrangements with Federal weather satellites. Currently, the spectrum is being used for radiosondes (weather balloons), weather satellite downlinks, and data broadcasts, and the band will also support future weather satellite operations. The National Oceanic and Atmospheric Administration (NOAA) began transitioning radiosondes operations out of the band in 2016 as part of the Advanced Wireless Services 3 (AWS-3) relocation process. If this proposal is enacted, NOAA would establish limited protection zones for the remaining weather satellite downlinks and develop alternative data broadcast systems for users of its data products. Without this proposal, these frequencies are unlikely to be auctioned and repurposed to commercial use. The proposal is expected to raise \$355 million in receipts over 10 years.

Summary of FYs 2019 - 2021 FTEs and Funding by Bureaus and Offices

(Dollars in Thousands)

Bureaus and Offices	FY 2019		FY 2020		FY 2021	
	FTEs ¹	Actual	FTEs ¹	Enacted	FTEs ¹	Estimates to Congress
Chairman and Commissioners	22	\$4,585	22	\$5,453	22	\$5,290
Consumer & Government Affairs Bureau	113	\$21,342	114	\$22,977	114	\$23,428
Enforcement Bureau	180	\$36,371	190	\$37,920	190	\$38,782
International Bureau	87	\$16,872	85	\$16,928	85	\$17,239
Media Bureau	137	\$21,520	131	\$21,813	131	\$22,206
Public Safety & Homeland Security Bureau	90	\$17,584	95	\$18,777	95	\$19,186
Wireless Telecommunications Bureau	155	\$13,289	150	\$14,504	148	\$14,814
Wireline Competition Bureau	142	\$27,398	138	\$28,187	138	\$28,703
Office of Administrative Law Judges	3	\$405	4	\$625	4	\$633
Office of Communications Business Opportunities	8	\$1,558	8	\$1,612	8	\$1,633
Office of Economics and Analytics	79	\$12,062	96	\$15,506	99	\$17,139
Office of Engineering & Technology	74	\$14,604	73	\$15,322	73	\$15,658
Office of General Counsel	73	\$15,180	70	\$16,037	70	\$16,338
Office of Legislative Affairs	8	\$1,521	8	\$1,594	8	\$1,611
Office of Managing Director	185	\$113,942	185	\$107,072	184	\$105,454
Office of Media Relations	14	\$2,579	13	\$2,579	13	\$2,621
Office of Workplace Diversity	7	\$935	6	\$989	6	\$1,008
Subtotal	1,377	\$321,747	1,388	\$327,894	1,388	\$331,743
Office of Inspector General	45	\$7,296	60	\$11,106	60	\$11,327
TOTAL	1,422	\$329,043	1,448	\$339,000	1,448	\$343,070

¹The FTE numbers include the spectrum auctions program FTEs.

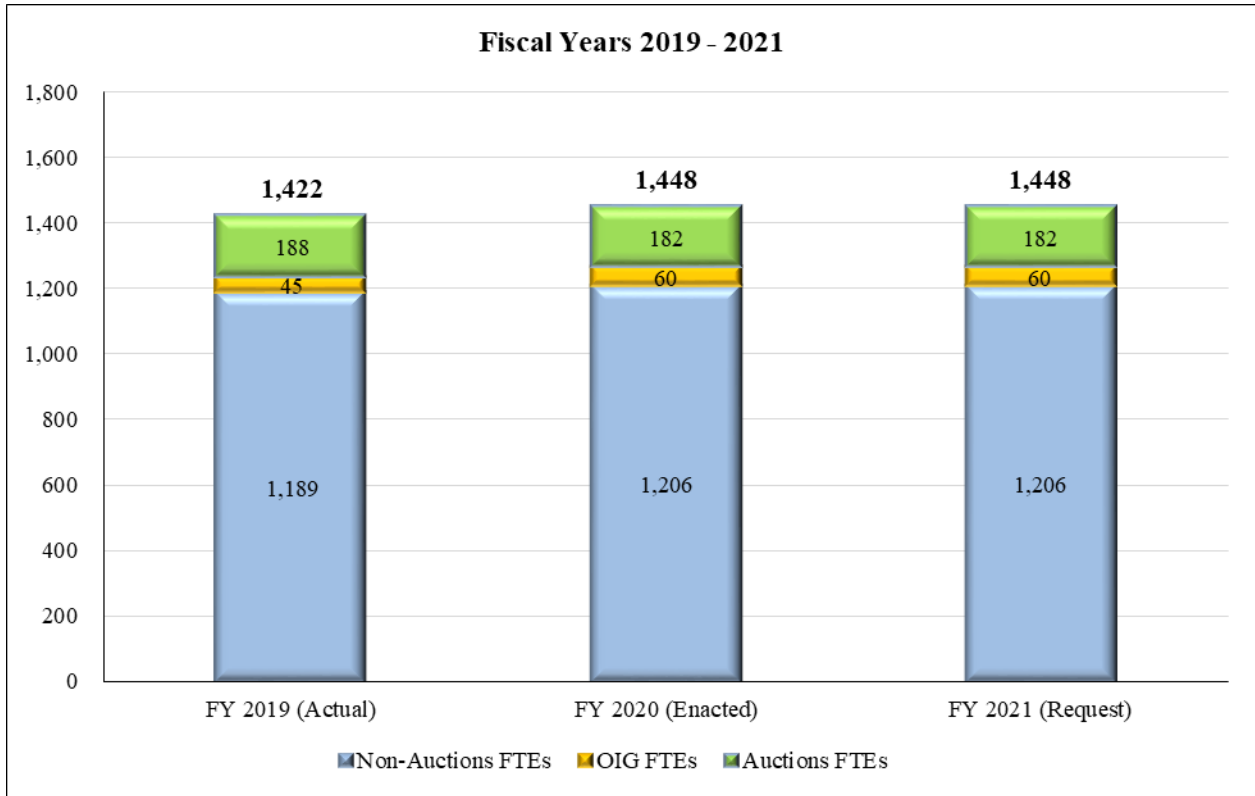
The Commission is responsible for the overall management, oversight, and administration of the Universal Service Fund (USF), including all USF policy decisions. All USF related activities are currently funded by regulatory fees. The Universal Service Fund Activities and Costs section on pages 26 through 31 provides more details related to the Commission's USF activities and related costs.

Fiscal Years 2019 - 2021 FTEs Distribution by Strategic Goals

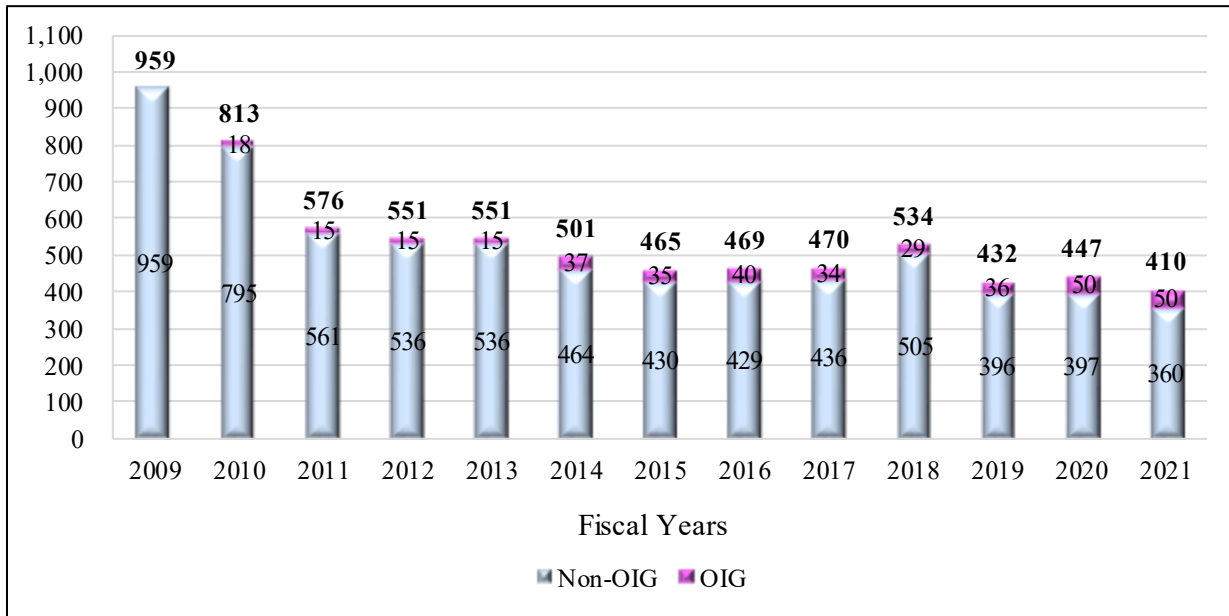
Strategic Goals	Closing the Digital Divide			Promoting Innovation			Protecting Consumers and Public Safety			Reforming the FCC's Processes			Total		
	2019	2020	2021	2019	2020	2021	2019	2020	2021	2019	2020	2021	2019	2020	2021
Fiscal Years	2019	2020	2021	2019	2020	2021	2019	2020	2021	2019	2020	2021	2019	2020	2021
Chairman & Commissioners	8	8	8	6	6	6	7	7	7	1	1	1	22	22	22
<u>Bureaus:</u>															
Consumer & Government Affairs	11	14	14	4	5	5	89	86	86	9	9	9	113	114	114
Enforcement	5	3	3	38	36	36	131	139	139	6	12	12	180	190	190
International	42	42	42	38	36	36	5	5	5	2	2	2	87	85	85
Media	90	83	83	37	44	44	2	1	1	8	3	3	137	131	131
Public Safety & Homeland Security	10	14	14	1	1	1	77	78	78	2	2	2	90	95	95
Wireless Telecommunications	92	91	90	54	52	51	2	3	3	7	4	4	155	150	148
Wireline Competition	57	63	63	60	54	54	19	17	17	6	4	4	142	138	138
Subtotal Bureaus	307	310	309	232	228	227	325	329	329	40	36	36	904	903	901
<u>Offices:</u>															
Administrative Law Judges	3	4	4	0	0	0	0	0	0	0	0	0	3	4	4
Communications Business Opportunities	2	4	4	5	3	3	0	0	0	1	1	1	8	8	8
Economics and Analytics	56	69	70	21	21	22	1	3	4	1	3	3	79	96	99
Engineering & Technology	33	30	30	40	41	41	0	0	0	1	2	2	74	73	73
General Counsel	17	16	16	35	32	32	6	9	9	15	13	13	73	70	70
Legislative Affairs	1	3	3	2	4	4	5	1	1	0	0	0	8	8	8
Managing Director	63	63	63	7	6	6	12	12	12	103	104	103	185	185	184
Media Relations	0	0	0	0	0	0	0	0	0	14	13	13	14	13	13
Workplace Diversity	0	0	0	0	0	0	0	0	0	7	6	6	7	6	6
Subtotal Offices	175	189	190	110	107	108	24	25	26	142	142	141	451	463	465
Subtotal	490	507	507	348	341	341	356	361	362	183	179	178	1,377	1,388	1,388
Inspector General	9	12	12	0	2	2	8	10	10	28	36	36	45	60	60
Total	499	519	519	348	343	343	364	371	372	211	215	214	1,422	1,448	1,448

Note: The FTE numbers include the spectrum auctions program FTEs.

FTEs by Resource Category



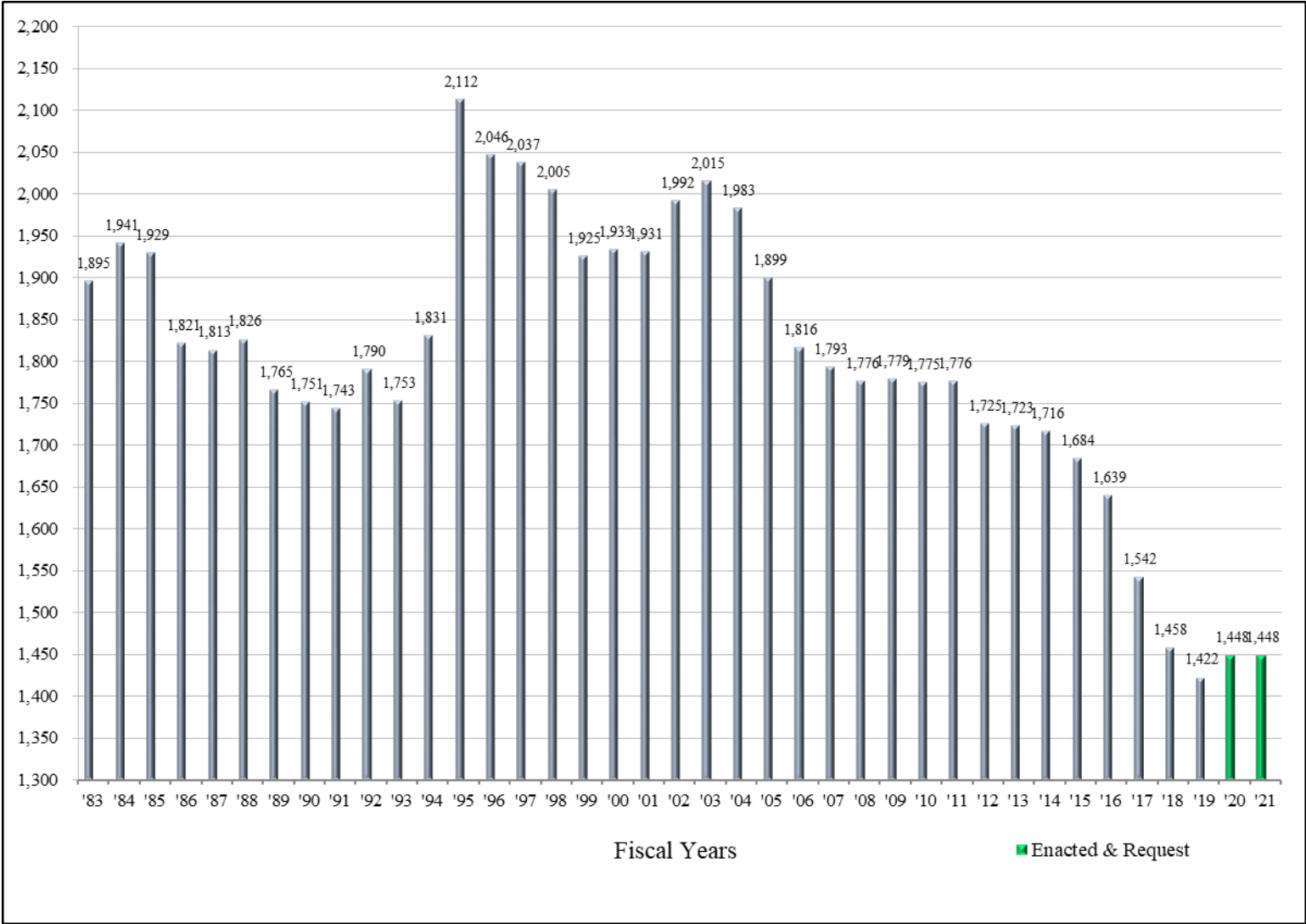
Number of Contractors



The numbers for FYs 2020 and 2021 are estimates. The OIG number for FY 2009 was not separable.

FTEs - Historical and Estimated

Fiscal Years 1983 – 2021



Summary of Changes - Regulatory Fees (Offsetting Collections)

(Dollars in Thousands)

Regulatory Fees - Offsetting Collections:	FY 2020	FY 2021	TOTAL NET	
	Enacted	Estimates to Congress	Amount	Percent
Commission	\$327,894	\$331,743	\$3,849	
Office of Inspector General (OIG)	\$11,106	\$11,327	\$221	
Total Spending Authority - Offsetting Collections¹	\$339,000	\$343,070	\$4,070	1.2%
Full-Time Equivalents (FTEs) - Commission ²	1,388	1,388	0	
FTEs - Office of Inspector General	60	60	0	
Total Full-Time Equivalents	1,448	1,448	0	0.0%
Explanation of Changes - Regulatory Fees (Offsetting Collections)				
FY 2020 Total Request		\$335,660		
FY 2020 Appropriated & Enacted Above Total Request		\$3,340		
FY 2020 Appropriated & Enacted			\$339,000	
Reversal of FY 2020 One-Time Investment Requests:				
IT - Cloud Services and <u>Systems</u> Modernization		-\$926		
IT - Cloud Services and <u>Applications</u> Modernization		-\$2,266		
Subtotal			-\$3,192	
Base Pay Increase Starting in Calendar Year (CY) 2020:		\$6,634		
Base Pay Increase Applicable to FY 2020			\$4,975	
FY 2020 Base			\$340,783	
FY 2021 Reduction To Base - New Headquarters Rent Savings			-\$6,880	-2.0%
FY 2021 Adjustments to Base:				
Base Pay Increase in CY 2020 Applicable to FY 2021		\$1,658		
1 Percent Increase in Across-the-board Base Pay		\$858		
2 Percent Non-Salary Inflationary Increase to Base		\$1,653		
Additional Awards for Non-SES/SL/ST FTEs ³		\$1,893		
Mapping - Geographic Information System		\$150		
Computational Power System		\$375		
Subtotal - FY 2021 Adjustments to Base			\$6,588	
FY 2021 Adjusted Base Before One-Time Investment Requests			\$340,491	
FY 2021 - One-Time Investment Requests:				
IT - Cloud Services and <u>Systems</u> Modernization - COSER		\$1,022		
Mapping - Geographic Information System		\$420		
Computational Power System		\$263		
Enterprise Level Data Architecture		\$525		
On-Line Market Surveillance Tool		\$350		
Subtotal - FY 2021 One-Time Investment Requests			\$2,579	
FY 2021 Total Request¹			\$343,070	
TOTAL NET CHANGE			\$4,070	1.2%

¹The FY 2021 total request does not include funding to implement the requirements of the Preventing Illegal Radio Abuse Through Enforcement Act (PIRATE Act) passed by Congress on January 8, 2020 and signed into law on January 24, 2020 (P.L. 106-109).

²Includes spectrum auctions program FTEs.

³See chart on page 142.

Narrative Explanation of Changes - Salaries and Expenses - Regulatory Fees

Personnel Compensation and Benefits and Non-Salaries Inflationary Increase to Base: (\$4,169,180)

A. Personnel Compensation and Benefits (\$2,516,000):

1. Base Pay Increase in Calendar Year 2020 Applicable to Fiscal Year 2021 (\$1,658,000) – This estimated amount represents one quarter of the across-the-board pay raise that took effect in January 2020.
2. One Percent Across-the-Board Base Pay Increase (\$858,000) – Pursuant to OMB’s guidance, this estimated amount represents a one percent across-the-board base pay increase for FY 2021.

B. Non-Salary Inflationary Increase (\$1,653,180) – This request provides expected inflationary increases for phones, utilities, printing and reproduction services, contractual services, supplies, travel, training, and other expenses. The total non-salary increase includes related increases for the Office of Inspector General (OIG), which total \$34,740. This increase is developed using an estimated inflationary rate of approximately two percent.

FY 2021 Base Increases & One-Time Requests for New Investments: \$3,104,300

A. Base Increases (\$525,000)

1. **Mapping - Geographic Information System (GIS) (\$150,000)** – Geospatial analysis and the publication of maps have become an integral part of the Commission’s work, affecting everything from licensing to monitoring the Commission’s progress toward meeting Universal Service goals to analyzing markets. The FCC already creates and maintains interactive maps offering easy-to-use visualizations such as maps of nationwide LTE coverage, fixed broadband deployment, frequency coordination within the United States and cross-border, over-the-air DTV coverage, and weather-related service outages. These maps are often complex to build, yet easy to use by the public and policymakers. The Office of Economics and Analytics (OEA) will need to grow and maintain its GIS resources including both local and cloud-based hardware and software, as well as third-party geospatial datasets to meet the increasing demand for geospatial analysis in policymaking, policy implementation, and public safety. In addition to the FY 2021 One-Time Requests for New Investments listed below for GIS, the FCC is requesting these funds as an adjustment to the FCC’s base for the sustainment of GIS once the GIS is put into operation.
2. **Computational Power System (\$375,000)** – In order to fulfill its responsibilities, OEA needs to complete complex analyses on very large data sets. OEA requires a range of computational resources, platforms, and scientific computing support in order to process large data sets and perform empirical microeconomic research in performing the following responsibilities:

- Preparing a rigorous, economically grounded cost-benefit analysis for every rulemaking deemed to have an annual effect on the economy of \$100 million or more, and
- Reviewing and commenting on all significant issues of economic and data analysis raised in connection with actions proposed to be taken by the Commission, including the review of transactions before the Commission, and providing advice to the Commission regarding such issues.

The current computer structure and resources are inefficient to keep up with the demand for computational power. For example, completing a large-scale merger simulation on a newer powerful system may take three hours compared to older systems at the FCC where the same simulation may take one to three days to complete. Similarly, downloading of broadband speed test data may take three times as much time on the older systems compared to new more powerful systems. The FCC is requesting these funds as an adjustment to the FCC's base for the sustainment of its request below for a Computational Power System in the FCC's FY 2021 One-Time Requests for New Investments.

B. One-Time Requests for New Investments (\$2,579,300)

1. Information Technology (IT) Modernization & Implementation (\$1,021,800)

The Commission has made tremendous strides in modernizing its IT infrastructure and legacy dependent applications to better meet its mission as mandated by Congress; however, many of the Commission's systems and applications are still relying on outdated legacy technologies and aging physical infrastructure. Many of the technologies these systems and applications are built on are no longer supported by vendors, leaving the requisite skillsets and expertise to operate and maintain this outdated technology both costly and difficult to find. Furthermore, the highly-customized nature of these systems and applications makes any necessary enhancements expensive, cumbersome, slow to implement, and resource intensive, resulting in a high total cost of ownership. Continued use of IT systems and applications built on outdated technology also significantly increases cybersecurity risks and increases risks to the FCC's ability to deliver on its mission in a timely manner.

Since FY 2014, the Commission has modernized several of its outdated legacy-based systems, and the following systems are most recently in the progress of being modernized: Equipment Authorization System (EAS), Integrated Spectrum Auction System (ISAS), International Bureau Filing System (IBFS), and Universal Licensing System (ULS). These modernization efforts are resulting in dramatic technology shifts which will allow the Commission to move away from on premises and custom developed systems to cloud-based platform solutions. Additionally, these efforts will also empower the Commission by employing modern technology solutions to transform outdated legacy-based applications into more resilient, secure, and highly available cloud-based applications.

Building on these efforts, the momentum of the FCC's IT modernization will continue to better meet the Commission's mission needs. By continuing to modernize and/or migrate outdated technology-based systems and applications to cloud-based environments, the Commission will reduce its operations and maintenance (O&M) costs, reduce time and

resources required to make application changes and enhancements, and provide the ability to scale to meet increased demand loads such as public filing surges. In addition, security vulnerabilities that currently exist in these outdated systems will largely be eliminated as they are moved to modern cloud-based technology platforms.

Other key benefits of modernizing and/or moving outdated technology-based systems and applications to modern cloud-based technologies include:

- Reuse of enterprise services and solutions to reduce development and maintenance costs;
- Improved cycle time for system enhancements or changes required to keep pace with the Commission's rules and industry needs by leveraging Platform as a Service (PaaS) and Software as a Service (SaaS) capabilities;
- Quickly adapting to changing network requirements;
- Reducing the Commission's dependence on physical desktops with potential reduction in hardware, software licensing, and support costs;
- Creation of core enterprise services to reduce development time and O&M costs for future data collection efforts; and
- Ability to scale application capacity up or down to balance demand and cost factors.

To realize these benefits, the Commission requests a new one-time funding for the following Canadian Co-Channel System (COSER). The COSER system allows for coordination between Industry Canada and the FCC during the establishment of broadcast/telecommunications facilities along a predefined area (Line C) of the United States/Canadian border. COSER also allows for technical changes to existing facilities that may cause harmful interference to existing stations along the Line C area.

- 2. Mapping - Geographic Information System (GIS) (\$420,000)** – Geospatial analysis and the publication of maps have become an integral part of the Commission's work, affecting everything from licensing, to monitoring the Commission's progress toward meeting Universal Service goals, to analyzing markets. The FCC already creates and maintains interactive maps offering easy-to-use visualizations such as maps of nationwide Long-Term Evolution (LTE) coverage, fixed broadband deployment, frequency coordination within the United States and cross-border, over-the-air Digital TV (DTV) coverage, and weather-related service outages. These maps are often complex to build, yet easy to use by the public and policymakers. OEA will need to grow and maintain its GIS resources—including both local and cloud-based hardware and software, as well as third-party geospatial datasets—to meet the increasing demand for geospatial analysis in policymaking, policy implementation, and public safety.
- 3. Computational Power System (\$262,500)** – In order to fulfill its responsibilities, OEA needs to complete complex analyses on very large data sets. OEA requires a range of computational resources, platforms, and scientific computing support in order to process large data sets and perform empirical microeconomic research in performing the following responsibilities:
 - Preparing a rigorous, economically-grounded cost-benefit analysis for every rulemaking deemed to have an annual effect on the economy of \$100 million or more.

- Reviewing and commenting on all significant issues of economic and data analysis raised in connection with actions proposed to be taken by the Commission, including the review of transactions before the Commission, and providing advice to the Commission regarding such issues.

The current computer structure and resources are inefficient to keep up with the demand for computational power. For example, completing a large-scale merger simulation on a newer powerful system may take three hours compared to older systems at the FCC where the same simulation may take one to three days to complete. Similarly, downloading of broadband speed test data may take three times as much time on the older systems compared to new more powerful systems.

- 4. Enterprise Level Data Architecture (\$525,000)** – In accordance with the Foundations for Evidence-Based Policymaking Act of 2018 (P.L. 115-435), which includes the Open, Public, Electronic, and Necessary (OPEN) Government Data Act, the FCC is required to publish a Strategic Information Resources Plan in 2020. This document will include, among other things, the OPEN Data Plan for the FCC which will address how the FCC will create systems and implement processes and procedures that make all new data collection mechanisms available in an open format (“Open by Default”) for users within the FCC and by the general public. The Strategic Information Resources Plan will need to be implemented during FY 2021.

New investments in the Commission’s hardware and software, i.e. Enterprise Level Data Architecture, will be needed in FY 2021 for the Commission to fulfill its obligations to implement the OPEN Government Data Act. These obligations include: the creation of best practices for the Commission’s data governance; the design, creation and implementation of data catalogues; and supporting the FCC in data-based policy making. Enterprise Level Data Architecture allows data in the numerous databases at the Commission to be maintained in a usable format and accessible for analysis across and within bureaus and offices as well as by the general public.

- 5. On-Line Market Surveillance Tool (\$350,000)** – The Enforcement Bureau pursues entities that market noncompliant radio frequency devices on the Internet that have the potential to cause interference to other devices. Performing manual searches across the Internet is time-consuming and often results in the discovery of these devices only after they are in use. This funding request would be used to create an automated online tool with adaptive learning capabilities to perform key word and picture searches to find entities that are marketing these devices. This automated tool would provide the Enforcement Bureau with the ability to discover violations more quickly, detect trends, and identify recidivist entities.

President’s Management Agenda

The President's Management Agenda (PMA) lays out a long-term vision for modernizing the Federal Government supported by strategies and specific milestones that will improve the ability of agencies to deliver mission outcomes, provide excellent service, and steward taxpayer dollars effectively on behalf of the American people.

The following details FCC activity in certain of the priority areas as outlined in the Cross-Agency Priority (CAP) Goals contained in the PMA:

IT Modernization:

The Commission continues to make significant progress in modernizing its information technology (IT) capabilities and delivering secure, scalable, and reliable systems for both internal Commission business as well as for its public facing systems. The FCC's IT team prioritizes IT improvements as follows: 1) modernization and enhancements specifically authorized and funded by Congress; 2) systems with performance or security shortcomings; 3) systems that the Commission's leadership has identified for updates; and 4) systems with simple cloud migration paths. More than thirty systems have been modernized or are identified for modernization by Fiscal Year (FY) 2021. Examples of these systems include: Electronic Document System (EDOCS), Universal Licensing System (ULS), Consolidated Database System (CDBS), Canadian Co-Channel System (COSER), Electronic Comment Filing System (ECFS), and the International Bureau Filing System (IBFS).

Data, Accountability and Transparency:

The Commission has continued to increase the availability and quality of data by implementing improved Data Analytics, Visualization, and Business Intelligence capabilities. By partnering with the newly created Office of Economics and Analysis, FCC IT has been using technology tools to increase the effectiveness of agency-wide data practices and policies. The Commission has delivered on an open data platform for public consumption, which includes accountability and transparency at the core of its functionality. In addition to the 87 datasets currently available, a dedicated open government website has been created that provides links to all of the tools available. A variety of application programming interfaces have been published, as well as a Geographic Information System (GIS) tool which provides open data services in a map-centric model for visualizing a broad variety of Commission data.

People: Developing a Workforce for the 21st Century:

The Commission is taking steps to promote the 21st Century Workforce Priority Goals including, improving employee performance management and engagement, and reskilling and redeploying human capital resources.

The Commission implemented a plan to maximize employee performance and design a workforce to meet current and future needs. The FCC's plan supports managers and supervisors in managing employee performance and addressing conduct and performance issues. The Commission identified and implemented actions to consolidate support functions, reduce costs and increase efficiency across the agency. These workforce actions enable the FCC to redirect resources to other mission critical areas.

The FCC created the Office of Economics and Analytics to coordinate the contributions of economists and data professionals from around the FCC and better incorporate their analysis into the FCC's policymaking process.

The Commission has also transferred the audit and enforcement responsibilities associated with its Equal Employment Opportunity (EEO) rules from the Media Bureau Policy Division to the

Enforcement Bureau Investigations and Hearings Division. The Commission determined it was appropriate to make this organizational change to more efficiently deploy Commission audit and enforcement resources and enhance industry-wide oversight of compliance with EEO rules. In addition, the Commission created a Fraud Division within the Enforcement Bureau, comprised of existing staff, that is dedicated to taking enforcement actions against fraud in the Universal Service Fund and other funding programs that the Commission oversees.

Improving Customer Experience:

The Commission has made huge strides toward improving the customer experience for internal and external customers. By migrating Call Center support systems to the cloud and automating the updates and notification processes, timely responses are now available across nearly all aspects of customer interactions, questions, complaints, and general inquiries. Within FCC IT, the organizational strategic plan now includes specific targets for initial customer engagement and timeliness of issue resolution. Both targets are being exceeded on a monthly basis and performance continues to increase as additional improvements are made. The Commission has continued to improve the customer experience as systems are modernized by including customer friendly features such as improved interfaces, better search and reporting tools, simple GIS and mapping functions, and accessibility from mobile devices.

Acquisition Modernization:

The Commission has taken concrete steps to improve and modernize its acquisition strategies. In specific, the FCC has worked to leverage common contract solutions while meeting small business and other statutory socio-economic goals, including efforts to initiate and establish Agency policy to make greater use of small business programs such as Alaskan Native 8(a) program, Indian Tribes, Service Disabled Veteran Owned, HUBZone, 8(a), and Woman-Owned, and other socio-economic programs. Some of the common contract options that the FCC is using include: General Services Administration (GSA) Federal Supply Schedule (FSS), GSA Governmentwide Acquisition Contracts (GWAC), National Aeronautics and Space Administration (NASA) Scientific and Engineering Workstation Procurement (SEWP), and Government-wide acquisitions to expedite the Agency's procurements.

The FCC has also developed effective vendor management strategies to improve communication with vendors by actively engaging in events designed to promote and improve communications with vendors by informing them of upcoming procurements and encouraging fair and open competition. In addition, to help strengthen procurement strategies and to invite industry feedback, the Commission plans to significantly utilize the Request for Information as a part of its procurement and acquisition processes.

Further, the Commission has implemented best practices to eliminate inefficient purchasing and consumption behaviors by focusing on developing Agency-wide Indefinite Delivery and Indefinite Quantities (IDIQ) and Blank Purchase Agreements (BPAs) to eliminate inefficient and duplicate purchasing. In addition, the FCC plans to implement an Agency-wide survey to promote best-value procurements and further eliminate unnecessary purchases.

Finally, the FCC shares transactional data from across the Federal Government by utilizing the Federal Business Opportunities and GSA e-buy to share procurement information.

Agency Reform Plan

Plan to Maximize Employee Performance under OMB Memo - 17-22, Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Civilian Workforce.

The Commission implemented a plan to maximize employee performance and design a workforce to meet current and future needs. The Commission undertook a comprehensive and on-going effort to:

- Review and update formal agency policy.
- Provide transparency around the performance improvement plan process.
- Ensure managers and supporting human resources staff are appropriately trained.
- Ensure accountability in manager performance plans and establish real-time manager support mechanisms.

