the FDIC adopts without change the regulations on collection by administrative offset set forth at 31 CFR 901.3 and other relevant sections of the Federal Claims Collection Standards applicable to such offset, to the extent those regulations are consistent with this subpart.

(d) Nothing in this subpart precludes the collection of debts through any other available means or precludes the FDIC from engaging in litigation or the compromise of debt as provided under 12 U.S.C. 1818(i) or any other applicable law or regulation.

§§ 313.185 through 313.190 [Reserved]

Federal Deposit Insurance Corporation.

By order of the Board of Directors.

Dated at Washington, DC, on December 15, 2020.

James P. Sheesley,
Assistant Executive Secretary.

DEPARTMENT OF TRANSPORTATION

Federal Aviation Administration

14 CFR Part 13

Office of the Secretary

14 CFR Part 383

Federal Aviation Administration

14 CFR Part 406

Saint Lawrence Seaway Development Corporation

33 CFR Part 401

Maritime Administration

46 CFR Parts 221, 307, 340, and 356

Pipeline and Hazardous Materials Safety Administration

49 CFR Parts 107, 171, and 190

Federal Railroad Administration


Federal Motor Carrier Safety Administration

49 CFR Part 386

National Highway Traffic Safety Administration

49 CFR Part 578

RIN 2105–AE90

Revisions to Civil Penalty Amounts

AGENCY: Department of Transportation (DOT or the Department).

ACTION: Final rule.

SUMMARY: In accordance with the Federal Civil Penalties Inflation Adjustment Act Improvements Act of 2015, this final rule provides the 2020 inflation adjustment to civil penalty amounts that may be imposed for violations of certain DOT regulations. In additional, this final rule makes conforming revisions to Federal Motor Carrier Safety Administration regulations to reflect inflationary adjustments to the statutorily-mandated civil penalties for violations of Federal law.


SUPPLEMENTARY INFORMATION:

Authority for This Rulemaking


Section 4(b)(2) of the 2015 Act specifically directs that the annual adjustment be accomplished through final rule without notice and comment. This rule is effective immediately.

This rule also implements the authority to assess civil penalties for violations concerning the Drug and Alcohol Clearinghouse, set forth in section 34202 of the Moving Ahead for Progress in the 21st Century Act (MAP–21), Public Law 112–141, 126 Stat. 405, codified at 49 U.S.C. 31306(a)(k)(l).

The Department’s authorities over the specific civil penalty regulations being amended by this rule are provided in the preamble discussion below.

I. Background

On November 2, 2015, the President signed into law the 2015 Act, which amended the FCPIAA, to improve the effectiveness of civil monetary penalties and to maintain their deterrent effect. The 2015 Act requires Federal agencies to: (1) Adjust the level of civil monetary penalties with an initial “catch-up” adjustment through an interim final rule (IFR); and (2) make subsequent annual adjustments for inflation.

The 2015 Act directed the Office of Management and Budget (OMB) to issue guidance on implementing the required annual inflation adjustment no later than December 15 of each year.¹ On December 16, 2019, OMB released this required guidance, in OMB Memorandum M–20–05, which provides instructions on how to

calculate the 2020 annual adjustment. To derive the 2020 adjustment, the Department must multiply the maximum or minimum penalty amount by the percent change between the October 2019 Consumer Price Index for All Urban Consumers (CPI–U) and the October 2018 CPI–U. In this case, as explained in OMB Memorandum M–20–05, the percent change between the October 2019 CPI–U and the October 2018 CPI–U is 1.01764.

II. Dispensing With Notice and Comment

This final rule is being published without notice and comment and with an immediate effective date.

The 2015 Act provides clear direction for how to adjust the civil penalties, and clearly states at section 4(b)(2) that this adjustment shall be made “notwithstanding section 553 of title 5, United States Code.” By operation of the 2015 Act, DOT must publish an annual adjustment by January 15 of every year, and the new levels take effect upon publication of the rule. In addition, as noted above, MAP–21 provides explicit authority to adjust civil penalties for violations of 49 U.S.C. 31306a. Accordingly, DOT is publishing this final rule without prior notice and comment, and with an immediate effective date.

III. Discussion of the Final Rule

In 2016, OST and DOT’s operating administrations with civil monetary penalties promulgated the “catch up” IFR required by the 2015 Act. All DOT operating administrations have already finalized their “catch up” IFRs and this rule makes the annual inflation adjustment required by the 2015 Act.

The Department emphasizes that this rule adjusts penalties prospectively, and therefore the penalty adjustments made by this rule will apply only to violations that take place after this rule becomes effective. This rule also does not change previously assessed or enforced penalties that DOT is actively collecting or has collected.

A. OST 2020 Adjustments

OST’s 2020 civil penalty adjustments are summarized in the chart below.

<table>
<thead>
<tr>
<th>Description</th>
<th>Citation</th>
<th>Existing penalty</th>
<th>New penalty (existing penalty × 1.01764)</th>
</tr>
</thead>
<tbody>
<tr>
<td>General civil penalty for violations of certain aviation economic regulations and statutes.</td>
<td>49 U.S.C. 46301(a)(1)</td>
<td>$34,174</td>
<td>$34,777</td>
</tr>
<tr>
<td>General civil penalty for violations of certain aviation economic regulations and statutes involving an individual or small business concern.</td>
<td>49 U.S.C. 46301(a)(1)</td>
<td>1,503</td>
<td>1,530</td>
</tr>
<tr>
<td>Civil penalties for individuals or small businesses for violations of most provisions of Chapter 401 of Title 49, including the anti-discrimination provisions of sections 40127 and 41705 and rules and orders issued pursuant to these provisions.</td>
<td>49 U.S.C. 46301(a)(5)(A)</td>
<td>13,669</td>
<td>13,910</td>
</tr>
<tr>
<td>Civil penalties for individuals or small businesses for violations of 49 U.S.C. 41718 and rules and orders issued pursuant to that provision.</td>
<td>49 U.S.C. 46301(a)(5)(C)</td>
<td>6,834</td>
<td>6,955</td>
</tr>
<tr>
<td>Civil penalties for individuals or small businesses for violations of 49 U.S.C. 41712 or consumer protection rules and orders issued pursuant to that provision.</td>
<td>49 U.S.C. 46301(a)(5)(D)</td>
<td>3,418</td>
<td>3,478</td>
</tr>
</tbody>
</table>

B. FAA 2020 Adjustments

FAA recently discovered that it had not adjusted the maximum civil penalty for certain laser pointer violations. Consistent with the intent of the law and to ensure uniform year-over-year application of the 2015 Act, the 2020 update is being calculated as if the missed 2018 and 2019 updates had occurred. No violations will be assessed at the 2018 or 2019 amounts. They are included in the chart below to show the FAA’s calculations clearly.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual who aims the beam of a laser pointer at an aircraft in the airspace jurisdiction of the United States, or at the flight path of such an aircraft.</td>
<td>49 U.S.C. 46301 note ..</td>
<td>$25,000</td>
<td>$25,510</td>
<td>$26,153</td>
<td>$26,614</td>
</tr>
</tbody>
</table>

On October 5, 2018, Congress enacted a statutory penalty for operating an unmanned aircraft or unmanned aircraft system equipped or armed with a dangerous weapon. It was not adjusted in 2019 because, per OMB guidance, new civil monetary penalties are not adjusted for inflation the first year they are in effect. This year is thus its first adjustment.

3 Under OMB Memorandum M–16–06, new civil monetary penalties are not adjusted for inflation the first year they are in effect. Because this penalty was enacted on July 15, 2016, it would not have been first adjusted until 2018.
5 OMB Memorandum M–16–06.
### FAA Adjustments

<table>
<thead>
<tr>
<th>Description</th>
<th>Citation</th>
<th>Initial penalty (2018)</th>
<th>New penalty (initial penalty × 1.01764)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operation of an unmanned aircraft or unmanned aircraft system equipped or armed with a dangerous weapon.</td>
<td>49 U.S.C. 44802 note .........................................................................</td>
<td>$25,000</td>
<td>$25,441</td>
</tr>
</tbody>
</table>

The rest of FAA’s 2020 adjustments are summarized in the chart below.

<table>
<thead>
<tr>
<th>Description</th>
<th>Citation</th>
<th>Existing penalty</th>
<th>New penalty (existing penalty × 1.01764)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Violation of hazardous materials transportation law ..................................</td>
<td>49 U.S.C. 5123(a)(1) ........................................................................</td>
<td>$81,993</td>
<td>$83,439</td>
</tr>
<tr>
<td>Violation of hazardous materials transportation law resulting in death, serious illness, severe injury, or substantial property destruction.</td>
<td>49 U.S.C. 5123(a)(2) ........................................................................</td>
<td>191,316</td>
<td>194,691</td>
</tr>
<tr>
<td>Minimum penalty for violation of hazardous materials transportation law relating to training.</td>
<td>49 U.S.C. 5123(a)(3) ........................................................................</td>
<td>493</td>
<td>502</td>
</tr>
<tr>
<td>Maximum penalty for violation of hazardous materials transportation law relating to training.</td>
<td>49 U.S.C. 5123(a)(3) ........................................................................</td>
<td>81,993</td>
<td>83,439</td>
</tr>
<tr>
<td>Violation by a person other than an individual or small business concern under 49 U.S.C. 46301(a)(1)(A) or (B).</td>
<td>49 U.S.C. 46301(a)(1) ........................................................................</td>
<td>34,174</td>
<td>34,777</td>
</tr>
<tr>
<td>Violation by an airman serving as an airman under 49 U.S.C. 46301(a)(1)(A) or (B) (but not covered by 46301(a)(5)(A) or (B)).</td>
<td>49 U.S.C. 46301(a)(1) ........................................................................</td>
<td>1,501</td>
<td>1,527</td>
</tr>
<tr>
<td>Violation by an individual or small business concern under 49 U.S.C. 46301(a)(1)(A) or (B) (but not covered in 49 U.S.C. 46301(a)(5)).</td>
<td>49 U.S.C. 46301(a)(1) ........................................................................</td>
<td>1,501</td>
<td>1,527</td>
</tr>
<tr>
<td>Violation by an individual or small business concern related to the transportation of hazardous materials.</td>
<td>49 U.S.C. 46301(a)(5)(A) ..................................................................</td>
<td>13,669</td>
<td>13,910</td>
</tr>
<tr>
<td>Violation by an individual or small business concern related to the registration or recordation under 49 U.S.C. chapter 441, of an aircraft not used to provide air transportation.</td>
<td>49 U.S.C. 46301(a)(5)(B)(i) ................................................................</td>
<td>13,669</td>
<td>13,910</td>
</tr>
<tr>
<td>Violation by an individual or small business concern of 49 U.S.C. 44718(d), relating to limitation on construction or establishment of landfills.</td>
<td>49 U.S.C. 46301(a)(5)(B)(ii) .........................................................</td>
<td>13,669</td>
<td>13,910</td>
</tr>
<tr>
<td>Violation by an individual or small business concern related to the safe disposal of life-limited aircraft parts.</td>
<td>49 U.S.C. 46301(a)(5)(B)(iii) .........................................................</td>
<td>13,669</td>
<td>13,910</td>
</tr>
<tr>
<td>Tampering with a smoke alarm device ..........................................................</td>
<td>49 U.S.C. 46301(b) ...........................................................................</td>
<td>4,388</td>
<td>4,465</td>
</tr>
<tr>
<td>Knowingly providing false information about alleged violation involving the special aircraft jurisdiction of the United States.</td>
<td>49 U.S.C. 46302 ..................................................................................</td>
<td>23,832</td>
<td>24,252</td>
</tr>
<tr>
<td>Interference with cabin or flight crew .......................................................</td>
<td>49 U.S.C. 46318 ..................................................................................</td>
<td>35,883</td>
<td>36,516</td>
</tr>
<tr>
<td>Operating an unmanned aircraft and in so doing knowingly or recklessly interfering with a wildfire suppression, law enforcement, or emergency response effort.</td>
<td>49 U.S.C. 46320 ..................................................................................</td>
<td>20,923</td>
<td>21,292</td>
</tr>
<tr>
<td>Violation of 51 U.S.C. 50901–50923, a regulation issued under these statutes, or any term or condition of a license or permit issued or transferred under these statutes.</td>
<td>51 U.S.C. 50917(c) ............................................................................</td>
<td>240,155</td>
<td>244,391</td>
</tr>
</tbody>
</table>

In addition to the civil penalties listed in the above charts, FAA regulations also provide for maximum civil penalties for violation of 49 U.S.C. 47528–47530, relating to the prohibition of operating certain aircraft not complying with stage 3 noise levels. Those civil penalties are identical to the civil penalties imposed under 49 U.S.C. 46301(a)(1) and (a)(5), which are detailed in the above chart, and therefore, the noise-level civil penalties will be adjusted in the same manner as the section 46301(a)(1) and (a)(5) civil penalties.

