

# FCC Transition Materials 2016



**November 2016**

## **FCC TRANSITION MATERIALS**

### **Initial Landing Team**

**November 2016**

Federal Communications Commission (FCC) Strategic Plan, 2015-2018

FCC Strategic Goals

FCC Mission Statement

FCC Organization Charts

- Full Commission
- Office of Administrative Law Judges
- Office of Communications Business Opportunities
- Office of Engineering and Technology
- Office of the General Counsel
- Office of the Inspector General
- Office of Legislative Affairs
- Office of the Managing Director
- Office of Media Relations
- Office of Strategic Planning & Policy Analysis
- Office of Workplace Diversity
- Consumer & Governmental Affairs Bureau
- Enforcement Bureau
- International Bureau
- Media Bureau
- Public Safety and Homeland Security Bureau
- Wireless Telecommunications Bureau
- Wireline Competition Bureau

FCC Headquarters Housing Initiative: Fact Sheet and Map

Status of Headquarters Housing Initiative: New Lease Timeline

Enforcement Bureau Field Modernization: OMD Logistics Report

Items on Circulation List

Schedule of Open Commission Meetings

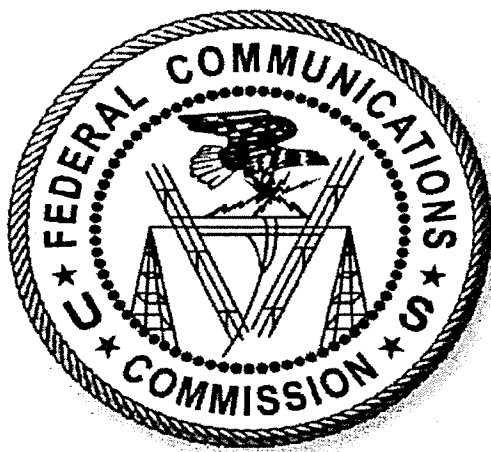
Budget Information: FY2017 Budget Proposal, Historical Budget and FTE Data

Human Resource Information: FCC Workforce Data

FCC Appellate Litigation Matters

# **FEDERAL COMMUNICATIONS COMMISSION**

## **Strategic Plan 2015-2018**



## Message from the Chairman

It is my great pleasure to introduce the Federal Communications Commission's (FCC's) Strategic Plan as revised for fiscal years 2015 to 2018.

In the past, three network-related technological developments -- the printing press, the railroads, and the telegraph -- revolutionized the world's commerce and culture. This millennium has seen the advent of a fourth, and arguably the most transformative, technological development, the marriage of computing and connectivity known as the Internet. High-speed broadband networks have revolutionized our access to the world around us. The virtually limitless sources of information, education, and entertainment these broadband networks carry can erase the disadvantages of geographic isolation and economic and educational disparities. In combination with the broadcast, cable and satellite video services that have for decades and continue today to contribute so much to our society, they will have incalculable influence on the future of America.

All these revolutions have produced fundamental changes in the way people lived their lives. What sets the broadband network revolution apart, however, is how quickly it was deployed and the unabated speed with which it continues to evolve.

It is from the history of these network revolutions -- their struggles, their successes and their lessons -- that we derive four overriding principles that I believe should guide our work at the FCC:

- **Promoting Economic Growth and National Leadership** -- Telecommunications networks are a vital component of technological innovation and economic growth, helping to ensure that our nation remains a leader in providing its citizens opportunities for economic and educational development. Competition drives these networks to develop improved transmission technologies and to offer new services at competitive prices, and consumers can benefit from these fruits of competition. The FCC has a responsibility to promote the expansion of these networks and to ensure they have the incentive and the ability to compete fairly with one another in providing broadband services.
- **Protecting Public Interest Goals** -- A change in technology may require us to review and revise our rules, but it does not change the rights of users or the responsibilities of network providers. This civil bond between network providers and users includes consumer protection, competition, universal service, public safety and national security. The FCC must protect and promote this Network Compact.
- **Making Networks Work for Everyone** -- Because broadband networks are essential to our national wellbeing, it is not enough for the FCC simply to promote their development. We must also ensure that all Americans can take advantage of the services they provide to enjoy 21st century educational systems, health care, communication capabilities for our first responders, and accessibility for Americans with disabilities, and to assure innovation without artificial impediments.
- **Promoting Operational Excellence** -- The FCC should be a model for excellence in government by effectively managing its resources and maintaining a commitment to transparent and responsive processes that encourage public involvement and decisionmaking that best serves the public interest.



The connective technology of broadband networks defines the 21<sup>st</sup> century, and it is the job of the FCC to ensure that these networks help facilitate innovation in the provision of education, health care, and safety of life and property. That is why I believe that the 21<sup>st</sup> century economy begins here. And that is why it is vitally important for us to clearly state our goals and objectives to ensure that we consistently and energetically pursue them.

I look forward to working closely with Congress, other federal, state, and local agencies, as well as other external stakeholders as the FCC implements its strategic plan. I believe the strategies outlined in this plan will allow the FCC to address the challenges we face now and those we will face in the years to come.

A handwritten signature in black ink, appearing to read 'Tom Wheeler', with a large, sweeping flourish at the end.

Tom Wheeler  
Chairman  
Federal Communications Commission

# Table of Contents

Message from the Chairman.....	i
Mission.....	1
Vision Statement.....	1
About the Federal Communications Commission.....	1
Stakeholder Engagement.....	3
Strategic Goals.....	4
Strategic Goal 1: Promoting Economic Growth and National Leadership.....	5
Strategic Goal 2: Protecting Public Interest Goals.....	8
Strategic Goal 3: Making Networks Work for Everyone.....	11
Strategic Goal 4: Promoting Operational Excellence.....	13
Planning and Performance at the FCC.....	16
Program Evaluations.....	16

## Mission

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

## Vision Statement

The FCC's vision is to promote the expansion of competitive telecommunications networks, which are a vital component of technological innovation and economic growth, and to protect and promote the network compact, including consumer protection, competition, universal access, public safety and national security - while ensuring that all Americans can take advantage of the services that networks provide.

## About the Federal Communications Commission

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

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

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

- **The Consumer & Governmental Affairs Bureau** develops and implements consumer policies, including disability access and policies affecting tribal nations. The Bureau serves as the public face of the Commission through outreach and education, as well as responding to consumer inquiries and complaints. The Bureau also maintains collaborative partnerships with state, local, and tribal governments in such critical areas as emergency preparedness and implementation of new technologies.

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<sup>1</sup> 47 U.S.C. § 151.

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

- **The Enforcement Bureau** enforces the Communications Act and the FCC's rules. It protects consumers, ensures efficient use of spectrum, furthers public safety, promotes competition, and protects the integrity of FCC programs and activities from fraud, waste, and abuse.
- **The International Bureau** administers the FCC's international telecommunications and satellite programs and policies, including licensing and regulatory functions. The Bureau promotes pro-competitive policies abroad, coordinating the FCC's global spectrum activities and advocating U.S. interests in international communications and competition. The Bureau works to promote a high-quality, reliable, globally interconnected, and interoperable communications infrastructure.
- **The Media Bureau** recommends, develops, and administers the policy and licensing programs relating to electronic media, including broadcast, cable, and satellite television in the United States and its territories.
- **The Public Safety & Homeland Security Bureau** develops and implements policies and programs to strengthen public safety communications capabilities that assist the public, first responders, the communications industry, and all levels of government in preparing for and responding to emergencies and major disasters.
- **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, and other radio services used by businesses and private citizens. The Bureau also conducts auctions of spectrum licenses.
- **The Wireline Competition Bureau** develops and recommends policies and licensing programs for wireline telecommunications, including telephone landlines, and fixed (as opposed to mobile) broadband, striving to ensure choice, opportunity, and fairness in promoting the development and availability of these services. The Bureau has particular responsibility for the Universal Service Fund, a public-private partnership that 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 Engineering and Technology** advises the FCC on technical and engineering matters. This Office develops and administers FCC decisions regarding spectrum allocations and grants equipment authorizations and experimental licenses.
- **The Office of the General Counsel** serves as the FCC's chief legal advisor.
- **The Office of the Inspector General** conducts and supervises audits and investigations relating to FCC programs and operations.
- **The Office of Legislative Affairs** serves as the liaison between the FCC and Congress, as well as other Federal agencies.

- **The Office of the Managing Director** administers and manages the FCC.
- **The Office of Media Relations** informs the media of FCC decisions and serves as the FCC's main point of contact with the media.
- **The Office of Strategic Planning and Policy Analysis** works with the Chairman, Commissioners, Bureaus, and Offices in strategic planning and policy development for the agency. It also provides research, advice, and analysis of complex, novel, and non-traditional economic and technological communications issues.
- **The Office of Workplace Diversity** ensures that the FCC provides employment opportunities for all persons regardless of race, color, sex, national origin, religion, age, disability, or sexual preference.

## **Stakeholder Engagement**

As an independent rulemaking agency, the FCC regularly solicits comments on issues and conducts workshops, forums, and meetings with outside parties. The FCC receives thousands of comments from the public each year on its proceedings, and the FCC welcomes public feedback and input on its strategic goals as well.

## **Strategic Goals**

The FCC is responsible to Congress and the American people for ensuring an orderly policy framework within which communications products and services can be efficiently and effectively provided to consumers and businesses. Equally important, the FCC must also address the communications needs of public safety, health, and emergency operations; ensure the universal availability of broadband and telecommunications services; make communications services accessible to all people; and protect and empower consumers in the communications marketplace. The FCC, in accordance with its statutory authority and in support of its mission, has established four strategic goals. They are:

### **Strategic Goal 1: Promoting Economic Growth and National Leadership**

*Promote the expansion of competitive telecommunications networks, which are a vital component of technological innovation and economic growth and help to ensure that the U.S. remains a leader in providing its citizens opportunities for economic and educational development.*

### **Strategic Goal 2: Protecting Public Interest Goals**

*The rights of network users and the responsibilities of network providers form a bond that includes consumer protection, competition, universal service, public safety and national security. The FCC must protect and promote this Network Compact.*

### **Strategic Goal 3: Making Networks Work for Everyone**

*In addition to promoting the development of competitive networks, the FCC must also ensure that all Americans can take advantage of the services they provide without artificial impediments.*

### **Strategic Goal 4: Promoting Operational Excellence**

*Make the FCC a model for excellence in government by effectively managing the FCC's resources and maintaining a commitment to transparent and responsive processes that encourage public involvement and best serve the public interest.*

## **Strategic Goal 1: Promoting Economic Growth and National Leadership**

*Vision: Promote the expansion of competitive telecommunications networks which are a vital component of technological innovation and economic growth, helping to ensure that the U.S. remains a leader in providing its citizens opportunities for economic and educational development.*

**Strategic Objective 1.1: Develop and implement flexible, market-oriented spectrum allocation and assignment policies, such as incentive auctions and unlicensed uses, which promote innovation, investment, jobs and consumer benefits.**

Performance Goal 1.1.1: Pursue spectrum allocation and license assignment policies to achieve the effective and efficient use of spectrum, including the implementation of incentive auctions.

Performance Goal 1.1.2: Ensure that all activities related to an incentive auction of broadcast television spectrum that repurposes a large swath of spectrum to more flexible uses, including mobile broadband, are managed effectively.

Performance Goal 1.1.3: Conduct effective and timely spectrum licensing and equipment authorization activities.

The FCC's allocation and assignment of spectrum must continue to evolve towards more flexible, market-oriented approaches to increase the opportunity for technologically innovative and efficient spectrum use and to ensure adequate spectrum is available for broadband and other purposes. Rulemaking proceedings will be conducted to allow more flexible ways to allocate and assign spectrum. The FCC will also evaluate and refine, where necessary, its spectrum assignment policies and procedures, including but not limited to its auction processes.

By rulemaking and other proceedings, as appropriate, the FCC will delineate the rights and responsibilities of spectrum users so that the potential for harmful interference can be minimized and opportunities for new spectrum uses, including both licensed and unlicensed uses, can be explored. The FCC will work closely with the National Telecommunications and Information Administration (NTIA), as well as regulators in Mexico, Canada, and other countries, to identify and resolve instances of harmful interference on an international basis and to avoid harmful interference in the future.

**Strategic Objective 1.2: Ensure effective policies are in place to promote and protect competition and remove barriers to investment.**

Performance Goal 1.2.1: Evaluate and report on the competitive environment for communications services, and act in instances where the data show that competition is threatened.

Performance Goal 1.2.2: Ensure expeditious and thorough review of proposed transactions to ensure they promote competition and serve the public interest.

The FCC will implement rules and policies that promote open and competitive entry by communications service providers to ensure that U.S. consumers benefit from competition. Our competition policy will take the "see-saw" approach: when competition is high, regulation can be low; when competition is low,

we will be willing to act in the public interest. In conformance with existing laws and policies, we will identify and eliminate market entry barriers for small entities. The FCC will seek to establish a consistent and transparent regulatory framework across all communications platforms to encourage competition. The FCC will continue to engage consumers through its outreach and education initiatives to facilitate informed choice in the competitive communications marketplace

The FCC will continue to expeditiously and thoroughly review applications for the transfer of control and assignment of licenses and authorizations that are included in proposed transactions and mergers between entities in the media and communications industries. The FCC's goal is a faster and more consistent review and analysis of applications while ensuring that the public interest would be served by approving the transaction. The FCC will ensure that its procedures and analysis of transactions are transparent and consistent across its various bureaus and offices.

***Strategic Objective 1.3: Promote interconnection of networks and terminal equipment on technically sound and economically efficient bases.***

***Performance Goal 1.3.1:*** Employ strategies to encourage investment in networks and services by existing providers, while encouraging participation in broadband markets by new and non-traditional participants.

Our communications are rapidly transitioning to IP networks. We are witnessing the move from the circuit-switched networks of Alexander Graham Bell to the new broadband networks of the Internet: fiber, wireless, and bonded copper and coaxial cable. These transitions serve the public interest because IP networks are more efficient, providing consumers with better products, lower prices, and massive benefits.

***Strategies:***

- The FCC is using incentive auctions to help meet the nation's spectrum needs. Incentive auctions are a voluntary, market-based means of repurposing spectrum by encouraging licensees to voluntarily relinquish spectrum usage rights in exchange for a share of the proceeds from an auction of new licenses to use the repurposed spectrum. Congress authorized the FCC to conduct incentive auctions and directed that the FCC use this innovative tool for an incentive auction of broadcast television spectrum. The broadcast spectrum (600 MHz) incentive auction is planned for 2016.
- The FCC will employ rigorous and effective technical and economic analysis in developing policies that enhance research and development and spectrum access, management and use.
- The FCC will implement ongoing initiatives that will assist in spectrum policy planning and decision making, promote a robust secondary market in spectrum, and improve communications services in all areas of the United States, including rural, underserved and Tribal areas.
- The FCC will continue to collect and evaluate information on competition in the communications markets.
- FCC staff will continually review the FCC's rules to determine what rules need to be implemented, revised, or eliminated to achieve competition objectives effectively and efficiently.



***External Factors Affecting Achievement of This Goal:***

- New technologies are challenging existing regulatory structures domestically and internationally, while enabling consumers to have access to more services than ever before. Mobility and personalization are major trends in communications technology today. Both are dependent on growth and innovation in wireless service, as well as ease of interconnection with traditional networks. Although technological advances are making it possible to share spectrum more intensively, explosive growth in new technologies, particularly handheld and wireless devices, has increased demand for new spectrum.
- Increasing demand for spectrum requires new and innovative management techniques to allocate, assign, and use spectrum more efficiently and effectively. Methods for avoiding and mitigating harmful interference, and increasing opportunities for flexible use, require continued study.
- The FCC must conduct effective policy and technical analyses, have access to current and relevant data in developing competition policies and rules, and take enforcement action where necessary. The FCC must consult with industry and maintain ongoing relationships with regulators across the country and throughout the world. The FCC must provide expert guidance to other U.S. government agencies regarding communications policy and technology.
- Legislation could impact the FCC's spectrum management policies. Differences among international and domestic spectrum allocation policies may lead to disparity and inconsistency among U.S. and foreign licensing processes. Decisions in pending court cases may also affect FCC action in this area.

## Strategic Goal 2: Protecting Public Interest Goals

*Vision: The rights of network users and the responsibilities of network providers form a bond that includes consumer protection, competition, universal service, public safety and national security. The FCC must protect and promote this Network Compact.*

**Strategic Objective 2.1: Protect and promote Internet openness for consumers, edge providers and all stakeholders.**

Performance Goal 2.1.1: Maintain a broadly available, fast and robust Internet that serves as a platform for economic growth, investment, innovation, free expression, and competition.

The Internet is America's most important platform for economic growth, innovation, competition, free expression, and broadband investment and deployment. The Internet has been, and remains to date, the preeminent 21st century engine for innovation and the economic and social benefits that follow. These benefits flow, in large part, from the open, end-to-end architecture of the Internet, which is characterized by low barriers to entry for developers of new content, applications, services, and devices, and a marketplace driven by consumer demand for their products. The Commission will craft rules to protect and promote an open Internet as a level playing field for all Americans.

**Strategic Objective 2.2: Facilitate the transition from circuit-switched networks to Internet Protocol (IP)-based networks in a way that preserves public interest goals.**

Performance Goal 2.2.1: Consider rule changes that promote investment in next generation networks in a manner that sustains competition, consumer protection, universal access, public safety and national security.

The "IP transition" is a multi-faceted revolution that advances as packets of IP-based communication replace the digital stream of bits and analog frequency waves. The impacts on networks have already begun and will be profound. Fiber networks are expanding. Bonding technology is showing interesting possibilities with regard to the nation's traditional copper infrastructure. IP-based wireless data services are increasingly prevalent with IP voice not far behind. Experiments will be conducted to assess the impact of the IP transition, and the FCC will collect data that will supplement the lessons learned from the experiments. The Commission will consider legal, policy, and technical issues to develop a game plan for efficiently managing the various adjudications and rulemakings that, together, will constitute the IP transition agenda.

**Strategic Objective 2.3: Protect the public interest through the promotion of competitive markets, and take action where competition is not sufficient to protect the public interest, including ensuring that consumers remain informed, protected and empowered while harnessing the benefits of networks.**

Performance Goal 2.3.1: Promote competitive choices for wireless, satellite, and wireline voice and data service providers, for domestic and international services and for multichannel video programming.

The FCC will seek to establish a consistent and transparent regulatory framework across all communications platforms to encourage competition, and will improve the data it collects to ensure it can

effectively evaluate the effect of its competition policies. The FCC will continue to engage consumers through its outreach and education initiatives to facilitate informed choice in the competitive communications marketplace

***Strategic Objective 2.4: Promote competition, localism, and diversity within the media marketplace.***

*Performance Goal 2.4.1:* Buttress diversity initiatives and improve existing data collection to better inform regulatory actions.

The FCC will continue to examine its current rules and make changes as required to accommodate the policy goals of competition, diversity, and localism within the evolving media landscape. Media plays a powerful role in the democratic process, as well as in shaping perceptions about who we are as individuals and as a nation. In order for broadcasters to best serve the public interest, we must preserve an avenue through which diverse voices can be heard and the interests of local communities can be served.

***Strategic Objective 2.5: Administer broadcast licensing policies that facilitate a vibrant local media marketplace.***

*Performance Goal 2.5.1:* Review transactions proposing to transfer the control of Commission broadcast licenses to protect public interest goals.

*Performance Goal 2.5.2:* Follow through on post-incentive auction repacking and reimbursement efforts for remaining broadcasters.

Increased competition, changing ownership patterns, converging markets and industries, and deployment of new technologies have challenged both the legal and economic foundations of the FCC's media regulation. The needs of the American citizenry are served when all consumers have access to a variety of sources for news, public service, and other media programming.

***Strategic Objective 2.6: Work with industry and government partners to enhance the cybersecurity of our nation's critical communications infrastructure.***

*Performance Goal 2.6.1:* Work with private sector stakeholders to create a new regulatory paradigm of business-driven cybersecurity risk management.

Communications providers also face threats to critical Internet infrastructures. The FCC will determine what safeguards may be needed to protect our nation's commercial communications infrastructure from cyberattack, and we will work with all levels of government and with industry to develop and implement solutions that promote confidence in the safety and reliability of IP-based communications.

***Strategic Objective 2.7: Promote access to effective public safety communications services across a range of platforms by public safety, health, defense, and other emergency personnel, as well as all consumers in need.***

*Performance Goal 2.7.1:* Enhance communications and media network reliability, including emergency preparedness and disaster management practices.

Performance Goal 2.7.2: Promote the deployment of nationwide, reliable, interoperable broadband public safety capabilities.

Performance Goal 2.7.3: Implement and enforce rules to ensure the nationwide availability of reliable and effective 911, E911, and NG911 service.

Performance Goal 2.7.4: During crises, work closely with our federal partners such as FEMA and the National Communications System to provide situational awareness data from the Disaster Information Reporting System (DIRS) or data derived from the operation of Project Roll Call equipment.

The FCC is committed to ensuring the public's safety through the reliability of our nation's communications networks at all times, and especially during natural and manmade disasters. The FCC's leadership in the protection of the Nation's critical communications infrastructure includes working with public safety stakeholders to maximize the availability, interoperability, and reliability of communications. For example, the FCC has adopted rules to improve 911 communications networks nationwide by requiring 911 service providers to take reasonable measures to provide reliable and resilient 911 service.

***Strategies:***

- Appropriate FCC personnel will utilize technical knowledge of public safety, homeland security, and disaster management issues, including the impact of new or evolving technologies and of existing and proposed best practices for communications providers.
- Working in partnership with other federal agencies as well as state, local, and tribal governments, the FCC will facilitate discussions and share information among key constituencies to identify and establish best practices and coordinate efforts to protect America's safety and security.
- The FCC will take appropriate enforcement action to ensure compliance with the pro-competition provisions of the Communications Act and the FCC's rules.