The FCC's plan supports managers and supervisors in managing employee performance and addressing conduct and performance issues. In doing so, the Commission:

- Reviewed steps for addressing poor performance and limits the use of administrative leave.
- Ensures clear guidance is provided on the use of performance improvement plans (PIPs) and maintains data on PIPs, including the number of employees placed on them and the number who successfully improve performance.
- Strengthened training on employee relations, performance and conduct for supervisors and managers.
- Automated the performance management system and provided clear guidance to enhance accountability within the FCC's pass/fail and supervisory performance plans.
- Ensured that the Labor and Employee Relations team is adequately staffed to provide prompt and expert guidance and support and develop templates to facilitate the taking of action for performance and/or conduct based issues.

Workforce Actions

The Commission identified and implemented actions to consolidate support functions, reduce costs and increase efficiency in the provision of Human Resources and administrative services across the agency. In FY 2018, the Commission offered a voluntary early retirement authority (VERA) to all staff, as well as VERA and voluntary separation incentive payments (VSIP) for certain staff, and 19 staff took these offers. We again offered VERA and VSIP to administrative staff in FY 2019 and in early FY 2020 expanding the offer to include additional occupations. A total of 14 staff took these offers. These Workforce Actions are intended to identify cost savings and reduce administrative and other staff that are duplicative and redirect resources to other mission critical areas.

High Level Agency Reform Plan

In December 2018, the FCC established the Office of Economics and Analytics to coordinate the contributions of economists and data professionals from around the FCC and better incorporate their analysis into the FCC's policymaking process. By ensuring that economic analysis is

incorporated into policy work throughout the decision-making process, including the earliest stages, the Commission is now better able to ensure that it assesses the costs and benefits of its proposed actions and is able to establish a mechanism to measure the ongoing effectiveness of adopted approaches. The new Office is charged with conducting Regulatory Impact Analysis and informing FCC policymaking as well as undertaking long-term research on emerging market conditions and advances in communications technology, including implications for innovation and effects on the economy. The new Office will streamline the FCC's information collection procedures and uses of data and identify duplicative collections, thus substantially reducing financial and human capital burdens associated with unnecessary collections. We entered into a Memorandum of Understanding with the union, received the necessary Congressional approvals, and established the Office officially on December 7, 2018, when the reorganization was published in the Federal Register.

The Commission has also completed the transfer of the audit and enforcement responsibilities associated with its Equal Employment Opportunity (EEO) rules from the Media Bureau Policy Division to the Enforcement Bureau Investigations and Hearings Division. Shifting the EEO team to the Enforcement Bureau will improve operations and result in more effective enforcement of the Commission's EEO rules. The key objectives of this organizational change are to more efficiently deploy Commission audit and enforcement resources, enhance industry-wide oversight of compliance with EEO rules, improve cross-Commission consistency in audit-based enforcement, and rationalize and modernize our organizational structure. We received Congressional approvals and completed the reorganization on March 15, 2019, when the reorganization was published in the Federal Register.

The Commission has created a Fraud Division within the Enforcement Bureau, comprised of existing staff, that are dedicated to taking enforcement actions against fraud in the USF and other funding programs that the Commission oversees. The Fraud Division works cooperatively with other law enforcement entities, including the Office of Inspector General, where appropriate. The creation of the Fraud Division capitalizes on and enhances the Commission's expertise in rooting out fraud in programs over which the Commission has jurisdiction. We received Congressional approvals and completed the reorganization on August 12, 2019, when the creation of the Fraud Division was published in the Federal Register.

Office of Inspector General Narrative

The Office of the Inspector General's (OIG or the Office) workload continues to increase in all mission-critical areas. The Office keeps focus on increasing mission responsibilities and ensuring appropriate staff levels to keep pace with the workload. OIG has increased its Full-Time Equivalent (FTE) staff over the past few budget years and this recruitment effort has permitted the Office to engage in a greater number of, and more complex, audits and investigations. We anticipate further growth in the coming year. We hope to hire at least two criminal investigators (general schedule series 1811) in FY 2020 to begin a program of proactive investigations into E-rate and Lifeline providers and recipients and to provide additional law-enforcement capabilities we currently lack. Ideally, we would like to hire an additional two criminal investigators in FY 2021. Three senior level audit positions are vacant, and we plan to fill those positions during the current budget cycle. Regardless, we are continually mindful of budget constraints and attempt,

to the best of our ability, to gauge the relative merits of any audit and investigation prior to expending valuable resources.

The OIG FY 2021 budget request of \$11,326,800 reflects a \$221,100 net increase over the FY 2020 appropriated level of \$11,105,700. The net increase is attributable to a decrease in rent cost of \$123,850 and pay and non-salary inflationary increases.

OIG Office of Audit (OA) conducts or contracts for the performance of independent and objective audits, inspections, evaluations and related projects, designed to promote economy, effectiveness and efficiency in FCC programs and operations, and to prevent and detect fraud, waste and abuse. OA completed 8 projects in FY 2019, and an additional 10 projects were in process at the end of the FY. OA plans to complete more than 50 audits, inspections and evaluations over the next five years, not including any unforeseen Congressional requests or special projects.

OIG Office of Investigation (OI) matters cover a wide range of topics touching on myriad aspects of the FCC's mission and programs. Most significantly, our investigations often address allegations of criminal misconduct or civil fraud in the Commission's Universal Service programs. We deal with complex investigations, large criminal conspiracies, and matters involving complex financial transactions throughout the United States and its territories. As of September 30, 2019, OI had 53 open cases. Working with the Department of Justice, in recent years, OI and has recovered many tens of millions of dollars of government funds and saved the government hundreds of millions of additional dollars, resulting from criminal and civil fraud cases that have been successfully prosecuted or settled.

In compliance with the IG Reform Act of 2008, this FCC OIG FY 2021 budget request includes:

- A fair share ratio in the amount of \$30,582 for contribution to the Council of the Inspectors General on Integrity and Efficiency (CIGIE),
- Funds to support IGSNet Management Services, and
- Training funds in the amount of \$87,118.

Universal Service Fund Activities and Costs

The Commission is responsible for the overall management, oversight, and administration of the Universal Service Fund (USF). The Commission develops policies for the USF, and the Universal Service Administrative Company (USAC) collects and delivers funding through four programs – Schools and Libraries (E-Rate), Rural Health Care, Lifeline, and High Cost – focused on places where broadband and connectivity needs are critical. These programs serve people in rural, underserved, and difficult-to-reach areas.

The Commission works with USAC, as administrator of the USF, to review USAC's administrative expenses and also to oversee the effectiveness of USAC's internal controls around USAC's program management, procurements, information technology projects, and personnel processes. The descriptions below provide additional information about how the Commission's various Bureaus and Offices work together as the agency carries out its USF management and oversight responsibilities.

Office of Managing Director. The Office of Managing Director (OMD) is responsible for all USF management and administrative activities, including finance, accounting, procurement, information technology, and audits of beneficiaries and contributors. OMD provides instruction and oversight to USAC on these issues.

Wireline Competition Bureau. The Wireline Competition Bureau (WCB) oversees USF policy and provides guidance on the applicability and interpretation of the Commission's USF rules, orders, and directives to USAC and to stakeholders. WCB also is primarily responsible for USF rulemaking proceedings, appeals of USAC decisions, requests for waivers of the Commission's USF rules, petitions for USF declaratory rulings, interactions with the Federal-State Joint Board on Universal Service, and preparation and publication of USF information in the Universal Service Monitoring Report.

Wireless Telecommunications Bureau. The Wireless Telecommunications Bureau (WTB), in coordination with WCB, develops policy and procedures concerning the Mobility Fund, a universal service support mechanism dedicated exclusively to mobile wireless services.

Office of Economics and Analytics. The Office of Economics and Analytics (OEA), in coordination with WCB, oversees reverse auctions policy and implementation for distributing Mobility Fund and Connect America Fund universal service support.

Office of General Counsel. The Office of General Counsel (OGC) oversees issues relating to litigation and settlements and serves as the Commission's chief legal advisor, including on issues pertaining to USF matters.

Enforcement Bureau. If USAC or a Commission Bureau or Office identifies a possible violation of the Communications Act or a Commission rule, order, or directive, the matter is referred to the Enforcement Bureau (EB) for possible investigation and administrative enforcement action, including issuing forfeitures. EB pursues potential investigations of USF-related matters from other sources of information as well. In addition, EB is authorized to suspend and debar persons from participating in the universal service mechanisms upon a criminal conviction of or civil judgment for fraud against a USF program.

Office of Inspector General. The Office of Inspector General (OIG) conducts audits, evaluations, and inspections of USF programs and operations, as well as program service providers and beneficiaries designed to prevent and detect fraud, waste, and abuse. These oversight activities and related initiatives help promote economy, effectiveness, and efficiency of the USF.

USF Activities

Since 2017, the Commission has focused the USF on closing the digital divide. In early 2017, the Commission adopted rules for the Connect America Fund (CAF) Phase II auction, which aims to advance fixed voice and broadband service to unserved areas across the country. The auction was held in 2018, and on August 28, 2018, the Commission announced that there were 103 winning bidders in the auction, with the 10-year support amount totaling \$1.488 billion covering 713,176 locations in 45 states. Using an auction to allocate support for rural broadband is an efficient way to target limited resources where they are needed most. As of December 2019, the Commission

has authorized funding totaling \$1.2 billion over the ten-year term to support almost 550,000 locations in 45 states in the CAF Phase II auction.

In January 2020, the Commission approved a Report and Order establishing the Rural Digital Opportunity Fund, which will direct up to \$20.4 billion to expand broadband in unserved rural areas over 10 years through a reverse auction to support up to gigabit-speed networks. Phase I of the auction is targeting around six million rural homes and small businesses that lack modern broadband service. To implement the Rural Digital Opportunity Fund proposal, the FCC is planning to conduct an initial auction in 2020 and then hold an additional auction later.

In December 2019, Chairman Pai announced that he intends to establish the 5G Fund, which would make up to \$9 billion in USF support available to carriers to deploy advanced 5G mobile wireless services in rural America. This major investment in rural America would be allocated through a reverse auction and would target hard-to-serve areas with sparse populations and/or rugged terrain. The \$9 billion 5G Fund also would set aside at least \$1 billion specifically for deployments facilitating precision agriculture needs.

The 5G Fund would replace the Mobility Fund Phase II (MF-II), which was the subject of an FCC staff report that was also released in December 2019. The report described the staff's investigation of 4G LTE coverage maps submitted by providers to establish the areas that would be eligible for MF-II funding. Based on staff speed testing and review of other information gathered in the investigation, the report concluded that coverage maps submitted by certain carriers likely overstated their actual coverage. The report recommended that the Commission terminate the challenge process and take other steps to ensure that the coverage data the Commission and the public rely on are accurate.

Furthermore, to help facilitate and coordinate the FCC's rural broadband initiatives, the Commission formed a Rural Broadband Auctions Task Force, drawn from senior leaders across the agency, including OMD, WCB, WTB, and OEA. The Task Force is overseeing universal service support auctions, including the newly adopted Rural Digital Opportunity Fund.

In addition, the Commission also continues to work to close the digital divide through other initiatives focused on small, rural carriers, known as rate-of-return carriers, serving high-cost areas. Specifically, in March 2018, the Commission adopted rules providing an additional \$500 million in funding to assist rate-of-return carriers in expanding broadband deployment in rural America and sought comment on reforms for rate-of-return carriers generally. In December 2018, the Commission continued those efforts by providing rate-of-return carriers with additional support in exchange for providing at least 25/3 Mbps service to rural homes and businesses, while combatting waste and seeking further comment on additional reforms. And in August 2019, the Commission authorized over \$4.9 billion in support for rate-of-return carriers for maintaining, improving, and expanding broadband in rural areas over the next decade. This support will ensure the broadband access to approximately 455,334 homes and businesses served by 171 carriers in 40 states and territories, including 44,243 locations on Tribal lands.

Moreover, in May 2018, the Commission established the Uniendo a Puerto Rico Fund ("Bringing Puerto Rico Together") and the Connect USVI Fund to make additional universal service support available to rebuild fixed and mobile voice and broadband networks damaged in the 2017 hurricane season. In September 2019, the Commission approved \$950 million in Stage 2 funding

to improve, expand, and harden communications networks in Puerto Rico and the U.S. Virgin Islands. To accomplish these goals in Puerto Rico, the Commission is allocating more than \$500 million over ten years in fixed broadband support and more than \$250 million over three years in mobile broadband support. In the U.S. Virgin Islands, the FCC is allocating more than \$180 million over ten years in support for fixed networks, and \$4 million over three years for mobile networks. Fixed broadband support will be awarded through a competitive process, in which service providers will bid to serve every location in each covered area with up to gigabit speeds. Support for mobile services will be awarded to providers that were offering mobile services in the Territories prior to the hurricanes in order to expand and harden 4G LTE networks and deploy next-generation 5G networks.

Through the E-Rate program, the Commission continues to help schools and libraries obtain affordable broadband. In January 2020, in order to lower barriers to broadband infrastructure investment, the Commission adopted a Report and Order permanently eliminating a requirement that applicants amortize over three years high-dollar funding requests, including special construction requests. In December 2019, the Commission adopted a Report and Order making permanent the category two budget approach, which consists of five-year budgets for schools and libraries that provide a set amount of funding to support internal connections—primarily used for Wi-Fi, which has enabled the transition from computer labs to one-to-one digital learning. The Report and Order also simplifies and streamlines the category two budget approach to allow applicants to make more effective use of category two funding and to reduce administrative burdens; provides more equitable, consistent support for small, rural schools and libraries within the existing category two services budget; and makes permanent the eligibility of managed internal broadband services, caching, and basic maintenance of internal connections. Finally, to ensure timely review of applications and issuance of funding commitments, the Commission continues to oversee USAC’s administration of the E-Rate program. To this end, USAC has continued to issue funding commitments and disbursements at a faster pace each year since 2017.

Through the Rural Health Care program, the Commission provides support for the telecommunications and broadband services that eligible health care providers need to deliver critical health care services to rural and remote parts of America. In June 2018, the Commission increased the annual budget for the program from \$400 million to \$571 million, indexed the budget for inflation, and created a mechanism for unused funds from prior funding years to be carried forward for use in future years. As a result of these efforts, the annual program funding cap for funding year 2018 was increased to \$581 million, and the annual funding cap for funding year 2019 was further increased to \$594 million, with \$83.22 million in unused funds from prior funding years available to cover additional demands in funding year 2019. In August 2019, the Commission approved a Report and Order overhauling the Rural Health Care program by streamlining and simplifying the way health care providers apply for and calculate universal service support amounts, promoting transparency and predictability in the program, and taking new steps to guard against waste, fraud, and abuse.

The Commission is also taking steps to explore the creation of an experimental program to support the delivery of advanced telehealth services to low-income Americans. In July 2019, the Commission adopted a Notice of Proposed Rulemaking that proposes to establish the Connected Care Pilot program, which would provide up to \$100 million of USF support over three years to health care providers to defray the costs of broadband service to enable low-income patients and

veterans to access telehealth services, with a focus on services delivered directly to patients beyond the doors of brick-and-mortar health care facilities.

Through the Lifeline program, the Commission seeks to increase access to communications services, including broadband Internet access service, for low-income Americans. The Commission and USAC continue to take steps to address waste, fraud, and abuse in the program to ensure that limited USF dollars are directed only toward qualifying low-income consumers. These steps include closing loopholes that allow some participating carriers to enroll ineligible subscribers and establishing the National Lifeline Eligibility Verifier, which provides a unified interface that independently processes eligibility, verification, and recertification of subscribers. In October 2019, the Commission adopted a Fifth Report and Order to strengthen the Lifeline program’s enrollment, recertification, and reimbursement processes. These reforms included, among others, prohibiting participating carriers from paying commissions to employees or sales agents based on the number of consumers who apply for or are enrolled in the Lifeline program with that carrier; requiring participating carriers’ employees or sales agents involved in enrollment to register with USAC; codifying a rule that strengthens prohibitions barring Lifeline providers from claiming “subscribers” that are deceased; and taking additional steps to better identify duplicate subscribers, prevent reimbursement for fictitious subscribers, and better target carrier audits to identify potential FCC rule violations. The Commission also continues to oversee USAC’s work to deploy the National Verifier. As of the end of December 2019, the National Verifier has been soft launched in all 56 states and territories and fully launched in 37 states and territories as well as the District of Columbia.

Finally, the Commission continues its efforts to safeguard the security and integrity of the nation’s communications networks by barring the use of universal service funding to purchase equipment and services from companies that pose a national security threat. In November 2019, the Commission adopted a Report and Order initially designating Huawei Technologies Company and ZTE Corp. as companies covered by this rule and establishing a process for designating additional covered companies in the future. In an accompanying Further Notice of Proposed Rulemaking, the Commission proposed to require eligible telecommunications carriers to remove and replace existing equipment and services from covered companies and sought comment on how to pay for such removal and replacement. Additionally, the FCC will conduct an information collection to aid in the design of a removal and replacement program.

The chart below shows the estimated costs that the Commission will incur in overseeing USF activities, which includes costs incurred by the OIG.

(Dollars in Thousands)

Fiscal Years	FY 2019	FY 2020	FY 2021
FCC's USF Activities Cost¹	\$18,065	\$18,427	\$18,795
Full-Time Equivalent (FTEs)	94	94	94

¹ Estimated amounts based on actual costs.

The chart below shows the estimated number of Commission FTEs working on USF activities by bureau and office for FY 2019 based on extrapolated data.

Number of FCC FTEs Working On USF Activities By Bureau and Office	FTEs
Wireline Competition Bureau	53
Office of Economics & Analytics	12
Office of Inspector General	10
Enforcement Bureau	8
Wireless Telecommunications Bureau	4
Office of General Counsel	4
Office of the Managing Director	3
Total FTEs	94

Crosswalk of USF Outlays to FCC Strategic Goals

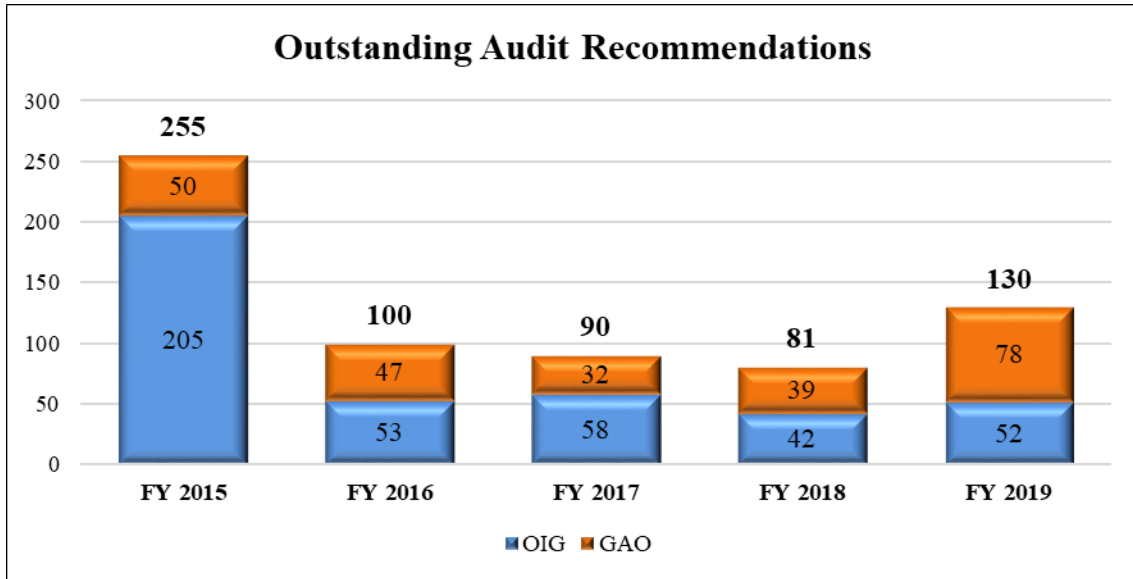
In FY 2019, USF made outlays totaling almost \$8.715 billion. These outlays were allocated to the following FY 2019 strategic goals:

(Dollars in Millions)

Applicable FY 2019 Strategic Goals	Outlay Amount	Percent
Closing the Digital Divide	\$7,067	81.1%
Promoting Innovation	\$1,648	18.9%
Total	\$8,715	100.0%

Overall Status of Audit Recommendations

The chart below shows the number of audit recommendations outstanding from various audits conducted by FCC’s Office of Inspector General (OIG) and the Government Accountability Office (GAO) at the end of each fiscal year. The numbers shown below exclude those recommendations for which the Commission has already submitted information to GAO and OIG requesting closure of the recommendation. The count also excludes those recommendations that the Commission has determined to close as not implemented.



Status of FCC Headquarters Move

The Commission’s headquarters (HQs) lease for the Portals II building at 445 12th Street SW, Washington, DC expired on October 15, 2017. In June 2018, GSA executed a lease extension for the HQs at the Portals II building that expires on November 30, 2020.

In 2015, Congress approved a prospectus for a replacement lease for a 15-year term that would reduce FCC headquarters square footage by approximately 30 percent and lower the overall rental expense. It is estimated that the move will provide up to \$119 million in total net savings over the 15 years of the new lease. Subsequently, the GSA conducted a competitive lease procurement and awarded the contract to a new lessor. The new lease will require the Commission to move to a newly built facility in FY 2020. The Commission’s obligation to pay rent at the new headquarters building commences when the construction is substantially complete.

GSA estimated that the total cost for the headquarters move would be \$70,971,489. In FYs 2016 and 2017, as part of the Commission’s budget request, the Commission requested a total amount of \$51,358,497 and \$19,612,992, respectively, from both regulatory fees and auctions program funds. Congress appropriated a total amount of \$68,225,489 from both regulatory fees and auctions program funds. The Commission intends to move to the new headquarters building in June 2020.

Crosswalk - Summary of Changes for Regulatory Fees

(Dollars in Thousands)

	FY 2020 Enacted	Reversal of FY 2020 One-Time Requests	FY 2020 Pay Increase from CY 2020	FY 2020 Base	FY 2021 Rent Decrease to Base	FY 2021 Pay Increase from CY 2020	FY 2021 1% Across-the-Board Base Pay	FY 2021 Non-Salary Inflationary Increase ¹	Additional Awards for Non-SES/SL/ST FTEs	FY 2021 Base Increases & One-Time Requests	FY 2021 Estimates to Congress
Chairman and Commissioners	\$5,453	\$0	\$88	\$5,542	-\$314	\$29	\$15	\$18	\$0	\$0	\$5,290
Consumer & Governmental Affairs Bureau	\$22,977	\$0	\$418	\$23,395	-\$236	\$139	\$73	\$56	\$0	\$0	\$23,428
Enforcement Bureau	\$37,920	\$0	\$730	\$38,650	-\$299	\$243	\$128	\$58	\$0	\$0	\$38,782
International Bureau	\$16,928	\$0	\$327	\$17,255	-\$206	\$109	\$57	\$24	\$0	\$0	\$17,239
Media Bureau	\$21,813	\$0	\$436	\$22,249	-\$282	\$145	\$76	\$17	\$0	\$0	\$22,206
Public Safety & Homeland Security Bureau	\$18,777	\$0	\$367	\$19,144	-\$168	\$122	\$64	\$24	\$0	\$0	\$19,186
Wireless Telecommunications Bureau	\$14,504	\$0	\$288	\$14,791	-\$138	\$96	\$50	\$15	\$0	\$0	\$14,814
Wireline Competition Bureau	\$28,187	\$0	\$562	\$28,749	-\$355	\$187	\$98	\$24	\$0	\$0	\$28,703
Office of Administrative Law Judges	\$625	\$0	\$12	\$638	-\$11	\$4	\$2	\$1	\$0	\$0	\$633
Office of Communications Business Opportunities	\$1,612	\$0	\$32	\$1,643	-\$28	\$11	\$6	\$2	\$0	\$0	\$1,633
Office of Economics and Analytics	\$15,506	\$0	\$303	\$15,809	-\$52	\$101	\$53	\$21	\$0	\$1,208	\$17,139
Office of Engineering and Technology	\$15,322	\$0	\$295	\$15,617	-\$132	\$98	\$52	\$23	\$0	\$0	\$15,658
Office of General Counsel	\$16,037	\$0	\$309	\$16,346	-\$188	\$103	\$54	\$23	\$0	\$0	\$16,338
Office of Legislative Affairs	\$1,594	\$0	\$31	\$1,625	-\$32	\$10	\$5	\$2	\$0	\$0	\$1,611
Office of Managing Director	\$107,072	-\$3,192	\$514	\$104,394	-\$4,268	\$171	\$64	\$1,304	\$1,893	\$1,896	\$105,453
Office of Media Relations	\$2,579	\$0	\$47	\$2,626	-\$35	\$16	\$8	\$6	\$0	\$0	\$2,621
Office of Workplace Diversity	\$989	\$0	\$18	\$1,008	-\$11	\$6	\$3	\$2	\$0	\$0	\$1,008
Subtotal	\$327,894	-\$3,192	\$4,778	\$329,480	-\$6,756	\$1,593	\$811	\$1,619	\$1,893	\$3,104	\$331,743
Office of Inspector General	\$11,106	\$0	\$197	\$11,303	-\$124	\$66	\$48	\$35	\$0	\$0	\$11,327
TOTAL	\$339,000	-\$3,192	\$4,975	\$340,783	-\$6,880	\$1,658	\$858	\$1,653	\$1,893	\$3,104	\$343,070

¹Represents estimated non-salary inflationary increase of approximately 2%.

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SPECTRUM AUCTIONS

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Spectrum Auctions Program - Explanation of Requested Change

The Federal Communications Commission requests \$134,495,000 for the Spectrum Auctions Program for FY 2021, as detailed below. This level of funding will enable the Commission to continue its efforts to make more spectrum available for 5G and reimburse full power and Class A stations, multichannel video programming distributors (MVPDs), Low Power TV (LPTV), TV translator stations, and FM broadcast stations for reasonable relocation costs incurred because of the Commission's broadcast incentive auction.

(Dollars in Thousands)

	FY 2020 Enacted	FY 2021 Estimates to Congress	TOTAL NET CHANGE	
			Amount	Percent
Spectrum Auctions Program Cost Recovery	\$132,539	\$134,495	\$1,956	1.5%
Explanation of Changes - Spectrum Auctions Program Cost Recovery				
FY 2020 Request to Congress			\$132,539	
FY 2020 Appropriated, Enacted			\$132,539	
Base Pay Increase Starting in Calendar Year (CY) 2020:		\$1,024		
Base Pay Increase Applicable to FY 2020			\$768	
FY 2020 Base			\$133,307	
FY 2021 - Reduction To Base - New Headquarters Rent Savings			-\$1,120	-0.8%
FY 2021 Adjustments To Base:				
Base Pay Increase in CY 2020 Applicable to FY 2021		\$256		
1 Percent Increase in Across-the-board Base Pay		\$281		
2 Percent Non-Salary Inflationary Increase to Base		\$1,771		
Subtotal - FY 2021 Adjustments to Base			\$2,308	
FY 2021 Total Request			\$134,495	
TOTAL NET CHANGE			\$1,956	1.5%

Spectrum Auctions Program

The Omnibus Budget Reconciliation Act of 1993, P.L. 103-66 (Act), required the Commission to auction licenses for portions of the electromagnetic spectrum used for certain services, replacing the former lottery process. The Act further requires the Commission 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.

As of December 2019, the total amount collected for broader government use and deficit reduction since 1994 exceeds \$117 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; extended through FY 2011 by the Deficit Reduction Act of 2005, P.L. 109-171; extended through FY 2012 by the DTV Delay Act (2012), P.L. 111-4; and extended through FY 2022 by the Middle Class Tax Relief and Job Creation Act of 2012, P.L. 112-96. Furthermore, the Commission's authority to conduct auctions was further extended until September 30, 2025, in the Spectrum Pipeline Act of 2015 (included as Title X in the Bipartisan Budget Act of 2015, P.L. 114-74), with respect only to electromagnetic spectrum identified under section 1004(a) of that Act.

The Commission is authorized to retain funds from auction revenues to develop, implement, and maintain the auctions 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. This budget submission assumes that the auctions program will continue to recover the costs of conducting auction activities from spectrum license auction receipts as the Commission continues to use auctions as a licensing mechanism for spectrum-based communications services.

For FY 2020, Congress capped the auctions program obligations at \$132.539 million. The Commission's request of \$134.495 million for FY 2021 is a net increase of \$1.956 million from the FY 2020 capped level that includes a decrease to base of \$1.12 million from rent savings as a result of moving the headquarters to a new facility to significantly reduce space consumption, which is offset by increases in uncontrollable non-payroll inflationary increase of about 2 percent, or \$1.771 million, and pay increases of \$0.537 million.

Funding at this level will enable the Commission to continue post-broadcast incentive auction (BIA) work related to repacking and reimbursing broadcasters and MVPDs for their relocation costs to implement the results of the BIA, as well as expand that program to include new requirements included in the Reimbursement Expansion Act (REA) as related to the universe of TV and radio stations eligible for reimbursement from the TV Broadcaster Relocation Fund (TVBRF); upgrade and improve its auctions program infrastructure in preparation for future auctions; conduct additional auctions to make more spectrum available for next-generation wireless services including the 2.5 GHz band; and continue implementing the Spectrum Pipeline Act of 2015 by, for example, taking the steps necessary to promote use of the 3.5 GHz band as well as taking other steps necessary to implement the RAY BAUM'S Act, including the Mobile Now provisions regarding identifying and making available, including through auctions, spectrum for mobile and fixed mobile broadband use in, among other bands, the 3.7 GHz – 4.2 GHz range. In addition, as

the demand for spectrum for new technologies extends to spectrum bands previously assigned for legacy applications, creative approaches must be found to accommodate existing licensees and operations while expanding opportunities for access by new users.

Post-Broadcast Incentive Auction Transition Work

In the Incentive Auction Closing and Channel Reassignment Public Notice, released on April 13, 2017, the Commission announced the completion of the first-ever spectrum incentive auction and publicly released the results of the reverse auction, the forward auction, the assignment phase, and the channel reassignments for full power and Class A television stations that are required to change their TV channels during the 39-month relocation process that commenced as of the release of that Public Notice. The licensing process for the winning bidders for new flexible-use wireless spectrum licenses also commenced with the release of that public notice.

After the post-auction transition by full power and Class A TV stations to their new channels is complete, the BIA will have made available 84 megahertz of low-band spectrum for commercial and unlicensed wireless use by repurposing a portion of the broadcast TV band. The total net winning bids of approximately \$19.3 billion from the auction placed it second among all Commission auctions in terms of the amount of total winning bids. The auction proceeds from winning bidders of new spectrum licenses were used, among other things, to pay winning broadcast bidders in the reverse auction and, as directed in the Middle Class Tax Relief and Job Creation Act of 2012, to fund the TVBRF with \$1.75 billion to reimburse full power and Class A broadcast stations and MVPDs for their reasonable expenses incurred as a result of stations being involuntarily relocated to new channels.

Determining that the TVBRF was likely to fall short of covering the costs of the post-BIA broadcast transition, Congress subsequently appropriated \$1 billion in additional funds for the TVBRF in the 2018 REA, increasing the total to \$2.75 billion. The \$1 billion in new funding included \$600 million in FY 2018 and \$400 million in FY 2019. The REA also expanded the universe of entities eligible for reimbursement to cover the costs reasonably incurred by displaced low power TV and TV translator stations (LPTV/translator stations) to relocate or modify their facilities, and by FM radio stations (FM stations) to reasonably minimize disruption of their service due to the TV repacking process. For FY 2018, the REA provided for funding of at least \$350 million to reimburse full power and Class A stations, not more than \$150 million for LPTV/translator stations, and not more than \$50 million for FM stations. The REA also provided \$50 million in FY 2018 funds for the Commission to use for consumer education relating to the reorganization of broadcast television. The REA does not expressly delineate the use of the \$400 million FY 2019 funds among the various categories of eligible recipients. The Commission determined in the *REA Report & Order* adopted March 15, 2019, that reimbursement of full power and Class A stations and MVPDs would be prioritized over reimbursement of LPTV/translator stations and FM stations for purposes of disbursement of the FY 2019 funds. The REA permits the Commission to continue the reimbursement program until July 3, 2023, under certain circumstances, but did not extend the July 3, 2020, transition deadline for all full power and Class A television stations to have moved to their new channels.

Because of the complex nature of the post-BIA transition and the addition of new categories of broadcast stations eligible for reimbursement, the Commission will continue to engage in a significant amount of post-auction activity. For example, the results of the BIA require 987 full-

power and Class A broadcasters nationwide to relocate to create contiguous spectrum in the 600 MHz band that has been repurposed and auctioned for flexible wireless uses, and 957 of those stations are eligible for reimbursement from the TVBRF.³ Over 2,000 LPTV/translator stations received displacement construction permits to relocate to alternative channels, and on December 9, 2019, an Incentive Auction Task Force and Media Bureau public notice announced that it had received eligibility certification and cost estimate submissions from 947 of those stations who seek reimbursement of their relocation costs. That public notice also announced that 87 FM stations had been determined to satisfy requirements for eligibility to participate in the reimbursement program. The repacking of full power and Class A stations will also require some MVPDs to modify their facilities to continue to carry the station's signals, the reasonable costs of which are also reimbursable from the TVBRF.

