

(7) Information indicating that a relevant taxpayer who received advance payments of the premium tax credit in the reference tax year did not file a tax return for the reference tax year reconciling the advance payments of the premium tax credit with any premium tax credit under section 36B of the Internal Revenue Code available for that year.

(b) *Relevant taxpayer defined.* For purposes of paragraph (a) of this section, a relevant taxpayer is defined to be any individual listed, by name and social security number, on an application submitted pursuant to Title I, Subtitle E, of the Patient Protection and Affordable Care Act, whose income may bear upon a determination of any advance payment of any premium tax credit under section 36B of the Internal Revenue Code, cost-sharing reduction under section 1402 of the Patient Protection and Affordable Care Act, or eligibility for any program described in section 6103(l)(21)(A) of the Internal Revenue Code.

(c) *Reference tax year defined.* For purposes of section 6103(l)(21)(A) of the Internal Revenue Code and this section, the reference tax year is the first calendar year or, where no return information is available in that year, the second calendar year, prior to the submission of an application pursuant to Title I, Subtitle E, of the Patient Protection and Affordable Care Act.

(d) *Effective/applicability date.* This section applies to disclosures to the Department of Health and Human Services on or after August 14, 2013.

**Beth Tucker,**

*Acting Deputy Commissioner for Services and Enforcement.*

Approved: July 10, 2013.

**Mark J. Mazur,**

*Assistant Secretary of the Treasury (Tax Policy).*

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## FEDERAL COMMUNICATIONS COMMISSION

### 47 CFR Part 1

[DA 13-1615]

### Inflation Adjustment of Maximum Forfeiture Penalties

**AGENCY:** Federal Communications Commission.

**ACTION:** Final rule.

**SUMMARY:** This document increases the maximum civil monetary forfeiture penalties available to the Commission

under its rules governing monetary forfeiture proceedings to account for inflation. The inflation adjustment is necessary to implement the Debt Collection Improvement Act of 1996 (DCIA), which requires federal agencies to adjust “civil monetary penalties provided by law” at least once every four years.

**DATES:** Effective September 13, 2013.

**FOR FURTHER INFORMATION CONTACT:** Kimbarly Taylor, Enforcement Bureau, Telecommunication Consumers Division, 202-418-1188.

**SUPPLEMENTARY INFORMATION:** This is a summary of the Order by the Commission, DA 13-1615, adopted on August 1, 2013, and released on August 1, 2013. The complete text of this Order is available for inspection and copying during normal business hours in the FCC Reference Information Center, Courtyard Level, 445 12th Street SW., Washington, DC and also may be purchased from the Commission’s copy contractor, Best Copy and Printing, Inc., at (202) 488-5300, Room CY-B402, Portals II at 445 12th Street SW., Washington, DC.

This Order amends § 1.80(b) of the Commission’s rules, 47 CFR 1.80(b), to increase the maximum civil penalties established in that section to account for inflation since the last adjustment to these penalties. The adjustment procedure is set forth in detail in § 1.80(b)(9) of the Commission’s rules. That section implements the Debt Collection Improvement Act of 1996, 28 U.S.C. 2461 note, which requires federal agencies to adjust maximum statutory civil monetary penalties at least once every four years.

This Order adjusts the maximum penalties to account for the cost-of-living increase in the Consumer Price Index (CPI) between June of the year the forfeiture amount was last set or adjusted,<sup>1</sup> and June 2012. Once the cost-

<sup>1</sup> Under the rounding rules set forth in § 1.80(b)(9)(ii), 47 CFR 1.80(b)(9)(ii), the inflationary adjustment for a statutory forfeiture amount must reach a specific threshold before the Commission may increase the maximum forfeiture amount. That adjustment is based on the difference between the CPI of “June of the preceding year” (here, June 2012) and that of June of the year a particular forfeiture was “last set or adjusted.” 47 CFR 1.80(b)(9)(i). Thus, different CPIs may be used to calculate the inflation factors for different statutory forfeitures, depending on when a particular forfeiture was last increased. Specifically, we calculate the difference between the CPI for June 2012 and: June 2011 (to adjust the penalties for 227(e) of the Communications Act of 1934, as amended (Communications Act or Act)), June 2010 (to adjust the penalties for Section 503(b)(2)(F)), June 2008 (to adjust the penalties for Sections 202(c), 203(e), 220(d), 223(b), 364(a), 386(a), 503(b)(2)(A), 503(b)(2)(B), 503(b)(2)(D), 506(a), and 634), June 2007 (to adjust the penalties for Section

of-living adjustment is calculated for the relevant period, each existing maximum penalty is multiplied by the cost-of-living adjustment percentage. See 28 U.S.C. 2461 note 5(a). Each result is then rounded using the statutorily defined rules, which are set forth in the Commission’s rules at 47 CFR 1.80(b)(9)(ii).<sup>2</sup> Finally, the rounded result is added to the existing penalty amount to adjust each maximum monetary forfeiture penalty accordingly.<sup>3</sup>

Because Congress has mandated these periodic rule changes and the Commission is required to make them, we find that, for good cause, compliance with the notice and comment provisions of the Administrative Procedure Act is unnecessary. See 5 U.S.C. 553(b)(B).

