

# **Federal Communications Commission**



# **2022**

**Budget Estimates to Congress  
May 2021**



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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) 2022 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."<sup>1</sup> 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."<sup>2</sup>

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 the Chairperson.

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 2022, the FCC will continue to improve its processes 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 2022, the Commission is requesting the budget and personnel amounts that are summarized in the bullets and a table below:

- The Commission requests \$387,950,000 in budget authority from regulatory fee offsetting collections. This request represents a net increase of \$13,950,000 or 3.7 percent from the FY 2021 appropriated level of \$374,000,000.

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<sup>1</sup> 47 U.S.C. § 151.

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

- The Commission requests \$128,621,000 in budget authority for the spectrum auctions program. This request represents a net decrease of \$5,874,000 or -4.4 percent from the FY 2021 appropriated level of \$134,495,000. To date, the Commission’s spectrum auctions program has generated over \$210.5 billion for government use; at the same time, the total cost of the auctions program has been less than \$2.2 billion or 1.1 percent of the total auctions’ revenue.
- In creating a lean, accountable, and efficient Commission that works for the American people, the Commission requests 1,550 Full Time Equivalents (FTEs) funded by budget authority from regulatory fee offsetting collections, spectrum auctions program, and other budget authorities provided by President and Congress. This FTE level is an increase of 78 from the FY 2021 enacted level of 1,472. With this FTE level, the Commission will meet its increased mission demands in FY 2022.

(Dollars in Thousands)

	FY 2021		FY 2022		Change in Request	
	FTEs <sup>1</sup>	Enacted	FTEs <sup>1</sup>	Estimates to Congress	FTEs <sup>1</sup>	Amount
<b>Budget Authority - Offsetting Collections:</b>						
Regulatory Fees - Commission <sup>2</sup>	1,412	\$362,673	1,490	\$376,096	78	\$13,423
Regulatory Fees - Office of Inspector General (OIG)	60	\$11,327	60	\$11,854	0	\$527
<b>Subtotal - Offsetting Collections</b>	<b>1,472</b>	<b>\$374,000</b>	<b>1,550</b>	<b>\$387,950</b>	<b>78</b>	<b>\$13,950</b>
<b>Budget Authority - Other Offsetting Collections:</b>						
Auction Cost Recovery Reimbursement - Commission		\$134,358		\$128,481		-\$5,877
Auction Cost Recovery Reimbursement - OIG		\$137		\$140		\$3
<b>Subtotal - Auction Cost Recovery Reimbursement</b>		<b>\$134,495</b>		<b>\$128,621</b>		<b>-\$5,874</b>
Economy Act Reimbursable Agreements		\$4,000		\$4,000		\$0
<b>Subtotal - Other Offsetting Collections</b>		<b>\$138,495</b>		<b>\$132,621</b>		<b>-\$5,874</b>
<b>Total Gross Proposed Budget Authority<sup>2</sup></b>	<b>1,472</b>	<b>\$512,495</b>	<b>1,550</b>	<b>\$520,571</b>	<b>78</b>	<b>\$8,076</b>

<sup>1</sup>The FTE numbers include Auctions Program FTEs. Refer to page 16 for a breakdown of FTEs between Regulatory Fees and Auctions Program FTEs.

<sup>2</sup>In FY 2021, a total of \$98 million was made available to implement certain requirements of the Broadband DATA Act, of which, \$33 million was appropriated under the Commission's Regulatory Fees (Offsetting Collections) and, therefore, is included in this schedule. The \$65 million in other budget authority dedicated for the implementation of the Broadband DATA Act is shown with Commission’s other budget authorities to provide a better historical comparison of the components of the FCC’s regular budgetary requests. The Commission’s other budget authorities are summarized on page 51.

In furtherance of these objectives and the FCC’s mission, the FY 2022 budget request will be used to support the following Strategic Goals for FY 2022:

### **Strategic Goal 1: Pursue a “100 Percent” Broadband Policy**

The COVID-19 pandemic put a spotlight on the serious broadband gaps that exist across the country, including in rural infrastructure, affordability for low-income Americans, and at-home access for students. This continuing digital divide means millions of Americans do not have meaningful access to essential infrastructure for 21<sup>st</sup> century success. In response to the COVID-19 pandemic and the challenges that many Americans face, the agency should advance access to communications that are essential for Americans to work remotely, learn remotely, receive healthcare, and engage in commerce. To this end, the FCC will pursue policies to help bring affordable, reliable, high-speed broadband to 100 percent of the country.

### **Strategic Goal 2: Promote Diversity, Equity, Inclusion and Accessibility**

The FCC will seek to gain a deeper understanding of how the agency’s rules, policies, and programs may promote or inhibit advances in diversity, equity, inclusion, and accessibility. The FCC will pursue focused action and investments to eliminate historical, systemic, and structural barriers that perpetuate disadvantaged or underserved individuals and communities. In so doing, the FCC will work to ensure equitable and inclusive access and facilitate the ability of underserved individuals and communities to leverage and benefit from the wide range of opportunities made possible by digital technologies, media, communication services, and next-generation networks. In addition, the FCC recognizes that it is more effective when its workforce reflects the experience, judgement, and input of individuals from many different backgrounds. Advancing equity is core to the agency’s management and policymaking processes and will benefit all Americans.

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

Consumers who are well informed about their rights and what they’re buying are more confident and more likely to participate in the digital economy. The FCC will tackle new challenges to consumer rights and opportunities stemming from the COVID-19 pandemic, plans for post-COVID recovery, and digital transitions. The FCC also will pursue effective enforcement and new approaches to protect consumers from unwanted and intrusive communications, phone-based scams, telephone privacy issues, and other trends that affect consumers. The FCC will work to enhance competition and pursue policies that protect the competitive process to improve consumer choice and access to information. The FCC will work to foster a regulatory landscape that fosters media competition, diversity, and localism. The FCC also must work to ensure the availability of quality, functionally equivalent communications services for persons with disabilities.

### **Strategic Goal 4: Enhance Public Safety and National Security**

There is no task at the FCC that is more important than keeping the American people safe. The FCC will pursue policies to promote the availability of secure, reliable, interoperable, redundant, and rapidly restorable critical communications infrastructure and services. The FCC also will promote the public’s access to reliable 911, emergency alerting, and first responder communications. The FCC will work to ensure the continued availability of timely emergency

alerts. The FCC will work in coordination with Federal and state, local, Tribal, and territorial government partners and industry stakeholders to support disaster response and to ensure the nation's defense and homeland security.

### **Strategic Goal 5: Advance America's Global Competitiveness**

The FCC will take action to promote investment and advance the development and deployment of new communications technologies, such as 5G, that will allow the nation to remain a global leader in an increasingly competitive, international marketplace. The FCC will identify incentives and policies to close security gaps and accelerate trustworthy innovation. The FCC will work with its federal partners to advocate for US interests abroad.

### **Strategic Goal 6: Foster Operational Excellence**

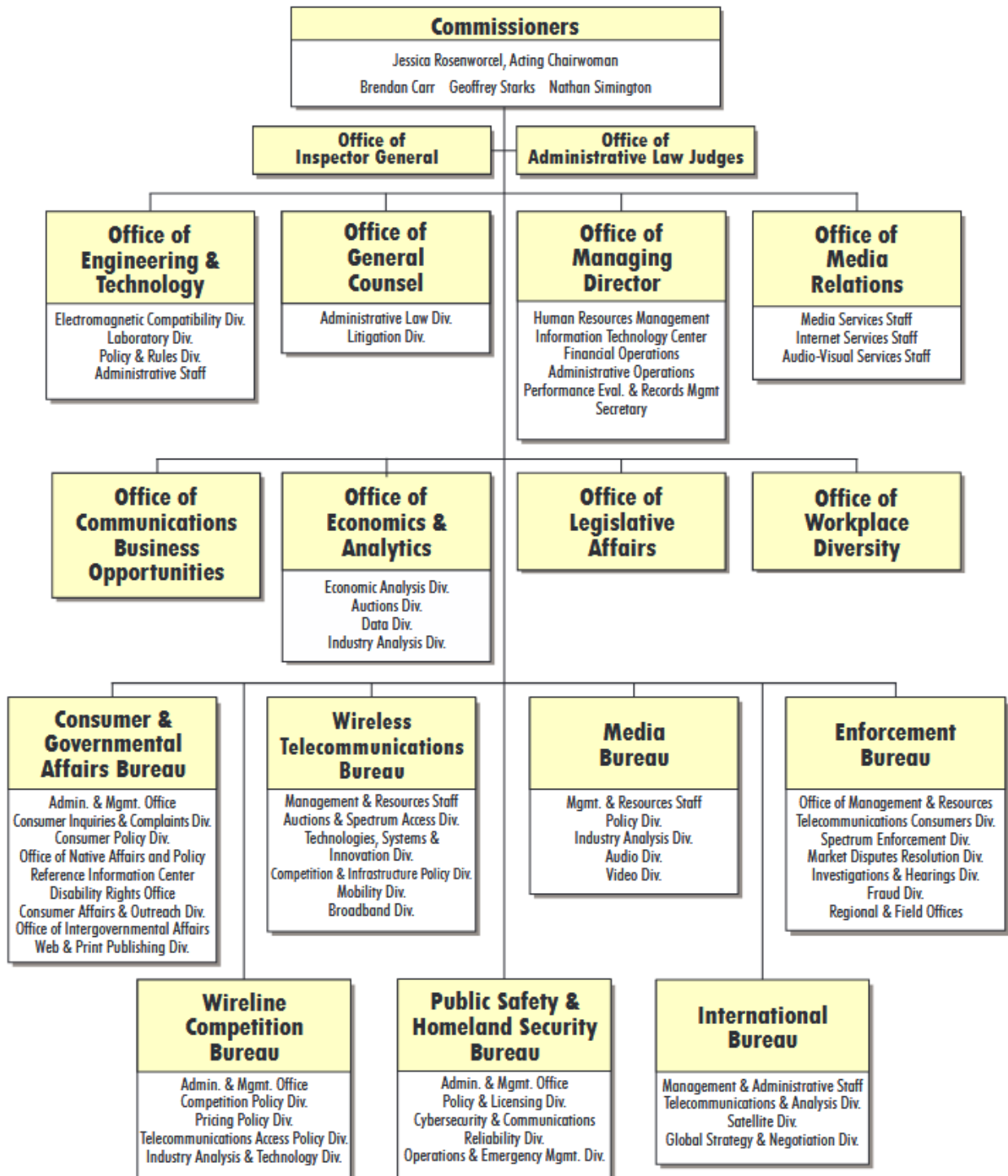
The FCC should be a model for excellence in government by effectively managing its resources, maintaining a commitment to transparent and responsive processes that encourage public involvement and decision-making that best serves the public interest, and encouraging a culture of collaboration both internally and across government agencies.

## **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 2020 numbers presented are actual numbers.
- FY 2021 numbers presented are appropriated and enacted numbers.
- The FTE numbers included in the charts in Fiscal Year 2022 Requirements by Bureaus and Offices section also include FTEs from the Spectrum Auctions Program, and other budget authorities provided by the President and Congress, but the personnel compensation and benefits dollar amount only represent personnel compensation and benefits dollars from Salaries and Expense (S&E) – regulatory fees.

# Organizational Chart



## **Fiscal Year 2022 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, \$387,950,000, to remain available until expended: *Provided*, That \$387,950,000 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 above appropriated shall be reduced as such offsetting collections are received during fiscal year 2022 so as to result in a final fiscal year 2022 salaries and expenses 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 \$128,621,000 for fiscal year 2022: *Provided further*, That, of the amount appropriated under this heading, not less than \$11,854,000 shall be for the salaries and expenses of the Office of Inspector General.

## Summary of FYs 2020 - 2022 FTEs and Funding by Bureaus and Offices

(Dollars in Thousands)

Bureaus and Offices	FY 2020		FY 2021		FY 2022	
	FTEs <sup>1</sup>	Actuals	FTEs <sup>1</sup>	Enacted	FTEs <sup>1</sup>	Estimates to Congress
Chairman and Commissioners	25	\$5,774	23	\$4,904	23	\$5,401
Consumer & Government Affairs Bureau	112	\$22,565	111	\$23,169	111	\$23,753
Enforcement Bureau	183	\$37,728	189	\$39,472	211	\$48,398
International Bureau	84	\$17,028	83	\$16,835	83	\$17,616
Media Bureau	132	\$22,778	132	\$22,512	132	\$24,780
Public Safety & Homeland Security Bureau	93	\$19,369	97	\$19,933	100	\$20,791
Wireless Telecommunications Bureau	148	\$13,318	150	\$14,522	152	\$16,592
Wireline Competition Bureau	148	\$30,225	154	\$30,311	166	\$34,968
Office of Administrative Law Judges	4	\$674	4	\$686	4	\$743
Office of Communications Business Opportunities	9	\$1,971	10	\$2,037	11	\$2,334
Office of Economics and Analytics <sup>2</sup>	98	\$14,558	105	\$49,614	132	\$20,725
Office of Engineering & Technology	75	\$15,801	74	\$15,909	74	\$16,229
Office of General Counsel	73	\$16,196	73	\$17,466	74	\$17,988
Office of Legislative Affairs	7	\$1,511	7	\$1,609	8	\$1,700
Office of Managing Director	183	\$94,238	183	\$100,096	191	\$120,111
Office of Media Relations	13	\$2,512	12	\$2,582	12	\$2,705
Office of Workplace Diversity	6	\$936	5	\$1,017	6	\$1,262
<b>Subtotal</b>	<b>1,393</b>	<b>\$317,183</b>	<b>1,412</b>	<b>\$362,673</b>	<b>1,490</b>	<b>\$376,096</b>
Office of Inspector General	46	\$8,440	60	\$11,327	60	\$11,854
<b>Total - Salaries &amp; Expenses</b>	<b>1,439</b>	<b>\$325,623</b>	<b>1,472</b>	<b>\$374,000</b>	<b>1,550</b>	<b>\$387,950</b>

<sup>1</sup>The FTE numbers include the spectrum auctions program FTEs.

<sup>2</sup>In FY 2021, a total of \$98 million was made available to implement certain requirements of the Broadband DATA Act, of which, \$33 million was appropriated under the Commission's Regulatory Fees (Offsetting Collections) and, therefore, is included in this schedule. The \$65 million in other budget authority dedicated for the implementation of the Broadband DATA Act is shown with Commission's other budget authorities to provide a better historical comparison of the components of the FCC's regular budgetary requests. The Commission's other budget authorities are summarized on page 51.

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 24 through 27 provides more details related to the Commission's USF activities and related costs.

## Fiscal Years 2020 - 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	
	2020	2021	2020	2021	2020	2021	2020	2021	2020	2021
<b>Fiscal Years</b>	<b>2020</b>	<b>2021</b>	<b>2020</b>	<b>2021</b>	<b>2020</b>	<b>2021</b>	<b>2020</b>	<b>2021</b>	<b>2020</b>	<b>2021</b>
<b>Chairman &amp; Commissioners</b>	<b>10</b>	<b>9</b>	<b>5</b>	<b>5</b>	<b>9</b>	<b>8</b>	<b>1</b>	<b>1</b>	<b>25</b>	<b>23</b>
<b><u>Bureaus:</u></b>										
Consumer & Government Affairs	16	14	3	3	84	85	9	9	112	111
Enforcement	6	6	43	42	126	133	8	8	183	189
International	41	40	34	34	7	7	2	2	84	83
Media	89	84	33	43	1	1	9	4	132	132
Public Safety & Homeland Security	12	13	0	2	79	79	2	3	93	97
Wireless Telecommunications	93	93	48	49	1	3	6	5	148	150
Wireline Competition	64	69	62	62	17	18	5	5	148	154
<b>Subtotal Bureaus</b>	<b>321</b>	<b>319</b>	<b>223</b>	<b>235</b>	<b>315</b>	<b>326</b>	<b>41</b>	<b>36</b>	<b>900</b>	<b>916</b>
<b><u>Offices:</u></b>										
Administrative Law Judges	4	4	0	0	0	0	0	0	4	4
Communications Business Opportunities	2	4	7	5	0	0	0	1	9	10
Economics and Analytics	77	79	17	20	1	3	3	3	98	105
Engineering & Technology	33	32	40	40	0	0	2	2	75	74
General Counsel	14	16	36	34	7	9	16	14	73	73
Legislative Affairs	5	4	0	2	2	1	0	0	7	7
Managing Director	61	51	8	8	7	14	107	110	183	183
Media Relations	0	0	0	0	0	0	13	12	13	12
Workplace Diversity	0	0	0	0	0	0	6	5	6	5
<b>Subtotal Offices</b>	<b>196</b>	<b>190</b>	<b>108</b>	<b>109</b>	<b>17</b>	<b>27</b>	<b>147</b>	<b>147</b>	<b>468</b>	<b>473</b>
<b>Subtotal</b>	<b>527</b>	<b>518</b>	<b>336</b>	<b>349</b>	<b>341</b>	<b>361</b>	<b>189</b>	<b>184</b>	<b>1,393</b>	<b>1,412</b>
Inspector General	8	12	1	2	8	10	29	36	46	60
<b>Total</b>	<b>535</b>	<b>530</b>	<b>337</b>	<b>351</b>	<b>349</b>	<b>371</b>	<b>218</b>	<b>220</b>	<b>1,439</b>	<b>1,472</b>

Note: The FTE numbers include the Spectrum Auctions Program FTEs.

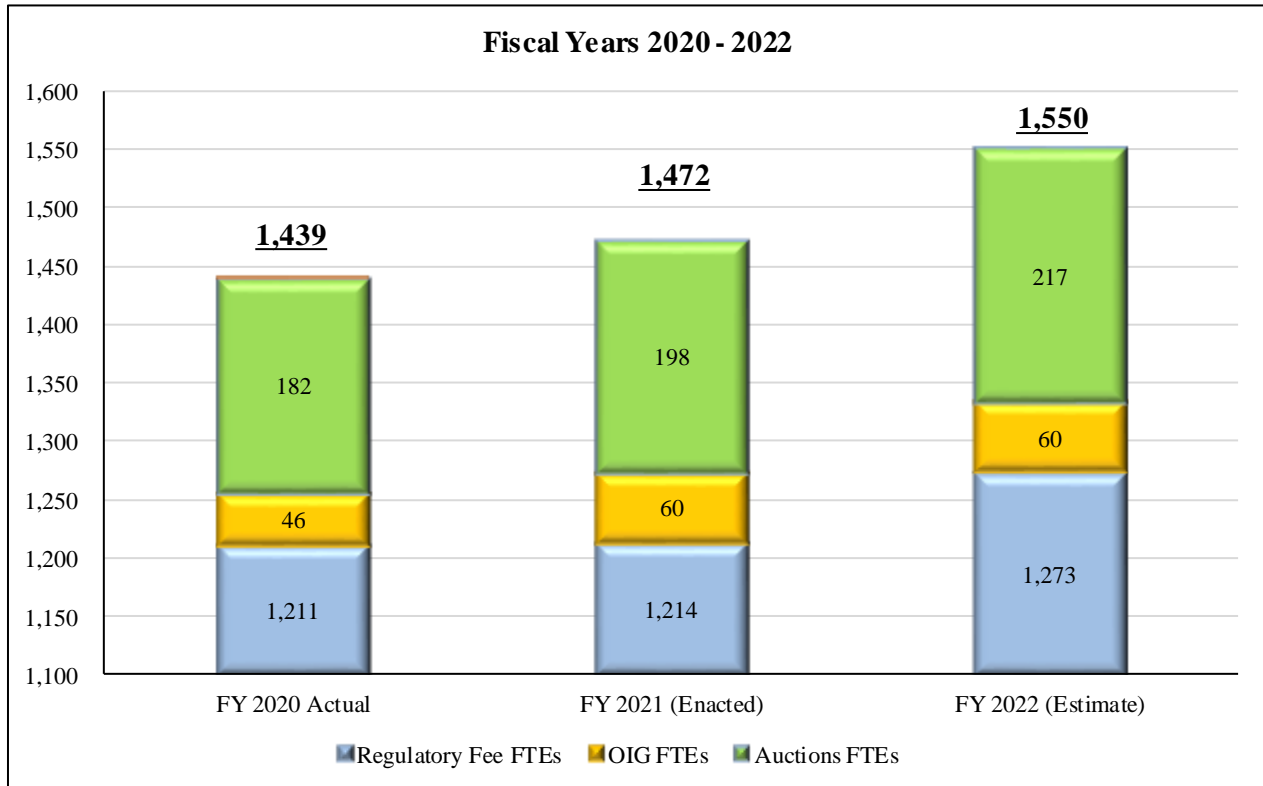


## Fiscal Year 2022 FTEs Distribution by New Strategic Goals

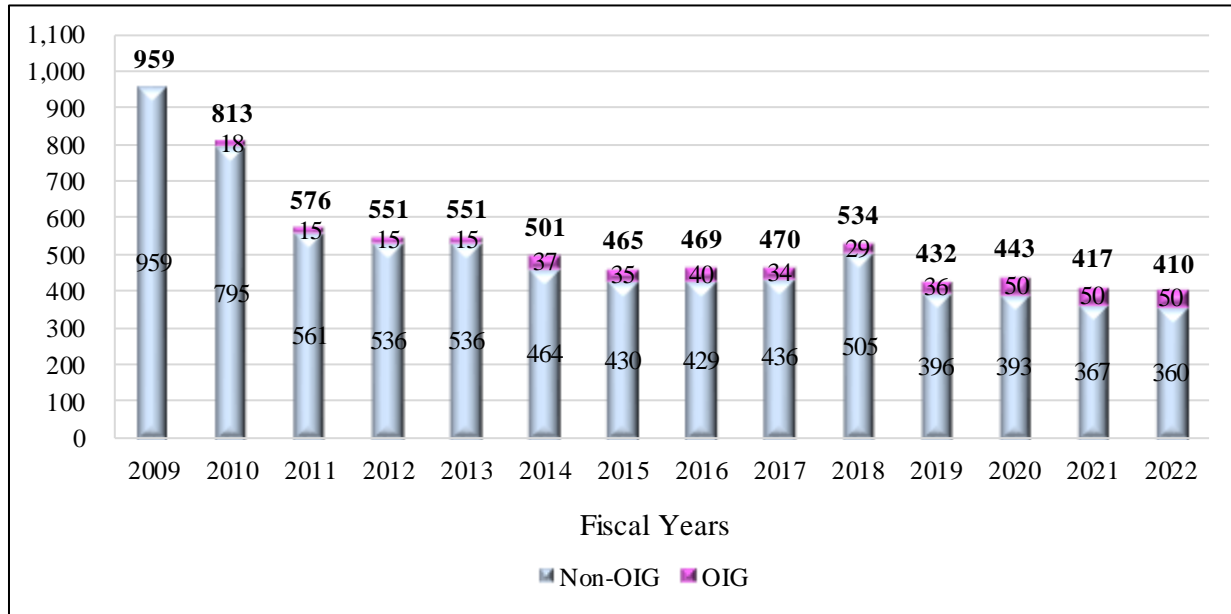
New Strategic Goals	Pursue a "100 Percent" Broadband Policy	Promote Diversity, Equity, Inclusion and Accessibility	Empower Consumers	Enhance Public Safety and National Security	Advance America's Global Competitiveness	Foster Operational Excellence	Total
<b>Fiscal Year</b>	2022						
<b>Chairman &amp; Commissioners</b>	8	1	4	4	5	1	23
<b><u>Bureaus:</u></b>							
Consumer & Government Affairs	14	3	43	40	4	7	111
Enforcement	6	5	75	75	42	8	211
International	39	1	4	3	34	2	83
Media	84	2	1	0	41	4	132
Public Safety & Homeland Security	14	1	40	40	2	3	100
Wireless Telecommunications	94	3	2	1	48	4	152
Wireline Competition	74	8	9	9	63	3	166
<b>Subtotal Bureaus</b>	<b>325</b>	<b>23</b>	<b>174</b>	<b>168</b>	<b>234</b>	<b>31</b>	<b>955</b>
<b><u>Offices:</u></b>							
Administrative Law Judges	4	0	0	0	0	0	4
Communications Business Opportunities	4	4	0	0	3	0	11
Economics and Analytics	106	1	2	1	19	3	132
Engineering & Technology	32	0	0	0	40	2	74
General Counsel	16	1	5	5	34	13	74
Legislative Affairs	4	0	1	0	3	0	8
Managing Director	53	2	7	7	8	114	191
Media Relations	0	0	0	0	0	12	12
Workplace Diversity	0	5	0	0	0	1	6
<b>Subtotal Offices</b>	<b>219</b>	<b>13</b>	<b>15</b>	<b>13</b>	<b>107</b>	<b>145</b>	<b>512</b>
<b>Subtotal</b>	<b>552</b>	<b>37</b>	<b>193</b>	<b>185</b>	<b>346</b>	<b>177</b>	<b>1,490</b>
Inspector General	12	0	5	5	2	36	60
<b>Total</b>	<b>564</b>	<b>37</b>	<b>198</b>	<b>190</b>	<b>348</b>	<b>213</b>	<b>1,550</b>

Note: The FTE numbers include the Spectrum Auctions Program FTEs.

## FTEs by Resource Category



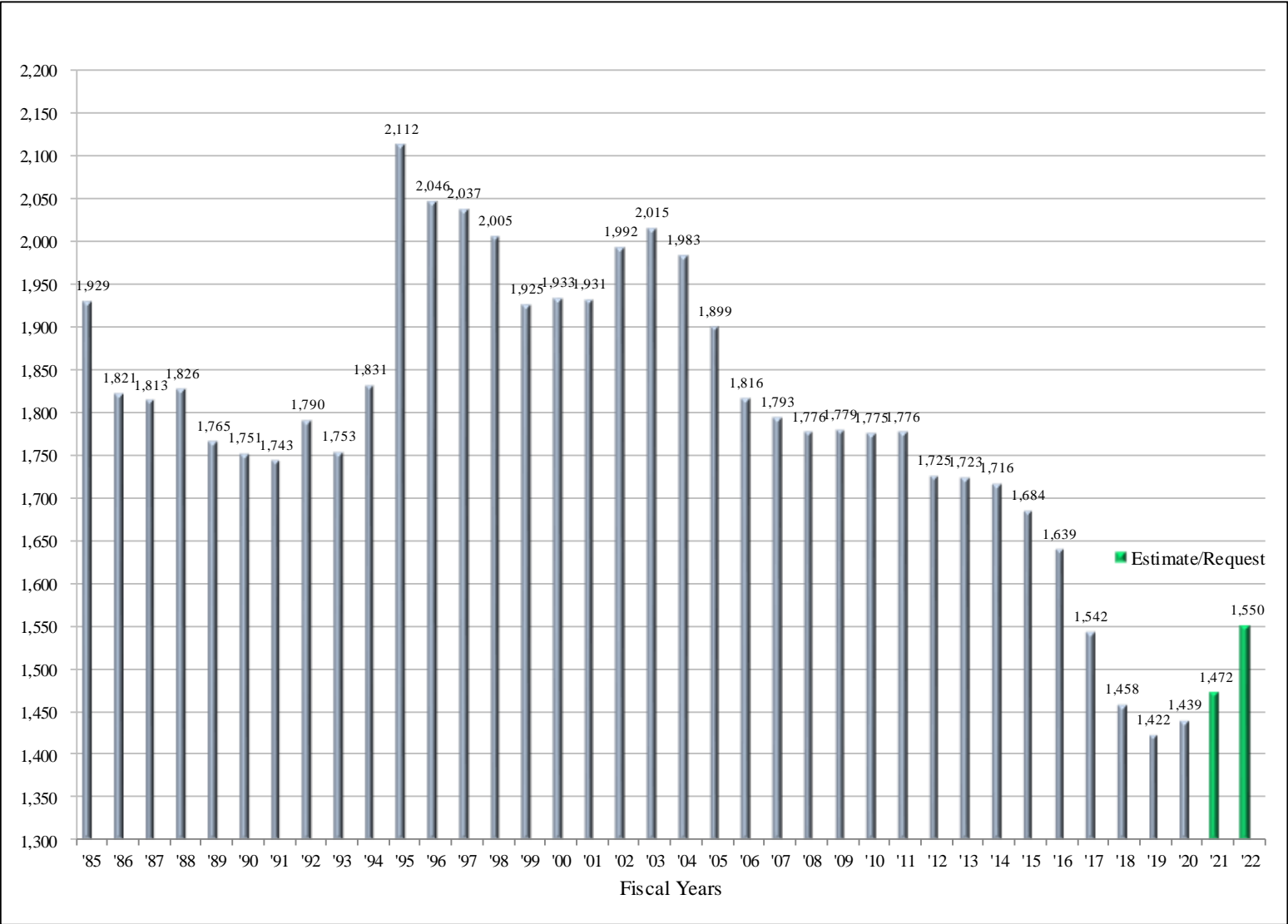
## Number of Contractors



The numbers for FYs 2021 to 2022 are estimates. The OIG number for FY 2009 was not separable.