***External Factors Affecting Achievement of This Goal:***

- Economic cycles may make it difficult for communications infrastructure providers to commit large sums of money to the wholesale improvement of network protection and redundancy in a challenging economy, and for state and local governments to fund next generation 911 services and public safety broadband capability.
- The FCC must continually update its understanding of national and international threats to communications technologies. The FCC must therefore maintain an experienced, educated, and knowledgeable technical and legal staff that stays abreast of technological and policy developments. The FCC must maintain ongoing, highly integrated relationships with the communications industries, other federal regulators, and state, tribal, and local regulators who are heavily involved in public safety matters.

## **Strategic Goal 3: Making Networks Work for Everyone**

*Vision:* In addition to promoting the development of competitive networks, the FCC must also ensure that all Americans can take advantage of the services they provide without artificial impediments.

**Strategic Objective 3.1: Maximize availability of broadband to all - including low income Americans, those in rural areas and tribal lands, and individuals with disabilities.**

Performance Goal 3.1.1: Work in partnership with state, local, and tribal governments, and consumer and industry groups, to promote broadband availability to all Americans, including consumers in rural and high cost areas and people with disabilities.

In today's information economy, economic growth is built on the availability of high-speed Internet services provided by broadband telecommunications networks. Broadband access has gone from being a luxury to a necessity for full participation in our economy and society. Broadband empowers people by providing access to information and applications, and increasingly affordable means to communicate within communities and around the world. The FCC must maximize the availability of broadband services, whether wired or wireless, and ensure that our rules allow broadband service providers to compete in the provision of these services regardless of whether they are offered on fixed or mobile platforms, or on a licensed or unlicensed basis.

**Strategic Objective 3.2: Ensure that universal service programs keep up with changing technologies and are well managed, efficient and fiscally responsible.**

Performance Goal 3.2.1: Continue reform and modernization of the universal service programs to reflect technological developments and changes in the market.

The FCC's Universal Service Fund (USF) programs, established in 1997, predated the development of broadband and historically have been used primarily to subsidize traditional telephone service provided over non-broadband networks. Moreover, because the cost of subsidizing telephone service has grown significantly over the years, voice consumers are increasingly bearing the burden of the USF which is increasingly being used to subsidize broadband connectivity. For these reasons, the FCC is implementing comprehensive USF reforms in order to ensure the USF programs are operating efficiently, and that they help accelerate broadband build-out to American consumers and schools, libraries and health care providers who currently have no access to robust broadband infrastructure.

**Strategic Objective 3.3: Ensure that all schools and libraries have affordable access to modern broadband technologies through a well-managed, efficient and fiscally responsible E-rate program.**

Performance Goal 3.3.1: Modernize the E-rate program to effectively meet the needs of 21<sup>st</sup> century schools and libraries.

E-Rate has been a very successful program for almost twenty years, connecting nearly all schools to the Internet. However, the nature of connectivity in schools and libraries has changed dramatically in recent years. What was once provided through a dial-up modem now demands high-speed broadband and in-class WiFi. Only about half of the E-rate's funds today go for broadband connectivity, and far less than half of E-rate funds are used for the kind of 100 mbps and higher speeds necessary for today's learning

environment. The FCC is undertaking a rulemaking to address and correct this reality, with a focus on three proposed program goals: (1) ensuring that schools and libraries have affordable access to modern broadband technologies that support today's digital learning tools and techniques; (2) ensuring E-Rate funds are distributed more equitably and cost-effectively; and (3) streamlining the administration of the E-rate program.

***Strategic Objective 3.4: Ensure that the benefits of networks are harnessed to address the challenges of Americans with disabilities.***

***Performance Goal 3.4.1:*** Engage persons with disabilities through outreach and education initiatives to facilitate informed choice in the telecommunications and media marketplace.

Among the FCC's most important public interest responsibilities is ensuring that the benefits of telecommunications services are available to all consumers. The FCC has a particular obligation to ensure that consumers with disabilities are not foreclosed from using communications services. As communications networks and technologies become increasingly complex and essential to Americans' everyday lives, the FCC must be a vigilant watchdog. The FCC will ensure that its proceedings recognize consumer interests, and that consumer protection and empowerment policies apply consistently and reasonably to all consumers, including the disability community, and across all technologies and bureaus at the FCC.

***Strategies:***

- The Commission will employ rigorous and effective policy analysis as well as sound data-driven decision making in addressing policies regarding broadband deployment and adoption.
- The Commission will establish improved oversight and internal controls for its universal service programs to improve management of those programs and reduce waste, fraud, and abuse.
- The FCC will create and establish innovative, targeted outreach programs to overcome barriers to broadband adoption.

***External Factors Affecting Achievement of This Goal:***

- Despite significant recent developments, broadband infrastructure is not yet universally deployed. As broadband infrastructure continues to develop, cost effective solutions must be sought to deploy high speed broadband to all Americans regardless of where they reside.
- Cost and availability are not the only barriers to broadband adoption. Other barriers include a lack of digital literacy among certain groups, apprehension concerning the Internet, and a belief by some non-adopters that the Internet is not relevant in their lives. The FCC must take a holistic approach to reducing these barriers in order to expand broadband adoption among Americans.

## **Strategic Goal 4: Promoting Operational Excellence**

***Vision:** Make the FCC a model for excellence in government by effectively managing the FCC's resources and maintaining a commitment to transparent and responsive processes that encourage public involvement and best serve the public interest.*

**Strategic Objective 4.1: Effectively manage the FCC's information technology, financial, and human resources to best achieve the FCC's mission.**

Performance Goal 4.1.1: Improve Commission systems to make information readily available to agency management for decision making.

Performance Goal 4.1.2: Upgrade and enhance technology and tools used by Commission staff to carry out the agency's mission.

Performance Goal 4.1.3: Conduct a program of continuous review and evaluation to assure that all financial operations are helping control or contain costs, providing high quality customer service, and improving the effectiveness and efficiency of Commission operations.

Performance Goal 4.1.4: Develop targeted skills and competencies for FCC employees through appropriate career development aligned with the Commission's strategic goals.

Information technologies change rapidly in today's world. This requires organizations to put processes in place that provide for timely introduction, upgrade, or replacement of technologies. The FCC will continue to implement and revise its long-term vision for the strategic use of technology, while appropriately balancing the flexible introduction of performance-enhancing technologies with transparent and accountable management of all resources. The FCC will also seek to leverage newer technologies, such as cloud computing, to enhance our services to stakeholders. This will be balanced with continued adherence to a high level of information security standards.

With greater demands for transparency and accountability of expenditures of taxpayer dollars, sound financial stewardship is more important than ever. For nine consecutive years the FCC has obtained an unqualified or "clean" audit opinion on its financial statements, and we will continue the practices that made this possible. The FCC will routinely assess our financial internal controls and those of our reporting components, and develop and implement corrective action plans. We will also continue to make progress in eliminating and recovering improper payments.

Carrying out the mission of the FCC requires a highly trained, expert staff capable of assessing and understanding technological and industry trends and enforcing technical requirements. The FCC needs to make substantial investment in human capital to maintain an experienced, educated, and knowledgeable technical, legal, and economic staff that is able to keep pace with technological developments and trends, and promote the effective implementation of new initiatives and policies.

**Strategic Objective 4.2: Improve the efficiency and effectiveness of FCC operations in serving the American public.**

Performance Goal 4.2.1: Implement process reform recommendations from internal and external stakeholders.

Americans should have an expectation that their government will take timely action, and the FCC is focused on that objective. Information and communications technology is fast-moving and constantly evolving, and we strive to be as nimble as the innovators and businesses we oversee. Even in the midst of tight budgets, infrastructure and process challenges, the FCC is reinventing itself to keep pace with the vibrant sector it regulates.

***Strategic Objective 4.3: Continuously review the FCC's regulatory processes and significant regulations to achieve statutory objectives, while reducing burdens on industry and promoting innovation and job growth.***

*Performance Goal 4.3.1:* Eliminate or streamline outdated regulations within the FCC's program areas.

*Performance Goal 4.3.2:* For each program objective, provide timely and accurate legal advice and representation regarding proposed and existing policies and rules within the FCC's purview, and ensure that the Commission adheres to all legal requirements in its operations.

The FCC is committed to being a responsive, efficient and effective agency that harnesses and promotes technological and economic opportunities. Our extensive efforts to eliminate outdated regulations are rooted in our commitment to ensure that FCC rules and policies promote a healthy climate for private investment and job creation. This includes our commitment to act in accordance with President Obama's Executive Order on Regulation and Independent Agencies, which is consistent with the values and philosophy we apply at the FCC. Each bureau at the FCC conducts regular reviews of rules within their areas with the goal of eliminating or revising rules that are outdated or place needless burdens on businesses. The FCC will continue on this regulatory reform track, thoughtfully and diligently conducting reviews of existing rules and taking other important steps to meet our statutory obligations and mission in a way that fosters economic growth and benefits all Americans.

***Strategies:***

- The FCC will seek to remove burdens on industry and promote innovation and job growth through an ongoing process of identifying and eliminating or amending outmoded or counterproductive rules.
- The FCC will identify ways to leverage and integrate technology in order to eliminate unnecessary redundancy, promote efficiency and effectiveness, and improve stakeholder satisfaction.
- The FCC will maintain a robust internal controls program that is risk-based, identifies and remediates critical vulnerabilities, and significantly reduces the potential for waste, fraud and abuse. This includes not only all FCC programs, but components of the FCC such as the Universal Service Fund, the Telecommunications Relay Service Fund, and the North American Numbering Plan.
- The FCC will continue to recruit and retain talented professionals, and will continue a robust training program to maintain proficiency among its professional staff.



***External Factors Affecting Achievement of Management Objectives:***

- Funding for the FCC to carry out its mission is always a significant determinant in meeting our strategic goals and objectives as expressed in this plan. The FCC relies on its annual appropriations and its authorization from Congress to implement its initiatives for the American people, overhaul its data systems and processes, and modernize and reform the FCC with 21<sup>st</sup> century communications tools and expertise.
- The FCC has many opportunities to improve stakeholder and employee satisfaction and affect mission accomplishment through the introduction of new or enhanced systems and processes. Ensuring that the FCC has access to the human resources necessary to properly plan, implement, and evaluate the use of these technologies is a complementary factor affecting the achievement of the FCC's organizational excellence goal. Recruiting, hiring, redeploying, training, motivating, and retaining such a staff is a challenge.

## **Planning and Performance at the FCC**

The FCC Strategic Plan is the pinnacle of the FCC's planning and performance process. It provides the framework around which the FCC determines its annual performance plan and budget requests. This performance budget, submitted to Congress, includes performance targets that stem from the FCC's strategic goals and objectives, and serves as the guide for implementing the Strategic Plan. After each fiscal year, an annual performance report is produced that compares the agency's actual performance to its targets. In addition, the FCC annually publishes a Summary of Performance and Financial Information to provide a citizen-focused summary of the FCC's progress in meeting its key challenges. Copies of these documents may be viewed at <http://www.fcc.gov/encyclopedia/fcc-strategic-plan>.

## **Program Evaluations**

The FCC uses a variety of methods to evaluate its programs including audits from the FCC's Office of Inspector General (OIG) and reports from the General Accountability Office (GAO). The OIG, an independent oversight organization within the FCC, conducts audits, investigations, and reviews relating to the FCC's programs and operations. Information on the OIG's work can be found at (<http://www.fcc.gov/office-inspector-general>). The GAO, an independent organization established by Congress, conducts evaluations and analyses and makes recommendations to improve practices of the programs it reviews. GAO reports concerning the FCC's activities can be found at (<http://www.gao.gov/>).

## **Strategic Goals**

The FCC is responsible to Congress and the American people for ensuring an orderly policy framework within which communications products and services can be efficiently and effectively provided to consumers and businesses. Equally important, the FCC must also address the communications needs of public safety, health, and emergency operations; ensure the universal availability of broadband and telecommunications services; make communications services accessible to all people; and protect and empower consumers in the communications marketplace. The FCC, in accordance with its statutory authority and in support of its mission, has established four strategic goals. They are:

### **Strategic Goal 1: Promoting Economic Growth and National Leadership**

*Promote the expansion of competitive telecommunications networks, which are a vital component of technological innovation and economic growth and help to ensure that the U.S. remains a leader in providing its citizens opportunities for economic and educational development.*

### **Strategic Goal 2: Protecting Public Interest Goals**

*The rights of network users and the responsibilities of network providers form a bond that includes consumer protection, competition, universal service, public safety and national security. The FCC must protect and promote this Network Compact.*

### **Strategic Goal 3: Making Networks Work for Everyone**

*In addition to promoting the development of competitive networks, the FCC must also ensure that all Americans can take advantage of the services they provide without artificial impediments.*

### **Strategic Goal 4: Promoting Operational Excellence**

*Make the FCC a model for excellence in government by effectively managing the FCC's resources and maintaining a commitment to transparent and responsive processes that encourage public involvement and best serve the public interest.*

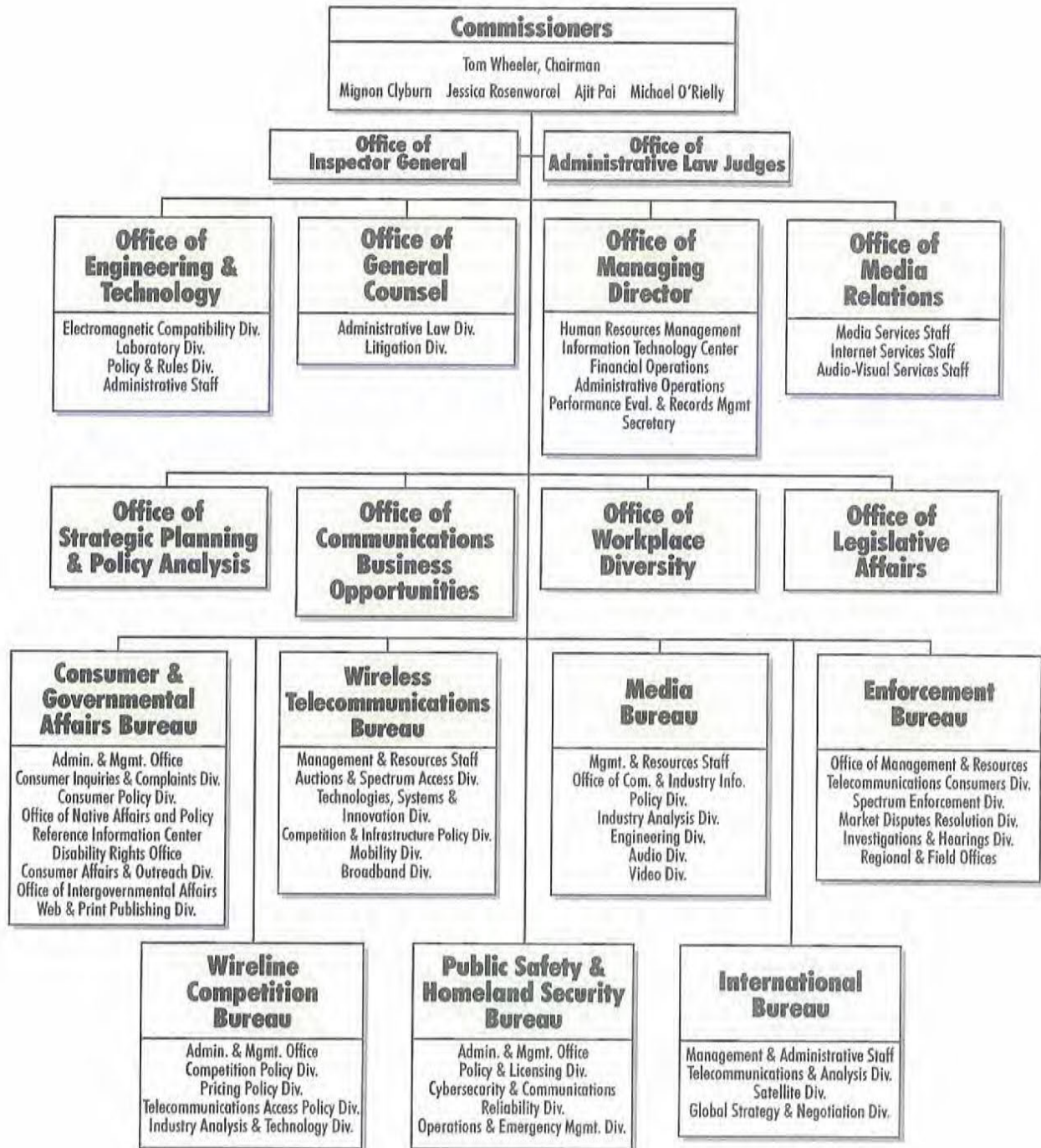
## Mission

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

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<sup>1</sup> 47 U.S.C. § 151.

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



OFFICE OF ADMINISTRATIVE LAW JUDGES

RICHARD L. SIPPEL, Chief Administrative Law Judge  
MONIQUE GRAY, Administrative Management Specialist  
AUSTIN RANDAZZO, Attorney Advisor



Lisa Fowlkes  
Acting Director

Carolyn Williams  
Senior Deputy Director

Calvin Osborne  
Associate Director

Belford Lawson III  
Senior Attorney Advisor

Christian Fascunari  
Web Content Mgr.  
and Outreach Spec.

Perlesta Hollingsworth  
Attorney Advisor  
(Detail)

Maura McGowan  
Telecomm.  
Policy Analyst

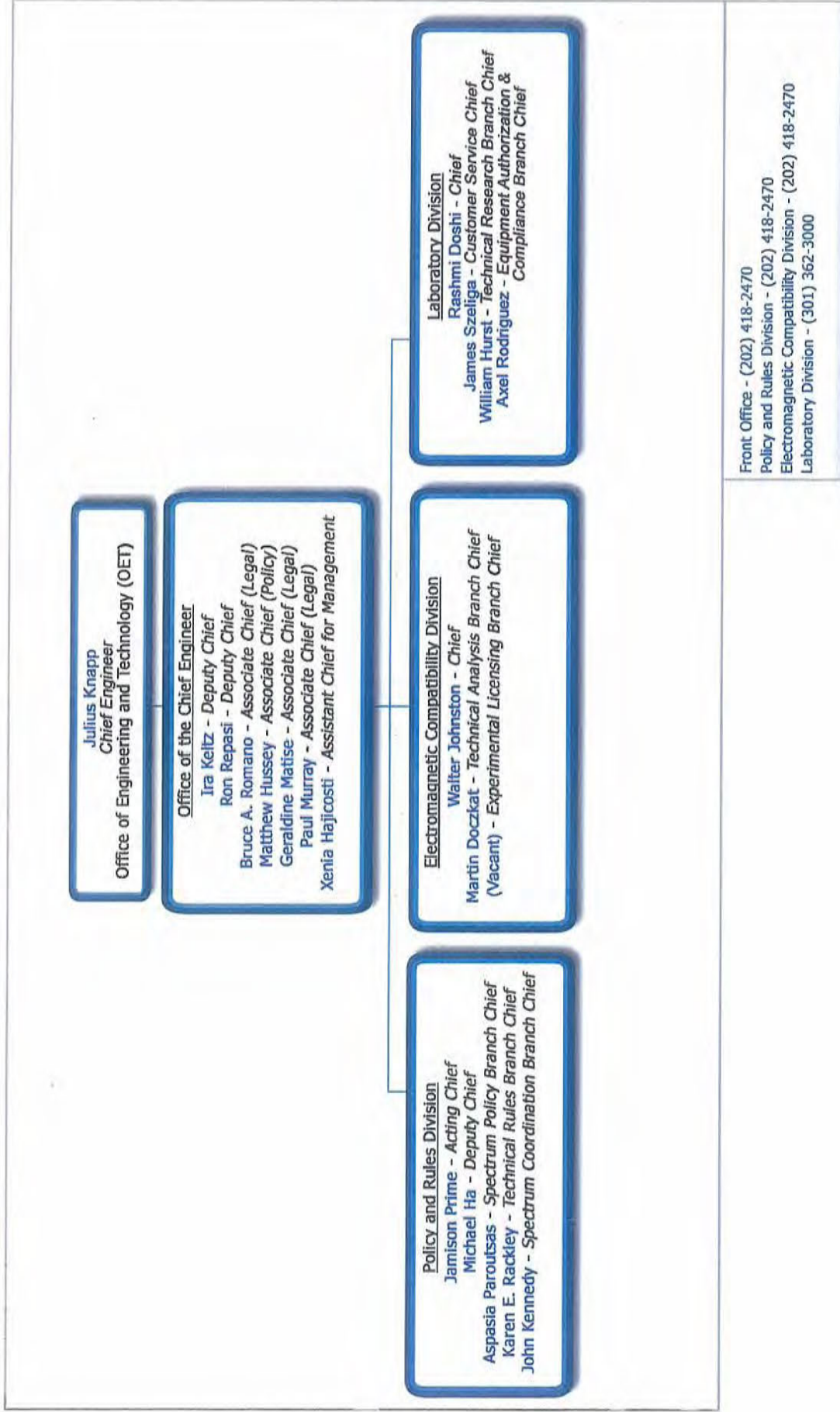
Sharon Stewart  
Outreach Specialist  
(Women)

Corrin Barksdale  
Administrative  
Assistant

John Finnie  
Staff Assistant

[STAFF BIOS](#)