Likewise, because a notice of proposed rulemaking is not required for these rule changes, the Regulatory Flexibility Act, 5 U.S.C. 601 *et seq.*, does not apply.

Further, the Commission has analyzed the actions taken here with respect to the Paperwork Reduction Act of 1995

503(b)(2)(C)), June 2004 (to adjust the penalties for Sections 205(b), 214(d), and 219(b)), and June 1997 (to adjust the penalties for Sections 364(b), 386(b), and 506(b)).

<sup>2</sup> Based on our application of the rounding rules, there are a number of penalties currently set forth in § 1.80(b) of the Commission’s rules that do not require adjustments for inflation at this time, including the penalties imposed pursuant to Sections 202(c), 203(e), 214(d), 219(b), 220(d), 227(e) (the amounts for a single violation or single day of a violation), 364(a) & (b), 386(a) & (b), 503(b)(2)(A) (the amount for a single violation or single day of a violation), 503(b)(2)(D) (the amount for a single violation or single day of a violation), 506(a) & (b), and 634 of the Act. We also do not alter the penalties imposed pursuant to Sections 6507(b)(4) and 6507(b)(5) of the Middle Class Tax Relief and Job Creation Act of 2012 because the Commission only implemented the Tax Relief Act in 2012. See Implementation of the Middle Class Tax Relief and Job Creation Act of 2012, 72 FR 71131, 71134 (November 29, 2012). Accordingly, the only penalties adjusted in this order are those set forth in Sections 205(b), 223(b), 227(e) (for continuing violations), 503(b)(2)(A) (for continuing violations), 503(b)(2)(B), 503(b)(2)(C), 503(b)(2)(D) (for continuing violations), and 503(b)(2)(F).

<sup>3</sup> Pursuant to the DCIA, § 1.80(b)(9) includes a note that specifies one further consideration: “[T]he first inflation adjustment [of a given penalty] cannot exceed 10 percent of the [existing] statutory maximum amount.” 47 CFR 1.80(b)(9) note. The § 1.80(b)(9) note was inadvertently omitted from § 1.80(b) of the Commission’s rules when the penalties in that section were previously adjusted. This order corrects that omission by reinserting the § 1.80(b)(9) note in the § 1.80 rules. Relevant to the § 1.80(b)(9) note requirement, there are three sets of penalties addressed in this order that the Commission has not previously adjusted for inflation: the penalties set forth in Section 227(e) of the Act (continuing violations), those set forth in Section 503(b)(2)(C) of the Act, and those set forth in Section 503(b)(2)(F) of the Act. With respect to Section 227(e), Section 503(b)(2)(C), and Section 503(b)(2)(F) of the Act, our adjustments do not exceed 10 percent of the existing statutory maximum forfeiture amounts.

(PRA), and we find them to impose no new or modified information collection subject to the PRA. In addition, therefore, pursuant to the Small Business Paperwork Relief Act of 2002, the Commission's actions do not impose any new or modified "information collection burden for small business concerns with fewer than 25 employees." See 44 U.S.C. 3506(c)(4).

The Commission will send a copy of this order to Congress and the Government Accountability Office pursuant to the Congressional Review Act, see 5 U.S.C. 801(a)(1)(A).

**List of Subjects in 47 CFR Part 1**

Administrative practice and procedure, Penalties.

Federal Communications Commission.

David Kolker,

Deputy Bureau Chief, Enforcement Bureau.

**Rule Changes**

For the reasons discussed in the preamble, the Federal Communications Commission amends 47 CFR part 1 as follows:

**PART 1—PRACTICE AND PROCEDURE**

■ 1. The authority citation for part 1 continues to read as follows:

**Authority:** 15 U.S.C. 79 et seq., 47 U.S.C. 151, 154(i) and (j), 155, 157, 225, 227, 303(r), and 309.

**§ 1.80 [Amended]**

■ 2. Amend § 1.80 as follows:

- a. Revise paragraphs (b)(1) through (b)(4).
- b. Revise paragraph (b)(7).
- c. Redesignate the note to paragraph (b)(5) as note to paragraph (b)(8) and revise the third and fourth sentences of its introductory text.
- d. Revise the table in Section III of the note to paragraph (b)(8).
- e. Revise the fourth sentence in paragraph (b)(9)(i).
- f. Revise the table in paragraph (b)(9)(iii).
- g. Add note to paragraph (b)(9).