The last phase of the 39-month channel reassignment process ends July 3, 2020, and the REA authorizes the Commission to extend the reimbursement period to July 3, 2023. This means that while all full power and Class A broadcast stations are required to vacate their pre-auction channels prior to the end of the 39-month period, some of the necessary licensing and post-transition filings for such stations and for LPTV/translator stations and FM stations will continue after that date. Final reimbursement submissions, close-out review, and, as appropriate, verification and audit processes will also continue past that date. The following are a list of highlights from the many activities that will continue to take place in FY 2021.

- Licensing for Broadcasters Being Relocated – Broadcast licensing is performed in two steps: (1) application review and grant of a construction permit (CP); and (2) application review and grant of a license to cover. The Commission will continue to process applications and licenses to cover, as well as possible technical modifications determined to be necessary once the stations transition and test their new facilities, as described in more detail below.

The Commission implemented a phased transition process in which each full power and Class A station that is being repacked is assigned one of 10 phases. By the end of its assigned phase, a station must discontinue operations on its pre-auction channels, such that all broadcasters will have ceased operation on their pre-auction channels no later than the end of the tenth phase, which will occur within 39 months after the issuance of the Closing and Channel Reassignment Public Notice.

After a broadcaster completes the construction of its new facilities, it must file an application with the Commission for its license, which will require review and approval by the Media Bureau. Processing such filings for stations in the later phases of the transition will extend beyond the end of their phase deadlines. In addition, a number of full power and class A stations are using interim facilities in order to meet their deadline to vacate their pre-auction channel while still in the process of completing construction of their permanent facilities. In such cases, stations will have met their phase deadline to cease operation on their pre-auction channel but not yet have fully transitioned to their new facilities. Construction of

³ As a result of the BIA, 987 full-power and Class A broadcast stations were assigned new channels and must be relocated during the 39-month transition period. Of those, 30 full-power stations were winning bidders in the reverse auction and are not eligible for reimbursement of relocation costs, but they nevertheless must file applications, licenses to cover, and/or waivers that will require processing by the Commission. The remaining 957 full-power and Class A stations that are being relocated are eligible for reimbursement from the TVBRF.

those new facilities, and the related Media Bureau consideration of all related applications and waivers, as well as submission of reimbursement invoices, will continue for some of those stations beyond the end of the 39-month phase schedule.

The process will therefore require Commission staff to continue to monitor broadcaster progress, identify and resolve transition-related problems and challenges, process applications, and review and verify information in FY 2021. Concluding the post-auction transition will therefore also continue to require software, cloud computing resources, and assistance from skilled computer scientists, software engineers, and technology security experts.

- Regional Coordination of Transition – The Commission’s Incentive Auction Task Force and Media Bureau have created a specialized team to assist broadcasters through the transition on a regional basis. Regional Coordinators assist with communications among the affected broadcast stations and MVPDs, function as liaisons within the Commission, and assist with coordination with other federal government agencies such as the Federal Aviation Administration as well as with Tribal governments and coordination with Canada and Mexico.
- Displaced LPTV and TV Translator Station Licensing – A Special Displacement Window closed on June 15, 2018, for operating LPTV/translator stations displaced due to the new 600 MHz wireless band and the post-auction repacking process for full power and Class A stations. More than 2,000 applications were granted. Like the full power and Class A stations identified above, broadcast licensing for LPTV/translator stations is performed in two steps: (1) application review and grant of a CP and (2) application review and grant of a license to cover. The Commission will continue to process such applications as they are filed.
- FM Station Licensing – FM spectrum was not subject to the post-Incentive Auction repacking process. Some FM stations with antennas on or near a tower supporting a repacked TV antenna may be affected if, for example, the FM antenna must be moved, temporarily or permanently. In such situations some FM stations must apply for a construction permit or special temporary authority to operate on an interim basis during a construction project on the station’s tower.
- Reimbursements to Eligible TV and FM Stations and MVPDs – Reimbursements to eligible full power and Class A broadcasters and MVPDs started in FY 2018. The Commission has expanded its reimbursement process to include LPTV/translator and FM stations pursuant to the REA. It began accepting estimates of costs purportedly eligible for reimbursement from LPTV/translator and FM stations in August 2019.
 - Fund Administration – The Commission has engaged a contractor (Fund Administrator) to assist in administering the TVBRF. The Fund Administrator has extensive experience in television broadcast engineering and federal funds management to review cost estimates. The Fund Administrator reviews the initial reimbursement estimates and the accompanying supporting documentation submitted by eligible entities to validate that the estimates reflect costs that may be reasonably incurred to relocate television service from a station’s original channel

to its reassigned channel or, in the case of MVPDs, to continue to carry the broadcast signal of a reassigned broadcast station. Requests for additional information are sent to entities where reasonableness cannot be determined, where necessary documentation appears to be missing, or where the requested reimbursement appears to be excessive.

- Reimbursement Process – The reimbursement process has two major components: (1) cost estimates and fund allocation and (2) invoice reimbursement processing.
 - Cost Estimates and Fund Allocation – The Fund Administrator and Media Bureau review the initial reimbursement estimates, and the eligibility showings of the submitting entities, and the accompanying supporting documentation submitted by LPTV/translator stations and FM stations, to validate that the estimates reflect costs that may be reasonably incurred to relocate television service from a station’s original channel to its reassigned channel or, in the case of FM stations, to reasonably minimize disruption of service during the repack. Based upon that review, an initial allocation based on such verified estimates is issued to stations found to be eligible for reimbursement. Once the initial allocation is made, the Fund Administrator reviews invoices for actual costs incurred by broadcasters and MVPDs and makes recommendations to the Commission as to their reasonableness. The Commission reviews and verifies those recommendations and pays approved invoices submitted by eligible LPTV translator stations and FM stations. The Commission may announce one or more additional allocations during the transition period, and subsequent allocations may be based on revised cost estimates.

As of December 2019, the Commission had allocated a total of \$1.89 billion to full power and Class A stations and MVPDs, and \$17.2 million to eligible FM stations, giving them access to approximately 92.5 percent of their currently estimated and verified costs.

- LPTV/TV Translator Stations – As of December 2019, the Commission had received 947 submissions from LPTV/TV translator stations and had not yet completed its review of cost estimates and eligibility certifications. Once that review is complete, an allocation will be made and reimbursements to eligible LPTV/TV translator stations for their approved actual expenses will commence.
- Invoice Reimbursement Processing – Eligible TV and FM radio stations and MVPDs may only draw upon their allocated funds upon submission of actual invoices and other supporting documentation. The Fund Administrator reviews invoices for actual costs incurred by broadcasters and MVPDs and makes recommendations to the Commission as to their reasonableness. The Commission reviews those recommendations and pays approved invoices submitted by broadcasters and MVPDs. Reimbursement payments to all of these categories of recipients will continue in FY 2021 as reimbursement-eligible entities continue to submit their invoices.

- Close Out Procedures for TV and FM Broadcasters and MVPDs – Each entity will engage in a two-step close out procedure and receive two close out letters from the Media Bureau, including (1) an “interim close-out letter” when the station has submitted evidence of all incurred costs: and (2) a “final close-out letter” after all or nearly all entities eligible for reimbursement from the Fund have entered the close-out process. The final account close-out for each entity will occur no later than July 3, 2023, the statutory end of the reimbursement period, when all entities eligible for reimbursement from the Fund must have submitted all actually incurred costs.

When an entity completes its construction project it will submit all remaining supporting documentation and requests for reimbursement to the Commission and inform the Commission that the submissions are complete. The entity will receive a financial reconciliation statement from the Fund Administrator that specifies verified, estimated amounts; allocated amounts; amounts requested for reimbursement; amounts disbursed by the Commission; and information outlining any additional amounts payable by the Commission to the entity or owed to the Commission by the entity. If an overpayment is discovered, the entity will be required to return the excess amount to the Commission and detailed instructions for prompt submission of such overpayments will be provided to the entity by the Commission. Each station will review the financial reconciliation statement for accuracy and completeness and, upon concurrence, return an executed version of the financial reconciliation statement to the Fund Administrator. The Bureau will then provide the station with an interim close-out letter and issue any payments currently due, subject to the station’s available allocation.

Because the Commission has determined that stations should be allocated a *pro rata* amount of actual costs incurred based on the total fund availability, the Commission will withhold a certain portion of potentially eligible funds until the conclusion of the program, or until such time as the Bureau can reasonably extrapolate that the total available funding will be sufficient to meet the total cost of the program. A final close-out letter will serve as the official notice of account close-out, include a summary of any financial changes that occurred during the interim closing period, and remind entities of their ongoing document retention requirements.

- Audits, Data Validations, and Disbursement Validations – Audits, data validations, and site visits are essential tools in preventing waste, fraud, and abuse, and that use of these measures will maximize the amount of money available for reimbursement. Throughout the reimbursement period, the Media Bureau together with the Fund Administrator performs disbursement validations in order to confirm that entities receiving reimbursement funding for third party services have in fact disbursed monies received from the Fund in a manner consistent with representations made to the Commission in the Reimbursement Form. Also, a third-party audit firm acting on behalf of the Commission may conduct audits of entities receiving disbursements from

the Reimbursement Fund, and these audits may occur both during and following the Reimbursement Period. The Commission has determined that Commission staff and/or a third-party auditor will continue to validate expenses after the reimbursement period ends, consistent with the Commission's obligation to recover improper payments, including after the close-out period.

- Consumer Education – The REA made \$50 million available through July 3, 2023, to the Commission for consumer education. The Commission has developed several consumer resources to provide information about what the post-auction transition will require consumers to do to continue to receive over-the-air TV signals during and after the transition. For instance, in January 2019, the Commission announced the launch of a dedicated call center to assist consumers with rescanning their televisions and any other questions related to the broadcast transition. The Commission also awarded a contract to a national public relations firm to execute a comprehensive nationwide consumer education campaign that includes social media outreach and advertising, radio, print, and online advertising, paid online search, and earned local and regional media.
- Submission of Banking Information – The Commission requires all eligible entities who will receive TVBRF payments to provide detailed banking information that is both notarized on paper form and submitted in a secure electronic system. The Commission reviews this information prior to making any payments. Eligible entities may revise their banking information throughout the reimbursement period.
- Stakeholder Outreach – To minimize disruptions and ensure an orderly transition, the Commission provides necessary stakeholder and consumer communications, education, and outreach. These efforts include providing education materials for broadcast stations, MVPDs, wireless microphone operators, and unlicensed users affected by the transition. The Commission also maintains a comprehensive website to serve as a single point of reference for all transition-related information. The Commission will continue to maintain and update these efforts.

Spectrum Pipeline Act of 2015, RAY BAUM'S Act, and Other Auction Program Improvements

The Spectrum Pipeline Act of 2015 (Pipeline Act) requires the Commission to auction 30 megahertz of spectrum identified by the Secretary of Commerce for reallocation from Federal use to non-Federal use, shared use, or a combination thereof. The Pipeline Act also appropriates funds from the Spectrum Relocation Fund to support activities by Federal entities to improve the efficiency and effectiveness of Federal use of spectrum in order to make Federal spectrum available for non-Federal use, shared use, or a combination thereof. The Pipeline Act requires the FCC, as part of its role on the interagency Technical Panel established within the National Telecommunications and Information Administration (NTIA), to review Federal entities' proposals for funds for these purposes.

Additionally, the Pipeline Act requires the Commission to submit four reports to Congress. In November 2018, the Commission submitted a first report with an analysis of its new rules for the innovative Citizens Broadband Radio Service in the 3550-3650 MHz band and a second report analyzing proposals to promote and identify additional bands that can be shared under such rules

and identifying at least 1 gigahertz of spectrum between 6 GHz and 57 GHz for such use. By January 1, 2022, in coordination with the Assistant Secretary of Commerce for Communications and Information, the Commission must submit a third report that identifies at least an additional 50 megahertz of spectrum below 6 GHz for potential auction. Finally, by January 2, 2024, in coordination with the Assistant Secretary of Commerce for Communications and Information, the Commission must submit a fourth report which identifies at least another additional 50 megahertz of additional spectrum below 6 gigahertz for potential auction. The latter two reports must contain an assessment of the Federal operations in such spectrum, an estimated timeline for the competitive bidding process, and a proposed plan for balance between unlicensed and licensed use.

The RAY BAUM'S Act amended the Pipeline Act to require notice and comment for certain Pipeline Act reports and required the Commission to undertake numerous rulemakings and initiatives related to potential repurposing, reallocation, sharing, or auction of spectrum bands, including a requirement to work with NTIA to identify 255 additional megahertz of spectrum for mobile and fixed wireless use by 2022.

To fulfill these statutory requirements and enhance the Commission's ability to execute upcoming auctions, auctions funding will also be used for the following that include major amounts of work to be performed during FY 2021:

- 3.5 GHz Auction and Post-Auction Implementation – The Commission has updated its rules for issuing certain licenses in this band that will be subsequently auctioned late in the third quarter of FY 2020. Due to the characteristics of and use cases for licenses in this band, this auction will have a novel set of requirements that will require the Commission to develop new auctions procedures and software. Much of the work will take place in FY 2020, but statutorily required work, including post-auction licensing and monitoring of the novel licenses to be awarded, will by necessity continue into FY 2021 and possibly beyond. For example, depending on when the auction concludes, winning bidders will not file their long form license applications until late in the fourth quarter of FY 2020 or early in FY 2021. Commission staff must then undertake the statutorily required process to evaluate and grant such applications, where warranted; such work will extend into FY 2021. In addition, the Commission will have an ongoing need to interface with the Spectrum Access Administrators (SASs), which manage the dynamic spectrum sharing environment in the 3.5 GHz band, as well as the Environmental Sensing Capability operators, which facilitate federal incumbent protection in the band. The Commission also will have an ongoing need to test and verify the operational capabilities of current and future SASs. Successful implementation of the unique sharing model adopted in the band will provide the American consumer with access to additional spectrum resources.
- 3.7-4.2 GHz Auction and Post-Auction Implementation – The Chairman intends to commence an FCC-run auction of flexible-use licenses for 280 MHz of spectrum in this band, with bidding to start before the end of calendar year 2020. Following that auction, Commission staff would then undertake the statutorily required process to evaluate and grant such applications, where warranted. The Commission would also need to oversee the process of transitioning incumbent Fixed Satellite Services (FSS) out of the 280 MHz that has been auctioned in order to enable new flexible-use licensees to deploy. Under all of the transition proposals currently in the record, overseeing this process would involve Commission staff resources in FY 2021 and beyond.

- Other Auction Development and Implementation – The Commission needs to make additional changes to the auction bidding system for other planned auctions that could include an AWS-3 re-auction, auction of bands made available for flexible terrestrial use in the Spectrum Frontiers proceedings, auction of the 2.5 GHz band, potential auctions of licenses for mid-band spectrum (including 3.7-4.2 GHz), as well as other bands identified by the Mobile Now Act and the 30 megahertz required by the Pipeline Act. In particular, substantial Commission staff resources in FY 2019 were dedicated to preparation for auctions related to Spectrum Frontiers bands and potential mid-band auctions, which may involve novel requirements related to sharing with federal users and/or transitioning incumbents out of specific frequencies, tracking satellite earth station placements, and other issues. This work has continued into FY 2020 and the Commission expects a substantial amount of activity will occur in FY 2021 as well.
- SAS/ESC Testing for 3.5 GHz and Beyond – The Spectrum Access System (SAS)/Environmental Sensing Capability (ESC) are necessary components to facilitate additional non-federal access to spectrum in the 3.5 GHz band and are necessary to protect incumbent Federal operations. These systems will be launched first for the 3.5 GHz band and may have additional applications in the future. Because the SASs will work as dynamic frequency coordinators for a complex ecosystem of devices, we need to ensure they operate properly and consistently with the FCC’s rules prior to approval. Once the SASs and ESCs are approved for use in the 3.5 GHz band, the Commission will continue to monitor and analyze their operations to ensure compliance with the rules and identify opportunities for improving non-federal access to the 3.5 GHz band and, potentially, other spectrum bands. The Commission will engage in additional research (e.g., spectrum monitoring) to refine its understanding of the spectral environment and facilitate more robust and efficient use of spectrum resources.
- Optimization for New Spectrum Opportunities – The optimization team will help the Commission analyze and study options for using complex mathematical optimization techniques for making new spectrum licenses available through new auction formats including overlay licenses, transitioning incumbents out of repurposed spectrum bands while assuring continued service to their customers, and other ways to implement spectrum sharing scenarios, to ensure we are maximizing the amount of useful commercial spectrum. They will develop optimal band plans accommodating incumbent uses and demonstrate the value of additional clearing or sharing as necessary. This research will also provide statistical and technical computation, analysis, simulation, and modeling, including geographic data and mapping, related to auctions.
- Spectrum Visualization Tools – Public Facing and Internal – Commission will develop spectrum visualization tools to provide the public and government agencies with insights into how spectrum utilization could be modified to meet growing demand for wireless broadband services, including through licenses assigned by auction. These tools will help satisfy the public’s significant interest in understanding who has licensed rights to different spectrum bands at different locations and provide the ability to manipulate and analyze this data. Federal agencies also would benefit from this information as they consider sharing/relocation options. Additionally, it is critical for internal Commission teams to have robust data, including mapping, to understand coverage and operations across the country.

- Auction Application System (formerly known as Integrated Spectrum Auctions System (ISAS)) Enhancement/Modernization – The Commission must modify the application forms for participation in each auction in response to the auction’s unique requirements. Work to modernize the auction application system will provide for new implementations of the primary auctions application software, including providing the ability to customize the form to support future auctions based on novel license eligibility requirements and auction formats.
- Universal Licensing System (ULS) Modernization – The Commission must modernize its licensing database and infrastructure to implement complex new service rules, as well as eliminate the use of outdated technology and improve reliability, security, and access to data. The system modernization efforts will allow the FCC to better support new auctions, inventory existing auction licenses, and re-auction spectrum. Early in FY 2020, the Commission awarded a two-year contract to develop a modernized system for market-based licensing and gather requirements for the site-based and personal radio services. It is currently estimated that this modernization effort will take approximately four to five years to complete.

Pursuant to 47 U.S.C. §309(a), the Commission must provide its authorizing and appropriations committees in Congress with a detailed report of the FCC’s obligations in support of the auctions program for each fiscal year of operation. The following table shows available auction cash for recent fiscal years.

Spectrum Auctions Activities

Dollars in Thousands					
	<u>FY 2015</u>	<u>FY 2016</u>	<u>FY 2017</u>	<u>FY 2018</u>	<u>FY 2019</u>
Beginning Cash Balance as of October 1	\$317,931	\$513,456	\$2,980,154	\$8,620,648	\$3,508,741
Current Year Net Cash	11,115,179	2,777,519	7,728,932	(3,929,722)	2,598,061
Less:					
Deferred Revenue as of September 30 ¹	(10,919,416)	(308,607)	(2,064,903)	(1,158,650)	(2,725,948)
Deposit Liability - Refunds as of September 30 ²	(238)	(2,214)	(2,214)	(2,214)	(2,214)
Accounts Payable ³	0	0	(21,321)	(21,321)	0
Available Cash as of September 30⁴	<u>\$513,456</u>	<u>\$2,980,154</u>	<u>\$8,620,648</u>	<u>\$3,508,741</u>	<u>\$3,378,640</u>

¹Cash associated with licenses that have not been granted as of stated date.

²Upfront auction deposits not refunded as of stated date.

³Remaining amount owed to the Incentive Auction Reverse Auction Winners.

⁴The FY 2017 amount includes approximately \$7 billion for deficit reduction when all the licenses from the incentive auction are granted. As of February 4, 2019, the Commission transferred a total of \$7.05 billion of earned auctions revenue from the incentive auction to the Public Safety Trust Fund.

Summary of Distribution of Resources - Spectrum Auctions Program

SPECTRUM AUCTIONS COST RECOVERY REIMBURSABLE AUTHORITY INCLUDING OFFICE OF INSPECTOR GENERAL

(Dollars in Thousands)

<u>Object Classification Description</u>	<u>FY 2019 Actual</u>	<u>FY 2020 Enacted</u>	<u>FY 2021 Estimates to Congress</u>
Personnel Compensation & Benefits:			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$27,330	\$28,394	\$29,386
Personnel benefits (12.0)	8,258	8,739	9,051
Subtotal - Personnel Compensation & Benefits	\$35,588	\$37,132	\$38,437
Other Expenses:			
Benefits for former personnel (13.0)	\$8	\$8	\$9
Travel & transportation of persons (21.0)	229	403	411
Transportation of things (22.0)	10	9	9
Rent payments to GSA (23.1)	5,961	6,175	5,150
Communications, utilities, & misc. charges (23.3)	2,179	2,751	2,803
Printing and reproduction (24.0)	174	184	187
Other services from non-Federal sources (25.2)	23,275	39,159	39,889
Other goods & services from Federal sources (25.3)	518	1,902	1,938
Operation & maintenance of equipment (25.7)	49,373	40,185	40,944
Supplies and materials (26.0)	3,832	4,492	4,579
Equipment (31.0)	1,006	131	134
Land and structures (32.0)	0	0	0
Insurance claims & interest (40.0)	34	5	5
Subtotal - Other Expenses	\$86,601	\$95,407	\$96,058
Total - Auctions Cost Recovery Reimbursable Authority	\$122,189	\$132,539	\$134,495

Spectrum Auctions Expenditures Report

Section 309(j) of the Communications Act permits the Commission to use funds raised from auctions to fund its auctions program, including contracts for services and costs related to personnel performing work in support of Commission auctions authorized under that section. The FCC's Office of General Counsel (OGC) and Office of Managing Director (OMD) provide direction to FCC employees attributing hours for this purpose. The House of Representatives and Senate Appropriations Committees review and set a yearly cap for the spectrum auctions program. The requested cap level for FY 2021 is \$134,495,000 to fund the following activities: further the objective of making more spectrum available for commercial use; continue post-BIA work to include the new additional requirements from the REA related to the TVBRF; upgrade and improve auctions infrastructure in preparation for future actions; and continue implementation of the Spectrum Pipeline Act of 2015 and certain provisions of the RAY BAUM'S Act. In addition, as the demand for spectrum for new technologies extends to spectrum bands previously assigned for legacy applications, creative approaches must be found to accommodate existing licensees and operations while expanding opportunities for access by new users.

The Commission's spectrum auctions program supports efficient licensing while also contributing significant funds to the U.S. Treasury for deficit reduction and providing direct support to other government programs. In particular, in the Middle-Class Tax Relief and Job Creation Act of 2012, Congress directed that proceeds from certain spectrum auctions, including auctions of licenses covering spectrum offered in the H-Block, AWS-3, and BIA, fund certain public safety-related programs and contribute to deficit reduction. Specifically, Congress directed that the net proceeds from these auctions, in addition to being used to reimburse Federal agencies for costs incurred as a result of sharing or relocating Federal spectrum assignments and to reimburse the relocation expenses of full power and Class A broadcast stations being repacked in the new TV Band following the BIA, be distributed as follows: \$135 million for a state and local First Responder Network Authority (FirstNet) implementation fund; \$7 billion for FirstNet build out; \$115 million for 911, E911, and NG911 implementation; \$300 million for public safety research; and \$20.4 billion plus any additional proceeds for deficit reduction.

As of December 2019, the Commission had raised over \$117 billion in auctions revenues since initiating the auctions program in 1994. During this period, auctions program expenses have been less than two percent of the Commission's total auctions revenues. The Commission operated the auctions program for nine years at \$85 million annually without any increase in funding, including increases for inflation. The FCC received increases in FYs 2013 through 2020 to fund the implementation costs for the BIA, REA and Spectrum Pipeline Act of 2015, and in FY 2016 to fund the necessary expenses associated with a headquarters move to a new facility to significantly reduce space consumption.

Spectrum auction planning, development, and implementation is performed agency-wide and is very information technology (IT) intensive, as reflected in our Auction Expenditure Justification Reports. For example, the Incentive Auction Task Force has drawn upon the resources and expertise of staff from across the Commission, including the Wireless Telecommunications Bureau, Media Bureau, International Bureau, Bureau of Consumer and Governmental Affairs, Office of Engineering and Technology, OMD, and OGC. Auctions funds also cover the program's share of Commission operating expenses. The Commission uses these funds to enable successful auctions and expends them in a manner consistent with statutory requirements.

Every auction is different and has specific requirements, which require careful attention to detail and planning. Since auction activities are performed agency-wide and are unique, allocating the appropriate amount of cost and overhead related to the auctions program is a challenge. In addition, the complexity of spectrum auctions has increased steadily as the Commission works through more difficult technical and policy issues. Preparation for spectrum auctions generally requires sufficient time to design, develop, and implement secure, reliable, and effective auction application, bidding, and post-auction licensing systems.

In the practice of cost accounting, costs are identified as one of the following: (1) direct cost, (2) indirect cost, or (3) generally allocated cost. The methodology for deriving the proportional share of generally allocated administrative costs to be charged to the auctions program is based on the Commission's time reporting system and Generally Accepted Accounting Principles. The allocation is based on the percentage of actual hours that employees worked to support the auction program plus the same proportional share of the employee's indirect hours (leave hours). This full time equivalent (FTE) rate is applied to costs that benefit the Commission as a whole. The items that are allocated by the FTE rate include Commission-wide IT systems, guard service, administrative facility services, supplies, furniture, equipment, and human resources training activities. The FCC has maintained an average of 14 percent for this purpose, with minor deviations.

A significant Commission auction focus in FY 2021 will be to continue post-broadcast incentive auction implementation. This work includes continuing to relocate (or "repack") 987 full power and Class A television stations and over 2,000 LPTV/translator stations with minimum disruption to the viewing public. We will also continue to make disbursements from the TVBRF to repacked full power and Class A TV stations and MVPDs, and, pursuant to the REA, to LPTV/translator stations and FM stations impacted by the post-auction repack that have become eligible for reimbursement as a result of the REA. The repacked full power and Class A television stations must vacate their pre-auction channels by July 2020, but there will be considerable continuing application review, cost reimbursement, and other transition processing required after that time for both full power and Class A stations, MVPDs, and LPTV/translator and FM stations. For example, LPTV/translator stations are not subject to the same construction deadlines as full power and Class A Stations, and a number of the full power and Class A stations who vacate their pre-auction channels are moving to interim facilities while they continue to construct their permanent facilities. Moreover, the reimbursement period for costs associated with the repack of full power and Class A stations and MVPDs, and the reimbursement of LPTV/translator stations and FM stations, is authorized by Congress to extend up to July 3, 2023.

Repacking involves reorganizing and assigning channels to the remaining broadcast television stations to create contiguous blocks of cleared spectrum suitable for flexible wireless use. The scope of the repacking component of this auction has made it a unique and computationally complex challenge that will continue to require substantial resources and engagement from the Commission until all stations are operating on their permanent facilities and the reimbursement process has been completed. Such active oversight of the process will continue to require Commission staff resources to coordinate with broadcasters to monitor broadcaster progress, identify and resolve transition-related problems and challenges, process applications, review and verify information, undertake and complete the ongoing reimbursement program and, as appropriate, conduct subsequent verifications and audits of the reimbursements. The transition also requires continued engagement of the Fund Administrator, which is overseen by Commission staff, to administer the

reimbursement of up to \$2.7 billion to the eligible broadcasters, MVPDs, LPTV/translator stations, and FM stations by reviewing cost estimates and invoices to prevent waste, fraud, and abuse.

In FY 2021, the Commission also will continue to focus on communications, education, and outreach efforts to all stakeholders in the BIA. The Incentive Auction Task Force, together with the Media Bureau and the Consumer and Governmental Affairs Bureau, will continue to provide informational materials and data for broadcast stations, MVPDs, wireless microphone operators, and unlicensed users affected by the transition. The Commission will also maintain troubleshooting guides for the Commission's existing consumer call center staff, and Consumer Q&As and Consumer Guides in multiple languages. For example, the Commission will maintain and update the comprehensive "Post-Auction Transition" section of its website that will serve as a single point of reference for all transition information for stakeholders and a "TV Rescan" landing page on its website that provides resources to assist consumers with rescanning their TVs, a consumer-friendly overview of the transition, answers common questions, and links to additional consumer resources. These efforts will continue to be maintained and updated throughout both the transition period ending in 2020 and reimbursement period ending no later than July 3, 2023.

In addition to these post-BIA efforts, the Commission continues to plan for future auctions, most notably planned and potential auctions related to reallocating bands made available in the Spectrum Frontiers proceeding to terrestrial wireless use, new auctions for Citizens Broadband Radio Service (CBRS) (3.5 GHz band) licenses and overlay licenses for white spaces in the 2.5 GHz band, possible reallocation of and auctions of licenses for a portion of the 3.7-4.2 GHz band licenses that may be made available under the Mobile Now Act, and auction of the spectrum required by the Spectrum Pipeline Act of 2015. Other auctions that may continue to be a focus for the Commission in FY 2021 include re-auctions of certain licenses previously offered and not won or returned to the Commission (including AWS-3 and unsold 600 MHz licenses from the BIA). The Commission will also continue to leverage auctions expertise and infrastructure to support reverse auctions that allocate Universal Service funding in an efficient and effective manner. Specifically, the Commission is planning to make available up to \$20.4 billion in the Rural Digital Opportunity Fund to bring fixed broadband to unserved locations and has announced a plan to make available up to \$9 billion in the 5G Fund to support deployment of mobile broadband in unserved areas. In addition, the Commission is continually working to update and modernize its auction bidding and application systems to improve their speed, flexibility, reliability, and security to support timely new auctions when additional spectrum that could be made available is identified.

In addition, in FY 2021, the Commission will continue implementation of the RAY BAUM'S Act, including working with NTIA to identify 255 megahertz of additional spectrum (subject to certain frequency and use requirements) for mobile and fixed broadband use; preparing annual reports on upcoming systems of competitive bidding; and coordinating with NTIA on initiatives related to incentivizing Federal agencies to share spectrum allocations, bidirectional sharing, and potential commercial wireless use in the 3100-3550 MHz bands; and monitoring post-auction operations in bands subject to spectrum sharing and/or transition to new flexible uses.

The actual and estimated FTE levels for the spectrum auctions program for FYs 2019 through 2021 are shown on page 15. At the end of the Spectrum Auctions section is a crosswalk showing how spectrum auctions program funds will be utilized in FY 2021.

The following two schedules provide some details of the spectrum auctions program since its inception in 1994. These schedules also provide some perspective into how much money was collected for the U.S. Treasury or for broader government use and the total cost for running the Commission's spectrum auctions program.