# FTEs - Historical and Estimated

## Fiscal Years 1985 – 2022



## Summary of Changes - Regulatory Fees (Offsetting Collections)

(Dollars in Thousands)

Regulatory Fees - Offsetting Collections:	FY 2021	FY 2022	TOTAL NET CHANGE	
	Enacted	Estimates to Congress	Amount	Percent
Commission	\$362,673	\$376,096	\$13,423	
Office of Inspector General	\$11,327	\$11,854	\$527	
<b>Total Spending Authority - Offsetting Collections</b>	<b>\$374,000</b>	<b>\$387,950</b>	<b>\$13,950</b>	<b>3.7%</b>
Full-Time Equivalents (FTEs) - Commission <sup>1</sup>	1,412	1,490	78	
FTEs - Office of Inspector General	60	60	0	
<b>Total Full-Time Equivalents</b>	<b>1,472</b>	<b>1,550</b>	<b>78</b>	<b>5.3%</b>
<b>Explanation of Changes</b>				
<b>FY 2021 Enacted - Regulatory Fees</b>			<b>\$374,000</b>	
<b>FY 2022 Base Reductions:</b>				
Broadband DATA Act Reduction for FY 2022		-\$27,000		
Reversal of FY 2021 One-Time Investment Requests <sup>2</sup>		-\$2,579		
Base Reduction - Rent Savings		-\$2,322		
<b>Total - FY 2022 Base Reductions</b>			<b>-\$31,901</b>	
<b>FY 2022 Base Before Increases, Adjustments &amp; One-Time Investments</b>			<b>\$342,099</b>	
<b>FY 2022 Base Increases:</b>				
63 Additional FTE & Cost Required Based on Current Assessment		\$12,640		
PIRATE Act		\$5,000		
IT Application Development Team		\$1,040		
Office of the Inspector General		\$200		
<b>Subtotal - FY 2022 Base Increases</b>			<b>\$18,880</b>	
<b>FY 2022 Base Adjustments:</b>				
2.7 Percent Increase in Salary		\$7,751		
2 Percent Non-Salary Inflationary Increase		\$1,878		
<b>Subtotal - FY 2022 Base Adjustments</b>			<b>\$9,629</b>	
<b>FY 2022 Adjusted Base Before One-Time Investment Requests</b>			<b>\$370,608</b>	
<b>FY 2022 - One-Time Investment Requests:</b>				
Media Ownership & Diversity Studies		\$1,250		
IT - Modernize System for Political Files to Make Submission Machine-Readable		\$5,000		
IT - Data Center Cloud Migration		\$3,710		
IT - Workforce Mobile Environment & HSPD12		\$4,916		
IT - Enterprise Data Management Platform Enhancements		\$1,113		
IT - Cybersecurity Threat Hunt and Data Loss Prevention Program		\$722		
IT - Replace End of Life IT Equipment (Network and/or Field/Remote)		\$631		
<b>Subtotal - FY 2022 One-Time Investment Requests</b>			<b>\$17,342</b>	
<b>FY 2022 Total Request</b>			<b>\$387,950</b>	
<b>TOTAL NET CHANGE</b>			<b>\$13,950</b>	<b>3.7%</b>

<sup>1</sup>Includes Spectrum Auctions Program FTEs.

<sup>2</sup>Reversal of FY 2021 One-Time Investment Requests is comprised of IT - Cloud Services and Systems Modernization (\$1,022), Mapping - Geographic Information System (\$420), Computational Power System (\$263), Enterprise Level Data Architecture (\$525), and On-Line Market Surveillance Tool (\$350).

## **Narrative Explanation of Changes - Salaries and Expenses - Regulatory Fees**

### **Personnel Compensation and Non-Salaries Inflationary Increase to Base: \$9,629,000**

- A. Personnel Compensation (\$7,751,000)** – Pursuant to OMB guidance, the request includes a 2.7 percent increase for personnel compensation and benefits. This increase also includes related increases for the Office of Inspector General (OIG), which total \$285,604.
- B. Non-Salary Inflationary Increase (\$1,878,000)** – 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 also includes related increases for the OIG, which total \$41,596. This increase is developed using an estimated inflationary rate of approximately 2 percent.

### **FY 2022 Base Increases and One-Time Requests for New Investments: \$36,222,000**

#### **A. Base Increases (\$18,880,000)**

##### **1. Additional FTEs (12,640,000)**

In recent years the Commission has lost a significant number of FTEs that possessed institutional knowledge in critical areas such as economists, auctions and policy attorneys, engineers, investigators, project managers, contracting officers, IT specialist, and accountants.

Also, in FY 2020 and FY 2021, over \$12.7 billion was appropriated to the Commission related to the COVID-19 Telehealth Program, the Emergency Broadband Benefit Program, the Emergency Connectivity Program, and the Secure and Trusted Communications Networks Act of 2019. These new appropriations total 24.6 times more than the Commission’s FY 2022 requested budget authority. In addition to these new mandates, the Commission is working hard to address our regular mission mandates such as Robocalls, caller ID spoofing, violation of the Open Internet “transparency” disclosure rules, 911 Fee Diversion & Vertical Location, 988 Suicide Hotline, modernization of the Universal Licensing System for spectrum with the increase of licensing and repurposing spectrum bands (5G), implementation of the OPEN Government Data Act and the TRACED Act. In rebuilding its most valuable asset, its workforce, the Commission estimates that an additional 63 FTEs (excludes 15 FTEs for the PIRATE Act) will be required.

##### **2. PIRATE Act (\$5,000,000)**

In January 2020, the Preventing Illegal Radio Abuse Through Enforcement Act (PIRATE Act), P.L. 106-109, was signed into law. The PIRATE Act demonstrates that Congress views enforcement against pirate radio broadcasting as a priority for the Commission. In addition to increasing the potential penalties for pirate broadcasting, the PIRATE Act imposes significant new responsibilities on the Commission. Among other things, the PIRATE Act requires the Commission to: (1) conduct annual enforcement sweeps in the top five radio markets; (2) conduct follow-up monitoring to determine whether pirate broadcasters identified in the sweeps are still on the air; (3) publish a pirate radio

broadcasting database that clearly identifies all licensed broadcasters operating in the AM and FM bands and all pirate radio broadcasters; and (4) submit an annual report to Congress summarizing the Commission's implementation of the PIRATE Act and enforcement activities in the prior fiscal year.

Additionally, the PIRATE Act specifically provides that the Commission must conduct the annual sweeps without decreasing or diminishing its regular pirate radio enforcement efforts. The budget includes an increase of \$5,000,000 to the base to begin the implementation of this legislation, which includes hiring 15 FTEs.

**3. Information Technology (IT) - Application Development Teams (\$1,040,000)**

This base increase will provide critically needed continuous support for four to five IT development teams. This new approach to IT application development will enable the FCC IT Group to be more agile and responsive to development efforts requested by the Bureaus and Offices. This new approach will minimize the ramp-up time required to begin each new IT development project and enable FCC IT to support concurrent development initiatives. Further, this approach will result in significant time-savings required to initiate and execute contract modifications.

**4. Office of Inspector General (\$200,000)**

This base increase for the Office of Inspector General's (OIG) will allow the OIG to hire additional contractors. An increase in contractual services is needed because of added requirements, which will increase investigations, audits, and related services.

**B. One-Time Requests for New Investments (\$17,342,000)**

**1. Media Ownership Studies (\$1,250,000)**

The Telecommunications Act of 1996 requires the Commission to review its media ownership rules to determine whether they "are necessary in the public interest as the result of competition." Pub. L. No 104-104, § 202(h), 110 Stat. 56, 111-12 (1996); Consolidated Appropriations Act, 2004, Pub. L. No. 108-199, § 629, 118 Stat. 3, 99-100; 47 C.F.R. §§ 73.3555, 73.658. To gather evidence and inform the Commission's comprehensive media ownership review, the Commission will conduct a number of economic studies to analyze the present-day marketplace and the impact of the current market structure on competition, localism, and diversity, the three pillars of the ownership rules. The Commission will incorporate the studies in the record of the ownership proceeding.

**2. Information Technology (IT) Modernization and Implementation (\$16,092,000)**

**a. Modernize System for Broadcast and Cable Files to Make Submissions Machine-Readable (\$5,000,000)**

The Communications Act and the Commission's rules require that broadcasters and cable operators make available to the public certain information about their stations and systems.

Stations and systems upload this required information into the Online Public Inspection File (OPIF), an FCC-hosted database. There are thousands of entities that post their public file online at the FCC. The files are organized by station/system, and further organized by subfolders. Aside from this rudimentary organizational system, elements of the OPIF is not machine-readable, so it is difficult to organize a search of these files.

This funding would be used to make OPIF searchable, sortable, and downloadable, bringing transparency to our information and processes.

**b. Data Center Cloud Migration (\$3,710,000)**

This new investment request is to migrate all current IT services from the on-premise data center in West Virginia to cloud-based services. This new initiative will also avoid time consuming procurement of new hardware at the data center to address aging equipment. This new investment request includes closing the data center, improving efficiencies through automation, reducing downtime due to modern infrastructure, improving performance via automatic scaling, improving manageability through standardized implementation and instrumentation, and improving security posture through improved system visibility. Moving to cloud-based services also simplifies network architecture, reduces troubleshooting time, and provides improved IT service agility. This new initiative request is estimated to save \$1.1 million annually resulting in a return on investment within four years.

**c. Workforce Mobile Environment & HSPD12 (\$4,916,000)**

This investment will allow the FCC to provide all headquarters employees and contractors, with a government-issued laptop for the purposes of both onsite and remote work. Doing so enables a single device standard for the Commission, addressing existing known operational deficiencies to ensure support for a remote and mobile workforce. This investment also includes the ability for staff to conduct video enabled meetings both remotely and while in their assigned office and/or cubicle in a way that is not currently supported at the Commission.

**d. Enterprise Data Management Platform Enhancements (\$1,113,000)**

This one-time investment will implement advanced Artificial Intelligence (AI) and Machine Learning in the Enterprise Data Warehouse to improve the data analytics capabilities for the Commission's data users, owners, and stewards. The features will be integrated with the existing data marts and exposed to all data visualization applications such as Power-BI, MicroStrategy, and Notebook. These features will improve the automated and advanced analysis of all FCC data and provide advanced manual and self-help analytics capabilities. This will improve the strategic FCC decision making process through enhanced data analytics and will enrich data driven decision making capabilities for the Commission. This can be leveraged by many critical FCC business systems and functions such as the Electronic Comment Filing System (ECFS), Auctions, Enforcement, and Evidence Act Implementation.

This will also migrate the remaining two legacy on-premise Business Intelligence environments to modern cloud-based technologies and move the data sources to the

FCC Enterprise Data Platform (data warehouse). It will eliminate the two remaining business objects legacy software environments and reduce systems integration complexity.

**e. Cybersecurity Data Loss Prevention and Threat Hunt Program (\$722,000)**

This new initiative will greatly enhance the FCC's Cybersecurity posture, focusing on data privacy, integrity, and confidentiality. This new initiative will also address the advanced threats posed by Nation State and Advanced Persistent Threat actors, as well as Insider Threats. With this new investment, we will be conducting threat intelligence research on open and closed networks, working and partnering with other federal entities and intelligence agencies on malware research and analysis, and conducting advanced analytics. Staffing such capabilities ensures real-time, proactive mitigations against advanced threats to the FCC Enterprise while the Network Security Operations Center (NSOC) analysts focus on real-time incident response and reporting for the Cybersecurity and Infrastructure Security Agency (CISA) and the Federal Information Security Modernization Act (FISMA) Compliance.

This program will provide the FCC with a holistic, solution for monitoring and responding to events and user activities surrounding data used by the FCC. It will also focus on needed advanced analytics, countermeasures, forensics, and Open Source Intelligence research and collaboration, and it will provide the ability for forensics and malware analysis. The Data Loss Prevention Threat Hunt Program will address gaps in our current defense in depth as IT moves towards implementation of the IT strategic plan and a cloud-first strategy.

**f. Replace End of Life IT Equipment (Network and/or Remote/Field) (\$631,000)**

This new one-time investment will accomplish two critical needs of the Commission:

- (1) Replace aging and end-of-life (EOL) IT equipment that supports FCC operations in the field offices. This includes the replacement network equipment (e.g., routers and switches), load balancers, server hardware, voice communications, etc. Much of this equipment is already EOL which increases the risk of failure and the expense to maintain the equipment; and
- (2) Replace aging and EOL IT equipment that supports FCC remote sites and field offices. This includes the replacement of 65 field laptop computers that generally have a lifecycle of 3 to 5 years and network equipment (e.g., routers and switches) that generally has a lifespan of 10 years. Much of this equipment is already EOL, which increases the risk of failure and increases maintenance cost.



## **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 continues to focus on 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. As a result of the COVID-19 pandemic, Congress enacted several statutes directly impacting the FCC's subsidy programs. OIG has been actively involved in monitoring the Commission's activities in furtherance of these statutes and, has worked with the agency to ensure that any new regulations implementing the programs guard against fraud, waste and abuse. These difficult and wide-ranging cases will require substantial investigative and auditing expertise.

As a result of increased workload, in 2021, OIG is hiring additional staff to focus on matters having the potential to significantly impact important FCC missions or programs and the basic integrity and workings of the agency. Toward that end, OIG plans to hire at least two criminal investigators to support an expanded program of proactive investigations into E-rate and Lifeline providers and recipients and to provide additional law-enforcement capabilities. Also, OIG plans to fill two investigative attorney positions, two staff level audit positions, a contract specialist position and a data analyst position that are currently vacant. OIG continues to gauge the relative merits of any audit and investigation prior to expending valuable resources.

The OIG FY 2022 budget request of \$11,854,000 reflects a \$527,200 net increase over the FY 2021 request level of \$11,326,800. The net increase is attributable to a 2.7 percent increase in salary and benefits, and an increase in non-salary items. Also, the OIG increased its contract services funding by \$200,000 with the expectation of hiring additional contractors. We anticipate an increase in contractual services needed because of added requirements, which will drive additional investigations, audits, and related services.

OIG Office of Audit (OA) conducts and 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. As of September 30, 2020, OA had completed 7 projects and an additional 8 projects were in process. OA plans to complete more than 50 audits, inspections and evaluations over the next five years, not including the mandated audits of the COVID 19 Telehealth Program and Emergency Broadband Benefit Program, or any unforeseen special projects and Congressional requests.

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, 2020, OI had 51 open cases. Working with the Department of Justice, in recent years, OI and has recovered 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 the upcoming year, in addition to our ongoing activities, we also expect to conduct investigations to fulfill our mandate to deter and detect fraud, waste and

abuse in the COVID 19 Telehealth program, the Emergency Broadband Benefit Program and the Emergency Connectivity Fund Program and other matters that are a direct result of changes to the FCC's subsidy programs in response to the coronavirus pandemic.

In compliance with the IG Reform Act of 2008, this FCC OIG FY 2022 budget request includes:

- A fair share ratio in the amount of \$41,592 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 \$88,861.

## **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 and proposed 5G Fund, which represent universal service support mechanisms 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 high-cost 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**

The Commission’s continued budgetary and programmatic focus for the universal services programs includes: (1) closing the digital divide between rural and urban America, (2) eliminating waste, fraud and abuse, and (3) promoting efficiency, accountability, and fiscal responsibility. With these priorities in mind, the Commission targets support to deliver, expand and maintain voice and broadband service to high cost and rural areas, low-income consumers, schools and libraries.

On February 23, 2017, the Commission adopted rules for allocating nearly \$2 billion, through a reverse auction, from the Connect America Fund, which aims to advance fixed broadband service to unserved and underserved areas across the country. Through an auction mechanism, the Commission sought the best deal for the American people with the available funds and, as of November 2020, has authorized \$1.476 billion in support over 10 years to 193 winning bidders to provide fixed broadband and voice services to over 700,000 locations in 45 states.

Most recently, the Commission adopted final rules for the Rural Digital Opportunity Fund. Using a two-phased competitive process, the Rural Digital Opportunity Fund will allocate up to \$20.4 billion to connect millions of unserved homes and small businesses to high-speed broadband. Phase I of the Rural Digital Opportunity Fund (Auction 904) will provide support to target areas that current data indicate are unserved, including approximately 5.4 million unserved rural homes and businesses. On December 7, 2020, the Commission announced that Auction 904 had closed, and \$9.23 billion in support will be distributed over 10 years to 180 winning bidders to provide fixed broadband and voice service to 5.22 million locations in 49 states, subject to approval of the long form applications for winning bidders. Phase II will distribute eligible support for unserved locations in partially served census blocks and areas not won in Phase I.

In October 2020, the Commission adopted the 5G Fund for Rural America to replace Mobility Fund Phase II. The 5G Fund Phase I auction will award up to \$8 billion over 10 years to deploy 5G service in areas otherwise unlikely to receive timely 5G deployment. The 5G Fund Phase II auction budget will be \$1 billion plus the remainder of the Phase I budget.

In the Lifeline program, the Commission’s goals are to: (1) continue implementation of the modernization of the Lifeline program to support affordable, high-speed internet access for our nation’s poorest families; and (2) ensure fiscal responsibility and combat waste, fraud, and abuse so Lifeline USF dollars spent reach the consumers Lifeline was created to help. Actions to accomplish these goals include using a unified interface to independently process eligibility verification and recertification of Lifeline subscribers, as well as interconnected verification with other agency and state eligibility databases to improve program controls.

In the E-rate program, the Commission is committed to enhancing access to broadband and telecommunications services in eligible elementary and secondary schools and libraries. The E-rate program has a current cap of \$4.23 billion per funding year, adjusted annually for inflation.

Finally, under the Rural Healthcare program, the Commission remains committed to ensuring all Americans have access to advanced medicine and health care services no matter where they live. The Rural Healthcare program has a current cap of \$604.76 million per funding year, adjusted annually for inflation.

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)

<b>Fiscal Years</b>	<b>FY 2020</b>	<b>FY 2021</b>	<b>FY 2022</b>
<b>FCC's USF Activities Cost<sup>1</sup></b>	\$22,003	\$22,444	\$22,892
<b>Full-Time Equivalent (FTEs)</b>	108	108	108

<sup>1</sup> Amount shown for FY 2021 through FY 2022 are projections based on actual cost.

The chart below shows the estimated number of Commission FTEs working on USF activities by bureau and office for FY 2020 based on extrapolated data.

<b>Number of FCC FTEs Working On USF Activities By Bureau and Office</b>	<b>FTEs</b>
Wireline Competition Bureau	56
Office of Economics & Analytics	20
Office of Inspector General	11
Enforcement Bureau	8
Wireless Telecommunications Bureau	5
Office of General Counsel	4
Office of the Managing Director	2
Media Bureau	1
International Bureau	1
<b>Total FTEs</b>	<b>108</b>

## Crosswalk of USF Outlays to FCC Strategic Goals

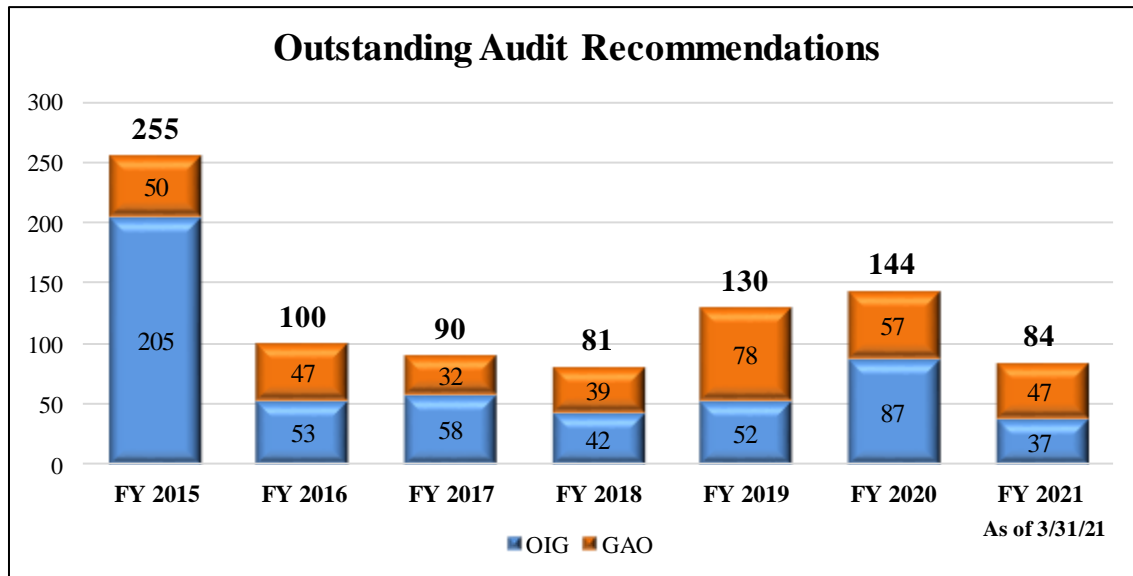
In FY 2020, USF made outlays totaling \$8.232 billion. These outlays were allocated to the following FY 2020 strategic goals:

(Dollars in Millions)

<b>Applicable FY 2020 Strategic Goals</b>	<b>Outlay Amount</b>	<b>Percent</b>
Closing the Digital Divide	\$6,838	83.1%
Promoting Innovation	\$1,394	16.9%
<b>Total</b>	<b>\$8,232</b>	<b>100.0%</b>

## 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 expired 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 required the Commission to move to a newly built facility in FY 2021. The Commission’s obligation to pay rent at the new headquarters building commenced when the construction was 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 intended to move to the new headquarters building in June 2020, however there were delays in the completion of the new building due to COVID-19. The Commission completed the move in November 2020 and completed decommissioning of the Portals II building in November 2020 consistent with the lease expiration.

## Crosswalk - Summary of Changes for Regulatory Fees

(Dollars in Thousands)

	FY 2021 Enacted	FY2022 Base Reductions	FY 2022 Base	FY 2022 Base Realignments	FY 2022 Base Increases	FY 2022 Salary Increase (2.7%)	FY 2022 Non-Salary Inflationary Increase (2%)	FY 2022 One-Time Requests	FY 2022 Estimates to Congress
Chairman and Commissioners	\$4,904	\$0	\$4,904	\$350	\$0	\$125	\$23	\$0	\$5,401
Consumer & Governmental Affairs Bureau	\$23,169	\$0	\$23,169	-\$90	\$0	\$626	\$48	\$0	\$23,753
Enforcement Bureau	\$39,472	\$0	\$39,472	\$155	\$7,600	\$1,115	\$56	\$0	\$48,398
International Bureau	\$16,835	\$0	\$16,835	\$269	\$0	\$499	\$12	\$0	\$17,616
Media Bureau	\$22,512	\$0	\$22,512	\$335	\$0	\$666	\$17	\$1,250	\$24,780
Public Safety & Homeland Security Bureau	\$19,933	\$0	\$19,933	\$18	\$250	\$565	\$26	\$0	\$20,791
Wireless Telecommunications Bureau	\$14,522	\$0	\$14,522	-\$352	\$2,000	\$407	\$15	\$0	\$16,592
Wireline Competition Bureau	\$30,311	\$0	\$30,311	\$460	\$3,200	\$974	\$23	\$0	\$34,968
Office of Administrative Law Judges	\$686	\$0	\$686	\$84	-\$50	\$22	\$1	\$0	\$743
Office of Communications Business Opportunities	\$2,037	\$0	\$2,037	\$36	\$200	\$60	\$2	\$0	\$2,334
Office of Economics and Analytics	\$49,614	-\$27,683	\$21,931	-\$3,525	\$1,800	\$445	\$74	\$0	\$20,725
Office of Engineering and Technology	\$15,909	\$0	\$15,909	-\$144	\$0	\$441	\$24	\$0	\$16,229
Office of General Counsel	\$17,466	\$0	\$17,466	\$15	\$0	\$465	\$42	\$0	\$17,988
Office of Legislative Affairs	\$1,609	\$0	\$1,609	\$41	\$0	\$47	\$2	\$0	\$1,700
Office of Managing Director	\$100,096	-\$4,219	\$95,877	\$2,286	\$3,480	\$909	\$1,467	\$16,092	\$120,111
Office of Media Relations	\$2,582	\$0	\$2,582	\$46	\$0	\$71	\$6	\$0	\$2,705
Office of Workplace Diversity	\$1,017	\$0	\$1,017	\$15	\$200	\$28	\$2	\$0	\$1,262
<b>Subtotal</b>	<b>\$362,673</b>	<b>-\$31,901</b>	<b>\$330,772</b>	<b>\$0</b>	<b>\$18,680</b>	<b>\$7,465</b>	<b>\$1,837</b>	<b>\$17,342</b>	<b>\$376,096</b>
Office of Inspector General	\$11,327	\$0	\$11,327	\$0	\$200	\$286	\$42	\$0	\$11,854
<b>TOTAL</b>	<b>\$374,000</b>	<b>-\$31,901</b>	<b>\$342,099</b>	<b>\$0</b>	<b>\$18,880</b>	<b>\$7,751</b>	<b>\$1,878</b>	<b>\$17,342</b>	<b>\$387,950</b>

Note: In FY 2021, a total of \$98 million was made available to implement certain requirements of the Broadband DATA Act, of which, \$33 million was appropriated under the Commission's Regulatory Fees (Offsetting Collections) and, therefore, is included in this schedule. The \$65 million in other budget authority dedicated for the implementation of the Broadband DATA Act is shown with Commission's other budget authorities to provide a better historical comparison of the components of the FCC's regular budgetary requests. The Commission's other budget authorities are summarized on page 51.

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# **SPECTRUM AUCTIONS**

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## Spectrum Auctions Program - Explanation of Requested Change

The Federal Communications Commission requests \$128,621,000 for the Spectrum Auctions Program for FY 2022, which is a net decrease of \$5,874,000 from FY 2021 appropriated level of \$134,495,000, as detailed below. This level of funding will enable the Commission to continue its efforts to make more spectrum available for 5G, to continue the implementation of the Spectrum Pipeline Act of 2015 and certain provisions of the RAY BAUM'S Act, including the MOBILE NOW Act, as well as the Beat China by Harnessing Important, National Airwaves for 5G Act of 2020 included in the Consolidated Appropriations Act of 2021; to continue the post-broadcast incentive auction work related to displaced, repacking, and reimbursing from the TV Broadcaster Relocation Fund to broadcasters, 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, and to upgrade and improve Commission's auction infrastructure in preparation for future auctions.

(Dollars in Thousands)

	FY 2021 Enacted	FY 2022 Estimates to Congress	TOTAL NET CHANGE	
			Amount	Percent
<b>Spectrum Auctions Program Cost Recovery</b>	\$134,495	\$128,621	-\$5,874	-4.4%
<b>Explanation of Changes</b>				
<b>FY 2021 Enacted</b>			<b>\$134,495</b>	
<b>FY 2022 Base Reductions:</b>				
New Headquarters Rent Savings		-\$378		
Contract Cost Reduction		-\$8,300		
<b>Total - FY 2022 Base Reductions</b>			<b>-\$8,678</b>	<b>-6.5%</b>
<b>FY 2022 Base Before Adjustments</b>			<b>\$125,817</b>	
<b>FY 2022 Base Adjustments:</b>				
2.7 Percent Increase in Salary		\$1,040		
2 Percent Non-Salary Inflationary Increase		\$1,764		
<b>Subtotal - FY 2022 Base Adjustments</b>			<b>\$2,804</b>	
<b>FY 2022 Total Request</b>			<b>\$128,621</b>	
<b>TOTAL NET CHANGE</b>			<b>-\$5,874</b>	<b>-4.4%</b>

## 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 April 2021, the total amount generated for broader government use and deficit reduction since 1994 exceeds \$207.5 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 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.

The Commission's FY 2021 Appropriations language capped the auctions program obligations at \$134,495,000. The Commission's request of \$128,621,000 for FY 2022 is a net decrease of \$5,874,000 or 4.4 percent, which was possible due to cost reduction on the Fund Administrator contract for the TV Broadcaster Relocation Fund (TVBRF) and additional rent savings as a result of moving to a new headquarters.

Funding at this level will enable the Commission to:

- conduct additional auctions to make more spectrum available for next-generation wireless services including the 3.45 GHz band, as required by the Beat CHINA for 5G Act of 2020, and the 2.5 GHz band;
- implement the Spectrum Pipeline Act of 2015 by, for example, continuing the steps necessary to promote use of the 3.5 GHz band;
- continue ongoing activities and taking other steps necessary to implement the RAY BAUM'S Act, including the Making Opportunities for Broadband Investment and Limiting Excessive and Needless Obstacles to Wireless Act (MOBILE NOW Act) provisions regarding identifying, making licenses available through auction, and transitioning spectrum for mobile and fixed wireless broadband use in, among other bands, the 3.7 GHz-4.2 GHz range;

- continue post-broadcast incentive auction (BIA) work related to displacement, repacking, and reimbursing from the TVBRF to broadcasters and MVPDs for their costs to implement the results of the BIA; and
- resolve any mutually exclusive applications for various services, including low-power television;
- upgrade and improve its auctions program infrastructure in preparation for future auctions.