**§ 1.80 Forfeiture proceedings.**

\* \* \* \* \*

(b) *Limits on the amount of forfeiture assessed.* (1) If the violator is a

broadcast station licensee or permittee, a cable television operator, or an applicant for any broadcast or cable television operator license, permit, certificate, or other instrument of authorization issued by the Commission, except as otherwise noted in this paragraph, the forfeiture penalty under this section shall not exceed \$37,500 for each violation or each day of a continuing violation, except that the amount assessed for any continuing violation shall not exceed a total of \$400,000 for any single act or failure to act described in paragraph (a) of this section. There is no limit on forfeiture assessments for EEO violations by cable operators that occur after notification by the Commission of a potential violation. See section 634(f)(2) of the Communications Act. Notwithstanding the foregoing in this section, if the violator is a broadcast station licensee or permittee or an applicant for any broadcast license, permit, certificate, or other instrument of authorization issued by the Commission, and if the violator is determined by the Commission to have broadcast obscene, indecent, or profane material, the forfeiture penalty under this section shall not exceed \$350,000 for each violation or each day of a continuing violation, except that the amount assessed for any continuing violation shall not exceed a total of \$3,300,000 for any single act or failure to act described in paragraph (a) of this section.

(2) If the violator is a common carrier subject to the provisions of the Communications Act or an applicant for any common carrier license, permit, certificate, or other instrument of authorization issued by the Commission, the amount of any forfeiture penalty determined under this section shall not exceed \$160,000 for each violation or each day of a continuing violation, except that the amount assessed for any continuing violation shall not exceed a total of \$1,575,000 for any single act or failure to act described in paragraph (a) of this section.

(3) If the violator is a manufacturer or service provider subject to the requirements of section 255, 716, or 718 of the Communications Act, and is

determined by the Commission to have violated any such requirement, the manufacturer or service provider shall be liable to the United States for a forfeiture penalty of not more than \$105,000 for each violation or each day of a continuing violation, except that the amount assessed for any continuing violation shall not exceed a total of \$1,050,000 for any single act or failure to act.

(4) Any person determined to have violated section 227(e) of the Communications Act or the rules issued by the Commission under section 227(e) of the Communications Act shall be liable to the United States for a forfeiture penalty of not more than \$10,000 for each violation or three times that amount for each day of a continuing violation, except that the amount assessed for any continuing violation shall not exceed a total of \$1,025,000 for any single act or failure to act. Such penalty shall be in addition to any other forfeiture penalty provided for by the Communications Act.

\* \* \* \* \*

(7) In any case not covered in paragraphs (b)(1) through (b)(6) of this section, the amount of any forfeiture penalty determined under this section shall not exceed \$16,000 for each violation or each day of a continuing violation, except that the amount assessed for any continuing violation shall not exceed a total of \$122,500 for any single act or failure to act described in paragraph (a) of this section.

(8) \* \* \*

**Note to paragraph (b)(8):** \* \* \* The forfeiture ceilings per violation or per day for a continuing violation stated in section 503 of the Communications Act and the Commission's rules are described in § 1.80(b)(9). These statutory maxima became effective September 13, 2013. \* \* \*

\* \* \* \* \*

**Section III. Non-Section 503 Forfeitures That Are Affected by the Downward Adjustment Factors**

\* \* \* \* \*

Violation	Statutory amount (\$)
Sec. 202(c) Common Carrier Discrimination .....	\$9,600, 530/day.
Sec. 203(e) Common Carrier Tariffs .....	9,600, 530/day.
Sec. 205(b) Common Carrier Prescriptions .....	23,200.
Sec. 214(d) Common Carrier Line Extensions .....	1,320/day.
Sec. 219(b) Common Carrier Reports .....	1,320.
Sec. 220(d) Common Carrier Records & Accounts .....	9,600/day.
Sec. 223(b) Dial-a-Porn .....	80,000/day.

Violation	Statutory amount (\$)
Sec. 227(e) .....	10,000/violation. 30,000/day for each day of continuing violation, up to 1,025,000 for any single act or failure to act.
Sec. 364(a) Forfeitures (Ships) .....	7,500 (owner).
Sec. 364(b) Forfeitures (Ships) .....	1,100 (vessel master).
Sec. 386(a) Forfeitures (Ships) .....	7,500/day (owner).
Sec. 386(b) Forfeitures (Ships) .....	1,100 (vessel master).
Sec. 634 Cable EEO .....	650/day.