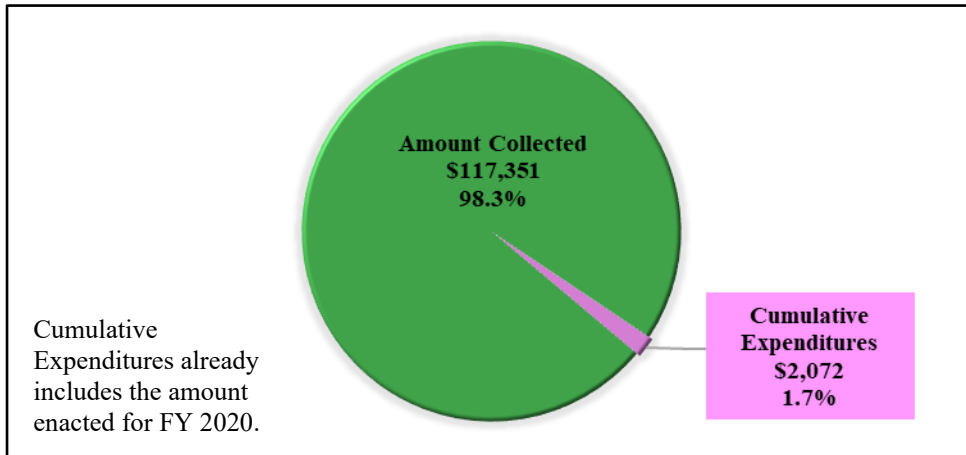
Spectrum Auctions and Collections Fiscal Years 1994 through December 2019

Fiscal Year	Number of Auctions	Number of Licenses Won	Amount Collected
1994	2	604	\$652,954,213
1995	2	129	8,234,321,194
1996	6	2,026	2,019,376,024
1997	4	1,614	2,205,922,232
1998	2	1,388	860,878,576
1999	6	1,693	499,598,688
2000	8	4,403	1,335,043,185
2001	4	3,447	583,599,901
2002	7	7,036	135,630,842
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	13,834,978,827
2007	5	293	163,429,971
2008	3	1,144	18,988,396,013
2009	2	115	5,695,861
2010	3	4,788	25,973,019
2011	3	126	31,493,200
2012	1	93	3,878,133
2013	2	3,197	5,783,780
2014	2	186	1,564,597,176
2015	2	1,611	41,756,297,008
2016	0	0	0
2017	1	2,776	19,306,458,498
2018	2	41	805,757
2019	3	5,880	2,723,513,065
Totals	93	50,088	\$117,350,869,571

Spectrum Auctions Program – Collections vs. Expenditures

Fiscal Years 1994 through December 2019

(Dollars in Millions)



Crosswalk - Summary of Changes for Spectrum Auctions Program

(Dollars in Thousands)

	FY 2020 Enacted	FY 2020 Pay Increase from CY 2020	FY 2021 Rent Decrease to Base	FY 2021 Pay Increase from CY 2020	FY 2021 1% Across-the-Board Base Pay Raise	Non-Salary Inflationary Increase ¹	FY 2021 Estimates to Congress
Consumer & Governmental Affairs Bureau	\$378	\$0	\$0	\$0	\$0	\$7	\$385
International Bureau	\$204	\$0	\$0	\$0	\$0	\$4	\$208
Media Bureau	\$12,000	\$0	\$0	\$0	\$0	\$226	\$12,226
Wireless Telecommunications Bureau	\$5,744	\$0	\$0	\$0	\$0	\$108	\$5,853
Office of Administrative Law Judges	\$1	\$0	\$0	\$0	\$0	\$0	\$1
Office of Economics and Analytics	\$8,927	\$0	\$0	\$0	\$0	\$168	\$9,096
Office of General Counsel	\$1	\$0	\$0	\$0	\$0	\$0	\$1
Office of Managing Director	\$67,975	\$0	-\$1,120	\$	\$0	\$1,254	\$68,109
Office of Media Relations	\$24	\$0	\$0	\$0	\$0	\$0	\$24
Office of Workplace Diversity	\$13	\$0	\$0	\$0	\$0	\$0	\$13
Compensation & Benefits	\$37,134	\$768	\$0	\$256	\$281	\$0	\$39,463
Office of Inspector General	\$137	\$0	\$0	\$0	\$0	\$3	\$140
TOTAL	\$132,539	\$768	-\$1,120	\$256	\$281	\$1,771	\$134,495

¹Represents estimated non-salary inflationary increase of approximately 2%.

ECONOMY ACT REIMBURSABLE AGREEMENTS

The Economy Act provides authority for Federal agencies to order goods and services from other Federal agencies and be reimbursed for costs of those goods and services. An interagency agreement is an arrangement in which one agency (Servicing Agency) provides goods or services to another agency (Requesting Agency) and receives reimbursement of costs incurred. Agencies can use interagency agreements to conduct a wide variety of operations. Interagency agreements can be routine in nature, involve the acquisition of goods or services necessary to maintain agency operations, or support a specific program.

As the Servicing Agency, the Commission enacted \$4.0 million in Economy Act Reimbursable Agreements with other Federal agencies in FY 2020. The Commission estimates that in FY 2021, the FCC's interagency reimbursable agreements will remain consistent at approximately \$4.0 million.

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FEE COLLECTIONS

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Regulatory Fees

Pursuant to 47 U.S.C. § 159, the Commission annually collects regulatory fees and retains them for Commission use to offset certain costs incurred by the Commission to carry out its functions.

These regulatory fees apply to the current holders of licenses with the FCC as of a specific date and to other entities (e.g., cable television systems) which benefit from Commission regulatory activities that are not directly associated with the FCC's application 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.

Under the provisions of 47 U.S.C. § 159, the Commission has the authority to review its regulatory fees and to adjust the fees to reflect changes in its appropriation from year to year. The FCC may also add, delete, or reclassify services under certain circumstances. Additionally, pursuant to 47 U.S.C. § 159a, the Commission may charge up to a 25% late payment penalty and dismiss applications or revoke licenses for non-payment of the fees; the Commission may also waive, reduce, or defer payment of a fee for good cause.

The Commission originally implemented the Regulatory Fee Collection Program by rulemaking on July 18, 1994. The most recent regulatory fee order was released by the Commission on August 27, 2019.

Availability of Regulatory Fees

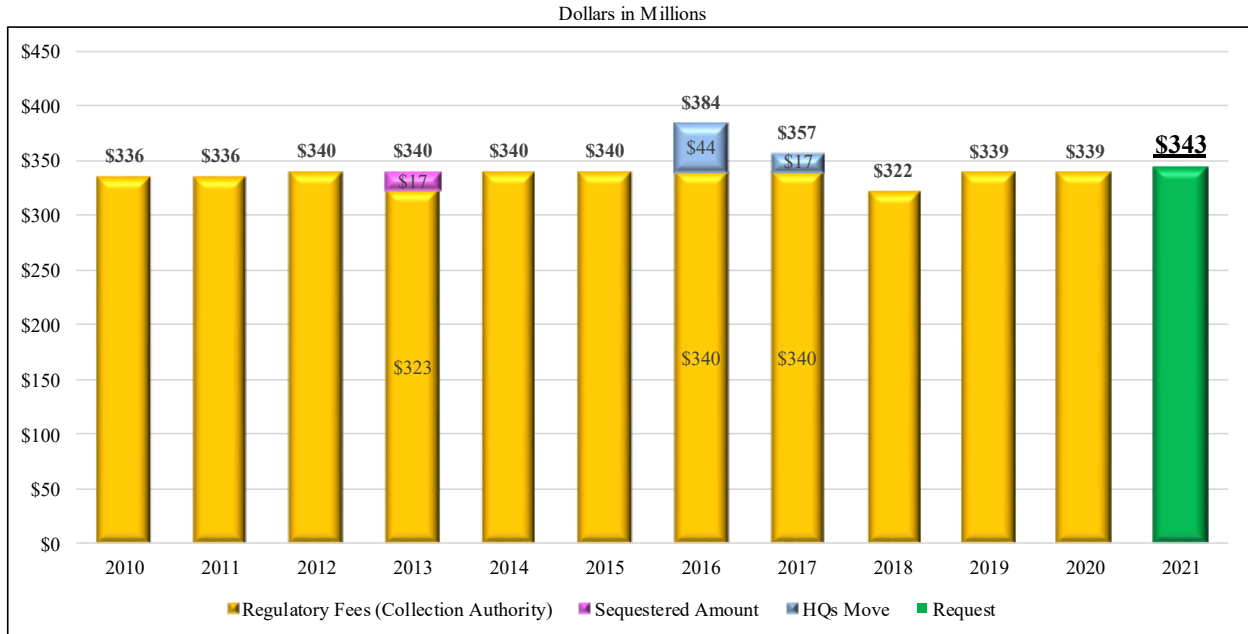
The RAY BAUM'S Act of 2018 (2018 Act) requires the Commission to transfer all excess collections to the General Fund of the U.S. Treasury for the sole purpose of deficit reduction. On October 1, 2019, the Commission transferred over \$13.7 million in excess collections from FY 2019 to the General Fund of the U.S. Treasury to be used for deficit reduction.

The Commission receives an annual Salaries and Expenses appropriation. On March 1, 2013, the Office of Management and Budget (OMB) issued a report to Congress on sequestration for FY 2013. For the FCC, this translated into a \$17 million reduction in new budgetary authority. The sequestered amount is currently maintained in the Commission's no-year account, which indicates that the unobligated balances brought forward exclude \$17 million in unavailable balances of funds temporarily sequestered in FY 2013.

The FY 2021 request level for regulatory fees is \$343.07 million, which is an increase of \$4.07 million or 1.2 percent from the FY 2020 appropriated level of \$339 million. These regulatory fee levels will support Commission-wide goals that will allow the Commission to serve the American public in an efficient, effective, and responsive manner. The distribution of budget authority from offsetting collections from regulatory fees is illustrated in the following graph.

Historical Distribution of Appropriated Budget Authority – Regulatory Fees

The following graph depicts the historical distribution of appropriated budget authority since FY 2010.

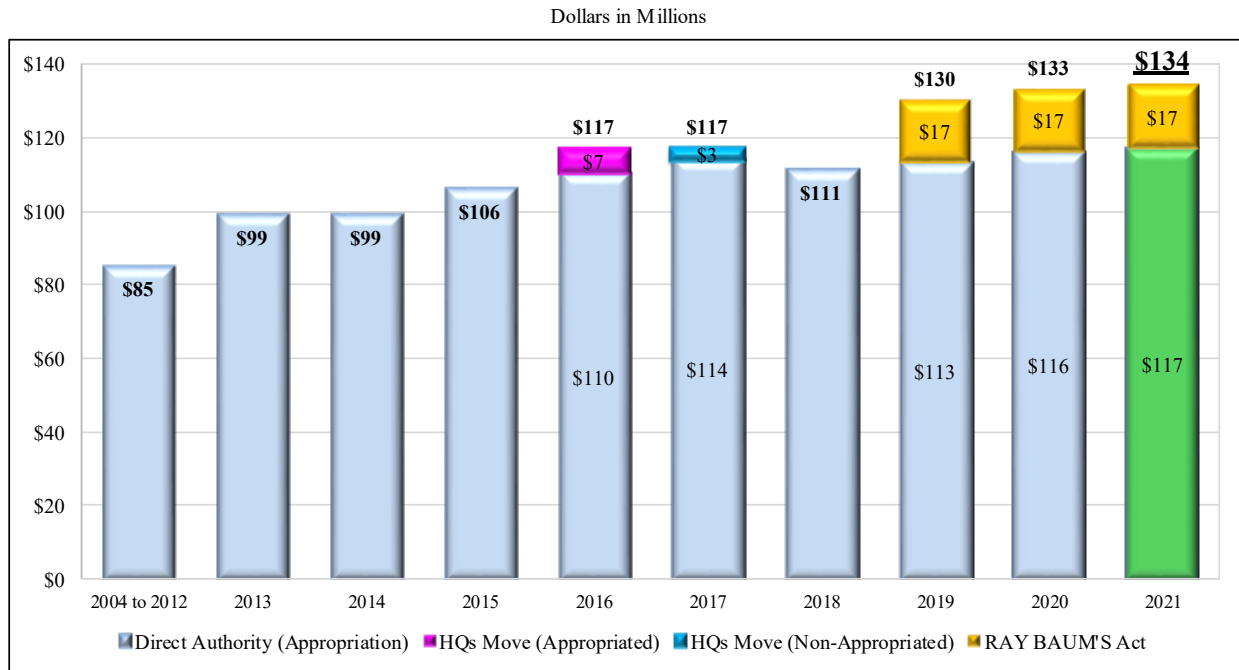


For FYs 2016 and 2017, \$44 million and \$17 million, respectively, represent amounts provided for the necessary expenses associated with moving the FCC headquarters to a new facility to significantly reduce space consumption.

In FY 2013, FCC's appropriated budget authority was reduced by \$17 million due to the FY 2013 sequestration order implemented on March 1, 2013 as required by the Budget Control Act of 2011. The total amount shown for FY 2013 in the above graph includes the \$17 million sequestered amount.

Historical Appropriated Budget Authority – Spectrum Auctions Program

The following graph depicts the historical appropriated budget authority for the spectrum auctions program since FY 2004.



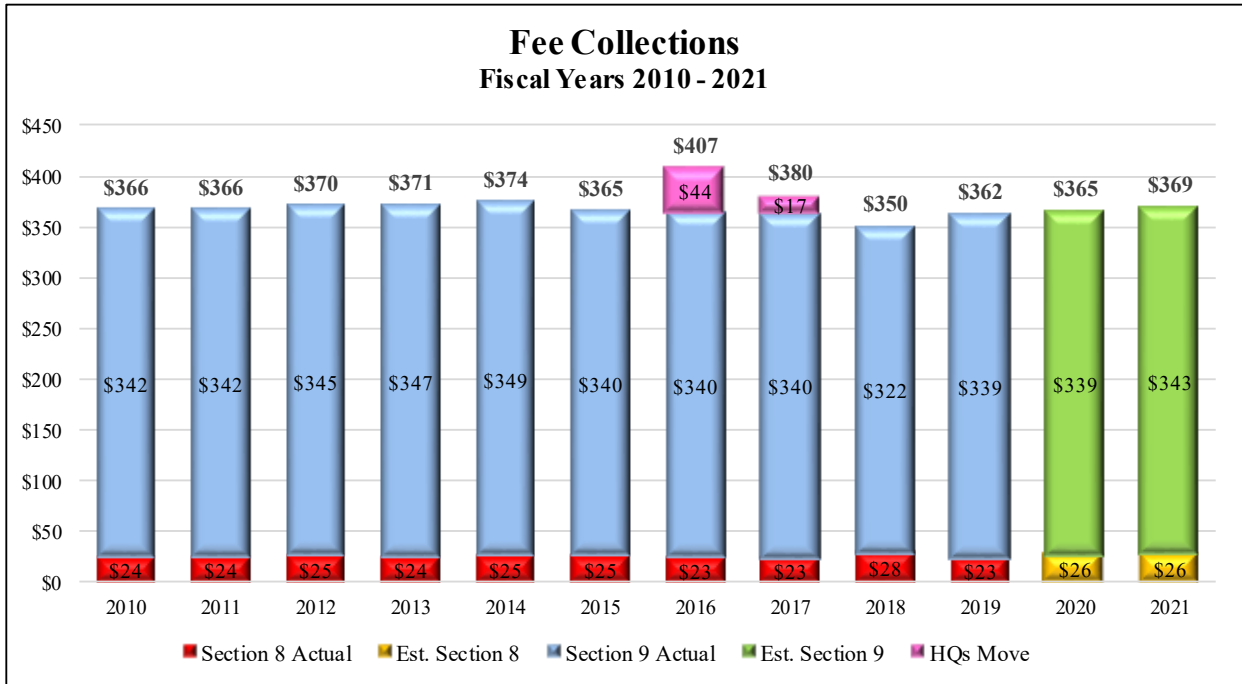
The FY 2021 column represents amount requested.

For FY 2016, \$7 million represents an amount provided by appropriation for the necessary expenses associated with moving the FCC headquarters to a new facility to significantly reduce space consumption. For FY 2017, \$3 million represents an amount the Commission reserved to ensure adequate funds are available based on GSA's initial estimates.

Application Processing Fees

Pursuant to 47 U.S.C. § 158, since FY 1987, the Commission has collected and deposited application processing fees, often referred to as Section 8 fees, into the General Fund of the U.S. Treasury. These fees are intended to recover a substantial portion of the costs of the Commission's application 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 commercial 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). The most recent Order increasing application fees to reflect changes in the CPI index was adopted by the Commission on July 6, 2018 and released on July 10, 2018. This adjustment complies with the statutory formula set forth in Section 8(b). Application Processing Fee Collections (Section 8) and Regulatory Fee collections are summarized in the following graph.



For FYs 2016 and 2017, \$44 million and \$17 million, respectively, represent amounts provided for the necessary expenses associated with moving the FCC headquarters to a new facility to significantly reduce space consumption.

The RAY BAUM'S Act of 2018 substantially amended Section 8 of the Communications Act (47 U.S.C. § 158) and provided an effective date of October 1, 2018 for those changes. Congress provided that application fees in effect on the day before the effective date of the RAY BAUM'S Act shall remain in effect until such time as the Commission adjusts or amends such fees. Moving forward after October 1, 2018, the Commission's next amendment of the schedule of application fees will be based on the updated requirements in Section 8 of the Communications Act as amended by the RAY BAUM'S Act.

PERFORMANCE PLAN

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PERFORMANCE PLAN

Mission

As specified in section one of the Communications Act of 1934, as amended, the Federal Communications Commission's (FCC or Commission) 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."⁴ 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."⁵

Vision Statement

The FCC's vision is to develop a regulatory environment to encourage the private sector to build, maintain, and upgrade next-generation networks so that the benefits of advanced communications services are available to all Americans. The FCC will work to foster a competitive, dynamic and innovative market for communications services through policies that promote the introduction of new technologies and services and ensure that Commission actions promote entrepreneurship and remove barriers to entry and investment. The Commission will also strive to develop policies that promote the public interest, improve the quality of communications services available to those with disabilities, and protect public safety.

About the Federal Communications Commission

The FCC is an independent regulatory agency of the United States Government. The FCC is charged with regulating interstate and international communications by radio, television, wire, satellite, and cable. The Commission also regulates telecommunications and advanced communication services and video programming for people with disabilities, as set forth in various sections of the Communications Act.

The FCC is directed by five Commissioners appointed by the President and confirmed by the Senate for five-year terms, except when filling the unexpired term of a previous Commissioner. Only three Commissioners can be from the same political party at any given time. The President designates one of the Commissioners to serve as Chairman.

The FCC is organized by function. There are seven Bureaus and ten Offices. The Bureaus and the Office of Engineering and Technology process applications for licenses to operate facilities and provide communications services; analyze complaints from consumers and other licensees; conduct investigations; develop and implement regulatory programs; and organize and participate in hearings and workshops. Generally, the Offices provide specialized support services. The Bureaus and Offices are:

- **The Consumer & Governmental Affairs Bureau** develops and implements consumer policies, including disability access and policies affecting Tribal nations. The Bureau serves as the public face of the Commission through outreach and education, as well as responding to consumer inquiries and informal complaints. The Bureau also maintains collaborative partnerships with state, local, and

⁴ 47 U.S.C. § 151.

⁵ *Id.*

Tribal governments in such critical areas as emergency preparedness and implementation of new technologies. In addition, the Bureau's Disability Rights Office provides expert policy and compliance advice on accessibility with respect to various forms of communications for persons with disabilities.

- **The Enforcement Bureau** enforces the Communications Act and the FCC's rules. It protects consumers, ensures efficient use of spectrum, furthers public safety, promotes competition, resolves intercarrier disputes, and protects the integrity of FCC programs and activities from fraud, waste, and abuse.
- **The International Bureau** administers the FCC's international telecommunications and satellite programs and policies, including licensing and regulatory functions. The Bureau promotes pro-competitive policies abroad, coordinating the FCC's global spectrum activities and advocating U.S. interests in international communications and competition. The Bureau works to promote high-quality, reliable, interconnected, and interoperable communications infrastructure on a global scale.
- **The Media Bureau** recommends, develops, and administers the policy and licensing programs relating to electronic media, including broadcast, cable, and satellite television in the United States and its territories.
- **The Public Safety & Homeland Security Bureau** develops and implements policies and programs to strengthen public safety communications, homeland security, national security, emergency management and preparedness, disaster management, and network reliability. These efforts include rulemaking proceedings that promote more efficient use of public safety spectrum, improve public alerting mechanisms, enhance the nation's 911 emergency calling system, and establish frameworks for communications prioritization during crisis. The Bureau also maintains 24/7 operations capability and promotes Commission preparedness to assist the public, first responders, the communications industry, and all levels of government in responding to emergencies and major disasters where reliable public safety communications are essential. Finally, the Bureau coordinates the Commission's national security mission and consults with the Defense Commissioner pursuant to 47 CFR § 0.181 of the Commission's rules.
- **The Wireless Telecommunications Bureau** is responsible for wireless telecommunications programs and policies in the United States and its territories, including licensing and regulatory functions. Wireless communications services include cellular, paging, personal communications, mobile broadband, and other radio services used by businesses and private citizens.
- **The Wireline Competition Bureau** develops, recommends, and implements policies and programs for wireline telecommunications, including fixed (as opposed to mobile) broadband and telephone landlines, striving to promote the widespread development and availability of these services. The Bureau has primary responsibility for the Universal Service Fund which helps connect all Americans to communications networks.
- **The Office of Administrative Law Judges** is composed of one judge (and associated staff) who presides over hearings and issues decisions on matters referred by the FCC.

- **The Office of Communications Business Opportunities** promotes competition and innovation in the provision and ownership of telecommunications services by supporting opportunities for small businesses as well as women and minority-owned communications businesses.
- **The Office of Economics and Analytics** is responsible for expanding and deepening the use of economic analysis into Commission policy making, for enhancing the development and use of auctions, and for implementing consistent and effective agency-wide data practices and policies. The Office also manages the FCC's auctions in support of and in coordination with the FCC's Bureaus and Offices.
- **The Office of Engineering and Technology** advises the FCC on technical and engineering matters. This Office develops and administers FCC decisions regarding spectrum allocations and unlicensed devices and coordinates use of the spectrum with the Executive Branch. The Office also grants equipment authorizations and experimental licenses.
- **The Office of the General Counsel** serves as the FCC's chief legal advisor.
- **The Office of the Inspector General** conducts and supervises audits and investigations relating to FCC programs and operations.
- **The Office of Legislative Affairs** serves as the liaison between the FCC and Congress, as well as other Federal agencies.
- **The Office of the Managing Director** administers and manages the FCC.
- **The Office of Media Relations** informs the media of FCC decisions and serves as the FCC's main point of contact with the media.
- **The Office of Workplace Diversity** ensures that the FCC provides employment opportunities for all persons regardless of race, color, sex, national origin, religion, age, disability, or sexual orientation.

Strategic Goals

The FCC is responsible to Congress and the American people for ensuring a vibrant competitive marketplace driven by policies that create an environment for innovation, investment, better products and services for consumers, lower prices, more job creation, and faster economic growth. The FCC must also provide leadership to assure that the communications needs of public safety officials are met; promote the universal availability and deployment of broadband and telecommunications services; make communications services accessible to all people; and protect and empower consumers in the communications marketplace. For fiscal year (FY) 2018, the Commission revised its strategic goals to reflect the agency's focus on expanding broadband deployment and promoting innovation in the communications marketplace. The Commission's strategic goals are:

1. Closing the Digital Divide
2. Promoting Innovation
3. Protecting Consumers & Public Safety
4. Reforming the FCC's Processes

What the FCC Commits to Accomplish in FY 2021

To implement its strategic goals, the FCC has identified several underlying strategic objectives. Each strategic objective has associated performance goals and targets.

Strategic Goal 1: Closing the Digital Divide

Strategic Objective 1.1: Expand broadband deployment in all parts of the country, including hard-to-serve areas, rural areas, and Tribal lands, and reduce the digital divide across America by creating a light-touch regulatory environment that maximizes private sector investment in broadband.

Performance Goals and Targets:

- 1.1.1 Expand facilities-based competition among providers of voice, data, and other communications services, domestic and international, by adopting pro-competitive rules.
 - Continue to promote, and defend an Internet free from unnecessary regulatory requirements, in order to facilitate innovation and investment in the markets for broadband services.
 - Collect broadband deployment data and provider certifications in the Digital Opportunity Data Collection, which is a new data collection that will allow the Commission to more accurately target universal service support to promote competition and deploy broadband by collecting more precise, granular broadband availability data, including a mechanism for incorporating public feedback into the maps.
 - Ensure data collected and used to monitor voice and broadband marketplaces through the Digital Opportunity Data Collection, FCC Form 477 and other avenues are accurate, reliable and useful to the Commission, Congress, the industry, and the public by analyzing data after each filing to identify potential issues and conducting outreach with filers as appropriate to clarify or resolve them.
 - Work to eliminate unnecessary rate regulation through rulemaking proceedings.
 - Continue working with the Federal-State Joint Board on Separations to update the FCC's rules to better reflect prior deregulatory actions.

- Continue reviewing and investigating tariffed rates to ensure that they are just and reasonable.
 - Continue working to advance resolution of the proposals raised in the 8YY Reform Notice of Proposed Rulemaking.
 - Promote the understanding and analysis of communications marketplaces by making FCC data accessible, current, and easy to use.
- 1.1.2 Ensure that broadband networks are deployed to all American consumers, including those in rural, insular, and high cost areas.
- Implement rules and procedures designed to expand broadband service to unserved Tribal areas, consistent with the requirements of the RAY BAUM’S Act.
 - Disseminate information to Tribal leaders and communities that enables them to participate in the development of and to benefit from policies designed to expand broadband deployment and adoption.
 - Award support and monitor progress to achieve a robust and resilient voice and broadband network in Puerto Rico and the U.S. Virgin Islands.

Strategic Objective 1.2: Reduce and remove regulatory burdens and barriers to infrastructure investment and provide opportunities for innovation in broadband services and technologies by developing a flexible approach that will modernize, reform, and simplify the Universal Service Fund (USF) programs to facilitate affordable broadband deployment.

Performance Goals and Targets:

- 1.2.1 Efficiently support broadband deployment where it is most needed by implementing USF reverse auctions that use market-based funding mechanisms that are grounded in sound economics.
- Commence a reverse auction to award support for high-speed fixed broadband-capable networks through the \$20 billion Rural Digital Opportunity Fund.
 - Implement measures to promote greater program efficiencies, certainty, and predictability for rate-of-return carriers.
 - Support the Commission’s broadband deployment efforts by disseminating information about the auctions process, particularly to small, women, and minority-owned communications businesses.
- 1.2.2 Decrease the cost and expedite the construction of next-generation networks by removing regulatory barriers to broadband deployment.
- Accelerate the deployment of modern infrastructure by streamlining the regulatory processes that govern that deployment.
 - Work collaboratively with Tribal Nations and intergovernmental organizations to implement new rules for streamlining historical and environmental reviews to balance the assessment and remediation of significant impacts with the reduction of unnecessary economic burdens on companies deploying infrastructure needed to close the digital divide for American consumers.
 - Take steps during FY 2021 to continue implementing the deregulatory framework of the Business Data Services (BDS) Order.

- Continue working to advance resolution of rulemaking proceedings addressing access charge reforms that may reduce carriers' incentives to continue to rely on Time Division Multiplexing (TDM)-based services.
- Ensure that the network change notification process does not impose unnecessary burdens when carriers retire legacy copper facilities and transition to next-generation fiber networks by mandating the use of the Commission's current procedures and requiring complete and timely copper retirement filings to facilitate incumbent local exchange carrier (LEC) network changes consistent with each carrier's copper retirement plan.
- Implement an interagency coordination process for Federal agencies that have submarine cable-related permits and licenses to facilitate timely deployment and protection of submarine cable infrastructure during FY 2021.

Strategic Objective 1.3: Reduce the digital divide and bring the benefits of the digital age to all Americans by ensuring that effective policies utilizing basic principles of economics are in place to promote entrepreneurship and expand economic opportunity.

Performance Goals and Targets:

1.3.1 Ensure appropriate assessment of costs and benefits of actions taken to reduce the digital divide, promote entrepreneurship, and bring the benefits of broadband to all Americans by incorporating improved economic analysis into Commission items that address these topics.

- Develop rules or procedures to ensure that the distribution of universal service support for mobile services takes into account economic challenges to mobile wireless infrastructure deployment in rural America.
- Evaluate feedback by stakeholder groups regarding opportunities to streamline or eliminate infrastructure siting requirements.
- Continue to facilitate streamlined government regulation of wireless infrastructure deployment to reduce the costs of deployment; provide market-driven incentives for private sector investment in greater coverage and capacity of networks; and work with state and local governments to better align regulations and fees on new wireless infrastructure with the costs of protecting legitimate local interests in land management and public safety.

1.3.2 Foster an environment that will encourage participation in broadband markets by new and non-traditional participants.

- Create certainty among providers that receive high-cost support by administering a process to adjust deployment obligations, consistent with the actual number of locations in a supported service area.
- Continue working on reforming the existing intercarrier compensation regime to reduce or eliminate rules that may be discouraging investment in newer, non-TDM-based technologies.
- Administer funding to CAF II auction winners using a variety of technologies to provide broadband and voice services in high-cost areas.
- Establish rules and procedures that will support the preservation and expansion of mobile wireless voice and broadband services by a variety of mobile providers in rural America.
- Act on pending non-geostationary and geostationary broadband satellite system and earth station applications and streamline the rules that apply to the operation of those systems by the end of FY 2021.

- Implement newly adopted rules in the “small satellite” proceeding to facilitate the deployment of services from small satellites by the end of FY 2021.
- Implement changes to streamline and make more transparent Executive Branch review of applications with reportable foreign ownership to expedite FCC action on such applications by the end of FY 2021.
- Host a workshop to disseminate information about the digital divide and related issues, with a focus on small, women, and minority-owned communications businesses.
- Provide Tribal governments with information that will enable them to identify opportunities to participate in broadband markets, and to evaluate alternative models for structuring that participation.

Strategic Objective 1.4: Reduce the digital divide, create incentives for providers to connect consumers in hard-to-serve areas, meet consumer demand for mobile connectivity, and bring the benefits of communications services to all Americans by developing and implementing flexible, market-oriented policies related to the assignment and use of spectrum.

Performance Goals and Targets:

- 1.4.1 Encourage facilities-based competition, continue to embrace a flexible use policy for spectrum, and free up spectrum for mobile broadband by pursuing spectrum allocation and license assignment policies to achieve the effective and efficient use of spectrum.
- Adopt service rules for licensing of additional bands of millimeter-wave spectrum, mid-band spectrum, and other spectrum to facilitate deployment of next-generation services.
 - Hold two spectrum auctions to make more spectrum available for 5G, the next generation of wireless connectivity, including an auction of 280 megahertz of spectrum in the C-band (3.7-4.2 GHz).
 - Ensure that the FCC’s decision-making process includes, where appropriate, consultation with Tribal Nations regarding potential impact and concomitant new and enhanced opportunities and outcomes of spectrum allocation and license assignment policies.
 - Review internal proposals to improve the efficiency of spectrum use.
 - Promote compliance with rules designed to maximize the effective and efficient use of spectrum by taking enforcement action in appropriate cases.
 - Make timely progress on potential repurposing of Federal spectrum to commercial use by processing of all Spectrum Pipeline Plans submitted by Federal agencies for potential relocation of their radio operations to other bands within 120 days.
 - Meet the statutory requirements of the MOBILE NOW Act by evaluating and reporting on spectrum use on a timely basis and repurposing and reallocating spectrum to support next generation mobile broadband.
 - Support the Commission’s spectrum use efforts by disseminating information about the assignment and use of spectrum to small, women, and minority-owned communications businesses.
 - Take final action on all outstanding requests for changes to the incentive auction plan in the border areas with Mexico during FY 2021.
- 1.4.2 Continue post-incentive auction (IA) repacking and reimbursement efforts for broadcasters.

- Continue post-IA broadcast transition for full power, Class A stations that received new channel assignments as a result of the IA, the FM broadcast stations implicated by the transition of full power and Class A stations, and the low power (LPTV) and TV translator stations provided displacement relief as a result of the repack in order to make spectrum available for deployment of mobile broadband services by carriers who purchased it in the IA.
- Continue licensing for full power, Class A, LPTV, and TV translator stations assigned to new channels in the post-incentive auction repack or displaced by the repack.
- Continue administering reimbursements from the \$2.75 billion TV Broadcaster Relocation Fund for eligible costs incurred by full power, Class A, LPTV, TV translator and FM stations, and multichannel video programming distributors in a manner that assures prompt payment, equity, and fairness among eligible stations, and minimizes the possibility of waste, fraud, and abuse.
- Continue to investigate, verify, and initiate actions on potential violations of the post-IA reimbursement rules.
- Continue implementation of a comprehensive consumer education strategy, using the funds provided by Congress as well as existing resources and staff, to ensure such consumers are made aware of and can take the steps necessary to continue to receive their local TV stations once they transition to their new channels, including rescanning over-the-air television sets.

1.4.3 Conduct effective and timely spectrum licensing and equipment authorization activities.

- Resolve at least 8,000 applications filed by television and radio licensees during FY 2021.
- Continue the review process of television and radio stations seeking to renew their licenses for another 8-year term by requiring all stations in at least 15 states to file renewal applications by set deadlines.
- Undertake pre-auction planning and implementation efforts to support auctions of available broadcast construction permits.
- Resolve 90% of equipment authorization inquiries in less than 30 days to ensure timely authorization of innovative and compliant products in the marketplace.
- Conduct semi-annual meetings with Telecommunication Certification Bodies to review test procedures and provide training on new technologies.
- Take enforcement action in appropriate cases against violations of spectrum-related rules, such as interference, unauthorized use of frequencies, and marketing of unauthorized equipment.
- Investigate and prioritize actions on allegations of violations of the Commission's spectrum licensing and equipment authorization rules and take appropriate enforcement action on 95% of apparent violations within one year.
- Process at least 95% of routine spectrum license applications within 90 days of receipt.

Strategic Objective 1.5: Reduce the digital divide by building awareness about the benefits of connectivity and providing consumers with education and the information necessary to drive greater broadband adoption.

Performance Goals and Targets:

- 1.5.1 Launch a national consumer awareness and education campaign focusing on broadband adoption with specific emphasis on populations where adoption lags.
- Create a series of new, innovative, and accessible guides, animated videos, and publications, including translation for low English proficiency populations.
 - Develop an outreach program of events and webinars, and email messaging campaigns to build awareness and knowledge about the benefits of broadband in rural and other underserved communities.
- 1.5.2 Launch geographically locally-focused and targeted programs of consumer outreach activities and events based on the Rural Digital Opportunity Fund Auction and other carrier commitments to the Commission for new deployment in specific areas based on USF high-cost support mechanisms.
- Coordinate the timing of geographically-focused micro-outreach campaigns in concert with new carrier deployment.
 - Develop an outreach program of events, local partnership engagements, email campaigns, and webinars to build awareness and knowledge about the benefits of broadband in areas where new carrier deployment has or soon will occur.