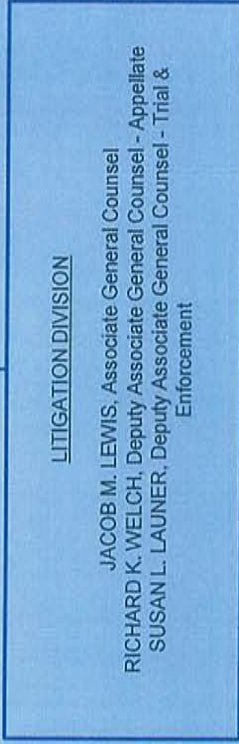
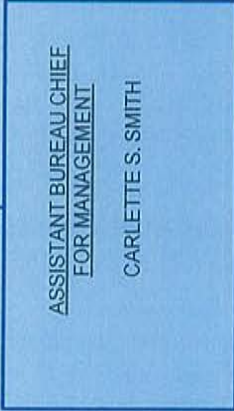
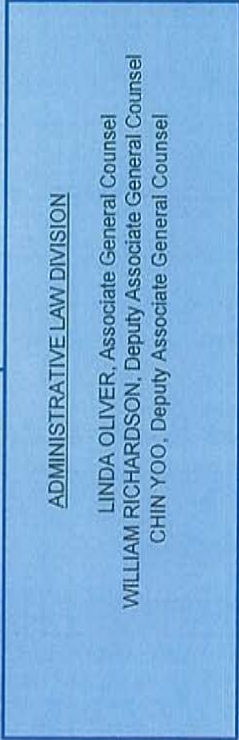
# Office of Engineering and Technology (OET) - Organization Chart



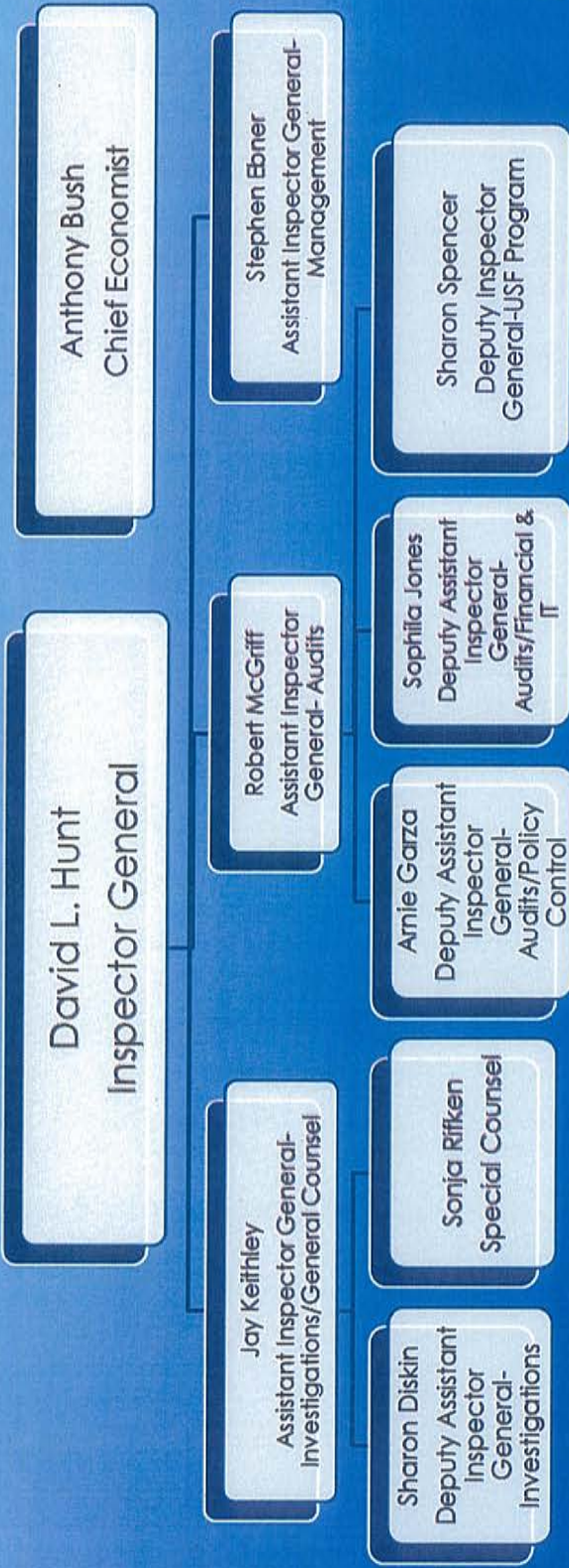


# Office of General Counsel

## Organizational Chart





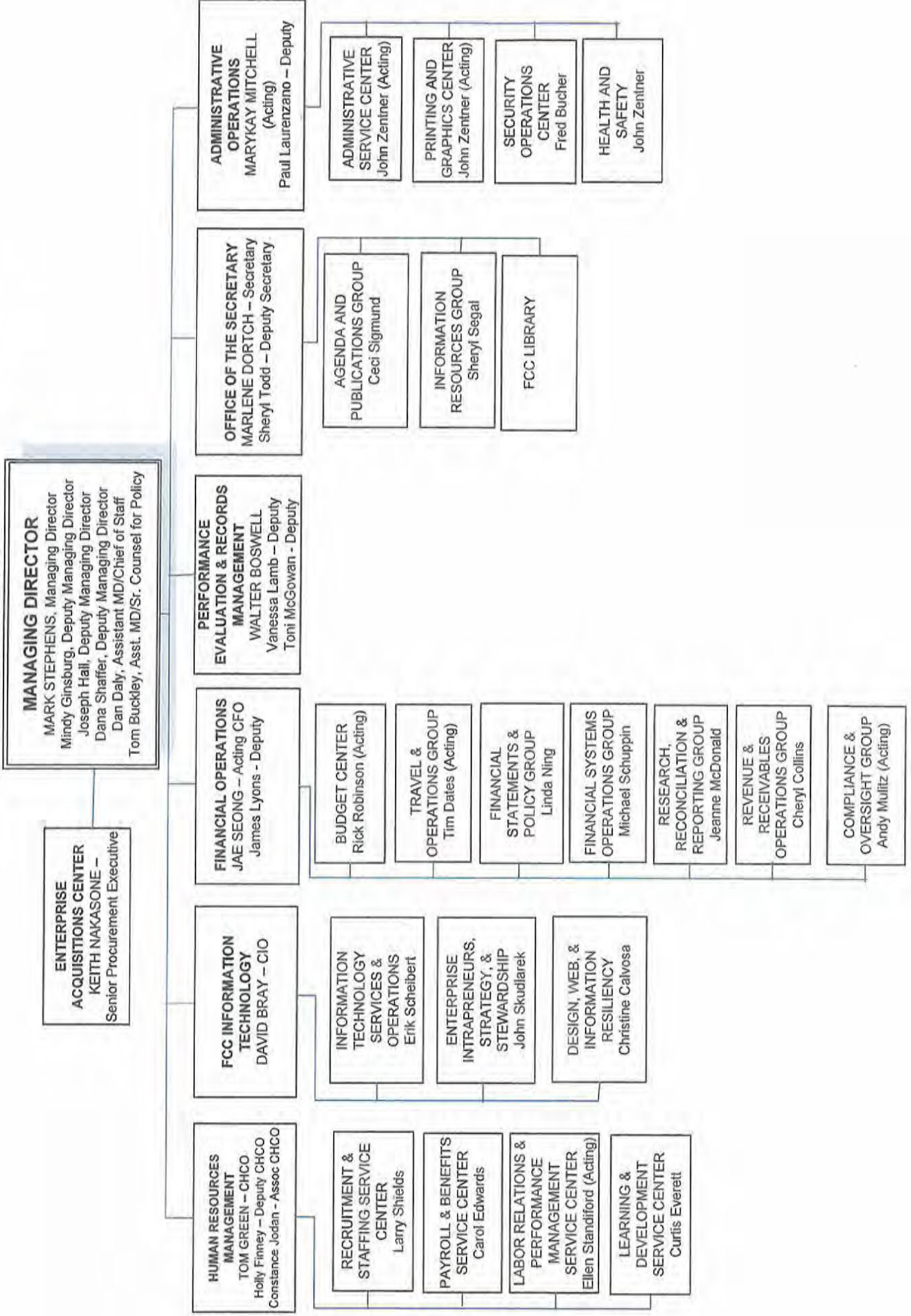


# OFFICE OF LEGISLATIVE AFFAIRS

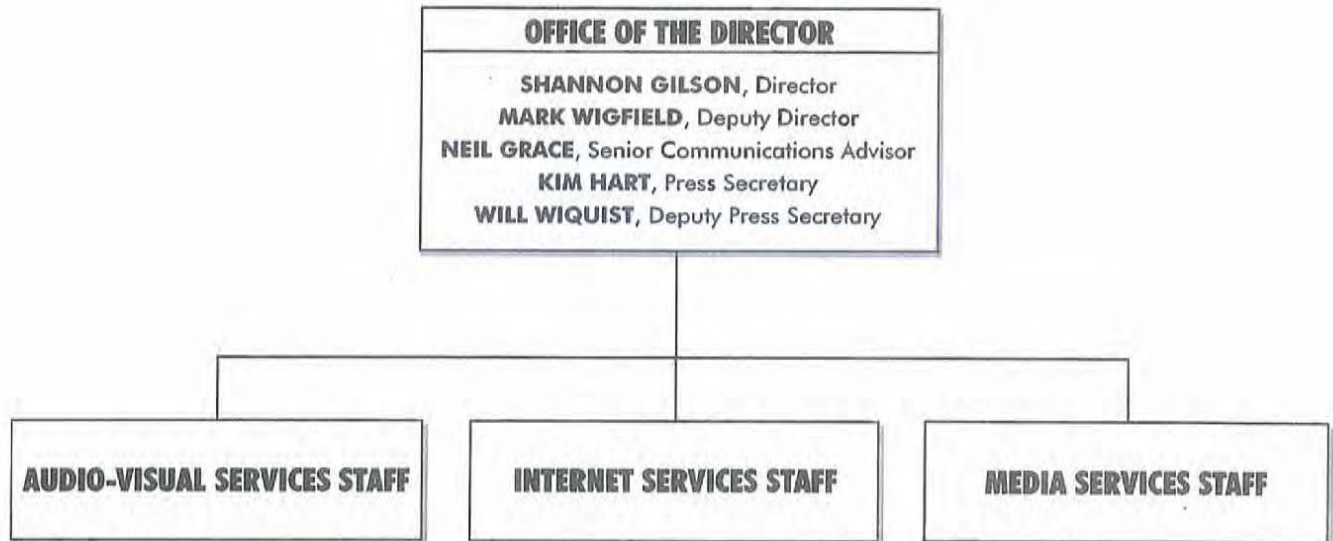
MIKE DABBS, Director  
SEAN CONWAY, Deputy Director

# Office of Managing Director

October 2016



# Office of Media Relations





OFFICE OF STRATEGIC PLANNING AND  
POLICY ANALYSIS

PAUL DE SA, Chief  
JAY SWARTZ, Acting Deputy Chief

# OFFICE OF WORKPLACE DIVERSITY

LARRY HUDSON, Acting Director  
RAMONA MANN, Acting Deputy Director

# Consumer & Governmental Affairs Bureau

**OFFICE OF THE BUREAU CHIEF**  
 Alison Kutler, Bureau Chief  
 Michael Carowitz, Deputy Bureau Chief  
 Mark Stone, Deputy Bureau Chief  
 Karen Feltz Strauss, Deputy Bureau Chief  
 Chad Breckinridge, Chief of Staff/Acting Deputy Chief  
 D'wana Terry, Acting Deputy Bureau Chief  
 Micah Caldwell, Attorney Advisor  
 Julissa Marceno, Senior Advisor/Chief External Affairs Officer  
 Tamika Jackson, Assistant Bureau Chief for Management  
 Anita Dey, Assistant Bureau Chief  
 James Brown, Consumer Data Advisor  
 Michael Snyder, Director of Media Relations  
 Robert Aldrich, Front Office Legal Advisor  
 Kimberly Wild, Front Office Legal Advisor  
 Lauren Wilson, Front Office Legal Advisor  
 Dana Davis-Howell, Staff Assistant  
 Karl Simmonds, Staff Assistant

**OFFICE OF NATIVE AFFAIRS & POLICY**

**ADMINISTRATIVE & MANAGEMENT OFFICE**

**CONSUMER AFFAIRS & OUTREACH DIVISION**  
 Lyle Ishida, Chief  
 Sherry Dawson, Deputy Chief

**DISABILITY RIGHTS DIVISION**  
 Suzanne Singleton, Chief  
 Susan Kimmel, Deputy Chief  
 Eliot Greenwald, Deputy Chief

**OFFICE OF INTERGOVERNMENTAL AFFAIRS**  
 Elizabeth Minnow, Chief  
 Emmitt Carlton, Deputy Chief

**WEB & PRINT PUBLISHING DIVISION**  
 Howard Parnell, Chief  
 Michael Snyder, Deputy Chief

**CONSUMER POLICY DIVISION & INFORMATION ACCESS & PRIVACY OFFICE**  
 Kurt Schroeder, Chief  
 Nancy Stevenson, Deputy Chief  
 John Adams, Deputy Chief

**CONSUMER INQUIRIES AND COMPLAINTS DIVISION (WASHINGTON CONSUMER CENTER & GETTYSBURG CONSUMER CENTER)**  
 Vacant, Chief

**REFERENCE INFORMATION CENTER**  
 Melissa Asikew, Chief



# ENFORCEMENT BUREAU

As of November 1, 2016

## OFFICE OF THE BUREAU CHIEF

Travis LeBlanc, Bureau Chief  
William Davenport, Deputy Bureau Chief  
Lisa Gelb, Deputy Bureau Chief  
Phillip Rosario, Deputy Bureau Chief  
PRIVACY/CONSUMER PROTECTION  
Jennifer Epperson, Assistant Bureau Chief  
Michael Janson, Assistant Bureau Chief  
UNIVERSAL SERVICE  
Geoffrey Starks, Assistant Bureau Chief  
NETWORK INTEGRITY  
Jeremy Marcus, Assistant Bureau Chief  
COUNSEL  
Andrew Kline, Special Counsel  
Jon Minkoff, Chief Data Officer  
David Strickland, Senior Policy Advisor  
Melanie Tiano, Policy Advisor  
Rizwan Chowdhry, Legal Advisor  
Daniel Meyerson, Legal Advisor  
Michael Scurato, Legal Advisor

**OFFICE OF MANAGEMENT & RESOURCES**  
Sheila Hayes, ABC for Management

**USF STRIKE FORCE**  
Loyaan Egal, Director  
Rakesh Patel, Deputy

**INVESTIGATIONS & HEARINGS  
DIVISION**  
Jeffrey Gee, Chief  
Kalun Lee, Deputy

**MARKET DISPUTES  
RESOLUTION DIVISION**  
Christopher Killion, Chief  
Rosemary McEnery, Deputy  
Lisa Griffin, Deputy

**SPECTRUM ENFORCEMENT  
DIVISION**  
Aspasia Paroutsas, Acting Chief  
Ricardo Durham, Deputy  
JoAnn Lucanik, Deputy

**TELECOMMUNICATIONS  
CONSUMERS DIVISION**  
Richard Hindman, Chief  
Sharon Lee, Deputy  
Kristi Thompson, Deputy  
David Valdez, Deputy

**OFFICE OF THE FIELD DIRECTOR**  
Charles Cooper, Field Director

**Region 1**  
David Dombrowski, Director

**Region 2**  
Ronald Ramage, Director

**Region 3**  
Lark Hadley, Director

**Equipment Development Group**  
Greg Hermes, Director

Boston, MA  
Chicago, IL  
Columbia, MD  
Detroit, MI  
New York, NY  
Philadelphia, PA

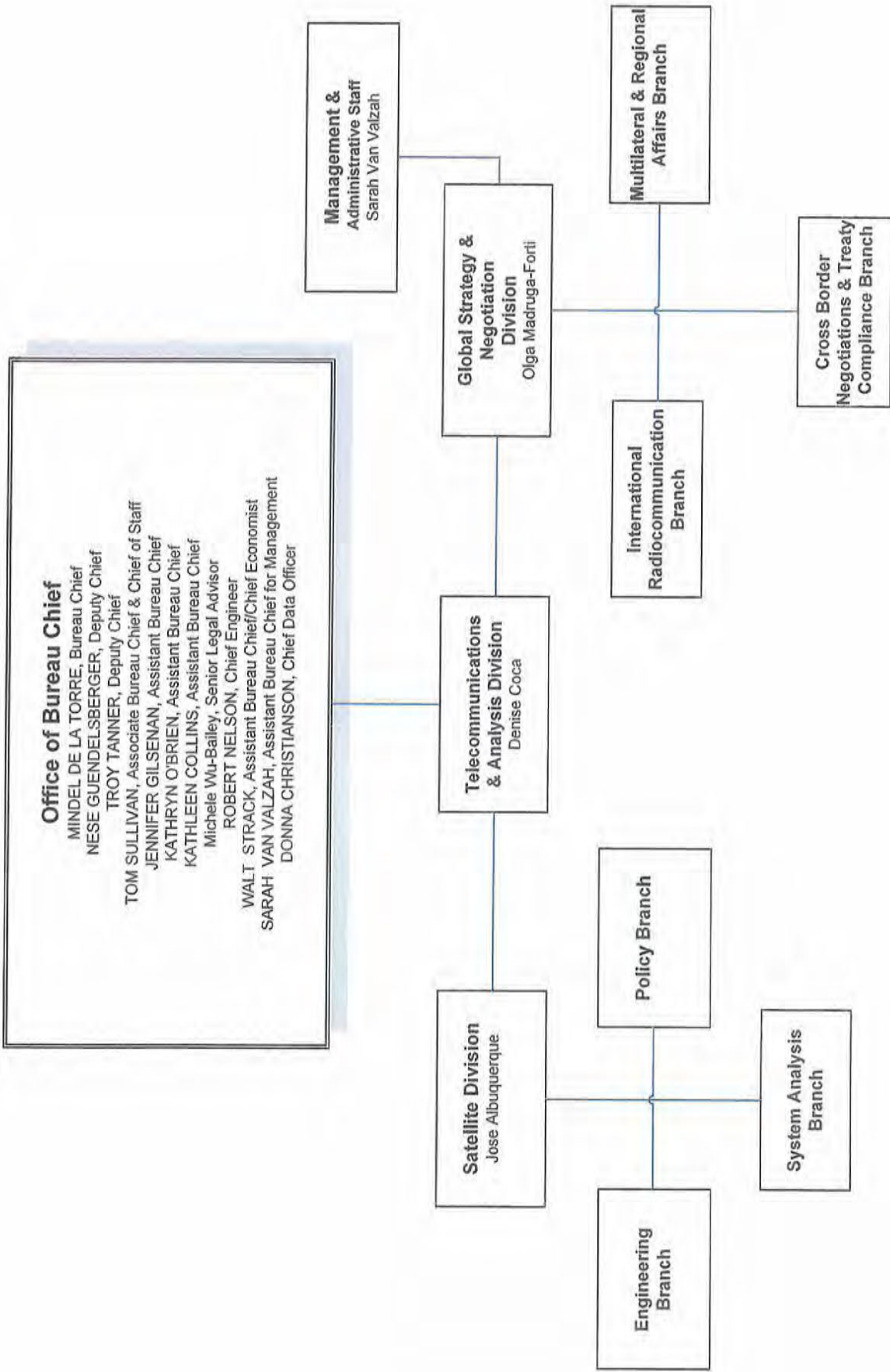
Atlanta, GA  
Dallas, TX  
Houston, TX\*\*  
Kansas City, MO  
Miami, FL\*\*  
New Orleans, LA  
Norfolk, VA\*\*  
San Juan, PR\*\*  
Tampa, FL

Anchorage, AK\*\*  
Denver, CO  
Honolulu, HI\*\*  
Los Angeles, CA  
Portland, OR\*\*  
San Diego, CA  
San Francisco, CA  
Seattle, WA

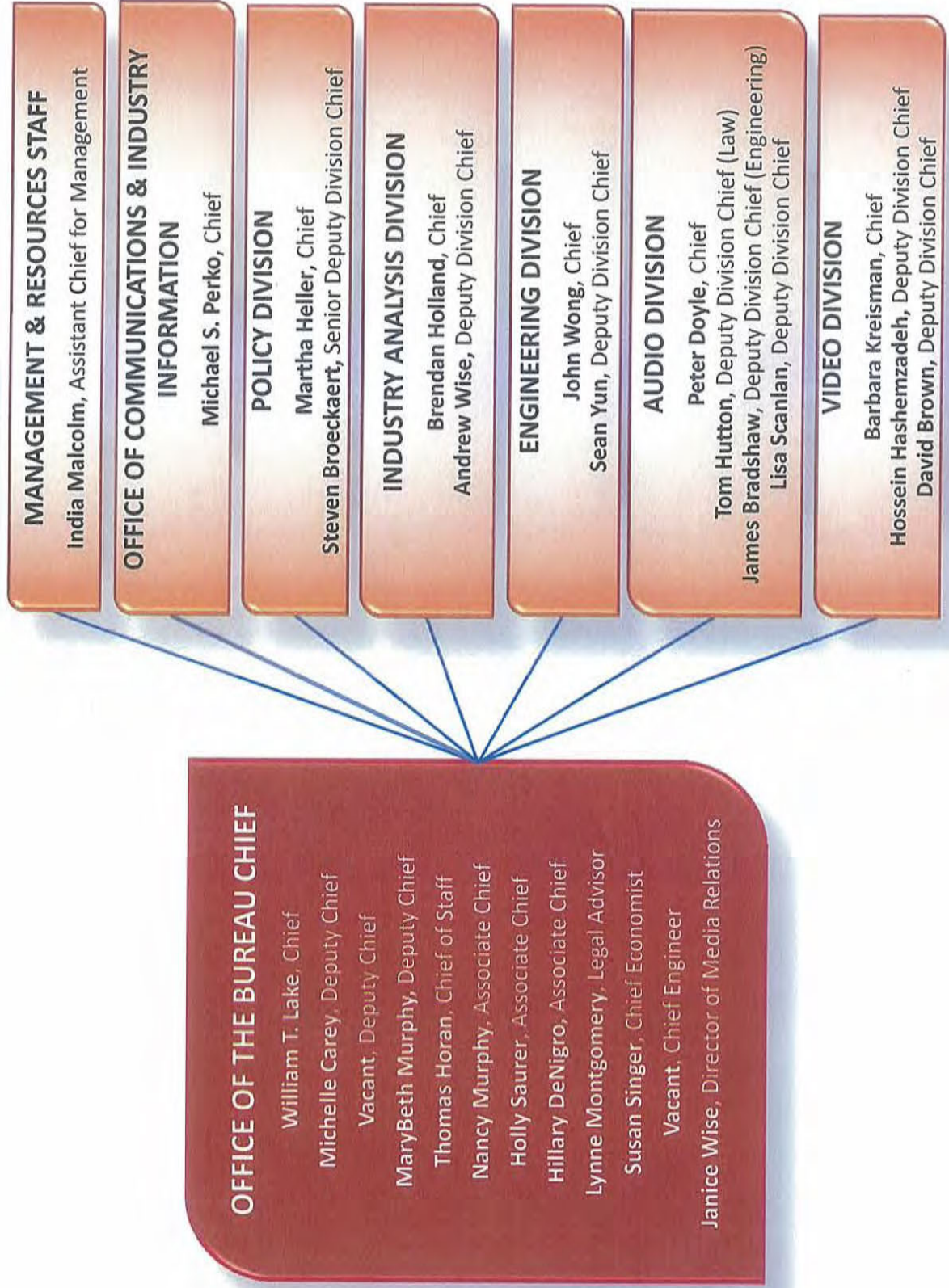
\*\* Resident Agent Offices  
Revised 10/31/2016