### C. NHTSA 2020 Adjustments

NHTSA’s 2020 civil penalty adjustments are summarized in the chart below.

<table>
<thead>
<tr>
<th>Description</th>
<th>Citation</th>
<th>Existing penalty</th>
<th>New penalty (existing penalty × 1.01764)</th>
</tr>
</thead>
</table>
### Description of Civil Penalties

<table>
<thead>
<tr>
<th>Description</th>
<th>Citation</th>
<th>Existing penalty</th>
<th>New penalty</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maximum penalty per violation for filing false or misleading reports.</td>
<td>49 U.S.C. 30165(a)(4)</td>
<td>5,466</td>
<td>5,562</td>
</tr>
<tr>
<td>Maximum penalty amount for a series of violations related to filing false or misleading reports.</td>
<td>49 U.S.C. 30165(a)(4)</td>
<td>1,093,233</td>
<td>1,112,518</td>
</tr>
<tr>
<td>Maximum penalty amount for each violation of the reporting requirements related to maintaining the National Motor Vehicle Title Information System.</td>
<td>49 U.S.C. 30505</td>
<td>1,783</td>
<td>1,814</td>
</tr>
<tr>
<td>Maximum penalty amount for each violation of 49 U.S.C. 32308(a) related to providing information on crashworthiness and damage susceptibility.</td>
<td>49 U.S.C. 32308(b)</td>
<td>2,924</td>
<td>2,976</td>
</tr>
<tr>
<td>Maximum penalty amount for a series of violations of 49 U.S.C. 32308(a) related to providing information on crashworthiness and damage susceptibility.</td>
<td>49 U.S.C. 32308(b)</td>
<td>1,594,890</td>
<td>1,623,024</td>
</tr>
<tr>
<td>Maximum penalty for each violation related to the tire fuel efficiency program.</td>
<td>49 U.S.C. 32308(c)</td>
<td>60,518</td>
<td>61,586</td>
</tr>
<tr>
<td>Maximum civil penalty for willfully failing to affix, or failing to maintain, the label requirement in the American Automobile Labeling Act (Pub. L. 102–388, 106 Stat. 1556 (1992)).</td>
<td>49 U.S.C. 32309</td>
<td>1,783</td>
<td>1,814</td>
</tr>
<tr>
<td>Maximum penalty amount per violation related to odometer tampering and disclosure.</td>
<td>49 U.S.C. 32709</td>
<td>10,932</td>
<td>11,125</td>
</tr>
<tr>
<td>Maximum penalty amount for a related series of violations related to odometer tampering and disclosure.</td>
<td>49 U.S.C. 32709</td>
<td>1,093,233</td>
<td>1,112,518</td>
</tr>
<tr>
<td>Maximum penalty amount per violation related to odometer tampering and disclosure with intent to defraud.</td>
<td>49 U.S.C. 32710</td>
<td>10,932</td>
<td>11,125</td>
</tr>
<tr>
<td>Maximum civil penalty for violations under 49 U.S.C. 32911(a) related to automobile fuel economy.</td>
<td>49 U.S.C. 32912(a)</td>
<td>42,530</td>
<td>43,280</td>
</tr>
<tr>
<td>Maximum civil penalty for a violation under the medium- and heavy-duty vehicle fuel efficiency program.</td>
<td>49 U.S.C. 32902</td>
<td>41,882</td>
<td>42,621</td>
</tr>
</tbody>
</table>

### D. FMCSA 2020 Adjustments and Revisions

FMCSA’s civil penalties affected by this rule are all located in appendices A and B to 49 CFR part 386. Section 31306a(k) of title 49 requires FMCSA to assess civil penalties under 49 U.S.C. implementing the Drug and Alcohol Clearinghouse at 49 CFR part 382, subpart G. FMCSA also makes conforming changes to 49 CFR part 386, appendix B (a)(1)–(4). The 2020 adjustments to these civil penalties are summarized in the chart below.

<table>
<thead>
<tr>
<th>Description</th>
<th>Citation</th>
<th>Existing penalty</th>
<th>New penalty</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appendix A II Subpoena</td>
<td>49 U.S.C. 525</td>
<td>$1,093</td>
<td>$1,112</td>
</tr>
<tr>
<td>Appendix A II Subpoena</td>
<td>49 U.S.C. 525</td>
<td>10,932</td>
<td>11,125</td>
</tr>
<tr>
<td>Appendix A IV (a) Out-of-service order (operation of CMV by driver).</td>
<td>49 U.S.C. 521(b)(7)</td>
<td>1,895</td>
<td>1,928</td>
</tr>
</tbody>
</table>

---

Section (g)(5) is revised to reflect the termination of the North American Free Trade Agreement and the adoption of the United States-Mexico Canada Agreement (USMCA), which came into effect July 1, 2020. FMCSA is examining its regulations and considering what additional revisions, if any, are needed in light of USMCA.
<table>
<thead>
<tr>
<th>Description</th>
<th>Citation</th>
<th>Existing penalty</th>
<th>New penalty (existing penalty × 1.01764)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appendix A IV (b) Out-of-service order (requiring or permitting operation of CMV by driver).</td>
<td>49 U.S.C. 521(b)(7)</td>
<td>18,943</td>
<td>19,277</td>
</tr>
<tr>
<td>Appendix A IV (c) Out-of-service order (operation by driver of CMV or intermodal equipment that was placed out of service).</td>
<td>49 U.S.C. 521(b)(7)</td>
<td>1,895</td>
<td>1,928</td>
</tr>
<tr>
<td>Appendix A IV (d) Out-of-service order (requiring or permitting operation of CMV or intermodal equipment that was placed out of service).</td>
<td>49 U.S.C. 521(b)(7)</td>
<td>18,943</td>
<td>19,277</td>
</tr>
<tr>
<td>Appendix A IV (e) Out-of-service order (failure to return written certification of correction).</td>
<td>49 U.S.C. 521(b)(2)(B)</td>
<td>947</td>
<td>964</td>
</tr>
<tr>
<td>Appendix A IV (f) Operating after being declared unfit by assigning of a final &quot;unsatisfactory&quot; safety rating.</td>
<td>49 U.S.C. 521(b)(2)(F)</td>
<td>27,331</td>
<td>27,813</td>
</tr>
<tr>
<td>Appendix A IV (g) Out-of-service order (failure to cease operations as ordered).</td>
<td>49 U.S.C. 521(b)(2)(F)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Appendix A IV (h) Out-of-service order (operating in violation of order).</td>
<td>49 U.S.C. 521(b)(7)</td>
<td>24,017</td>
<td>24,441</td>
</tr>
<tr>
<td>Appendix A IV (i) Out-of-service order (conducting operations during suspension or revocation for failure to pay penalties).</td>
<td>49 U.S.C. 521(b)(7)</td>
<td>24,017</td>
<td>24,441</td>
</tr>
<tr>
<td>Appendix A IV (j) (conducting operations during suspension or revocation).</td>
<td>49 U.S.C. 521(b)(7)</td>
<td>24,017</td>
<td>24,441</td>
</tr>
<tr>
<td>Appendix B (a)(1) Recordkeeping—maximum penalty per day.</td>
<td>49 U.S.C. 521(b)(2)(B)(i)</td>
<td>1,270</td>
<td>1,292</td>
</tr>
<tr>
<td>Appendix B (a)(2) Knowing falsification of records.</td>
<td>49 U.S.C. 521(b)(2)(B)(ii)</td>
<td>12,695</td>
<td>12,919</td>
</tr>
<tr>
<td>Appendix B (d): Financial responsibility violations.</td>
<td>49 U.S.C. 31313(d)(1), 31139(g)(1)</td>
<td>16,915</td>
<td>17,213</td>
</tr>
<tr>
<td>Appendix B (f)(2): Operating after being declared unfit by assignment of a final &quot;unsatisfactory&quot; safety rating (hazardous materials)—maximum penalty if death, serious illness, severe injury to persons; destruction of property.</td>
<td>49 U.S.C. 5123(a)(2)</td>
<td>191,316</td>
<td>194,691</td>
</tr>
<tr>
<td>Appendix B (g)(1): Violations of the commercial regulations (CR) (property carriers).</td>
<td>49 U.S.C. 14901(a)</td>
<td>10,932</td>
<td>11,125</td>
</tr>
<tr>
<td>Appendix B (g)(2): Violations of the CRs (brokers)</td>
<td>49 U.S.C. 14916(c)</td>
<td>10,932</td>
<td>11,125</td>
</tr>
<tr>
<td>Appendix B (g)(3): Violations of the CRs (passenger carriers)</td>
<td>49 U.S.C. 14901(a)</td>
<td>27,331</td>
<td>27,813</td>
</tr>
<tr>
<td>Appendix B (g)(4): Violations of the CRs (foreign motor carriers, foreign motor private carriers).</td>
<td>49 U.S.C. 14901(a)</td>
<td>10,932</td>
<td>11,125</td>
</tr>
<tr>
<td>Description</td>
<td>Citation</td>
<td>Existing penalty</td>
<td>New penalty (existing penalty (^{\times}) 1.01764)</td>
</tr>
<tr>
<td>----------------------------------------------------------------------------</td>
<td>------------------------</td>
<td>------------------</td>
<td>----------------------------------------------------</td>
</tr>
<tr>
<td>Appendix B (g)(5) Violations of the operating authority requirement (foreign motor carriers, foreign motor private carriers)—maximum penalty for intentional violation</td>
<td>49 U.S.C. 14901 note .......................................</td>
<td>15,034</td>
<td>15,299</td>
</tr>
<tr>
<td>Appendix B (g)(5) Violations of the operating authority requirement (foreign motor carriers, foreign motor private carriers)—maximum penalty for a pattern of intentional violations.</td>
<td>49 U.S.C. 14901 note .......................................</td>
<td>37,587</td>
<td>38,250</td>
</tr>
<tr>
<td>Appendix B (g)(6) Violations of the CRs (motor carrier or broker for transportation of hazardous wastes)—minimum penalty.</td>
<td>49 U.S.C. 14901(b) ..........................................</td>
<td>21,865</td>
<td>22,251</td>
</tr>
<tr>
<td>Appendix B (g)(6) Violations of the CRs (motor carrier or broker for transportation of hazardous wastes)—maximum penalty.</td>
<td>49 U.S.C. 14901(b) ..........................................</td>
<td>43,730</td>
<td>44,501</td>
</tr>
<tr>
<td>Appendix B (g)(7) Violations of the CRs (HHG carrier or freight forwarder, or their receiver or trustee).</td>
<td>49 U.S.C. 14901(d)(1) ......................................</td>
<td>1,644</td>
<td>1,673</td>
</tr>
<tr>
<td>Appendix B (g)(8) Violation of the CRs (weight of HHG shipment, charging for services)—minimum penalty for first violation.</td>
<td>49 U.S.C. 14901(e) ..........................................</td>
<td>3,291</td>
<td>3,349</td>
</tr>
<tr>
<td>Appendix B (g)(8) Violation of the CRs (weight of HHG shipment, charging for services)—subsequent violation.</td>
<td>49 U.S.C. 14901(e) ..........................................</td>
<td>8,227</td>
<td>8,372</td>
</tr>
<tr>
<td>Appendix B (g)(10) Tariff violations .........................................................</td>
<td>49 U.S.C. 13702, 14903 ...................................</td>
<td>164,531</td>
<td>167,433</td>
</tr>
<tr>
<td>Appendix B (g)(11) Additional tariff violations (rebates or concessions)—first violation.</td>
<td>49 U.S.C. 14904(a) ..........................................</td>
<td>321</td>
<td>334</td>
</tr>
<tr>
<td>Appendix B (g)(11) Additional tariff violations (rebates or concessions)—subsequent violations.</td>
<td>49 U.S.C. 14904(a) ..........................................</td>
<td>411</td>
<td>418</td>
</tr>
<tr>
<td>Appendix B (g)(12): Tariff violations (freight forwarders)—maximum penalty for first violation.</td>
<td>49 U.S.C. 14904(b)(1) .....................................</td>
<td>823</td>
<td>838</td>
</tr>
<tr>
<td>Appendix B (g)(12): Tariff violations (freight forwarders)—maximum penalty for subsequent violations.</td>
<td>49 U.S.C. 14904(b)(1) .....................................</td>
<td>3,291</td>
<td>3,349</td>
</tr>
<tr>
<td>Appendix B (g)(13): service from freight forwarder at less than rate in effect—maximum penalty for first violation.</td>
<td>49 U.S.C. 14904(b)(2) .....................................</td>
<td>823</td>
<td>838</td>
</tr>
<tr>
<td>Appendix B (g)(13): service from freight forwarder at less than rate in effect—maximum penalty for subsequent violation(s).</td>
<td>49 U.S.C. 14904(b)(2) .....................................</td>
<td>3,291</td>
<td>3,349</td>
</tr>
<tr>
<td>Appendix B (g)(16): Reporting and recordkeeping under 49 U.S.C. subtitle IV, part B (except 13901 and 13902(c))—minimum penalty.</td>
<td>49 U.S.C. 14901 .............................................</td>
<td>1,093</td>
<td>1,112</td>
</tr>
<tr>
<td>Appendix B (g)(21)(i): Knowingly and willfully fails to deliver or unload HHG at destination.</td>
<td>49 U.S.C. 14915 .............................................</td>
<td>16,453</td>
<td>16,743</td>
</tr>
<tr>
<td>Appendix B (g)(22): HHG broker estimate before entering into an agreement with a motor carrier.</td>
<td>49 U.S.C. 14901(d)(2) .....................................</td>
<td>12,695</td>
<td>12,919</td>
</tr>
<tr>
<td>Appendix B (g)(23): HHG transportation or broker services—registration requirement.</td>
<td>49 U.S.C. 14901(d)(3) .....................................</td>
<td>31,737</td>
<td>32,297</td>
</tr>
<tr>
<td>Appendix B (h): Copying of records and access to equipment, lands, and buildings—maximum penalty per day.</td>
<td>49 U.S.C. 521(b)(2)(E) ....................................</td>
<td>1,270</td>
<td>1,292</td>
</tr>
<tr>
<td>Appendix B (h): Copying of records and access to equipment, lands, and buildings—maximum total penalty.</td>
<td>49 U.S.C. 521(b)(2)(E) ....................................</td>
<td>12,695</td>
<td>12,919</td>
</tr>
<tr>
<td>Appendix B (i)(1): Evasion of regulations under 49 U.S.C. ch. 5, 51, subchapter III of ch. 311 (except 31138 and 31139), 31302–31304, 31305(b), 31310(g)(1)(A), or 31502—maximum penalty for first violation.</td>
<td>49 U.S.C. 524 ..............................................</td>
<td>5,466</td>
<td>5,562</td>
</tr>
<tr>
<td>Appendix B (i)(1): Evasion of regulations under 49 U.S.C. ch. 5, 51, subchapter III of ch. 311 (except 31138 and 31139), 31302–31304, 31305(b), 31310(g)(1)(A), or 31502—maximum penalty for subsequent violation(s).</td>
<td>49 U.S.C. 524 ..............................................</td>
<td>8,199</td>
<td>8,344</td>
</tr>
</tbody>
</table>
**E. FRA 2020 Adjustments**