Strategic Goal 2: Promoting Innovation

Strategic Objective 2.1: Ensure flexibility in the decision-making process and advance the networks of the future and the innovative new products and services that take advantage of those networks, by removing barriers to innovation and investment.

Performance Goals and Targets:

- 2.1.1 Allow television broadcasters to innovate, leverage the power of the Internet, and fully enter the digital era by implementing the next generation broadcast standard.
- Encourage broadcaster innovation in delivering new services, including hybrid services involving both broadband and broadcasting delivery.
 - Continue to accept applications from television broadcasters seeking to use the Next Generation TV transmission standard, ATSC 3.0, on a voluntary, market-driven basis.
 - Review existing media rules in light of the current media environment and update as necessary to remove barriers to innovation and investment.
- 2.1.2 Foster innovation and promote the efficient use of spectrum by ensuring a competitive and vibrant unlicensed ecosystem.
- Authorize the use of more spectrally efficient technologies and identify additional frequency bands for unlicensed operations.
 - Initiate action on 50% of incoming waiver requests within 6 months, and 90% within one year.

- Promote innovative uses of unlicensed technologies in mid-band spectrum.

2.1.3 Allow new services and technologies to come to market by expediting processes.

- Adopt comprehensive update of Commission rules regarding orbital debris standards and practices by the end of FY 2021.
- Approve regional recommendations in the International Telecommunications Union promoting harmonized frequency arrangements for mobile broadband systems providing economies of scale and facilitating deployment and cross-border coordination.
- Advance studies in the International Telecommunications Union that support U.S. industry priorities and foster an international regulatory environment for the development of new technologies and radiocommunication services in preparation for the next World Radiocommunication Conference.
- Implement changes to streamline and make more transparent Executive Branch review of applications with reportable foreign ownership to expedite FCC action on such applications by the end of FY 2021.
- Enhance effective collaboration with other Federal agencies to foster the innovative use of existing spectrum through the introduction of new technologies and services.

Strategic Objective 2.2: Take targeted action to address real problems in the marketplace instead of imposing broad, preemptive regulations to address hypothetical harms.

Performance Goals and Targets:

2.2.1 Promote a flexible approach to oversight and foster investment in 5G networks by considering actions that address problems in the marketplace. Decisions will be fact-based, relying on economic analysis, ongoing fact-gathering initiatives and data analysis.

- Adopt an item making additional mid-band spectrum available for wireless broadband development.
- Hold two spectrum auctions to make more spectrum available for 5G.
- Investigate allegations of spectrum interference and take appropriate enforcement action on 95% of apparent rules violations within one year.

2.2.2 Promote investment in infrastructure and 5G networks by eliminating unnecessary administrative burdens.

- Work with the Advisory Council on Historic Preservation to propose implementation of a program comment to streamline compliance with or eliminate certain requirements of the National Historic Preservation Act reviews of certain wireless infrastructure deployments.

2.2.3 Work to promote a high-quality, globally interconnected communications infrastructure through international telecommunications and satellite programs and policies.

- Work with the Commission's counterparts in other countries and advise on best practices in communications policy.

- In coordination with other Federal agencies, develop and advance spectrum proposals for the next World Radio Conference (WRC) and take initial steps necessary to implement the results of the WRC-19 during FY 2021.
- In coordination with other Federal agencies, seek to promote policies that are consistent with FCC regulatory rules and policies at the International Telecommunication Union.
- In coordination with other Federal agencies, encourage other countries to use only trusted vendors when developing 5G networks.
- Streamline and update rules for licensing submarine cables to facilitate timely deployment of undersea broadband facilities during FY 2021.

Strategic Goal 3: Protecting Consumers and Public Safety

Strategic Objective 3.1: Improve communications services for all Americans, including those with disabilities, by developing and implementing an aggressive consumer agenda.

Performance Goals and Targets:

3.1.1 Implement proposals to target and eliminate unlawful telemarketing and robocalling.

- Ensure voice service provider implementation of SHAKEN/STIR Caller ID authentication framework to reduce high-impact fraudulent robocalls.
- Ensure that the SHAKEN/STIR Caller ID authentication framework is implemented in a manner that combats unlawful robocalling but also protects consumer privacy and the ability to make lawful calls.
- Facilitate the development of solutions that identify the makers of robocalls, mechanisms for caller ID validation, and tools to reduce high-impact fraudulent robocalls.
- Implement measures to combat unlawful robocalling while also protecting consumer privacy and the ability to make lawful calls by consulting with industry groups to monitor the governance structures and implementation of call authentication mechanisms.
- Increase, diversify and distribute print and online consumer education materials focusing on emerging and existing scams, by identifying partners and potential partners for distribution of materials in assorted community venues (e.g., libraries, schools).
- Work with other Federal agencies, as well as state and local governments, on combatting unlawful robocalls.
- Investigate allegations about violations of rules designed to protect consumers, including robocalls; take appropriate enforcement action on 95% of apparent violations within one year.
- Coordinate and share best practices with other countries on combatting unlawful robocalls.
- Reduce financial incentives to engage in robocalling by working with all carriers requesting assistance with tariff and contract revisions consistent with reforms to toll-free access charges.
- Reduce incentives to engage in phantom robocalling to toll-free numbers by adopting and/or implementing proposals to reform toll-free access charges.
- Conduct a comprehensive program of consumer education and awareness activities to reach consumers (through outreach events, train-the-trainer sessions, and establishment of strategic partnerships with community-serving entities) to identify and combat unlawful telemarketing and robocalls and to develop means to report illegal telemarketing and robocalls to provide the Commission with a more complete, real-time data set about the prevalence of such calls.

3.1.2 Improve the quality of telecommunications relay services to make them more functionally equivalent to voice services available to hearing individuals.

- Develop Video Relay Services (VRS) and Internet Protocol Captioned Telephone Service (IP CTS) performance goals and service quality metrics by the end of FY 2021.
- Decide applications and shift conditional certification for Internet-based Telecommunications Relay Service (TRS) providers to permanent status in FY 2021.
- Investigate complaints involving violations of the Commission's TRS rules and take appropriate enforcement action on 95% of apparent violations within one year.

3.1.3 Work with stakeholders to ensure that Commission proceedings consider and identify consumer protection issues and policies across different technologies and market sectors.

- Provide consumers with up-to-date, user-friendly online, print, and video publications concerning their rights, responsibilities, and service options so that they can make informed decisions.
- Leverage language translation capacity to target consumer education materials, campaigns, and alerts for multi-lingual audiences.
- Monitor trends in consumer complaints and work with interested consumer, industry, and government stakeholders to identify marketplace practices that negatively affect consumer interests and competition.
- Conduct quarterly dialogue sessions in FY 2021 with representatives of national, regional, Tribal, and local consumer advocacy organizations to socialize new and existing Commission consumer-oriented policies and develop future areas for collaboration on consumer protection issues and policies. Such sessions can be in the form of webinars that focus on separate Commission consumer initiatives and policies.

3.1.4 Implement actions to ensure that individuals with disabilities can access video programming.

- Ensure that transitions to new standards, such as Advanced Television Systems Committee (ATSC) 3.0, continue to provide consumers with disabilities with access to video programming through closed captioning, video description, accessible emergency information, and accessible user interfaces.

Strategic Objective 3.2: Support the ability of first responders, including law enforcement, by developing and implementing policies and procedures to strengthen public safety.

Performance Goals and Targets:

3.2.1 Combat the use of contraband cellphones in correctional facilities by developing reforms and examining other technological solutions.

- Take steps to propose new rules or facilitate voluntary industry solutions to reduce the use of contraband cellphones in correctional facilities.

3.2.2 Adopt public safety spectrum policies that facilitate interoperable communications by first responders.

- Analyze existing rules to determine whether the process for establishing interoperability agreements between Federal agencies and state, local, territorial, and Tribal public safety agencies on Federal and non-Federal channels can be made more efficient.
- Evaluate and establish a means for renewing the license held by the First Responder Network Authority (FIRSTNET).

3.2.3 Implement an integrated regulatory framework that facilitates faster emergency response, leverages technological advancements, and promotes the rapid deployment of Next Generation 911 (NG911).

- Implement the rules adopted in 2019 in response to Kari's Law regarding direct 911 dialing and notification requirements for Multi-Line Telephone Systems (MLTS).
- Implement dispatchable location requirements for MLTS, fixed telephony, interconnected VoIP, TRS, and mobile text adopted in 2019 pursuant to Section 506 of the RAY BAUM'S Act.
- Continue to implement the Congressional mandate for 56 states and territories to report annually on 911 fee expenditures to help ensure that 911 fees collected by states and territories are used to fund 911 expenses and facilitate the advancement of NG911.
- Conduct a rulemaking process to determine how wireless 911 calls may be routed more rapidly to the proper 911 call center to ensure that 911 callers can be located expeditiously by public safety answering points (PSAPs) and emergency responders.
- Advance 911 location services by continuing to implement the Commission's 2015 Location Accuracy rules and monitoring whether Commercial Mobile Radio Services providers are meeting their benchmarks to provide x/ y location within 50 meters or dispatchable location for 80% of all wireless 911 calls in FY 2021.
- Support PSAPs in updating the Master PSAP registry and providing notice to carriers when a given PSAP is text-to-911 capable.
- Maintain public-facing communication mechanisms, such as specific FCC email accounts that support PSAPs and emergency responders.

Strategic Objective 3.3: Improve public safety and communications reliability across the country and advance access to public safety and emergency communications by developing and implementing policies using a broad range of technologies.

Performance Goals and Targets:

3.3.1 Promote the nationwide availability of reliable and effective 911, Enhanced 911 (E911), and NG911 service by developing and implementing policies that will ensure the reliability, resiliency, and security of communications networks, particularly for 911 and NG911 networks.

- Further delineate, through Commission rules or policies, the technical responsibilities of participants in the NG911 ecosystem, including: originating service providers, system service providers, Emergency Services IP networks (ESInets) and PSAPs.

- Promote compliance with the Commission’s rules by taking action, where appropriate, on complaints and referrals concerning the Commission’s 911, E911 and NG911 rules.
 - Investigate cases involving violations of the FCC’s rules related to 911, E911 and NG911 service and take appropriate enforcement action on 100% of apparent violations within one year.
 - Promote technical assistance as appropriate to PSAPs and other state, local, and territorial government entities on issues related to 911, E911, and NG911 reliability.
 - Conduct educational sessions for state, local, Tribal, and territorial government entities presenting experts to review and explore major 911 reliability issues.
- 3.3.2 Collect and analyze outage information for communications networks and 911/NG911 networks by working with stakeholders to understand and address problems.
- Field Offices will contact complainants or otherwise initiate action on complaints raising public safety interference issues within one calendar day of filing with the FCC.
 - Review service provider compliance with the Commission’s outage reporting obligations and reports on individual outages and refer compliance issues for enforcement action where appropriate to ensure that consumers have access to advanced public safety service in an emergency.
- 3.3.3 Analyze each major outage to determine whether new practices and existing practices could have prevented the outage and could prevent future outages.
- Based on an analysis of aggregated outage data, publicly share “lessons learned” regarding voluntary best practices and other measures providers can take to help prevent similar outages in the future.
- 3.3.4 Fulfill the FCC’s responsibilities under the National Preparedness System, including support to Emergency Support Function #2 (ESF#2) – Communications. Provide situational awareness of communications systems; coordinate with industry and other Federal partners to facilitate communications network preparedness, response, and restoration by working closely with local, state, Tribal, territorial and Federal partners during a crisis.
- Respond to requests for interference resolution solutions from Federal, state, local, territorial, and Tribal law enforcement and national security partners within one day during significant disasters and incidents.
 - During incidents where ESF#2 is activated, activate the Disaster Information Reporting System (DIRS) as necessary to collect information from service providers on the status of communications, and use that information to provide daily situational awareness reports to ESF #2 agencies.
 - Take pro-active steps to expedite the processing of Special Temporary Authorizations during disasters and major incidents.
 - Implement, assess, and promote voluntary adoption by service providers of the Wireless Resiliency Cooperative Framework to increase coordination and cooperation among providers in advance of and during disasters.
 - Establish processes to facilitate the sharing of network outage information with Federal and state partners to improve situational awareness.

- Coordinate with other regulators, sector-specific agencies, and ESF#14 (Cross-Sector business and Infrastructure) to identify ways to harmonize communications infrastructure restoration practices across sectors.
 - Maintain up-to-date contacts and relationships with Tribal Nations, state, local, and territorial governments, disability groups, and consumer organizations to facilitate the dissemination of critical updates and information in the event of an emergency or disaster.
- 3.3.5 Strengthen access to emergency services and emergency public information sources during emergencies by supporting improved preparedness, reliability of communications networks, and disaster management practices.
- Work in partnership with other Federal agencies, as well as state, local, territorial, and Tribal governments to: share information on communications network status; identify and publish best practices and lessons learned for network reliability and resiliency through Public Notices and through the FCC’s network reliability website; and coordinate efforts to protect America’s safety and security to respond to network degradation or failure during disasters or emergency events.
 - Participate in interagency continuity of operations (COOP) planning and continuity of government (COG) planning, including preparations for significant public events (such as the Super Bowl and the State of the Union Address).
 - Work in partnership with PSAPs and other emergency call centers to encourage the use of text-to-911, including real-time text, for use by people with disabilities.
 - Complete the modernization of the DIRS to reduce burden on service providers that provide information on the status of communications during disasters.
 - During incidents in which ESF#2 and DIRS are activated, use information about the status of communications submitted by service providers in DIRS to provide daily public reports with certain aggregated data.
 - Streamline the Commission’s rules that address communications prioritization and update as necessary to reflect evolving technology and communications usage by national security and incident response officials.
- 3.3.6 Facilitate the effectiveness and reliability of the Emergency Alert System (EAS) and Wireless Emergency Alerts (WEA), including through encouraging the development of new alerting capabilities that leverage emerging technologies.
- Support at least one Federal Emergency Management Agency (FEMA) initiated test of the EAS and WEA to ensure continued effectiveness of these alert and warning systems.
 - Further explore, through the rulemaking process, improvements to WEA based on advancements in technology and evolving public safety stakeholders’ needs, such as earthquake early warning capabilities.
 - Launch the Alert Reporting System to reduce the paperwork burden on State Emergency Communications Committees, the voluntary entities that administer the EAS at the state level, and to allow the Commission and other authorized stakeholders to have accurate, end-to-end knowledge of how EAS alerts are propagated at the state, local, and national levels.
 - Develop a web-based system that streamlines the reporting of service providers’ elections to participate in WEA and provides relevant information to alert originators about the availability of WEA in their jurisdictions.

- Improve alert originators and other public safety stakeholders’ understanding of the availability of alerting tools through targeted outreach.

Strategic Objective 3.4: Leverage Commission expertise, situational awareness, and authorities to mitigate national and homeland security risks in coordination with interagency partners.

Performance Goals and Targets:

3.4.1 Support national security, law enforcement, and first responder operational activities during steady state, major disasters, emergencies, and significant events.

- Provide consultative support to the Defense Commissioner pursuant to section 0.181 of the Commission’s rules.
- Coordinate within the Commission and with inter-agency processes to ensure that Commission positions are included in the dialogue during steady state, major disasters, emergencies, and significant events.
- Provide Federal, state, Tribal, territorial, and local partners with critical information pertaining to the potential misuse of spectrum, communications infrastructure, and licensee status.
- Support broader information sharing and analysis to raise awareness of risks to the nation’s communications infrastructure.

3.4.2 Identify and implement methods to mitigate risks to communications reliability, resilience, and security.

- Coordinate with appropriate government entities and the private sector to identify and mitigate risks to the communications infrastructure.
- Collaborate with appropriate government entities and the private sector to develop measures to mitigate risks to the communications infrastructure.
- Conclude a proceeding to examine communications priority services rules and programs, including the Telecommunications Service Priority and Priority Access Service rules.

Strategic Goal 4: Reforming the FCC’s Processes

Strategic Objective 4.1: Serve the American public by improving the efficiency, effectiveness, and transparency of the FCC’s operations.

Performance Goals and Targets:

4.1.1 Continue to provide information about the status of matters pending before the FCC by developing and posting information online and communicating with stakeholders.

- Conduct meetings and outreach with stakeholders, including the state Members of Federal-State Joint Boards, to ensure that the Commission understands their policy concerns.
- Respond to 95% of informal consumer complaints within one business day of receipt.
- Develop and execute strategies for continued improvement and enhancement of the FCC’s informal complaint process regarding user experience and sharing of reliable complaint data.

- Use the Public Safety Support Center to receive complaints and contact complainants, or otherwise initiate action to resolve complaints of interference to public safety systems within one day of receipt of the complaint.
 - Improve access to information related to wireless licenses and authorizations, including taking steps to modernize and streamline the FCC’s Universal Licensing System (ULS) and completing the transition to electronic licensing in ULS and the Antenna Structure Registration system.
 - Continue to ensure that the FCC domestic transfer of control webpage is accurate and up-to-date in FY 2021, so as to inform all stakeholders of the status of pending transactions from the time of filing until the date of Commission action.
 - Ensure that in FY 2021, VoIP numbering resources are issued by the 31st day after the Commission releases a Public Notice stating that the application has been accepted for filing and that the webpage devoted to those applications is accurate and updated at least biweekly to inform all stakeholders of the status of pending applications from the time of filing until the date of Commission action.
 - Review 100% of incumbent LEC tariffs filed on 15 days’ notice in the Electronic Tariff Filing System in FY 2021.
 - Ensure that all new data collections are updated in the FCC data inventory and in the OMB data inventory in accordance with OMB guidelines.
- 4.1.2 Ensure that FCC regulations solve real problems at a reasonable cost by implementing the principles of regulation and requirements for regulatory impact analysis articulated in Executive Order 13563 of January 18, 2011 (Improving Regulation and Regulatory Review), and Executive Order 12866 of October 4, 1993 (Regulatory Planning and Review).
- Ensure that the Office of Economics and Analytics has reviewed each Commission rulemaking for its economic impact prior to public release in a timely manner.
 - For significant rulemakings in FY 2021 that have an annual effect on the economy of at least \$100 million, conduct a cost benefit analysis that includes an evidence-based assessment of the problem the regulation is intended to solve and an evaluation of the benefits and costs of alternative solutions.
 - For rulemakings with an annual effect on the economy of less than \$100 million, conduct a cost benefit analysis at a level of depth concomitant with the impact of the regulation.
 - Develop best practices for economic analysis of regulations, to include regulatory impact analysis.
 - Conduct at least two workshops or training classes for staff on analytical methods and best practices to perform economic analysis of regulations.
- 4.1.3 Ensure the Commission’s ability to meet its Mission Essential Functions and other critical activities during emergencies and disasters affecting FCC facilities and/or staff.
- Provide adequately trained FCC staff to meet public safety and national security requirements.
 - Participate in national-level interagency exercises to validate COG, COOP, and disaster response capabilities.
 - Provide analytical support for continuity of operations and disaster response actions when requested.

- Improve and maintain ability for Commission leadership to communicate via multiple paths (e.g., cellular, satellite, HF) during incidents that may impact segments of the communications grid.
 - Work with the interagency national security community to examine steps to improve the resiliency of national security communications requirements of all agencies.
- 4.1.4 For each program objective, ensure that the Commission adheres to all legal requirements in its operations by providing timely and accurate legal advice and representation regarding proposed and existing policies and rules within the FCC’s purview.
- Provide timely and accurate legal advice to Bureaus, Offices, and the Commission with respect to pending proceedings.
 - Promptly respond to all requests for legal advice relating to the Commission’s operations.
 - Provide FCC staff with advice relating to government ethics and ensure that all ethics inquiries are addressed in a timely manner.
 - Vigorously defend FCC rules, policies, and operations against legal challenge.
- 4.1.5 For each program objective, the Office of Economics and Analytics will support the Commission by providing expertise, guidance, and assistance to the Bureaus and other Offices in applying the principles of economic and data analysis.
- Advise the Chairman’s Office of emerging economic trends and issues relevant to the FCC’s mission.
 - Continue an active economic research program to bring state-of-the-art economic analysis to bear on matters relevant to the Commission.
 - Ensure consistent and timely public interest analysis of applications for transfer of control and assignment of licenses.
 - Ensure that analyses concerning mergers and transactions cite relevant facts, sources of information, and convey the basis for findings.

Strategic Objective 4.2: Achieve statutory objectives while reducing burdens on industry and promoting innovation and job growth by continuously reviewing the FCC’s regulatory and operational processes and significant regulations.

Performance Goals and Targets:

- 4.2.1 Implement a regulatory reform agenda guided by the principles of Executive Order 13771 of January 30, 2017 (Reducing Regulation and Controlling Regulatory Costs) and Executive Order 13579 of July 11, 2011 (Regulation and Independent Regulatory Agencies) by reviewing existing FCC regulations and eliminating those regulations that fail to solve real problems at a reasonable cost.
- Identify regulations that may be candidates for retrospective assessment by engaging stakeholders in ongoing dialogue.
 - Conduct retrospective analysis of at least three existing regulations to identify their actual benefits and costs, and record the lessons learned.

- Provide recommendations for reform of existing transaction review processes to create a more-efficient and expedited review of proposed license transfers.
- As a part of the Commission’s initiative on the modernization of media regulation, find opportunities to eliminate or modify outdated or unnecessary requirements applicable to broadcasters, cable operators, and satellite television providers in order to reduce regulatory burdens.
- As part of the modernization efforts of the Commission’s methods for assigning toll free telephone numbers, evaluate lessons learned from an initial experimental auction of 17,000 mutually exclusive toll-free numbers in the 833 code.
- Ensure that the Data Governance Board works to identify opportunities to eliminate or condense duplicative or redundant data.

4.2.2 Eliminate reports and related filing requirements that are unnecessary, duplicative, or fail to produce benefits that justify their costs by reviewing the Commission’s information collections processes.

- Complete review of part 25 streamlining proposals, including the creation of a new, unified space station and earth station authorization, and elimination of the rule that requires annual reporting requirements for geostationary-satellite orbit fixed-satellite service systems during FY 2021.
- Ensure rulemaking proceedings include review of existing regulations to identify opportunities to reduce and eliminate unnecessary, duplicative, or unbeneficial reporting and filing obligations.
- Conduct a rulemaking to reform and modernize the public safety frequency coordination process.
- Develop plans for the establishment of a centralized database for the receipt of reporting information and compensation requests under the National Deaf-Blind Equipment Distribution Program by the end of FY 2021, to reduce duplication in the delivery of such information by covered entities.

Strategic Objective 4.3: Effectively manage and modernize the FCC’s information technology (IT), financial, record keeping, facilities, and human capital resources to best achieve the FCC’s mission.

Performance Goals and Targets:

4.3.1 Make information readily available to agency management for decision-making by improving Commission systems.

- Maintain dashboards and information management systems, including systems to monitor field investigations, commercial radio and public safety complaints, consumer protection complaints, and records retention.
- Participate in ongoing dialogue with the Chairman’s and Commissioners’ offices and other Bureaus and Offices to provide information on enforcement-related issues in an efficient and timely manner.
- Conduct quarterly meetings of the Data Governance Board, which includes leadership from the Office of the Chairman, the Office of the Managing Director, the Office of Economics and Analytics, and program offices, to ensure that information obtained by implementing the

Foundations for Evidence-Based Policymaking Act is readily available to support decision-making by the Commission.

4.3.2 Carry out the agency's mission by upgrading and enhancing technology and tools used by Commission staff.

- Enhance access to real-time data for decision-making, reduce operating and maintenance costs and meet increased demand loads of public filings by continuing to migrate outdated technology-based systems and applications to cloud-based environments.
- Provide IT support for the administrative transition and physical move of the FCC's headquarters to its new building location.
- Explore technological tools to enhance accessibility, productivity, and accountability in the Federal workforce and commence migration to next-generation desk top services and end-user computing environment.
- Employ project management principles and timeline tools for the planning and preparation, as well as the conducting of Commission auctions, to improve the Commission's ability to assure the quality and timeliness of its auctions.
- Implement enhanced application, system, database, and infrastructure monitoring capabilities and develop an improved method of informing stakeholders of Commission-wide system issues and outages.
- Participate in agency-wide working groups to identify possible upgrades or enhancements to technology and tools to facilitate staff's ability to carry out the agency's mission.
- Update the FCC's IT Strategic Plan.
- Continue taking steps to modernize the FCC's auction application system, by integrating a new application type into the system.
- Continuously update the FCC's bidding systems to enable the auction of licenses for new services that will deploy new technologies to the public.
- Review existing staffing and communications processes, and explore more efficient, effective ways to communicate with stakeholders, provide enhanced transparency, facilitate meetings, and receive and respond to requests for status updates (such as electronic licensing and online dashboards reflecting status of proceedings and requests).
- Ensure full compliance with the provisions of section 508 of the Rehabilitation Act, requiring the Commission to provide accessible information and communication technology to its employees with disabilities.
- Continue to implement the Foundations for Evidence-Based Policymaking Act by conducting an annual capacity assessment of the resources available for data analysis to evaluate the need to upgrade or otherwise improve analytical technology and tools.

4.3.3 Maintain a high level of cybersecurity readiness and presence by providing FCC staff with a secure digital infrastructure.

- Ensure that all FCC staff and contractors timely complete cybersecurity training.
- Continue making upgrades to the security of the FCC's IT systems.

4.3.4 Ensure that all financial operations are helping control or contain costs, providing high quality customer service, and improving the effectiveness and efficiency of Commission operations by conducting a program of continuous review and evaluation.

- Coordinate on budget planning and execution to help ensure that auction, spectrum, and licensing activities are conducted effectively and efficiently.
- 4.3.5 Expand the role of economics and engineering at the FCC by developing workforce recruitment initiatives.
- Engage a Chief Economist and/or a Chief Technologist through the Intergovernmental Personnel Act (IPA).
 - Continue the Honors Engineer Program in FY 2021.
 - Continue agency-wide efforts to recruit economists and engineers.
- 4.3.6 Ensure that the FCC cultivates an inclusive culture that encourages collaboration, flexibility, and fairness.
- Maintain a model Equal Employment Opportunity (EEO) program for the FCC’s work environment.
 - Prepare and disseminate required annual report on diversity and inclusion, highlighting trends, accomplishments, gaps, and next steps.
 - Ensure that all employees timely complete No FEAR Act and Anti-Harassment Training.
 - Develop anti-harassment training programs to be presented on a recurring basis.

Strategic Objective 4.4: Ensure that the Universal Service Fund (USF) programs are well managed, efficient, and fiscally responsible and reduce fraud, waste and abuse.

Performance Goals and Targets:

- 4.4.1 Reduce the potential for fraud, waste, and abuse in the USF programs.
- Propose procedures for the Rural Digital Opportunity Fund auction that promote the selection of appropriate bidders.
 - Continue to ensure that processes are in place to detect and prevent ineligible subscribers from receiving Lifeline program benefits, including implementation of the National Eligibility Verifier in additional states.
 - Investigate and prioritize actions on allegations of violations of the USF rules and take appropriate enforcement action on 95% of apparent violations within one year.
 - Develop policy proposals to simplify and remove waste in the Rural Health Care program.
 - Coordinate and share information with USAC on a regular basis in FY 2020 to proactively identify and remediate opportunities for fraud, waste, and abuse in all USF programs.
 - Review and accept for filing within 14 days of a complete application, domestic section 214 transactions between incumbent telephone companies receiving high-cost USF support through different mechanisms to address potential harm to the Commission’s goal of ensuring that limited USF resources are distributed efficiently.
- 4.4.2 Ensure that the USF programs are administered efficiently and effectively by reviewing the administrative costs of the programs.

- Review internal proposals to improve the efficiency of the administration of universal service programs.
- Review all USAC IT projects commenced in FY 2021 to promote efficiency and effectiveness in USAC's operations.

4.4.3 Take steps to ensure that communications systems funded with USF programs are secure and resilient.

- Consider appropriate resilience targets in evaluating USF bids and proposals.
- Continue to ensure USF recipients refrain from purchasing network equipment from designated entities or other vendors that pose a risk to national security.

**FISCAL YEAR 2021 REQUIREMENTS BY
BUREAUS AND OFFICES**

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Offices of the Chairman and Commissioners

Offices of the Chairman and Commissioners	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	22	22	22
11 - Personnel compensation	\$2,869,890	\$3,169,000	\$3,270,096
12 - Personnel benefits	917,985	1,010,404	1,042,637
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$3,787,875	\$4,179,404	\$4,312,733
21 - Travel & transportation of persons	\$183,929	\$304,224	\$309,964
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	610,748	965,686	663,673
24 - Printing and reproduction	0	0	0
25 - Other contractual services	2,311	4,000	4,000
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$796,988	\$1,273,910	\$977,637
TOTAL	\$4,584,863	\$5,453,314	\$5,290,370

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

The Chairman serves as the Chief Executive Officer of the Commission, supervising all FCC activities, delegating responsibilities to Offices and Bureaus, and formally representing the Commission before the Congress and the Administration.

Consumer and Governmental Affairs Bureau

Consumer and Governmental Affairs Bureau	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	113	114	114
11 - Personnel compensation	\$14,225,596	\$15,163,953	\$15,647,706
12 - Personnel benefits	4,272,740	4,615,276	4,762,510
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$18,498,336	\$19,779,229	\$20,410,216
21 - Travel & transportation of persons	\$117,371	\$92,000	\$93,736
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	1,151,133	1,083,514	863,327
24 - Printing and reproduction	0	0	0
25 - Other contractual services	1,575,020	2,021,362	2,059,498
26 - Supplies and materials	350	1,000	1,019
31 - Equipment	65	0	0
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$2,843,939	\$3,197,876	\$3,017,579
TOTAL	\$21,342,275	\$22,977,105	\$23,427,796

The Consumer and Governmental Affairs Bureau develops and implements consumer protection policies, including disability access, on behalf of the Commission. Through its outreach and education programs, as well as its Tribal and inter-governmental affairs initiatives, the Bureau enhances the public's understanding of the Commission's work and facilitates the Agency's relationships with other governmental agencies and organizations. The Bureau also serves as the public face of the Commission through the call center and online complaint portal, where consumers can submit inquiries and informal complaints to the Commission regarding communications issues. Consistent with controlling laws and regulations and in accordance with its delegated authority, the Bureau performs the following duties and responsibilities:

- Initiating and directing the policy development and coordination of matters pertaining to consumers and governmental affairs, consistent with the priorities of the Commission.
- Advising the Chairman and Commissioners on matters of general consumer and disability policy.
- Protecting consumers from robocalls by enabling voice providers to block robocalls and by implementing the Telephone Consumer Protection Act to protect consumers when they receive illegal robocalls, while educating consumers about robocall-blocking tools, sharing consumer protection best practices, and collecting and tracking consumer complaints to ensure the agency has up-to-date and reliable information to aid with future enforcement actions.

- Communicating with the general public regarding Commission policies, programs, and activities to facilitate public education and participation in the Commission's decision-making processes.
- Handling informal consumer inquiries and complaints consistent with Commission regulations, including facilitating the negotiation and resolution of certain classes of informal complaints.
- Collaborating with, advising, and assisting state, local and Tribal governments, and other governmental agencies and industry groups, on consumer matters including disability access, emergency preparedness, and implementation of new technologies.
- Developing, recommending, and administering policies, rules, procedures and programs regarding consumer and disability policy and any other related issues affecting consumer policy.
- Consulting with federally recognized Tribal governments on a formal government-to-government basis, and engaging with Tribal governments, representatives and organizations representing those constituencies through meetings, trainings and other outreach, to facilitate a dialogue on telecommunications issues on Tribal lands and how the FCC's rules, policies and programs impact the provision of telecommunications services on Tribal lands and in Native homeland communities.
- Providing outreach to state and local governments, as well as to other federal regulatory agencies, for the purpose of fostering an understanding of FCC programs, policies, rules and decisions
- Representing the Commission on consumer and inter-governmental-related committees, working groups, task forces, and conferences within and outside the Agency.
- Providing expert advice and assistance within the Commission and to consumers and industry regarding compliance with applicable disability and accessibility requirements, rules, and regulations.
- Serving as the focal point within the Commission for collaborating with multiple stakeholders and consumer advocacy groups to plan, develop, and implement multimedia consumer outreach campaigns, events, and programs.
- Researching, developing, coordinating, and distributing educational materials in multiple media and languages, online and in print to inform consumers about the Commission's rules, procedures, policies, and programs.
- Coordinating all sign language interpreting requests for the Agency, producing Braille and other alternative formats of Commission materials, and ensuring they are available to Commission employees and members of the public.
- Coordinating with the Office of Managing Director to ensure compliance with section 508 of the Rehabilitation Act, which requires the Commission to procure and maintain accessible information and communication technologies for Commission employees with disabilities and members of the public using these FCC resources.
- Coordinating with the Chairman, Commissioners, Bureaus and Offices, and other federal agencies to provide Tribal perspectives on regulatory policies impacting the provision and deployment of telecommunications services on Tribal lands and to Tribal and Native homeland communities.