# International Bureau

September 2016

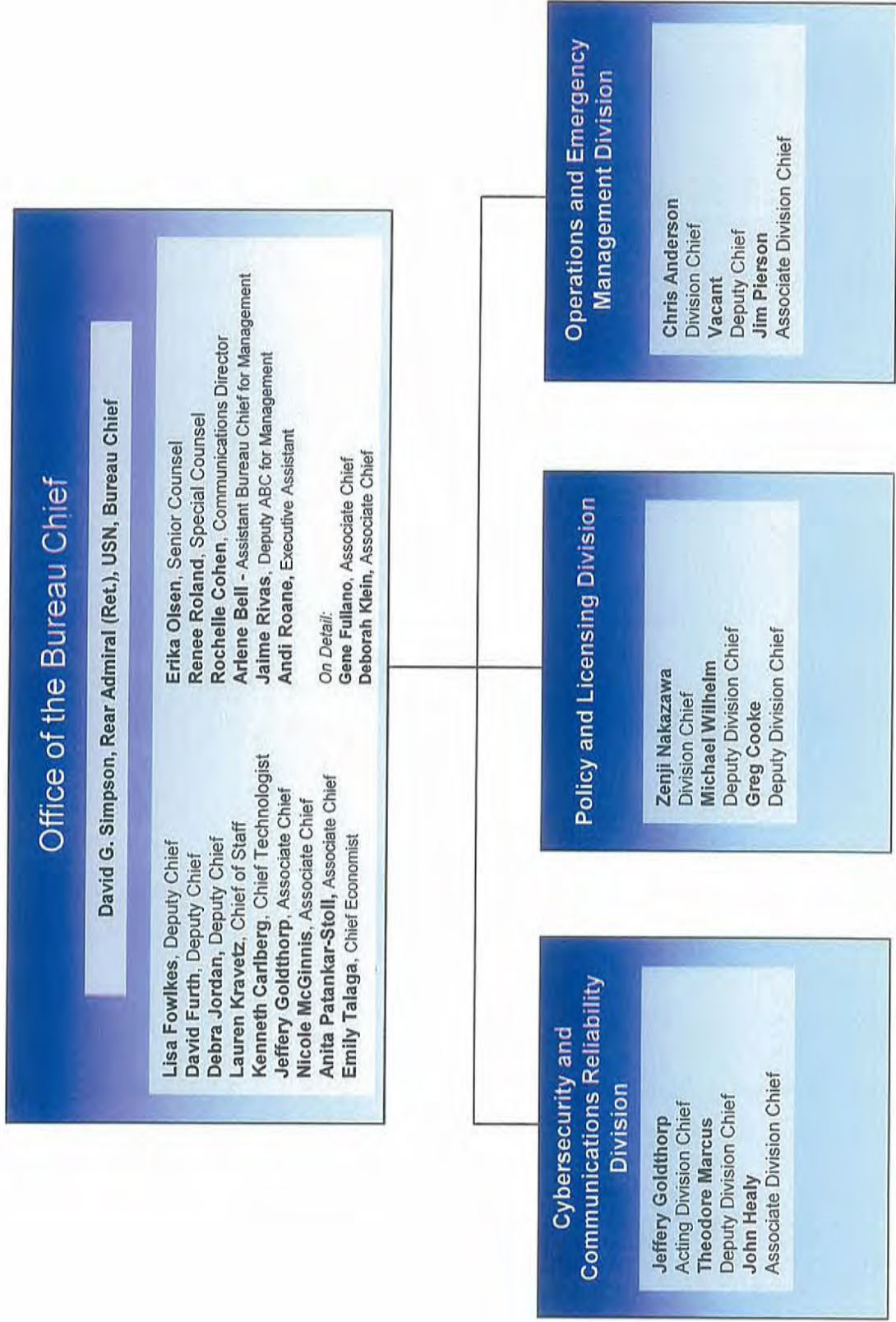


## MEDIA BUREAU - ORGANIZATIONAL CHART





# Public Safety and Homeland Security Bureau



# Wireless Telecommunications Bureau

**Jon Wilkins, Bureau Chief**

**Johnny Drake**  
Assistant  
Bureau Chief  
Management &  
Resources Staff

**James Schlichting**  
Senior Deputy  
Bureau Chief

**Suzanne Tetreault**  
Deputy  
Bureau Chief

**Joel Taubenblatt**  
Deputy  
Bureau Chief

**Sue McNeil, Chief of Staff/Special Counsel**  
Chris Helzer, Chief Engineer  
Paroma Sanyal, Chief Economist  
Matthew Pearl, Legal Advisor  
Mary Claire York, Legal Advisor  
Charles Eberle, Legal Advisor  
Cecilia Sulhoff, Press Liaison  
Cecelia Green, Staff Assistant

**Charles Mathias**  
Associate  
Bureau Chief

**Brian Regan**  
Associate  
Bureau Chief

**AUCTIONS  
& SPECTRUM  
ACCESS  
DIVISION**

Margaret Wiener  
Division Chief

**BROADBAND  
DIVISION**

Blaise Scinto  
Division Chief

**COMPETITION &  
INFRASTRUCTURE  
POLICY  
DIVISION**

Joel Taubenblatt  
Division Chief

**MOBILITY  
DIVISION**

Roger Noel  
Division Chief

**TECHNOLOGIES,  
SYSTEMS AND  
INNOVATION  
DIVISION**

Diane Dupert  
Acting Division Chief

# Wireline Competition Bureau

## OFFICE OF THE BUREAU CHIEF

Matthew DeNero, Bureau Chief  
 Carol Mantey, Deputy Bureau Chief  
 Kris Monteith, Deputy Bureau Chief  
 Madeline Findley, Deputy Bureau Chief  
 Kirk Burgess, Chief of Staff  
 Steve Rosenberg, Chief Data Officer  
 Eric Ralph, Chief Economist  
 Deena Siedler, Associate Bureau Chief  
 Trent Harkrader, Associate Bureau Chief  
 Lisa Hone, Associate Bureau Chief  
 Rachel Kazan, Program Manager for USF  
 Ian Forbes, Legal Advisor  
 Kristine Fargolstein, Legal Advisor  
 Thomas Parisi, Acting Legal Advisor

## ADMINISTRATIVE AND MANAGEMENT OFFICE

Noelle Green - Assistant Chief

## COMPETITION POLICY DIVISION

Daniel Kahn, Acting Division Chief  
 Ann Stevens, Deputy Division Chief  
 Terri Natoli, Deputy Division Chief  
 Jodie May Donovan, Assistant Division Chief  
 Melissa Kinkel, Assistant Division Chief  
 Adam Copeland, Acting Assistant Division Chief  
 Peter Saharcko, Assistant Division Chief  
 Sanford Williams, Assistant Division Chief  
 Sherwin Sly, Special Counsel

## INDUSTRY ANALYSIS AND TECHNOLOGY DIVISION

Rodger Wook, Division Chief  
 Cathy Zima, Deputy Division Chief  
 Chelsea Fallon, Deputy Division Chief  
 Ellen Burton, Assistant Division Chief  
 Suzanne Yelen, Assistant Division Chief

## PRICING POLICY DIVISION

Pamela Arluk, Division Chief  
 Victoria Goldberg, Deputy Division Chief  
 Lynne Engledow, Deputy Division Chief  
 David Zesiger, Deputy Division Chief  
 Gil Strobel, Deputy Division Chief  
 William Kehoe, Assistant Division Chief  
 John Hunter, Chief Policy Counsel  
 William Layton, Assistant Division Chief  
 Robin Cohn, Assistant Division Chief

## TELECOMMUNICATIONS ACCESS POLICY DIVISION

Ryan Palmer, Division Chief  
 Radhika Karmarkar, Deputy Division Chief  
 Alexander Mirand, Deputy Division Chief  
 Jodi Griffin, Acting Deputy Division Chief  
 Aaron Garza, Deputy Division Chief  
 Cheryl Callahan, Assistant Division Chief  
 Gannet Hanley, Special Counsel  
 Jonathan Lechter, Special Counsel  
 Elizabeth Droglitis, Special Counsel

\* On Detail from the Division  
 Amy Bender (Special Counsel) & Travis Litman (Assistant Chief)

## FCC HEADQUARTERS HOUSING INITIATIVE

### FACT SHEET

OCTOBER 2015

GSA will seek a building lease through a competitive procurement, and the solicitation has been issued

**Location:** Washington, DC Central Employment Area (see attached map for reference)

The Lease Period: 15 Years

**Amount of Space to Lease:** 393,633 useable square feet yielding 473,000 rentable square feet (reduction from approximately 537,000 useable square feet and 602,000 rentable square feet in Portals II)

**Estimated Lease Award/Location Announcement:** Spring 2016 (dependent upon procurement process and budget)

**Estimated Occupancy:** No earlier than October 17, 2017 and no later than December 31, 2019

**Prospectus:** Approved by both the House and Senate Committees allowing GSA to award a lease

Congressionally-imposed rent limitation: \$50.00/rentable square feet

#### **Requirements:**

- The offered building must have the ability to accommodate ISC Level IV Security Requirements
- The offered space must be contiguous and accommodated in no more than one building, or if in more than one, must be connected internally on at least 70% of the floors
- The offered building must be within 2,640 walkable linear feet (equivalent to a walkable half mile) of a metrorail station
- The Government will require the right to fully control and secure the parking garage
- The Government will require the right to fully control and secure the building roof at no additional cost, and the roof must be free from signal interference as determined by the FCC
- Any combination of existing and/or new construction will be considered
- It is anticipated the incumbent Lessor may compete for this procurement. The Government is seeking to improve the current occupancy efficiencies and it is anticipated that most of the existing space will need to be redesigned and renovated, and the incumbent Lessor should include the necessary swing space to accomplish the renovation
- Offered space must meet Government requirements for fire safety, accessibility, seismic and sustainability standards
- Offered space cannot be located within a 100-year floodplain or a 500-year floodplain unless the Government determines there is no practical alternative
- The building must be able to accommodate the FCC's special requirements







## STATUS OF HEADQUARTERS HOUSING INITIATIVE NEW LEASE

### Background

The Federal Communication Commission (FCC) current lease at 445 12<sup>th</sup> Street SW Washington, DC expires on October 17, 2017. A competitive lease procurement needs to be conducted by the General Services Administration. Due to executive orders, to "Freeze the Footprint" and "Reduce the Footprint", the General Services Administration (GSA) and the Office of Management and Budget (OMB) developed a reduction of FCC housing of approximately 30%. As a result, the following timeline outlines the actions taken to date, and the status. See the Fact Sheet for additional information on the lease and location.

### Timeline

- 2014-2015 GSA contracted with an Architectural and Engineering firm to develop a housing and budgetary study to assess the potential space reduction and associated rent savings, as well as develop a construction and move budget
- May 2015 GSA and OMB approve a final budget estimate of \$71 M for the Move, and FCC includes the funding requirements in our FY16 and FY17 budgets
- May 20, 2015 GSA executes and forwards a Prospectus to Congress for approval to solicit and award a new lease to house the FCC Headquarters in a maximum of 473,000 Rentable Square Feet, or 393,633 Useable Square Feet, under a maximum overall utilization rate of 180, for a period up to 15 years in the DC Central Employment Area, at a rate not to exceed \$50 per square foot
- Jul 20, 2015 GSA issued on FedBizOpps a presolicitation advertisement to the real estate market for a minimum of 374,000 Useable Square Feet not to exceed 473,000 Rentable Square Feet outlining the basic requirements, and anticipating the incumbent lessor may compete
- Jul 23, 2015 U.S. House of Representatives Committee on Transportation and Infrastructure approved the Prospectus, and provided that the lease could not result in an overall utilization rate of more than 180
- Aug 5, 2015 United States Senate Committee on Environment and Public Works approved the Prospectus, and provided that to the maximum extent practicable, the procurement shall include energy efficiency requirements as would be required for a federal building
- Sept 22, 2015 GSA issues the Solicitation for Offers to the interested parties, and proposals due to the GSA by Oct 20, 2015
- Oct 20, 2015 Parcel 49C (incumbent lessor) files a Pre-Award Protest with GSA
- Dec 2, 2015 GSA Agency Protest Official issues decision denying Parcel 49C Pre-Award in its entirety

- Dec 14, 2015 Parcel 49C (incumbent lessor) files a Pre-Award Protest with the U.S. Government Accountability Office (GAO)
- Dec 24, 2015 Parcel 49C (incumbent lessor) files an additional Pre-Award Protest with the U.S. Government Accountability Office (GAO)
- FY 2016 In FY 2016, Congress appropriated the first tranche of \$51.4M to support the move, and the balance of \$19.6M was included in our FY2017 request, and it has not been appropriated
- Mar 23, 2016 GAO issues decision dismissing the protest in part and denying it in part
- April 2016 Parcel 49C (incumbent lessor) files a protest with the U.S. Court of Federal Claims
- April 2016 FCC executes a contract with an architecture and engineering firm to help the FCC develop our facility and program of requirements document that we must provide to GSA and the winning lessor after lease award (typically 30 days later)
- May-Jul 2016 Parcel 49C (incumbent lessor) files amended complaints with the U.S. Court of Federal Claims
- Sep 2, 2016 The last filings were due to the U.S. Court of Federal Claims by Parcel 49C and the Government
- Oct 5, 2016 In accordance with the Basic Negotiated Agreement between FCC and the National Treasury Employees Union (NTEU), FCC notified NTEU that the FCC must reduce our space by 30%, and the requirement to adopt new space requirements, including workspace size, and offered to provide a briefing

### Next Steps

- Once the U.S. Court of Federal Claims issues decision, assuming it is favorable to the Government, GSA is poised to make a lease award
- FCC implement communications campaign for staff and stakeholders
- FCC and GSA will begin meeting with the winning lessor to develop a schedule for design, construction and move (estimate move in 2019)
- GSA will begin negotiations with the incumbent lessor for a lease extension based upon the anticipated timeline (potential for a 2-3 year extension) at market rate
- FCC must bargain with NTEU over the changes in working conditions affecting bargaining unit employees
- FCC must provide our facility and program of requirements document to GSA and the lessor
- FCC to work with GSA and the lessor's architect to complete the design and construction drawings
- FCC to work on the necessary procurements for furnishings, fixtures and equipment
- FCC to oversee construction and installation
- FCC to prepare move schedule

**ENFORCEMENT BUREAU FIELD MODERNIZATION  
OFFICE OF MANAGING DIRECTOR LOGISTICS SUPPORT**

**Background**

The FCC obtained approval to restructure the field office locations, and close several locations. The Office of Managing Director (OMD) is providing logistics support to the Enforcement Bureau. FCC has issued 120 day notices to the General Services Administration (GSA) indicating our intent to vacate the locations prior to existing lease termination. Activities are underway to decommission the facilities and complete necessary disposition of furnishings, antennas, systems and equipment. EB and OMD staff will travel to each location to ensure the proper decommissioning, and meet with GSA and the associated lessors to confirm proper turnover of the premises. The following is the timetable for EB and OMD personnel to be at each location.

**Timetable**

Houston, TX	January 9-10, 2017
Norfolk, VA	January 17-18, 2017
Philadelphia, PA	January 24-25, 2017
Seattle, WA	January 30-Feb 1, 2017
San Diego, CA	February 1-3, 2017
Tampa, FL	February 6-8, 2017
Kansas City, KS	February 8-10, 2017
Detroit, MI	February 13-15, 2017

<u>Date Circulated</u>	<u>Bureaus Office</u>	<u>Docket Number</u>	<u>Title</u>
10/12/2016	MB		Pacifica Foundation, Inc. Application for Renewal of License WBAI(FM), New York, New York
10/07/2016	EB		Enforcement Bureau Order
10/07/2016	EB		EB Forfeiture Order
10/06/2016	WCB		Business Data Services in an Internet Protocol Environment et al Report and Order and Second FNPRM
10/06/2016	MB		Community Radio of Decorah, Postville and Northeast Iowa
10/06/2016	MB		Application to Construct a New Noncommercial Educational FM Station at Horizon City, Texas
10/04/2016	PSHSB		FCC and Wireless Industry Work Together to Improve the Resiliency of the Nation's Mobile Wireless Communications Networks
09/29/2016	MB		Expanding Consumers' Video Navigation Choices and Commercial Availability of Navigation Devices
09/28/2016	WCB		Numbering Resource Optimization; North American Numbering Plan
09/16/2016	WTB		Review of the Commission's Rules Governing the 896-901/935-940 MHz Band, Realignment of the 896-901/935-940 MHz Band to Create a Private Enterprise Broadband Allocation
09/01/2016	OGC		In the Matter of John Anderson On Request for Inspection of Records
08/25/2016	WTB		Review of the Commission's Part 95 Personal Radio Services Rules, Report and Order
08/02/2016	MB		Applications of Subsidiaries of Entercom Comms. Corp. for Renewal of Licenses for Stations WAAF(FM), Westborough, WEEI(AM), WRKO(AM), Boston, and WEEI-FM, Lawrence, all MA; KNRK(AM), Camas, Washington; WBEI(AM) and WWKB(AM), Buffalo, NY (Stations)
08/02/2016	MB		MB Order
08/01/2016	EB		Enforcement Bureau Order
08/01/2016	EB		Enforcement Bureau Order
08/01/2016	EB		Enforcement Bureau Order
07/29/2016	EB		Enforcement Bureau Order
07/21/2016	OGC		Commission Seeks Public Comment In 2016 Biennial Review of Telecommunications Regulations
06/29/2016	EB		Enforcement Bureau Order
06/15/2016	EB		Enforcement Bureau Order
06/15/2016	EB		Enforcement Bureau Order
06/15/2016	EB		Enforcement Bureau Order
06/09/2016	WCB		Connect America Fund
05/13/2016	IB		Terrestrial Use of the 2473-2495 MHz Band for Low-Power Mobile Broadband Networks; Amendments to Rules for the Ancillary Terrestrial Component of Mobile Satellite Service Systems, IB Docket No. 13-213, Report and Order
05/12/2016	WCB		Connect America Fund; Developing a Unified Intercarrier Compensation Regime; Petitions for Waiver of Section 51.917 of the Commission's Rules
03/25/2016	OCBO		Section 257 Triennial Report to Congress Identifying and Eliminating Market Entry Barriers and Other Small Businesses
03/11/2016	C2HFCC		Public Notice, FCC Seeks Comment and Data on Actions to Accelerate Adoption and Accessibility of Broadband-Enabled Health Care Solutions and Advanced Technologies
02/19/2016	PSHSB		Proactive, Measurable, Accountable Private Sector-Driven Cyber Risk Management in the Communications Sector
01/08/2016	OET		Petition for Declaratory Ruling Regarding Treatment of Rulemakings and Waivers Related to New Equipment and Services at Frequencies Greater Than 95 GHz; Amendment of Part 15 to Allow Operation in the 95-1,000 GHz Band; ET Docket No. 13-259, Order
11/25/2015	WCB		Application for Review of a Decision of the Wireline Competition Bureau by Net56, Inc. Palatine, IL; Schools and Libraries Universal Service Support Mechanism

**Date**  
**Circulated**

**Bureaus Office**

**Docket**  
**Number**

**Title**

11/02/2015

WCB

Joint Petition for Declaratory Ruling on the Assignment of Accounts (Traffic) Without the Associated CSTP II Plans Under AT&T Tariff F.C.C. No. 2 et al.