FRA’s 2020 civil penalty adjustments are summarized in the chart below.

<table>
<thead>
<tr>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minimum rail safety penalty</td>
</tr>
<tr>
<td>Ordinary maximum rail safety penalty</td>
</tr>
<tr>
<td>Maximum penalty for an aggravated rail safety violation</td>
</tr>
<tr>
<td>Minimum penalty for hazardous materials training violations</td>
</tr>
<tr>
<td>Maximum penalty for ordinary hazardous materials violations</td>
</tr>
<tr>
<td>Maximum penalty for aggravated hazardous materials violations</td>
</tr>
</tbody>
</table>

**Description** | **Citation** | **Existing penalty** | **New penalty** |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Minimum rail safety penalty</td>
<td>49 U.S.C. ch. 213</td>
<td>$892</td>
<td>$908</td>
</tr>
<tr>
<td>Ordinary maximum rail safety penalty</td>
<td>49 U.S.C. ch. 213</td>
<td>29,192</td>
<td>29,707</td>
</tr>
<tr>
<td>Maximum penalty for an aggravated rail safety violation</td>
<td>49 U.S.C. ch. 213</td>
<td>116,766</td>
<td>118,826</td>
</tr>
<tr>
<td>Minimum penalty for hazardous materials training violations</td>
<td>49 U.S.C. 5123</td>
<td>493</td>
<td>502</td>
</tr>
<tr>
<td>Maximum penalty for ordinary hazardous materials violations</td>
<td>49 U.S.C. 5123</td>
<td>81,993</td>
<td>83,439</td>
</tr>
<tr>
<td>Maximum penalty for aggravated hazardous materials violations</td>
<td>49 U.S.C. 5123</td>
<td>191,316</td>
<td>194,691</td>
</tr>
</tbody>
</table>

**F. PHMSA 2020 Adjustments**

PHMSA’s civil penalties affected by this rule for hazardous materials violations are located in 49 CFR 107.329, appendix A to subpart D of 49 CFR part 107, and § 171.1. The civil penalties affected by this rule for pipeline safety violations are located in § 190.223. PHMSA’s 2020 civil penalty adjustments are summarized in the chart below.

<table>
<thead>
<tr>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maximum penalty for hazardous materials violation</td>
</tr>
<tr>
<td>Maximum penalty for hazardous materials violation that results in death, serious illness, or severe injury to any person or substantial destruction of property.</td>
</tr>
<tr>
<td>Minimum penalty for hazardous materials training violations</td>
</tr>
<tr>
<td>Maximum penalty for each pipeline safety violation</td>
</tr>
<tr>
<td>Maximum penalty for a related series of pipeline safety violations.</td>
</tr>
<tr>
<td>Maximum additional penalty for each liquefied natural gas pipeline facility violation.</td>
</tr>
<tr>
<td>Maximum penalty for discrimination against employees providing pipeline safety information.</td>
</tr>
</tbody>
</table>

**Description** | **Citation** | **Existing penalty** | **New penalty** |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Maximum penalty for hazardous materials violation</td>
<td>49 U.S.C. 5123</td>
<td>$81,993</td>
<td>$83,439</td>
</tr>
<tr>
<td>Maximum penalty for hazardous materials violation that results in death, serious illness, or severe injury to any person or substantial destruction of property.</td>
<td>49 U.S.C. 5123</td>
<td>191,316</td>
<td>194,691</td>
</tr>
<tr>
<td>Minimum penalty for hazardous materials training violations</td>
<td>49 U.S.C. 5123</td>
<td>493</td>
<td>502</td>
</tr>
<tr>
<td>Maximum penalty for each pipeline safety violation</td>
<td>49 U.S.C. 60122(a)(1)</td>
<td>218,647</td>
<td>222,504</td>
</tr>
<tr>
<td>Maximum penalty for a related series of pipeline safety violations.</td>
<td>49 U.S.C. 60122(a)(1)</td>
<td>2,186,465</td>
<td>2,225,034</td>
</tr>
<tr>
<td>Maximum additional penalty for each liquefied natural gas pipeline facility violation.</td>
<td>49 U.S.C. 60122(a)(2)</td>
<td>79,875</td>
<td>81,284</td>
</tr>
<tr>
<td>Maximum penalty for discrimination against employees providing pipeline safety information.</td>
<td>49 U.S.C. 60122(a)(3)</td>
<td>1,270</td>
<td>1,292</td>
</tr>
</tbody>
</table>

**G. MARAD 2019 Adjustments**

MARAD’s 2019 civil penalty adjustments are summarized in the chart below.

<table>
<thead>
<tr>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maximum civil penalty for a single violation of 46 U.S.C. 31329 as it relates to the court sales of documented vessels.</td>
</tr>
<tr>
<td>Maximum civil penalty for a single violation of 46 U.S.C. 56101 as it relates to approvals required to transfer a vessel to a noncitizen.</td>
</tr>
<tr>
<td>Maximum civil penalty for failure to file an AMVER report.</td>
</tr>
<tr>
<td>Maximum civil penalty for violating procedures for the use and allocation of shipping services, port facilities and services for national security and national defense operations.</td>
</tr>
<tr>
<td>Maximum civil penalty for violations in applying for or renewing a vessel’s fishery endorsement.</td>
</tr>
</tbody>
</table>

**Description** | **Citation** | **Existing penalty** | **New penalty** |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Maximum civil penalty for a single violation of 46 U.S.C. 31329 as it relates to the court sales of documented vessels.</td>
<td>46 U.S.C. 31330</td>
<td>52,596</td>
<td>53,524</td>
</tr>
<tr>
<td>Maximum civil penalty for a single violation of 46 U.S.C. 56101 as it relates to approvals required to transfer a vessel to a noncitizen.</td>
<td>46 U.S.C. 56101(e)</td>
<td>21,134</td>
<td>21,507</td>
</tr>
<tr>
<td>Maximum civil penalty for failure to file an AMVER report.</td>
<td>46 U.S.C. 50113(b)</td>
<td>133</td>
<td>135</td>
</tr>
<tr>
<td>Maximum civil penalty for violating procedures for the use and allocation of shipping services, port facilities and services for national security and national defense operations.</td>
<td>50 U.S.C. 4513</td>
<td>26,582</td>
<td>27,051</td>
</tr>
<tr>
<td>Maximum civil penalty for violations in applying for or renewing a vessel’s fishery endorsement.</td>
<td>46 U.S.C. 12151</td>
<td>154,197</td>
<td>156,917</td>
</tr>
</tbody>
</table>

**H. SLSDC 2020 Adjustments**

SLSDC’s 2020 civil penalty adjustment is as follows:
Regulatory Analysis and Notices

A. Executive Order 12866 and DOT Regulatory Policies and Procedures

This final rule has been evaluated in accordance with existing policies and procedures and is considered not significant under Executive Orders 12866 or DOT's Regulatory Policies and Procedures; therefore, the rule has not been reviewed by the Office of Management and Budget (OMB) under Executive Order 12866.