Enforcement Bureau

Enforcement Bureau	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	180	190	190
11 - Personnel compensation	\$24,557,637	\$26,350,236	\$27,190,849
12 - Personnel benefits	7,479,638	8,173,770	8,434,526
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$32,037,275	\$34,524,006	\$35,625,374
21 - Travel & transportation of persons	\$267,869	\$262,580	\$267,534
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	2,038,324	2,288,026	2,027,052
24 - Printing and reproduction	0	0	0
25 - Other contractual services	269,680	264,400	269,388
26 - Supplies and materials	67,512	101,200	103,109
31 - Equipment	1,690,362	480,000	489,056
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$4,333,747	\$3,396,206	\$3,156,139
TOTAL	\$36,371,022	\$37,920,212	\$38,781,513

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:

- Investigating and resolving complaints regarding, for example:
 - The Telephone Consumer Protection Act, which generally prohibits unauthorized robocalls, and the Truth in Caller ID Act, which prohibits unlawful spoofing;
 - Compliance with statutory and regulatory provisions, including complaints filed under section 208 of the Communications Act;
 - Compliance with section 301 of the Communications Act requiring a FCC license or authorization for the operation of a broadcast station;
 - Accessibility to communications services and equipment for persons with disabilities;
 - Radiofrequency interference and radiofrequency equipment and devices;
 - Compliance with radiofrequency licensing rules and regulations, including reporting obligations;

- Compliance with the Commission’s Emergency Alert System rules;
- Compliance with the Commission’s equal employment opportunity (EEO) rules;
- Compliance with the statute and rules regarding paid programming and sponsorship ID;
- 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.
- Policing Integrity:
 - Investigating violations of the Communications Act, the Commission’s rules, and other laws bearing on Universal Service Fund (USF) programs and contributions. Such investigations may involve coordination with the FCC’s Inspector General, the U.S. Department of Justice, and other law enforcement agencies.
 - Overseeing proceedings suspending or debarring parties from USF programs.
- Protecting Consumers:
 - Investigating unlawful marketing and billing practices, including unauthorized robocalling, caller ID spoofing, cramming, phone and text harassment; and unlawful disclosure of customer proprietary network information.
- Safeguarding Competition:
 - Enforcing merger conditions and unfair or anti-competitive practices that violate the law.
- Securing Networks:
 - Investigating interference or misuse of critical infrastructure.
- Mediating and settling disputes between service providers, upon request.
- 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.

International Bureau

International Bureau	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	87	85	85
11 - Personnel compensation	\$11,844,977	\$11,873,229	\$12,252,003
12 - Personnel benefits	3,524,978	3,596,212	3,710,937
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$15,369,955	\$15,469,441	\$15,962,940
21 - Travel & transportation of persons	\$582,238	\$641,861	\$653,971
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	906,826	813,202	618,241
24 - Printing and reproduction	0	0	0
25 - Other contractual services	12,481	3,500	3,566
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$1,501,545	\$1,458,563	\$1,275,778
TOTAL	\$16,871,500	\$16,928,004	\$17,238,717

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 Bureau assumes the principal representational role for Commission activities in international organizations. The 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 services and facilities (including submarine cables), and domestic and international satellite systems.
- Coordinating with executive branch agencies certain applications and petitions involving foreign ownership.

- 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.
- 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

Media Bureau	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	137	131	131
11 - Personnel compensation	\$15,726,968	\$16,004,455	\$16,515,021
12 - Personnel benefits	4,518,488	4,615,614	4,762,859
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$20,245,456	\$20,620,069	\$21,277,881
21 - Travel & transportation of persons	\$13,085	\$25,000	\$25,472
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	1,186,861	1,071,382	804,390
24 - Printing and reproduction	0	0	0
25 - Other contractual services	74,848	96,213	98,028
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$1,274,794	\$1,192,595	\$927,890
TOTAL	\$21,520,250	\$21,812,664	\$22,205,770

The Media Bureau plays a key role in promoting innovation and competition in the media marketplace. The 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:

- Process applications for authorization, assignment, transfer, and renewal of licensed media services, including AM, FM, full and low power television, and related matters.
- Conduct rulemaking proceedings concerning the legal, engineering, and economic aspects of the media industry.
- Resolve waiver petitions, declaratory rulings, and adjudications related to the media industry.
- Ensure the smooth transition of full power, Class A, translator, LPTV and FM stations as a result of the Incentive Auction repack and efficiently process the reimbursement claims from these stations submitted to the \$2.75 billion TV Broadcaster Relocation Fund.

Public Safety and Homeland Security Bureau

Public Safety and Homeland Security Bureau	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	90	95	95
11 - Personnel compensation	\$12,421,869	\$13,315,610	\$13,740,398
12 - Personnel benefits	3,720,473	4,037,910	4,166,725
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$16,142,342	\$17,353,520	\$17,907,124
21 - Travel & transportation of persons	\$83,452	\$75,000	\$76,415
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	864,741	736,052	578,990
24 - Printing and reproduction	0	0	0
25 - Other contractual services	480,956	599,488	610,798
26 - Supplies and materials	4,294	9,900	10,087
31 - Equipment	7,965	3,000	3,057
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$1,441,408	\$1,423,440	\$1,279,347
TOTAL	\$17,583,750	\$18,776,960	\$19,186,471

The Public Safety and Homeland Security Bureau (PSHSB) advises and makes recommendations to the Commission, acts for the Commission under delegated authority, and coordinates within the Commission on all matters pertaining to public safety, homeland security, national security, emergency management and preparedness, disaster management, and related matters. The Bureau also performs the following functions:

- Develops, recommends, and administers policy goals, objectives, regulations, programs, and plans for the Commission in the areas of 911, enhanced 911, and Next Generation 911; licensing and operation of public safety radio services; priority emergency communications; alert and warning systems; Continuity of Government (COG) and Continuity of Operations (COOP); National Security and Emergency Preparedness; 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.
- Intakes and processes applications for public safety allocated spectrum and related requests.
- Recommends and develops emergency plans, policies, and preparedness programs covering: (1) reporting and situational awareness of communications status during an emergency; (2) Commission functions during emergency conditions, and (3) the provision of service by communications service providers during emergency conditions.
- Under the direction of the Defense Commissioner, coordinates the Commission's role in national security and emergency preparedness and defense mobilization, COG planning,

and other functions as may be delegated during a national emergency; plans and maintains readiness to lead response for major communications disruptions as directed by the President.

- Administers Commission recordkeeping and information collection requirements pertaining to public safety issues.
- Oversees public safety related Federal Advisory Committees.
- Serves as the point of contact for the U.S. Government in matters of international spectrum monitoring and interference resolution; 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 24-hour Operations Center, Sensitive Compartmented Information Facilities (SCIF) and central spectrum monitoring and analysis center.
- Acts on emergency requests for Special Temporary Authority (STA) during non-business hours.
- Represents the Commission on interagency bodies supporting public safety and national security missions.
- Performs such other functions and duties as may be assigned or referred to it by the Commission or the Defense Commissioner.

Wireless Telecommunications Bureau

Wireless Telecommunications Bureau	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	155	150	148
11 - Personnel compensation	\$9,714,230	\$10,411,875	\$10,744,030
12 - Personnel benefits	2,916,010	3,181,716	3,283,218
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$12,630,240	\$13,593,591	\$14,027,247
21 - Travel & transportation of persons	\$13,317	\$13,184	\$13,433
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	338,903	617,880	488,840
24 - Printing and reproduction	0	0	0
25 - Other contractual services	306,155	277,083	282,311
26 - Supplies and materials	323	1,800	1,834
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$658,698	\$909,947	\$786,417
TOTAL	\$13,288,938	\$14,503,538	\$14,813,665

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 present and future wireless communications and spectrum needs in the United States.
- Establishing rules and procedures that will support the deployment of 5G service by a variety of mobile providers.
- Promoting access, efficiency, and innovation in the use of the electromagnetic spectrum through licensing procedures and policies.
- Promoting investment in wireless communications infrastructure, including broadband.
- Ensuring choice and opportunity in the development of wireless communication services and related markets.

- Reviewing wireless applications, including those to assign or transfer licenses and for service and facility authorizations, in a manner that facilitates competition in the provision of mobile wireless services to the benefit of consumers.
- Promoting the integration and interconnection of wireless communications networks with other communications networks and facilities.
- In coordination with the Office of Economics and Analytics, serving as a staff resource with regard to the development and implementation of spectrum policy through auctions, and developing, recommending, and administering policies and rules concerning the licensing of spectrum through auctions.
- In coordination with the Wireline Competition Bureau and the Office of Economics and Analytics, developing and recommending policies, programs, rules, and procedures concerning the use of market-based mechanisms, including competitive bidding, to distribute universal service support.
- In conjunction with the International Bureau and the Office of Engineering and Technology, representing the United States' spectrum interests and serving as an expert resource on spectrum and infrastructure policy matters in international forums.

In addition to the above, the Bureau's activities also include:

- Developing and coordinating policy.
- Conducting rulemaking and licensing work.
- Acting on rule waivers.
- Facilitating the development and efficient operation of electronic systems for submission of applications for licenses and registration.
- Determining the resource impact of existing, planned, or recommended Commission activities concerning wireless communications.
- Reviewing and coordinating 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

Wireline Competition Bureau	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	142	138	138
11 - Personnel compensation	\$20,076,551	\$20,313,747	\$20,961,786
12 - Personnel benefits	6,011,335	6,241,450	6,440,562
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$26,087,886	\$26,555,197	\$27,402,348
21 - Travel & transportation of persons	\$10,120	\$72,060	\$73,420
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	1,102,104	1,429,678	1,094,928
24 - Printing and reproduction	0	0	0
25 - Other contractual services	197,930	130,000	132,453
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$1,310,154	\$1,631,738	\$1,300,800
TOTAL	\$27,398,040	\$28,186,935	\$28,703,148

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 related operations, drawing on relevant legal, economic, technological, legislative and regulatory expertise, information and developments. The Bureau has the following duties and responsibilities:

- Working to ensure that all Americans have access to robust and affordable broadband and voice services.
- Working to ensure access to affordable broadband connectivity for low income consumers, schools, school districts, libraries, and rural health-care providers.
- Working to protect a light-touch regulatory framework that will promote greater innovation, investment, deployment, and competition among broadband providers.
- Developing and coordinating wireline telecommunications policy.
- Handling adjudicatory and rulemaking proceedings affecting wireline telecommunications service providers and broadband providers.
- Preparing for Commission consideration draft orders responding to petitions, filed pursuant to the Communications Act, seeking Commission forbearance from applying certain of its regulations or provisions of the Communications Act.
- 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.

- Taking action on requests for waiver or interpretation of rules or statutes, where appropriate, affecting wireline telecommunications.
- Working to ensure wireline carrier networks and personnel are protected from harms caused by the attachment of terminal equipment.
- Making determinations regarding lawfulness of carrier tariffs.
- Administering U.S. numbering policy (including local number portability).
- Taking action on applications filed pursuant to section 214 of the Communications Act for authorization to transfer service and facility authorizations or to discontinue services or the operation of facilities.
- Reviewing wireline carrier performance.
- Overseeing the Act's incumbent local exchange carrier network change disclosure process to ensure that interconnecting competitive local exchange carriers have timely and sufficient notice of planned network changes.
- Regulating the rates, terms, and conditions for pole attachments, except in states that have preempted Commission authority.
- Administering accounting requirements for incumbent local exchange carriers.
- Interacting with the public; local, state, Tribal, and other government agencies; industry groups; and other stakeholders on wireline communications regulation and related matters.
- Reviewing and coordinating orders, programs, data collections, reports and other actions initiated by other Bureaus and Offices in matters affecting wireline communications to ensure consistency with overall Commission policy.

Office of Administrative Law Judges

Office of Administrative Law Judges	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	3	4	4
11 - Personnel compensation	\$289,074	\$434,174	\$448,025
12 - Personnel benefits	87,823	139,202	143,643
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$376,897	\$573,376	\$591,668
21 - Travel & transportation of persons	\$1,967	\$2,000	\$2,038
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	25,673	45,002	34,465
24 - Printing and reproduction	0	0	0
25 - Other contractual services	315	5,000	5,094
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$27,955	\$52,002	\$41,597
TOTAL	\$404,852	\$625,378	\$633,265

The Office of Administrative Law Judges (OALJ) 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. The Office may also conduct other hearings which the Commission may assign in accordance with the Administrative Procedure Act (APA).

OALJ functions substantially as 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.

OALJ has the following responsibilities:

Adjudicative

- Prepares and maintains hearing calendars, showing time, and place of hearings.
- Presides over and conducts formal proceedings and adjudications.
- Acts on motions, petitions and other pleadings filed in proceedings.
- Conducts on-the-record prehearing conferences.
- Issues subpoenas, administers the oath, examines witnesses, makes findings of fact, and rules upon evidentiary questions.

- Prepares and issues Initial Decisions.

Administrative

- Prepares reports, statistical data and other information requested or received 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.
- Upon request of the Chairman, serves as liaison for the Commission in securing advice or information from representatives of agencies, bar associations, and interested persons in connection with Office practices and hearing procedures.
- Exercises such further 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

Office of Communications Business Opportunities	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	8	8	8
11 - Personnel compensation	\$1,108,614	\$1,153,538	\$1,190,338
12 - Personnel benefits	333,816	337,998	348,781
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$1,442,430	\$1,491,536	\$1,539,118
21 - Travel & transportation of persons	\$5,259	\$8,500	\$8,660
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	109,052	111,178	85,147
24 - Printing and reproduction	0	0	0
25 - Other contractual services	1,516	500	510
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$115,827	\$120,178	\$94,317
TOTAL	\$1,558,257	\$1,611,714	\$1,633,435

The Office of Communications Business Opportunities (OCBO) promotes competition and innovation in telecommunications ownership and information services. The office also supports opportunities for small, women-owned, and minority-owned communications businesses. A principal function of OCBO is to lead, advise, and assist the Commission, including its component Bureau/Office managers, supervisors, and staff, 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 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.
- 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 Economics and Analytics

Office of Economics and Analytics	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	79	96	99
11 - Personnel compensation	\$8,397,509	\$11,004,004	\$11,355,048
12 - Personnel benefits	2,503,939	3,330,706	3,436,961
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$10,901,448	\$14,334,710	\$14,792,009
21 - Travel & transportation of persons	\$9,140	\$34,200	\$34,845
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	701,073	614,390	572,556
24 - Printing and reproduction	0	0	0
25 - Other contractual services	450,035	522,400	1,739,755
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$1,160,248	\$1,170,990	\$2,347,157
TOTAL	\$12,061,696	\$15,505,700	\$17,139,166

The Office of Economics and Analytics (OEA) works with Bureaus and other Offices, including those of the Chairman and other Commissioners, to develop and implement communications policies in all areas of the Commission's authority and responsibility, and to ensure the highest quality of economic and data analysis. The Office and its staff:

- Work collaboratively with other Bureaus and Offices on rulemakings, transaction reviews, statutory reports, and adjudications in the areas of economic and data analysis for significant communications policy issues, and especially with respect to analysis of the economic impact of Commission policies, rules, and proposals.
- Administer Commission auctions of spectrum licenses and universal service support and advise Bureaus and other Offices on policies related to auctions and competitive bidding.
- Administer significant, economically-relevant data collections used by a variety of Bureaus and other Offices, such as Form 477 data, and support Bureaus and Offices with respect to their use of these data collections.
- Develop, recommend, and implement policies for data management across the Commission, in conjunction with the Bureaus and other Offices.
- Provide expert advice to the Chairman, Commissioners, and Bureau and Office Chiefs.
- Include and support the Commission's Chief Economist.

- Coordinate the development, research and publication of White Papers by staff to release research aside from formal Commission actions, with a focus on issues of ongoing and future potential priorities for the Commission.
- Host visiting scholars from academia and elsewhere who join the FCC on a temporary basis to contribute to the Commission's mission.
- Conduct outreach efforts to relevant stakeholders, including those within academia, think tanks, the business community, and the capital markets.

Office of Engineering and Technology

Office of Engineering and Technology	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	74	73	73
11 - Personnel compensation	\$10,119,790	\$10,612,928	\$10,951,497
12 - Personnel benefits	3,106,507	3,348,318	3,455,134
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$13,226,297	\$13,961,246	\$14,406,631
21 - Travel & transportation of persons	\$15,860	\$18,000	\$18,340
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	519,771	555,730	431,407
24 - Printing and reproduction	0	0	0
25 - Other contractual services	652,190	623,467	635,229
26 - Supplies and materials	13,268	13,300	13,551
31 - Equipment	176,594	150,000	152,830
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$1,377,683	\$1,360,497	\$1,251,357
TOTAL	\$14,603,980	\$15,321,743	\$15,657,988

The Office of Engineering and Technology allocates spectrum for commercial, private, and non-Federal governmental use and provides expert advice on technical and engineering 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/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 (Frequency allocations, radio treaty matters, and equipment authorization procedures), 5 (Experimental radio service), 15 (Unlicensed radio frequency devices), and 18 (Industrial, scientific and medical equipment) of the Commission's Rules and Regulations.
- Maintaining a test facility with appropriate and latest equipment to perform technical analyses to facilitate introduction of new services and technology and compliance testing of devices subject to the Commission rules.
- 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 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. Serves as the Agency liaison to National Telecommunications and Information Administration (NTIA) within the Department of Commerce for coordinating policy decisions and frequency assignments between Federal agency and non-Federal spectrum users.
- 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

Office of General Counsel	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	73	70	70
11 - Personnel compensation	\$10,616,550	\$11,262,294	\$11,621,578
12 - Personnel benefits	3,120,790	3,349,358	3,456,208
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$13,737,340	\$14,611,652	\$15,077,786
21 - Travel & transportation of persons	\$32,640	\$35,000	\$35,660
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	748,132	764,592	587,561
24 - Printing and reproduction	0	0	0
25 - Other contractual services	661,578	625,300	637,097
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$1,442,350	\$1,424,892	\$1,260,318
TOTAL	\$15,179,690	\$16,036,544	\$16,338,104

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

- 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 and other dispute-resolution matters.
- Ensures consistent and timely public-interest analysis of transactions considered by the Commission, and provides technical expertise on various corporate, bankruptcy, fraud, and other transactional issues.
- Assists and makes recommendations to the Commission with respect to matters handled via adjudication (including the Commission’s review of initial decisions by Administrative Law Judges), as well as with respect to such other matters that, 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.
- Prepares for the Commission procedural rules of general applicability, and makes recommendations concerning the interpretation and implementation of such rules.

- 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, 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 Legislative Affairs

Office of Legislative Affairs	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	8	8	8
11 - Personnel compensation	\$1,078,083	\$1,110,999	\$1,146,442
12 - Personnel benefits	343,108	353,594	364,874
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$1,421,191	\$1,464,593	\$1,511,316
21 - Travel & transportation of persons	\$0	\$1,000	\$1,019
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	99,856	128,758	98,611
24 - Printing and reproduction	0	0	0
25 - Other contractual services	0	100	101
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$99,856	\$129,857	\$99,731
TOTAL	\$1,521,047	\$1,594,450	\$1,611,047

The Office of Legislative Affairs informs the Congress of the Commission's decisions, facilitates responses to Congressional letters and 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 the agency's technical assistance for submission to Congress or other government agencies.
- Tracking, monitoring, and analyzing legislation impacting the Commission, and providing technical assistance to Congressional staff, as necessary.
- Preparing and coordinating Commission and Bureau responses to Congressional inquiries on legislative, regulatory, or policy matters by Congressional committees and individual Members of Congress, including tracking inquiries and setting response times.
- Prepare the Chairman and all Commission-designated witnesses for appearances before the United States Congress.
- Coordinating briefings for Congressional Members and staff on issues before the Commission.
- Communicating and consulting with Congressional Members and staff on the Commission's policy agenda.

- Assisting the staffs of Members of Congress in responding to constituent concerns.
- Assisting the Office of Managing Director in the preparation of annual reporting requirements to Congress, including the annual submission of the Commission's budget.

Office of the Managing Director

Office of the Managing Director	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	185	185	184
11 - Personnel compensation	\$20,341,892	\$21,530,691	\$23,989,034
12 - Personnel benefits	5,446,275	5,955,850	6,142,442
13 - Benefits for former personnel	51,600	51,600	53,246
Subtotal - Personnel Costs	\$25,839,767	\$27,538,141	\$30,184,723
21 - Travel & transportation of persons	\$57,112	\$105,234	\$107,219
22 - Transportation of things	61,896	55,814	56,867
23 - Rent, Communications, and Utilities	27,724,425	27,573,050	23,744,282
24 - Printing and reproduction	1,000,000	1,125,310	1,146,540
25 - Other contractual services	53,992,360	49,277,991	48,791,287
26 - Supplies and materials	3,949,323	641,448	653,549
31 - Equipment	454,543	164,486	167,589
32 - Land & Structures	750,701	470,483	479,359
40 - Insurance claims and interest	111,959	120,000	122,264
Subtotal - Non-Personnel Costs	\$88,102,319	\$79,533,815	\$75,268,957
TOTAL	\$113,942,086	\$107,071,956	\$105,453,680

The Managing Director is appointed by the Chairman with approval of the Commissioners. Under the supervision and direction of the Chairman, the Managing Director serves as the Commission's Chief Operating Officer 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 organization and operations, information technology systems and cybersecurity, and personnel and contract management.
- Providing input to Commission policy development and rulemakings on operational requirements, implementation risks and feasibility, software and systems requirements, fraud prevention and audit considerations, and financial and budgetary impacts.
- Managing all budget and financial operations within the Commission, including: collection of approved regulatory fees for agency operations; overseeing funding allocations and performance management for the operations of the Commission's Bureaus and Offices; managing of auction proceeds; accounting for other monies received by the Commission including licensing fees, forfeitures, and other actions; and providing financial oversight of the Universal Service Fund (USF), Telecommunications Relay Service (TRS) Fund, and the North American Numbering Plan (NANP) Fund.
- Formulating and implementing management and operational policies, programs, and directives for the Commission consistent with the authority delegated by the Commission

and the Chairman and recommending to the Chairman and the Commission major changes in such policies and programs.

- Advising the Chairman and the Commission on management, organizational, and operational matters; reviewing and evaluating the programs and procedures of the Commission; and initiating action or making recommendations as may be necessary to administer the Communications Act most effectively in the public interest.
- Assist the Chairman in carrying out the administrative and executive responsibilities delegated to the Chairman as the administrative head of the agency.

Office of Media Relations

Office of Media Relations	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	14	13	13
11 - Personnel compensation	\$1,758,670	\$1,716,629	\$1,771,392
12 - Personnel benefits	546,957	528,186	545,036
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$2,305,627	\$2,244,815	\$2,316,428
21 - Travel & transportation of persons	\$4,124	\$9,362	\$9,539
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	112,960	142,034	108,777
24 - Printing and reproduction	0	0	0
25 - Other contractual services	151,401	169,500	172,698
26 - Supplies and materials	2,240	3,080	3,138
31 - Equipment	3,106	10,000	10,189
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$273,831	\$333,977	\$304,341
TOTAL	\$2,579,458	\$2,578,792	\$2,620,769

The FCC's Office of Media Relations is the agency's liaison to the news media. It provides information to the public about the work of the FCC, manages content on the Commission's website, oversees the release of FCC documents, leads the agency's social media accounts, and manages audio/visual services for the Commission's public meeting room. The Office's duties and responsibilities include:

- Serving as the agency's primary liaison to the news media.
- Producing press releases, fact sheets, speeches, and other public relations materials.
- Managing and creating content for the FCC's social media sites, including Twitter, Facebook, YouTube, Flickr, and others.
- Managing the Commission's website, working with other Bureaus and Offices to create and manage website content, and overseeing the agency's web standards and guidelines.
- Providing audio/visual support services for the Commission, which includes all public meetings.
- Facilitating the release of all Commission announcements, orders, and other information.
- Producing the Daily Digest of Commission releases.

Office of Workplace Diversity

Office of Workplace Diversity	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	7	6	6
11 - Personnel compensation	\$661,666	\$671,114	\$692,524
12 - Personnel benefits	195,339	202,802	209,272
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$857,005	\$873,916	\$901,795
21 - Travel & transportation of persons	\$9,604	\$4,000	\$4,076
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	29,275	43,670	33,444
24 - Printing and reproduction	0	0	0
25 - Other contractual services	39,351	67,703	68,980
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
Subtotal - Non-Personnel Costs	\$78,230	\$115,374	\$106,501
TOTAL	\$935,235	\$989,290	\$1,008,296

The Office of Workplace Diversity develops, coordinates, evaluates, and recommends to the Commission policies, programs, and practices that foster a diverse workforce, and promotes and ensures equal employment opportunity (EEO) for all employees and applicants. A principal function of the Office is to lead, advise, and assist the Commission, including 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; the Rehabilitation Act of 1973 as amended; Age Discrimination in Employment Act of 1967, as amended; Executive Order 11478; the Genetic Information Nondiscrimination Act 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 EEO compliance program. Responsibilities in this area include processing complaints alleging discrimination, issuing final agency decisions on EEO complaints within the Commission, and providing consulting services to employees and applicants for employment on EEO matters.
- Developing and administering the Commission's program of reasonable accommodation for employees with disabilities in accordance with applicable laws and regulations.
- Developing and administering the Commission's program of Alternative Dispute Resolution to provide mediation services and to promote the use of dispute prevention and alternative dispute techniques.
- 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.

Office of Inspector General

Office of Inspector General	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Full-Time Equivalents (FTEs)	45	60	60
11 - Personnel compensation	\$5,382,965	\$7,301,872	\$7,553,427
12 - Personnel benefits	1,623,735	1,838,523	1,897,175
13 - Benefits for former personnel	0	0	0
Subtotal - Personnel Costs	\$7,006,700	\$9,140,395	\$9,450,601
21 - Travel & transportation of persons	\$116	\$63,432	\$64,628
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	288,762	271,983	150,928
24 - Printing and reproduction	0	0	0
25 - Other contractual services	110	1,597,331	1,627,470
26 - Supplies and materials	0	533	543
31 - Equipment	0	32,025	32,630
40 - Insurance claims and interest	230	0	0
Subtotal - Non-Personnel Costs	\$289,218	\$1,965,304	\$1,876,199
TOTAL	\$7,295,918	\$11,105,700	\$11,326,800

The FCC's Office of Inspector General (OIG) was established in compliance with the Inspector General Act of 1978 (Public Law 94-454), as amended. OIG conducts and supervises audits, inspections and investigations relating to FCC programs and operations. OIG provides management feedback, leadership, and recommends policies for activities designed to promote economy, efficiency, and increase the effectiveness of the administration. Further, the OIG works to both prevent and detect fraud, waste, and abuse in such programs and operations. 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 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, waste, 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.

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APPENDICES

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**Fiscal Year 2021 Budget Estimates to Congress
Summary - Requested Resources**

DISTRIBUTION OF BUDGET AUTHORITY

(Dollars in Thousands)

	<u>FY 2019 Actual</u>	<u>FY 2020 Enacted</u>	<u>FY 2021 Estimates to Congress</u>	<u>Change to Budget Authority</u>
<u>FCC - Without Office of Inspector General:</u>				
Authority to Spend Offsetting Collections:				
Total Appropriation - Regulatory Fees (Offsetting Collections)	\$321,747	\$327,894	\$331,743	\$3,849
Authority to Spend Other Offsetting Collections:				
Economy Act Reimbursable Agreements	\$1,247	\$4,000	\$4,000	\$0
Spectrum Auctions Cost Recovery Reimbursement	\$122,077	\$132,402	\$134,355	\$1,953
Total - Other Offsetting Collections	<u>\$123,325</u>	<u>\$136,402</u>	<u>\$138,355</u>	<u>\$1,953</u>
Total Budget Authority - Available to Incur Obligations	<u>\$445,071</u>	<u>\$464,296</u>	<u>\$470,099</u>	<u>\$5,802</u>
Other Budget Authority:				
Credit Program Account ²	\$0	\$25	\$25	\$0
<u>FCC - Office of Inspector General (OIG):</u>				
Authority to Spend Offsetting Collections:				
Total Appropriation - Regulatory Fees (Offsetting Collections)	\$7,296	\$11,106	\$11,327	\$221
Authority to Spend Other Offsetting Collections:				
Spectrum Auctions Cost Recovery Reimbursement	\$111	\$137	\$140	\$3
Total Budget Authority - Available to Incur Obligations	<u>\$7,407</u>	<u>\$11,243</u>	<u>\$11,467</u>	<u>\$224</u>
Other Budget Authority:				
OIG - Recovery of USF Oversight Cost	\$269	\$4,549	\$0	-\$4,549
<u>TOTAL - FCC with Office of Inspector General:</u>				
Total Appropriation - Offsetting Collections	<u>\$329,043</u>	<u>\$339,000</u>	<u>\$343,070</u>	<u>\$4,070</u>
Total - Other Offsetting Collections & Budget Authority¹	<u>\$123,705</u>	<u>\$141,113</u>	<u>\$138,520</u>	<u>-\$2,593</u>
Total Budget Authority - Available to Incur Obligations	<u>\$452,748</u>	<u>\$480,113</u>	<u>\$481,590</u>	<u>\$1,477</u>

¹The Middle Class Tax Relief and Job Creation Act of 2012 (2012 Act) mandated that the Commission reimburse reasonable channel relocation costs incurred by those qualified TV Broadcasters that will be affected by spectrum relocation. The 2012 Act also gave the Commission the authority to use \$1.75 billion from Incentive Auction revenues to reimburse TV Broadcasters for relocation costs. Additional authority totaling \$1 billion was provided to the Commission for this and for other purposes by the Consolidated Appropriations Act, 2018, Public Law 115-141. The TV Broadcaster Relocation Fund (TVBRF) is capped at \$2.75 billion. This budget authority is not represented in the above schedule to provide a better historical comparison of the components of the FCC's regular budgetary requests. The Commission's budgetary authority related to the TVBRF is presented separately in the Appendices section.