08/12/2015

MB

Amendment of the Commission's Rules Related to Retransmission Consent, MB Docket No. 10-71, Second Report and Order



**FEDERAL COMMUNICATIONS COMMISSION  
OFFICE OF MANAGING DIRECTOR  
OFFICE OF THE SECRETARY**

## **FACTS ABOUT: Commission Open Meeting**

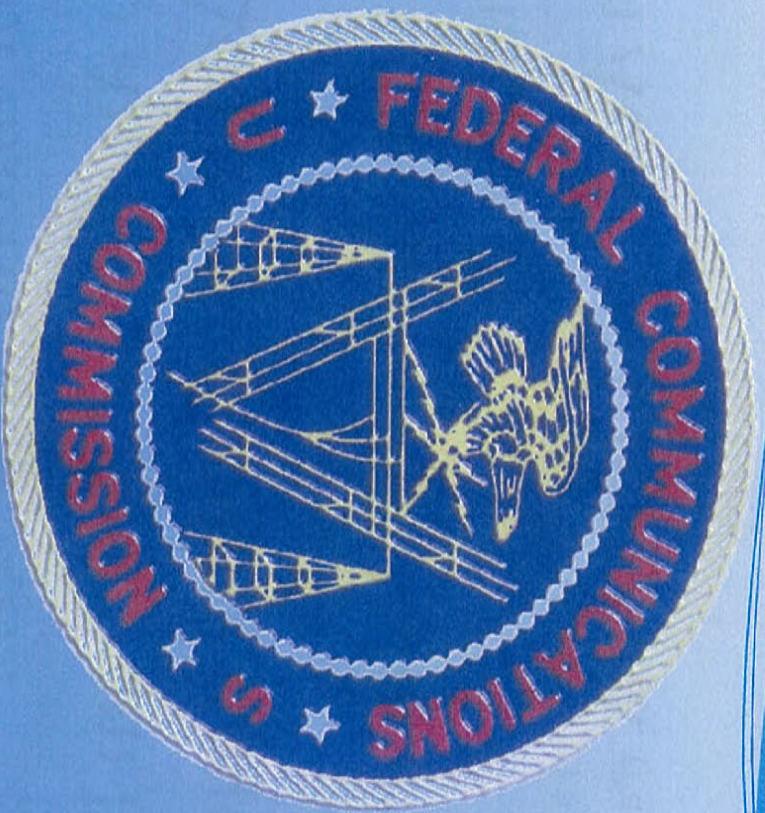
The Chairman presides over an open meeting of the full commission at least once each calendar month, as required by 47 USC § 155 and by the Sunshine Act. The Office of the Secretary supports the Chairman in scheduling and conducting these meetings. This includes the meeting agenda process, the preparation and publication of the required Sunshine Act notices, and the voting and release of considered items. The Open Meetings are traditionally held in the Commission Meeting Room at Commission headquarters, 445 12<sup>th</sup> St. SW, Washington, DC.

The following is the schedule for 2017:

<b>Commission Meeting Date</b>	<b>Distribution of Agenda Items</b>	<b>Public Release of List of Meeting Agenda Items</b>	<b>Sunshine Notice Date</b>
Thursday, January 26, 2017	Thursday, January 5, 2017	Thursday, January 5, 2017	Thursday, January 19, 2017
Thursssday, February 23, 2017	Thursday, February 2, 2017	Thursday, February 2, 2017	Thursday, February 16, 2017
Thursday, March 23, 2017	Thursday, March 2, 2017	Thursday, March 2, 2017	Thursday, March 16, 2017
Thursday, April 20, 2017	Thursday, March 30, 2017	Thursday, March 30, 2017	Thursday, April 13, 2017
Thursday, May 18, 2017	Thursday, April 27, 2017	Thursday, April 27, 2017	Thursday, May 11, 2017
Thursday, June 15, 2017	Thursday, May 25, 2017	Thursday, May 25, 2017	Thursday, June 8, 2017
Thursday, July 13, 2017	Thursday, June 22, 2017	Thursday, June 22, 2017	Thursday, July 6, 2017
Thursday, August 3, 2017	Thursday, July 13, 2017	Thursday, July 13, 2017	Thursday, July 27, 2017
Thursday, September 28, 2017	Thursday, September 7, 2017	Thursday, September 7, 2017	Thursday, September 21, 2017
Thursday, October 26, 2017	Thurssday, October 5, 2017	Thurssday, October 5, 2017	Thursday, October 19, 2017
Thursday, November 16, 2017	Thursday, October 26, 2017	Thursday, October 26, 2017	Thursday, November 9, 2017
Thursday, December 14, 2017	Thursday, November 23, 2017	Thursday, November 23, 2017	Thursday, December 7, 2017

**For more information:** Marlene Dortch, Secretary- OMD/Office of the Secretary, 418-1449





FY 2017 Presidential Budget  
Request to Congress  
Briefing February 2016



# Improvements to the Budget Book

- Contractor Information (Page 15)
- Spectrum Auctions – Spectrum Pipeline Act of 2015 Additional Funding Request (Page 27 & 29-30)
- Spectrum Auctions – Collections vs. Expenditures (Page 36)
- Spectrum Auctions Crosswalk (Page 37)



## FY 2017 Budget Estimate to Congress

# Explanation of Changes

## Regulatory Fees – Offsetting Collections

	Explanation of Changes
<b>FY 2016 Appropriation - Offsetting Collections</b>	<b>\$384,012</b>
Reversal of FY 2016 New Initiative - Headquarters Move/Restack	-\$44,168
<b>FY 2017 Base Before Adjustments</b>	<b>\$339,844</b>
<b>Salaries and Inflationary Increases to Base</b>	
Commission	
Salary Increases - Pay Raises (1.3%)	\$2,957
Non-Salary Increases (1.3%) <sup>1</sup>	\$1,297
Office of Inspector General	
Salary Increases - Pay Raises (1.3%)	\$112
Non-Salary Increases (1.3%) <sup>1</sup>	\$39
<b>Subtotal - Salaries and Inflationary Increases to Base</b>	<b>\$4,405</b>
<b>Other Adjustments to Base</b>	
IT - Geospatial Information System Solution	\$400
<b>One-Time Requests</b>	
FCC Headquarters Move/Restacking	\$16,867
IT - Rewriting of FCC Legacy Applications Phase II	\$3,870
IT - Geospatial Information System Solution	\$800
OMD - Targeted Investments to Reduce USF Improper Payments	\$1,600
Subtotal - Other Adjustments to Base and One-Time Requests	\$23,537
<b>TOTAL OFFSETTING COLLECTIONS BEFORE RECOVERY OF USF OVERSIGHT COST</b>	<b>\$367,786</b>
Recovery of USF Oversight Cost	-\$9,500
<b>TOTAL OFFSETTING COLLECTIONS AFTER RECOVERY OF USF OVERSIGHT COST</b>	<b>\$358,286</b>
<b>TOTAL NET CHANGE</b>	<b>-\$25,726</b>

# FY 2017 Budget Estimate to Congress

## Explanation of Changes Spectrum Auctions Program

Explanation of Changes	
<b>FY 2016 Cap Level - Spectrum Auctions Program</b>	<b>\$117,000</b>
Reversal of FY 2016 New Initiatives - One-Time Requests	
FCC Headquarters Move/Restacking	-\$7,190
TV Broadcaster Relocation Fund Administrator & Related Government Compliance Work	-\$2,457
<b>Subtotal</b>	<b>-\$9,647</b>
<b>FY 2017 Base Before Adjustments</b>	<b>\$107,353</b>
<b>Salaries and Inflationary Increases to Base</b>	
Salary Increases - Pay Raises (1.3%)	\$482
Non-Salary Increases (1.3%) <sup>1</sup>	\$915
<b>Subtotal - Salaries and Inflationary Increases to Base</b>	<b>\$1,397</b>
<b>Other Adjustment to Base</b>	
Additional FTEs Required to Enact the Spectrum Pipeline Act of 2015 (3) <sup>2</sup>	\$580
<b>IT Upgrades</b>	
Auctions System Replacement	\$3,500
Auction Warehouse	\$300
<b>Current Auction Implementations</b>	
3.5 GHz Auction Development and Implementation	\$1,750
ISAS Enhancements/Modifications	\$1,500
Other Auction Development and Implementation	\$1,000
Auction Security Enhancements	\$875
<b>Spectrum Pipeline Act Development</b>	
SAS/ESC Testing for 3.5 GHz and Beyond	\$1,250
Optimization for New Spectrum Opportunities	\$1,250
Spectrum Visualization Tools - Public Facing and Internal	\$500
<b>Subtotal</b>	<b>\$12,505</b>
<b>One-Time Requests</b>	
FCC Headquarters Move/Restacking	\$2,746
<b>TOTAL REQUESTED - SPECTRUM AUCTIONS PROGRAM</b>	<b>\$124,000</b>
<b>TOTAL CHANGE</b>	<b>\$7,000</b>

<sup>1</sup> Utilized the same inflationary rate as pay raises

<sup>2</sup> Includes Benefits





# Operating Efficiencies

- Adopted an Order to realign the mission and resources of the Commission's Enforcement Bureau (EB) field offices. The final plan reflects feedback from wireless carriers, public safety entities, and broadcasters. The Order reduces the number of field locations, consolidates staff, and makes various other management and policy changes, including updating field equipment, requiring all field agents to have electrical engineering backgrounds and establishing procedures for industry and public safety complainants to escalate their complaints within the field organization. Savings from this reorganization will be used to update equipment and employee skillsets.
- The current Commission headquarters offices that were housed in Portals I were consolidated into Portals II in FY 2015, which reduced the Commission's footprint by over 56 thousand square feet, and reduced the rental payments by approximately \$3 million. The savings realized in the Portals consolidation have been redirected to continue the momentum of IT modernization.
- Initiated a review and evaluation of the Consumer and Government Affairs Bureau (CGB) call centers in Washington, DC and Gettysburg, Pennsylvania as result of efficiencies made in our Consumer Help Desk.



# Overview of the FY 2017 Budget Request

- Regulatory Fees (Offsetting Collection) - \$25.7M or 6.7 percent less than FY 2016 appropriated amount
- FCC HQ's Move/Restacking (Second Tranche)
  - S&E - \$16.9M
  - Auctions - \$2.7M
- IT Modernization - \$5.1M
- Salary increases and inflationary adjustments - \$4.4M
- Recovery of USF Oversight Cost - \$9.5M
- Spectrum Auctions Program - \$7.0M or 6.0 percent more than FY 2016 appropriated amount in furtherance of making more spectrum available for commercial use and to implement the requirements mandated by Congress in the Spectrum Pipeline Act of 2015
- No Change in FTEs - FY 2016 and FY 2017 level - 1,650



# HQ's Move/Restacking

- Estimated Cost for the Move/Restacking is approximately \$71M for FYs 2016 and 2017. This includes:
  - Real Property Costs - Construction Cost, Design Cost, Lessor's Fee (Management & Inspection), Contingency and Escalation, Management Fee
  - Personal Property Costs - Move, Cabling, IT, and Telecom, Furniture, Security
- Total Estimated **Savings of \$119M** for Reduced Footprint Over 15 Years
- Current Lease has 659,030 Rentable Square Feet - New Lease Planned for 473,000 Rentable Square Feet -- **Reduction of 28%**
- In FY 2016, Congress appropriated the first tranche of \$51.4M (Regulatory Fees - \$44.2M and Auctions - \$7.2M)
- For FY 2017, second tranche request of \$19.6M (S&E - \$16.9M and Auctions – \$2.7M)
- **Projected to issue New Lease in the spring of 2016**



# IT Modernization

- **Rewriting of FCC Legacy Applications as Modular “Shift” to a Modern, Resilient Cloud-based Platform Phase II (\$3.9M)**
  - ❑ Existing IT architectures are unable to support a move to a cloud-based infrastructure as currently written
  - ❑ Update applications in a modular fashion in order to place them in the cloud structure while supporting continuing operations
    - Adapt open source solutions for Commission application needs where appropriate
    - Move to reuse, buy, or build paradigm rather than sustaining high cost inflexible platforms
    - Create code only if neither open source nor commercial options are available
    - Cost avoidance of \$5 to \$10 million over five years in hardware and personnel/contractor costs
- **Geospatial Information System Solution (One-Time Request \$0.8M; Increase to Base \$0.4M)**
  - ❑ Map visualization and geospatial analysis from geospatial data collected through multiple FCC forms
  - ❑ Moving to a cloud-based hosting solution provides several key benefits including consolidation of data, reduction of duplicative efforts and data, and increased system flexibility and capacity



# IT Modernization

## FCC Modernization 3 Steps to Progress

### 1. Stabilization

**FY2014-2015**

- Assessment
- Inventory
- Consolidation
- Server Move

### 2. Rationalization

**FY2015**

- Software assessment
- Procure a platform
- Obtain stakeholder approval
- Deliver application roadmap to the cloud

### 3. Modernization

**FY2016-2018**

- Universal Licensing System (ULS)
- NORS, DIRS, ETRS (Network Outage Reporting System and Disaster Reporting System)
- International Bureau Filing System (IBFS)
- Equipment Authorization System (EAS)
- Cable Operations Licensing System (COALS)
- Canadian Co-Channel Coordination System, (COSER)
- Consolidated Database System (CDBS)
- OET Frequency Assignment System (OFACS)
- Experimental Licensing System (ELS)
- Electronic Tariff Filing System (ETFS)
- OET Knowledge Database & Inquiry Processing System (OET KDB)

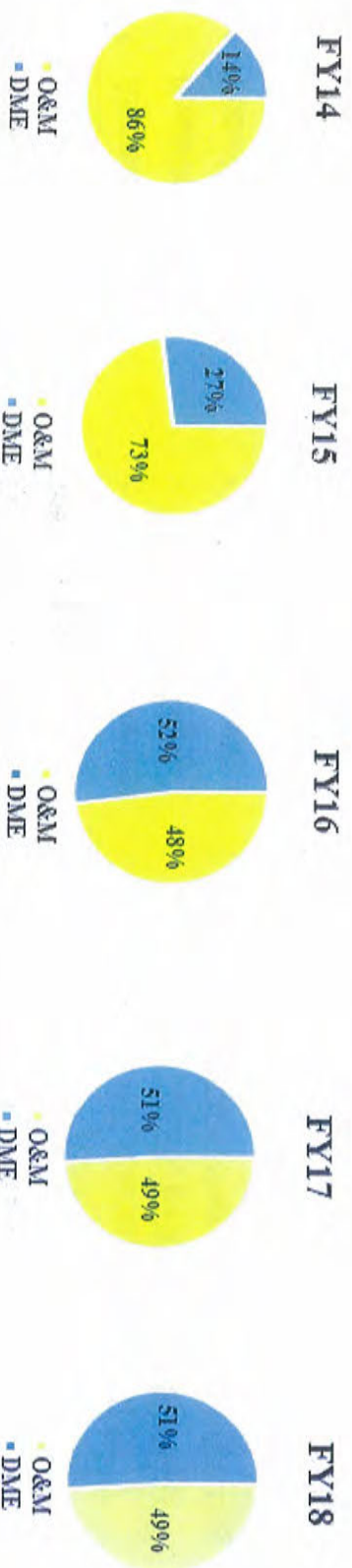


Cloud Solutions



# IT Modernization

## Investment in FCC IT Modernization Results in More Development (DME) Efforts Rather Than Legacy O&M



Shift in FCC IT spend from Legacy on-Premise to Cloud

- There is a very clear trend toward additional investment in cloud and shared services and less on maintaining legacy systems.
- The cost of modernization historically was dwarfed by the cost to maintain legacy systems in the out years, with O&M essentially meaning no new capability deliveries for the Bureaus and Offices.
- A roughly 50/50 O&M vs DME split is anticipated in FY18 and beyond. Note: these figures are reflective of FCC IT Spend, and do not include investments reported on behalf of Financial Operations, Universal Service Administrative Company, or Telecommunications Relay Service.



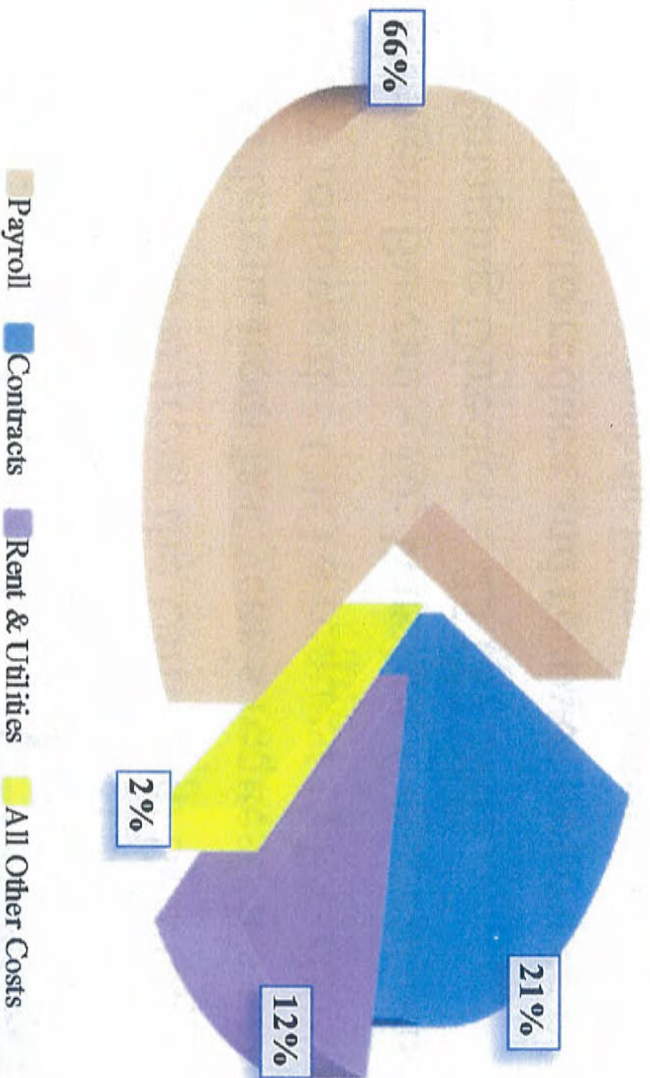
# Recovery of USF Oversight Cost

- Request transfer of \$9.5M from the Universal Service Fund
- This request is different from last year's request; it's narrowly focused; and more closely follows the OIG's request in FY 2008
- FTEs: Enforcement Bureau - 10; Wireline Competitions Bureau – 12; Office of the Managing Director – 25 (\$7.9M)
- Targeted investments to reduce and recover improper payments (\$1.6M)
  - Acquire and implement new analytic technology that would best meet the FCC's needs for applying predictive models to the highest risks in the USF programs
  - This will supplement effectiveness of limited enforcement resources by detecting patterns of non-compliance with FCC rules in the USF programs
  - The Enforcement Bureau can more readily identify the participants in the USF system that may be knowingly or even willfully violating the rules to their advantage and thereby to the disadvantage of the USF system as a whole
  - The Enforcement Bureau may then increase the utility of its overall strategy to root out bad actors in the USF programs and take enforcement actions to deter others from engaging in similar activities



# Salaries & Expenses – FY 2017

Payroll, Contracts, and Rent & Utilities make up 98% of FCC's Budget

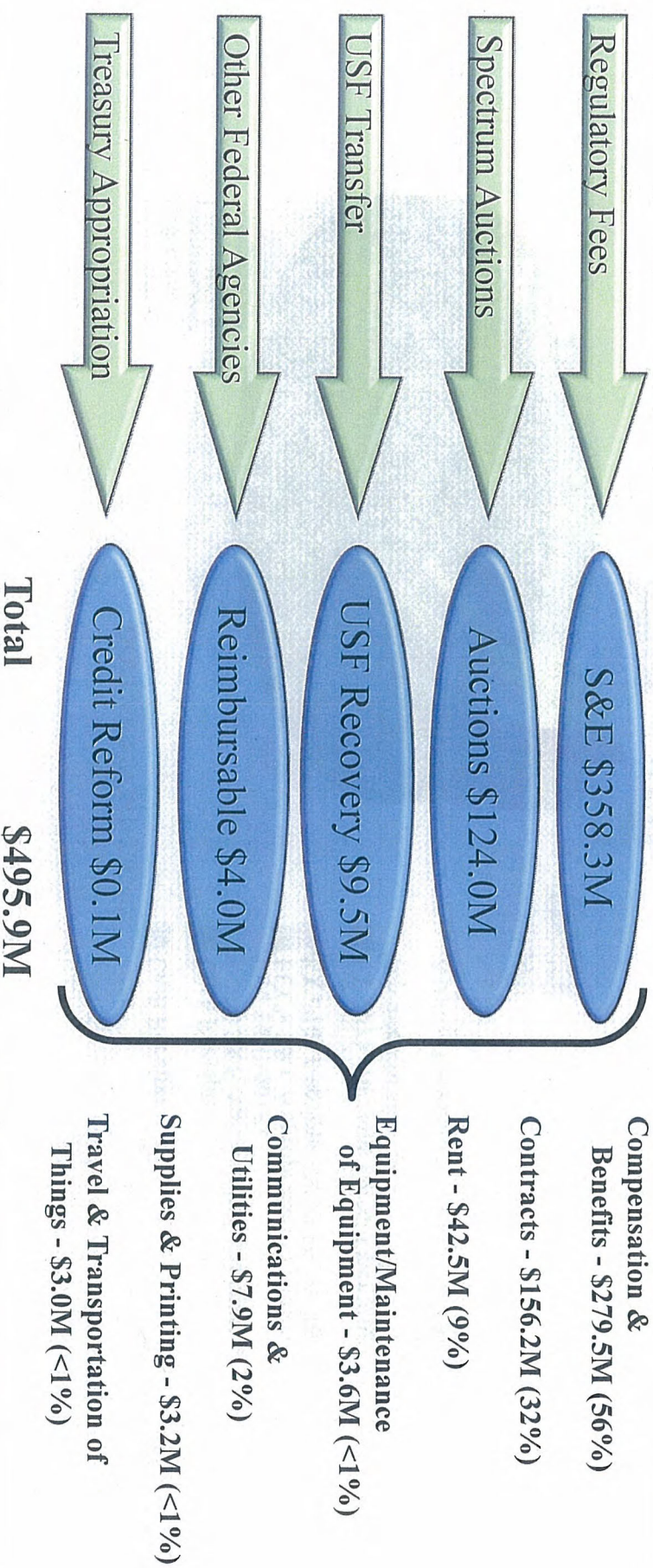




## Sources of Funds

# FY 2017

## Uses of Funds



## Funds to Treasury/Broader Government Uses

## Other Funds

Auctions Receipts\*  
Application Fees

\$4.3B  
\$25M

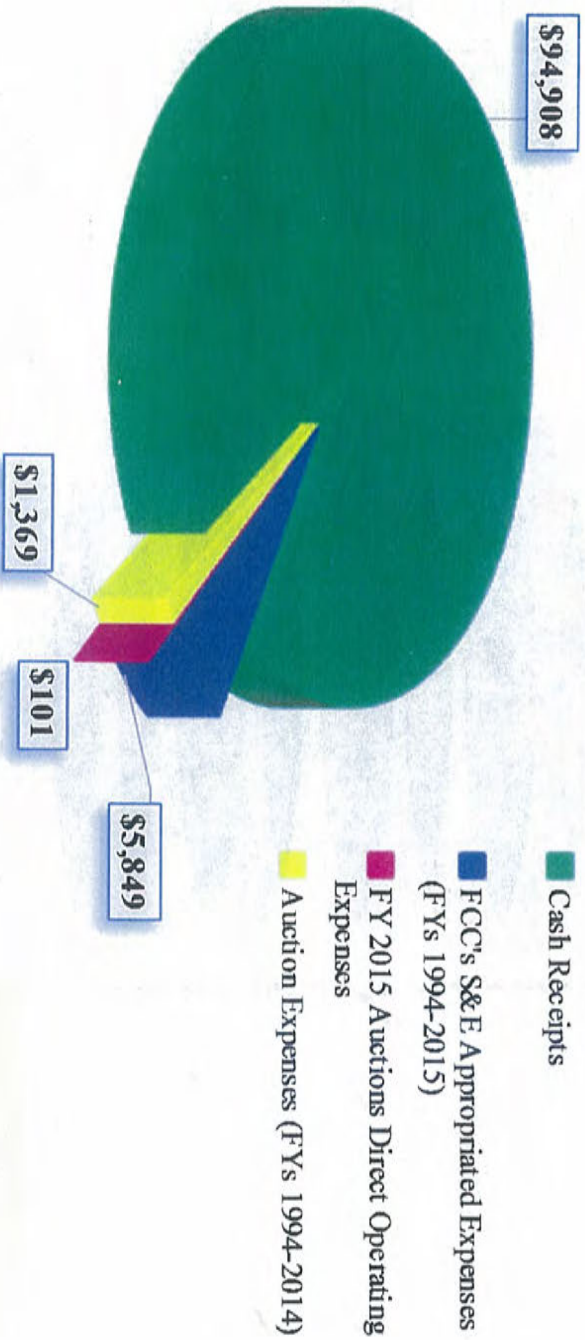
Excess Regulatory Fees  
No Year Reconciliation Fees