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.

*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. That same month, the Commission submitted 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 to direct the Commission to undertake numerous rulemakings and initiatives related to potential repurposing, reallocation, sharing, or auction of spectrum bands. The latter directive included a requirement that the Commission work with NTIA to identify an additional 255 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 entail extensive work to be performed during FY 2022:

- 3.5 GHz Auction and Post-Auction Implementation* – In 2018, the Commission updated its service rules for licenses in this band, which were assigned by bidding in Auction 105 that began on July 23, 2020 and concluded on August 25, 2020. On, September 2, 2020, the Commission announced that 228 bidders won a total of 20,625 licenses, for \$4,543,232,339 in net bids. Due to the characteristics of and use cases for licenses in this band, bidding in this auction had a novel set of requirements that required the Commission to develop new auction procedures and software. In addition, the nature of the licenses required significant software changes to accommodate the post-auction licensing process. Much of the work took place in FY 2020, but statutorily required work, including any remaining post-auction licensing and monitoring of the novel licenses to be awarded, will by necessity continue through FY 2021 and may continue into FY 2022. Long-form license applications were filed just before the end of FY 2020. Commission staff then undertake the statutorily required process to evaluate and grant such applications, where warranted; such work may extend into FY 2022 because of the large number of winning bidders that require careful review. In addition, the Commission will have an ongoing need to interface with the Spectrum Access System Administrators (SASs), which manage the dynamic spectrum sharing environment in the 3.5 GHz band, as well as the Environmental Sensing Capability (ESC) 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 and ESCs, as discussed below. 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* – Bidding in Auction 107, an auction of flexible-use licenses for 280 megahertz of spectrum in this band, began on December 8, 2020 and concluded on February 17, 2021. On February 24, 2021, the Commission announced that the auction raised a total of \$81.1 billion in net bids and \$81.2 billion in gross bids, with 21 bidders winning all 5,684 licenses offered in the auction. Winning bidders were required to file post-auction long-form applications by March 10. Commission staff will undertake the statutorily required process to evaluate and grant such applications, where warranted. The Commission will oversee the process of transitioning incumbent Fixed Satellite Services (FSS) out of the 280 megahertz that has been auctioned in order to enable new flexible-use licensees to deploy. Under the transition process adopted by the Commission, overseeing this process would involve Commission staff resources in FY 2022 and beyond.
- 3.1-3.55 GHz Band* – In a March 2021 Report and Order, the Commission reallocated the top portion of the band (3.45-3.55 GHz) to make 100 megahertz of spectrum available for flexible use and adopted a framework for the 3.45 GHz band that will enable robust commercial use by an array of service providers, while also ensuring that federal incumbents are still protected from harmful interference where and when they require continued access to the band. Pursuant to the requirements of the Commercial Spectrum Enhancement Act, the Commission intends to conduct the bidding for licenses in the 3.45 GHz band starting in early October 2021. Conducting the anticipated auction and performing post-auction activities will require Commission staff resources in FY 2021 and FY 2022.

- *2.5 GHz Band (2496-2690 MHz)* – On July 10, 2019, the Commission released a *Report and Order* modernizing the 2.5 GHz band and making additional spectrum available for 5G and other advanced wireless services. To this end, the Commission eliminated the legacy Educational Broadband Service (EBS) eligibility requirements, educational use requirements, and leasing restrictions in the band. The Commission also established a priority filing window providing Tribal Nations with a one-time licensing opportunity for unassigned 2.5 GHz spectrum over their rural Tribal lands. Over 400 applications were filed in the window, and the Commission has so far issued over 200 licenses to eligible Tribal entities enabling them to address the communications needs of their communities. Finally, the Commission decided that any unassigned spectrum remaining post-window would be made available via competitive bidding in a future auction. On January 13, 2021, the Commission sought comment on procedures for this proposed auction; comments are due May 3, 2021, and reply comments are due May 17, 2021.
- *Other Auction Development and Implementation* – The Commission needs to make additional changes to the auction bidding and licensing systems to prepare for auctions of spectrum bands that may become available for licensing based on spectrum planning currently underway, including other bands identified by the Mobile Now Act and the 30 megahertz required by the Pipeline Act. The Commission and its federal partners, including National Telecommunications and Information Administration (NTIA) and the Department of Defense, are currently collaborating to explore additional mid-band 5G opportunities, including ongoing work streams in NTIA’s Policy and Plans Steering Group (PPSG). The PPSG provides a forum for the Commission and its federal partners to address spectrum policy issues that affect the use of spectrum by non-federal and federal users. The PPSG is examining potential shared federal and non-federal use of the 3100-3450 MHz band, as well as exploring other bands that could potentially be made available for commercial 5G use, including on a shared basis, consistent with statutory directives. This work has continued into FY 2021 and the Commission expects activity will extend into 2022 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. The first of these systems have been authorized for use in the 3.5 GHz band. 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. The Commission will continue to monitor and analyze the operations of approved SASs and ESCs 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. Several other entities have applied to be SAS administrators and ESC operators. The Commission will need to test and evaluate these new SASs and ESCs prior to approving them for use in the 3.5 GHz band. The Commission may also need to perform additional testing on existing SASs and ESCs to ensure that any future system upgrades or modifications comply with the rules. The Commission will also 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 – The 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 the foundation 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. This work, including updates to implement new spectrum and auction policies will continue through FY 2021 and FY 2022.
- *Universal Licensing System (ULS) Modernization* – In 2019 the Commission determined that it must modernize its licensing database and infrastructure to implement complex new service rules, as well as replace outdated technology to improve reliability, security, and access to data. The modernized system would enable the FCC to better support new auctions, inventory existing auction licenses, and re-auction spectrum. Early in FY 2020, the Commission initiated a multi-year, multi-million-dollar project to modernize ULS. The initial contract will begin development of market-based licensing and identification of requirements for the site-based and personal radio services. Subsequent work, commencing in FY 2022, will continue with modernization to complete market-based licensing and deliver site-based and personal radio service functionality.

#### 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 third 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, and the Reimbursement Expansion Act of 2018 (REA) to fund the TVBRF with \$2.70 billion to reimburse full power, Class A, low power and translator television and FM radio broadcast stations and MVPDs for their reasonable expenses incurred as a result of stations being involuntarily relocated to new channels. The REA permits the Commission to continue the reimbursement program until July 3, 2023, under certain circumstances, but did not extend the July 13, 2020 deadline to transition off of their pre-auction channels.

Because of the complex nature of the post-BIA transition, including displacement of low power and TV translator stations, and the inclusion of low power and translator TV stations and FM stations as categories of broadcast stations eligible for reimbursement for the first time in the 2018 REA, the Commission will continue to engage in a significant amount of post-auction activity. For example, the results of the BIA required 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.<sup>3</sup> In addition to these stations, on December 8, 2019, the Incentive Auction Task Force and Media Bureau announced that 87 FM stations and, on March 26, 2020, that 844 low power and translator TV stations (LPTV/translator stations), had also satisfied the eligibility requirements to participate in the TVBRF. About 40 full power and Class A stations remain on interim facilities and must complete construction of final facilities. This work will also require some MVPDs to modify their facilities to continue to carry the station's signals and some FM stations to modify their facilities to allow for completion of the repack construction work. In addition, some repacked stations, who have already vacated their pre-auction channel, have ongoing construction to remove old antennas and equipment and take other follow-up efforts, the reasonable costs of which are also reimbursable from the TVBRF. The Commission established procedures necessary to bring each entity's participation in the TVBRF to a close that involves two steps: an interim stage and a final stage. Final invoice filing deadlines for reimbursement from the TVBRF have been set for October 8, 2021 for repacked full power and Class A TV stations assigned transition completion dates in the first half of the 39-month post-incentive auction transition schedule; March 22, 2022 for repacked full power and Class A TV stations assigned completion dates in the second half of the 39-month post-incentive auction transition schedule; and September 5, 2022 for LPTV/translator stations, FM stations, and MVPDs. The deadlines help ensure that all eligible invoices are

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<sup>3</sup> 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.

processed and that entities are able to complete the TVBRF close-out procedures prior to July 3, 2023, when any unobligated amounts will be rescinded and deposited into the U.S. Treasury.

The last phase of the 39-month channel reassignment process ended July 3, 2020, but the reimbursement period may extend to July 3, 2023. This means that while all full power and Class A broadcast stations were 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 2022.

- Licensing for Broadcasters Being Relocated –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.

Several dozen 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 those new facilities, and the related Media Bureau consideration of all related applications and waivers, as well as submission of reimbursement invoices, is continuing 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 2022. 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 experts.

- 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. 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 radio 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, to make it possible for the co-located TV station to complete its construction of facilities on the tower. 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. In 2019, in response to the REA, the Commission expanded its reimbursement process to include LPTV/translator and FM stations pursuant to the REA and approved applications by stations in those categories for reimbursement in 2020 and 2019, respectively.
  - 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 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, or in the case of MVPDs to continue to carry the signal of a repacked station. 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 stations and MVPDs. 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 March 2021, the Commission had allocated a total of over \$2.04 billion to broadcasters and MVPDs, giving each reimbursable entity access to approximately 92.5 percent of their currently estimated and verified costs.

- 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 2022 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 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.

- **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.

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 2017</u>	<u>FY 2018</u>	<u>FY 2019</u>	<u>FY 2020</u>	<u>FY 2021<sup>4</sup></u>
Beginning Cash Balance as of October 1	\$2,980,154	\$8,620,648	\$3,508,741	\$3,378,640	\$7,731,130
Current Year Net Cash	7,728,932	(3,929,722)	2,598,061	6,845,791	78,549,980
Less:					
Deferred Revenue as of September 30 <sup>1</sup>	(2,064,903)	(1,158,650)	(2,725,948)	(2,491,088)	(78,690,213)
Deposit Liability - Refunds as of September 30 <sup>2</sup>	(2,214)	(2,214)	(2,214)	(2,213)	1,606
Accounts Payable <sup>3</sup>	(21,321)	(21,321)	0	0	0
<b>Available Cash as of September 30</b>	<b><u>\$8,620,648</u></b>	<b><u>\$3,508,741</u></b>	<b><u>\$3,378,640</u></b>	<b><u>\$7,731,130</u></b>	<b><u>\$7,592,503</u></b>

<sup>1</sup>Cash associated with licenses that have not been granted as of stated date.

<sup>2</sup>Upfront auction deposits not refunded as of stated date.

<sup>3</sup>Remaining amount owed to the Incentive Auction Reverse Auction Winners.

<sup>4</sup>For FY 2021, the amounts shown are as of March 31, 2021.

## 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 2020</u> <u>Actuals</u>	<u>FY 2021</u> <u>Enacted</u>	<u>FY 2022</u> <u>Estimates to</u> <u>Congress</u>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$27,494	\$31,151	\$32,074
Personnel benefits (12.0)	8,913	9,752	10,066
<b>Subtotal - Personnel Compensation &amp; Benefits</b>	<b>\$36,407</b>	<b>\$40,903</b>	<b>\$42,140</b>
<b>Other Expenses:</b>			
Benefits for former personnel (13.0)	\$8	\$8	\$9
Travel & transportation of persons (21.0)	37	121	124
Transportation of things (22.0)	9	9	9
Rent payments to GSA (23.1)	6,175	2,868	4,115
Communications, utilities, & misc. charges (23.3)	1,905	2,608	2,689
Printing and reproduction (24.0)	210	234	238
Other services from non-Federal sources (25.2)	24,820	30,848	21,244
Other goods & services from Federal sources (25.3)	655	2,004	2,044
Operation & maintenance of equipment (25.7)	36,677	54,647	55,744
Supplies and materials (26.0)	73	107	109
Equipment (31.0)	777	132	134
Land and structures (32.0)	0	0	0
Insurance claims & interest (40.0)	8	5	21
<b>Subtotal - Other Expenses</b>	<b>\$71,355</b>	<b>\$93,592</b>	<b>\$86,481</b>
<b>Total - Auctions Cost Recovery Reimbursable Authority</b>	<b>\$107,762</b>	<b>\$134,495</b>	<b>\$128,621</b>

## **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 2022 is \$128,621,000 to fund the following activities: further the objective of making more spectrum available for commercial use; continue implementation of the Spectrum Pipeline Act of 2015 and certain provisions of the RAY BAUM'S Act, including the MOBILE NOW Act, as well as the Beat China by Harnessing Important, National Airwaves for 5G Act of 2020 included in the Consolidated Appropriations Act of 2021; continue post-BIA work to include the new additional requirements from the REA related to the TVBRF; and upgrade and improve auctions infrastructure in preparation for future actions. 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 April 2021, the Commission had generated over \$207.5 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.

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 as well as the teams implementing the auction and transition that repurposes 280 megahertz of spectrum in the 3.7 GHz band from incumbent uses (including fixed satellite service) to flexible use, draw 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 Economics and Analytics, 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 related to the scarcity of vacant spectrum. 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.

The Commission continues to plan for future auctions, most notably ongoing and potential auctions related to the 3.45-3.55 GHz band to make an anticipated 100 megahertz of spectrum available for commercial use by relocating non-federal operations and potentially providing for shared use with federal operations; reallocating bands made available in the Spectrum Frontiers proceeding to terrestrial wireless use, new auctions for overlay licenses for white spaces in the 2.5 GHz band, 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 2022 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 adopted rules to make available through reverse auctions up to \$20.4 billion in the Rural Digital Opportunity Fund to bring fixed broadband to unserved locations and has concluded the first auction under these rules. The Commission has also adopted rules to make available through reverse auctions 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 FY 2022, 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 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.

In addition, a significant Commission auction focus in FY 2022 will be to continue post-broadcast incentive auction implementation. This work includes continuing to process applications and licenses to cover filed by relocated (or “repacked”) full power and Class A television stations and over 840 displaced LPTV/translator stations with minimum disruption to the viewing public that are still completing their construction of new post-auction facilities. 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. Although the repacked full power and Class A television stations were required to vacate their pre-auction channels by July 2020, 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 that 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.

Finally, the Commission will devote significant resources in FY 2022 towards implementation efforts to transition a 280-megahertz block of spectrum in the 3.7-4.0 GHz band, plus a 20-megahertz guard band, from incumbent use to new flexible-use now that the related auction is complete. All eligible incumbent space station operators elected to clear according to the following accelerated timeline: (1) clearing 120 megahertz (3.7-3.82 GHz) by December 5, 2021, and (2) clearing the remaining 180 megahertz (3.82-4.0 GHz) by December 5, 2023. If these deadlines are met, the incumbent space station operators will be eligible for accelerated relocation payments of up to \$9.7 billion, to be paid by the new flexible-use licensees. Incumbent fixed-satellite service (FSS) and fixed service (FS) licensees, as well as incumbent earth station operators, may also seek

reimbursement of reasonable relocation costs paid by flexible-use licensees as a condition on their license.

Commission staff will establish a process for reviewing certifications by the incumbent space station operators who elected accelerated relocation to determine whether they have met their clearing deadlines and qualify for the accelerated relocation payments. Commission staff will also oversee the reimbursement process and the work of a Relocation Payment Clearinghouse, who will manage the intake, payout, and auditing of relocation funds, serve in an administrative role to mediate disputes related to such costs, and provide progress reports to the Commission. Likewise, Commission staff will oversee technical aspects of the transition being managed by an external Relocation Coordinator, who is tasked with establishing a timeline and taking actions necessary to migrate and filter incumbent earth stations to ensure continued, uninterrupted service during and following the transition. Should the Relocation Coordinator receive notice of any substantive transition disputes between space station and earth station operators, it must notify Commission staff who will resolve such disputes. Commission staff will also handle any appeals of disputes mediated by the Relocation Payment Clearinghouse in the first instance.

The actual and estimated FTE levels for the spectrum auctions program for FYs 2020 through 2022 are shown on page 16. At the end of the Spectrum Auctions section is a crosswalk showing how spectrum auctions program funds will be utilized in FY 2022.

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/generated 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 Cash Collected/Generated by Fiscal Year

Fiscal Years 1994 through March 2021

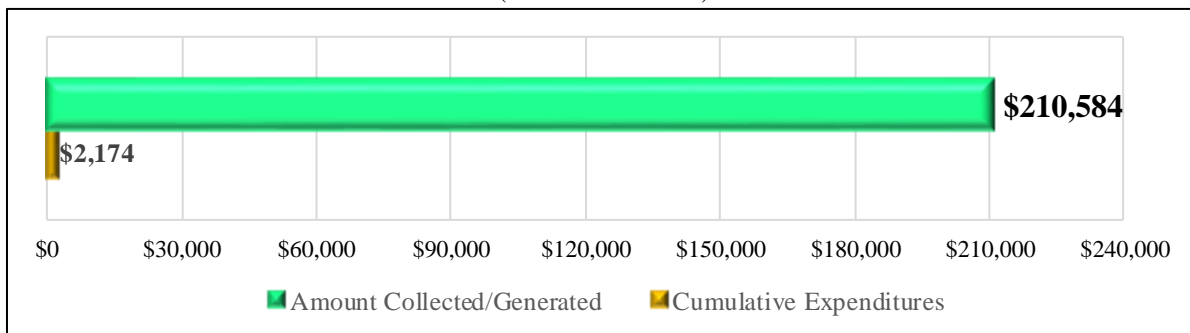
Fiscal Year	Number of Auctions	Number of Licenses Won	Amount Collected/Generated
1994	2	604	\$652,954
1995	2	129	\$8,234,321
1996	6	2,026	\$2,019,376
1997	4	1,614	\$2,205,922
1998	2	1,388	\$860,879
1999	6	1,693	\$499,599
2000	8	4,403	\$1,335,043
2001	4	3,447	\$583,600
2002	7	7,036	\$135,631
2003	7	3,144	\$77,122
2004	5	267	\$126,790
2005	6	2,803	\$2,208,333
2006	5	1,284	\$13,834,979
2007	5	290	\$163,430
2008	3	1,144	\$18,988,396
2009	2	115	\$5,696
2010	3	4,788	\$25,973
2011	3	126	\$31,493
2012	1	93	\$3,878
2013	2	3,197	\$5,784
2014	2	186	\$1,564,597
2015	2	1,713	\$41,772,724
2016	0	0	\$0
2017	1	2,776	\$19,306,993
2018	2	41	\$806
2019	3	5,880	\$2,723,993
2020	2	34,767	\$12,101,278
2021	1	5,684	\$81,114,720
<b>Totals</b>	<b>96</b>	<b>90,638</b>	<b>\$210,584,310</b>

Dollars in Thousands

## Spectrum Auctions Program – Cash Collected/Generated vs. Expenditures

Fiscal Years 1994 through March 2021

(Dollars in Millions)



Cumulative Expenditures includes the amount enacted for FY 2021.

## Crosswalk - Summary of Changes for Spectrum Auctions Program

(Dollars in Thousands)

	<b>FY 2021 Enacted</b>	<b>FY 2022 Reductions to Base</b>	<b>FY 2022 Base</b>	<b>FY 2022 Salary Increase (2.7%)</b>	<b>Non-Salary Inflationary Increase (2%)</b>	<b>FY 2022 Estimates to Congress</b>
Consumer & Governmental Affairs Bureau	\$177	\$0	\$177	\$0	\$4	\$181
International Bureau	\$3	\$0	\$3	\$0	\$0	\$3
Media Bureau	\$7,688	-\$6,000	\$1,688	\$0	\$34	\$1,722
Public Safety & Homeland Security Bureau	\$200	\$0	\$200	\$0	\$4	\$204
Wireless Telecommunications Bureau	\$8,139	\$0	\$8,139	\$0	\$163	\$8,302
Office of Administrative Law Judges	\$2	\$0	\$2	\$0	\$0	\$2
Office of Economics and Analytics	\$9,181	\$0	\$9,181	\$0	\$185	\$9,367
Office of General Counsel	\$1	\$0	\$1	\$0	\$0	\$1
Office of Managing Director	\$68,027	-\$2,678	\$65,349	\$0	\$1,370	\$66,719
Office of Media Relations	\$25	\$0	\$25	\$0	\$1	\$25
Office of Workplace Diversity	\$13	\$0	\$13	\$0	\$0	\$13
Compensation & Benefits	\$40,902	\$0	\$40,902	\$1,040	\$0	\$41,942
Office of Inspector General	\$137	\$0	\$137	\$0	\$3	\$140
<b>TOTAL</b>	<b>\$134,495</b>	<b>-\$8,678</b>	<b>\$125,817</b>	<b>\$1,040</b>	<b>\$1,764</b>	<b>\$128,621</b>

## **New Budget Authorities Already Provided**

In fiscal years 2020 and 2021, the President and Congress provided new budget authorities to the Commission from the Coronavirus Aid, Relief, and Economic Security (CARES) Act (P.L. 116-136), the Consolidated Appropriations Act, 2021 (P.L. 116-260), and the American Rescue Plan Act of 2021 (P.L. 117-2). The programs outlined below are a summary and status of these new budget authorities.

### **COVID-19 Telehealth Program**

Due to the ongoing novel coronavirus 2019 disease (COVID-19) pandemic, the Commission established the COVID-19 Telehealth Program through a *Report and Order* released on April 2, 2020. The COVID-19 Telehealth Program is funded through a \$200 million Congressional appropriation as part of the Coronavirus Aid, Relief, and Economic Security (CARES) Act, to immediately support eligible health care providers responding to the pandemic by providing funding for telecommunications services, information services, and connected devices necessary to provide critical connected care services whether for treatment of the COVID-19 disease or other health conditions during the COVID-19 pandemic. The COVID-19 Telehealth Program is an emergency funding program, not a grant program, that is designed to provide flexibility for eligible health care providers that apply for and receive funding commitments, and then request reimbursement for eligible expenses that they have purchased and received from their service providers or vendors under the COVID-19 Telehealth Program.

In order to seek funding under the CARES Act (Round 1), eligible health care providers were required to submit an application to the Commission, including information on the costs of the services and/or connected devices for which they plan to seek reimbursement. The Wireline Competition Bureau (Bureau), in consultation with the FCC's Connect2Health Task Force, reviewed the COVID-19 Telehealth Program applications, as outlined in the *Report and Order*, selected participants, and made funding awards on a rolling basis to eligible applicants based on the estimated costs of the eligible items they intended to purchase with the COVID-19 Telehealth Program funds. Selected funding recipients received a funding commitment letter providing their award amount and additional information about certain COVID-19 Telehealth Program requirements and procedures. Consistent with the *Report and Order*, applications from areas that were hardest hit by COVID-19 and where funding had the most impact on addressing a community's health care needs were prioritized. In order to ensure as many applicants as possible received available funding under the CARES Act, the Bureau did not award more than \$1 million to any single applicant. The Commission stopped accepting applications for Round 1 funding under the COVID-19 Telehealth Program on June 25, 2020. Awards were made until the appropriated Round 1 funding under the COVID-19 Telehealth Program was exhausted, which occurred on July 8, 2020. The Bureau issued \$200 million in total COVID-19 Telehealth Program Round 1 funding commitments for 539 applications.

After paying for and receiving the eligible services and/or connected devices from the service provider or vendor, funding recipients must submit to the Commission: a request seeking reimbursement; invoice documentation sufficient to identify the eligible items that were purchased and received, and the price paid; and, if applicable, a Letter of Authorization for those applicants

that received a funding commitment on behalf of other eligible health care provider sites. Under Round 1 of the COVID-19 Telehealth Program, the Commission reimburses funding recipients the full cost of the eligible services and/or connected devices received so long as the invoice submissions are accompanied by the required supporting documentation. After the reimbursement request is approved by the Commission, payment is issued by the U.S. Department of Treasury electronically to the bank account on file associated with the funding recipient.

On December 27, 2020, the Consolidated Appropriations Act, 2021 was signed into law, which appropriated an additional \$249.95 million to the Commission's COVID-19 Telehealth Program (Round 2). This additional funding will allow the Commission to continue its efforts to expand telehealth and connected care throughout the country and enable patients to access necessary health care services while helping slow the spread of the disease. Per congressional directive, the Commission was required to seek comment on various ideas related to committing the new funding, including the criteria to use to evaluate applications and how to treat pending applications from Round 1. The Commission released a Public Notice seeking comment on these issues on January 6, 2021. On February 2, 2021, the Commission adopted a *Report and Order* finding that it was in the public interest to use the Universal Service Administrative Company (USAC) to administer the COVID-19 Telehealth Program going forward. On March 30, 2021, the Commission released a *Report and Order and Order on Reconsideration* setting forth additional details about the policies and procedures that would apply during Round 2. On April 15, 2021, the Bureau released a Public Notice announcing the duration of the Round 2 application filing window, which opened on April 29, 2021 and closed on May 6, 2021.

### **Broadband Deployment Accuracy and Technological Availability (Broadband DATA) Act**

The Commission has long recognized that precise, granular data on the availability of fixed and mobile broadband are vital to bringing digital opportunity to all Americans, no matter where they live, work or travel. On March 23, 2020, the Broadband Deployment Accuracy and Technological Availability Act (Broadband DATA Act) was signed into law requiring the Commission to create a new set of broadband availability maps. Among other things, the Broadband DATA Act requires the Commission to collect standardized, granular data on the availability and quality of both fixed and mobile broadband Internet access services, to create a common dataset of all locations where fixed broadband Internet access service can be installed (the Fabric), and to create publicly available coverage maps. The Act further requires the Commission to establish processes for members of the public and other entities to (1) provide verified data for use in the coverage maps; (2) challenge the coverage maps, the broadband availability data submitted by service providers, and the Fabric; and (3) submit specific crowdsourced information about the development and availability of broadband service.

In July 2020, the Commission—building upon proposals it adopted in 2019—adopted rules and proposed additional measures to implement the mandates of the Broadband DATA Act. Specifically, the Commission adopted standards for reporting fixed and mobile service availability consistent with Broadband DATA Act requirements, established the use of the Fabric as the basis for reporting locations with fixed broadband, and provided processes for verifying the data collected from providers, including certification requirements, regular Commission audits, the acceptance of crowdsourced data, and the use of the High Cost Universal Broadband database. The

Commission also adopted the Broadband DATA Act's enforcement standard for submitting inaccurate or incomplete data and established standards for confidential treatment of information. The Commission proposed standards for reporting availability and quality of service data for fixed broadband service, standards for collecting infrastructure data from mobile broadband service providers, processes for verifying service providers' broadband data, challenge process procedures, and other reforms implementing the Broadband DATA Act as well.

On December 27, 2020, the Consolidated Appropriations Act, 2021, was signed into law appropriating \$98 million in funding for the implementation of the Broadband DATA Act. In light of this recent appropriation of funding, on January 13, 2021, the Commission adopted a *Third Report and Order* building on its earlier actions and taking key additional steps to help ensure that the Commission collects precise and accurate broadband deployment data in its mission to close the digital divide. Specifically, the new rules identify which fixed and mobile broadband Internet access service providers are required to report availability and/or coverage data and adopt requirements for reporting speed and latency for fixed technologies. Among other things, the *Third Report and Order* also requires fixed broadband Internet access service providers to report whether broadband services are offered to residential and/or business customer; creates standards for collecting broadband deployment data from state, local, and Tribal mapping entities, other federal agencies and third parties; and sets up a process for providers to submit and respond to challenges to fixed and mobile coverage map data.

### **Secure & Trusted Communications Network Reimbursement Program**

On March 12, 2020, the Secure and Trusted Communications Networks Act of 2019 (Secure Networks Act) was signed into law. The Secure Networks Act, among other measures, directed the Commission to establish the Secure and Trusted Communications Networks Reimbursement Program (Reimbursement Program) to fund the removal, replacement, and disposal of covered communications equipment or services that pose an unacceptable risk to the national security of the United States or the security and safety of U.S. persons from the networks of providers of advanced communications service.

On December 10, 2020, the Commission adopted a *Second Report and Order* implementing the Secure Networks Act by establishing rules for the Reimbursement Program. The Reimbursement Program will provide funding allocations to eligible providers based on their estimated costs. Reimbursement Program recipients can then obtain funding disbursements from their allocation upon showing of actual expenses incurred. Reimbursement Program recipients will have one year from the initial disbursement to complete the permanent removal, replacement, and disposal of covered communications equipment or services with the potential for a general and individual extensions of time. Recipients of Reimbursement Program funds shall use these funds solely to: (1) permanently remove covered communications equipment and services from their networks; (2) replace the covered communications equipment and services with non-covered equipment or services; and (3) dispose of the covered communications equipment and services in accordance with the Secure Networks Act.