**Fiscal Year 2021 Budget Estimates to Congress
Summary - Requested Resources**

OUTLAYS

(Dollars in Millions)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
<u>FCC - Without Office of Inspector General:</u>			
New Offsetting Collections:			
Regulatory Fees	\$322	\$328	\$332
Spectrum Auctions Cost Recovery Reimbursement	\$122	\$132	\$134
Economy Act Reimbursable Agreements	\$1	\$4	\$4
Subtotal - Outlays from New Discretionary Authority (FCC)	\$445	\$464	\$470
<u>FCC - Office of Inspector General:</u>			
New Offsetting Collections:			
Outlays from New Discretionary Authority (OIG)	\$7	\$11	\$11
TOTAL OUTLAYS	\$452	\$475	\$481

FULL-TIME EQUIVALENTs (FTEs)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Total Compensable Work Years:			
Full-Time Equivalents (FTEs) Employment	1,422	1,448	1,448
Proposed Distribution:			
Offsetting Collections - Commission without OIG	1,189	1,206	1,206
Offsetting Collections - Office of Inspector General	45	60	60
Subtotal - Regulatory Fees (Offsetting Collections)	1,234	1,266	1,266
Spectrum Auctions Program	188	182	182
TOTAL FTEs - COMMISSION	1,422	1,448	1,448

**Fiscal Year 2021 Budget Estimates to Congress
Summary - Distribution of Resources**

**REGULATORY FEES – OFFSETTING COLLECTIONS
(INCLUDING OIG)**

(Dollars in Thousands)

Object Classification Description	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Personnel Compensation & Benefits:			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$171,193	\$183,400	\$191,041
Personnel benefits (12.0)	50,670	54,857	56,603
Subtotal - Personnel Compensation & Benefits	\$221,862	\$238,257	\$247,645
Other Expenses:			
Benefits for former personnel (13.0)	\$52	\$52	\$53
Travel & transportation of persons (21.0)	1,407	1,767	1,800
Transportation of things (22.0)	62	56	57
Rent payments to GSA (23.1)	33,367	33,410	27,030
Communications, utilities, & misc. charges (23.3)	5,192	5,846	5,956
Printing and reproduction (24.0)	1,000	1,125	1,147
Other services from non-Federal sources (25.2)	18,828	21,753	23,311
Other goods & services from Federal sources (25.3)	3,292	4,585	4,672
Operation & maintenance of equipment (25.7)	36,749	29,947	29,156
Supplies and materials (26.0)	4,037	772	787
Equipment (31.0)	2,333	840	855
Land and structures (32.0)	751	470	479
Insurance claims & interest (40.0)	112	120	122
Subtotal - Other Expenses	\$107,180	\$100,743	\$95,425
Total Obligations from Regulatory Fees	\$329,043	\$339,000	\$343,070
Total Resources from Regulatory Fees	\$329,043	\$339,000	\$343,070

**Fiscal Year 2021 Budget Estimates to Congress
Summary - Distribution of Resources**

**SPECTRUM AUCTIONS COST RECOVERY REIMBURSABLE AUTHORITY
(INCLUDING OIG)**

(Dollars in Thousands)

Object Classification Description	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Personnel Compensation & Benefits:			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$27,330	\$28,394	\$29,386
Personnel benefits (12.0)	8,258	8,739	9,051
Subtotal - Personnel Compensation & Benefits	\$35,588	\$37,132	\$38,437
Other Expenses:			
Benefits for former personnel (13.0)	\$8	\$8	\$9
Travel & transportation of persons (21.0)	229	403	411
Transportation of things (22.0)	10	9	9
Rent payments to GSA (23.1)	5,961	6,175	5,150
Communications, utilities, & misc. charges (23.3)	2,179	2,751	2,803
Printing and reproduction (24.0)	174	184	187
Other services from non-Federal sources (25.2)	23,275	39,159	39,889
Other goods & services from Federal sources (25.3)	518	1,902	1,938
Operation & maintenance of equipment (25.7)	49,373	40,185	40,944
Supplies and materials (26.0)	3,832	4,492	4,579
Equipment (31.0)	1,006	131	134
Land and structures (32.0)	0	0	0
Insurance claims & interest (40.0)	34	5	5
Subtotal - Other Expenses	\$86,601	\$95,407	\$96,058
Total - Auctions Cost Recovery Reimbursable Authority	\$122,189	\$132,539	\$134,495

**Fiscal Year 2021 Budget Estimates to Congress
Summary – Distribution of Resources**

GOVERNMENT/OTHER REIMBURSABLE AUTHORITY

(Dollars in Thousands)

Object Classification Description	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Personnel Compensation & Benefits:			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$313	\$350	\$350
Personnel benefits (12.0)	89	90	90
Subtotal - Personnel Compensation & Benefits	\$402	\$440	\$440
Other Expenses:			
Benefits for former personnel (13.0)	\$0	\$0	\$0
Travel & transportation of persons (21.0)	6	50	50
Transportation of things (22.0)	0	0	0
Rent payments to GSA (23.1)	0	0	0
Communications, utilities, & misc. charges (23.3)	0	0	0
Printing and reproduction (24.0)	0	0	0
Other services from non-Federal sources (25.2)	832	2,735	2,735
Other goods & services from Federal sources (25.3)	0	0	0
Operation & maintenance of equipment (25.7)	0	425	425
Supplies and materials (26.0)	2	50	50
Equipment (31.0)	5	300	300
Land and structures (32.0)	0	0	0
Insurance claims & interest (40.0)	0	0	0
Subtotal - Other Expenses	\$845	\$3,560	\$3,560
Total Government/Other Reimbursable Authority	\$1,247	\$4,000	\$4,000

**Fiscal Year 2021 Budget Estimates to Congress
Summary – Distribution of Resources**

CREDIT PROGRAM ACCOUNT

(Dollars in Thousands)

<u>Object Classification Description</u>	<u>FY 2019 Actual</u>	<u>FY 2020 Enacted</u>	<u>FY 2021 Estimates to Congress</u>
Personnel Compensation & Benefits:			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$0	\$0	\$0
Personnel benefits (12.0)	0	0	0
Subtotal - Personnel Compensation & Benefits	\$0	\$0	\$0
Other Expenses:			
Benefits for former personnel (13.0)	\$0	\$0	\$0
Travel & transportation of persons (21.0)	0	0	0
Transportation of things (22.0)	0	0	0
Rent payments to GSA (23.1)	0	0	0
Communications, utilities, & misc. charges (23.3)	0	0	0
Printing and reproduction (24.0)	0	0	0
Other services from non-Federal sources (25.2)	0	25	25
Other goods & services from Federal sources (25.3)	0	0	0
Operation & maintenance 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 & interest (40.0)	0	0	0
Subtotal - Other Expenses	\$0	\$25	\$25
Total Credit Program	\$0	\$25	\$25

Note: The Commission is currently working with OMB to close out the Credit Program. OIG has no Credit Program funds.

**Fiscal Year 2021 Budget Estimates to Congress
Summary – Distribution of Resources**

TV BROADCASTER RELOCATION FUND

(Dollars in Thousands)

Object Classification Description	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Personnel Compensation & Benefits:			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$0	\$0	\$0
Personnel benefits (12.0)	0	0	0
Subtotal - Personnel Compensation & Benefits	\$0	\$0	\$0
Other Expenses:			
Benefits for former personnel (13.0)	\$0	\$0	\$0
Travel & transportation of persons (21.0)	0	0	0
Transportation of things (22.0)	0	0	0
Rent payments to GSA (23.1)	0	0	0
Communications, utilities, & misc. charges (23.3)	0	0	0
Printing and reproduction (24.0)	0	0	0
Other services from non-Federal sources (25.2)	0	0	0
Other goods & services from Federal sources (25.3)	0	0	0
Operation & maintenance 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
Grants, subsidies, and contributions (41.0)	580,000	1,260,000	694,000
Insurance claims & interest (40.0)	0	0	0
Subtotal - Other Expenses	\$580,000	\$1,260,000	\$694,000
Total TV Broadcaster Relocation Fund	\$580,000	\$1,260,000	\$694,000

Note: The Middle Class Tax Relief and Job Creation Act of 2012 (2012 Act) mandated that the Commission reimburse reasonable channel relocation costs incurred by those qualified TV Broadcasters that will be affected by spectrum relocation. The 2012 Act also gave the Commission the authority to use \$1.75 billion from Incentive Auction revenues to reimburse TV Broadcasters for relocation costs. Additional authority totaling \$1 billion was provided to the Commission for this and for other purposes by the Consolidated Appropriations Act, 2018, Public Law 115-141. The TV Broadcaster Relocation Fund is capped at \$2.75 billion. The amount shown for FY 2021 is an estimated carryover of funds that has not been obligated in prior fiscal years, which is available until July 3, 2023.

**Fiscal Year 2021 Budget Estimates to Congress
Summary – Distribution of Resources**

OFFICE OF INSPECTOR GENERAL – UNIVERSAL SERVICE FUND

(Dollars in Thousands)

Object Classification Description	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Personnel Compensation & Benefits:			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$0	\$0	\$0
Personnel benefits (12.0)	0	0	0
Subtotal - Personnel Compensation & Benefits	\$0	\$0	\$0
Other Expenses:			
Benefits for former personnel (13.0)	\$0	\$0	\$0
Travel & transportation of persons (21.0)	43	40	0
Transportation of things (22.0)	0	0	0
Rent payments to GSA (23.1)	0	0	0
Communications, utilities, & misc. charges (23.3)	0	0	0
Printing and reproduction (24.0)	0	0	0
Other services from non-Federal sources (25.2)	225	4,377	0
Other goods & services from Federal sources (25.3)	0	16	0
Operation & maintenance of equipment (25.7)	0	0	0
Supplies and materials (26.0)	0	0	0
Equipment (31.0)	0	115	0
Land and structures (32.0)	0	0	0
Insurance claims & interest (40.0)	0	0	0
Subtotal - Other Expenses	\$269	\$4,549	\$0
Total Universal Service Program	\$269	\$4,549	\$0

Note: The Office of Inspector General (OIG) - Universal Service Fund (USF) represents carryover funds. These resources are presented in a separate schedule apart from the Salaries & Expenses account and funded from amounts transferred from the USF in FY 2008, as permitted in appropriations language for that year. No new budget authority is requested by the OIG in FYs 2020 and 2021. The carryover balances will be used to continue the USF oversight by OIG.

**Fiscal Year 2021 Budget Estimates to Congress
Summary – Distribution of Resources**

**REGULATORY FEES – OFFSETTING COLLECTIONS
(EXCLUDING OIG)**

(Dollars in Thousands)

Object Classification Description	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Personnel Compensation & Benefits:			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$165,810	\$176,098	\$183,488
Personnel benefits (12.0)	49,046	53,018	54,706
Subtotal - Personnel Compensation & Benefits	\$214,856	\$229,117	\$238,194
Other Expenses:			
Benefits for former personnel (13.0)	\$52	\$52	\$53
Travel & transportation of persons (21.0)	1,407	1,703	1,735
Transportation of things (22.0)	62	56	57
Rent payments to GSA (23.1)	33,078	33,146	26,888
Communications, utilities, & misc. charges (23.3)	5,192	5,837	5,948
Printing and reproduction (24.0)	1,000	1,125	1,147
Other services from non-Federal sources (25.2)	18,828	20,289	21,819
Other goods & services from Federal sources (25.3)	3,292	4,452	4,536
Operation & maintenance of equipment (25.7)	36,749	29,947	29,156
Supplies and materials (26.0)	4,037	772	786
Equipment (31.0)	2,333	807	823
Land and structures (32.0)	751	470	479
Insurance claims & interest (40.0)	112	120	122
Subtotal - Other Expenses	\$106,891	\$98,777	\$93,549
Total - Obligations from Regulatory Fees	\$321,747	\$327,894	\$331,743
Total - Resources from Regulatory Fees	\$321,747	\$327,894	\$331,743

**Fiscal Year 2021 Budget Estimates to Congress
Summary – Distribution of Resources**

SPECTRUM AUCTIONS COST RECOVERY REIMBURSEMENT AUTHORITY
(EXCLUDING OIG)

(Dollars in Thousands)

Object Classification Description	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Personnel Compensation & Benefits:			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$27,330	\$28,394	\$29,386
Personnel benefits (12.0)	8,258	8,739	9,051
Subtotal - Personnel Compensation & Benefits	\$35,588	\$37,132	\$38,437
Other Expenses:			
Benefits for former personnel (13.0)	\$8	\$8	\$9
Travel & transportation of persons (21.0)	229	403	411
Transportation of things (22.0)	10	9	9
Rent payments to GSA (23.1)	5,961	6,175	5,150
Communications, utilities, & misc. charges (23.3)	2,179	2,751	2,803
Printing and reproduction (24.0)	174	184	187
Other services from non-Federal sources (25.2)	23,165	39,028	39,754
Other goods & services from Federal sources (25.3)	518	1,897	1,933
Operation & maintenance of equipment (25.7)	49,373	40,185	40,944
Supplies and materials (26.0)	3,832	4,492	4,579
Equipment (31.0)	1,006	131	134
Land and structures (32.0)	0	0	0
Insurance claims & interest (40.0)	34	5	5
Subtotal - Other Expenses	\$86,490	\$95,270	\$95,918
Total - Auctions Cost Recovery Reimbursable Obligations	\$122,077	\$132,402	\$134,355

**Fiscal Year 2021 Budget Estimates to Congress
Summary – Distribution of Resources**

**REGULATORY FEES – OFFSETTING COLLECTIONS
(OFFICE OF INSPECTOR GENERAL)**

(Dollars in Thousands)

Object Classification Description	FY 2019 Actual	FY 2020 Enacted	FY 2021 Estimates to Congress
Personnel Compensation & Benefits:			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$5,383	\$7,302	\$7,553
Personnel benefits (12.0)	1,624	1,838	1,897
Subtotal - Personnel Compensation & Benefits	\$7,007	\$9,140	\$9,450
Other Expenses:			
Benefits for former personnel (13.0)	\$0	\$0	\$0
Travel & transportation of persons (21.0)	0	63	65
Transportation of things (22.0)	0	0	0
Rent payments to GSA (23.1)	289	263	142
Communications, utilities, & misc. charges (23.3)	0	9	9
Printing and reproduction (24.0)	0	0	0
Other services from non-Federal sources (25.2)	0	1,464	1,492
Other goods & services from Federal sources (25.3)	0	133	136
Operation & maintenance of equipment (25.7)	0	0	0
Supplies and materials (26.0)	0	1	1
Equipment (31.0)	0	32	33
Land and structures (32.0)	0	0	0
Insurance claims & interest (40.0)	0	0	0
Subtotal - Other Expenses	\$289	\$1,966	\$1,876
Total - Obligations from Regulatory Fees	\$7,296	\$11,106	\$11,327
Total - Resources from Regulatory Fees	\$7,296	\$11,106	\$11,327

**Fiscal Year 2021 Budget Estimates to Congress
Summary – Distribution of Resources**

**SPECTRUM AUCTIONS COST RECOVERY REIMBURSABLE AUTHORITY
(OFFICE OF INSPECTOR GENERAL)**

(Dollars in Thousands)

<u>Object Classification Description</u>	<u>FY 2019 Actual</u>	<u>FY 2020 Enacted</u>	<u>FY 2021 Estimates to Congress</u>
Personnel Compensation & Benefits:			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$0	\$0	\$0
Personnel benefits (12.0)	0	0	0
Subtotal - Personnel Compensation & Benefits	\$0	\$0	\$0
Other Expenses:			
Benefits for former personnel (13.0)	\$0	\$0	\$0
Travel & transportation of persons (21.0)	0	0	0
Transportation of things (22.0)	0	0	0
Rent payments to GSA (23.1)	0	0	0
Communications, utilities, & misc. charges (23.3)	0	0	0
Printing and reproduction (24.0)	0	0	0
Other services from non-Federal sources (25.2)	111	132	134
Other goods & services from Federal sources (25.3)	0	5	5
Operation & maintenance 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 & interest (40.0)	0	0	0
Subtotal - Other Expenses	\$111	\$137	\$140
Total - Auctions Cost Recovery Reimbursable Obligations	\$111	\$137	\$140

**Fiscal Year 2021 Budget Estimates to Congress
Summary - Distribution of Resources by Strategic Goals**

(Dollars in Thousands)

Strategic Goals	Closing the Digital Divide	Promoting Innovation	Protecting Consumers & Public Safety	Reforming the FCC's Processes	TOTAL
<u>Regulatory Fees:</u>					
FY 2019 Actual	\$81,581	\$72,487	\$83,786	\$91,189	\$329,043
FY 2020 Enacted	\$97,058	\$76,227	\$91,759	\$73,956	\$339,000
Less: FY 2020 One-Time Investment Requests	\$0	\$0	\$0	-\$3,192	-\$3,192
FY 2020 Salary Inflationary Increase	\$1,424	\$1,119	\$1,347	\$1,085	\$4,975
FY 2020 Base Level	\$98,483	\$77,346	\$93,106	\$71,849	\$340,783
Less: FY 2021 New Headquarters Rent Savings	\$0	\$0	\$0	-\$6,880	-\$6,880
FY 2021 Salary Increases	\$721	\$566	\$681	\$548	\$2,516
FY 2021 Non-Salary Inflationary Increase	\$473	\$372	\$447	\$361	\$1,653
Additional Awards for Non-SES/SL/ST FTEs	\$542	\$426	\$512	\$413	\$1,893
FY 2021 Base Adjustments	\$150	\$0	\$0	\$375	\$525
Subtotal	\$1,886	\$1,363	\$1,641	-\$5,183	-\$292
FY 2021 One-Time Investment Requests	\$420	\$0	\$350	\$1,809	\$2,579
FY 2021 Request to OMB	\$100,788	\$78,709	\$95,097	\$68,475	\$343,070
<u>Spectrum Auctions Program</u>					
FY 2019 Actual	\$61,799	\$10,944	\$626	\$48,820	\$122,189
FY 2020 Enacted	\$67,033	\$11,871	\$680	\$52,955	\$132,539
FY 2020 Salary Inflationary Increase	\$388	\$69	\$4	\$307	\$768
FY 2020 Base Level	\$67,421	\$11,940	\$684	\$53,262	\$133,307
Less: FY 2021 New Headquarters Rent Savings	\$0	\$0	\$0	-\$1,120	-\$1,120
FY 2021 Salary Inflationary Increase	\$271	\$48	\$3	\$214	\$537
FY 2021 Non-Salary Inflationary Increase	\$896	\$159	\$9	\$708	\$1,771
FY 2021 Request to OMB	\$68,589	\$12,147	\$696	\$53,064	\$134,495

**Fiscal Year 2021 Budget Estimates to Congress
Allocation of Obligations by Budget Object Class Code**

(Dollars in Thousands)

Budget Object Class Codes and Descriptions	FY 2019 Actual	FY 2020 Enacted	FY 2020		FY 2021 Base	FY 2021		1% FY 2021 Pay Increase	Non- Payroll Infla- tionary Increase	Addi- tional Awards for Non- SES/SL/ ST FTEs	Base In- creases & One- Time Requests	FY 2021 Request to OMB
			Reversal of FY 2020 One-Time Requests	Base Pay Increase from CY20		New HQ Rent Savings	Base Pay Increase from CY20					
11 Personnel Compensation	\$171,193	\$183,400	\$0	\$4,975	\$188,375	\$0	\$1,658	\$858	\$0	\$1,893	\$0	\$191,041
12 Benefits	50,670	54,857	0	0	54,857	0	0	0	4	0	0	56,604
13 Benefits for former personnel	52	52	0	0	52	0	0	0	0	0	0	52
21 Travel & transportation of persons	1,407	1,767	0	0	1,767	0	0	0	33	0	0	1,800
22 Transportation of things	62	56	0	0	56	0	0	0	1	0	0	57
23.1 Rent payments to GSA	33,367	33,410	0	0	33,410	-6,880	0	0	501	0	0	27,030
23.3 Communications, utilities, & misc. charges	5,192	5,846	0	0	5,846	0	0	0	110	0	0	5,956
24 Printing and reproduction	1,000	1,125	0	0	1,125	0	0	0	21	0	0	1,147
25.2 Other services from non-Federal sources	18,828	21,753	0	0	21,753	0	0	0	58	0	1,500	23,311
25.3 Other goods & services from Federal sources	3,292	4,585	0	0	4,585	0	0	0	87	0	0	4,672
25.7 Operation & maintenance of equipment	36,749	29,947	-3,192	0	26,755	0	0	0	797	0	1,604	29,156
26 Supplies and materials	4,037	772	0	0	772	0	0	0	15	0	0	787
31 Equipment	2,333	840	0	0	840	0	0	0	16	0	0	855
32 Land and structures	751	470	0	0	470	0	0	0	9	0	0	479
40 Insurance claims & interest	112	120	0	0	120	0	0	0	2	0	0	122
Sub-Total - Regulatory Fees	\$329,043	\$339,000	-\$3,192	\$4,975	\$340,783	-\$6,880	\$1,658	\$858	\$1,653	\$1,893	\$3,104	\$343,070
Sub-Total - Appropriation Authority	\$329,043	\$339,000	-\$3,192	\$4,975	\$340,783	-\$6,880	\$1,658	\$858	\$1,653	\$1,893	\$3,104	\$343,070
Reimbursables - Government/Other	1,247	4,000	0	0	4,000	0	0	0	0	0	0	4,000
Spectrum Auction Cost Recovery Reimbursement	122,189	132,539	0	768	133,307	-1,120	256	281	1,771	0	0	134,495
TOTAL REQUEST	\$452,479	\$475,539	-\$3,192	\$5,743	\$478,090	-\$8,000	\$1,914	\$1,139	\$3,424	\$1,893	\$3,104	\$481,565

EXHIBITS AND REPORTS

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Affirmation Statement from Senior Agency Official for Privacy (SAOP)

Description of Privacy Program

The FCC conducts a privacy program to meet all applicable privacy requirements and manage privacy risks within the agency. Led by the Senior Agency Official for Privacy (SAOP) and the Privacy Manager in the office of the Chief Information Officer (CIO), the program monitors the FCC bureaus and offices that maintain systems of records and information technology that collect and maintain personally identifiable information (PII). When necessary, program officials help system owners execute system of records notices (SORNS), Privacy Impact Assessments (PIAs), and other required disclosures. Program officials provide privacy training and advise system owners on how they can minimize the collection of PII, in particular, of Social Security numbers. The program is also responsible for making sure that the FCC's Privacy Act statements and other public-facing privacy information are clear and compliant with current laws, rules, and OMB guidance.

The privacy program works closely with the CIO's office to help identify and mitigate privacy risks in the agency's information systems. Through the PIA process, the program helps IT development staff and customers identify privacy risks in their systems and mitigate these risks as much as possible. Program officials also work closely with the FCC's Network Security Operations Center (NSOC) to prepare for and respond to PII breaches.

SAOP Comments on FY 2021 New Investments

I have reviewed and support these proposed investments because moving systems from outdated legacy technologies to cloud-based platforms significantly improves the security of these systems, including systems that contain PII.

Information Technology (IT) Investments

The information will be submitted electronically in accordance with OMB Circular A-11, Section 55.

IT Table

TAFS/Account Code	# FTE PY	PY Total \$ In Millions	# FTE CY	CY Total \$ In Millions	# FTE BY	BY Total \$ In Millions
027-0100	36	\$109	36	\$89	36	\$91
027-5183	170	\$80	170	\$87	170	\$91
Total	206	\$189	206	\$176	206	\$182

IT Resources Statement

As required by OMB Circular A-11, Section 51.3, the Chief Financial Officer (CFO) and Chief Information Officer (CIO) affirm the following:

- that the CIO has reviewed and approved the major IT investments portion of the budget request;
- that the CFO and CIO affirm that the CIO had a significant role in reviewing planned IT support for major program objectives and significant increases and decreases in IT resources; and
- that the IT Portfolio includes appropriate estimates of all IT resources included in the budget request.

Award Spending Estimates

As required by OMB Circular A-11, Section 32.01, the following chart summarizes the Commission's award estimates for FYs 2020 and 2021.

(Dollars in Thousands)

FY 2020 Estimated Salary Spending for Non-SES/SL/ST Positions	\$187,200
Estimate Percentage of Award Spending for Non-SES/SL/ST	1.47%
FY 2020 Estimated Award Spending for Non-SES/SL/ST	\$2,752
FY 2021 Estimated Salary Spending for Non-SES/SL/ST Positions	\$188,058
Estimate Percentage of Award Spending for Non-SES/SL/ST	2.47%
FY 2021 Estimated Award Spending for Non-SES/SL/ST	\$4,645
Estimated Increase in FY 2021 Award Spending for Non-SES/SL/ST	\$1,893

Universal Service Fund Exhibit

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. 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 for FY 2019. Starting with FY 2020, TRS is reported separately under a new Treasury Account Symbol (see Telecommunications Relay Service Fund Exhibit on next page).

Public Law 116-93 temporarily suspended the application of the Antideficiency Act to the Federal USF programs authorized under section 210 of the Communications Act of 1934, through December 31, 2020. The Antideficiency Act requires that funds be available before incurring an obligation on behalf of the Federal Government.

Program and Financing (in millions of dollars)

		2019 Actual	2020 Est.	2021 Est.
Obligation by program activity:				
0001	Universal service fund	\$15,403	\$6,470	\$6,607
0002	Program support	\$190	\$248	\$242
0900	Total new obligations (object class 41.0)	\$15,593	\$6,718	\$6,849
Budgetary resources				
1000	Unobligated balance carried forward, start of year	(\$6,047)	(\$11,076)	(\$9,295)
1010	Unobligated balance transfer to other accounts	\$0	(\$298)	\$0
1021	Recoveries of prior year unpaid obligations	\$787	\$563	\$733
1033	Recoveries of prior year paid obligations	\$21	\$0	\$0
1050	Unobligated balance (total)	(\$5,239)	(\$10,811)	(\$8,562)
Budget authority: Mandatory				
1201	Appropriation(special fund) - Receipt	\$9,725	\$8,655	\$8,478
1201	Appropriation(special fund) - Interest	\$31	\$1	\$0
1220	Appropriation transferred to other accounts	\$0	(\$426)	\$0
1260	Appropriation, mandatory (total)	\$9,756	\$8,230	\$8,478
Spending authority from offsetting collections, mandatory:				
1850	Collected (total)	\$0	\$0	\$0
1900	Budget authority (total)	\$9,756	\$8,230	\$8,478
1930	Total budgetary resources available	\$4,517	(\$2,581)	(\$84)
1941	Unexpired unobligated balance, end of year	(\$11,076)	(\$9,295)	(\$6,934)
Change in obligated balances:				
3000	Unpaid obligated balance, start of year	\$12,853	\$17,589	\$14,837
3010	Obligation incurred, unexpired accounts	\$15,593	\$6,718	\$6,849
3020	Total outlays (gross)	(\$10,070)	(\$8,889)	(\$8,923)
3030	Unpaid obligation transferred to other accounts	\$0	(\$18)	\$0
3040	Recoveries of prior year obligations	(\$787)	(\$563)	(\$733)
3050	Unpaid obligated balance, end of year (net)	\$17,589	\$14,837	\$12,030
3100	Obligation balance, start of year	\$12,853	\$17,589	\$14,837
3200	Obligation balance, end of year	\$17,589	\$14,837	\$12,030
Budget authority and outlays net:				
4090	Budget authority gross:	\$9,756	\$8,230	\$8,478
4100	Outlays from new mandatory authority	\$5,357	\$4,257	\$4,608
4101	Outlays from new mandatory balances	\$4,713	\$4,632	\$4,315
4110	Total outlays (net)	\$10,070	\$8,889	\$8,923
Offsets against gross budget authority and outlays				
4123	Offsetting collection from Non-Federal sources	(\$21)	\$0	\$0
4160	Budget authority net (mandatory)	\$9,756	\$8,230	\$8,478
4170	Outlays net (mandatory)	\$10,049	\$8,889	\$8,923
4180	Budget authority net (total)	\$9,756	\$8,230	\$8,478
4190	Outlays net (total)	\$10,049	\$8,889	\$8,923
Memorandum (non-add) entries:				
5000	Total investments, start of year: Federal securities: Par value	\$2,883	\$308	\$0
5001	Total investments, end of year: Federal securities: Par value	\$308	\$0	\$0

Telecommunications Relay Service Fund Exhibit

As part of the Americans with Disabilities Act of 1990 Congress amended the Communications Act of 1934 (Act) to direct the Commission "to ensure that interstate and intrastate telecommunications relay services (TRS) are available, to the extent possible and in the most efficient manner, to hearing and speech-impaired individuals in the United States." Section 225 of the Act also directs the Commission to prescribe regulations that "generally provide that costs caused by interstate telecommunications relay services shall be recovered from all subscribers for every interstate service and costs caused by intrastate telecommunications relay service shall be recovered from the intrastate jurisdiction." The shared-funding mechanism requires providers of interstate telecommunications services to contribute to a fund that reimburses TRS providers for the cost of providing interstate TRS. All telecommunications service providers and certain other providers of telecommunications contribute to the TRS Fund based on a percentage of their end-user telecommunications revenues. These companies include, but are not limited to, wireline phone companies, wireless phone companies, paging service companies and certain Voice over Internet Protocol (VoIP) providers.

All telec

Program and Financing (in millions of dollars)		2019 Actual	2020 Est.	2021 Est.
Obligation by program activity:				
0001	Telecommunications relay services	\$0	\$1,436	\$1,440
0002	Program support	\$0	\$15	\$15
0900	Total new obligations (object class 41.0)	\$0	\$1,451	\$1,455
Budgetary resources				
1000	Unobligated balance carried forward, start of year	\$0	\$0	\$271
1011	Unobligated balance transfer from other accounts	\$0	\$298	\$0
1021	Recoveries of prior year unpaid obligations	\$0	\$0	\$0
1033	Recoveries of prior year paid obligations	\$0	\$0	\$0
1050	Unobligated balance (total)	\$0	\$298	\$271
Budget authority: Mandatory				
1201	Appropriation(special fund) - Receipt	\$0	\$998	\$1,457
1221	Appropriation transferred from other accounts	\$0	\$426	\$0
1260	Appropriation, mandatory (total)	\$0	\$1,424	\$1,457
Spending authority from offsetting collections, mandatory:				
1850	Collected (total)	\$0	\$0	\$0
1900	Budget authority (total)	\$0	\$1,424	\$1,457
1930	Total budgetary resources available	\$0	\$1,722	\$1,728
1941	Unexpired unobligated balance, end of year	\$0	\$271	\$273
Change in obligated balances:				
3000	Unpaid obligated balance, start of year	\$0	\$0	\$15
3010	Obligation incurred, unexpired accounts	\$0	\$1,451	\$1,455
3020	Total outlays (gross)	\$0	(\$1,454)	(\$1,455)
3030	Unpaid obligation transferred to other accounts	\$0	\$18	\$0
3040	Recoveries of prior year obligations	\$0	\$0	\$0
3050	Unpaid obligated balance, end of year (net)	\$0	\$15	\$15
3100	Obligation balance, start of year	\$0	\$0	\$15
3200	Obligation balance, end of year	\$0	\$15	\$15
Budget authority and outlays net:				
4090	Budget authority gross:	\$0	\$1,424	\$1,457
4100	Outlays from new mandatory authority	\$0	\$1,141	\$1,173
4101	Outlays from new mandatory balances	\$0	\$313	\$282
4110	Total outlays (net)	\$0	\$1,454	\$1,455
Offsets against gross budget authority and outlays				
4160	Budget authority net (mandatory)	\$0	\$1,424	\$1,457
4170	Outlays net (mandatory)	\$0	\$1,454	\$1,455
4180	Budget authority net (total)	\$0	\$1,424	\$1,457
4190	Outlays net (total)	\$0	\$1,454	\$1,455

Note: TRS numbers are included under USF for FY 2019. Starting with FY 2020, TRS numbers are shown separately under its own account.

GAO-IG Act Audit List

Good Accounting Obligation in Government Act Report

In accordance with the Good Accounting Obligation in Government Act (GAO-IG Act), the Federal Communications Commission (FCC or Commission) provides the following report. The report describes the Commission's actions on outstanding public recommendations of the Government Accountability Office (GAO) and the Commission's Office of the Inspector General (OIG), which have remained unimplemented for one year or more as of the date on which the annual budget justification is submitted. The first section of the report provides information on the status of implementing GAO public recommendations designated by the GAO as *Open* or *Closed, Unimplemented*. The second section of the report provides information on the status of implementing OIG's recommendations for which the Commission has not completed final action. In accordance with the GAO-IG Act, both sections provide the required reporting elements for recommendations published not less than one year before the date on which the annual budget justification is submitted.

The GAO-IG Act also requires agencies to include a statement describing the status of implementing public recommendations open less than one year. For the GAO and OIG recommendations meeting this parameter, as of January 1, 2020, the Commission is in the process of implementing those recommendations, awaiting closure of the recommendations by the GAO or OIG, or awaiting discussions with the GAO or OIG on further actions to be implemented, if any, to close the recommendations.

The GAO-IG Act requires agencies to disclose discrepancies between its report and reports issued by the GAO and OIG. The Commission is not aware of any discrepancies between this report and public reports issued by the GAO relating to public recommendations designated by the GAO as *Open* or *Closed, Unimplemented*. Further, the Commission is not aware of any discrepancies between this report and the semiannual reports submitted by the OIG under Section 5 of the Inspector General Act of 1978 (5 U.S.C. App.).

FCC Report on Outstanding GAO and OIG Recommendations

1. GAO Recommendations

- **Implementation Status of GAO Public Recommendations Designated by the GAO as “open” or “closed, unimplemented.”**

The reporting details are provided in Section 1. As required by the GAO-IG Act, the details include the implementation status of each public recommendation, to include a timeline for full implementation, as applicable; e.g., for several recommendations, the Commission believes it has completed final action and is awaiting GAO concurrence and closure of the recommendations. The Commission did not include recommendations that were over four years old that GAO and the FCC agreed to label as “closed, unimplemented” because GAO agreed to close those recommendations.

2. OIG Recommendations

- **Implementation Status of OIG Public Recommendations for which Final Action Has Not Been Completed.**

The reporting details are provided in Section 2. As required by the GAO-IG Act, the details include the implementation status of each public recommendation, to include a timeline for implementation, as applicable; e.g., for several recommendations, the Commission believes it has completed final action and is awaiting OIG concurrence and closure of the recommendations.