\$98M  
\$7M



# Cash Generated & Applied

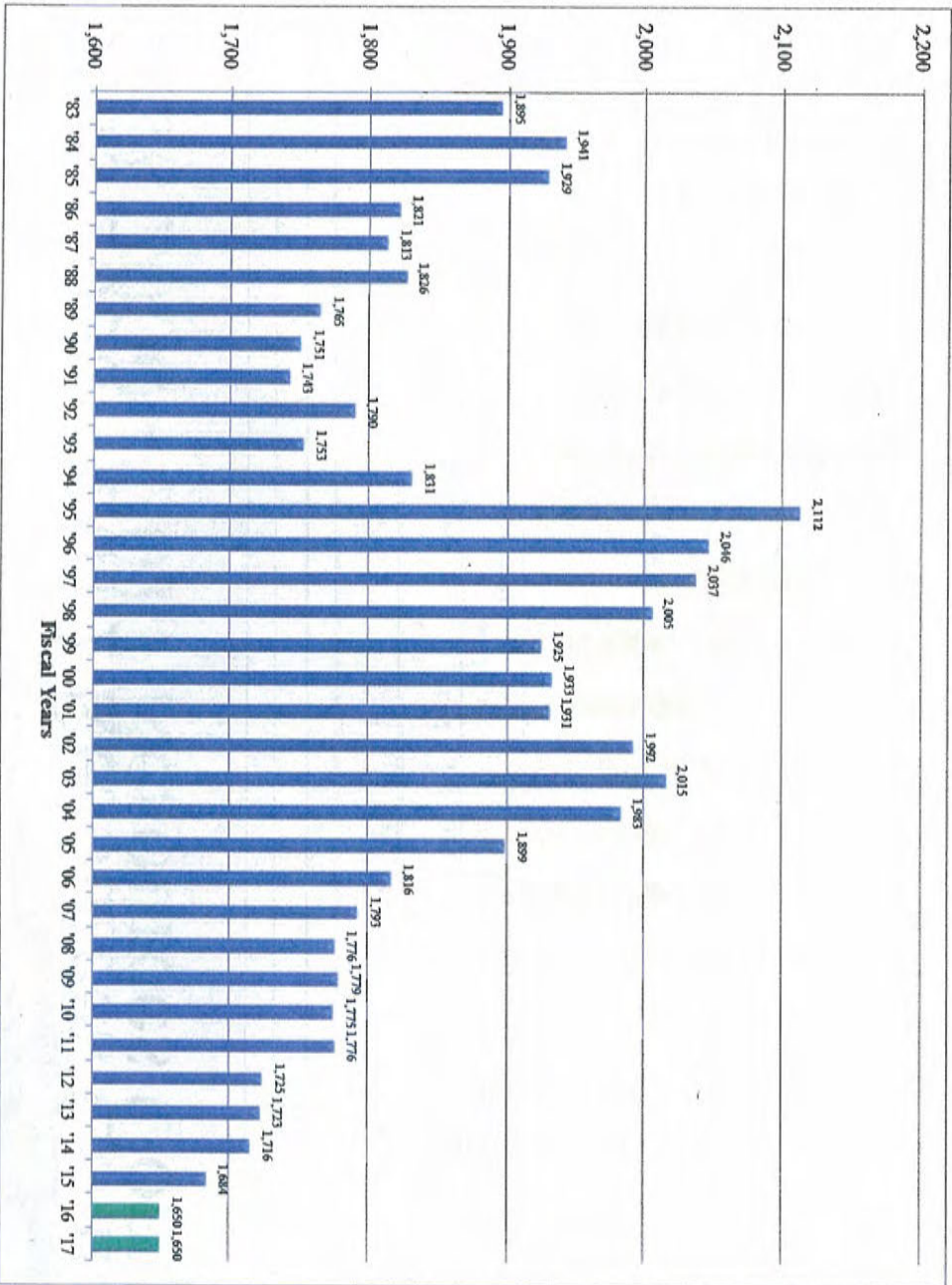
DOLLARS IN MILLIONS



Cash Receipts - Total new winning bids collected and deposited into Treasury or for broader government use. Over 22 year period, the average cash receipts are over \$4.3 billion per year.  
Auction Expenses (FY 1994-2014) does not include administrative cost of Credit Program.

# FTEs - Historical & Estimated

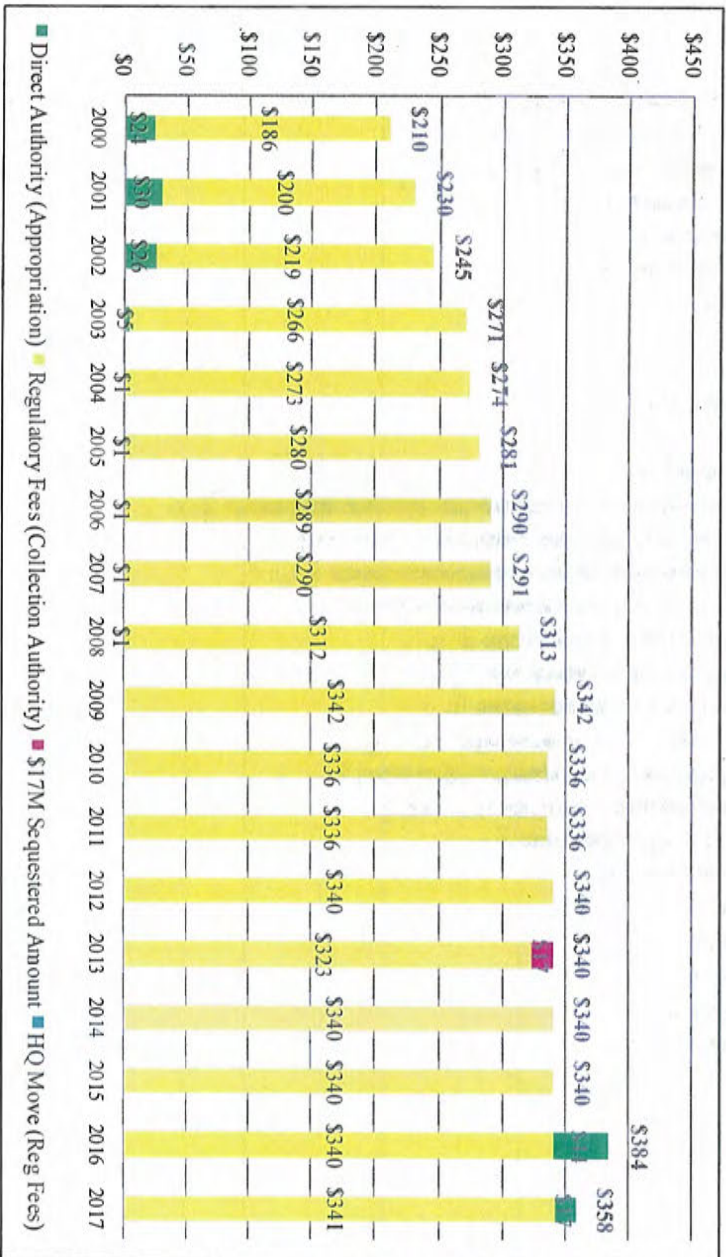
FYs 1983 - 2017



Fiscal years 2016 and 2017 are estimates.



# Fiscal Years 2000 - 2017 Resources Comparison



In FYs 2016 and 2017, \$44 million and \$17 million, respectively, are for the necessary expenses associated with moving the FCC headquarters to a new facility or reconfiguring the existing space 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 amount shown for FY 2013 in the above graph includes the \$17 million sequestered amount.





# Legislative Proposals

The Administration is proposing legislative changes in the President's FY 2017 Budget that pertain to the FCC. These proposals are designed to improve spectrum management and represent sound economic policy.

## Spectrum License Fee Authority

To promote efficient use of the electromagnetic spectrum, the Administration proposes to provide the FCC with new authority to use other economic mechanisms, such as fees, as a spectrum management tool. The FCC would be authorized to set charges for unauctioned spectrum licenses based on spectrum-management principles. Fees would be phased in over time as part of an ongoing rulemaking process to determine the appropriate application and level for fees.

## Auction Domestic Satellite Service Spectrum Licenses

The FCC would be allowed to assign licenses for certain satellite services that are predominantly domestic through competitive bidding, as had been done before a 2005 court decision called the practice into question on technical grounds. The proposal is expected to raise \$50 million from 2017–2026. These receipts would be deposited in the general fund for deficit reduction.

## Auction or Assign via Fee 1675-1680 Megahertz

The Budget proposes that the FCC either auction or use fee authority to assign spectrum frequencies between 1675-1680 megahertz for flexible use by 2020, subject to sharing arrangements with Federal weather satellites. Currently, the spectrum is being used for radiosondes (weather balloons), weather satellite downlinks, and data broadcasts, and the band will also support future weather satellite operations. NOAA began transitioning radiosondes operations out of the band in 2016 as part of the Advanced Wireless Services 3 (AWS-3) relocation process. If this proposal is enacted, NOAA would establish limited protection zones for the remaining weather satellite downlinks and develop alternative data broadcast systems for users of its data products. Without this proposal, these frequencies are unlikely to be auctioned and repurposed to commercial use. The proposal is expected to raise \$300 million in receipts over 10 years.





# FCC Strategic Goals

## **Strategic Goal 1: Promoting Economic Growth and National Leadership**

*Promote the expansion of competitive telecommunications networks which are a vital component of technological innovation and economic growth, helping to ensure that the U.S. remains a leader in providing its citizens opportunities for economic and educational development.*

## **Strategic Goal 2: Protecting Public Interest Goals**

*The rights of network users and the responsibilities of network providers form a bond that includes consumer protection, competition, public safety and security. The FCC must protect and promote this Network Compact.*

## **Strategic Goal 3: Making Networks Work for Everyone**

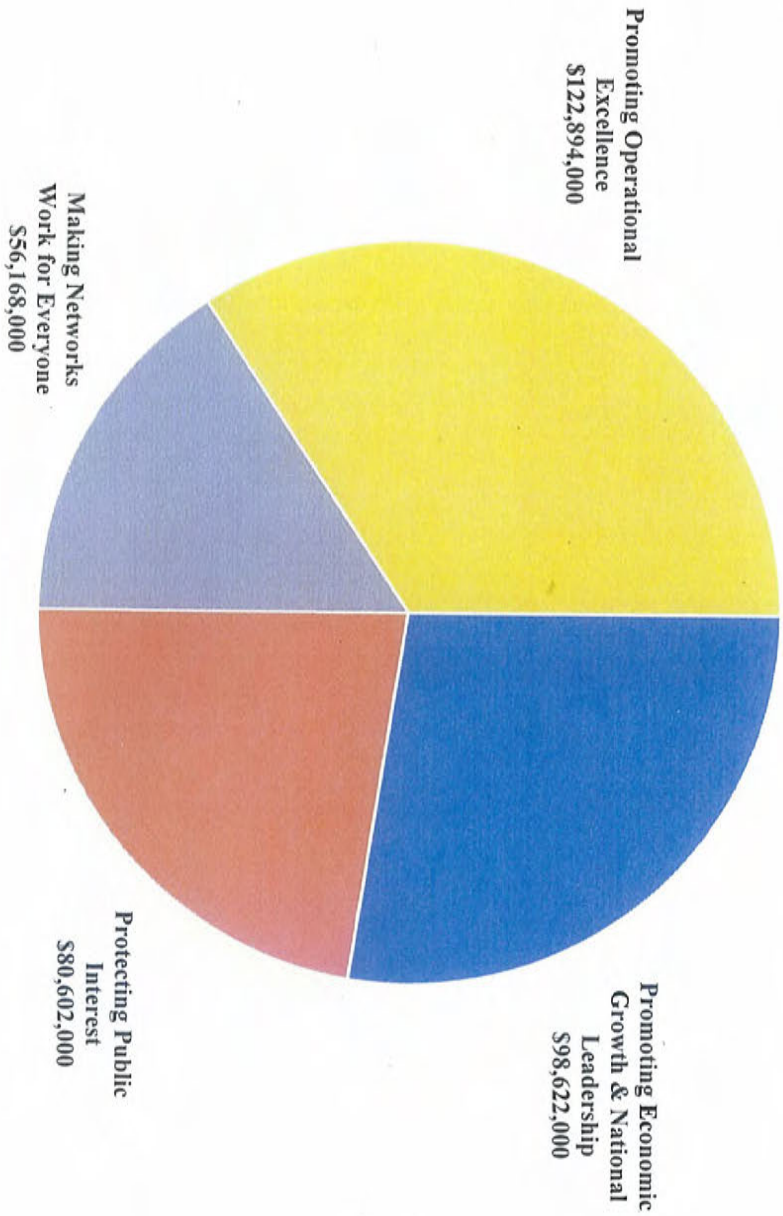
*In addition to promoting the development of competitive networks, the FCC must also ensure that all Americans can take advantage of the services they provide without artificial impediments.*

## **Strategic Goal 4: Promoting Operational Excellence**

*Make the FCC a model for excellence in government by effectively managing the FCC's resources and maintaining a commitment to transparent and responsive processes that encourage public involvement and best serve the public interest.*

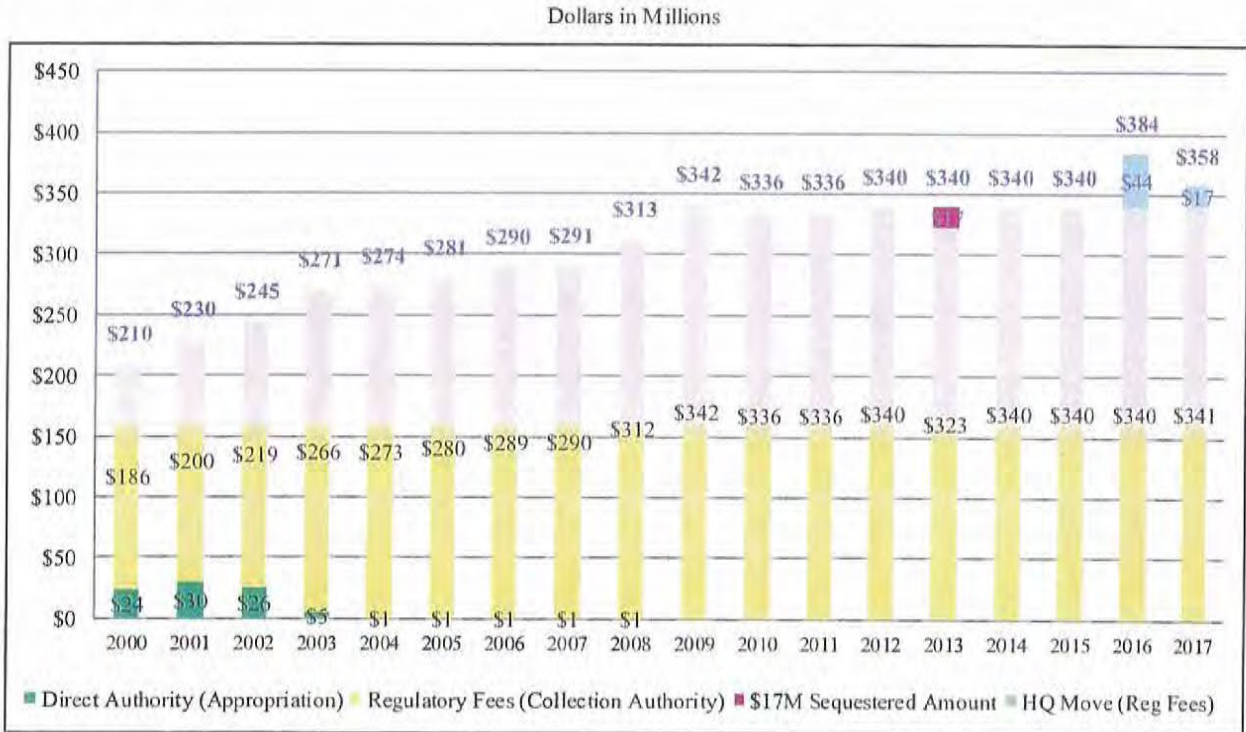


# Federal Communications Commission Fiscal Year 2017 – Budget Request by Strategic Goals Total Request from Regulatory Fees - \$358,286,000



## Historical Distribution of Appropriated Budget Authority

The following graph depicts the historical distribution of appropriated budget authority since Fiscal Year 2000.



In FYs 2016 and 2017, \$44 million and \$17 million, respectively, are for the necessary expenses associated with moving the FCC headquarters to a new facility or reconfiguring the existing space 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 amount shown for FY 2013 in the above graph includes the \$17 million sequestered amount.

## Spectrum Auctions and Collections

Fiscal Years 1994 through 2015

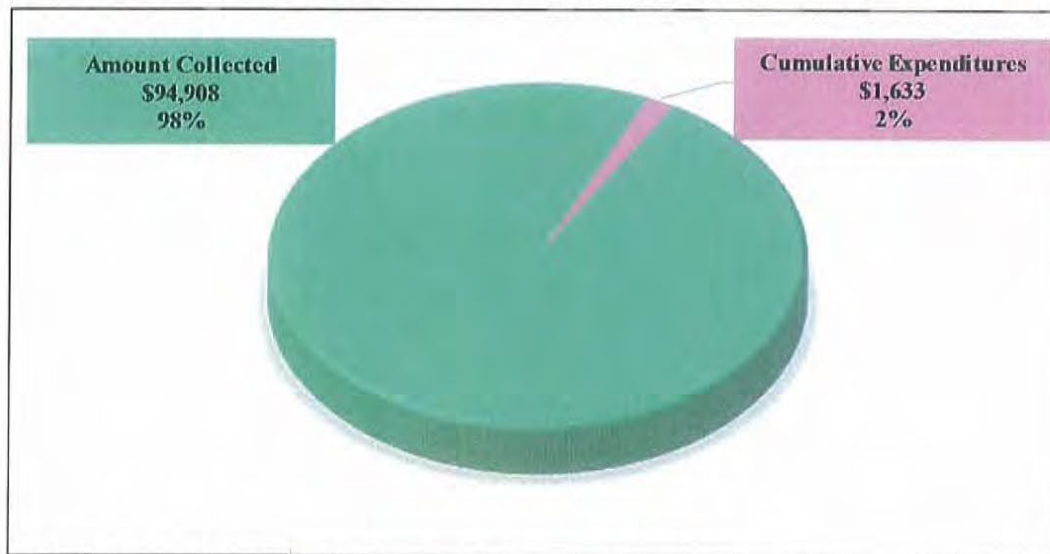
As of September 30, 2015

Fiscal Year	Number of Auctions	Number of Licenses Won	Amount Collected
1994	2	604	\$652,954,213
1995	2	129	8,234,321,194
1996	6	2,026	2,019,376,024
1997	4	1,614	2,205,922,232
1998	2	1,388	860,878,576
1999	6	1,693	499,598,445
2000	8	4,403	1,335,043,185
2001	4	3,447	583,599,901
2002	7	7,036	135,630,842
2003	7	3,144	77,121,620
2004	5	267	126,790,232
2005	6	2,803	2,208,332,556
2006	5	1,284	13,834,972,696
2007	5	293	163,429,971
2008	3	1,144	18,987,705,659
2009	2	115	5,597,028
2010	3	4,788	25,972,328
2011	3	126	31,491,503
2012	1	93	3,869,571
2013	2	3,197	5,775,135
2014	2	186	1,564,594,550
2015	2	1,713	41,344,729,025
<b>Totals</b>	<b>87</b>	<b>41,493</b>	<b>\$94,907,706,486</b>

## Spectrum Auctions – Collections vs. Expenditures

Fiscal Years 1994 through 2015

(Dollars in Millions)



Cumulative Expenditures includes the amount appropriated for FY 2016.