On December 27, 2020, the Consolidated Appropriations Act, 2021 (Consolidated Appropriations Act), was signed into law. The legislation, among other things, appropriated \$1.9 billion to “carry

out” the Reimbursement Program. In addition, the legislation amended the Secure Networks Act, expanding program eligibility from providers of advanced communications service with two million or fewer customers to providers with ten million or fewer customers. The Consolidated Appropriations Act also amended the definition of a provider of advanced communications service to specifically include certain non-commercial education institutions and added a method for prioritizing funding that differs from the approach adopted by the Commission in the *Second Report and Order*. The Commission adopted a *Third Further Notice of Proposed Rulemaking*, on February 17, 2021, seeking comment on proposals to modify the Commission’s rules consistent with the changes to the Secure Networks Act by the Consolidated Appropriations Act. In March 2021, the Commission announced the publication of a list of communications equipment and services that are deemed to pose an unacceptable risk to the national security of the United States or the security and safety of United States persons. In a separate Public Notice, in March 2021, the Commission sought comment on a report and a preliminary cost catalog, and a preliminary replacement list to help eligible providers participate in the Reimbursement Program.

### **Emergency Broadband Connectivity Fund-Emergency Broadband Benefit Program**

On December 27, 2020, the Consolidated Appropriations Act, 2021 (Consolidated Appropriations Act), was signed into law. In the Consolidated Appropriations Act, Congress appropriated \$3.2 billion for the Emergency Broadband Connectivity Fund for fiscal year 2021, to remain available until expended or six months after the end of the public health emergency. The Consolidated Appropriations Act directed the Commission to use that funding to establish the Emergency Broadband Benefit (EBB) Program, under which eligible low-income households may receive a discount off the cost of broadband service and certain connected devices during an emergency period relating to the COVID-19 pandemic, and participating providers can receive a reimbursement for such discounts.

To participate in the EBB Program, a provider must elect to participate, and either be designated as an eligible telecommunications carrier or be approved by the Commission. Participating providers will make available to eligible households a monthly discount off the standard rate for an Internet service offering and associated equipment, up to \$50.00 per month. On Tribal lands, the monthly discount may be up to \$75.00 per month. Participating providers will receive reimbursement from the EBB Program for the discounts provided. Participating providers that also supply an eligible household with a laptop, desktop computer, or tablet (connected device) for use during the emergency period may receive a single reimbursement of up to \$100.00 for the connected device, if the charge to the eligible household for that device is more than \$10.00 but less than \$50.00. A participating provider may receive reimbursement for only one supported device per eligible household. Providers must submit certain certifications to the Commission to receive reimbursement from the program, and the Commission is required to adopt audit requirements to ensure provider compliance and prevent waste, fraud, and abuse.

In implementing the EBB Program, the Consolidated Appropriations Act permits the Commission to apply rules contained in part 54 of the Commission’s rules, including those governing the Lifeline program. The Consolidated Appropriations Act further permits the Commission to avail itself of the Universal Service Administrative Company (USAC)’s, the administrator of the universal service support programs, services to administer the EBB Program. Specifically, the Consolidated



Appropriations Act required the Commission to adopt rules implementing the program by February 25, 2021.

Consistent with the Consolidated Appropriations Act, the Commission adopted a *Report and Order* on February 25, 2021 adopting the rules and policies creating and governing the EBB Program. The Commission's Wireline Competition Bureau (Bureau), other Commission staff and USAC are working to establish the processes and systems needed to administer the EBB Program. This includes the Commission process for approval of broadband providers to participate, the USAC process for all broadband providers that will elect to participate, and when enrollment and reimbursement will start. On March 4, 2021, the Bureau announced the initial deadlines for approving the broadband provider participation and election process and will announce at a later date other administrative deadlines or milestones. On May 12, 2021, the EBB Program launched and consumers can apply for the program through the National Verifier at [GetEmergencyBroadband.org](https://www.getemergencybroadband.org) and service providers can begin enrolling consumers.

### **Emergency Connectivity Fund**

To help schools and libraries provide connected devices, such as a laptop, tablet, or similar end-user devices, and connectivity to students, school staff, and library patrons during the coronavirus disease 2019 (COVID-19) pandemic, Congress established a \$7.171 billion Emergency Connectivity Fund to remain available until September 30, 2030 as part of the American Rescue Plan Act of 2021 (American Rescue Plan Act) signed into law on March 11, 2021. Per congressional directive, the Commission is required to promulgate rules providing for the distribution of funding from the Emergency Connectivity Fund to eligible schools and libraries for the purchase of eligible equipment and advanced telecommunications and information services for use by students, school staff, and library patrons at locations other than a school or library. Consistent with this congressional directive, on March 16, 2021, the Wireline Competition Bureau sought comment on the provision of support from the Emergency Connectivity Fund consistent with section 7402 of the American Rescue Plan Act, and will provide additional information regarding the implementation of the Emergency Connectivity Fund after it has promulgated rules providing for the distribution of funding from the Emergency Connectivity Fund.

## Summary Activities for New Budget Authorities Received in FY 2020 and FY2021

(Dollars in Thousands)

	Budget Authority	Amount Obligated for Program Use	Amount Obligated for Program Administration Use	Amount Disbursed
COVID-19 Telehealth Program - Round 1	\$200,000	\$200,000	\$0	\$161,841
COVID-19 Telehealth Program - Round 2	\$249,900	\$0	\$6,600	\$0
Secure & Trusted Communications Network Reimbursement Program	\$1,900,000	\$0	\$6,315	\$0
Emergency Broadband Connectivity Fund - Emergency Broadband Benefit Program	\$3,200,000	\$0	\$48,544	\$0
Broadband DATA Act	\$65,000	\$0	\$0	\$0
Emergency Connectivity Fund	\$7,171,000	\$0	\$107,560	\$0
<b>TOTAL - FY '20 &amp; '21 New Budget Authorities</b>	<b>\$12,785,900</b>	<b>\$200,000</b>	<b>\$169,019</b>	<b>\$161,841</b>

Note: Amounts dedicated to OIG for COVID-19 Telehealth Program - Round 2 and Emergency Connectivity Fund are not included in the amounts shown above. The amounts shown are as of May 20, 2021.

## Summary of Commission's All Other Budget Authorities

(Dollars in Thousands)

	Fiscal Years		TOTAL
	2020	2021	
<b>New Budget Authorities Already Provided:<sup>1</sup></b>			
COVID-19 Telehealth Program <sup>2</sup>	\$200,000	\$249,950	<b>\$449,950</b>
Secure & Trusted Communications Network Reimbursement Program <sup>3</sup>		\$1,900,000	<b>\$1,900,000</b>
Emergency Broadband Connectivity Fund - Emergency Broadband Benefit Program <sup>4</sup>		\$3,200,000	<b>\$3,200,000</b>
Broadband DATA Act <sup>5</sup>		\$65,000	<b>\$65,000</b>
Emergency Connectivity Fund <sup>6</sup>		\$7,172,000	<b>\$7,172,000</b>
<b>TOTAL - New Direct Appropriations</b>	<b>\$200,000</b>	<b>\$12,586,950</b>	<b>\$12,786,950</b>

	Fiscal Years			TOTAL
	2012	2018	2019	
TV Broadcaster Relocation Fund (TVBRF): <sup>7</sup>	\$1,750,000	\$600,000	\$400,000	<b>\$2,750,000</b>

	Fiscal Years		NET CHANGE
	2021	2022	
<b>Permanent Indefinite Appropriation &amp; Unused Carryover Funds:</b>			
Credit Program Account <sup>8</sup>	\$25	\$0	-\$25
Universal Service Fund Oversight - OIG (unused carryover funds) <sup>9</sup>	\$4,641	\$0	-\$4,641
<b>Total</b>	<b>\$4,666</b>	<b>\$0</b>	<b>-\$4,666</b>

<sup>1</sup>Refer to page 51 for a summary and status of these new budget authorities already provided.

<sup>2</sup>FY 2020 funds were provided by the Coronavirus Aid, Relief, and Economic Security (CARES) Act (P.L. 116-136) and FY 2021 funds were provided by the Consolidated Appropriations Act, 2021 (P.L. 116-260). Included in the FY 2021 funding was an allocation of \$50 thousand to OIG for oversight.

<sup>3</sup>Funds were provided by the Consolidated Appropriations Act, 2021 (P.L. 116-260) and not more than \$5 million of the funding was made available for administrative use.

<sup>4</sup>Funds were provided by the Consolidated Appropriations Act, 2021 (P.L. 116-260) and not more than \$64 million (2%) of the funding was made available for administrative use.

<sup>5</sup>Funds were provided by the Consolidated Appropriations Act, 2021 (P.L. 116-260) and an additional \$33 million was also made available under the Commission's S&E - Regulatory Fees (Offsetting Collections) for a total of \$98 million.

<sup>6</sup>Funds were provided by the American Rescue Plan Act of 2021 (P.L. 117-2) and not more than \$143.42 million (2%) of the funding was made available for administrative use and \$1 million to OIG for oversight.

<sup>7</sup>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 (P.L. 115-141). The TVBRF is capped at \$2.75 billion.

<sup>8</sup>A permanent indefinite appropriation for credit reform that becomes available pursuant to a standing provision of law without further action by Congress.

<sup>9</sup>Represents unused carryover fund from prior fiscal years. Any remaining unused funds from FY 2021 will be carried over to FY 2022.

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## **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 million in Economy Act Reimbursable Agreements with other Federal agencies in FY 2021. The Commission estimates that in FY 2022, the FCC's interagency reimbursable agreements will remain consistent at approximately \$4 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 31, 2020.

## **Availability of Regulatory Fees**

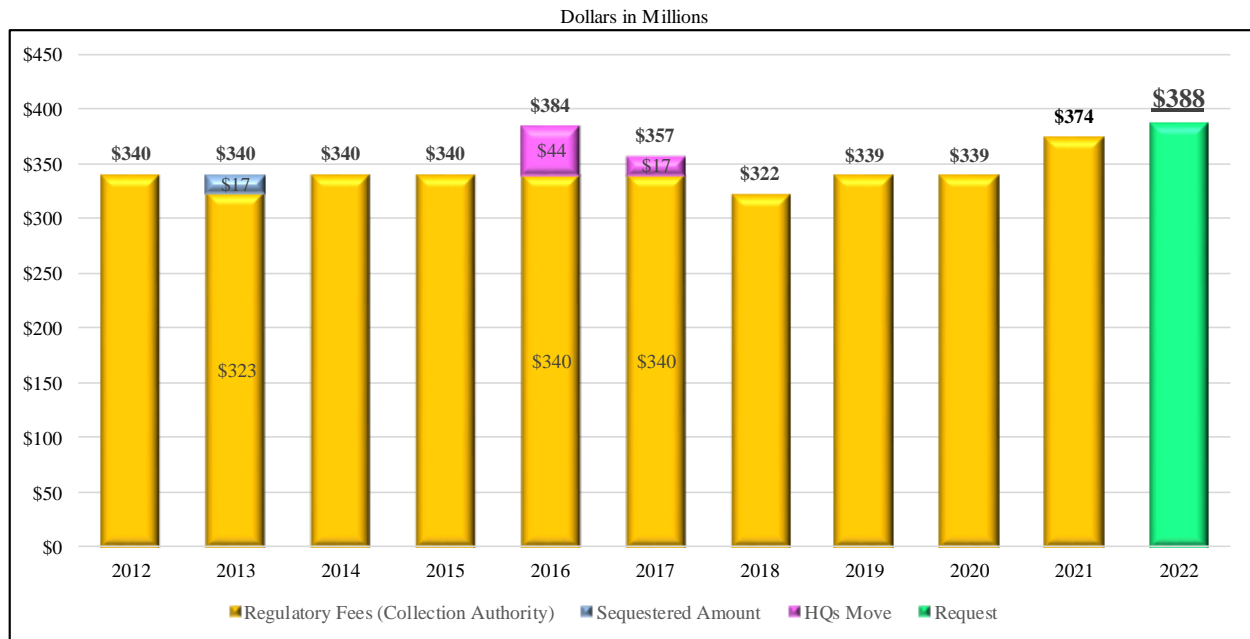
The RAY BAUM'S Act of 2018 (2018 Act) requires the Commission to transfer all excess collections to the General Fund of the U.S. Treasury for the sole purpose of deficit reduction. On October 1, 2020, the Commission transferred over \$6.3 million in excess collections from FY 2020 to the General Fund 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 2022 request level for regulatory fees is \$387,950,000, which is a net increase of \$13,950,000 or 3.7 percent from the FY 2021 appropriated level of \$374,000,000. 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 2012.



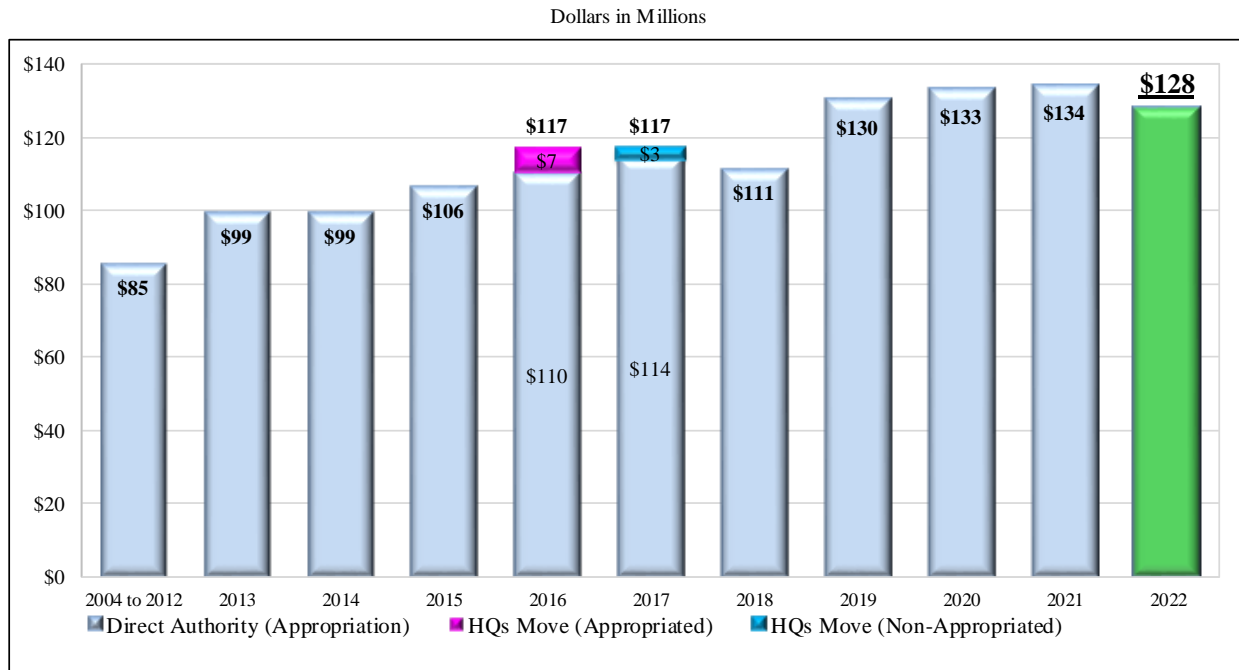
For FYs 2016 and 2017, \$44 million and \$17 million, respectively, represent amounts provided for the necessary expenses associated with moving the FCC headquarters to a new facility to significantly reduce space consumption.

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.

In FY 2021, a total of \$98 million was made available to implement certain requirements of the Broadband DATA Act, of which, \$33 million was appropriated under the Commission's Regulatory Fees (Offsetting Collections) and, therefore, is included in this schedule. The \$65 million in other budget authority dedicated for the implementation of the Broadband DATA Act is shown with Commission's other budget authorities to provide a better historical comparison of the components of the FCC's regular budgetary requests. The Commission's other budget authorities are summarized on page 51.

## 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 2022 column represents amount requested.

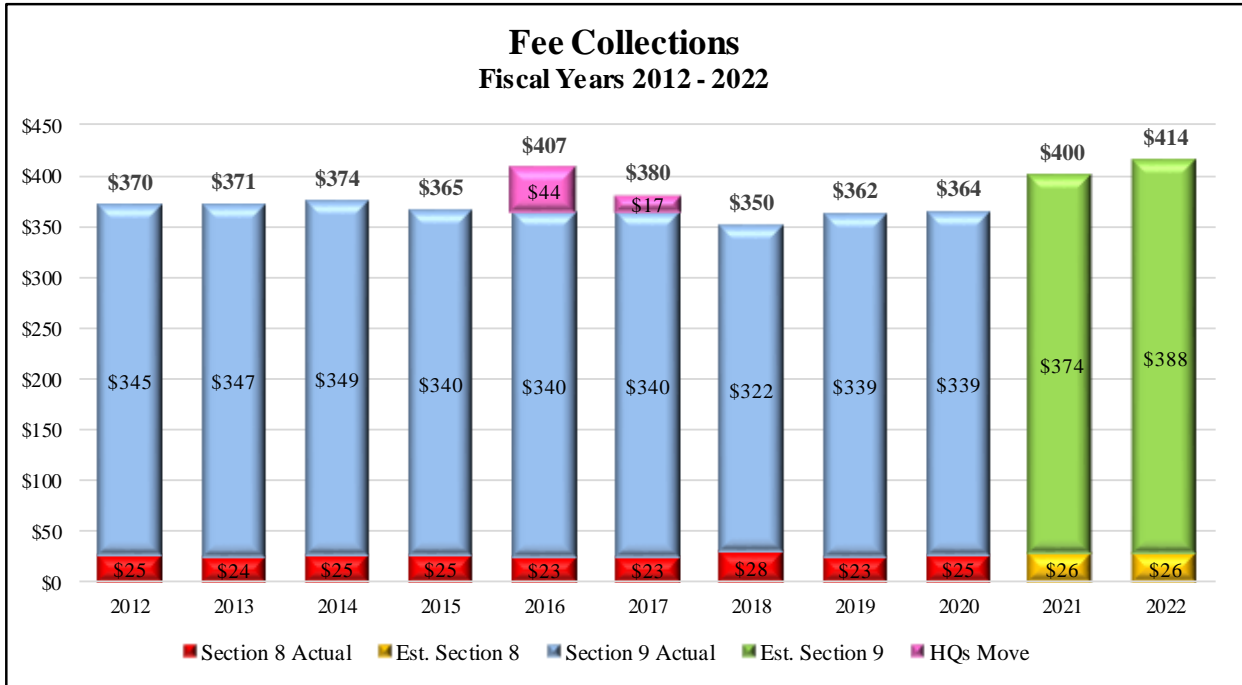
The increase in funding from FY 2019 is to implement the requirements of the RAY BAUM's Act.

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 August 12, 2020 and released on August 26, 2020. 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.

In FY 2021, a total of \$98 million was made available to implement certain requirements of the Broadband DATA Act, of which, \$33 million was appropriated under the Commission's Regulatory Fees (Offsetting Collections) and, therefore, is included in this schedule. The \$65 million in other budget authority dedicated for the implementation of the Broadband DATA Act is shown with Commission's other budget authorities to provide a better historical comparison of the components of the FCC's regular budgetary requests. The Commission's other budget authorities are summarized on page 51.

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."<sup>4</sup> In addition, section one provides that the Commission was created "for the purpose of the national defense" and "for the purpose of promoting safety of life and property through the use of wire and radio communications."<sup>5</sup>

## 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, advanced communication services, and video programming to promote accessibility 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 the Chair.

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; inform and educate consumers and conduct outreach, 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 and state and local governments. The Bureau also serves as the public face of the Commission through outreach and education and responds to consumer inquiries and informal complaints. The Bureau maintains collaborative partnerships with consumer-facing organizations and state, local, and Tribal governments in such areas as implementation of critical initiatives, implementation of new technologies, and emergency preparedness. 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 Bureau also ensures public facing access to the Commission for persons with disabilities via a team of American Sign Language interpreters and accessible formats specialists.
- **The Enforcement Bureau** enforces the Communications Act and the FCC's rules. It acts to protect consumers, ensure efficient use of spectrum, further public safety, promote competition, resolve disputes, and protect the integrity of FCC programs and activities from fraud, waste, and abuse.

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<sup>4</sup> 47 U.S.C. § 151.

<sup>5</sup> *Id.*

- **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, coordinates the FCC’s global spectrum activities, and advocates for 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 and Homeland Security Bureau** develops and implements policies and programs to strengthen public safety communications and interoperability, homeland security, national security, emergency management and preparedness, disaster management, and network reliability and resiliency. 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 crises. 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, fixed (as opposed to mobile) broadband and telephone lines, 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** provides objective economic analysis to support Commission policy making and implements agency-wide data practices and policies, including implementing significant economically-relevant data collections. 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 oversees the Commission's equipment authorization program to ensure compliance with technical rules and its experimental licensing program to promote new and innovative technologies and services.

- **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** 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 without regard to race, color, religion, sex (including pregnancy and gender identity), sexual orientation, national origin, age, disability (mental, intellectual, or physical), marital status, parental status, political affiliation, genetic information (including medical history), or any other basis protected by law.

## Strategic Goals

1. **Pursue a "100 Percent" Broadband Policy:** The COVID-19 pandemic put a spotlight on the serious broadband gaps that exist across the country, including in rural infrastructure, affordability for low-income Americans, and at-home access for students. This continuing digital divide means millions of Americans do not have meaningful access to essential infrastructure for 21<sup>st</sup> century success. In response to the COVID-19 pandemic and the challenges that many Americans face, the agency should advance access to communications that are essential for Americans to work remotely, learn remotely, receive healthcare, and engage in commerce. To this end, the FCC will pursue policies to help bring affordable, reliable, high-speed broadband to 100 percent of the country.
2. **Promote Diversity, Equity, Inclusion and Accessibility.** The FCC will seek to gain a deeper understanding of how the agency's rules, policies, and programs may promote or inhibit advances in diversity, equity, inclusion, and accessibility. The FCC will pursue focused action and investments to eliminate historical, systemic, and structural barriers that perpetuate disadvantaged or underserved individuals and communities. In so doing, the FCC will work to ensure equitable and inclusive access and facilitate the ability of underserved individuals and communities to leverage and benefit from the wide range of opportunities made possible by digital technologies, media, communication services, and next-generation networks. In addition, the FCC recognizes that it is more effective when its workforce reflects the experience, judgement, and input of individuals from many different backgrounds. Advancing equity is core to the agency's management and policymaking processes and will benefit all Americans.

3. **Empower Consumers:** Consumers who are well informed about their rights and what they're buying are more confident and more likely to participate in the digital economy. The FCC will tackle new challenges to consumer rights and opportunities stemming from the COVID-19 pandemic, plans for post-COVID recovery, and digital transitions. The FCC also will pursue effective enforcement and new approaches to protect consumers from unwanted and intrusive communications, phone-based scams, telephone privacy issues, and other trends that affect consumers. The FCC will work to enhance competition and pursue policies that protect the competitive process to improve consumer choice and access to information. The FCC will work to foster a regulatory landscape that fosters media competition, diversity, and localism. The FCC also must work to ensure the availability of quality, functionally equivalent communications services for persons with disabilities.
4. **Enhance Public Safety and National Security:** There is no task at the FCC that is more important than keeping the American people safe. The FCC will pursue policies to promote the availability of secure, reliable, interoperable, redundant, and rapidly restorable critical communications infrastructure and services. The FCC also will promote the public's access to reliable 911, emergency alerting, and first responder communications. The FCC will work to ensure the continued availability of timely emergency alerts. The FCC will work in coordination with Federal and state, local, Tribal, and territorial government partners and industry stakeholders to support disaster response and to ensure the nation's defense and homeland security.
5. **Advance America's Global Competitiveness:** The FCC will take action to promote investment and advance the development and deployment of new communications technologies, such as 5G, that will allow the nation to remain a global leader in an increasingly competitive, international marketplace. The FCC will identify incentives and policies to close security gaps and accelerate trustworthy innovation. The FCC will work with its federal partners to advocate for US interests abroad.
6. **Foster Operational Excellence:** The FCC should be a model for excellence in government by effectively managing its resources, maintaining a commitment to transparent and responsive processes that encourage public involvement and decision-making that best serves the public interest, and encouraging a culture of collaboration both internally and across government agencies.

## **What the FCC Commits to Accomplish in FY 2022**

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: Pursue a "100 Percent" Broadband Policy***

***Strategic Objective 1.1:*** Pursue policies to help bring affordable, reliable, high-speed broadband to 100 percent of the population, including rural areas, and Tribal lands as well as for low-income Americans and students.

#### ***Performance Goals and Targets:***

- 1.1.1 Evaluate and report on the availability of broadband services throughout the country.

- Consistent with the RAY BAUMS Act, evaluate and prepare a unified report on the state of the communications marketplaces based on various data collected by the Commission, including FCC Form 477 and the Broadband Data Collection, which is being implemented pursuant to the Broadband DATA Act.
- Implement the Broadband DATA Act by collecting and mapping broadband coverage data submitted by providers and incorporating public feedback through a challenge process.
- Ensure data collected and used to monitor voice and broadband marketplaces through the Broadband Data Collection, FCC Form 477, the Measuring Broadband America program, 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 working with filers as appropriate to clarify or resolve such issues.

1.1.2 Support and facilitate the development, deployment, and adoption of broadband services across multiple platforms.

- Promote affordable access to reliable, high-speed broadband networks to communities in rural America.
- Improve access to healthcare for rural Americans through the COVID-19 Telehealth Program and the Rural Healthcare Program.
- Ensure low-income Americans have access to affordable broadband services through the Emergency Broadband Benefit and Lifeline programs.
- Ensure that students as well as school staff and library patrons have access to broadband technologies through implementation of the Emergency Connectivity Fund.
- Carry out rulemakings, spectrum reallocations, and license application reviews as needed to ensure that the growing demand for broadband services, including satellite-delivered broadband, is met.
- Continue streamlining and updating rules for licensing submarine cables to facilitate timely deployment of undersea broadband facilities.

1.1.3 Work in partnership with state, local, and tribal governments, and consumer and industry groups, to ensure that broadband networks are deployed to all American consumers, including those in Tribal, rural, insular, and high-cost areas.

- Implement rules and procedures designed to expand broadband service to rural and Tribal areas through the use of licensed and unlicensed spectrum, including in the 2.5 GHz, 3.5 GHz, 5.9 GHz, and 6 GHz bands and White Spaces.
- Provide incentives for the partitioning and disaggregation of spectrum licenses covering tribal communities in a manner that could increase the availability of broadband services in rural and tribal communities and spectrum access by small carriers.

**Strategic Objective 1.2:** Provide opportunities for innovation in broadband services and technologies by modernizing Universal Service Fund (USF) programs to better facilitate affordable broadband deployment and meaningful access to essential services for all Americans.

***Performance Goals and Targets:***

- 1.2.1 Efficiently support broadband deployment where it is most needed by implementing USF mechanisms that are grounded in sound policy.
- Make significant progress to address the results of the Rural Digital Opportunity Fund auction.
  - Make significant progress towards policies for the successor to Mobility Fund Phase II to support the preservation and expansion of mobile wireless voice and broadband services.
  - Ensure low-income Americans have access to affordable communications services through the Lifeline program.
- 1.2.2 Continue reform and modernization of universal service programs to reflect technological developments and changes in the market.
- Make progress to monitor the reform of high-cost support to unserved areas in Alaska.
  - Foster certainty among providers that receive high-cost support by administering a process to update deployment obligations to reflect real-world conditions.
  - 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.

***Strategic Objective 1.3:*** Advance access to communications that are essential for Americans to work remotely, learn remotely, receive healthcare remotely, and engage in commerce on-line.

***Performance Goals and Targets:***

- 1.3.1 Ensure a competitive and vibrant unlicensed ecosystem that fosters competition and innovation and that supports home networks, business private networks, public networks, and Wi-Fi enabled hotspots.
- Develop and implement flexible, market-oriented spectrum allocation and assignment policies, such as shared and unlicensed uses, which promote innovation, investment, entrepreneurship, and consumer benefits.
  - Advocate adoption of spectrum allocation and other market-oriented spectrum policies internationally.
  - Take enforcement action in appropriate cases against violations of spectrum-related rules, such as interference and unauthorized uses of frequencies.
- 1.3.2 Expedite processes to allow new services and devices to come to market.
- Ensure effective policies are in place to promote and protect competition and remove barriers to investment.
  - Provide opportunities for innovative and experimental uses of spectrum.
  - Conduct effective and timely spectrum licensing and equipment authorization activities.

1.3.3 Foster an environment that will encourage investment in broadband networks and services by existing providers while encouraging participation in broadband markets by new and non-traditional participants.

- Coordinate with stakeholders to identify impediments towards broadband investment or deployment.
- Continue working on policies to reduce or eliminate rules that may be discouraging investment in newer, non-TDM-based technologies.

**Strategic Objective 1.4:** Communicate information about FCC programs and policies to help bring affordable, reliable, high-speed broadband to 100% of the country.

***Performance Goals and Targets:***

1.4.1 Launch a national consumer awareness and education campaign focusing on broadband adoption with specific emphasis on low-income Americans and at-home access for students.