B. Regulatory Flexibility Analysis

The Department has determined the Regulatory Flexibility Act of 1980 (RFA) (5 U.S.C. 601, et seq.) does not apply to this rulemaking. The RFA applies, in pertinent part, only when “an agency is required . . . to publish general notice of proposed rulemaking.” 5 U.S.C. 604(a). The Small Business Administration's A Guide for Government Agencies: How to Comply with the Regulatory Flexibility Act (2012), explains that:

If, under the [Administrative Procedure Act (APA)] or any rule of general applicability governing federal grants to state and local governments, the agency is required to publish a general notice of proposed rulemaking [NPRM], the RFA must be considered [citing 5 U.S.C. 604(a)]. . . If an NPRM is not required, the RFA does not apply.

As stated above, DOT has determined that good cause exists to publish this final rule without notice and comment procedures under the APA. Therefore, the RFA does not apply.

C. Executive Order 13132 (Federalism)

This final rule has been analyzed in accordance with the principles and criteria contained in Executive Order 13132 (“Federalism”). This regulation has no substantial direct effects on the States, the relationship between the National Government and the States, or the distribution of power and responsibilities among the various levels of government. It does not contain any provision that imposes substantial direct compliance costs on State and local governments. It does not contain any new provision that preempts State law, because States are already preempted from regulating in this area under the Airline Deregulation Act, 49 U.S.C. 41713. Therefore, the consultation and funding requirements of Executive Order 13132 do not apply.

D. Executive Order 13175

This final rule has been analyzed in accordance with the principles and criteria contained in Executive Order 13175, Consultation and Coordination with Indian Tribal Governments. Because none of the measures in the rule have tribal implications or impose substantial direct compliance costs on Indian tribal governments, the funding and consultation requirements of Executive Order 13175 do not apply.

E. Paperwork Reduction Act

Under the Paperwork Reduction Act, before an agency submits a proposed collection of information to OMB for approval, it must publish a document in the Federal Register providing notice of and a 60-day comment period on, and otherwise consult with members of the public and affected agencies concerning, each proposed collection of information. This final rule imposes no new information reporting or record keeping necessitating clearance by OMB.

F. National Environmental Policy Act

The Department has analyzed the environmental impacts of this final rule pursuant to the National Environmental Policy Act of 1969 (NEPA) (42 U.S.C. 4321, et seq.) and has determined that it is categorically excluded pursuant to DOT Order 5610.1C, Procedures for Considering Environmental Impacts (44 FR 56420, Oct. 1, 1979 as amended July 13, 1982 and July 30, 1985). Categorical exclusions are actions identified in an agency’s NEPA implementing procedures that do not normally have a significant impact on the environment and therefore do not require either an environmental assessment (EA) or environmental impact statement (EIS). See 40 CFR 1508.4. In analyzing the applicability of a categorical exclusion, the agency must also consider whether extraordinary circumstances are present that would warrant the preparation of an EA or EIS. Id. Paragraph 4(c)(5) of DOT Order 5610.1C incorporates by reference the categorical exclusions for all DOT Operating Administrations. This action qualifies for a categorical exclusion in accordance with FAA Order 1050.1F, Environmental Impacts: Policies and Procedures, (80 FR 44208, July 24, 2015), paragraph 5–6.f, which covers regulations not expected to cause any potentially significant environmental impacts. The Department does not anticipate any environmental impacts, and there are no extraordinary circumstances present in connection with this final rule.

G. Unfunded Mandates Reform Act

The Department analyzed the final rule under the factors in the Unfunded Mandates Reform Act of 1995. The Department considered whether the rule includes a Federal mandate that may result in the expenditure by State, local, and tribal governments, in the aggregate, or by the private sector of $100,000,000 or more (adjusted annually for inflation) in any one year. The Department has determined that this final rule will not result in such expenditures. Accordingly, this final rule is not subject to the Unfunded Mandates Reform Act.

H. Executive Order 13771

Executive Order 13771, “Reducing Regulation and Controlling Regulatory Costs,” does not apply to this action because it is nonsignificant; therefore, it is not subject to the “2 for 1” and budgeting requirements.

List of Subjects

14 CFR Part 13
Administrative practice and procedure, Air transportation, Hazardous materials transportation, Investigations, Law enforcement, Penalties.

14 CFR Part 383
Administrative practice and procedure, Penalties.

14 CFR Part 406
Administrative procedure and review, Commercial space transportation, Enforcement, Investigations, Penalties, Rules of adjudication.

33 CFR Part 401
Hazardous materials transportation, Navigation (water), Penalties, Radio,
Reporting and recordkeeping
requirements, Vessels, Waterways.

49 CFR Part 218
Occupational safety and health,
Penalties, Railroad employees, Railroad
safety, Reporting and recordkeeping
requirements.

49 CFR Part 219
Alcohol abuse, Drug abuse, Drug
testing, Penalties, Railroad safety,
Reporting and recordkeeping
requirements, Safety, Transportation.

49 CFR Part 220
Penalties, Radio, Railroad safety,
Reporting and recordkeeping
requirements.

49 CFR Parts 222, 235, 240, 242, 243,
and 244
Administrative practice and
procedure, Penalties, Railroad safety,
Reporting and recordkeeping
requirements.

49 CFR Part 223
Glazing standards, Penalties, Railroad
safety, Reporting and recordkeeping
requirements.

49 CFR Part 225
Investigations, Penalties, Railroad
safety, Reporting and recordkeeping
requirements.

49 CFR Part 227
Noise control, Occupational safety
and health, Penalties, Railroad safety,
Reporting and recordkeeping
requirements.

49 CFR Part 228
Penalties, Railroad employees,
Reporting and recordkeeping
requirements.

49 CFR Part 231
Penalties, Railroad safety.

49 CFR Part 234
Highway safety, Penalties, Railroad
safety, Reporting and recordkeeping
requirements, State and local
governments.

49 CFR Part 236
Penalties, Positive train control,
Railroad safety, Reporting and
recordkeeping requirements.

49 CFR Part 237
Bridges, Penalties, Railroad safety,
Reporting and recordkeeping
requirements.

49 CFR Part 238
Fire prevention, Passenger equipment,
Penalties, Railroad safety, Reporting and
recordkeeping requirements.

49 CFR Part 241
Communications, Penalties, Railroad
safety, Reporting and recordkeeping
requirements.

49 CFR Part 272
Penalties, Railroad employees,
Railroad safety, Railroads, Safety,
Transportation.

49 CFR Part 386
Administrative procedures,
Commercial motor vehicle safety,
Highways and roads, Motor carriers,
Penalties.

49 CFR Part 578
Imports, Motor vehicle safety, Motor
vehicles, Rubber and rubber products,
Tires, Penalties.

Accordingly, the Department of
Transportation amends 14 CFR chapters
I, II, and III, 33 CFR chapter IV, 46 CFR
chapter II, and 49 CFR chapters I, II, III,
and V as follows:

Title 14—Aeronautics and Space

PART 13—INVESTIGATIVE AND
ENFORCEMENT PROCEDURES

1. Revise the authority citation for part
13 to read as follows:

(note); 49 U.S.C. 106(g), 5121–5124, 40113–
40114, 44103–44106, 44701–44703, 44709–
44710, 44713, 44725, 44802 (note), 46101–
46111, 46301, 46302 (for a violation of 49
U.S.C. 46504), 46304–46316, 46318–46320,
46501–46502, 46504–46507, 47106, 47107,
47111, 47122, 47306, 47531–47532; 49 CFR
1.83.

2. Amend §13.301 by revising
paragraphs (b) and (c) to read as follows:

§13.301 Inflation adjustments of civil
monetary penalties.

* * * * *

(b) Each adjustment to a maximum
civil monetary penalty or to minimum
and maximum civil monetary penalties
that establish a civil monetary penalty
range applies to actions initiated under
this part for violations occurring on or
after January 11, 2021, notwithstanding
references to specific civil penalty
amounts elsewhere in this part.

(c) Minimum and maximum civil
monetary penalties are as follows:
<table>
<thead>
<tr>
<th>United States Code citation</th>
<th>Civil monetary penalty description</th>
<th>2019 minimum penalty amount</th>
<th>New minimum penalty amount for violations occurring on or after January 11, 2021, adjusted for inflation</th>
<th>2019 maximum penalty amount</th>
<th>New maximum penalty amount for violations occurring on or after January 11, 2021, adjusted for inflation</th>
</tr>
</thead>
<tbody>
<tr>
<td>49 U.S.C. 5123(a)(2)</td>
<td>Violation of hazardous materials transportation law resulting in death, serious illness, severe injury, or substantial property destruction.</td>
<td>N/A</td>
<td>$191,316</td>
<td>$194,691.</td>
<td>$194,691.</td>
</tr>
<tr>
<td>49 U.S.C. 46302 note</td>
<td>Operation of an unmanned aircraft or unmanned aircraft system equipped or armed with a dangerous weapon.</td>
<td>N/A</td>
<td>$25,000</td>
<td>$25,441.</td>
<td>$25,441.</td>
</tr>
<tr>
<td>49 U.S.C. 46301(a)(1)</td>
<td>Violation by an individual or small business concern under 49 U.S.C. 46301(a)(1)(A) or (B).</td>
<td>N/A</td>
<td>$34,174</td>
<td>$34,777.</td>
<td>$34,777.</td>
</tr>
<tr>
<td>49 U.S.C. 46301(a)(1)</td>
<td>Violation by an airman serving as an airman under 49 U.S.C. 46301(a)(1)(A) or (B) (but not covered by 49 U.S.C. 46301(a)(5)(A) or (B)).</td>
<td>N/A</td>
<td>$1,501</td>
<td>$1,527.</td>
<td>$1,527.</td>
</tr>
<tr>
<td>49 U.S.C. 46301(a)(1)</td>
<td>Violation by an individual or small business concern under 49 U.S.C. 46301(a)(1)(A) or (B) (but not covered by 49 U.S.C. 46301(a)(5)(A) or (B)).</td>
<td>N/A</td>
<td>$1,501</td>
<td>$1,527.</td>
<td>$1,527.</td>
</tr>
<tr>
<td>49 U.S.C. 46301(a)(3)</td>
<td>Violation of 49 U.S.C. 47107(b) (or any assurance made under such section) of 49 U.S.C. 47133.</td>
<td>N/A</td>
<td>Increase above otherwise applicable maximum amount not to exceed 3 times the amount of revenues that are used in violation of such section.</td>
<td>No change.</td>
<td>No change.</td>
</tr>
<tr>
<td>49 U.S.C. 46301(a)(5)(A)</td>
<td>Violation by an individual or small business concern (except an airman serving as an airman) under 49 U.S.C. 46301(a)(5)(A) or (ii).</td>
<td>N/A</td>
<td>$13,669</td>
<td>$13,910.</td>
<td>$13,910.</td>
</tr>
<tr>
<td>49 U.S.C. 46301(a)(5)(B)(ii)</td>
<td>Violation by an individual or small business concern related to the registration or recordation under 49 U.S.C. chapter 441, of an aircraft not used to provide air transportation.</td>
<td>N/A</td>
<td>$13,669</td>
<td>$13,910.</td>
<td>$13,910.</td>
</tr>
<tr>
<td>49 U.S.C. 46301 note</td>
<td>Individual who aims the beam of a laser pointer at an aircraft in the airspace jurisdiction of the United States, or at the flight path of such an aircraft.</td>
<td>N/A</td>
<td>$25,000</td>
<td>$26,614.</td>
<td>$26,614.</td>
</tr>
<tr>
<td>49 U.S.C. 46301(b)</td>
<td>Tampering with a smoke alarm device</td>
<td>N/A</td>
<td>$4,388</td>
<td>$4,465.</td>
<td>$4,465.</td>
</tr>
<tr>
<td>49 U.S.C. 46318</td>
<td>Interference with cabin or flight crew ...</td>
<td>N/A</td>
<td>$35,883</td>
<td>$36,516.</td>
<td>$36,516.</td>
</tr>
<tr>
<td>49 U.S.C. 46320</td>
<td>Operating an unmanned aircraft and in so doing knowingly or recklessly interfering with a wildfire suppression, law enforcement, or emergency response effort.</td>
<td>N/A</td>
<td>$20,923</td>
<td>$21,292.</td>
<td>$21,292.</td>
</tr>
</tbody>
</table>
PART 383—CIVIL PENALTIES