### Fee Collections Fiscal Years 2000 - 2017



In FY 2016, \$44 million is dedicated for the necessary expenses associated with moving the FCC headquarters to a new facility or reconfiguring the existing space to significantly reduce space consumption. In FY 2017, \$17 million is dedicated for that same purpose.



## Regulatory Fee

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

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

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

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

The Commission implemented the Regulatory Fee Collection Program by rulemaking on July 18, 1994. The most recent fee schedule became effective on September 1, 2015, pursuant to an order adopted and released by the Commission on September 1, 2015.

## Availability of Regulatory Fee

Appropriations language for FY 2016 prohibits the Commission from using any excess offsetting collections received in FY 2016 or any prior years. The Commission proposed the same treatment of excess collections in its FY 2017 budget request. As of September 2015, the Commission has collected just over \$98 million in excess regulatory fees in total.

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 in offsetting collections and the availability of this fund is subject to appropriation authority.

The FY 2016 enacted appropriation maintained regulatory fees at the \$339.8 million level for Salaries and Expenses, and also included a provision to make available another \$44.2 million in regulatory fees for the necessary expenses associated with moving to a new facility or

## Legislative Proposals

The Administration is proposing legislative changes in the President's FY 2017 Budget that pertain to the FCC. These proposals are designed to improve spectrum management and represent sound economic policy.

### **Spectrum License Fee Authority**

To promote efficient use of the electromagnetic spectrum, the Administration proposes to provide the FCC with new authority to use other economic mechanisms, such as fees, as a spectrum management tool. The FCC would be authorized to set charges for unauctioned spectrum licenses based on spectrum-management principles. Fees would be phased in over time as part of an ongoing rulemaking process to determine the appropriate application and level for fees.

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

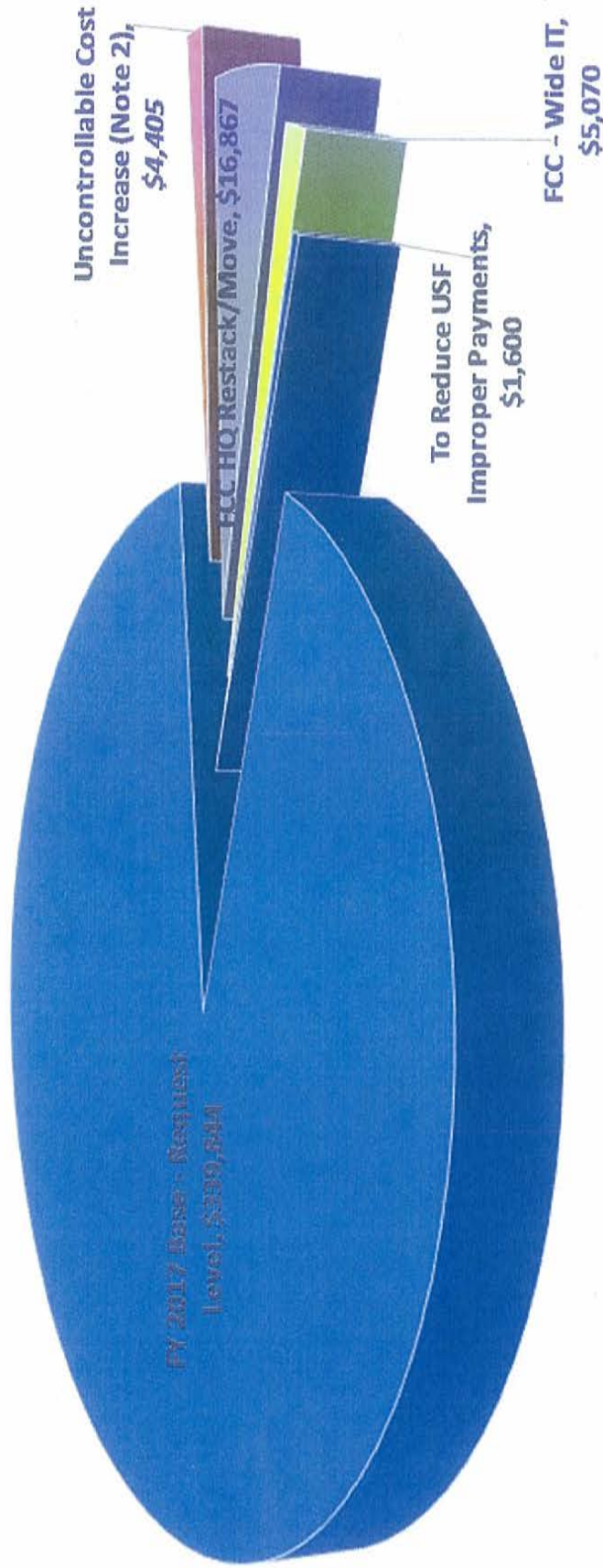
The FCC would be allowed to assign licenses for certain satellite services that are predominantly domestic through competitive bidding, as had been done before a 2005 court decision called the practice into question on technical grounds. The proposal is expected to raise \$50 million from 2017–2026. These receipts would be deposited in the general fund for deficit reduction.

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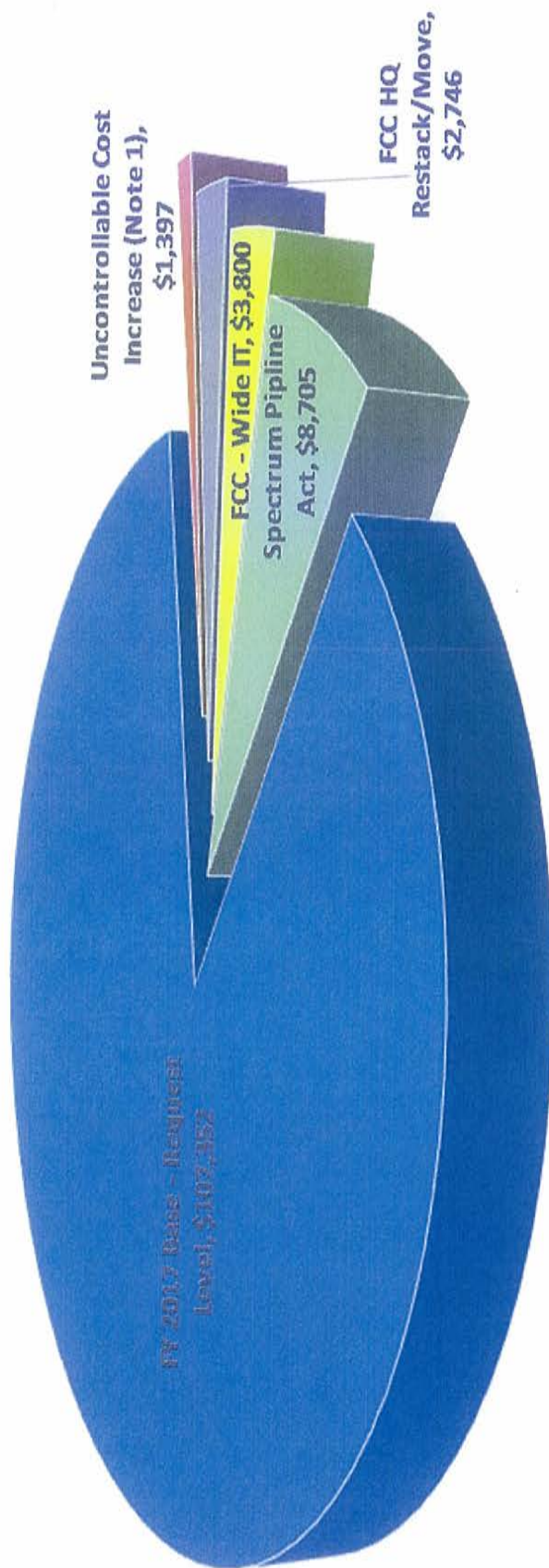


**FY 2017 Budget Request - Regulatory Fees: \$358.3 Million**  
**Incremental Increase to Base (Note 1)**  
**(Dollars in Thousands)**

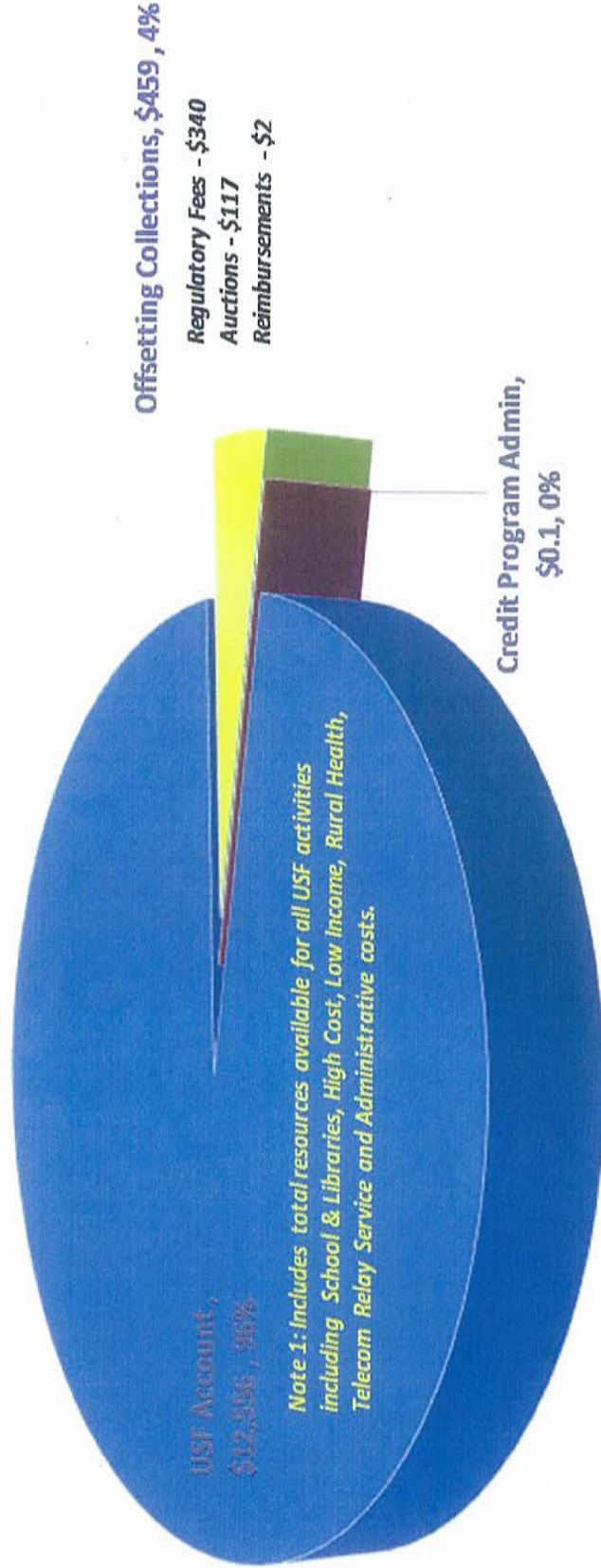


Note 1: The above totals to \$367.8 Million, the FCC also requested in the FY 2017 Budget a \$9.5 Million transfer from USF.  
 Note 2: Includes all the inflationary increases.

**FY 2017 Budget Request - Auctions: \$124 Million**  
**Incremental Increase to Base**  
**(Dollars in Thousands)**



**FCC FY 2017 Budget By Funding Source**  
**\$13.01 Billion for all FCC Activities, including USF and Spectrum Financing Account**  
**(Dollars in Millions)**





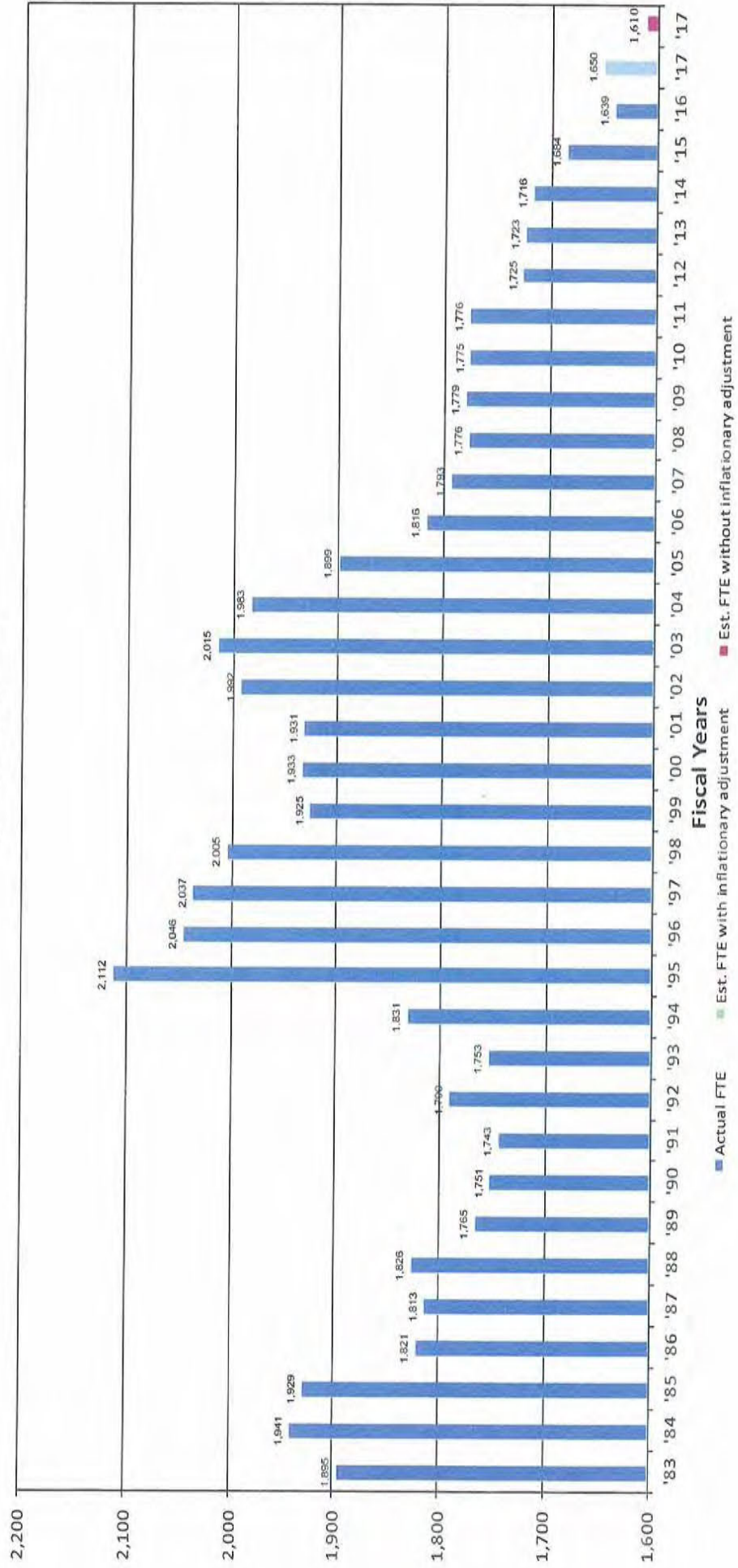
## FCC FTEs History By Fund Category FY 2012 - FY 2017



■ S&E FTE   
 ■ Auction FTE   
 ■ Other FTE

# FEDERAL COMMUNICATIONS COMMISSION FTEs - Historical & Estimated

Fiscal Years 1983 - 2017



# FCC Workforce Profile as of September 18, 2016

## Total Workforce Onboard Count

	Total Staff	%
Office of the Commissioners (Comm)	21	1.3%
Office of Inspector General (OIG)	45	2.8%
Office of Communications Business Opportunity (OCBO)	9	0.6%
Office of Workforce Diversity (OWD)	4	0.2%
Office of Legislative Affairs (OLA)	11	0.7%
International Bureau (IB)	102	6.4%
Office of Administrative Law Judges (ALJ)	4	0.2%
Office of Strat Plan & Pol Analysis (OSP)	17	1.1%
Office of Managing Director (OMD)	195	12.1%
Office of Engineering/Technology (OET)	80	5.0%
Office of General Counsel (OGC)	80	5.0%
Wireless Telecommunications Bureau (WTB)	209	13.0%
Office of Media Relations (OMR)	17	1.1%
Enforcement Bureau (EB)	229	14.3%
Wireline Competition Bureau (WCB)	167	10.4%
Media Bureau (MB)	167	10.4%
Consumer and Governmental Affairs Bureau (CGB)	145	9.0%
Public Safety and Homeland Security Bureau (PSHS)	104	6.5%
Grand Total	1,606	100.0%

### Basic Demographics

Average Age	49.86
Average FCC Tenure	15.49
Average Fed Tenure	18.50
Percentage of Full-time Staff	98.8%
Percentage of Permanent Staff	96.3%
Supervisory Ratio	1: 4.8

### Compensation

Grade Distribution	Average Salary
GS1-4	0.6%
GS5-8	3.6%
GS9-13	30.2%
GS14-15	62.0%
SES/SJ/EX/AL	3.7%

\*Excludes EF (consultants)

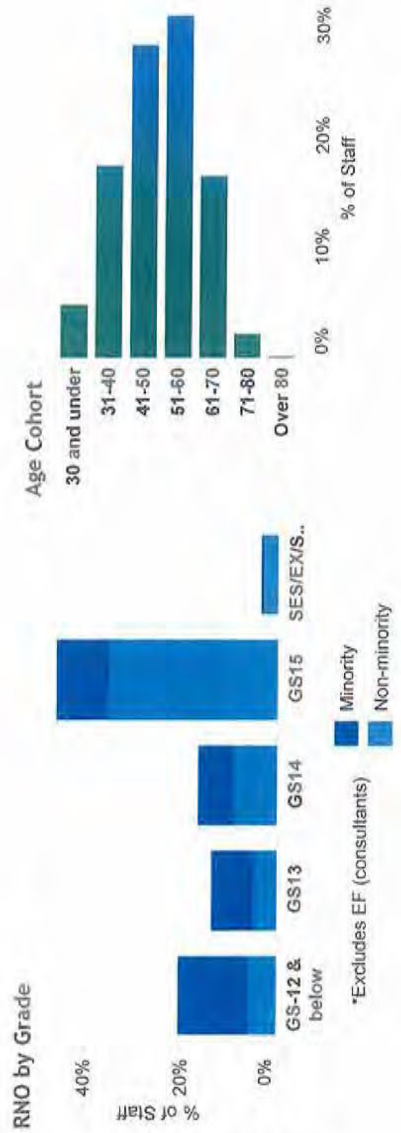
## Mission Critical Occupations (MCOs)

Series	Total Staff
0110 - Economists	59
0855- Engineers	232
0905 - Attorneys	583

## Diversity Representation

RNO/Ethnicity	Gender
Minority	Female 50.7%
Non-minority	Male 49.3%

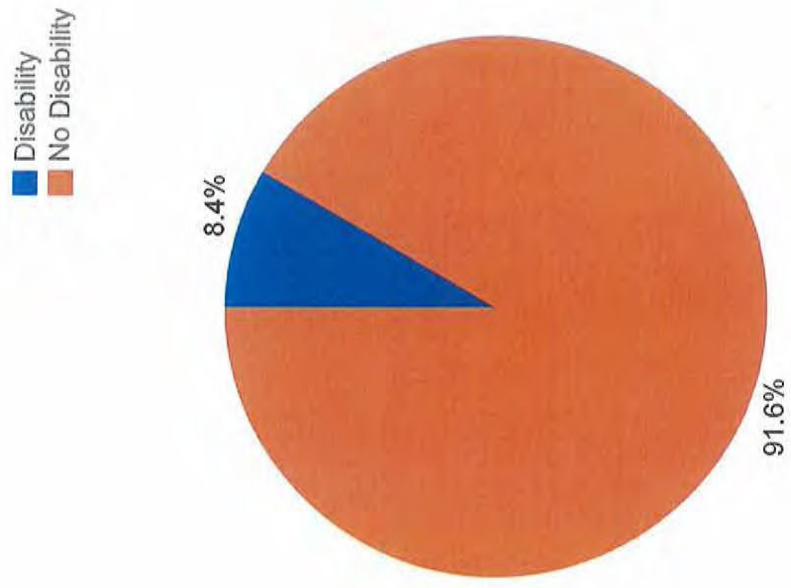
Disability Status	%
Disability not identified	2.9%
No disability	91.6%
Disability not listed	0.9%
Non-targeted disability	3.3%
Targeted disability	1.2%



\*Excludes EF (consultants)