- 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.

1.4.2 Launch locally-focused and targeted programs of consumer and governmental outreach activities and events based on FCC's efforts to extend service through the universal service fund and other carrier commitments to the Commission for new deployment.

- Coordinate the timing of geographically focused micro-outreach campaigns in concert with new carrier deployment.
- Develop an outreach program of events, webinars, 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: Promote Diversity, Equity, Inclusion and Accessibility***

**Strategic Objective 2.1:** Pursue focused action, policies, and investments to eliminate historical, systemic, and structural barriers that perpetuate disadvantaged or underserved individuals and communities.

***Performance Goals and Targets:***

2.1.1 Perform outreach and conduct programs related to communications issues that will promote education and awareness about historical, systemic, and structural barriers that perpetuate disadvantaged or underserved individuals and communities.

- Conduct quarterly dialogue sessions with representatives of national, regional, Tribal, and local consumer advocacy organizations to socialize new and existing Commission policies and develop future areas for collaboration on digital equity and inclusion. Such sessions can be in the form of webinars that focus on separate Commission initiatives and policies.
- Host a workshop in conjunction with the Advisory Committee on Diversity and Digital Empowerment to disseminate information about the digital divide and related issues, with a focus on small, women, and minority-owned communications businesses.
- Create interactive programs in conjunction with the Advisory Committee on Diversity and Digital Empowerment to educate underserved communities about the benefits of broadband.

**Strategic Objective 2.2:** Seek to gain a deeper understanding of how the agency’s rules, policies, and programs may promote or inhibit advances in diversity, equity, inclusion, and accessibility.

***Performance Goals and Targets:***

2.2.1 Conduct outreach to the Commission’s counterparts throughout various levels of government as well as other stakeholders to better understand how the Commission can promote diversity, equity, inclusion, and accessibility through its rules, policies, and programs.

- Coordinate and work with state, local and Tribal governments to leverage the knowledge and interests of the governments closest to consumers and their communities.
- Establish, maintain, and leverage effective strategic partnerships with national, local, and grassroots entities to build awareness on Commission input opportunities for stakeholders prior to and during policymaking processes.
- Evaluate opportunities to advance consideration of diversity, equity, inclusion, and accessibility in policymaking functions.

2.2.2 Ensure that the FCC cultivates an inclusive culture that encourages collaboration, flexibility, and fairness.

- Continue agency-wide efforts to be a model EEO employer ensuring equal employment opportunity to all employees and applicants for employment without regard to race, color, religion, sex, sexual orientation, national origin, age, disability, marital status, parental status, political affiliation, genetic information, or any other basis protected by law, such as retaliation, reprisal and equal pay.
- Process informal and formal EEO complaints in a timely manner and consistent with the requirements of the Equal Employment Opportunity Commission’s (EEOC) Management Directive 110.
- Prepare and timely submit all annual EEO reports to the EEOC and other regulatory bodies as required.
- Prepare and disseminate an annual report on diversity and inclusion, highlighting trends, accomplishments, gaps, and next steps.
- Develop and present an annual State of the Agency Report to the Office of the Chair.
- Ensure that all employees timely complete training regarding EEO matters.
- Work collaboratively with FCC university to update, as necessary, training modules regarding Prohibited Personnel Practices and Whistleblower Disclosures.

- Continue agency program of providing reasonable accommodation for employees with disabilities in accordance with applicable laws and regulations.
- Process 95% of employee requests for reasonable accommodation from employees within 20 days of receipt.
- Provide annual report of number of employee requests for reasonable accommodations, disposition status, and trends.
- Continue agency-wide anti-harassment efforts, including reports and training programs on a recurring basis.
- In consultation with the Associate Managing Director-Human Resource Management, provide annual report of number of anti-harassment complaints, disposition status, and trends.
- Continue the agency's alternative dispute resolution (ADR) program promoting the use of conflict prevention and ADR techniques and training opportunities for supervisors, managers, and employees regarding the benefits and leveraging of ADR techniques and strategies.
- Respond to all requests for mediation and/or conflict resolution assistance pursuant to the FCC's ADR Handbook.
- Provide ADR training for employees and supervisor and managers on a recurring basis.

***Strategic Goal 3: Empower Consumers***

***Strategic Objective 3.1:*** Remove impediments to consumer participation in the digital economy and tackle new challenges to consumer rights and opportunities stemming from the COVID-19 pandemic, plans for post-COVID recovery, and digital transitions.

***Performance Goals and Targets:***

- 3.1.1 Pursue policies and effective enforcement to protect consumers from unwanted and intrusive communications, phone-based scams, telephone privacy issues, and other trends affecting consumers.
- Ensure voice service provider implementation of SHAKEN/STIR Caller ID authentication framework to reduce high-impact fraudulent robocalls.
  - Work on identifying a Caller ID authentication framework or other robocall mitigation solutions in connection with the non-IP portion of the network to reduce high-impact fraudulent robocalls.
  - Facilitate the development of solutions that identify the makers of robocalls, mechanisms for caller ID validation, and tools to reduce high-impact fraudulent robocalls.
  - Develop and enforce policy measures to combat unlawful robocalling while also protecting consumer privacy and the ability to make lawful calls.
  - Release unwanted call complaint data to the public for use in combatting unlawful telemarketing and robocalling.
  - Provide unwanted call complaint data internally to inform policy and potential enforcement of telemarketing and robocall violations.
  - 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 alleged violations of rules designed to protect consumers, including allegations concerning robocalls; take appropriate enforcement action.
  - Coordinate and share best practices with other countries on combatting unlawful robocalls.
  - Facilitate, through education and awareness activities and resources, the voluntary adoption of best practices for preventing, or mitigating the risk of unlawful robocalls to hospitals and health systems.
  - Reduce financial incentives to engage in robocalling by working with all carriers requesting assistance with tariff and contract revisions.
  - Reduce incentives to engage in phantom robocalling to toll-free numbers.
  - 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 Ensure the availability of quality, functionally equivalent communications services for persons with disabilities.
- Develop Internet Protocol Captioned Telephone Service (IP CTS) performance goals and service quality metrics.
  - Decide applications and shift conditional certification for Internet-based Telecommunications Relay Service (TRS) providers to permanent status.
  - Investigate complaints involving violations of the Commission’s TRS rules and take appropriate enforcement action.
  - Undertake initiatives to expedite the consistent roll-out of real-time text technology, which supplants antiquated TTY technology for individuals with disabilities who are text-reliant.
  - Pursue a goal of 100 percent of mobile devices being hearing-aid compatible.
  - Consider proposals to improve access to functionally equivalent communications services for incarcerated individuals with disabilities.
- 3.1.3 Work to enhance competition and pursue policies that protect the competitive process to improve consumer choice and access to information.
- 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.
- 3.1.4 Implement actions to ensure that individuals with disabilities can access video programming.



- Ensure that transitions to new technologies and standards continue to provide consumers with disabilities with access to video programming through closed captioning, audio description, accessible emergency information, and accessible user interfaces and video programming guides and menus.
  - Extend audio description requirements to enable a greater number of individuals who are blind or visually impaired to be connected, informed, and entertained by television programming.
  - Undertake appropriate initiatives to close accessibility gaps with regard to closed captioning and user interface settings.
  - Increase awareness of accessibility requirements by engaging in outreach to industry and consumers.
- 3.1.5 Implement actions to protect incarcerated individuals and their families to ensure access to affordable communications services.
- Adopt and implement caps on interstate and international inmate calling services and ancillary charges.
  - Continue to monitor the market for interstate inmate calling services to ensure just, accessible, and reasonable rates and practices.

***Strategic Goal 4: Enhance Public Safety and National Security***

***Strategic Objective 4.1:*** Keep the American people safe by pursuing policies to promote the availability of secure, reliable, interoperable, resilient, and rapidly restorable critical communications infrastructures and services.

***Performance Goals and Targets:***

- 4.1.1 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).
  - Encourage the enhancement and use of redundant communications, such as amateur radio, family radio, and general mobile radio services, to support public safety communications during disasters and emergencies.
- 4.1.2 Implement an integrated regulatory framework that facilitates faster emergency response, leverages technological advancements, and promotes the rapid deployment of innovative public safety communications, such as Next Generation 911 (NG911).
- Monitor benchmarks regarding direct 911 dialing and notification requirements for Multi-Line Telephone Systems (MLTS).

- Monitor 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 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.
  - Evaluate 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 horizontal location accuracy benchmarks to provide x/y location within 50 meters or dispatchable location for 80% of all wireless 911 calls, and vertical location accuracy requirement to provide z-axis location within 3 meters or dispatchable location for wireless 911 calls in FY 2022.
  - 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 the Public Safety Support Center and specific FCC email accounts that support PSAPs and emergency responders.
  - Implement section 902 of the Don't Break Up the T-Band Act of 2020, which (1) directs the Commission to adopt rules that define what uses of 911 fees by states and taxing jurisdictions constitute fee diversion, and (2) establish a federal advisory committee to study 911 fee diversion and develop recommendations to Congress to end this practice.
- 4.1.3 Combat the use of contraband cellphones in correctional facilities by developing reforms and examining other technological solutions.
- Take steps to implement new rules or facilitate other solutions to reduce the use of contraband cellphones in correctional facilities.
- 4.1.4 Take regulatory and operational measures to facilitate the rapid restoration of critical communications during disasters, emergencies, and significant events.
- Identify opportunities for and participate in pre-disaster coordination and planning with Federal partners, state, local, Tribal, and territorial entities, communications industry, and utilities providers to identify and prioritize restoration of key communications infrastructure.
  - Pursue a regulatory framework that facilitates infrastructure and service restoration; that encourages the provision of innovative solutions to fill vital public safety communications gaps; and that promotes communications redundancy and resilience during restoration and recovery efforts.

**Strategic Objective 4.2:** Promote the public’s access to reliable 911, emergency alerting, and first responder communications.

***Performance Goals and Targets:***

- 4.2.1 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, covered 911 service providers, third party 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 apparent violations.
  - Promote technical assistance as appropriate to PSAPs and other state, local, and territorial government entities on issues related to 911, E911, and NG911 reliability.
  - Collaborate with state, Tribal, and territorial government entities in reviewing and exploring major 911 reliability issues in their jurisdictions.
- 4.2.2 Collect and analyze outage information for communications networks and 911/NG911 networks by working with stakeholders to understand and address problems.
- Engage Field Offices as appropriate 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 continued access to communications services during an emergency.
  - Implement submarine cable outage reporting requirements to capture significant disruptions to submarine cable communications, including outages with national security implications.
- 4.2.3 Analyze and report on major outages to help determine whether new practices and existing practices could have prevented the outage or could prevent future outages.
- Publish incident reports after significant outages to get timely information to the public outages and recovery efforts.
  - 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.
- 4.2.4 Fulfill the FCC’s responsibilities under the National Preparedness System, including support to Emergency Support Function #2 (ESF#2) – Communications. Provide situational awareness of the status of communications services and infrastructure; coordinate with

industry, the utilities sector, and other Federal, state, tribal and territorial partners to facilitate communications protection, resilience, response, and restoration during times of crisis.

- Respond to and support, when applicable, requests for information and assistance from Federal, state, local, territorial, and Tribal public safety officials, 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 wireless resiliency, including cooperation among wireless service providers and other stakeholders (including backhaul providers, power companies and local public safety representatives) in advance of and during disasters.
- Begin sharing network outage and infrastructure status 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 including the utilities sector.
- 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.

4.2.5 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 disaster preparedness and network reliability and resiliency through Public Notices and through the FCC's website; and coordinate efforts to respond to network degradation or failure during disasters emergencies, or significant events to promote security and the safety of life and property.
- Participate in interagency continuity of operations (COOP) and continuity of government (COG) planning and exercises.
- 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.

- Work in partnership with other Federal agencies and the North American Numbering Plan Administrator to oversee implementation of 988 as the 3-digit code for the National Suicide Prevention Lifeline.
  - Work in partnership with other Federal agencies and the North American Numbering Plan Administrator to allow text messaging to the 988 code as well as voice calls.
- 4.2.6 Work to ensure the continued availability of timely emergency alerts. 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 any Federal Emergency Management Agency-initiated tests 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.
  - Take measures to ensure the Alert Reporting System is available and effective in reducing the paperwork burden on State Emergency Communications Committees, the voluntary entities that administer the EAS at the state level, and in allowing the Commission and other authorized stakeholders to have accurate knowledge of how EAS alerts are propagated at the state, local, and national levels.

***Strategic Objective 4.3:*** Leverage Commission expertise, situational awareness, and authorities to mitigate national and homeland security risks in coordination with interagency partners.

***Performance Goals and Targets:***

- 4.3.1 Support national security initiatives, and 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 with interagency partners to ensure an accurate and up-to-date list of covered communications equipment or services concerning entities determined to pose an unacceptable risk to the national security of the United States or the security and safety of United States persons.
  - Conduct determinations, as warranted, for designating entities as national security threats for purposes of ensuring the prohibition on universal service funds from being used to obtain equipment or services produced or provided by companies that pose a threat to national security.
  - Coordinate within the Commission and with inter-agency partners to ensure that Commission positions are represented in all dialogue pertaining to national security and public safety issues impacting or impacted by communications.
  - Provide Federal, state, Tribal, territorial, and local partners with critical information pertaining to the potential misuse of spectrum, communications infrastructure, and licensee status.
  - Conduct assessments and investigations of threats to and vulnerabilities of communications services and networks and support broader information sharing and analysis to raise

awareness of risks to the nation's communications infrastructure. Actively participate with Interagency partners and SLTT stakeholders in planning for high-profile events that could be at risk of terrorist attacks, e.g., National Special Security Events (NSSE) and Special Event Assessment Rating (SEAR).

- Leverage existing, and new sources of infrastructure data to identify and analyze risks to interdependent and interconnected communications, and better enable emergency management officials at the FSLTT levels to perform disaster response operations.

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

- Coordinate and collaborate with appropriate government entities, the private sector to identify and develop measures to mitigate security risks to U.S. communications.
- Pursuant to the Secure and Trusted Communications Networks Act, maintain and update a List of Covered Equipment and Services posing an unacceptable risk to the national security of the United States or the security and safety of the United States persons.
- Enforce the Secure and Trusted Communications Networks Act of 2019, which prohibits the use of any federal subsidy administered by the FCC that provides funds to be used for the capital expenditures necessary for the provision of advanced communications service, including the Universal Service Fund, to purchase, obtain, maintain, improve, modify, or otherwise support any equipment or services on the List of Covered Equipment and Services.
- Pursuant to Section 4 of the Secure and Trusted Communications Networks Act, establish a program to reimburse eligible providers of advanced communications services for reasonable expenses incurred in removing, replacing, and disposing of covered communications equipment or services.
- Identify and implement methods foster the development and deployment of open radio access network technology.
- Continue to examine communications priority services rules and programs, including the Telecommunications Service Priority and Priority Access Service rules.

### ***Strategic Goal 5: Advance America's Global Competitiveness***

***Strategic Objective 5.1:*** Promote investment and advance the development and deployment of new communications technologies, such as 5G, that will allow the nation to remain a global leader in an increasingly competitive, international marketplace.

#### ***Performance Goals and Targets:***

##### 5.1.1 Evaluate and report on the competitive environment for communications services.

- Consistent with the RAY BAUMS Act, evaluate and prepare a unified report on the state of the communications marketplaces based on various data collected by the Commission, including FCC Form 477 and the Broadband Data Collection, which is being implemented pursuant to the Broadband DATA Act

##### 5.1.2 Ensure effective policies are in place to promote and protect competition and remove barriers to investment.

- Develop and promulgate Commission policies designed to promote competitive choices for wireless, satellite, and wireline voice and data service providers, for domestic and international services and for multichannel video programming.
- Promote compliance with rules designed to maximize competitive choices by taking enforcement action in appropriate cases.
- Review, process, and resolve applications for transfer of control and assignment of licenses in a timely manner
- Encourage broadcaster innovation in delivering new services.

#### 5.1.3 Pursue spectrum policies to achieve the effective and efficient use of spectrum.

- Work to make available additional mid-band and other spectrum to facilitate deployment of next-generation services.
- Hold spectrum auctions as directed through statutory mandate or Commission decision, including to make more spectrum available for 5G and other next-generation services.
- Complete an auction of 100 megahertz of spectrum in the 3.45-3.55 GHz band, which is slated to begin in October 2021.
- Administer the transition of 280 megahertz of spectrum in the C-Band (3.7-4.2 GHz) for 5G service.
- Identify additional frequency bands for unlicensed operations to promote innovative uses of unlicensed technologies.
- Coordinate effectively with Federal agencies regarding identifying and acting upon opportunities to expand access to spectrum for wireless broadband.
- 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.
- Process all Spectrum Pipeline Plans submitted by Federal agencies for potential relocation of their radio operations to other bands within 120 days to encourage repurposing of Federal spectrum to commercial use.
- 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.
- Develop innovative spectrum sharing opportunities and mechanisms that may permit multiple categories of users to co-exist in close proximity, enabling more intensive use of the spectrum.
- Authorize the use of more spectrally efficient technologies.

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

- Initiate action on 50% of incoming waiver requests within 6 months, and 90% within one year.

- Resolve at least 8,000 applications filed by television and radio licensees during FY 2022.
- Continue the review process of television and radio stations seeking to renew their licenses for another 8-year term by requiring all television stations in at least 15 states and all radio stations in at least 10 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.
- Act on 90% of applications for routine experimental licenses within 90 days of receipt.
- 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.

5.1.5 Continue post-incentive auction (IA) repacking, displacement, 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 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.
- Investigate and initiate action where appropriate on potential violations of the post-IA reimbursement rules.

**Strategic Objective 5.2:** Help the U.S. government promote responsible global development and deployment abroad.

***Performance Goals and Targets:***

- 5.2.1 Promote effective 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.
- Take action informed by data and economic analysis to address gaps in the 5G marketplace, as appropriate.



5.2.2 Work to promote a high-quality, secure, and 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 Radiocommunication Conference (WRC) and take steps necessary to implement the results of the WRC-19 during FY 2022.
- 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.
- Update of Commission rules regarding orbital debris standards and practices.
- Approve regional recommendations in the International Telecommunication 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 Telecommunication 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.
- Enhance effective collaboration with other Federal agencies to foster the innovative use of spectrum through the introduction of new technologies and services.

***Strategic Goal 6: Foster Operational Excellence***

***Strategic Objective 6.1:*** Be a model for excellence in government by effectively managing the FCC’s resources, maintain a commitment to transparent and responsive processes that encourage public involvement and serves the public good.

***Performance Goals and Targets:***

6.1.1 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 state, local, and Tribal governments and their representative organizations, as well as the state Members of Federal-State Joint Boards, to ensure that the Commission understands their positions.
- 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, so as to inform all stakeholders of the status of pending transactions 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 2022.
- Review competitive LEC tariffs within 30 days after they are filed in the Electronic Tariff Filing System and act on any rates, terms, or conditions that violate the Commission's rules or are otherwise unjust and unreasonable.
- Ensure that all new data collections are updated in the FCC data inventory and in the OMB data inventory in accordance with OMB guidelines to the greatest extent practicable.

6.1.2 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).

- Engage in best practices of economic analysis of Commission actions.
- Conduct at least two workshops or training classes for staff on analytical methods and best practices to perform economic analysis of Commission actions.

6.1.3 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.
- Provide remote call center functionality as a critical pathway for public input during emergencies and as a tool for situational awareness about communications network functionality.
- Provide adequately trained staff to record and report on FCC staff availability during continuity of operations and disaster response actions.
- 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.

6.1.4 For each program objective, the Office of the General Counsel will work to 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.
- 6.1.5 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 Office of the Chair 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.
  - Provide expertise, guidance, and assistance to the Bureaus and Offices upon request on matters involving economic and data analysis, and the collection and management of data.

**Strategic Objective 6.2:** Effectively manage and modernize, as appropriate, 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:***

- 6.2.1 Make information readily available to agency management for decision-making by improving Commission systems and processes.
- 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 FCC 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 Chair, 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.
- 6.2.2 Carry out the agency’s mission by upgrading and enhancing technology, tools and processes 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.
  - Continue taking steps to modernize the FCC's Universal Licensing System.
  - Continue to enhance the FCC's Consumer Complaint Center to efficiently and effectively process informal consumer complaints and inquiries.
  - 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 and work collaboratively and cooperatively with the Office of Managing Director regarding initiatives aimed to address accessibility needs of employees with disabilities.
  - Continue to implement the Foundations for Evidence-Based Policymaking Act by making our data publicly available and open by default, and maintaining an inventory of data assets, to the maximum extent practicable.
- 6.2.3 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.
- 6.2.4 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.
- 6.2.5 Expand opportunities for economists and data experts to improve their skills and knowledge, with the goal of ensuring that the highest quality economic and data analysis is applied to Commission policymaking.
- Research and prepare white papers for publication.
  - Provide an environment for outside experts, especially those focused on relevant areas, to present their research before Commission economists and other experts.
- 6.2.6 Expand the role of professionals at the FCC by developing workforce recruitment initiatives that foster a workforce whose diversity reflects the diverse makeup of the Nation and 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.
- Work collaboratively and cooperatively with the Associate Managing Director-Human Resource Management regarding recruitment strategies in furtherance of a diverse applicant pool.
  - Continue agency-wide efforts to recruit economists and engineers in a manner ensuring 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 work collaboratively and cooperatively with the Associate Managing Director-Human Resources Management to examine the agency’s recruitment, development and retention strategies for economists and engineers.
  - In coordination and consultation with the Associate Managing Director-Human Resource Management, develop a proposal for improvement and/or enhancement of the agency’s recruitment, development and retention strategies for economists and engineers.
- 6.2.7 Ensure that the FCC’s recruitment strategies further and promote a diverse applicant pool for internship and career opportunities.
- Continue the Early Career Staff Diversity Initiative to advance equitable opportunities for underrepresented undergraduate, graduate, and law school students by providing a select number of paid internships to law, graduate, or undergraduate students who may otherwise be financially unable to participate in unpaid internships at the FCC.
  - Continue and bolster agency-wide efforts to increase the diversity of the applicant pool for the Commission’s internship, Attorney Honors, and Honors Engineering Programs, including but not limited to outreach efforts to minority serving institutions, such as Historically Black Colleges and Universities, Hispanic Serving Institutions, and Tribal Colleges and Universities.
  - Continue to pursue and enhance strategic partnership and collaboration with internal and external affinity groups to increase awareness about available internship and career opportunities.

**Strategic Objective 6.3:** 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:***

6.3.1 Reduce the potential for fraud, waste, and abuse in the USF programs.

- Investigate and prioritize actions on allegations of violations of the USF rules and take appropriate enforcement action.
- Continue implementation of policies to simplify and remove waste in the FCC's USF programs.
- Coordinate and share information with USAC on a regular basis 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.
- Coordinate with USAC to implement a fraud risk management framework that aligns with Government Accountability Office (GAO) best practices and begin work to tailor framework for each of the universal service programs.

6.3.2 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 2022 to promote efficiency and effectiveness in USAC's operations.

6.3.3 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/services with USF funds from designated entities or other vendors that pose a risk to national security.

**FISCAL YEAR 2022 REQUIREMENTS BY  
BUREAUS AND OFFICES**

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## Offices of the Acting Chairwoman and Commissioners

Offices of the Acting Chairwoman and Commissioners	FY 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>25</b>	<b>23</b>	<b>23</b>
11 - Personnel compensation	\$3,293,000	\$3,196,514	\$3,237,575
12 - Personnel benefits	1,129,704	1,029,337	1,013,083
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$4,422,704</b>	<b>\$4,225,851</b>	<b>\$4,250,658</b>
21 - Travel & transportation of persons	\$85,994	\$261,709	\$266,963
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	1,265,686	411,848	878,819
24 - Printing and reproduction	0	0	0
25 - Other contractual services	91	5,000	5,020
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$1,351,770</b>	<b>\$678,557</b>	<b>\$1,150,802</b>
<b>TOTAL</b>	<b>\$5,774,474</b>	<b>\$4,904,408</b>	<b>\$5,401,460</b>

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 either as the Chairman or Chairwoman. 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 or Chairwoman 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>112</b>	<b>111</b>	<b>111</b>
11 - Personnel compensation	\$14,949,353	\$16,183,785	\$16,096,405
12 - Personnel benefits	4,871,576	4,925,670	5,239,512
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$19,820,929</b>	<b>\$21,109,456</b>	<b>\$21,335,917</b>
21 - Travel & transportation of persons	\$59,482	\$62,000	\$63,245
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	1,083,514	470,504	796,091
24 - Printing and reproduction	0	0	0
25 - Other contractual services	1,601,184	1,525,930	1,556,563
26 - Supplies and materials	0	1,000	1,020
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$2,744,180</b>	<b>\$2,059,434</b>	<b>\$2,416,919</b>
<b>TOTAL</b>	<b>\$22,565,109</b>	<b>\$23,168,890</b>	<b>\$23,752,836</b>

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 other federal regulatory agencies, for the purpose of fostering an understanding of FCC programs, policies, rules, and decisions;
- Providing outreach to state and local government officials for the purpose of fostering an understanding of FCC programs, policies, rules, and decisions of particular importance to state and local governments;
- 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; and,
- Coordinating with the acting Chairwoman, 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>183</b>	<b>189</b>	<b>211</b>
11 - Personnel compensation	\$26,027,436	\$28,122,388	\$33,285,091
12 - Personnel benefits	8,593,670	8,723,487	10,275,372
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$34,621,106</b>	<b>\$36,845,875</b>	<b>\$43,560,463</b>
21 - Travel & transportation of persons	\$66,509	\$112,580	\$114,840
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	2,269,759	1,617,600	1,808,681
24 - Printing and reproduction	0	0	0
25 - Other contractual services	245,870	284,600	290,313
26 - Supplies and materials	53,778	97,200	99,151
31 - Equipment	471,327	514,000	2,524,319
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$3,107,243</b>	<b>\$2,625,980</b>	<b>\$4,837,304</b>
<b>TOTAL</b>	<b>\$37,728,349</b>	<b>\$39,471,855</b>	<b>\$48,397,767</b>

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

- 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 an FCC license or authorization for the operation of a broadcast station and wireless systems;
  - Accessibility to communications services and equipment for persons with disabilities;
  - Compliance with section 333 of the Communications Act for radiofrequency interference;
  - Compliance with section 302 of the Communications Act for the authorization of 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; including compliance with tower construction environmental and historic preservation requirements;
- False distress signals;
- Title III licensees and permittees;
- Pole attachments filed under section 224 of the Communications Act;
- Transmission of 911 calls to public safety entities, 911 outage-related communications with public safety entities, and notifications to the Commission of outages and public safety related filings;
- 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 debaring 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 with other federal agencies for National Security Special Events and the National Response Framework for Emergency Support Function #2 (ESF # 2) — Communications. FCC personnel, with PSHSB coordination and EB management, deploy to FEMA field offices to support communications recovery and restoration.
- Handling Congressional, Freedom of Information Act 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>84</b>	<b>83</b>	<b>83</b>
11 - Personnel compensation	\$12,207,629	\$12,671,748	\$13,055,068
12 - Personnel benefits	3,893,612	3,838,071	3,954,173
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$16,101,241</b>	<b>\$16,509,819</b>	<b>\$17,009,241</b>
21 - Travel & transportation of persons	\$95,644	\$25,367	\$25,876
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	831,202	296,469	577,139
24 - Printing and reproduction	0	0	0
25 - Other contractual services	20	3,500	3,570
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$926,866</b>	<b>\$325,336</b>	<b>\$606,585</b>
<b>TOTAL</b>	<b>\$17,028,107</b>	<b>\$16,835,155</b>	<b>\$17,615,826</b>

The International Bureau develops, recommends, and administers policies, standards, procedures, and programs for the regulation of international telecommunications facilities and services, and the licensing of satellite and submarine cable facilities under its jurisdiction. The Bureau advises and recommends to the Commission, or acts for the Commission under delegated authority, in the development of and administration of international telecommunications policies and programs. The 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 Chairwoman 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; and,
- 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>132</b>	<b>132</b>	<b>132</b>
11 - Personnel compensation	\$16,511,855	\$17,080,814	\$17,597,509
12 - Personnel benefits	5,151,014	4,926,031	5,075,044
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$21,662,869</b>	<b>\$22,006,845</b>	<b>\$22,672,552</b>
21 - Travel & transportation of persons	\$1,863	\$15,000	\$15,301
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	1,071,382	393,928	743,904
24 - Printing and reproduction	0	0	0
25 - Other contractual services	41,444	96,213	1,348,144
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$1,114,689</b>	<b>\$505,141</b>	<b>\$2,107,349</b>
<b>TOTAL</b>	<b>\$22,777,558</b>	<b>\$22,511,986</b>	<b>\$24,779,902</b>