Section 1 - Implementation Status of GAO Public Recommendations Designated by the GAO as Open or Closed, Unimplemented

Report Number	Report Title	Issued Date	Rec. No. in GAO Report	Recommendation	Timeline for Full Implementation	Justification for Decision Not to Implement
GAO-11-11	Telecommunications - Improved Management can Enhance FCC Decision Making for the Universal Service Fund Low-Income Program	10/28/2010	2	To improve the management and oversight of the Low-Income Program, the Chairman of the FCC should conduct a robust risk assessment of the Low-Income Program.	FY 2020	Implementation is in progress
GAO-12-738	TELECOMMUNICATIONS: FCC has reformed the High-Cost Program, but Oversight and Management Could be Improved)	07/25/2012	1	To determine the overall effectiveness of the Connect America Fund as well as improve the oversight and transparency of the high-cost program, the FCC should establish a specific data-analysis plan for the carrier data and make the information publicly available.	FCC management reported to GAO on 8/20/2019 that FCC had completed final action	Awaiting GAO closure of the recommendation
GAO-15-335	Telecommunications: FCC Should Evaluate the Efficiency and Effectiveness of the Lifeline Program	03/24/2015	1	The FCC should conduct a program evaluation to determine the extent to which the Lifeline program is efficiently and effectively reaching its performance goals of ensuring the availability of voice service for low-income Americans while minimizing the contribution burden on consumers and businesses.	FY 2021	Implementation is in progress
GAO-15-409	Telecommunications Relay Service: FCC Should Strengthen Its Management of Program to Assist Persons with Hearing or Speech Disabilities	04/29/2015	1	Develop specific performance goals and measures for the TRS program. FCC should establish goals that would guide its efforts on major program dimensions--for example, consider goals and performance measures related to, but not limited to, service quality or competition among providers.	FY 2020	Implementation is in progress
GAO-15-409	Telecommunications Relay Service: FCC Should Strengthen Its Management of Program to Assist Persons with Hearing or Speech Disabilities	04/29/2015	2	Following the establishment of TRS's performance goals, the Chairman of the Federal Communications Commission should conduct a robust risk assessment that can help FCC design a comprehensive internal- control system.	FY 2021	Implementation is in progress
GAO-15-409	Telecommunications Relay Service: FCC Should Strengthen Its Management of Program to Assist Persons with Hearing or Speech Disabilities	04/29/2015	3	Improve FCC's communication of TRS rules and procedures to the community of individuals who are deaf, hard of hearing, or have speech disabilities and the companies providing TRS services through the creation and dissemination of a handbook, program manual, or other consolidation of TRS rules and procedures.	FY 2020	Implementation is in progress

Section 1 - Implementation Status of GAO Public Recommendations Designated by the GAO as Open or Closed, Unimplemented

Report Number	Report Title	Issued Date	Rec. No. in GAO Report	Recommendation	Timeline for Full Implementation	Justification for Decision Not to Implement
GAO-16-167	Internet Protocol Transition: FCC Should Strengthen Its Data Collection Efforts to Assess the Transition's Effects	12/16/2015	1	To strengthen FCC's data collection efforts, the Chairman of FCC should develop a strategy to gather additional information on the IP transition to assess the transition's potential effects on public safety and consumers.	FY 2021	Implementation is in progress
GAO-16-222	Telecommunications: Additional Coordination and Performance Measurement Needed for High-Speed Internet Access Programs on Tribal Lands	01/29/2016	4	To help improve and measure the availability and adoption of high-speed Internet on tribal lands, the Chairman of the Federal Communications Commission should develop performance goals and measures to track progress on achieving its strategic objective of ensuring that all tribal schools and libraries have affordable access to modern broadband technologies.	FCC expects GAO to close this recommendation as Not Implemented	FCC management considers that FCC's current Strategic Plan contains sufficient goals and objectives to expand broadband deployment in all parts of the country, including Tribal lands
GAO-16-349	Local Media Advertising: FCC Should Take Action to Ensure Television Stations Publicly File Advertising Agreements	03/10/2016	1	The Chairman of FCC should review joint sales agreements (JSA) filed in stations' public inspection files to identify stations involved in those JSAs and take action to ensure that each station involved has filed its JSA as required.	FCC expects GAO to close this recommendation as Not Implemented	FCC management considers that FCC has taken sufficient actions to ensure that each station files its JSAs as required, including issuing Public Notice DA 16-636 which reminded licensees of the requirement to place JSAs in public inspection files
GAO-17-538	Telecommunications: Additional Action Needed to Address Significant Risks in FCC's Lifeline Program	05/30/2017	1	To address control weaknesses and related program-integrity risks we identified in Lifeline, the Chairman of FCC should require Commissioners to review and approve, as appropriate, spending above the budget in a timely manner.	A final implementation date has not been established	On-going evaluation of recommendation
GAO-17-538	Telecommunications: Additional Action Needed to Address Significant Risks in FCC's Lifeline Program	05/30/2017	3	To address control weaknesses and related program-integrity risks we identified in Lifeline, the Chairman of FCC should establish time frames to evaluate compliance plans and develop instructions with criteria for FCC reviewers how to evaluate these plans to meet Lifeline's program goals.	A final implementation date has not been established	On-going evaluation of recommendation

Section 1 - Implementation Status of GAO Public Recommendations Designated by the GAO as Open or Closed, Unimplemented

Report Number	Report Title	Issued Date	Rec. No. in GAO Report	Recommendation	Timeline for Full Implementation	Justification for Decision Not to Implement
GAO-17-538	Telecommunications: Additional Action Needed to Address Significant Risks in FCC's Lifeline Program	05/30/2017	4	To address control weaknesses and related program-integrity risks we identified in Lifeline, the Chairman of FCC should develop an enforcement strategy that details what violations lead to penalties and apply this as consistently as possible to all Lifeline providers to ensure consistent enforcement of program violations; the strategy should include a rationale and method for resource prioritization to help maximize the effectiveness of enforcement activities.	FCC management reported to GAO on 1/28/2020 that FCC had completed final action	Awaiting GAO closure of the recommendation
GAO-17-538	Telecommunications: Additional Action Needed to Address Significant Risks in FCC's Lifeline Program	05/30/2017	7	To address our findings regarding the USF, the Chairman of FCC should take action to respond to USAC requests for guidance and address pending requests concerning USF contribution requirements to ensure the contribution factor is based on complete information and that USF pass-through charges are equitable.	A final implementation date has not been established	Implementation is in progress
GAO-17-727	FCC Updated Its Enforcement Program, but Improved Transparency Is Needed	09/14/2017	1	The Chairman of the FCC should establish quantifiable goals and related measures--performance indicators, targets, and timeframes--for its enforcement program and annually publish the results to demonstrate the performance of this program and improve transparency regarding FCC's enforcement priorities.	FY 2020	Implementation is in progress
GAO-17-727	FCC Updated Its Enforcement Program, but Improved Transparency Is Needed	09/14/2017	2	The Chairman of the FCC should establish, and make publicly available, a communications strategy outlining the agency's enforcement program for external stakeholders, to improve engagement with the telecommunications community on the purposes, objectives, and processes the Enforcement Bureau employs to achieve its mission.	FY 2020	Implementation is in progress

Section 1 - Implementation Status of GAO Public Recommendations Designated by the GAO as Open or Closed, Unimplemented

Report Number	Report Title	Issued Date	Rec. No. in GAO Report	Recommendation	Timeline for Full Implementation	Justification for Decision Not to Implement
GAO-17-785	VIDEO PROGRAMMING FCC Should Conduct Additional Analysis to Evaluate Need for Set- Top Box Regulation	09/29/2017	1	To help ensure that any future decisions by FCC regarding its efforts under the Act are based on comprehensive analysis, we recommend that FCC, as part of its future annual video competition reports, analyze how the ongoing evolution in the video programming market affects competition in the related market for set-top boxes and devices, including how this evolution affects the extent to which consumer choice for devices to access MVPD content remains a relevant aspect of the competitive environment.	FY 2021	Implementation is in progress
GAO-18-71	INTERNET OF THINGS FCC Should Track Growth to Ensure Sufficient Spectrum Remains Available	11/16/2017	1	The Chairman of FCC should track the growth in high bandwidth IoT devices, such as video-streaming devices and optical sensors.	FCC expects GAO to close this recommendation as Not Implemented	As FCC management stated in its comment letter which is reprinted in GAO's report, FCC considers it more effective to work with industry to track overall spectrum usage, rather than singling out high bandwidth IoT devices
GAO-18-71	INTERNET OF THINGS FCC Should Track Growth to Ensure Sufficient Spectrum Remains Available	11/16/2017	2	The Chairman of FCC should track the growth in IoT devices relying on unlicensed spectrum.	FCC expects GAO to close this recommendation as Not Implemented	As FCC management stated in its comment letter which is reprinted in GAO's report, FCC maintains a database of all unlicensed devices which are certified under its rules, but it would not be practical to determine which of these devices qualify as IoT
GAO-18-198	Telecommunications: FCC Should Improve Monitoring of Industry Efforts to Strengthen Wireless Network Resiliency	12/12/2017	1	The Chairman of FCC should work with industry, to the extent practical, to develop specific and measurable objectives for the Wireless Network Resiliency Cooperative Framework, such as outputs to measure the extent of the framework's use.	FCC management reported to GAO on 1/23/2020 that FCC had completed final action	Awaiting GAO closure of this recommendation

Section 1 - Implementation Status of GAO Public Recommendations Designated by the GAO as Open or Closed, Unimplemented

Report Number	Report Title	Issued Date	Rec. No. in GAO Report	Recommendation	Timeline for Full Implementation	Justification for Decision Not to Implement
GAO-18-198	Telecommunications: FCC Should Improve Monitoring of Industry Efforts to Strengthen Wireless Network Resiliency	12/12/2017	2	The Chairman of FCC should develop a plan to monitor the outputs and outcomes of the Wireless Network Resiliency Cooperative Framework and document the results of its monitoring to evaluate its effectiveness and identify whether changes are needed.	FCC management reported to GAO on 1/23/2020 that FCC had completed final action	Awaiting GAO closure of this recommendation
GAO-18-630	BROADBAND INTERNET FCC's Data Overstate Access on Tribal Lands	09/07/2018	1	The Chairman of the Federal Communications Commission should develop and implement methods--such as a targeted data collection--for collecting and reporting accurate and complete data on broadband access specific to tribal lands.	FY 2021	Implementation is in progress
GAO-18-630	BROADBAND INTERNET FCC's Data Overstate Access on Tribal Lands	09/07/2018	2	The Chairman of the Federal Communications Commission should develop a formal process to obtain tribal input on the accuracy of provider-submitted broadband data that includes outreach and technical assistance to help tribes participate in the process.	FY 2021	Implementation is in progress
GAO-18-630	BROADBAND INTERNET FCC's Data Overstate Access on Tribal Lands	09/07/2018	3	The Chairman of the Federal Communications Commission should obtain feedback from tribal stakeholders and providers on the effectiveness of FCC's 2012 statement to providers on how to fulfill their tribal engagement requirements to determine whether FCC needs to clarify the agency's tribal engagement statement.	FY 2020	Implementation is in progress
GAO-19-75	TRIBAL BROADBAND FCC Should Undertake Efforts to Better Promote Tribal Access to Spectrum	11/14/2018	1	The Chairman of FCC should collect data on the extent that tribal entities are obtaining and accessing spectrum and use this information as FCC implements ongoing spectrum initiatives.	A final implementation date has not been established	Implementation is in progress
GAO-19-75	TRIBAL BROADBAND FCC Should Undertake Efforts to Better Promote Tribal Access to Spectrum	11/14/2018	2	The Chairman of FCC should analyze data to better understand the extent that unused spectrum licenses exist over tribal lands, such as by analyzing the data for a sample of tribal lands, and as appropriate use this information to inform its oversight of the secondary market.	FY 2020	Implementation is in progress
GAO-19-75	TRIBAL BROADBAND FCC Should Undertake Efforts to Better Promote Tribal Access to Spectrum	11/14/2018	3	The Chairman of FCC should make information on spectrum-license holders more accessible and easier to understand for interested parties, including tribal entities, to promote their ability to purchase or lease spectrum licenses from other providers.	A final implementation date has not been established	Implementation is in progress

Section 1 - Implementation Status of GAO Public Recommendations Designated by the GAO as Open or Closed, Unimplemented

Report Number	Report Title	Issued Date	Rec. No. in GAO Report	Recommendation	Timeline for Full Implementation	Justification for Decision Not to Implement
GAO-15-363	BROADBAND PERFORMANCE: Additional Actions Could Help FCC Evaluate Its Efforts to Inform Consumers	05/15/2015	1	To help FCC determine whether its efforts to provide consumers with broadband performance information are effective and meeting consumers' needs, and whether additional efforts--such as a standardized label suggested by FCC's transparency working group--could benefit consumers, FCC should conduct or commission research on the effectiveness of FCC's efforts to provide consumers with broadband performance information and make the results of this research publicly available.	GAO has marked this recommendation Closed – Not Implemented.	FCC continuously monitors the adequacy of its consumer information by soliciting input at outreach events, functions and meetings with all constituent groups. We also monitor complaints and inquiries we receive from consumers through our Consumer Help Center. We do not think the additional research GAO recommends would be the best use of FCC's limited resources.
GAO-15-363	BROADBAND PERFORMANCE: Additional Actions Could Help FCC Evaluate Its Efforts to Inform Consumers	05/15/2015	2	To help FCC determine whether its efforts to provide consumers with broadband performance information are effective and meeting consumers' needs, and whether additional efforts--such as a standardized label suggested by FCC's transparency working group--could benefit consumers, FCC should establish performance goals and measures under the agency's relevant strategic objectives that allow it to monitor and report on the impact and effectiveness of its efforts.	GAO has marked this recommendation Closed – Not Implemented.	FCC's Strategic Plan includes goals covering the FCC's efforts to provide consumers with broadband performance information. We believe these goals are sufficient.
GAO-15-574	ACCESSIBLE COMMUNICATIONS: FCC Should Evaluate the Effectiveness of Its Public Outreach Efforts	06/25/2015	1	We recommend the Chairman of FCC evaluate the effectiveness of FCC's accessibility-related public outreach efforts and ensure those efforts incorporate key practices identified in this report, such as defining objectives and establishing process and outcome metrics.	GAO has marked this recommendation Closed – Not Implemented.	FCC continuously monitors the effectiveness of our public outreach by soliciting input at outreach events, functions and meetings with all constituent groups. We also monitor complaints and inquiries we receive from consumers through our Consumer Help Center. We do not think the additional steps GAO recommends would be the best use of FCC's limited resources.

Section 2 - Implementation Status of OIG Public Recommendations Designated by the OIG for which Final Action Has Not Been Completed

Report Number	Report Title	Issued Date	Rec. No. in OIG Report	Recommendation	Timeline for Full Implementation	Justification for Decision Not to Implement
16-AUD-06-04	FY 2016 FCC Financial Statements Audit	11/15/2016	1	USAC develop and implement policies and procedures for recording deobligations in accordance with program rules and accounting standards. [Repeat from FY 2016]	FY 2020	Implementation is in progress
16-AUD-16-04	FY 2016 FCC Financial Statements	11/15/2016	3	USAC develop and implement quality review procedures to ensure that deobligations are processed in the appropriate fiscal year.	FY 2020	Implementation is in progress
18-AUD-07-05	FY 2018 FCC Financial Statements Audit	11/15/2016	4	Enhance the lines of communication between the accounting personnel and the program offices, to include formal and detailed communication of operational and application issues as they arise.	FY 2020	Implementation is in progress
12-AUD-12-19	FY 2011-2012 Red Light Audit	06/04/2014	1.3	We recommend that the FCC CFO require FCC Component entities to report in the RLD system all delinquent debts from inactive or out of business entities, and debts that have not been approved for write-off in order to prevent these entities from obtaining subsequent FCC benefits.	FCC management reported to OIG on 01/27/2020 that FCC had completed final action	Awaiting OIG closure of the recommendation
12-AUD-12-19	FY 2011-2012 Red Light Audit	06/04/2014	4.3	We recommend that the FCC CFO and its Component entities include language in contractual agreements with third-party service providers that stipulate each party's responsibilities for the transfer of files, reconciliation of accounts, document retention and document transfer between the predecessor and successor FCC Fund Administrators.	FCC management reported to OIG on 01/31/2020 that FCC had completed final action	Awaiting OIG closure of the recommendation
13-AUD-12-29	FY 2014 WCB Audit	07/29/2015	4.1	We recommend WCB develop and implement a plan that ensures the closure of pending appeals in a timely manner and prioritizes the resolution of appeals filed 2010 and earlier.	FY 2020	Implementation is in progress
18-AUD-01-02	FY 2017 IPERIA Audit	05/15/2018	1	Perform an assessment of the USF-LL Program to determine whether additional regulatory changes are necessary to reduce the gross improper payment rate to or below the IPERIA threshold of less than 10 percent of outlays.	FCC management reported to OIG on 12/16/2019 that FCC had completed final action	Awaiting OIG closure of the recommendation
18-AUD-01-02	FY 2017 IPERIA Audit	05/15/2018	7	Coordinate with USAC to conduct periodic training for all appropriate FCC and USF Program personnel, to further clarify and emphasize the requirements of guidance for reporting improper payments.	FCC management reported to OIG on 09/11/2019 that FCC had completed final action	Awaiting OIG closure of the recommendation
18-AUD-01-02	FY 2017 IPERIA Audit	05/15/2018	8	Require USAC to conduct periodic checks of Information Technology systems that support USP programs, to ensure that their configurations support complete, accurate and valid processing of data and payments.	FCC management reported to OIG on 09/11/2019 that FCC had completed final action	Awaiting OIG closure of the recommendation
16-AUD-11-05	FY 2016 WTB Auctions Division Risk Management Process Audit	01/16/2018	3	Formally communicate risk management policy to staff within the Auctions Division, e.g. risk specific trainings, or instructions.	FY 2020	Implementation is in progress

Section 2 - Implementation Status of OIG Public Recommendations Designated by the OIG for which Final Action Has Not Been Completed

Report Number	Report Title	Issued Date	Rec. No. in OIG Report	Recommendation	Timeline for Full Implementation	Justification for Decision Not to Implement
16-AUD-11-05	FY 2016 WTB Auctions Division Risk Management Process Audit	01/16/2018	4	Document the Auctions Division's decisions related to management's chosen responses to the risks identified, i.e. reduction, acceptance, avoidance, or sharing. The documentation of these responses can be used as a basis for responding to or informing on future policy and process changes at the Auctions Division, OMD, or FCC.	FY 2020	Implementation is in progress
15-AUD-10-09	Audit of National Lifeline Accountability Database (NLAD)	03/26/2018	1.3	Develop and implement monitoring procedures to ensure ETCs comply with the Lifeline Program's one-per-household rule and prevent ineligible consumers from enrolling in NLAD and receiving Lifeline Program-supported services. Also, on a random basis, request IEH Worksheets before completing consumers' enrollment in NLAD for households receiving multiple Lifeline Program benefits.	FCC management reported to OIG on 01/14/2020 that FCC had completed final action	Awaiting OIG closure of the recommendation
15-AUD-10-09	Audit of National Lifeline Accountability Database (NLAD)	03/26/2018	2.2	Require that USAC obtain written statements from state commissions and ETCs to confirm that their staff and agents who have NLAD access rights have successfully completed background investigations.	FY 2020	Awaiting OIG closure of the recommendation
15-AUD-10-09	Audit of National Lifeline Accountability Database (NLAD)	03/26/2018	2.4	Require that USAC obtain written statements from state commissions, contractors, and ETCs confirming that their staff and agents who are granted access rights for NLAD have completed appropriate training to reduce the possibility that PII will be accessed, used, or disclosed inappropriately.	FY 2020	Awaiting OIG closure of the recommendation
15-AUD-10-09	Audit of National Lifeline Accountability Database (NLAD)	03/26/2018	4.4	Develop and implement monetary-based sanctions to deter ETCs and agents from making inappropriate attempts to enroll ineligible consumers into NLAD.	FY 2020	Implementation is in progress
16-AUD-01-01	High Cost Interstate Common Line Support Controls Audit	07/12/2018	1.1	Ensure that USAC's management develops and implements a risk-based approach for validating the accuracy of the underlying financial and non-financial data that support the ETCs' FCC Forms 509.	FCC management reported to OIG on 12/09/19 that FCC had completed final action	Awaiting OIG closure of the recommendation
16-AUD-01-01	High Cost Interstate Common Line Support Controls Audit	07/12/2018	1.2	Execute a MOU with USAC and NECA to define the roles and responsibilities of each party (See Recommendation 2.1 for additional detail).	FY 2020	Implementation is in progress
16-AUD-01-01	High Cost Interstate Common Line Support Controls Audit	07/12/2018	1.3	Ensure that NECA implements a risk-based approach for its cost study validation process and for selecting ETCs for further examination.	FY 2020	Implementation is in progress

Section 2 - Implementation Status of OIG Public Recommendations Designated by the OIG for which Final Action Has Not Been Completed

Report Number	Report Title	Issued Date	Rec. No. in OIG Report	Recommendation	Timeline for Full Implementation	Justification for Decision Not to Implement
16-AUD-01-01	High Cost Interstate Common Line Support Controls Audit	07/12/2018	1.4	Ensure that NECA implements improvements to the cost study validation process to include: a. Verifying the accuracy of a sample of the underlying financial data supporting the cost studies, b. Validating the financial data supporting the CLR reported by the ETCs, c. Implementing changes to the management level reviews of compiled FCC Forms 509 to improve the reviews' effectiveness, d. Performing an evaluation to determine whether the thresholds for priority reviews should be set at both a lower dollar amount and percentage, and e. Maintaining a record of the changes that have been made to cost studies and other financial data submitted by ETCs to NECA.	FY 2020	Implementation is in progress
16-AUD-01-01	High Cost Interstate Common Line Support Controls Audit	07/12/2018	1.5	Ensure that USAC management implements a periodic review of NECA's process for compiling FCC Forms 509, validating cost studies, and using NECA IAD to monitor and help to reduce the risk of errors in FCC Forms 509 prepared by NECA.	FY 2020	Implementation is in progress
16-AUD-01-01	High Cost Interstate Common Line Support Controls Audit	07/12/2018	2.1	Execute a MOU among the FCC, USAC and NECA that defines the roles and responsibilities of each party with regard to the ICLS program. Monitor, review and update the MOU on a periodic basis to address changes to FCC's rules applicable to the ICLS program.	FY 2020	Implementation is in progress
16-AUD-01-01	High Cost Interstate Common Line Support Controls Audit	07/12/2018	2.2	Conduct periodic risk assessments of the ICLS program and review controls over ICLS. Additionally, perform internal control reviews at NECA to ensure that its internal control is effective in mitigating risks of improper ICLS payments to ETCs.	FY 2020	Implementation is in progress
NA	Semi-Annual Report to Congress	09/30/2017	NA	The FCC should follow through with its draft order and establish a reformed suspension and debarment program.	A final implementation date has not been established	Implementation is in progress
NA	Semi-Annual Report to Congress	03/30/2017	NA	The FCC should require a mandatory competitive bid document upload.	A final implementation date has not been established	On-going evaluation of recommendation

Section 2 - Implementation Status of OIG Public Recommendations Designated by the OIG for which Final Action Has Not Been Completed

Report Number	Report Title	Issued Date	Rec. No. in OIG Report	Recommendation	Timeline for Full Implementation	Justification for Decision Not to Implement
17-AUD-08-04	FY 2017 DATA Act Readiness Inspection	11/07/2017	3	Develop and implement a checklist of required documents (e.g., solicitation, contractor bids, award/base contract, contract modification(s), statement of work, etc.) that the FCC Contracting Officers must maintain in contract files. Contracting Officers should include the completed checklist in each contract file, and appropriate personnel should perform periodic quality control reviews to ensure the Contracting Officers consistently maintain the documentation.	FY 2020	Implementation is in progress
17-AUD-08-04	FY 2017 DATA Act Readiness Inspection	11/07/2017	4	Perform an analysis of the cost effectiveness and technical feasibility of locating all documents identified in the checklist referenced in Recommendation 3 for previously awarded, active contracts. If the analysis determines it is cost effective and technically feasible, locate the files and create and retain readily available digital copies.	FY 2021	Implementation is in progress
17-AUD-08-04	FY 2017 DATA Act Readiness Inspection	11/07/2017	5	Develop and implement procedures and establish a central repository to ensure that, going forward (i.e., all newly awarded contracts), the FCC retains digital, signed copies of all documents identified in the checklist referenced in Recommendation 3 for its official contract files. Consider the related functionality within the FCC's accounting system, Genesis. As applicable, include the digital files created in Recommendation 4.	FY 2020	Implementation is in progress
17-AUD-05-02	Audit of West Baton Rouge Parish Central Office (E-Rate)	02/01/2019	M-1	Universal Service Administrative Company should perform a review to determine if the Central Office received USF reimbursements for services (in years other than funding years 2015) that it did not pay for.	FCC management reported to OIG on 01/30/2020 that FCC had completed final action	Awaiting OIG closure of the recommendation
17-AUD-05-02	Audit of West Baton Rouge Parish Central Office (E-Rate)	02/01/2019	M-2	Universal Services Administrative Company should perform a review to determine if other E-rate program beneficiaries received reimbursements from the USF for services that AT&T did not bill for, and thus the beneficiaries did not pay for.	FCC management reported to OIG on 01/30/2020 that FCC had completed final action	Awaiting OIG closure of the recommendation

Section 2 - Implementation Status of OIG Public Recommendations Designated by the OIG for which Final Action Has Not Been Completed

Report Number	Report Title	Issued Date	Rec. No. in OIG Report	Recommendation	Timeline for Full Implementation	Justification for Decision Not to Implement
18-Eval 07-01	FY 2018 Federal Information Security Modernization Act of 2014 (FISMA) Evaluation	12/21/2018	1	We issued 19 recommendations in the non-public FY 2018 FISMA evaluation report to improve the effectiveness of the FCC’s information security program controls in the areas of Risk Management, Configuration Management, Identity and Access Management, Information Security Continuous Monitoring, Incident Response, and Contingency Planning. Our report does not include recommendations in the areas of Data Protection and Privacy and Security Training because the FCC demonstrated effective controls in these areas. Of the 19 recommendations we issued, 12 are either repeats or updates from prior FISMA evaluations, and 7 address security deficiencies identified in FY 2018. For comparison, we issued 24 recommendations in the FY 2017 FISMA evaluation report. We noted that the FCC was in the process of implementing policies and procedures to strengthen security controls in several areas during our evaluation. Kearney recommends that the FCC continue to prioritize and implement its documented security policies and procedures, as well as establish ongoing monitoring over all five NIST Cybersecurity Functions to achieve an effective maturity Level 4: <i>Managed and Measurable</i> for its information security program. (8 of the 19 recommendations remain open and two are repeats from 2016, three are repeats from 2017 and three remain open from 2018.)	Of the 19 recommendations 8 remain open and we plan to close all 8 recommendations in FY 2020	Implementation is in progress

Response to Congressional Inquiries Concerning GAO Recommendations



OFFICE OF
THE CHAIRMAN

FEDERAL COMMUNICATIONS COMMISSION
WASHINGTON

July 19, 2019

The Honorable Mike Quigley
Committee on Appropriations
Subcommittee on Financial Services and General Government
U.S. House of Representatives
2000 Rayburn House Office Building (G Floor)
Washington, DC 20515

Dear Chairman Quigley:

On April 19, 2019, the Government Accountability Office (GAO) publicly released a report entitled *Tribal Consultation: Additional Federal Actions Needed for Infrastructure Projects*, GAO 19-22 (Report). The Report examines factors that hinder effective Tribal consultation; identifies steps that twenty-one federal agencies, including the FCC, have taken to facilitate consultation; and recommends actions to improve Tribal consultation for many of the federal agencies. GAO notes that it included the FCC in the report because its “approach to Tribal consultation for telecommunications towers was identified as a best practice among reports [GAO] reviewed and Tribal and agency officials [GAO] interviewed.”

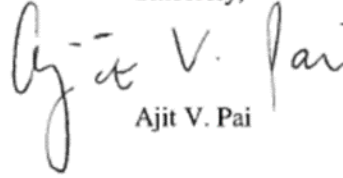
The Report recommends that the FCC Chairman document in the agency’s Tribal consultation policy how agency officials are to communicate with Tribes about how Tribal input from consultation was considered in agency decisions on infrastructure projects. In responding to the draft Report, the Chiefs of the FCC’s Wireless Telecommunications Bureau and Consumer and Governmental Affairs Bureau explained how the Nationwide Programmatic Agreement Regarding the Section 106 National Historic Preservation Act Review Process (Nationwide Programmatic Agreement) sets forth procedures for communications between Tribal governments and the FCC regarding individual telecommunication infrastructure projects.

I share your interest in ensuring that the FCC has procedures in place to communicate with Tribes about how their input was considered in a project, which is why the Nationwide Programmatic Agreement is so important. Given that each of the 573 federally recognized Tribes has its own particular communications preference with the FCC, the Nationwide Programmatic Agreement provides a flexible approach that contemplates a collaborative, back-and-forth process between the FCC, entities constructing infrastructure projects, and the Tribes. The process created by the Nationwide Programmatic Agreement strikes a balance between keeping Tribes informed and respecting Tribal communication preferences.

Nevertheless, there is always room for improving communications. Consistent with GAO’s recommendation, I have asked FCC staff to explore ways of documenting how FCC staff could communicate with Tribes about how Tribal input was used in FCC decisions on

telecommunications infrastructure projects. I appreciate the opportunity to comment on the GAO Report and would be happy to discuss further if you have any questions.

Sincerely,



Ajit V. Pai

cc: The Honorable Bernie Sanders
The Honorable Thomas Udall
The Honorable Raúl M. Grijalva
The Honorable Ruben Gallego
The Honorable Peter Aguilar
The Honorable Donald S. Beyer, Jr.
The Honorable Tony Cárdenas
The Honorable Yvette D. Clarke
The Honorable William Lacy Clay
The Honorable Keith Ellison
The Honorable Jared Huffman
The Honorable Daniel T. Kildee
The Honorable Derek Kilmer
The Honorable Ann Kirkpatrick
The Honorable Alan S. Lowenthal
The Honorable Ben Ray Lujan
The Honorable Betty McCollum
The Honorable Gwen Moore
The Honorable Grace F. Napolitano
The Honorable Frank Pallone, Jr.
The Honorable Jared Polis
The Honorable Lucille Roybal-Allard
The Honorable Raul Ruiz, M.D.
The Honorable Linda T. Sanchez
The Honorable Mark Takano
The Honorable Norma J. Torres



OFFICE OF
THE CHAIRMAN

FEDERAL COMMUNICATIONS COMMISSION
WASHINGTON

December 3, 2019

The Honorable John N. Kennedy
Chairman
Committee on Appropriations
Subcommittee on Financial Services and General Government
United States Senate
S-128 The Capital Building
Washington, D.C. 20510

Dear Chairman Kennedy:

On July 29, 2019, the Government Accountability Office (GAO) publicly released a report entitled *FCC Should Assess Making Off-School-Premises Access Eligible for Additional Federal Support*, GAO 19-564 (Off-Premises Wireless Access Report).³ GAO was asked to review wireless Internet access for school-age children in lower-income households. The Off-Premises Wireless Access Report examines (1) challenges lower-income school-age children who lack in-home fixed broadband face in doing homework that involves Internet access and (2) selected school districts' efforts to expand wireless access for students and the federal role in those efforts. GAO also examined prior FCC efforts to expand wireless access for students and compared them to federal internal control standards and pilot-program design best practices.

The Off-Premises Wireless Access Report recommends that the Commission determine and execute a methodology for collecting and analyzing data "to assess the potential benefits, costs, and challenges of making off-premises access eligible for E-Rate program support," and publish the results of its analysis. In a July 15, 2019 response to a draft of the Off-Premises Wireless Access Report, the Chief of the Wireline Competition Bureau (Bureau) agreed with GAO's recommendation, and explained the Commission's plans for addressing the recommendation. I tasked the Commission's Office of Economics and Analytics, in consultation with the Bureau, to assess the potential benefits and costs of, and other policy issues involved in, making off-premises wireless broadband access eligible for E-Rate program support. To this end, Commission staff is currently undertaking the analysis of a 2011-2012 E-Rate pilot program, which involved a similar approach. I will ensure that FCC staff publish a report that evaluates the results of this pilot program. As the Bureau Chief noted in her response to GAO, we will evaluate such data for lessons learned (accounting for changes in technology, costs, and student learning over the past eight years) before taking any further steps.

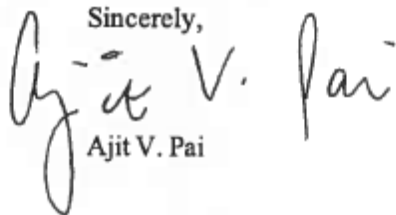
Closing the digital divide is my top priority, and the Commission's E-Rate program plays a critical role in addressing this issue by facilitating and promoting increased broadband deployment to our nation's schools and libraries. As Commission staff undertakes this analysis, and as noted in the Bureau Chief's response to GAO, we will remain mindful of limits of the Commission's authority under sections 254(h)(1)(B) and 254(h)(2) of the Communications Act, which require respectively that services be provided for "educational purposes" and that rules "enhance, to the extent technically feasible and

³ GAO, *FCC Should Assess Making Off-School-Premises Access Eligible for Additional Federal Support*, GAO 19-564, available at <https://www.gao.gov/assets/710/700629.pdf>.

economically reasonable, access to advanced telecommunications and information services for . . . school classrooms . . . and libraries.”

I appreciate the GAO’s thorough analysis and recommendation. Thank you for the opportunity to respond to the Off-Premises Wireless Access Report, and please let me know if you require further assistance on this subject.

Sincerely,

A handwritten signature in cursive script that reads "Ajit V. Pai". The signature is written in black ink and is positioned to the right of the word "Sincerely,".

Ajit V. Pai