3. The authority citation for part 383 continues to read as follows:


4. Section 383.2 is revised to read as follows:

§383.2 Amount of penalty.

Civil penalties payable to the U.S. Government for violations of Title 49, Chapters 401 through 421, pursuant to 49 U.S.C. 46301(a), are as follows:

(a) A general civil penalty of not more than $34,777 or $1,530 for individuals or small businesses applies to violations of statutory provisions and rules or orders issued under those provisions, other than those listed in paragraph (b) of this section (see 49 U.S.C. 46301(a)(1));

(b) With respect to small businesses and individuals, notwithstanding the general $1,466 civil penalty, the following civil penalty limits apply:

(1) A maximum civil penalty of $13,910 applies for violations of most provisions of Chapter 401, including the anti-discrimination provisions of sections 40127 (general provision), and 41705 (discrimination against the disabled) and rules and orders issued pursuant to those provisions (see 49 U.S.C. 46301(a)(5)(A));

(2) A maximum civil penalty of $6,955 applies for violations of section 41719 and rules and orders issued pursuant to that provision (see 49 U.S.C. 46301(a)(5)(B)); and

(3) A maximum civil penalty of $3,478 applies for violations of section 41712 or consumer protection rules or orders (see 49 U.S.C. 46301(a)(5)(C)).

PART 406—INVESTIGATIONS, ENFORCEMENT, AND ADMINISTRATIVE REVIEW

5. The authority citation for part 406 continues to read as follows:


6. Amend §406.9 by revising paragraph (a) to read as follows:

§406.9 Civil penalties.

(a) Civil penalty liability. Under 51 U.S.C. 59017(c), a person found by the FAA to have violated a requirement of the Act, a regulation issued under the Act, or any term or condition of a license or permit issued or transferred under the Act, is liable to the United States for a civil penalty of not more than $244,391 for each violation. A separate violation occurs for each day the violation continues.

Title 33—Navigation and Navigable Waters

PART 401—SEAWAY REGULATIONS AND RULES

Subpart B—Penalties—Violations of Seaway Regulations

7. The authority citation for subpart B of part 401 is revised to read as follows:

Authority: 33 U.S.C. 981–990, 1231 and 1232, 49 CFR 1.52, unless otherwise noted.

8. Amend §401.102 by revising paragraph (a) to read as follows:

§401.102 Civil penalty.

(a) A person, as described in §401.101(b) who violates a regulation in this chapter is liable to a civil penalty of not more than $95,881.

Title 46—Shipping

PART 221—REGULATED TRANSACTIONS INVOLVING DOCUMENTED VESSELS AND OTHER MARITIME INTERESTS

9. The authority citation for part 221 continues to read as follows:


10. Section 221.61(b) is revised to read as follows:

§221.61 Compliance.

(b) Pursuant to 46 U.S.C. 31309, a general penalty of not more than $21,409 may be assessed for each violation of chapter 313 or 48 U.S.C. subtitle III administered by the Maritime Administration, and pursuant to the regulations in this part a person violating 46 U.S.C. 31329 is liable for a civil penalty of not more than $53,524 for each violation. A person who charters, sells, transfers or mortgages a vessel, or an interest therein, in violation of 46 U.S.C. 56101(e) is liable for a civil penalty of not more than $21,507 for each violation.

PART 307—ESTABLISHMENT OF MANDATORY POSITION REPORTING SYSTEM FOR VESSELS

11. The authority citation for part 307 continues to read as follows:


12. Section 307.19 is revised to read as follows:

§307.19 Penalties.

The owner or operator of a vessel in the waterborne foreign commerce of the United States is subject to a penalty of $135.00 for each day of failure to file an AMVER report required by this part. Such penalty shall constitute a lien upon the vessel, and such vessel may be libeled in the district court of the United States in which the vessel may be found.

PART 340—PRIORITY USE AND ALLOCATION OF SHIPPING SERVICES, CONTAINERS AND CHASSIS, AND PORT FACILITIES AND SERVICES FOR NATIONAL SECURITY AND NATIONAL DEFENSE RELATED OPERATIONS

13. The authority citation for part 340 continues to read as follows:


14. Section 340.9 is revised to read as follows:

§340.9 Compliance.

Pursuant 50 U.S.C. 4513 any person who willfully performs any act prohibited, or willfully fails to perform any act required, by the provisions of this part shall, upon conviction, be fined not more than $27,051 or imprisoned for not more than one year, or both.

PART 356—REQUIREMENTS FOR VESSELS OF 100 FEET OR GREATER IN REGISTERED LENGTH TO OBTAIN A FISHERY ENDORSEMENT TO THE VESSEL’S DOCUMENTATION

15. The authority citation for part 356 continues to read as follows:


16. Amend §356.49 by revising paragraph (b) to read as follows:

§356.49 Penalties.

(b) A fine of up to $156,917 may be assessed against the vessel owner for each day in which such vessel has engaged in fishing (as such term is defined in section 3 of the Magnuson-Stevens Fishery Conservation and Management Act (16 U.S.C. 1802)) within the exclusive economic zone of the United States; and
PART 107—HAZARDOUS MATERIALS PROGRAM PROCEDURES

17. The authority citation for part 107 continues to read as follows:


18. Section 107.329 is revised to read as follows:

§ 107.329 Maximum penalties.
(a) A person who knowingly violates a requirement of the Federal hazardous material transportation law, an order issued thereunder, this subchapter, subchapter C of the chapter, or a special permit or approval issued under this subchapter applicable to the transportation of hazardous materials or the causing of them to be transported or shipped is liable for a civil penalty of not more than $83,439 for each violation, except the maximum civil penalty is $194,691 if the violation results in death, serious illness, or severe injury to any person or substantial destruction of property. There is no minimum civil penalty, except for a minimum civil penalty of $502 for violations relating to training.

(b) A person who knowingly violates a requirement of the Federal hazardous material transportation law, an order issued under Federal hazardous material transportation law, an order issued under Federal hazardous material transportation law, subchapter A of this chapter, or a special permit or approval issued under subchapter A or C of this chapter is liable for a civil penalty of not more than $83,439 for each violation, except the maximum civil penalty is $194,691 if the violation results in death, serious illness, or severe injury to any person or substantial destruction of property. There is no minimum civil penalty, except for a minimum civil penalty of $502 for a violation relating to training.

PART 190—PIPELINE SAFETY ENFORCEMENT AND REGULATORY PROCEDURES

22. The authority citation for part 190 continues to read as follows:

Authority: 33 U.S.C. 1321(b); 49 U.S.C. 60101 et seq.
23. Amend § 190.223 by revising paragraphs (a), (c), and (d) to read as follows:

§ 190.223 Maximum penalties.
(a) Any person found to have violated a provision of 49 U.S.C. 60101 et seq., or any regulation in 49 CFR parts 190 through 199, or order issued pursuant to 49 U.S.C. 60101 et seq., or 49 CFR part 190, is subject to an administrative civil penalty not to exceed $2,225,034 for each violation for each day the violation continues, with a maximum administrative civil penalty not to exceed $2,225,034 for any related series of violations.

(c) Any person found to have violated any standard or order under 49 U.S.C. 60103 is subject to an administrative civil penalty not to exceed $81,284, which may be in addition to other penalties to which such person may be subject under paragraph (a) of this section.

PART 209—RAILROAD SAFETY ENFORCEMENT PROCEDURES

24. The authority citation for part 209 continues to read as follows:

25. Amend § 209.103 by revising paragraphs (a) and (c) to read as follows:

§ 209.103 Minimum and maximum penalties.
(a) A person who knowingly violates a requirement of the Federal hazardous materials transportation laws, an order issued thereunder, subchapter A or C of chapter I, subtitle B, of this title, or a special permit or approval issued under subchapter A or C of chapter I, subtitle B, of this title is liable for a civil penalty of not more than $83,439 for each violation, except that—
(1) The maximum civil penalty for a violation is $194,691 if the violation results in death, serious illness, or severe injury to any person, or substantial destruction of property; and
(2) A minimum $502 civil penalty applies to a violation related to training.

(c) The maximum and minimum civil penalties described in paragraph (a) of this section apply to violations occurring on or after January 11, 2021.
26. Amend § 209.105 by revising the last sentence of paragraph (c) to read as follows:

§ 209.105 Notice of probable violation.
(c) * * * In an amended notice, FRA may change the civil penalty amount proposed to be assessed up to and including the maximum penalty amount of $83,439 for each violation, except that if the violation results in death, serious illness or severe injury to any person, or substantial destruction of property, FRA may change the penalty amount proposed to be assessed up to and including the maximum penalty amount of $194,691.

§ 209.409 [Amended]
27. Amend § 209.409 as follows:

“$83,439 or $194,691’’ and ‘‘January 11, 2021,’’ respectively.

PART 171—GENERAL INFORMATION, REGULATIONS, AND DEFINITIONS

20. The authority citation for part 171 continues to read as follows:

21. Amend § 171.1 by revising paragraph (g) to read as follows:

§ 171.1 Applicability of Hazardous Materials Regulations (HMR) to persons and functions.

(g) Penalties for noncompliance. Each person who knowingly violates a requirement of the Federal hazardous material transportation law, an order issued under Federal hazardous material transportation law, subchapter A of this chapter, or a special permit or approval issued under subchapter A or C of this chapter is liable for a civil penalty of not more than $83,439 for each violation, except the maximum civil penalty is $194,691 if the violation results in death, serious illness, or severe injury to any person or substantial destruction of property. There is no minimum civil penalty, except for a minimum civil penalty of $502 for violations relating to training.