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; and,
- 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>93</b>	<b>97</b>	<b>100</b>
11 - Personnel compensation	\$13,590,510	\$14,561,134	\$15,045,559
12 - Personnel benefits	4,365,610	4,309,474	4,439,836
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$17,956,120</b>	<b>\$18,870,608</b>	<b>\$19,485,394</b>
21 - Travel & transportation of persons	\$59,892	\$75,000	\$76,506
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	736,051	302,897	530,948
24 - Printing and reproduction	0	0	0
25 - Other contractual services	602,280	620,078	632,526
26 - Supplies and materials	7,584	4,500	4,590
31 - Equipment	7,065	60,000	61,205
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$1,412,872</b>	<b>\$1,062,475</b>	<b>\$1,305,775</b>
<b>TOTAL</b>	<b>\$19,368,992</b>	<b>\$19,933,083</b>	<b>\$20,791,169</b>

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, emergency management and preparedness; disaster management coordination and outreach; communications infrastructure protection; reliability, resiliency, 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 homeland security, national security, emergency management and preparedness, 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 Committee;
- 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;
- Protects U.S. homeland security and national security through efforts to maintain the integrity of the U.S. telecommunications supply chain; and,
- 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>148</b>	<b>150</b>	<b>152</b>
11 - Personnel compensation	\$9,508,275	\$10,612,113	\$12,267,079
12 - Personnel benefits	3,056,416	3,395,699	3,587,529
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$12,564,691</b>	<b>\$14,007,812</b>	<b>\$15,854,608</b>
21 - Travel & transportation of persons	\$3,740	\$8,184	\$8,348
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	617,880	212,172	429,021
24 - Printing and reproduction	0	0	0
25 - Other contractual services	131,893	292,077	297,941
26 - Supplies and materials	0	1,800	1,836
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$753,514</b>	<b>\$514,233</b>	<b>\$737,146</b>
<b>TOTAL</b>	<b>\$13,318,205</b>	<b>\$14,522,045</b>	<b>\$16,591,754</b>

The Wireless Telecommunications Bureau (WTB) advises and makes recommendations to the Commission, or acts for the Commission under delegated authority, in matters pertaining to the regulation and licensing of wireless communications services, devices, facilities, and electromagnetic spectrum resources. The Bureau develops and recommends policy goals, objectives, programs, and plans for the Commission on matters concerning wireless communications and electromagnetic spectrum resources, drawing upon relevant economic, technological, legislative, regulatory, and judicial information and developments. Such matters include:

- Addressing 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; and,
- 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; and,
- 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>148</b>	<b>154</b>	<b>166</b>
11 - Personnel compensation	\$21,704,947	\$22,795,922	\$25,998,499
12 - Personnel benefits	7,082,250	6,845,436	7,816,911
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$28,787,197</b>	<b>\$29,641,358</b>	<b>\$33,815,409</b>
21 - Travel & transportation of persons	\$7,701	\$25,650	\$26,165
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	1,429,678	512,707	992,686
24 - Printing and reproduction	0	0	0
25 - Other contractual services	0	130,000	132,610
26 - Supplies and materials	0	1,050	1,050
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$1,437,379</b>	<b>\$669,407</b>	<b>\$1,152,510</b>
<b>TOTAL</b>	<b>\$30,224,576</b>	<b>\$30,310,765</b>	<b>\$34,967,919</b>

The Wireline Competition Bureau advises and makes recommendations to the Commission, or acts for the Commission under delegated authority, on matters concerning wireline communications and 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 establish the nation’s largest ever program to help households nationwide afford broadband service by providing qualified households discounts on their internet service bills and an opportunity to receive a discount on a computer or tablet;
- Working to provide health care providers funding for telecommunications services, information services, and devices to provide telehealth services in response to the pandemic;
- Working to close the homework gap by connecting students inside and outside the classroom;
- Working to sustain the Internet’s foundation of openness so that all Americans can create without permission, build community beyond geography, organize without physical constraints, consume content of their choice, and share ideas;
- Working to safeguard the security and integrity of the nation’s communications networks;

- Developing and coordinating wireline telecommunications policy;
- Handling adjudicatory and rulemaking proceedings affecting wireline telecommunications service providers, VoIP providers, broadband providers, and inmate calling services 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;
- Making determinations regarding lawfulness of carrier tariffs;
- Administering U.S. numbering policy (including local number portability) and developing call authentication policies to end illegal robocalls;
- Administering consumer proprietary network information policy for telecommunications carriers;
- Taking action on applications filed pursuant to section 214 of the Communications Act for authorization to transfer domestic service and facility authorizations or to discontinue services or the operation of facilities;
- Reviewing wireline provider 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; and,
- 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>4</b>	<b>4</b>	<b>4</b>
11 - Personnel compensation	\$480,674	\$513,374	\$530,416
12 - Personnel benefits	147,902	148,564	173,663
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$628,576</b>	<b>\$661,938</b>	<b>\$704,079</b>
21 - Travel & transportation of persons	\$68	\$2,000	\$2,040
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	45,002	16,139	31,247
24 - Printing and reproduction	0	0	0
25 - Other contractual services	650	6,000	6,120
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$45,720</b>	<b>\$24,139</b>	<b>\$39,407</b>
<b>TOTAL</b>	<b>\$674,296</b>	<b>\$686,077</b>	<b>\$743,487</b>

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 or individual Commissioners. 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 oaths, examines witnesses, makes findings of fact, and rules upon evidentiary questions; and,
- 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 Acting Chairwoman, 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; and,
- 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>9</b>	<b>10</b>	<b>11</b>
11 - Personnel compensation	\$1,403,238	\$1,631,118	\$1,835,459
12 - Personnel benefits	456,898	360,730	416,642
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$1,860,136</b>	<b>\$1,991,848</b>	<b>\$2,252,102</b>
21 - Travel & transportation of persons	\$23	\$4,500	\$4,590
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	111,178	39,870	77,195
24 - Printing and reproduction	0	0	0
25 - Other contractual services	0	500	510
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$111,201</b>	<b>\$44,870</b>	<b>\$82,295</b>
<b>TOTAL</b>	<b>\$1,971,337</b>	<b>\$2,036,718</b>	<b>\$2,334,397</b>

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; and,
- 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; and,
- 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>98</b>	<b>105</b>	<b>132</b>
11 - Personnel compensation	\$10,260,804	\$14,095,434	\$12,774,316
12 - Personnel benefits	3,332,106	4,244,709	4,189,051
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$13,592,910</b>	<b>\$18,340,143</b>	<b>\$16,963,367</b>
21 - Travel & transportation of persons	\$3,507	\$19,000	\$19,381
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	314,390	117,213	218,295
24 - Printing and reproduction	0	0	0
25 - Other contractual services	646,888	31,137,150	3,524,002
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$964,785</b>	<b>\$31,273,363</b>	<b>\$3,761,679</b>
<b>TOTAL</b>	<b>\$14,557,695</b>	<b>\$49,613,506</b>	<b>\$20,725,046</b>

The Office of Economics and Analytics (OEA) works with Bureaus and other Offices, including those of the Acting Chairwoman 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 and support significant, economically-relevant data collections used by a variety of Bureaus and other Offices, such as Form 477 data and similar broadband mapping initiatives under the Broadband Data Act, 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 Acting Chairwoman, 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; and,
- Host visiting scholars from academia and elsewhere who join the FCC on a temporary basis to contribute to the Commission's mission.

## Office of Engineering and Technology

Office of Engineering and Technology	FY 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>75</b>	<b>74</b>	<b>74</b>
11 - Personnel compensation	\$10,839,628	\$11,326,688	\$11,308,733
12 - Personnel benefits	3,607,118	3,573,504	3,712,510
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$14,446,746</b>	<b>\$14,900,192</b>	<b>\$15,021,243</b>
21 - Travel & transportation of persons	\$6,863	\$13,000	\$13,261
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	555,730	202,567	385,867
24 - Printing and reproduction	0	0	0
25 - Other contractual services	650,695	629,467	642,104
26 - Supplies and materials	12,333	13,300	13,567
31 - Equipment	128,414	150,000	153,011
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$1,354,035</b>	<b>\$1,008,334</b>	<b>\$1,207,810</b>
<b>TOTAL</b>	<b>\$15,800,781</b>	<b>\$15,908,526</b>	<b>\$16,229,052</b>

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 manages the Commission's Equipment Authorization and Experimental Licensing programs and 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;
- 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;
- 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;
- 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;
- Managing the Commission's equipment authorization program to ensure radio equipment compliance with its technical rules. 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's technical rules;
- Managing the Commission's experimental licensing program to promote new and innovative technologies and services;
- 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; and,
- Preparing technical assistance 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>73</b>	<b>73</b>	<b>74</b>
11 - Personnel compensation	\$11,335,894	\$12,019,725	\$11,940,314
12 - Personnel benefits	3,609,558	3,574,615	3,888,797
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$14,945,452</b>	<b>\$15,594,340</b>	<b>\$15,829,112</b>
21 - Travel & transportation of persons	\$14,554	\$18,300	\$18,667
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	764,592	275,697	530,890
24 - Printing and reproduction	0	0	0
25 - Other contractual services	471,778	1,577,430	1,609,097
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$1,250,923</b>	<b>\$1,871,427</b>	<b>\$2,158,654</b>
<b>TOTAL</b>	<b>\$16,196,375</b>	<b>\$17,465,767</b>	<b>\$17,987,765</b>

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 mergers and other transactions and provides antitrust, corporate, and technical expertise;
- Protects the Commission’s regulatory and pecuniary interests in actual and potential bankruptcy cases;
- Advises the Commission on efforts to address waste, fraud and abuse and recoup improper payments in False Claims Act investigations, litigation, and settlement negotiations;
- 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;
- Manages and directs the Attorney Honors Program, the agency's primary hiring and recruitment vehicle for entry level attorneys; and,
- 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>7</b>	<b>7</b>	<b>8</b>
11 - Personnel compensation	\$1,029,999	\$1,185,718	\$1,221,586
12 - Personnel benefits	352,194	377,374	388,790
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$1,382,193</b>	<b>\$1,563,093</b>	<b>\$1,610,376</b>
21 - Travel & transportation of persons	\$0	\$0	\$0
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	128,758	46,174	89,401
24 - Printing and reproduction	0	0	0
25 - Other contractual services	105	0	0
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$128,863</b>	<b>\$46,174</b>	<b>\$89,401</b>
<b>TOTAL</b>	<b>\$1,511,056</b>	<b>\$1,609,267</b>	<b>\$1,699,777</b>

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 FCC Acting Chairwoman 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; and,
- 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>183</b>	<b>183</b>	<b>191</b>
11 - Personnel compensation	\$20,966,732	\$24,047,813	\$25,895,084
12 - Personnel benefits	6,246,157	6,300,204	7,450,372
13 - Benefits for former personnel	51,600	51,600	53,032
<b>Subtotal - Personnel Costs</b>	<b>\$27,264,490</b>	<b>\$30,399,616</b>	<b>\$33,398,488</b>
21 - Travel & transportation of persons	\$38,381	\$359,784	\$367,007
22 - Transportation of things	55,814	57,104	58,250
23 - Rent, Communications, and Utilities	26,759,665	15,311,729	21,898,840
24 - Printing and reproduction	1,124,181	1,125,310	1,147,901
25 - Other contractual services	37,597,232	51,545,642	61,286,547
26 - Supplies and materials	429,748	548,401	559,410
31 - Equipment	462,720	148,240	782,216
32 - Land & Structures	470,483	477,944	487,539
40 - Insurance claims and interest	35,177	122,264	124,718
<b>Subtotal - Non-Personnel Costs</b>	<b>\$66,973,402</b>	<b>\$69,696,418</b>	<b>\$86,712,428</b>
<b>TOTAL</b>	<b>\$94,237,891</b>	<b>\$100,096,034</b>	<b>\$120,110,916</b>

The Managing Director is appointed by the Acting Chairwoman with approval of the Commissioners. Under the supervision and direction of the Acting Chairwoman, 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 Acting Chairwoman and recommending to the Acting Chairwoman and the Commission major changes in such policies and programs;

- Advising the Acting Chairwoman 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; and,
- Assist the Acting Chairwoman in carrying out the administrative and executive responsibilities delegated to the Acting Chairwoman as the administrative head of the agency.

## Office of Media Relations

Office of Media Relations	FY 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>13</b>	<b>12</b>	<b>12</b>
11 - Personnel compensation	\$1,671,929	\$1,782,079	\$1,835,987
12 - Personnel benefits	546,386	563,708	580,760
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$2,218,315</b>	<b>\$2,345,786</b>	<b>\$2,416,746</b>
21 - Travel & transportation of persons	\$293	\$4,000	\$4,080
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	142,034	50,937	98,623
24 - Printing and reproduction	0	0	0
25 - Other contractual services	151,090	168,362	171,742
26 - Supplies and materials	0	3,140	3,203
31 - Equipment	471	10,000	10,201
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$293,888</b>	<b>\$236,440</b>	<b>\$287,850</b>
<b>TOTAL</b>	<b>\$2,512,203</b>	<b>\$2,582,226</b>	<b>\$2,704,596</b>

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, 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;
- Creating media content and providing media related support for the Commission, which includes all public meetings;
- Serving as primary media relations liaison for the Office of the Chair; and,
- Facilitating the release of all Commission announcements, orders, and other information including producing the Daily Digest of Commission releases.

## Office of Workplace Diversity

Office of Workplace Diversity	FY 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>6</b>	<b>5</b>	<b>6</b>
11 - Personnel compensation	\$641,014	\$716,249	\$892,916
12 - Personnel benefits	210,802	216,442	267,989
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$851,816</b>	<b>\$932,691</b>	<b>\$1,160,905</b>
21 - Travel & transportation of persons	\$0	\$2,000	\$2,040
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	43,670	14,498	30,325
24 - Printing and reproduction	0	0	0
25 - Other contractual services	40,107	67,703	69,062
26 - Supplies and materials	0	0	0
31 - Equipment	0	0	0
40 - Insurance claims and interest	0	0	0
<b>Subtotal - Non-Personnel Costs</b>	<b>\$83,777</b>	<b>\$84,201</b>	<b>\$101,427</b>
<b>TOTAL</b>	<b>\$935,593</b>	<b>\$1,016,892</b>	<b>\$1,262,332</b>

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 Acting Chairwoman 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; and,
- 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 2020 Actuals	FY 2021 Enacted	FY 2022 Estimates to Congress
<b>Full-Time Equivalents (FTEs)</b>	<b>46</b>	<b>60</b>	<b>60</b>
11 - Personnel compensation	\$5,959,392	\$7,553,426	\$7,781,641
12 - Personnel benefits	1,906,003	1,897,175	1,954,565
13 - Benefits for former personnel	0	0	0
<b>Subtotal - Personnel Costs</b>	<b>\$7,865,394</b>	<b>\$9,450,601</b>	<b>\$9,736,205</b>
21 - Travel & transportation of persons	\$0	\$64,707	\$66,006
22 - Transportation of things	0	0	0
23 - Rent, Communications, and Utilities	496,128	178,857	182,448
24 - Printing and reproduction	0	0	0
25 - Other contractual services	78,679	1,462,849	1,696,147
26 - Supplies and materials	0	136,666	139,410
31 - Equipment	0	32,670	33,326
40 - Insurance claims and interest	173	450	459
<b>Subtotal - Non-Personnel Costs</b>	<b>\$574,980</b>	<b>\$1,876,199</b>	<b>\$2,117,795</b>
<b>TOTAL</b>	<b>\$8,440,374</b>	<b>\$11,326,800</b>	<b>\$11,854,000</b>

The FCC's 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; and,
- 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 2022 Budget Estimates to Congress  
Summary - Requested Resources**

**DISTRIBUTION OF BUDGET AUTHORITY**

(Dollars in Thousands)

	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>	<b>Change to Budget Authority</b>
<b><u>FCC - Without Office of Inspector General (OIG):</u></b>				
Authority to Spend Offsetting Collections:				
<b>Total - Regulatory Fees (Offsetting Collections)</b> <sup>1</sup>	<b>\$317,183</b>	<b>\$362,673</b>	<b>\$376,096</b>	<b>\$13,423</b>
Authority to Spend Other Offsetting Collections:				
Spectrum Auctions Cost Recovery Reimbursement	\$107,630	\$134,358	\$128,481	-\$5,877
Economy Act Reimbursable Agreements	\$1,081	\$4,000	\$4,000	\$0
<b>Total - Other Offsetting Collections</b>	<b>\$108,711</b>	<b>\$138,358</b>	<b>\$132,481</b>	<b>-\$5,877</b>
<b>Total Budget Authority - FCC Without OIG</b>	<b>\$425,894</b>	<b>\$501,031</b>	<b>\$508,577</b>	<b>\$7,546</b>
<b><u>FCC - Office of Inspector General:</u></b>				
Authority to Spend Offsetting Collections:				
<b>Total - Regulatory Fees (Offsetting Collections)</b>	\$8,440	\$11,327	\$11,854	\$527
Authority to Spend Other Offsetting Collections:				
Spectrum Auctions Cost Recovery Reimbursement	\$132	\$137	\$140	\$3
<b>Total Budget Authority - Office of Inspector General</b>	<b>\$8,572</b>	<b>\$11,463</b>	<b>\$11,994</b>	<b>\$530</b>
<b><u>TOTAL - FCC with Office of Inspector General</u></b>				
TOTAL - Regulatory Fees (Offsetting Collections)	\$325,623	\$374,000	\$387,950	\$13,950
TOTAL - Spectrum Auctions Cost Recovery Reimbursement	\$107,762	\$134,495	\$128,621	-\$5,874
TOTAL - Economy Act Reimbursable Agreements	\$1,081	\$4,000	\$4,000	\$0
<b>TOTAL - Budget Authority Request</b>	<b>\$434,466</b>	<b>\$512,495</b>	<b>\$520,571</b>	<b>\$8,076</b>

<sup>1</sup>In FY 2021, a total of \$98 million was made available to implement certain requirements of the Broadband DATA Act, of which, \$33 million was appropriated under the Commission's Regulatory Fees (Offsetting Collections) and, therefore, is included in this schedule. The \$65 million in other budget authority dedicated for the implementation of the Broadband DATA Act is shown with Commission's other budget authorities to provide a better historical comparison of the components of the FCC's regular budgetary requests. The Commission's other budget authorities are summarized on page 51.

**Fiscal Year 2022 Budget Estimates to Congress  
Summary - Requested Resources**

**OUTLAYS**

(Dollars in Millions)

	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>
<b><u>FCC - Without Office of Inspector General:</u></b>			
New Offsetting Collections:			
Regulatory Fees <sup>1</sup>	\$317	\$363	\$376
Spectrum Auctions Cost Recovery Reimbursement	\$108	\$134	\$128
Economy Act Reimbursable Agreements	\$1	\$4	\$4
<b>Subtotal - Outlays from Offsetting Collections Authority (FCC)</b>	<b>\$426</b>	<b>\$501</b>	<b>\$509</b>
<b><u>FCC - Office of Inspector General (OIG):</u></b>			
New Offsetting Collections:			
Outlays from New Offsetting Collections Authority (OIG)	\$8	\$11	\$12
<b>TOTAL OUTLAYS - Offsetting Collections Authority</b>	<b>\$434</b>	<b>\$512</b>	<b>\$520</b>

<sup>1</sup>In FY 2021, a total of \$98 million was made available to implement certain requirements of the Broadband DATA Act, of which, \$33 million was appropriated under the Commission's Regulatory Fees (Offsetting Collections) and, therefore, is included in this schedule. The \$65 million in other budget authority dedicated for the implementation of the Broadband DATA Act is shown with Commission's other budget authorities to provide a better historical comparison of the components of the FCC's regular budgetary requests. The Commission's other budget authorities are summarized on page 51.

**FULL-TIME EQUIVALENTs (FTEs)**

	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>
<b>Total Compensable Work Years:</b>			
Full-Time Equivalents (FTEs) Employment	<b>1,439</b>	<b>1,472</b>	<b>1,550</b>
<b>Proposed Distribution:</b>			
Offsetting Collections - Commission without OIG	1,211	1,214	1,273
Offsetting Collections - Office of Inspector General	46	60	60
<b>Subtotal - Regulatory Fees (Offsetting Collections)</b>	<b>1,257</b>	<b>1,274</b>	<b>1,333</b>
Spectrum Auctions Program	182	198	217
<b>TOTAL FTEs - COMMISSION</b>	<b>1,439</b>	<b>1,472</b>	<b>1,550</b>

The FTE numbers include the Spectrum Auctions Program FTEs.



**Fiscal Year 2022 Budget Estimates to Congress  
Summary - Distribution of Resources**

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

(Dollars in Thousands)

<b>Object Classification Description</b>	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$182,382	\$200,096	\$212,599
Personnel benefits (12.0)	58,559	59,250	64,425
<b>Subtotal - Personnel Compensation &amp; Benefits</b>	<b>\$240,941</b>	<b>\$259,346</b>	<b>\$277,024</b>
<b>Other Expenses:</b>			
Benefits for former personnel (13.0)	\$52	\$52	\$53
Travel & transportation of persons (21.0)	445	1,073	1,094
Transportation of things (22.0)	56	57	58
Rent payments to GSA (23.1)	33,829	14,028	23,727
Communications, utilities, & misc. charges (23.3)	4,837	6,444	6,573
Printing and reproduction (24.0)	1,124	1,125	1,148
Other services from non-Federal sources (25.2)	16,276	53,324	21,750
Other goods & services from Federal sources (25.3)	4,598	7,302	7,449
Operation & maintenance of equipment (25.7)	21,386	28,927	44,073
Supplies and materials (26.0)	503	807	823
Equipment (31.0)	1,070	915	3,564
Land and structures (32.0)	470	478	488
Insurance claims & interest (40.0)	35	123	125
<b>Subtotal - Other Expenses</b>	<b>\$84,682</b>	<b>\$114,654</b>	<b>\$110,926</b>
<b>Total Obligations from Regulatory Fees</b>	<b>\$325,623</b>	<b>\$374,000</b>	<b>\$387,950</b>
<b>Total Resources from Regulatory Fees<sup>1</sup></b>	<b>\$325,623</b>	<b>\$374,000</b>	<b>\$387,950</b>

<sup>1</sup>In FY 2021, a total of \$98 million was made available to implement certain requirements of the Broadband DATA Act, of which, \$33 million was appropriated under the Commission's Regulatory Fees (Offsetting Collections) and, therefore, is included in this schedule. The \$65 million in other budget authority dedicated for the implementation of the Broadband DATA Act is shown with Commission's other budget authorities to provide a better historical comparison of the components of the FCC's regular budgetary requests. The Commission's other budget authorities are summarized on page 51.

**Fiscal Year 2022 Budget Estimates to Congress  
Summary - Distribution of Resources**

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

(Dollars in Thousands)

<b>Object Classification Description</b>	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$27,494	\$31,151	\$31,877
Personnel benefits (12.0)	8,913	9,752	10,066
<b>Subtotal - Personnel Compensation &amp; Benefits</b>	<b>\$36,407</b>	<b>\$40,903</b>	<b>\$41,943</b>
<b>Other Expenses:</b>			
Benefits for former personnel (13.0)	\$8	\$8	\$9
Travel & transportation of persons (21.0)	37	221	226
Transportation of things (22.0)	9	9	9
Rent payments to GSA (23.1)	6,175	2,868	4,063
Communications, utilities, & misc. charges (23.3)	1,905	2,608	2,772
Printing and reproduction (24.0)	210	234	238
Other services from non-Federal sources (25.2)	24,820	30,849	21,411
Other goods & services from Federal sources (25.3)	655	2,004	2,044
Operation & maintenance of equipment (25.7)	36,677	54,547	55,642
Supplies and materials (26.0)	73	107	109
Equipment (31.0)	777	132	134
Land and structures (32.0)	0	0	0
Insurance claims & interest (40.0)	8	5	21
<b>Subtotal - Other Expenses</b>	<b>\$71,355</b>	<b>\$93,592</b>	<b>\$86,678</b>
<b>Total - Auctions Cost Recovery Reimbursable Authority</b>	<b>\$107,762</b>	<b>\$134,495</b>	<b>\$128,621</b>

**Fiscal Year 2022 Budget Estimates to Congress  
Summary – Distribution of Resources**

**GOVERNMENT/OTHER REIMBURSABLE AUTHORITY**

(Dollars in Thousands)

<b>Object Classification Description</b>	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$341	\$350	\$350
Personnel benefits (12.0)	101	90	90
<b>Subtotal - Personnel Compensation &amp; Benefits</b>	<b>\$442</b>	<b>\$440</b>	<b>\$440</b>
<b>Other Expenses:</b>			
Travel & transportation of persons (21.0)	\$28	\$50	\$50
Other services from non-Federal sources (25.2)	611	2,735	2,735
Operation & maintenance of equipment (25.7)	0	425	425
Supplies and materials (26.0)	0	50	50
Equipment (31.0)	0	300	300
<b>Subtotal - Other Expenses</b>	<b>\$639</b>	<b>\$3,560</b>	<b>\$3,560</b>
<b>Total Government/Other Reimbursable Authority</b>	<b>\$1,081</b>	<b>\$4,000</b>	<b>\$4,000</b>

**CREDIT PROGRAM ACCOUNT**

(Dollars in Thousands)

<b>Object Classification Description</b>	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>
<b>Other Expenses:</b>			
Other services from non-Federal sources (25.2)	\$0	\$25	\$0
<b>Total Credit Program</b>	<b>\$0</b>	<b>\$25</b>	<b>\$0</b>

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

**Fiscal Year 2022 Budget Estimates to Congress  
Summary – Distribution of Resources**

**TV BROADCASTER RELOCATION FUND**

(Dollars in Thousands)

<b>Object Classification Description</b>	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>
Grants, subsidies, and contributions (41.0)	\$243,000	\$708,000	\$0
<b>Subtotal - Other Expenses</b>	<b>\$243,000</b>	<b>\$708,000</b>	<b>\$0</b>
<b>Total TV Broadcaster Relocation Fund</b>	<b>\$243,000</b>	<b>\$708,000</b>	<b>\$0</b>

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, which is available until July 3, 2023. Any remaining unused funds from FY 2021 will be carried over to FY 2022.

**OFFICE OF INSPECTOR GENERAL – UNIVERSAL SERVICE FUND**

(Dollars in Thousands)

<b>Object Classification Description</b>	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>
<b>Other Expenses:</b>			
Travel & transportation of persons (21.0)	21	19	0
Other services from non-Federal sources (25.2)	0	4,491	0
Other goods & services from Federal sources (25.3)	0	16	0
Equipment (31.0)	0	115	0
<b>Subtotal - Other Expenses</b>	<b>\$21</b>	<b>\$4,641</b>	<b>\$0</b>
<b>Total Universal Service Program</b>	<b>\$21</b>	<b>\$4,641</b>	<b>\$0</b>

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 FY 2022. The carryover balances will be used to continue the USF oversight by OIG. Any remaining unused funds from FY 2021 will be carried over to FY 2022.

**Fiscal Year 2022 Budget Estimates to Congress  
Summary – Distribution of Resources**

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

(Dollars in Thousands)

<b>Object Classification Description</b>	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$176,423	\$192,543	\$204,818
Personnel benefits (12.0)	56,653	57,353	62,470
<b>Subtotal - Personnel Compensation &amp; Benefits</b>	<b>\$233,076</b>	<b>\$249,896</b>	<b>\$267,288</b>
<b>Other Expenses:</b>			
Benefits for former personnel (13.0)	\$52	\$52	\$53
Travel & transportation of persons (21.0)	445	1,008	1,028
Transportation of things (22.0)	56	57	58
Rent payments to GSA (23.1)	33,333	13,849	23,545
Communications, utilities, & misc. charges (23.3)	4,837	6,444	6,573
Printing and reproduction (24.0)	1,124	1,125	1,148
Other services from non-Federal sources (25.2)	16,276	51,861	20,054
Other goods & services from Federal sources (25.3)	4,520	7,302	7,449
Operation & maintenance of equipment (25.7)	21,386	28,927	44,073
Supplies and materials (26.0)	503	670	684
Equipment (31.0)	1,070	882	3,531
Land and structures (32.0)	470	478	488
Insurance claims & interest (40.0)	35	122	125
<b>Subtotal - Other Expenses</b>	<b>\$84,107</b>	<b>\$112,777</b>	<b>\$108,808</b>
<b>Total - Obligations from Regulatory Fees</b>	<b>\$317,183</b>	<b>\$362,673</b>	<b>\$376,096</b>
<b>Total - Resources from Regulatory Fees<sup>1</sup></b>	<b>\$317,183</b>	<b>\$362,673</b>	<b>\$376,096</b>

<sup>1</sup>In FY 2021, a total of \$98 million was made available to implement certain requirements of the Broadband DATA Act, of which, \$33 million was appropriated under the Commission's Regulatory Fees (Offsetting Collections) and, therefore, is included in this schedule. The \$65 million in other budget authority dedicated for the implementation of the Broadband DATA Act is shown with Commission's other budget authorities to provide a better historical comparison of the components of the FCC's regular budgetary requests. The Commission's other budget authorities are summarized on page 51.