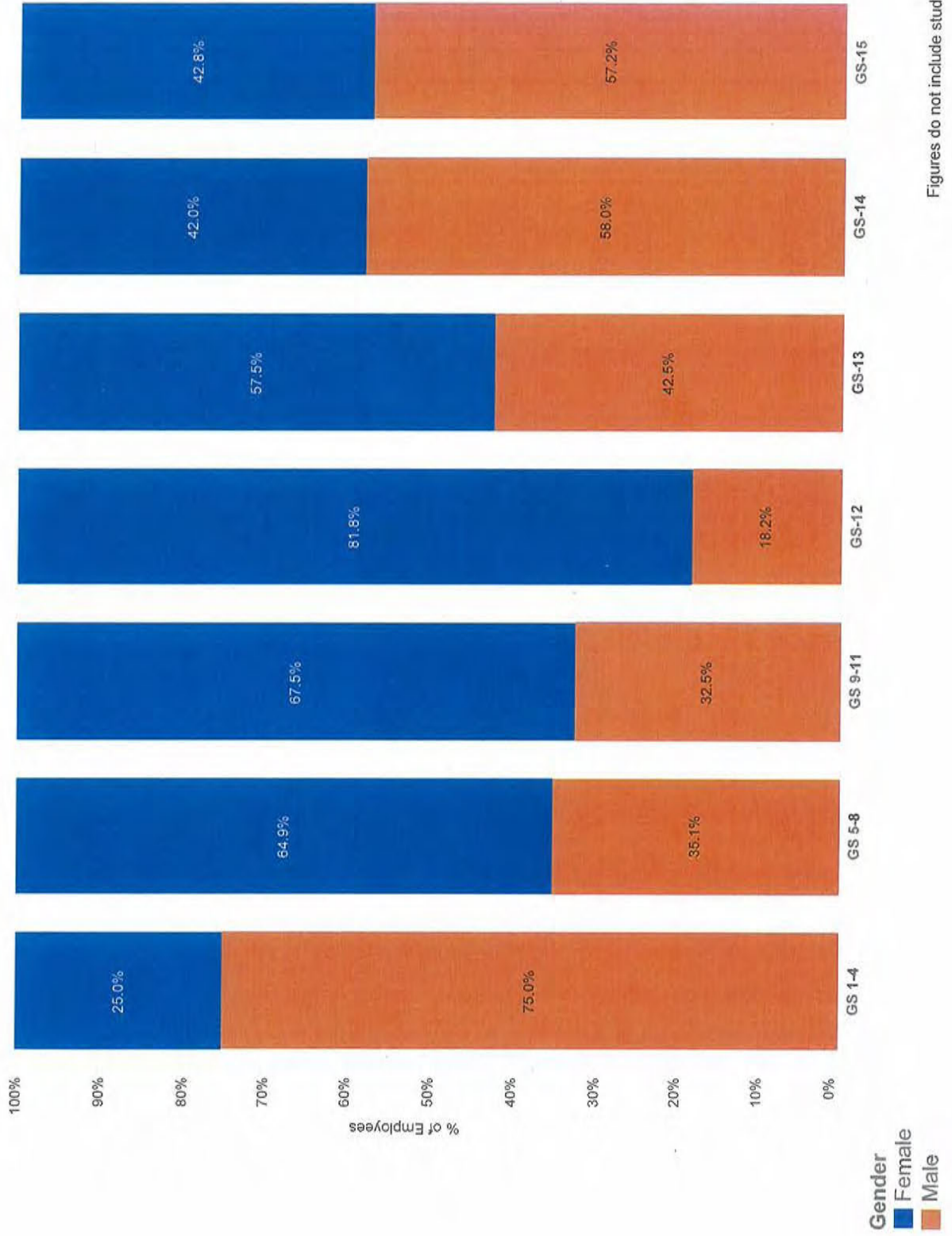


FCC Employees by Disability Status  
As of September 18, 2016



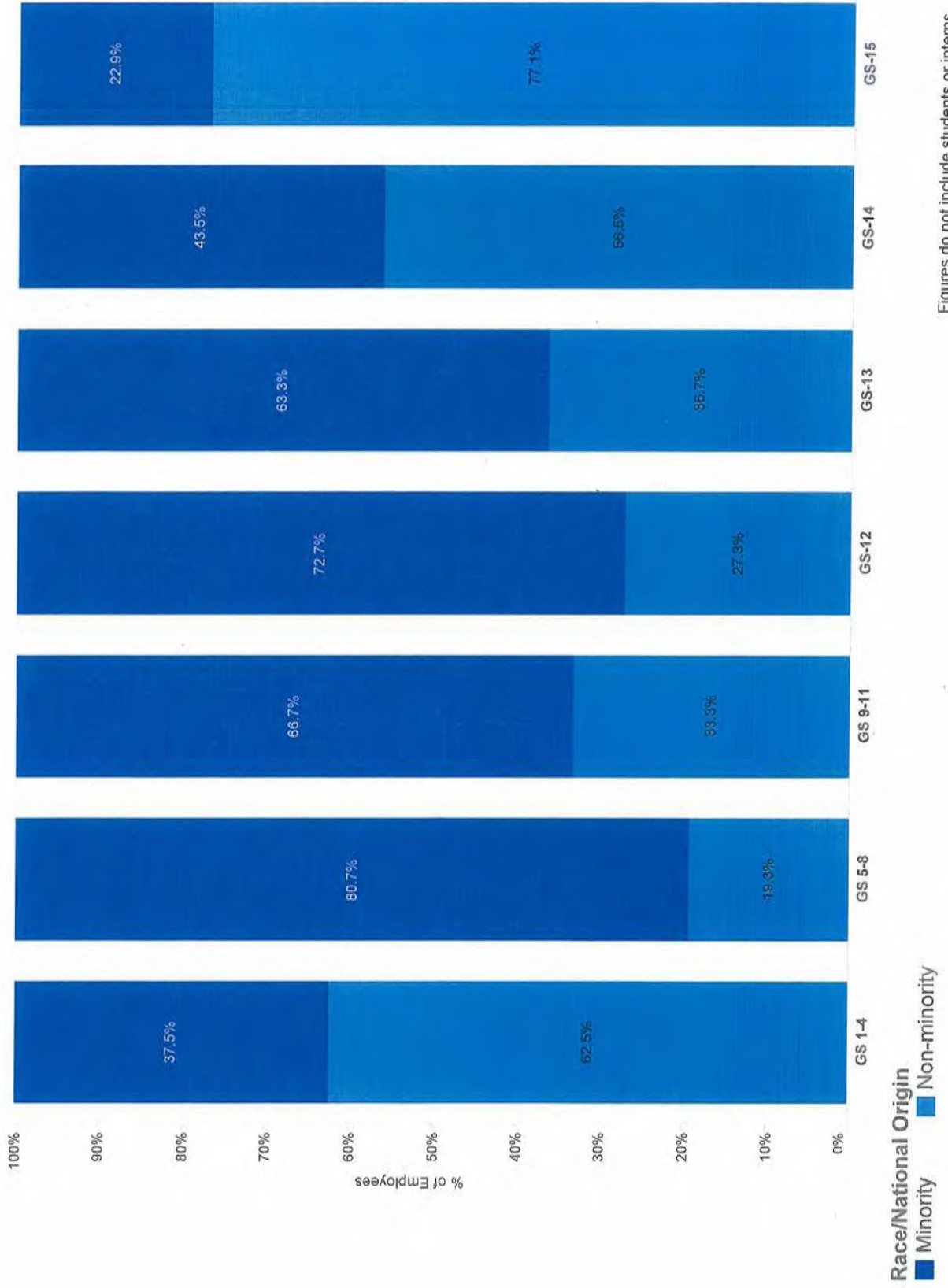
Figures do not include students or interns.

FCC Employees by Gender & Grade (GS 1-15)  
As of September 18, 2016



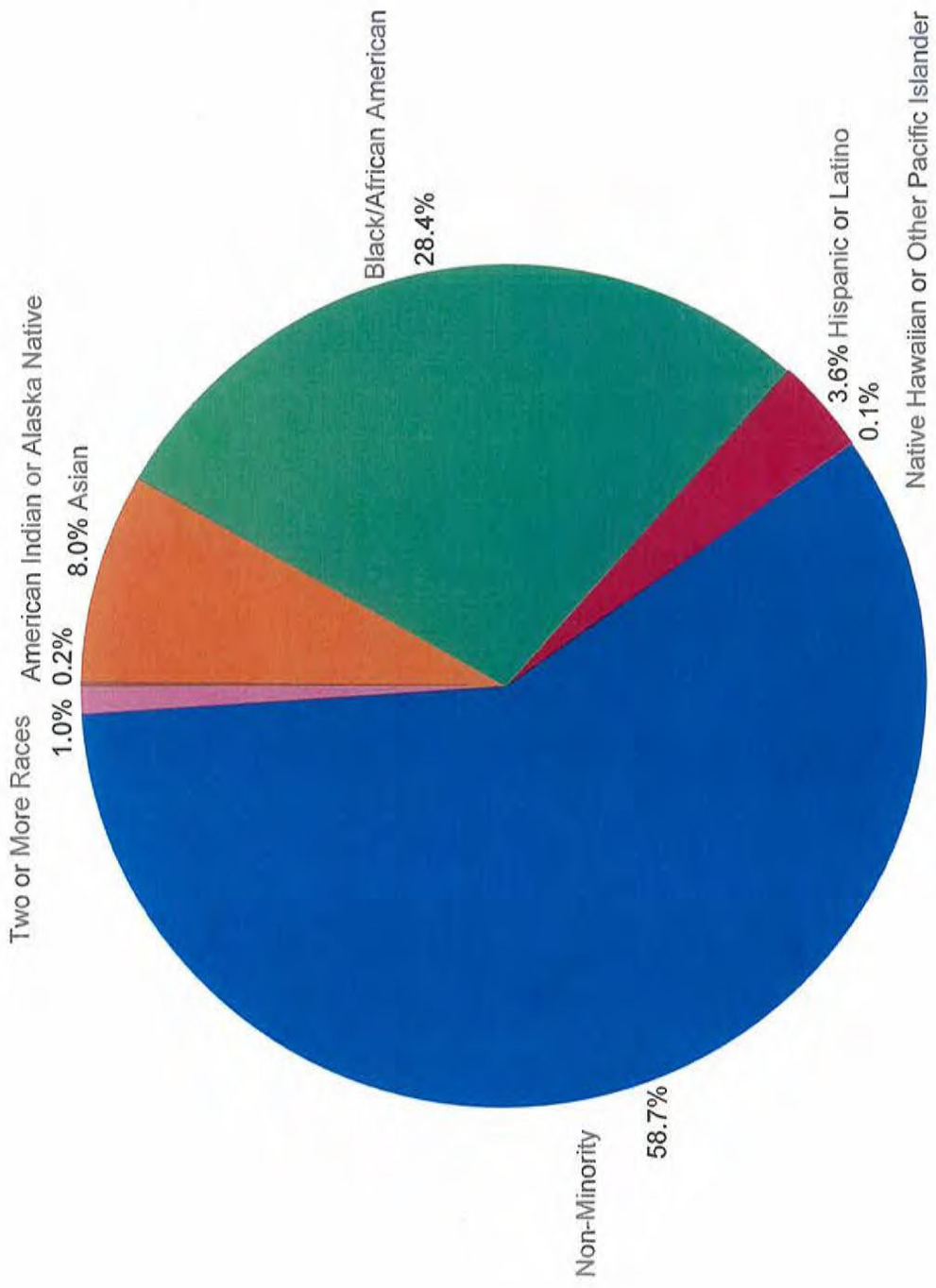
Figures do not include students or interns.

FCC Employment by Race/National Origin & Grade (GS 1-15)  
As of September 18, 2016



Figures do not include students or interns.

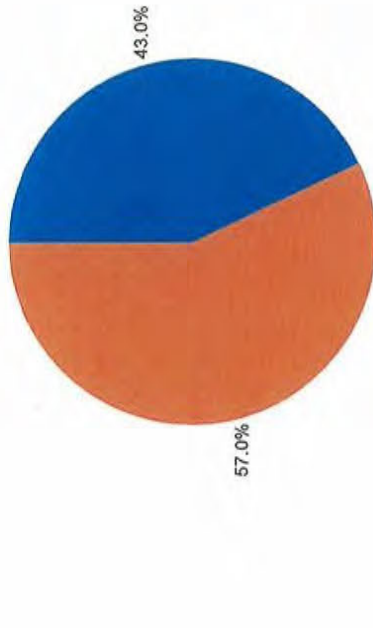
FCC Employment by Race & National Origin  
As of September 18, 2016



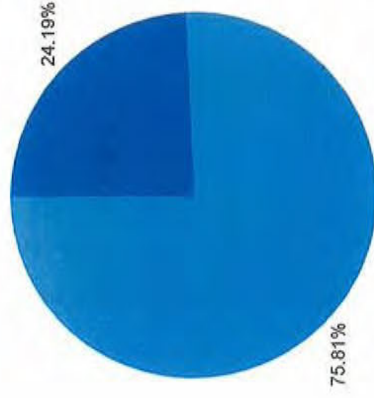
Figures do not include students or interns.



FCC Employment  
Supervisors\* by Race/National Origin & Gender  
As of September 18, 2016



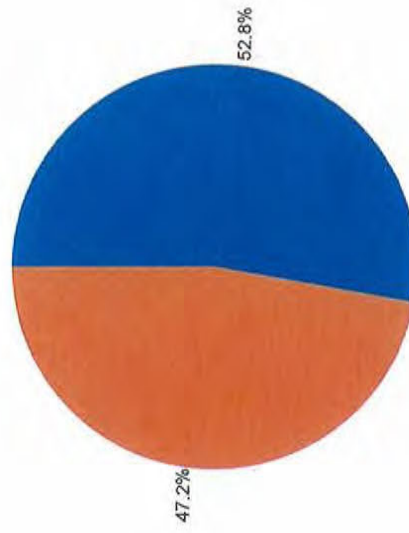
Female  
Male



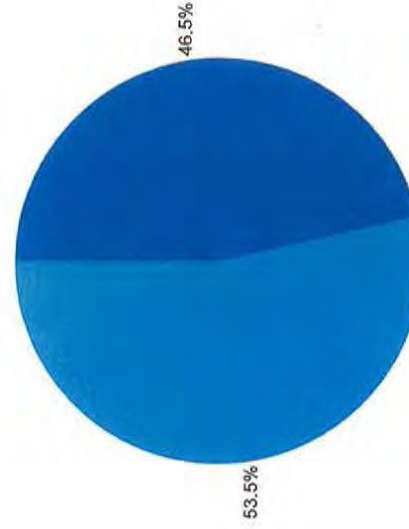
Minority  
Non-minority

Figures do not include students or interns.

FCC Employment  
Non-Supervisors\* by Race/National Origin & Gender  
As of September 18, 2016



Female  
Male



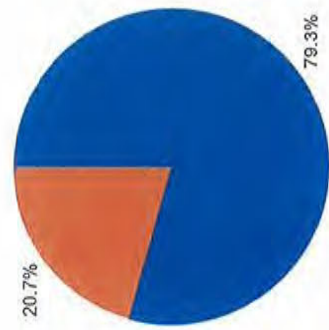
Minority  
Non-minority

Figures do not include students or interns.

**FCC Employment  
Headquarters & Field Positions  
As of September 18, 2016**

HQ-Field	Total Staff	% of Staff
Columbia, MD	34	2.1%
EB Field Offices	71	4.4%
Gettysburg, PA	69	4.3%
Washington, DC	1,431	89.2%
<b>Grand Total</b>	<b>1,605</b>	<b>100.0%</b>

**FCC Employment  
by Supervisory Status  
As of September 18, 2016**

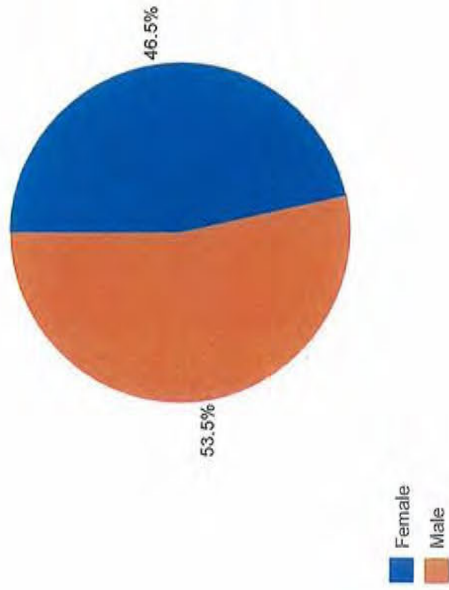


■ Non-supervisor  
■ Supervisor

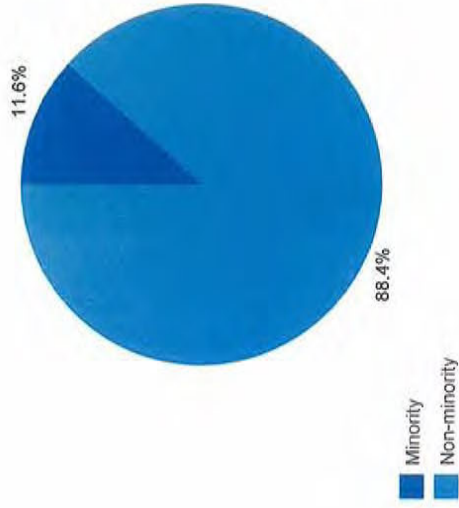
Fig

Figures do not include students or interns.

FCC Employment  
Senior Executive Service by Gender  
As of September 18, 2016



FCC Employment  
Senior Executive Service by Race/National Origin  
As of September 18, 2016





October 25, 2016

**FCC APPELLATE LITIGATION MATTERS  
PRESIDENTIAL TRANSITION BRIEFING**

**CASES AWAITING A COURT DECISION:<sup>1</sup>**

- *AT&T Corp. v. FCC* (FCC's interpretation of its "VoIP Symmetry" rule requiring long distance carriers to pay access charges to "over-the-top" providers of Voice over Internet Protocol service) (argued Sept. 8, 2016)
- *NTCH, Inc. v. FCC* (assignment of AWS-1 licenses to Verizon Wireless) (argued Sept. 9, 2016)
- *Neustar, Inc. v. FCC* (selection of new number portability administrator to succeed Neustar) (argued Sept. 12, 2016)
- *SNR Wireless v. FCC* (ineligibility of certain winning bidders in spectrum auction for billions of dollars of "designated entity" bidding credits) (argued Sept. 26, 2016)
- *ACA Int'l v. FCC* (Omnibus ruling regarding issues concerning "auto-dialers" under the Telephone Consumer Protection Act) (argued Oct. 19, 2016)
- *Walker Broadcasting Co. v. FCC* (eligibility of TV broadcast licensee to participate in incentive spectrum auction) (argued Oct. 25, 2016)

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<sup>1</sup> All cases in the United States Court of Appeals for the District of Columbia Circuit unless otherwise noted.

- *United States Telecom Ass'n v. FCC* (petitions for rehearing en banc of the court's opinion affirming the Open Internet rules) (FCC opposition filed Oct. 3, 2016)
- *Securus Technologies, Inc. v. FCC* (motions for stay of the Inmate Calling Services rules pending review on the merits) (FCC opposition filed Oct. 13, 2016) (court will issue merits briefing schedule after it rules on the motions for stay)

#### **UPCOMING ORAL ARGUMENTS:**

- *Bais Yaakov of Spring Valley v. FCC* (issues involving “junk faxes” under the Telephone Consumer Protection Act) (Nov. 8, 2016)
- *Nat'l Ass'n of Telecommunications Officers and Advisors* (presumption of “effective competition” triggering rate deregulation of cable television operators) (Nov. 10, 2016)
- *Montgomery Cty., MD v. FCC* (rules designed to expedite and streamline the cable franchise renewal process employed by local franchising authorities) (Dec. 8, 2016) (Sixth Circuit)

### **UPCOMING MERITS BRIEFS:**

- *Council Tree Investors v. FCC* (revised eligibility rules for “designated entity” status of bidders participating in spectrum auctions) (brief due Nov. 10, 2016) (Third Circuit)
- *Free Access and Broadcast Telemedia v. FCC* (rules implementing the broadcast incentive auction) (brief due Nov. 14, 2016)
- *Barry Lunderville v. FCC* (incentive auction bid withdrawal penalty) (brief due Nov. 18, 2016) (First Circuit)
- *Multicultural Media, Telecom, and Internet Council v. FCC* (rules governing multilingual requirements for the Emergency Alert System) (brief due Dec. 1, 2016)
- *Edward Stoltz v. FCC* (assignment of FM radio license in Sacramento, CA) (brief due Dec. 15, 2016)
- *Press Commc’ns, Inc. v. FCC* (denial of request to modify facilities of FM station in New Jersey) (brief due Jan. 12, 2017)
- *NTCH, Inc. v. FCC* (denial of complaint alleging violations by Verizon Wireless of the voice and data roaming rules) (brief due Jan. 23, 2017)

**BRIEFED CASES AWAITING AN ORAL ARGUMENT DATE:**

- *All American Tel. Co. v. FCC* (award of damages to complainant AT&T Corp. for violations by All American Tel. Co. of the access charge rules) (brief filed May 3, 2016)
- *Nat'l Ass'n of Regulatory Util. Commissioners v. FCC* (direct access to telephone numbers by Voice over Internet Protocol service providers) (brief filed May 19, 2016)
- *Nueva Esperanza, Inc. v. FCC* (grant of a permit to construct a new Low Power FM station in Philadelphia) (brief filed June 13, 2016)
- *Ameren Corp. v. FCC* (revised formula to calculate rates for pole attachments by providers of telecommunications services) (brief filed Aug. 9, 2016) (Eighth Circuit)
- *United States Telecom Ass'n v. FCC* (declaratory rulings and new rules governing the transition from circuit-switched networks to Internet Protocol communications networks) (brief filed Aug. 15, 2016)
- *AT&T Inc. v. FCC* (service requirements for price cap carrier recipients of high-cost universal support subsidies) (brief filed Sept. 2, 2016)
- *Global Tel\*Link v. FCC* (rate caps for interstate and intrastate inmate calling services and related reforms) (brief filed Sept. 12, 2016)



**CASES AWAITING A BRIEFING SCHEDULE:**

- *AT&T, Inc. v. FCC* (investigation of business data system tariffs)
- *Twenty-First Century Fox, Inc. v. FCC* (elimination of the “UHF discount” to determine compliance with the media ownership limits)
- *Allband Commc’ns Coop. v. FCC* (denial of waiver of cap on high-cost universal service subsidies in Michigan)