Appendix A to Subpart D of Part 107 [Amended]

19. In appendix A to subpart D of part 107, remove “$81,993 or $191,316” and “July 31, 2019” and add in their places...
a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

28. In appendix A to part 209, amend the section “Penalty Schedules: Assessment of Maximum Penalties” by:

a. Adding a sentence to the end of the sixth paragraph;

b. Revising the fourth sentence of the seventh paragraph; and

c. Revising the first sentence of the tenth paragraph.

The addition and revisions read as follows:

Appendix A to Part 209—Statement of Agency Policy Concerning Enforcement of the Federal Railroad Safety Laws

Penalty Schedules: Assessment of Maximum Penalties

* * * * *

* * * Effective January 11, 2021, the minimum civil monetary penalty was raised from $892 to $908, the ordinary maximum civil monetary penalty was raised from $29,192 to $29,707, and the aggravated maximum civil monetary penalty was raised from $116,766 to $118,826.

* * * For each regulation in this part or order, the schedule shows two amounts within the $908 to $29,707 range in separate columns, the first for ordinary violations, the second for willful violations (whether committed by railroads or individuals).

* * * * *

Accordingly, under each of the schedules (ordinarily in a footnote), and regardless of the fact that a lesser amount might be shown (ordinarily in a footnote), and regardless of the fact that a lesser amount might be shown (ordinarily in a footnote), and regardless of the fact that a lesser amount might be shown (ordinarily in a footnote), and regardless of the fact that a lesser amount might be shown (ordinarily in a footnote), and regardless of the fact that a lesser amount might be shown (ordinarily in a footnote), and regardless of the fact that a lesser amount might be shown (ordinarily in a footnote), and regardless of the fact that a lesser amount might be shown (ordinarily in a footnote), and regardless of the fact that a lesser amount might be shown (ordinarily in a footnote), and regardless of the fact that a lesser amount might be shown (ordinarily in a footnote), and regardless of the fact that a lesser amount might be shown.

PART 214—RAILROAD WORKPLACE SAFETY

32. The authority citation for part 214 continues to read as follows:


PART 215—RAILROAD FREIGHT CAR SAFETY STANDARDS

34. The authority citation for part 215 continues to read as follows:


PART 216—SPECIAL NOTICE AND EMERGENCY ORDER PROCEDURES: RAILROAD TRACK, LOCOMOTIVE AND EQUIPMENT

36. The authority citation for part 216 continues to read as follows:


PART 217—RAILROAD OPERATING RULES

38. The authority citation for part 217 continues to read as follows:


PART 218—RAILROAD OPERATING PRACTICES

40. The authority citation for part 218 continues to read as follows:


PART 219—CONTROL OF ALCOHOL AND DRUG USE

42. The authority citation for part 219 continues to read as follows:


PART 219—CONTROL OF ALCOHOL AND DRUG USE

43. Amend § 219.10 as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".


§ 213.15 [Amended]

31. In § 213.15, amend paragraph (a) as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 214—RAILROAD WORKPLACE SAFETY

32. The authority citation for part 214 continues to read as follows:


§ 214.5 [Amended]

33. Amend § 214.5 as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 215—RAILROAD FREIGHT CAR SAFETY STANDARDS

34. The authority citation for part 215 continues to read as follows:


§ 215.7 [Amended]

35. Amend § 215.7 as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 216—SPECIAL NOTICE AND EMERGENCY ORDER PROCEDURES: RAILROAD TRACK, LOCOMOTIVE AND EQUIPMENT

36. The authority citation for part 216 continues to read as follows:


§ 216.7 [Amended]

37. Amend § 216.7 as follows:
PART 220—RAILROAD COMMUNICATIONS

■ 44. The authority citation for part 220 continues to read as follows:


§ 220.7 [Amended]

■ 45. Amend § 220.7 as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 221—REAR END MARKING DEVICE—PASSENGER, COMMUTER AND FREIGHT TRAINS

■ 46. The authority citation for part 221 continues to read as follows:


§ 221.7 [Amended]

■ 47. Amend § 221.7 as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$118,826".

PART 222—USE OF LOCOMOTIVE HORNS AT PUBLIC HIGHWAY—RAIL GRADE CROSSINGS

■ 48. The authority citation for part 222 continues to read as follows:


§ 222.11 [Amended]

■ 49. Amend § 222.11 as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$118,826".

PART 223—SAFETY GLAZING STANDARDS—LOCOMOTIVES, PASSENGER CARS AND CABOOSES

■ 50. The authority citation for part 223 continues to read as follows:


§ 223.7 [Amended]

■ 51. Amend § 223.7 as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 224—REFLECTORIZATION OF RAIL FREIGHT ROLLING STOCK

■ 52. The authority citation for part 224 continues to read as follows:


§ 224.11 [Amended]

■ 53. In § 224.11, amend paragraph (a) as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 225—RAILROAD ACCIDENTS/INCIDENTS: REPORT CLASSIFICATION, AND INVESTIGATIONS

■ 54. The authority citation for part 225 continues to read as follows:


§ 225.29 [Amended]

■ 55. Amend § 225.29 as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 227—OCCUPATIONAL NOISE EXPOSURE

■ 56. The authority citation for part 227 continues to read as follows:


§ 227.9 [Amended]

■ 57. In § 227.9, amend paragraph (a) as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 228—PASSENGER TRAIN EMPLOYEE HOURS OF SERVICE; RECORDKEEPING AND REPORTING; SLEEPING QUARTERS

■ 58. The authority citation for part 228 continues to read as follows:


§ 228.6 [Amended]

■ 59. In § 228.6, amend paragraph (a) as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

■ 60. In appendix A to part 228, under the heading “General Provisions,” amend the “Penalty” paragraph by adding a sentence at the end of the first paragraph to read as follows:

Appendix A to Part 228—Requirements of the Hours of Service Act: Statement of Agency Policy and Interpretation

General Provisions

Penalty. * * * Effective January 11, 2021, the minimum civil monetary penalty was raised from $892 to $908, the ordinary maximum civil monetary penalty was raised from $29,192 to $29,707, and the aggravated maximum civil monetary penalty was raised from $116,766 to $118,826.

PART 229—RAILROAD LOCOMOTIVE SAFETY STANDARDS

■ 61. The authority citation for part 229 continues to read as follows:


§ 229.7 [Amended]

■ 62. In § 229.7, amend paragraph (b) as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and

c. Remove the dollar amount "$116,766" and add in its place "$118,826".
c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 230—STEAM LOCOMOTIVE INSPECTION AND MAINTENANCE STANDARDS

63. The authority citation for part 230 continues to read as follows:


§ 230.4 [Amended]
64. In § 230.4, amend paragraph (a) as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707";

PART 231—RAILROAD SAFETY APPLIANCE STANDARDS

65. The authority citation for part 231 continues to read as follows:


§ 231.0 [Amended]
66. In § 231.0, amend paragraph (f) as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707";

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 232—BRAKE SYSTEM SAFETY STANDARDS FOR FREIGHT AND OTHER NON–PASSENGER TRAINS AND EQUIPMENT; END–OF–TRAIN DEVICES

67. The authority citation for part 232 continues to read as follows:


§ 232.11 [Amended]
68. In § 232.11, amend paragraph (a) as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707";

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 233—SIGNAL SYSTEMS REPORTING REQUIREMENTS

69. The authority citation for part 233 continues to read as follows:


§ 233.11 [Amended]
70. Amend § 233.11 as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707";

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 234—GRADE CROSSING SAFETY

71. The authority citation for part 234 continues to read as follows:


§ 234.6 [Amended]
72. In § 234.6, amend paragraph (a) as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707";

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 235—INSTRUCTIONS GOVERNING APPLICATIONS FOR APPROVAL OF A DISCONTINUANCE OR MATERIAL MODIFICATION OF A SIGNAL SYSTEM OR RELIEF FROM THE REQUIREMENTS OF PART 236

73. The authority citation for part 235 continues to read as follows:


§ 235.9 [Amended]
74. Amend § 235.9 as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707";

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 236—RULES, STANDARDS, AND INSTRUCTIONS GOVERNING THE INSTALLATION, INSPECTION, MAINTENANCE, AND REPAIR OF SIGNAL AND TRAIN CONTROL SYSTEMS, DEVICES, AND APPLIANCES

75. The authority citation for part 236 continues to read as follows:


§ 236.0 [Amended]
76. In § 236.0, amend paragraph (f) as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707";

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 237—BRIDGE SAFETY STANDARDS

77. The authority citation for part 237 continues to read as follows:


§ 237.7 [Amended]
78. In § 237.7, amend paragraph (a) as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707";

c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 238—PASSENGER EQUIPMENT SAFETY STANDARDS

79. The authority citation for part 238 continues to read as follows:


§ 238.11 [Amended]
80. In § 238.11, amend paragraph (a) as follows:

a. Remove the dollar amount "$892" and add in its place "$908";

b. Remove the dollar amount "$29,192" and add in its place "$29,707";

c. Remove the dollar amount "$116,766" and add in its place "$118,826".
PART 239—PASSENGER TRAIN EMERGENCY PREPAREDNESS

81. The authority citation for part 239 continues to read as follows:


§ 239.11 [Amended]
82. Amend § 239.11 as follows:
   - a. Remove the dollar amount "$892" and add in its place "$908";
   - b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and
   - c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 240—QUALIFICATION AND CERTIFICATION OF LOCOMOTIVE ENGINEERS

83. The authority citation for part 240 continues to read as follows:


§ 240.11 [Amended]
84. In § 240.11, amend paragraph (a) as follows:
   - a. Remove the dollar amount "$892" and add in its place "$908";
   - b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and
   - c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 241—UNITED STATES LOCATIONAL REQUIREMENT FOR DISPATCHING OF UNITED STATES RAIL OPERATIONS

85. The authority citation for part 241 continues to read as follows:


§ 241.15 [Amended]
86. In § 241.15, amend paragraph (a) as follows:
   - a. Remove the dollar amount "$892" and add in its place "$908";
   - b. Remove the dollar amount "$29,192" and add in its place "$29,707"; and
   - c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 242—QUALIFICATION AND CERTIFICATION OF CONDUCTORS

87. The authority citation for part 242 continues to read as follows:


§ 242.11 [Amended]
88. In § 242.11, amend paragraph (a) as follows:
   - a. Remove the dollar amount "$892" and add in its place "$892";
   - b. Remove the dollar amount "$29,192" and add in its place "$29,192"; and
   - c. Remove the dollar amount "$117,597" and add in its place "$118,192".

PART 243—TRAINING, QUALIFICATION, AND OVERSIGHT FOR SAFETY–RELATED RAILROAD EMPLOYEES

89. The authority citation for part 243 continues to read as follows:


§ 243.7 [Amended]
90. In § 243.7, amend paragraph (a) as follows:
   - a. Remove the dollar amount "$892" and add in its place "$908";
   - b. Remove the dollar amount "$29,192" and add in its place "$29,192"; and
   - c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 244—REGULATIONS ON SAFETY INTEGRATION PLANS GOVERNING RAILROAD CONSOLIDATIONS, Mergers, and Acquisitions of Control

91. The authority citation for part 244 continues to read as follows:


§ 244.5 [Amended]
92. In § 244.5, amend paragraph (a) as follows:
   - a. Remove the dollar amount "$892" and add in its place "$892";
   - b. Remove the dollar amount "$29,192" and add in its place "$29,192"; and
   - c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 272—CRITICAL INCIDENT STRESS PLANS

93. The authority citation for part 272 continues to read as follows:


§ 272.11 [Amended]
94. In § 272.11, amend paragraph (a) as follows:
   - a. Remove the dollar amount "$892" and add in its place "$892";
   - b. Remove the dollar amount "$29,192" and add in its place "$29,192"; and
   - c. Remove the dollar amount "$116,766" and add in its place "$118,826".