**Fiscal Year 2022 Budget Estimates to Congress  
Summary – Distribution of Resources**

**SPECTRUM AUCTIONS COST RECOVERY REIMBURSEMENT AUTHORITY**  
**(EXCLUDING OIG)**

(Dollars in Thousands)

<b>Object Classification Description</b>	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$27,494	\$31,186	\$31,932
Personnel benefits (12.0)	8,913	9,753	10,090
<b>Subtotal - Personnel Compensation &amp; Benefits</b>	<b>\$36,407</b>	<b>\$40,939</b>	<b>\$42,022</b>
<b>Other Expenses:</b>			
Benefits for former personnel (13.0)	\$8	\$8	\$9
Travel & transportation of persons (21.0)	37	221	226
Transportation of things (22.0)	9	9	9
Rent payments to GSA (23.1)	6,175	2,868	4,063
Communications, utilities, & misc. charges (23.3)	1,905	2,608	2,772
Printing and reproduction (24.0)	210	234	238
Other services from non-Federal sources (25.2)	24,689	30,683	21,198
Other goods & services from Federal sources (25.3)	655	1,999	2,039
Operation & maintenance of equipment (25.7)	36,677	54,547	55,642
Supplies and materials (26.0)	73	105	109
Equipment (31.0)	777	132	134
Insurance claims & interest (40.0)	8	5	21
<b>Subtotal - Other Expenses</b>	<b>\$71,223</b>	<b>\$93,419</b>	<b>\$86,459</b>
<b>Total - Auctions Cost Recovery Reimbursable Obligations</b>	<b>\$107,630</b>	<b>\$134,358</b>	<b>\$128,481</b>

**Fiscal Year 2022 Budget Estimates to Congress  
Summary – Distribution of Resources**

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

(Dollars in Thousands)

<b>Object Classification Description</b>	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$5,959	\$7,553	\$7,782
Personnel benefits (12.0)	1,906	1,897	1,954
<b>Subtotal - Personnel Compensation &amp; Benefits</b>	<b>\$7,866</b>	<b>\$9,450</b>	<b>\$9,736</b>
<b>Other Expenses:</b>			
Travel & transportation of persons (21.0)	\$0	\$65	\$66
Rent payments to GSA (23.1)	496	179	346
Other services from non-Federal sources (25.2)	0	1,463	1,532
Other goods & services from Federal sources (25.3)	79	0	0
Supplies and materials (26.0)	0	137	139
Equipment (31.0)	0	33	33
<b>Subtotal - Other Expenses</b>	<b>\$575</b>	<b>\$1,876</b>	<b>\$2,118</b>
<b>Total - Obligations from Regulatory Fees</b>	<b>\$8,441</b>	<b>\$11,327</b>	<b>\$11,854</b>
<b>Total - Resources from Regulatory Fees</b>	<b>\$8,441</b>	<b>\$11,327</b>	<b>\$11,854</b>

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

(Dollars in Thousands)

<b>Object Classification Description</b>	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>FY 2022 Estimates to Congress</b>
<b>Other Expenses:</b>			
Other services from non-Federal sources (25.2)	\$132	\$132	\$135
Other goods & services from Federal sources (25.3)	0	5	5
<b>Subtotal - Other Expenses</b>	<b>\$132</b>	<b>\$137</b>	<b>\$140</b>
<b>Total - Auctions Cost Recovery Reimbursable Obligations</b>	<b>\$132</b>	<b>\$137</b>	<b>\$140</b>

**Fiscal Year 2022 Budget Estimates to Congress  
Summary – Distribution of Resources**

**OTHER NEW BUDGET AUTHORITIES ALREADY PROVIDED**

(Dollars in Thousands)

Fiscal Year of Budget Authority	FY 2020		FY 2021			
Program/Fund Name	COVID-19 Telehealth Program		Emergency Broadband Connectivity Fund	Secure & Trusted Communications Network Reimbursement Fund	Broadband DATA Act	Emergency Connectivity Fund
	Round 1	Round 2				
<b>Object Classification Description</b>						
<b>Personnel Compensation &amp; Benefits:</b>						
Full-time & Other than full-time Permanent (11.1 & 11.3)	\$0	\$0	\$0	\$0	\$0	\$0
Personnel benefits (12.0)	0	0	0	0	0	0
<b>Subtotal - Personnel Compensation &amp; Benefits</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Other Expenses:</b>						
Other services from non-Federal sources (25.2)	\$0	\$6,600	\$48,484	\$5,868	\$0	\$107,560
Other goods & services from Federal sources (25.3)	0	50	0	0	0	0
Operation & maintenance of equipment (25.7)	0	0	60	447	0	0
Grants, Subsidies, & Contributions (41.0)	200,000	0	0	0	0	0
<b>Subtotal - Other Expenses<sup>1</sup></b>	<b>\$200,000</b>	<b>\$6,650</b>	<b>\$48,544</b>	<b>\$6,315</b>	<b>\$0</b>	<b>\$107,560</b>
<b>Total Obligations</b>	<b>\$200,000</b>	<b>\$6,650</b>	<b>\$48,544</b>	<b>\$6,315</b>	<b>\$0</b>	<b>\$107,560</b>

<sup>1</sup>Refer to page 51 for additional information. The amounts shown are as of May 20, 2021.



**Fiscal Year 2022 Budget Estimates to Congress  
Summary - Distribution of Resources by Strategic Goals**

(Dollars in Thousands)

<b>Strategic Goals (FYs 2020 - 2021)</b>	<b>Closing the Digital Divide</b>	<b>Promoting Innovation</b>	<b>Protecting Consumers &amp; Public Safety</b>	<b>Reforming the FCC's Processes</b>	<b>TOTAL</b>
<b><u>Regulatory Fees:</u></b>					
<b>FY 2020 Actual</b>	<b>\$97,576</b>	<b>\$76,388</b>	<b>\$87,434</b>	<b>\$64,225</b>	<b>\$325,623</b>
<b>FY 2021 Enacted</b>	<b>\$112,073</b>	<b>\$87,737</b>	<b>\$100,423</b>	<b>\$73,767</b>	<b>\$374,000</b>
Less: FY 2021 One-Time Investments	-\$420	\$0	-\$350	-\$1,809	-\$2,579
Less: FY 2022 New HQ Rent Savings	\$0	\$0	\$0	-\$2,322	-\$2,322
Less: Broadband DATA Act Funding Reduction	-\$27,000	\$0	\$0	\$0	-\$27,000
<b>FY 2022 Base Level - Regulatory Fees</b>	<b>\$84,653</b>	<b>\$87,737</b>	<b>\$100,073</b>	<b>\$69,636</b>	<b>\$342,099</b>
<b><u>Spectrum Auctions Program</u></b>					
<b>FY 2020 Actual</b>	<b>\$51,671</b>	<b>\$7,485</b>	<b>\$640</b>	<b>\$47,965</b>	<b>\$107,762</b>
<b>FY 2021 Enacted</b>	<b>\$64,489</b>	<b>\$9,342</b>	<b>\$799</b>	<b>\$59,864</b>	<b>\$134,495</b>
Less: FY 2022 Base Reductions	-\$8,481	-\$26	-\$2	-\$168	-\$8,678
<b>FY 2022 Base Level - Spectrum Auctions Program</b>	<b>\$56,008</b>	<b>\$9,316</b>	<b>\$797</b>	<b>\$59,696</b>	<b>\$125,817</b>
<b><u>Other New Budget Authorities Already Provided<sup>1</sup></u></b>					
<b>FY 2020 Actual</b>	<b>\$200,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$200,000</b>
<b>FY 2021 Enacted</b>	<b>\$10,686,950</b>	<b>\$0</b>	<b>\$1,900,000</b>	<b>\$0</b>	<b>\$12,586,950</b>
<b>Total - Other New Budget Authorities Already Provided</b>	<b>\$10,886,950</b>	<b>\$0</b>	<b>\$1,900,000</b>	<b>\$0</b>	<b>\$12,786,950</b>

<sup>1</sup>Refer to page 51 for a summary and status of these new budget authorities that were already provided.

<b>Fiscal Year 2022 New Strategic Goals</b>	<b>Pursue a "100 Percent" Broadband Policy</b>	<b>Promote Diversity, Equity, Inclusion and Accessibility</b>	<b>Empower Consumers</b>	<b>Enhance Public Safety and National Security</b>	<b>Advance America's Global Competitive- ness</b>	<b>Foster Operational Excellence</b>	<b>TOTAL</b>
<b><u>Regulatory Fees:</u></b>							
<b>FY 2022 Base Level (Cross-walked to new Strategic Goals)</b>	<b>\$84,653</b>	<b>\$6,964</b>	<b>\$50,037</b>	<b>\$50,037</b>	<b>\$87,737</b>	<b>\$62,672</b>	<b>\$342,099</b>
FY 2022 Adjustments to Base:							
Salary Increase	\$2,323	\$153	\$1,041	\$1,041	\$1,818	\$1,376	\$7,751
Non-Salary Inflationary Increase	\$563	\$37	\$252	\$252	\$441	\$333	\$1,878
Base Increase from New Initiatives	\$6,320	\$632	\$3,764	\$4,396	\$1,264	\$2,504	\$18,880
<b>Subtotal</b>	<b>\$9,205</b>	<b>\$822</b>	<b>\$5,057</b>	<b>\$5,689</b>	<b>\$3,523</b>	<b>\$4,213</b>	<b>\$28,509</b>
FY 2022 One-Time Investment Requests	\$0	\$1,250	\$5,000	\$631	\$0	\$10,461	\$17,342
<b>FY 2022 Congressional Request</b>	<b>\$93,858</b>	<b>\$9,035</b>	<b>\$60,093</b>	<b>\$56,356</b>	<b>\$91,260</b>	<b>\$77,346</b>	<b>\$387,950</b>
<b><u>Spectrum Auctions Program</u></b>							
<b>FY 2022 Base Level</b>	<b>\$56,008</b>	<b>\$5,970</b>	<b>\$398</b>	<b>\$398</b>	<b>\$9,316</b>	<b>\$53,726</b>	<b>\$125,817</b>
FY 2022 Adjustments to Base:							
FY 2022 Salary Inflationary Increase	\$499	\$46	\$3	\$3	\$72	\$417	\$1,040
FY 2022 Non-Salary Inflationary Increase	\$846	\$79	\$5	\$5	\$123	\$707	\$1,764
<b>FY 2022 Congressional Request</b>	<b>\$57,353</b>	<b>\$6,094</b>	<b>\$407</b>	<b>\$407</b>	<b>\$9,511</b>	<b>\$54,850</b>	<b>\$128,621</b>

**Fiscal Year 2022 Budget Estimates to Congress  
Allocation of Obligations by Budget Object Class Code**

<b>Budget Object Class Codes and Descriptions</b>	<b>FY 2020 Actuals</b>	<b>FY 2021 Enacted</b>	<b>Reversal of FY 2021 One-Time Requests</b>	<b>FY 2022 Base</b>	<b>2.7% Pay Increase</b>	<b>2% Non- Payroll Infla- tionary Increase</b>	<b>Base Adjust- ments &amp; One-Time Requests</b>	<b>FY 2022 Request to Congress</b>
11 Personnel Compensation	\$182,382	\$200,096	\$0	\$200,096	\$5,937	\$0	\$6,567	\$212,599
12 Benefits	58,559	59,250	0	59,250	\$1,813	0	3,362	64,425
13 Benefits for former personnel	52	52	0	52	\$1	0	0	53
21 Travel & transportation of persons	445	1,073	0	1,073	0	22	0	1,094
22 Transportation of things	56	57	0	57	0	1	0	58
23.1 Rent payments to GSA	33,829	14,028	-2,322	11,706	0	467	11,554	23,727
23.3 Communications, utilities, & misc. charges	4,837	6,444	0	6,444	0	129	0	6,573
24 Printing and reproduction	1,124	1,125	0	1,125	0	23	0	1,148
25.2 Other services from non-Federal sources	16,276	53,324	-29,579	23,744	0	501	-2,495	21,751
25.3 Other goods & services from Federal sources	4,598	7,302	0	7,302	0	147	0	7,449
25.7 Operation & maintenance of equipment	21,386	28,927	0	28,927	0	543	14,604	44,073
26 Supplies and materials	503	807	0	807	0	16	0	823
31 Equipment	1,070	915	0	915	0	18	2,631	3,564
32 Land and structures	470	478	0	478	0	10	0	488
40 Insurance claims & interest	35	123	0	123	0	2	0	125
<b>Regulatory Fees Budget Authority Request</b>	<b>\$325,623</b>	<b>\$374,000</b>	<b>-\$31,901</b>	<b>\$342,099</b>	<b>\$7,751</b>	<b>\$1,878</b>	<b>\$36,222</b>	<b>\$387,950</b>
Spectrum Auction Cost Recovery Reimbursement	107,762	134,495	0	134,495	1,040	1,764	-8,678	128,621
Reimbursables - Government/Other	1,081	4,000	0	4,000	0	0	0	4,000
<b>TOTAL Budget Authority Request</b>	<b>\$434,466</b>	<b>\$512,495</b>	<b>-\$31,901</b>	<b>\$480,594</b>	<b>\$8,791</b>	<b>\$3,642</b>	<b>\$27,544</b>	<b>\$520,571</b>

Note: In FY 2021, a total of \$98 million was made available to implement certain requirements of the Broadband DATA Act, of which, \$33 million was appropriated under the Commission's Regulatory Fees (Offsetting Collections) and, therefore, is included in this schedule. The \$65 million in other budget authority dedicated for the implementation of the Broadband DATA Act is shown with Commission's other budget authorities to provide a better historical comparison of the components of the FCC's regular budgetary requests. The Commission's other budget authorities are summarized on page 51.

## **EXHIBITS AND REPORTS**

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## Award Spending Estimates

As required by OMB Circular A-11, Section 32.01, the following chart summarizes the Commission's award estimates for FYs 2021 and 2022.

(Dollars in Thousands)

FY 2021 Estimated Salary Spending for Non-SES/SL/ST Positions	\$219,685
Estimate Percentage of Award Spending for Non-SES/SL/ST	2.47%
<b>FY 2021 Estimated Award Spending for Non-SES/SL/ST</b>	<b>\$5,426</b>
FY 2022 Estimated Salary Spending for Non-SES/SL/ST Positions	\$232,254
Estimate Percentage of Award Spending for Non-SES/SL/ST	2.47%
<b>FY 2022 Estimated Award Spending for Non-SES/SL/ST</b>	<b>\$5,737</b>
<b>Estimated Increase in FY 2022 Award Spending for Non-SES/SL/ST</b>	<b>\$310</b>

## 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 consist of four universal service support mechanisms. In addition, in Fiscal Year 2020 the Commission adopted the final rules for the Connected Care Pilot Program, to provide \$100 million in funding to selected applicants for select pilot projects covering 85% of the eligible costs of broadband connectivity, network equipment, and information services necessary to provide connected care services to the intended population over a three year period.

Public Law 116-260 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, 2021. The Antideficiency Act requires that funds be available before incurring an obligation on behalf of the Federal Government.

<b>Program and Financing (in millions of dollars)</b>		<b>2020 Actual</b>	<b>2021 Est.</b>	<b>2022 Est.</b>
<b>Obligation by program activity:</b>				
0001	Universal service fund	\$6,714	\$23,173	\$4,158
0002	Program support	\$197	\$238	\$246
0900	Total new obligations (object class 41.0)	<u>\$6,911</u>	<u>\$23,411</u>	<u>\$4,404</u>
<b>Budgetary resources</b>				
1000	Unobligated balance carried forward, start of year	(\$11,076)	(\$9,715)	(\$23,231)
1010	Unobligated balance transfer to other accounts	(\$298)	\$0	\$0
1021	Recoveries of prior year unpaid obligations	\$416	\$303	\$805
1033	Recoveries of prior year paid obligations	\$194	\$0	\$0
1050	Unobligated balance (total)	<u>(\$10,764)</u>	<u>(\$9,412)</u>	<u>(\$22,426)</u>
<b>Budget authority: Mandatory</b>				
1201	Appropriation(special fund) - Receipt	\$8,234	\$9,592	\$9,234
1201	Appropriation(special fund) - Interest	\$0	\$0	\$0
1220	Appropriation transferred to other accounts	(\$274)	\$0	\$0
1260	Appropriation, mandatory (total)	<u>\$7,960</u>	<u>\$9,592</u>	<u>\$9,234</u>
<b>Spending authority from offsetting collections, mandatory:</b>				
1850	Collected (total)	\$0	\$0	\$0
1900	Budget authority (total)	<u>\$7,960</u>	<u>\$9,592</u>	<u>\$9,234</u>
1930	Total budgetary resources available	<u>(\$2,804)</u>	<u>\$180</u>	<u>(\$13,192)</u>
1941	Unexpired unobligated balance, end of year	<u>(\$9,715)</u>	<u>(\$23,227)</u>	<u>(\$17,597)</u>
<b>Change in obligated balances:</b>				
3000	Unpaid obligated balance, start of year	\$17,590	\$15,627	\$29,001
3010	Obligation incurred, unexpired accounts	\$6,911	\$23,411	\$4,404
3020	Total outlays (gross)	(\$8,443)	(\$9,734)	(\$9,585)
3030	Unpaid obligation transferred to other accounts	(\$15)	\$0	\$0
3040	Recoveries of prior year obligations	(\$416)	(\$303)	(\$805)
3050	Unpaid obligated balance, end of year (net)	<u>\$15,627</u>	<u>\$29,001</u>	<u>\$23,015</u>
3100	Obligation balance, start of year	\$17,590	\$15,627	\$29,001
3200	Obligation balance, end of year	<u>\$15,627</u>	<u>\$29,001</u>	<u>\$23,015</u>
<b>Budget authority and outlays net:</b>				
4090	Budget authority gross:	<u>\$7,960</u>	<u>\$9,592</u>	<u>\$9,234</u>
4100	Outlays from new mandatory authority	\$4,288	\$5,292	\$4,404
4101	Outlays from new mandatory balances	\$4,155	\$4,442	\$5,181
4110	Total outlays (net)	<u>\$8,443</u>	<u>\$9,734</u>	<u>\$9,585</u>
<b>Offsets against gross budget authority and outlays</b>				
4123	Offsetting collection from Non-Federal sources	(\$194)	\$0	\$0
4143	Recoveries of prior year paid obligations, unexpired accounts	\$194	\$0	\$0
4160	Budget authority net (mandatory)	<u>\$7,960</u>	<u>\$9,592</u>	<u>\$9,234</u>
4170	Outlays net (mandatory)	<u>\$8,249</u>	<u>\$9,734</u>	<u>\$9,585</u>
4180	Budget authority net (total)	<u>\$7,960</u>	<u>\$9,592</u>	<u>\$9,234</u>
4190	Outlays net (total)	<u>\$8,249</u>	<u>\$9,734</u>	<u>\$9,585</u>
<b>Memorandum (non-add) entries:</b>				
5000	Total investments, start of year: Federal securities: Par value	\$308	\$0	\$0
5001	Total investments, end of year: Federal securities: Par value	\$0	\$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.

<b>Program and Financing (in millions of dollars)</b>				
		<b>2020 Actual</b>	<b>2021 Est.</b>	<b>2022 Est.</b>
<b>Obligation by program activity:</b>				
0001	Telecommunications relay services	\$1,424	\$1,622	\$1,655
0002	Program support	\$17	\$20	\$20
0900	Total new obligations (object class 41.0)	\$1,441	\$1,642	\$1,675
<b>Budgetary resources</b>				
1000	Unobligated balance carried forward, start of year	\$0	\$346	\$254
1011	Unobligated balance transfer from other accounts	\$298	\$0	\$0
1021	Recoveries of prior year unpaid obligations	\$1	\$1	\$1
1050	Unobligated balance (total)	\$299	\$347	\$255
<b>Budget authority: Mandatory</b>				
1201	Appropriation(special fund) - Receipt	\$1,214	\$1,549	\$1,580
1221	Appropriation transferred from other accounts	\$274	\$0	\$0
1260	Appropriation, mandatory (total)	\$1,488	\$1,549	\$1,580
1930	Total budgetary resources available	\$1,787	\$1,896	\$1,835
1941	Unexpired unobligated balance, end of year	\$346	\$254	\$160
<b>Change in obligated balances:</b>				
3000	Unpaid obligated balance, start of year	\$0	\$31	\$191
3010	Obligation incurred, unexpired accounts	\$1,441	\$1,642	\$1,675
3020	Total outlays (gross)	(\$1,424)	(\$1,481)	(\$1,511)
3031	Unpaid obligation transferred from other accounts [027-5183]	\$15	\$0	\$0
3040	Recoveries of prior year obligations	(\$1)	(\$1)	(\$1)
3050	Unpaid obligated balance, end of year (net)	\$31	\$191	\$354
3100	Obligation balance, start of year	\$0	\$31	\$191
3200	Obligation balance, end of year	\$31	\$191	\$354
<b>Budget authority and outlays net:</b>				
4090	Budget authority gross:	\$1,488	\$1,549	\$1,580
4100	Outlays from new mandatory authority	\$1,206	\$1,259	\$1,284
4101	Outlays from new mandatory balances	\$218	\$222	\$227
4110	Total outlays (net)	\$1,424	\$1,481	\$1,511
<b>Offsets against gross budget authority and outlays</b>				
4160	Budget authority net (mandatory)	\$1,488	\$1,549	\$1,580
4170	Outlays net (mandatory)	\$1,424	\$1,481	\$1,511
4180	Budget authority net (total)	\$1,488	\$1,549	\$1,580
4190	Outlays net (total)	\$1,424	\$1,481	\$1,511

# 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, 2021, 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-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	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-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.	Expect to be Closed as Not Implemented	FCC issued Public Notice DA 16-536 which reminded licensees of requirement to place JSAs in public inspection file. FCC does not consider further action to be needed.
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	Implementation is on hold

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

<b>Report Number</b>	<b>Report Title</b>	<b>Issued Date</b>	<b>Rec. No. in GAO Report</b>	<b>Recommendation</b>	<b>Timeline for Full Implementation</b>	<b>Justification for Decision Not to Implement</b>
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	Implementation is on hold
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.	Submitted information to close recommendation, and waiting for GAO response	Implementation is in progress
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.	FY 2022	Implementation is in progress
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

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

<b>Report Number</b>	<b>Report Title</b>	<b>Issued Date</b>	<b>Rec. No. in GAO Report</b>	<b>Recommendation</b>	<b>Timeline for Full Implementation</b>	<b>Justification for Decision Not to Implement</b>
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 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.	Expect to be Closed as Not Implemented	Rather than attempting to distinguish particular high-bandwidth IoT applications, we believe the best approach is to monitor growth of overall traffic statistics and forecasts, and how they affect aggregate spectrum requirements for all applications and services.
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.	Expect to be Closed as Not Implemented	We maintain a database of all unlicensed devices that are certified to comply with the Commission's technical rules. However, it would not be practical to determine which of these devices qualify as IoT. For example, any Wi-Fi router could be used to connect with devices such as a wireless baby video monitor, or it might not be used for such a purpose.
GAO-19-247SU	Information Security: FCC Improved Its Electronic Comment System, but Needs to Remedy Additional Control Weaknesses	09/26/2019	multiple	Recommendations in this report are non-public. Fourteen (14) of the recommendations remain open.	FY 2022	Implementation is in progress

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

<b>Report Number</b>	<b>Report Title</b>	<b>Issued Date</b>	<b>Rec. No. in GAO Report</b>	<b>Recommendation</b>	<b>Timeline for Full Implementation</b>	<b>Justification for Decision Not to Implement</b>
GAO-19-564	WIRELESS INTERNET FCC Should Assess Making Off-School-Premises Access Eligible for Additional Federal support	07/29/2019	1	The Chairman of the Federal Communications Commission should determine and execute a methodology for collecting and analyzing data—such as conducting a new pilot program regarding off-premises wireless access or analyzing other data—to assess the potential benefits, costs, and challenges of making off-premises wireless access eligible for E-rate program support, and publish the results of this analysis.	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	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.	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	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.	FY 2022	Implementation is in progress
GAO-20-27	TELECOMMUNICATIONS FCC Should Take Additional Action to Manage Fraud Risks in Its Program to Support Broadband Service in High-Cost Areas	11/18/2019	1	The Chairman of FCC should ensure that FCC’s Office of Managing Director follows the leading practices in GAO’s fraud risk framework related to a dedicated entity’s management of its antifraud activities, such as serving as the repository of knowledge on fraud risks and coordinating antifraud initiatives.	FY 2022	Implementation is in progress

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

<b>Report Number</b>	<b>Report Title</b>	<b>Issued Date</b>	<b>Rec. No. in GAO Report</b>	<b>Recommendation</b>	<b>Timeline for Full Implementation</b>	<b>Justification for Decision Not to Implement</b>
GAO-20-27	TELECOMMUNICATIONS FCC Should Take Additional Action to Manage Fraud Risks in Its Program to Support Broadband Service in High-Cost Areas	11/18/2019	2	The Chairman of FCC should plan regular fraud-risk assessments tailored to the high-cost program and assess these risks to determine the program's fraud risk profile, as provided in GAO's fraud risk framework.	FY 2021	Implementation is in progress
GAO-20-27	TELECOMMUNICATIONS FCC Should Take Additional Action to Manage Fraud Risks in Its Program to Support Broadband Service in High-Cost Areas	11/18/2019	3	The Chairman of FCC should design and implement an antifraud strategy for the high-cost program with specific control activities, based upon the results of fraud-risk assessments and a corresponding fraud risk profile, as provided in GAO's fraud risk framework.	FY 2021	Implementation is in progress
GAO-20-27	TELECOMMUNICATIONS FCC Should Take Additional Action to Manage Fraud Risks in Its Program to Support Broadband Service in High-Cost Areas	11/18/2019	4	The Chairman of FCC should assess the model-based support mechanism to determine the extent to which it produces reliable cost estimates.	A final implementation date has not been established	Implementation is in progress
GAO-20-27	TELECOMMUNICATIONS FCC Should Take Additional Action to Manage Fraud Risks in Its Program to Support Broadband Service in High-Cost Areas	11/18/2019	5	The Chairman of FCC should consider whether to make use of the model-based support mechanism mandatory depending on the results of the assessment.	A final implementation date has not been established	Implementation is in progress
GAO-20-294	EMERGENCY ALERTING Agencies Need to Address Pending Applications and Monitor Industry Progress on System Improvements	02/06/2020	1	The Chairman of FCC should develop specific, measurable goals and performance measures for its efforts to monitor the performance of new WEA capabilities, such as enhanced geo-targeting and expanded alert message length.	FY 2022	Implementation is in progress

**Section 2 - Implementation Status of OIG Public Recommendations Designated by the OIG as Open or Closed, Unimplemented**

<b>Report Number</b>	<b>Report Title</b>	<b>Issued Date</b>	<b>Rec. No. in OIG Report</b>	<b>Recommendation</b>	<b>Timeline for Full Implementation</b>	<b>Justification for Decision Not to Implement</b>
12-AUD-12-20	FY 2012 A-130 Audit	03/12/2014	4.1	We recommend that FCC's Managing Director, CIO and Public Safety and Homeland Security Bureau perform a comprehensive review of current DIRS processes to determine the appropriate placement of DIRS maintenance responsibilities within the FCC.	FY 2023	Implementation is in progress
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 2021	Implementation is in progress
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 2021	Implementation is in progress
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 2021	Implementation is in progress
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 2021	Implementation is in progress
16-AUD-01-01	High Cost Interstate Common Line Support Controls Audit	12/07/2018	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 2021	Implementation is in progress
16-AUD-01-01	High Cost Interstate Common Line Support Controls Audit	12/07/2018	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 2021	Implementation is in progress

**Section 2 - Implementation Status of OIG Public Recommendations Designated by the OIG as Open or Closed, Unimplemented**

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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.	Recommendation has been implemented and submitted to the OIG for closure.	Implementation is in progress
19-AUD-02-01	FY 2018 IPERIA Audit	06/03/2019	2	Enhance root cause analysis by using the findings and recommendations identified in the most recent USF-LL Program reports issued by Government Accountability Office (GAO), FCC Office of the Inspector General (FCC-OIG), and FCC Enforcement Bureau (FCC-EB) to identify additional relevant factors that underlie improper payments, fraud, waste, and abuse in the USF-LL Program.	Recommendation has been implemented and submitted to the OIG for closure.	Implementation is in progress
19-AUD-02-01	FY 2018 IPERIA Audit	06/03/2019	4	Modify the PQA assessment procedures to target the USF-HC Program rules and significant risks of improper payments.	Recommendation has been implemented and submitted to the OIG for closure.	Implementation is in progress
19-AUD-02-01	FY 2018 IPERIA Audit	06/03/2019	6	Direct USAC management to develop guidance, consistent with OMB Memorandum M-18-20, for analyzing the results of PQA procedures.	Recommendation has been implemented and submitted to the OIG for closure.	Implementation is in progress
19-AUD-02-01	FY 2018 IPERIA Audit	06/03/2019	7	Direct USAC to work with its statisticians to develop a sampling and estimation plan that is reflective of the risks of improper payments of each component of the USF-HC Program.	Recommendation has been implemented and submitted to the OIG for closure.	Implementation is in progress