(9) \* \* \*

(i) \* \* \* Round off this result using the rules in paragraph (b)(9)(ii) of this section. \* \* \*

\* \* \* \* \*

(iii) \* \* \*

U.S. Code citation	Maximum penalty after DCIA adjustment (\$)
47 U.S.C. 202(c) .....	9,600 530
47 U.S.C. 203(e) .....	9,600 530
47 U.S.C. 205(b) .....	23,200
47 U.S.C. 214(d) .....	1,320
47 U.S.C. 219(b) .....	1,320
47 U.S.C. 220(d) .....	9,600
47 U.S.C. 223(b) .....	80,000
47 U.S.C. 227(e) .....	10,000 30,000 1,025,000
47 U.S.C. 362(a) .....	7,500
47 U.S.C. 362(b) .....	1,100
47 U.S.C. 386(a) .....	7,500
47 U.S.C. 386(b) .....	1,100
47 U.S.C. 503(b)(2)(A) .....	37,500 400,000
47 U.S.C. 503(b)(2)(B) .....	160,000 1,575,000
47 U.S.C. 503(b)(2)(C) .....	350,000 3,300,000
47 U.S.C. 503(b)(2)(D) .....	16,000 122,500
47 U.S.C. 503(b)(2)(F) .....	105,000 1,050,000
47 U.S.C. 507(a) .....	750
47 U.S.C. 507(b) .....	110
47 U.S.C. 554 .....	650

**Note to paragraph (b)(9):** Pursuant to Public Law 104-134, the first inflation adjustment cannot exceed 10 percent of the statutory maximum amount.

\* \* \* \* \*

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**DEPARTMENT OF TRANSPORTATION**

**Federal Transit Administration**

**49 CFR Part 611**

[Docket No. FTA-2010-0009]

**Notice of Availability of New Starts and Small Starts Policy Guidance**

**AGENCY:** Federal Transit Administration (FTA), DOT.

**ACTION:** Notice of availability of policy guidance.

**SUMMARY:** The Federal Transit Administration (FTA) is issuing final policy guidance to sponsors of New Starts and Small Starts projects. This guidance is available both on the docket and the agency’s public Web site. This final guidance includes changes made in response to comments received on the guidance proposed in January 2013, and accompanies the final rule for Major Capital Investment Projects promulgated in January 2013. The rule sets the framework for the New Starts and Small Starts evaluation and rating process; the policy guidance complements the rule by providing technical details about the methods for calculating the project justification and local financial commitment criteria used to evaluate and rate New Starts and Small Starts projects.

**DATES:** This final policy guidance is effective August 14, 2013.

**FOR FURTHER INFORMATION CONTACT:** For program matters, Elizabeth Day, FTA Office of Planning and Environment, telephone (202) 366-5159 or [Elizabeth.Day@dot.gov](mailto:Elizabeth.Day@dot.gov). For legal matters, Scott Biehl, FTA of Chief Counsel, telephone (202) 366-0826 or [Scott.Biehl@dot.gov](mailto:Scott.Biehl@dot.gov).

**SUPPLEMENTARY INFORMATION:** Pursuant to 49 U.S.C. 5309(g)(5), FTA is obliged to publish policy guidance on the review and evaluation process and criteria for capital investment projects each time the agency makes significant changes to the process and criteria, and in any event, at least once every two years. Also, FTA is obliged to invite public comment on the guidance, and to

publish its response to comments. In this instance, FTA is publishing final policy guidance after having reviewed the comments received on the proposed policy guidance published on January 9, 2013, at 78 FR 2038. The final policy guidance is available in its entirety on FTA’s public Web site at <http://www.fta.dot.gov> and in the docket at <http://www.regulations.gov>. It is approximately 40 typewritten pages in length. The final policy guidance addresses, in detail, measures and methods for calculating the project justification and local financial commitment criteria for New Starts and Small Starts projects. The final policy guidance sets forth breakpoints for determining whether a project rates “high,” “medium-high,” “medium,” “low-medium,” or “low” on each of the various criteria. Additionally, the final policy guidance addresses the weighting of the criteria and measures to arrive at an overall project rating. The final policy guidance accompanies the final rule for Major Capital Investment projects issued on January 9, 2013, at 78 FR 1992-2037, and codified at 49 CFR Part 611.

FTA received 392 separate comments on the proposed policy guidance from 50 commenters, including cities, transit operators, state agencies, metropolitan planning organizations, non-profit organizations, a private business, and an interested citizen. Again, FTA’s summary and response to these comments is available both on the agency’s public Web site at <http://www.fta.dot.gov> and in the docket at <http://www.regulations.gov>. The public comments are available, in their entirety, on the docket at <http://www.regulations.gov>.

This final policy guidance is effective immediately. This policy guidance provides technical details necessary for FTA to apply the evaluation and rating criteria codified in the final rule at 49 CFR Part 611, which took effect on April 9, 2013. Sponsors of New Starts and Small Starts projects need this final guidance to gather and submit the data and information on which their projects will be evaluated and rated, so that their projects can move forward. In turn, FTA