PART 386—RULES OF PRACTICE FOR FMCSA PROCEEDINGS

95. The authority citation for part 386 is revised to read as follows:


96. Amend appendix A to part 386 by revising the introductory text and sections II and IV.a. through e. and g. through j. to read as follows:

Appendix A to Part 386—Penalty Schedule: Violations of Notices and Orders

The Civil Penalties Inflation Adjustment Act Improvements Act of 2015 [Public Law 114–74, sec. 701, 129 Stat. 599] amended the Federal Civil Penalties Inflation Adjustment Act of 1990 to require agencies to adjust civil penalties for inflation. Pursuant to that authority, the inflation adjusted civil penalties identified in this appendix supersede the corresponding civil penalty amounts identified in title 49, United States Code.

* * * *

II. Subpoena

Violation—Failure to respond to Agency subpoena to appear and testify or produce records.

Penalty—minimum of $1,112 but not more than $11,125 per violation.

* * * *

IV. Out-of-Service Order

a. Violation—Operation of a commercial vehicle by a driver during the period the driver was placed out of service.

Penalty—Up to $1,928 per violation.

(For purposes of this violation, the term “driver” means an operator of a commercial motor vehicle, including an independent contractor who, while in the course of operating a commercial motor vehicle, is employed or used by another person.)

b. Violation—Requiring or permitting a driver to operate a commercial vehicle during the period the driver was placed out of service.

Penalty—Up to $19,277 per violation.
Penalties for inflation. Pursuant to that Act of 1990 to require agencies to adjust civil operations are conducted during the period of suspension under §386.83 or and time of the out-of-service order. operation continues after the effective date and time of the order to cease. §386.83 for failure to pay penalties. before the required repairs are made. Penalty—Up to $19,277 each time the vehicle or intermodal equipment is so operated after notice of the defect is received. (This violation applies to intermodal equipment providers and motor carriers, including an independent owner operator who is not a "driver," as defined in IV(a) above.) o. Violation—Failure to return written certification of correction as required by the out-of-service order. Penalty—Up to $964 per violation. * * * * g. Violation—Operating in violation of an order issued under §386.72(b) to cease all or part of the employer’s commercial motor vehicle operations on or cease part of an intermodal equipment provider’s operations, i.e., failure to cease operations as ordered. Penalty—Up to $27,813 per day the operation continues after the effective date and time of the order to cease. h. Violation—Operating in violation of an order issued under §386.73. Penalty—Up to $24,441 per day the operation continues after the effective date and time of the out-of-service order. i. Violation—Conducting operations during a period of suspension under §396.83 or §386.84 for failure to pay penalties. Penalty—Up to $15,691 for each day that operations are conducted during the suspension or revocation period. j. Violation—Conducting operations during a period of suspension or revocation under §385.911, §385.913, §385.1009, or §385.1011 of this subchapter. Penalty—Up to $24,441 for each day that operations are conducted during the suspension or revocation period. 97. Amend appendix B to part 386 by revising the introductory text and paragraphs (a)(1) through (5), (b), (d), through (f), (g)(1) through (8), (10) through (14), and (16) through (18), (g)(21)(i), (g)(22) and (23), (h), and (i) to read as follows: Appendix B to Part 386—Penalty Schedule: Violations and Monetary Penalties The Civil Penalties Inflation Adjustment Act Improvements Act of 2015 [Pub. L. 114–74, sec. 701, 120 Stat. 599] amended the Federal Civil Penalties Inflation Adjustment Act of 1990 to require agencies to adjust civil penalties for inflation. Pursuant to that authority, the inflation adjusted civil penalties identified in this appendix supersede the corresponding civil penalty amounts identified in title 49, United States Code. What are the types of violations and maximum monetary penalties? (a) * * * (1) Recordkeeping. A person or entity that fails to prepare or maintain a record required by part 40 of this title and parts 382, subpart A, B, C, D, E, or F, 385, and 390 through 399 of this subchapter, or prepares or maintains a required record that is incomplete, inaccurate, or false, is subject to a maximum civil penalty of $1,292 for each day the violation continues, up to $12,919. (2) Knowing falsification of records. A person or entity that knowingly falsifies, destroys, mutilates, or changes a report or record required by parts 382, subpart A, B, C, D, E, or F, 385, and 390 through 399 of this subchapter, knowingly makes or causes to be made a false or incomplete record about an operation or transaction, or knowingly makes, prepares, or preserves a record in violation of a regulation order of the Secretary is subject to a maximum civil penalty of $12,919 if such action misrepresents a fact that constitutes a violation other than a reporting or recordkeeping violation. (3) Non-recordkeeping violations. A person or entity that violates part 382, subpart A, B, C, D, E, or F, part 385, or parts 390 through 399 of this subchapter, except a recordkeeping requirement, is subject to a civil penalty not to exceed $15,691 for each violation. (4) Non-recordkeeping violations by drivers. A driver who violates parts 382, subpart A, B, C, D, E, or F, 385, and 390 through 399 of this subchapter, except a recordkeeping violation, is subject to a civil penalty not to exceed $3,923. (5) Violation of 49 CFR 392.5. A driver placed out of service for 24 hours for violating the alcohol prohibitions of 49 CFR 392.5(a) or (b) who drives during that period is subject to a civil penalty not to exceed $3,230 for a first conviction and not less than $6,460 for a second or subsequent conviction. * * * * (b) Commercial driver’s license (CDL) violations. Any employer, employee, medical review officer, or service agent who violates any provision of 49 CFR parts 382, subpart G, or any person who violates 49 CFR part 383, subpart B, C, E, F, or G, is subject to a civil penalty not to exceed $5,833; except: (1) A CDL-holder who is convicted of violating an out-of-service order shall be subject to a civil penalty of not less than $3,230 for a first conviction and not less than $6,460 for a second or subsequent conviction; (2) An employer of a CDL-holder who knowingly allows, requires, permits, or authorizes to operate a CMV without a current CDL license is subject to a civil penalty of not less than $5,833 or more than $32,297; and (3) An employer of a CDL-holder who knowingly allows, requires, permits, or authorizes to operate a CMV in violation of a Federal, State, or local law or regulation pertaining to railroad-highway grade crossings is subject to a civil penalty of not more than $16,743. * * * * (d) Financial responsibility violations. A motor carrier that fails to maintain the levels of financial responsibility prescribed by part 387 of this subchapter or any person (except an employee who acts without knowledge) who knowingly violates the rules of part 387, subparts A and B, is subject to a maximum penalty of $17,213. Each day of a continuing violation constitutes a separate offense. (e) Violations of the Hazardous Materials Regulations (HMRs) and safety permitting regulations found in part 385 of this subchapter. This paragraph (e) applies to violations by motor carriers, drivers, shippers and other persons who transport hazardous materials on the highway in commercial motor vehicles or cause hazardous materials to be so transported. (1) All knowing violations of 49 U.S.C. chapter 51 or orders or regulations issued under the authority of that chapter applicable to the transportation or shipment of hazardous materials by common carrier on the highways are subject to a civil penalty of not more than $83,439 for each violation. Each day of a continuing violation constitutes a separate offense. (2) All knowing violations of 49 U.S.C. chapter 51 or orders or regulations issued under the authority of that chapter applicable to training related to the transportation or shipment of hazardous materials by commercial motor vehicle on the highways are subject to a civil penalty of not less than $502 and not more than $83,439 for each violation. (3) All knowing violations of 49 U.S.C. chapter 51 or orders, regulations, or exemptions under the authority of that chapter applicable to motor carriers, drivers, shippers and other persons who transport hazardous materials by commercial motor vehicle on the highways are subject to a civil penalty of not more than $83,439 for each violation. (4) Whenever regulations issued under the authority of 49 U.S.C. chapter 51 require compliance with the FMCSRs while transporting hazardous materials, any violations of the FMCSRs will be considered a violation of the HMRs and subject to a civil penalty of not more than $83,439. (5) If any violation subject to the civil penalties set out in paragraphs (e)(1) through (4) of this appendix results in death, serious illness, or severe injury to any person or in substantial destruction of property, the civil penalty may be increased to not more than $194,691 for each offense. (f) Operating after being declared unfit by assignment of a final safety rating. (1) A motor carrier operating a commercial motor vehicle in interstate commerce (except owners or operators of commercial motor vehicles designed or used to transport hazardous materials for which placarding of a motor vehicle is required under regulations prescribed under 49 U.S.C. 1761 Federal Register / Vol. 86, No. 6 / Monday, January 11, 2021 / Rules and Regulations 1761
the safe and adequate movement of the shipper, is liable for a minimum penalty of $22,251 and for a maximum penalty of $38,250 for each violation.

(18) A person who violates a provision of part B, subtitle IV, title 49, U.S.C., or a regulation or order under part B, or who violates a condition of registration related to transportation that is subject to jurisdiction under subchapter I or III of chapter 135, or who violates a condition of registration of a foreign motor carrier or foreign motor private carrier under section 13902, is liable for a penalty of $838 for each violation if another penalty is not provided in 49 U.S.C. chapter 149.

(21) * * *

(i) Who knowingly and willfully fails, in violation of a contract, to deliver to, or unload at, the destination of a shipment of household goods in interstate commerce for which charges have been estimated by the motor carrier transporting such goods, and for which the shipper has tendered a payment in accordance with part 375, subpart G, of this subchapter, is liable for a civil penalty of not less than $17,643 for each violation. Each day of a continuing violation constitutes a separate offense.

(ii) A broker for transportation of household goods who makes an estimate of the cost of transporting any such goods before entering into an agreement with a motor carrier to provide transportation of household goods subject to FMCSA jurisdiction is liable to the United States for a civil penalty of not less than $12,919 for each violation.

(ii) * * *

(h) Copying of records and access to equipment, lands, and buildings. A person subject to 49 U.S.C. chapter 51 or a motor carrier, broker, freight forwarder, or owner or operator of a commercial motor vehicle subject to part B of subtitle VI of title 49 U.S.C. who fails to allow promptly, upon demand in person or in writing, the Federal Motor Carrier Safety Administration, an employee designated by the Federal Motor Carrier Safety Administration, or an employee of a MCSAP grant recipient to inspect and copy any record or inspect and examine equipment, lands, and buildings, and other property, in accordance with 49 U.S.C. 504(c), 5121(c), and 14122(b), is subject to a civil penalty of not more than $1,292 for each offense.

(22) A broker for transportation of household goods who makes an estimate of the cost of transporting any such goods before entering into an agreement with a motor carrier to provide transportation of household goods subject to FMCSA jurisdiction is liable to the United States for a civil penalty of not less than $12,919 for each violation.

(23) A person who violates transportation of household goods subject to jurisdiction under 49 U.S.C. chapter 135, subchapter I, or provides broker services for such transportation, without being registered under 49 U.S.C. chapter 139 to provide such transportation or services as a motor carrier or broker, as the case may be, is liable to the United States for a civil penalty of not less than $32,297 for each such violation.