**Section 2 - Implementation Status of OIG Public Recommendations Designated by the OIG as Open or Closed, Unimplemented**

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19-AUD-02-03	Audit of Pekin Public School District 108 (E-rate)	04/05/2020	1	The Beneficiary develop a formal process and controls to ensure finding requests for category two equipment include only items that meet the needs of the school district and are expected to be utilized during the finding year.	FY 2021	Implementation is in progress
19-AUD-02-03	Audit of Pekin Public School District 108 (E-rate)	04/05/2020	3	The Beneficiary formalize its competitive bidding process by establishing competitive bidding and procurement policies and procedures in accordance with program rules and regulations. The Beneficiary should implement controls designed to safeguard against unfair practices and conflicts of interests and ensure school district compliance with applicable E-rate program rules and regulations.	FY 2021	Implementation is in progress
19-AUD-02-03	Audit of Pekin Public School District 108 (E-rate)	04/05/2020	4	The Beneficiary should also retain E-rate documentation in compliance with 47 C.F.R. Section 54.516(a)(1). Specifically, the Beneficiary must retain vital records that support the bid evaluation process, including details pertaining to the price comparison and qualitative analysis of the bid responses.	FY 2021	Implementation is in progress
19-AUD-08-05	FY 2019 DATA Act Performance Audit	11/08/2019	2	Upon award of the TRS Fund Administrator contract, coordinate with the administrator to develop a DATA Act project plan. The TRS Fund project plan should include an expected timeline and steps to implement necessary changes to systems and business processes to capture, link, reconcile and report on award level financial and spending information. The TRS Fund Administrator, in coordination with the FCC, should reference Steps 1 through 8 in the DATA Act Implementation Playbook (Version 2.0) to develop and execute the detailed project plan.	FY 2022	Implementation is in progress

**Section 2 - Implementation Status of OIG Public Recommendations Designated by the OIG as Open or Closed, Unimplemented**

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19-AUD-08-05	FY 2019 DATA Act Performance Audit	11/08/2019	3	As technical and operational issues arise during the USAC and TRS Fund Administrator DATA Act implementation, USAC and the TRS Fund Administrator, in conjunction with the FCC, should continue to coordinate with OMB and Treasury to work through any issues in real time. The FCC should document all significant issues encountered that required OMB and Treasury involvement.	FY 2021	Implementation is in progress
19-AUD-08-05	FY 2019 DATA Act Performance Audit	11/08/2019	5	Develop and implement procedures to validate the timeliness of the data reported to FPDS-NG in order to meet the DATA Act and the FAR requirement to report data into FPDS-NG within three business days after the contract award. This should include data validation procedures to ensure the timeliness of the data input to FPDS-NG, as well as the FCC's accounting system (i.e., Genesis) that interfaces with FPDS-NG. Additionally, this should include corrective action or quality control procedures for untimely information reflected in FPDS-NG resulting from the interfaces with FCC systems.	Recommendation has been implemented and submitted to the OIG for closure.	Implementation is in progress

**Section 2 - Implementation Status of OIG Public Recommendations Designated by the OIG as Open or Closed, Unimplemented**

Report Number	Report Title	Issued Date	Rec. No. in OIG Report	Recommendation	Timeline for Full Implementation	Justification for Decision Not to Implement
19-EVAL-07-01	FY 2019 Federal Information Security Modernization Act of 2014 (FISMA) Evaluation	01/08/2020	1	<p>We issued 24 recommendations in the non-public FY 2019 FISMA evaluation report intended to improve the effectiveness of the FCC's information security program controls in the areas of Risk Management, Configuration Management, Identity and Access Management, Data Protection and Privacy, Information Security Continuous Monitoring, and Incident Response. Our report does not include recommendations in the areas of Security Training and Contingency Planning because the FCC demonstrated effective controls in these areas. Of the 24 recommendations we issued, 15 are either repeats or updates from prior FISMA evaluations, and 9 address security deficiencies identified in FY 2019. For comparison, we issued 19 recommendations in the FY 2018 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.</p> <p>(6 of the 24 recommendations remain open: one is for 2019, two are repeats from 2018, one is a from 2017 and two remain open from 2016).</p>	Of the 24 recommendations, 6 remain open and we plan to close all 6 recommendations in FY 2021.	Implementation is in progress

# Response to Congressional Inquiries Concerning GAO Recommendation



OFFICE OF  
THE CHAIRMAN

FEDERAL COMMUNICATIONS COMMISSION  
WASHINGTON

March 11, 2020

The Honorable Carolyn B. Maloney  
Chairwoman  
Committee on Oversight and Government Reform  
U.S. House of Representatives  
2157 Rayburn House Office Building  
Washington, DC 20515

Dear Chairwoman Maloney:

In response to a May 2017 incident in which a surge in comments caused disruption to the Commission's Electronic Comment Filing System (ECFS), GAO was asked to review both (1) the actions that the Commission took in response to the May 2017 event, and (2) the extent to which the FCC has implemented security controls to effectively protect the confidentiality, integrity, and availability of ECFS and two related FCC systems. As a result of that investigation, on September 26, 2019, the Government Accountability Office (GAO) issued a limited official-use only (LOUO) report entitled *FCC Improved Its Electronic Comment System, but Needs to Remedy Additional Control Weaknesses*, GAO 19-247SU (Report).<sup>11</sup>

During the course of its review, GAO shared with the Commission a draft of its Report, which identified a number of issues with the Commission's information security program and made 136 recommendations for correcting those issues. In a September 13, 2019, response to this draft report, the FCC Managing Director concurred with GAO's recommendations, noted that the Commission submitted evidence to GAO that we had mitigated 83 of those recommendations, and explained the Commission's timeline for addressing the remaining 53 recommendations. Based on the FCC's response and subsequent actions taken in response to the draft report, the GAO has closed 85 of its 136 recommendations as having been addressed by the agency. With respect to the remaining 51 recommendations, the FCC has specific plans in place to complete mitigation of all the recommendations by April 2021. As the Managing Director noted in his response to GAO, some of the outstanding findings will be addressed in the course of system modernization and cloud transition efforts that we have already initiated, including updates for ECFS.

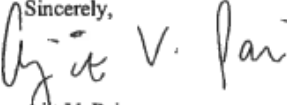
Information security is among the FCC's top priorities, and it plays a critical role in safeguarding the confidentiality, integrity, and availability of our major IT systems. For this reason, the FCC implemented a multi-year strategic effort to modernize our IT capabilities. As noted in the Managing Director's response to GAO, moving our IT infrastructure and applications to a cloud-based architecture will allow us to deliver secure, scalable, and reliable systems for both internal FCC business and for our public-facing systems. The Commission's work on this modernization effort, coupled with our mitigation of GAO's recommendations, will

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<sup>11</sup> GAO, *FCC Improved Its Electronic Comment System, but Needs to Remedy Additional Control Weaknesses*, GAO 19-247SU.

resolve the security vulnerabilities identified in the Report and strengthen our information security going forward.

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

Sincerely,  
  
Ajit V. Pai

cc: The Honorable Diane DeGette  
The Honorable Mike Doyle  
The Honorable Gerald Connolly  
The Honorable Brian Schatz  
The Honorable Yvette Clarke  
The Honorable Debbie Dingell  
The Honorable Elliot Engel  
The Honorable Gregory Meeks  
The Honorable Hakeem Jeffries  
The Honorable Robin Kelley  
The Honorable Jerry McNerney  
The Honorable Paul Tonko  
The Honorable Nydia Velazquez



OFFICE OF  
THE CHAIRMAN

FEDERAL COMMUNICATIONS COMMISSION  
WASHINGTON

April 10, 2020

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

Dear Chairman Quigley:

On November 18, the Government Accountability Office (GAO) released a report entitled *FCC Should Take Additional Action to Manage Fraud Risks in Its Program to Support Broadband Service in High-Cost Areas* (Report). The Report examines the extent to which the FCC is effectively managing fraud risks for the Universal Service Fund High-Cost program.

The Report makes five recommendations focused on improving the Commission's fraud risk management program and modifying the rate-of-return high-cost support mechanisms in order to mitigate fraud risk. Specifically, to improve its fraud risk management framework, GAO recommends that the FCC follow GAO's leading practices to establish a dedicated entity to manage antifraud activities, plan regular fraud-risk assessments tailored to the High-Cost program and determine the program's fraud risk profile, and design and implement an antifraud strategy with specific control activities, based upon the results of fraud-risk assessments and corresponding fraud risk profile. Additionally, GAO recommends that the FCC modify its rate-of-return program in order to mitigate fraud risk by assessing the model-based support mechanism to determine the extent to which it produces reliable cost estimates, and consider whether to make use of the model-based support mechanism mandatory, depending on the results of any such assessment.

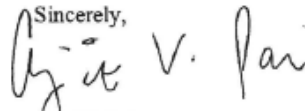
In their October 8, 2019 response to the draft report, the Managing Director and Chief of the FCC's Wireline Competition Bureau noted that the Commission has taken a variety of administrative and programmatic actions to reduce the risk of fraud in the High-Cost program. The response also committed to undertake further improvements to the FCC's fraud risk management program, consistent with GAO's recommendations. Additionally, the response committed to consider how to improve use of model-based support mechanisms, and other incentive regulation, to encourage carriers to transition from legacy programs.

I share your interest in protecting the integrity of the Fund as we work to close the digital divide and bring digital opportunity to all Americans. That is why I led efforts to reform and modernize the High-Cost program to make it more effective, efficient, and accountable. Among other things, we provided an opportunity for providers serving some of the smallest and most rural areas—rate-of-return carriers—to elect model-based support in exchange for robust

broadband deployment. As GAO noted, this shift towards incentive-based regulation has helped to advance the Commission's longstanding objective of administering the Fund in a fiscally responsible manner and to protect it from the risk of waste, fraud, and abuse. Consistent with GAO's recommendations, staff is considering whether there are additional opportunities to improve the use of model-based support mechanisms and other incentive regulation.

As detailed in the October 8 response, the Commission has also implemented a comprehensive fraud risk management strategy, which includes an annual risk assessment of the High-Cost and other universal service programs, a number of internal control processes, and a variety of oversight procedures—including audits, self-certification, and data validation processes. Additionally, the Commission has implemented deployment verification and performance validation procedures to ensure that carriers meet their defined compliance obligations. Taken together, we believe that these efforts have helped to prevent waste, fraud, and abuse in the High-Cost program. We are building on these efforts by implementing GAO's recommendations to comport the Commission's fraud risk management processes with GAO's fraud risk framework. Currently, the Commission is working with the Universal Service Administrative Company (USAC) to implement the GAO fraud risk framework at USAC for the High-Cost program. As part of this effort, USAC will have a fraud risk assessment conducted of the High-Cost program, and the Commission is collaborating with USAC to ensure that these efforts result in an overall fraud risk strategy that can be utilized for all of the Universal Service Fund programs going forward.

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

Sincerely,  
  
Ajit V. Pai



OFFICE OF  
THE CHAIRMAN

FEDERAL COMMUNICATIONS COMMISSION  
WASHINGTON

July 21, 2020

The Honorable Ron Johnson  
Chairman  
Committee on Homeland Security and Governmental Affairs  
United States Senate  
340 Dirksen Senate Office Building  
Washington, DC 20510

Dear Chairman Johnson:

On February 6, 2020, the Government Accountability Office (GAO) publicly released a report entitled “EMERGENCY ALERTING, Agencies Need to Address Pending Applications and Monitor Industry Progress on System Improvements” (Report). The Report examines: (1) trends in the use of the Federal Emergency Management Agency’s (FEMA) Integrated Public Alert and Warning System (IPAWS); and (2) actions that FEMA and the Federal Communications Commission (FCC or Commission) have taken to modernize IPAWS and increase its adoption.

The Report makes three recommendations for executive action—two addressed to FEMA and one addressed to the FCC. With respect to the FCC, the Report recommends that I, as Chairman, should develop specific, measurable goals and performance measures for our efforts to monitor the performance of new Wireless Emergency Alerts (WEA) capabilities, such as enhanced geo-targeting and expanded alert message length.

As you may be aware, the Commission has worked diligently to maintain and improve WEA and the Emergency Alert System (EAS), both in its capacity as the administrator of the rules governing these systems and in its collaborations with FEMA, the National Weather Service, and the various state and local emergency management authorities that use these systems to distribute alerts to the public. As the Report describes, the Commission has adopted various requirements to improve the value of WEA messaging, such as “geo-targeting” rules, which require that alerts be tailored more precisely to those geographic areas in which the alert is most relevant.

I share GAO’s view on the importance of gathering and assessing specific performance information about the effectiveness of these systems’ enhanced capabilities—many of which have only recently become available. As the Commission’s Public Safety and Homeland Security Bureau (Bureau) observed in its response to the draft version of the Report, the Commission has a pending rulemaking proceeding that specifically seeks comment on whether the Commission should adopt performance metrics, such as benchmarks regarding the extent to which these alerts have been received. As the Bureau further observed, because there is substantial debate in the record on how to establish effective metrics and measures, we have focused our efforts on getting WEA and its recently enhanced geo-targeting and other

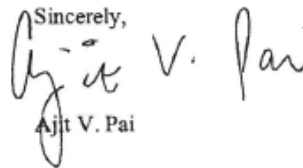


functionalities up and running, and gathering raw data on system performance, before we take any further action in the pending rulemaking.

To that end, the Bureau has been working with local jurisdictions to tailor parameters of WEA tests within their jurisdictions that would develop and address feedback provided by alert originators, and gather data to inform the Commission's understanding of WEA's effectiveness.<sup>9</sup> For example, prior to the COVID-19 outbreak in the United States, the Bureau had been working with local emergency management officials to conduct end-to-end WEA tests. (Those tests have been deferred during the response to COVID-19 in the jurisdictions involved.) The goals for testing geo-targeting in these end-to-end WEA tests include: (i) ensuring that the testing methodology achieves statistically significant results, and (ii) if achieved, determining the current baseline performance of participating Commercial Mobile Service Providers' enhanced geo-targeting capabilities by tabulating WEA delivery rates inside and outside of a prescribed geo-targeted area.

Once we better understand baseline performance, we can more clearly assess whether the WEA improvements are working as intended and will be able to make better-informed decisions on how to improve geo-targeting implementations, consider specific numerical targets for improvement in subsequent rounds of enhanced geo-targeting testing, and potentially inform possible future efforts, including additional system tests authorized by or conducted by the Commission, as well as resolution of the Commission's pending rulemaking.

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

The Honorable Nydia Velázquez  
The Honorable Peter DeFazio  
The Honorable Sam Graves  
The Honorable Al Green  
The Honorable Emanuel Cleaver  
The Honorable Michael McCaul  
The Honorable Gary Palmer  
The Honorable Ann Wagner  
The Honorable Jim Jordan

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<sup>9</sup> In 2019, the Bureau sought applications from entities authorized by FEMA to send alerts using IPAWS to participate in targeted tests of WEA. See *Public Safety and Homeland Security Bureau Seeks Authorized Alert Originators to Participate In Testing of the Accuracy of the Wireless Emergency Alert System's Geographic Targeting Capability*, Public Notice, 34 FCC Rcd 4806 (PSHSB June 11, 2019).



OFFICE OF  
THE CHAIRMAN

FEDERAL COMMUNICATIONS COMMISSION  
WASHINGTON

December 28, 2020

The Honorable Carolyn B. Maloney  
Chairwoman  
Committee on Oversight and Reform  
U.S. House of Representatives  
2157 Rayburn House Office Building  
Washington, DC 20515

Dear Chairwoman Maloney:

On June 29, 2020, the Government Accountability Office (GAO) publicly released a report entitled 5G DEPLOYMENT: FCC Needs Comprehensive Strategic Planning to Guide Its Efforts, GAO 20-468. The Report addressed challenges with 5G deployment, including the federal government's role in managing the availability of spectrum, deployment of 5G networks, and closing the digital divide. The Report recommends that the FCC Chairman "develop, in coordination with NTIA and other relevant stakeholders, specific and measurable performance goals—with related strategies and measures—to manage spectrum demands associated with 5G deployment." It recommends that the FCC Chairman also develop such performance goals "to determine the effects 5G deployment and any mitigating actions may have on the digital divide."

I share your interest in ensuring that the FCC sets and achieves goals to facilitate the deployment of 5G and other advanced wireless services, including making spectrum available, determining the effects of 5G deployment, and ensuring that 5G deployment and related efforts close the digital divide. As Chairman, one of my top priorities has been the development and implementation of the 5G FAST Plan, which has allowed us to push more spectrum into the marketplace, remove unnecessary barriers to the deployment of infrastructure, and modernize outdated regulations. As the Report acknowledges, the Commission has taken numerous steps to achieve the goals of the 5G FAST Plan, including dramatically increasing the availability of low-, mid- and high-band spectrum. For instance, on high-band spectrum, we executed the goals of the 5G FAST Plan by making available and auctioning 4,950 megahertz of spectrum. To put that in perspective, that is more spectrum than was used for terrestrial mobile broadband by all wireless service providers in the United States combined before these auctions started. On mid-band, which the GAO Report identifies as critical, we executed the 5G FAST Plan by making 150 megahertz of spectrum available in the 3.5 GHz band (3550-3700 MHz), beginning an auction earlier this month of 280 megahertz of spectrum at 3.7-3.98 GHz, and proposing a plan to prepare for auction 100 megahertz of spectrum in the 3.45-3.55 GHz band. I would also highlight our efforts to make available unassigned spectrum in the 2.5 GHz band (2496-2690 MHz), including granting more than 150 applications for overlay licenses covering rural Tribal lands as part of our Rural Tribal Priority Window. We are currently in the process of granting

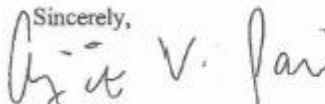
additional Rural Tribal Priority Window license applications through a second processing round and hope to quickly complete our review of the remaining applications. We have also made significant mid-band spectrum available for unlicensed service. This year, we made 1,200 megahertz of spectrum available for unlicensed use in the 6 GHz band, spurring the deployment of Wi-Fi 6, the next generation of Wi-Fi technology. We likewise voted to open-up an additional 45 megahertz of unlicensed spectrum in the 5.850-5.895 GHz band for advanced broadband use, including connectivity in rural and underserved areas. Our decision on the 5.9 GHz band immediately made this spectrum available for indoor use in conjunction with other, adjacent-band unlicensed spectrum, creating opportunities for 160-megahertz wide unlicensed channels that are critical to sustain and enhancing Wi-Fi and other unlicensed connectivity—particularly during the COVID-19 pandemic. Finally, on low-band spectrum, I announced over the summer that, following the FCC’s successful two-sided auction that allowed for the repurposing of the 600 MHz band, the FCC had accomplished its objective to transition a large number of broadcast TV stations to new frequencies to clear the 600 MHz band spectrum for wireless use.

In their May 20, 2020 comments on the draft report, the Chiefs of the FCC’s Wireless Telecommunications Bureau and Wireline Competition Bureau, along with the Acting Chief of the FCC’s Office of Engineering and Technology, noted some of the efforts described above that were underway or completed. As described in this response, in order to fulfill its dual responsibilities to adopt policies after a notice and comment process and to effectively and efficiently manage the spectrum, the Commission must approach spectrum proceedings with an open mind as to what is practically and scientifically achievable. As detailed in that response, that requires the Commission to weigh the public record and conduct extensive engineering, economic, and technical analyses that drives our determinations about band-specific proposals. Finally, the response noted that because the Commission’s authority encompasses non-federal use of spectrum, we must coordinate with NTIA and other stakeholders on proposals in bands with federal government equities. I concur with the statement in this response that it would be unwise to prejudice the engineering, economic, and other technical outcomes of proceedings by setting artificial benchmarks, as GAO recommends. As an independent regulatory authority, our goal always is to put spectrum to the highest and best use in the public interest, which we accomplish by relying upon our transparent and inclusive administrative process, which is seen as a model for regulatory authorities around the world.

I continue to believe the approach in the 5G FAST Plan, described above, strikes a reasonable and appropriate balance between setting ambitious strategic goals and preserving flexibility and appropriate scientific and technical judgment in evaluating proposals.

Additionally, I note that since the release of the report, the Commission adopted a report and order establishing a 5G Fund for Rural America on October 27, 2020. As the Chiefs of the FCC’s Wireless Telecommunications Bureau and Wireline Competition Bureau and the Acting Chief of the Office of Engineering and Technology indicated in their May 20, 2020 letter, the 5G Fund for Rural America will address shortcomings in 5G deployment in rural areas. This fund includes specific performance standards and reporting requirements, including specific parameters. These requirements will focus our 5G Fund on the areas that are most in need of support to close the digital divide.

Thank you for the opportunity to review GAO's recommendations. We look forward to continuing to engage in a productive dialogue with GAO in the future, so that we can continue to fulfill Congress's statutory objectives for the benefit of the American people.

Sincerely,  
  
Ajit V. Pai

cc: The Honorable James Inhofe  
The Honorable Jack Reed  
The Honorable Marco Rubio  
The Honorable Mark Warner  
The Honorable Adam Smith  
The Honorable Mac Thornberry  
The Honorable Eddie Bernice Johnson  
The Honorable Adam Schiff  
The Honorable Devin Nunes  
The Honorable Bill Foster  
The Honorable Richard Burr  
The Honorable Mikie Sherrill



OFFICE OF  
THE CHAIRMAN

FEDERAL COMMUNICATIONS COMMISSION  
WASHINGTON

January 15, 2021

The Honorable Carolyn B. Maloney  
Chairwoman  
Committee on Oversight and Government Reform  
U.S. House of Representatives  
2157 Rayburn House Office Building  
Washington, DC 20515

Dear Chairwoman Maloney:

On September 16, 2020, the Government Accountability Office (GAO) released a report entitled *FCC Should Take Action to Better Manage Persistent Fraud Risks in the Schools and Libraries Program* (Report). GAO was asked to review fraud risk management in the Federal Communications Commission's (FCC) schools and libraries universal service support mechanism (commonly known as the "E-Rate" program). The Report addresses (1) the E-Rate program's key fraud risks; (2) the extent to which the FCC and the Universal Service Administrative Company (USAC) are managing fraud risks in accordance with leading practices; and (3) the extent to which the FCC and USAC face challenges in effectively employing data analytics to support fraud risk management activities.

The Report makes three recommendations focused on managing fraud risks and designing an antifraud strategy for addressing fraud risks in the E-Rate program. Specifically, GAO recommends that the FCC Chairman direct and coordinate with the Chief Executive Officer of USAC to comprehensively assess fraud risks to the E-Rate program, including implementing respective plans for developing periodic fraud risk assessments; examining the suitability of existing fraud controls; and compiling fraud risk profiles. GAO also recommends that the FCC Chairman ensure that the FCC and USAC follow the leading practices in GAO's Fraud Risk Framework when designing and implementing data-analytics activities to prevent and detect fraud as part of their respective antifraud strategies for the E-Rate program. Finally, GAO recommends that the FCC Chairman direct USAC to clearly define and fully document the data fields in all relevant E-Rate program computer systems to help improve the FCC's ability to understand and use data to manage fraud risks.

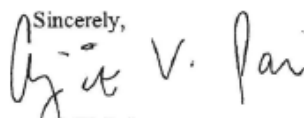
I share your concern in protecting the integrity of E-Rate program funds as we work to close the digital divide and bring digital opportunity to all Americans, including our nation's schools and libraries. During my tenure as FCC Chairman, the FCC has taken additional steps to fulfill its statutory mission to enhance the availability of affordable telecommunications and Internet access services to provide connectivity to schools and libraries and connections for students and library patrons. At the same time, the FCC has been steadfast in its commitment to protect E-Rate program funds, requiring them to be committed for eligible services and equipment provided to eligible entities, for eligible purposes, and in accordance with program

rules. We will continue our efforts to protect E-Rate program funds against waste, fraud, and abuse and ensure they are properly disbursed and used for appropriate purposes.

In their August 28, 2020 response to the draft report, the FCC's Managing Director and Chief of the FCC's Wireline Competition Bureau noted that the Commission has taken a variety of administrative and programmatic actions to reduce the risk of fraud in the E-Rate program. The response also indicated the FCC's agreement with the GAO's recommendations and intent to implement them. As detailed in that response, the FCC has implemented a comprehensive fraud risk management strategy, which includes an annual risk assessment of the E-Rate and other universal service programs, and performs other long-standing oversight processes concerning the E-Rate program's internal controls, program management, and audit processes and procedures. The response also reported that the FCC and USAC have been working collaboratively to incorporate the use of data-analytics activities in our fraud risk management plans. The FCC already uses data analytics in the context of investigations and enforcement and is exploring more advanced uses of its data analytics platform to enable predictive analytics and other features to help prevent future instances of fraud. Additionally, we have been coordinating with USAC on USAC's implementation of its framework to use data analytics to combat future fraud-risks in the E-Rate program. Finally, per GAO's recommendation, USAC has notified the FCC that it has begun to update its data dictionaries across all data fields in the E-Rate program.

The FCC also looks forward to building on its current fraud risk management efforts by working with USAC to implement GAO's Fraud Risk Framework for the E-Rate program. As part of this effort, USAC will conduct a fraud risk assessment of the E-Rate program once the ongoing risk assessment of the High Cost program has been completed. The Commission is collaborating with USAC to ensure that these efforts result in an overall fraud risk strategy that can be applied to all of the Universal Service Fund programs.

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

Sincerely,  
  
Ajit V. Pai

cc: The Honorable Michael Enzi



OFFICE OF THE  
ACTING CHAIRWOMAN

FEDERAL COMMUNICATIONS COMMISSION  
WASHINGTON

April 9, 2021

The Honorable Mike Quigley  
Chairman  
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 October 1, 2020, the Government Accountability Office (GAO) released a report entitled "FCC Should Enhance Performance Goals and Measures for Its Program to Support Broadband Service in High-Cost Areas" (Report). The Report examines the extent to which the Commission's universal service high-cost program's performance goals and measures align with GAO's leading practices.

In the report, GAO makes four recommendations to improve the Commission's performance goals and measures for the high-cost program, including: (1) revising the high-cost performance goals so that they are measurable and quantifiable; (2) ensuring that high-cost performance measures align with performance goals and have specified targets; (3) ensuring that the high-cost performance measure for the Commission's goal of minimizing the universal service contribution burden on consumers and businesses takes into account user fee leading practices, such as equity and sustainability considerations; and (4) publicly and periodically reporting on the progress the Commission has made in meeting high-cost program performance goals. GAO also highlighted three stakeholder-identified challenges in meeting those goals, including: (1) the accuracy of the Commission's broadband deployment data; (2) the availability of broadband in Tribal lands; and (3) maintaining existing fixed voice infrastructure and attaining universal mobile service.

In their September 17, 2020 response to the draft report, the Managing Director and Chief of the Wireline Competition Bureau noted that the Commission has adopted targeted performance goals and measures for specific high-cost support mechanisms. The response acknowledged, however, that the Commission has not revisited the overarching performance goals and measures that were adopted nearly ten years ago and that they may no longer align with GAO's leading practices or how the Commission evaluates performance today. The response committed to recommending that the Commission revisit the overarching performance measures as part of ongoing and future proceedings involving the high-cost program. It also

highlighted some of the Commission's efforts to address the challenges identified by stakeholders.

These issues involving the high-cost support system are important because they provide a foundation for the extension of broadband service across the country. In fact, the need for ubiquitous and affordable high-speed internet service has never been clearer than during the ongoing pandemic. For many people, work, school, health care, and key elements of day-to-day life have moved online. But far too many have struggled without the connectivity they need during the pandemic, including as many as 17 million students who fall into the Homework Gap and have been shut out of the virtual classroom. These issues need to be addressed because we need to find ways to get 100 percent of us connected nationwide.

As part of this effort, at the Commission we have begun the critical work of implementing long-overdue upgrades to improve our broadband mapping data. The best time to start this work would have been several years ago. However, the second-best time to do this is right now. To this end, we are working to improve the data collection efforts at the agency, including the state of deployment in rural communities and on Tribal lands. We are also committed to seeing these efforts through in order to bring the benefits of advanced telecommunications services to all Americans. As part of these efforts, the Commission must ensure that scarce federal resources are being used efficiently and effectively. GAO's recommendations are intended to do just that—and we will keep them in mind as the Commission implements changes to the high-cost program.

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

Sincerely,



Jessica Rosenworcel