(b) Copying of records and access to equipment, lands, and buildings. A person subject to 49 U.S.C. chapter 51 or a motor carrier, broker, freight forwarder, or owner or operator of a commercial motor vehicle subject to part B of subtitle VI of title 49 U.S.C. who fails to allow promptly, upon demand in person or in writing, the Federal Motor Carrier Safety Administration, an employee designated by the Federal Motor Carrier Safety Administration, or an employee of a MCSAP grant recipient to inspect and copy any record or inspect and examine equipment, lands, and buildings, and other property, in accordance with 49 U.S.C. 504(c), 5121(c), and 14122(b), is subject to a civil penalty of not more than $1,292 for each offense. Each day of a continuing violation constitutes a separate offense, except that the total of all civil penalties against any violator for all offenses related to a single violation shall not exceed $12,919.

(i) A person, or an officer,

(i) * * *

(21) * * *

(i) Who knowingly and willfully fails, in violation of a contract, to deliver to, or unload at, the destination of a shipment of household goods in interstate commerce for which charges have been estimated by the motor carrier transporting such goods, and for which the shipper has tendered a payment in accordance with part 375, subpart G, of this subchapter, is liable for a civil penalty of not less than $17,643 for each violation. Each day of a continuing violation constitutes a separate offense.

(ii) A broker for transportation of household goods who makes an estimate of the cost of transporting any such goods before entering into an agreement with a motor carrier to provide transportation of household goods subject to FMCSA jurisdiction is liable to the United States for a civil penalty of not less than $12,919 for each violation.

(ii) * * *

(h) Copying of records and access to equipment, lands, and buildings. A person subject to 49 U.S.C. chapter 51 or a motor carrier, broker, freight forwarder, or owner or operator of a commercial motor vehicle subject to part B of subtitle VI of title 49 U.S.C. who fails to allow promptly, upon demand in person or in writing, the Federal Motor Carrier Safety Administration, an employee designated by the Federal Motor Carrier Safety Administration, or an employee of a MCSAP grant recipient to inspect and copy any record or inspect and examine equipment, lands, and buildings, and other property, in accordance with 49 U.S.C. 504(c), 5121(c), and 14122(b), is subject to a civil penalty of not more than $1,292 for each offense. Each day of a continuing violation constitutes a separate offense, except that the total of all civil penalties against any violator for all offenses related to a single violation shall not exceed $12,919.
a regulation in subtitle B, chapter I, subchapter C of this title, or this subchapter, issued under any of those provisions, shall be fined at least $2,226 but not more than $5,562 for the first violation and at least $2,780 but not more than $8,344 for a subsequent violation.

(2) Who tries to evade regulation under part B of subtitle IV, title 49, U.S.C., for carriers or brokers is liable for a penalty of at least $2,226 for the first violation or at least $5,562 for a subsequent violation.

PART 578—CIVIL AND CRIMINAL PENALTIES

98. The authority citation for part 578 is revised to read as follows:


99. In §578.6, paragraphs (a)(1), (a)(2)(i)(B), (a)(3) and (4), (b) through (g), (h)(1), (i) and (j) are revised to read as follows:

§578.6 Civil penalties for violations of specified provisions of Title 49 of the United States Code.

(a) * * *

(1) In general. A person who violates any of sections 30112, 30115, 30117 through 30122, 30123(a), 30125(c), 30127, or 30141 through 30147 of Title 49 of the United States Code or a regulation in this chapter prescribed under any of those sections is liable to the United States Government for a civil penalty of not more than $2,226 for each violation. A separate violation occurs for each motor vehicle or item of motor vehicle equipment and for each failure or refusal to allow or perform an act required by any of those sections. The maximum civil penalty under this paragraph (a)(1) for a related series of violations is $113,611,635.

(2) * * *

(i) * * *

(B) Violates section 30112(a)(2) of Title 49 United States Code, shall be subject to a civil penalty of not more than $12,919 for each violation. A separate violation occurs for each motor vehicle or item of motor vehicle equipment and for each failure or refusal to allow or perform an act required by this section. The maximum penalty under this paragraph (a)(2)(i)(B) for a related series of violations is $19,378,412.

(3) Section 30166. A person who violates Section 30166 of Title 49 of the United States Code or a regulation in this chapter prescribed under that section is liable to the United States Government for a civil penalty for failing or refusing to allow or perform an act required under that section or regulation. The maximum penalty under this paragraph (a)(3) is $22,723 per violation per day. The maximum penalty under this paragraph (a)(3) for a related series of daily violations is $113,611,635.

(4) False and misleading reports. A person who knowingly and willfully submits materially false or misleading information to the Secretary, after certifying the same information as accurate under the certification process established pursuant to Section 30166(o) of Title 49 of the United States Code, shall be subject to a civil penalty of not more than $5,562 per day. The maximum penalty under this paragraph (a)(4) for a related series of daily violations is $1,112,518.

(b) National Automobile Title Information System. An individual or entity violating 49 U.S.C. Chapter 305 is liable to the United States Government for a civil penalty of not more than $1,814 for each violation.

(c) Bumper standards. (1) A person that violates 49 U.S.C. 32506(a) is liable to the United States Government for a civil penalty of not more than $2,976 for each violation. A separate violation occurs for each passenger motor vehicle or item of motor vehicle equipment involved in a violation of 49 U.S.C. 32506(a)

(i) That does not comply with a standard prescribed under 49 U.S.C. 32502; or

(ii) For which a certificate is not provided, or for which a false or misleading certificate is provided, under 49 U.S.C. 32504.

(2) The maximum civil penalty under this paragraph (c) for a related series of violations is $3,313,763.

(d) Consumer information—(1) Crashworthiness and damage susceptibility. A person who violates 49 U.S.C. 32308(a), regarding crashworthiness and damage susceptibility, is liable to the United States Government for a civil penalty of not more than $2,976 for each violation. Each failure to provide information or comply with a regulation in violation of 49 U.S.C. 32308(a) is a separate violation. The maximum penalty under this paragraph (d)(1) for a related series of violations is $1,623,024.

(2) Consumer tire information. Any person who fails to comply with the tire consumption standards of 49 CFR part 535 is not more than $42,621 per vehicle or engine. The maximum civil penalty for a related series of violations shall be determined by multiplying $42,621 times the vehicle or engine production volume for the model year.
in question within the regulatory averaging set.

Issued in Washington, DC, on November 10, 2020.

Elaine L. Chao,
Secretary of Transportation.

[FR Doc. 2020–25236 Filed 1–8–21; 8:45 am]

BILLING CODE P

DEPARTMENT OF COMMERCE

Office of the Secretary

15 CFR Part 6

[Docket No. 201209–0333]

RIN 0605–AA58

Civil Monetary Penalty Adjustments for Inflation

AGENCY: Office of the Chief Financial Officer and Assistant Secretary for Administration, Department of Commerce.

ACTION: Final rule.

SUMMARY: This final rule is being issued to adjust for inflation each civil monetary penalty (CMP) provided by law within the jurisdiction of the United States Department of Commerce (Department of Commerce). The Department of Commerce’s 2021 adjustments for inflation to CMPs apply only to CMPs with a dollar amount, and will not apply to CMPs written as functions of violations. The Department of Commerce’s 2021 adjustments for inflation to CMPs apply only to those CMPs, including those whose associated violation predated such adjustment, which are assessed by the Department of Commerce after the effective date of the new CMP level.

DATES: This rule is effective January 15, 2021.


SUPPLEMENTARY INFORMATION:

Background

The Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410; 28 U.S.C. 2461), as amended by the Debt Collection Improvement Act of 1996 (Pub. L. 104–134), provided for agencies’ adjustments for inflation to CMPs to ensure that CMPs continue to maintain their deterrent value and that CMPs due to the Federal Government were properly accounted for and collected.

A CMP is defined as any penalty, fine, or other sanction that:

1. Is for a specific monetary amount as provided by Federal law, or has a maximum amount provided for by Federal law; and,
2. Is assessed or enforced by an agency pursuant to Federal law; and,
3. Is assessed or enforced pursuant to an administrative proceeding or a civil action in the Federal courts.

On November 2, 2015, the Federal Civil Penalties Inflation Adjustment Act Improvements Act of 2015 (Section 701 of Pub. L. 114–74) further amended the Federal Civil Penalties Inflation Adjustment Act of 1990 to improve the effectiveness of CMPs and to maintain their deterrent effect. This amendment (1) required agencies to adjust the CMP levels in effect as of November 2, 2015, with initial catch up adjustments for inflation through a final rulemaking to take effect no later than August 1, 2016; and (2) requires agencies to make subsequent annual adjustments for inflation to CMPs that shall take effect not later than January 15. The Department of Commerce’s 2020 adjustments for inflation to CMPs were published in the Federal Register on January 3, 2020, and the new CMP levels became effective January 15, 2020.

The Department of Commerce’s 2021 adjustments for inflation to CMPs apply only to CMPs with a dollar amount, and will not apply to CMPs written as functions of violations. These 2021 adjustments for inflation to CMPs apply only to those CMPs, including those whose associated violation predated such adjustment, which are assessed by the Department of Commerce after the effective date of the new CMP level.

This regulation adjusts for inflation CMPs that are provided by law within the jurisdiction of the Department of Commerce. The actual CMP assessed for a particular violation is dependent upon a variety of factors. For example, the National Oceanic and Atmospheric Administration’s (NOAA) Policy for the Assessment of Civil Administrative Penalties and Permit Sanctions (Penalty Policy), a compilation of NOAA internal guidelines that are used when assessing CMPs for violations for most of the statutes NOAA enforces, will be interpreted in a manner consistent with this regulation to maintain the deterrent effect of the CMPs. The CMP ranges in the Penalty Policy are intended to aid enforcement attorneys in determining the appropriate CMP to assess for a particular violation. The Penalty Policy is maintained and made available to the public on NOAA’s Office of the General Counsel, Enforcement Section website at: http://www.gc.noaa.gov/enforce-office.html.

The Department of Commerce’s 2021 adjustments for inflation to CMPs set forth in this regulation were determined pursuant to the methodology prescribed by the Federal Civil Penalties Inflation Adjustment Act Improvements Act of 2015, which requires the maximum CMP, or the minimum and maximum CMP, as applicable, to be increased by the cost-of-living adjustment. The term “cost-of-living adjustment” is defined by the Federal Civil Penalties Inflation Adjustment Act Improvements Act of 2015. For the 2021 adjustments for inflation to CMPs, the cost-of-living adjustment is the percentage for each CMP by which the Consumer Price Index for the month of October 2020 exceeds the Consumer Price Index for the month of October 2019.

Classification

Pursuant to 5 U.S.C. 553(b)(3)(B), there is good cause to issue this rule without prior public notice or opportunity for public comment because it would be impracticable and unnecessary. The Federal Civil Penalties Inflation Adjustment Act Improvements Act of 2015 (Section 701(b)) requires agencies to make annual adjustments for inflation to CMPs notwithstanding section 553 of title 5, United States Code. Additionally, the methodology used for adjusting CMPs for inflation is given by statute, with no discretion provided to agencies regarding the substance of the adjustments for inflation to CMPs. The Department of Commerce is charged only with performing ministerial computations to determine the dollar amounts of adjustments for inflation to CMPs. Accordingly, prior public notice and an opportunity for public comment are not required for this rule. For the same reasons, there is good cause under 5 U.S.C. 553(d)(3) to waive the 30-day delay in effective date.

Paperwork Reduction Act

The provisions of the Paperwork Reduction Act of 1995, Public Law 104–13, 44 U.S.C. Chapter 35, and its implementing regulations, 5 CFR part 1320, do not apply to this rule because there are no new or revised