



U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 2021

**OFFICE OF
THE SECRETARY
OF TRANSPORTATION**

**SUBMITTED FOR THE USE OF
THE COMMITTEES ON APPROPRIATIONS**

**DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY**

FY 2021 CONGRESSIONAL JUSTIFICATION

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GENERAL NOTES

Detail in this document may not add to the totals due to rounding.

SECTION 1: OVERVIEW

OFFICE OF THE SECRETARY

OVERVIEW

The Office of the Secretary (OST) is responsible for program and policy development and oversight within the Department of Transportation (DOT). OST also manages grant, research, credit, and other programs that support essential infrastructure, advancements in safety and technology, and economic viability.

OST is responsible for the selection, award, and oversight of billions of dollars of multimodal infrastructure funding for the Better Utilizing Investments to Leverage Development (BUILD) transportation discretionary grants program and the Infrastructure for Rebuilding America (INFRA) discretionary grant program. In addition, OST works to broaden the availability of funding for infrastructure through the management of the Department's innovative finance programs.

OST coordinates the development of National transportation policy to promote the Secretary's priorities of safety, infrastructure, and innovation, as well as research and analysis to advance emerging transportation technologies. Other critical OST activities include supporting commercial flight access for rural communities, ensuring fairness to airline travelers. The Office of the Secretary is leading the Department's efforts at appropriate regulatory reforms to reduce duplication and increase efficiencies while preserving the high standards of the world's safest transportation system. From January 2017 through December 2019, the Department has finalized 60 deregulatory actions with net present value cost savings to the American people of over \$3.6 billion. In the Fall 2019 Unified Agenda, the Department was pursuing more deregulatory actions than any other Federal agency.

The FY 2021 President's Budget requests **\$2.8 billion** for OST to sustain its oversight responsibilities, continue strategic Departmental priorities such as investing in cyber security and improving efficiencies through shared services, and continue funding for critical grant programs.

Key Components of the Request

- **Transportation Infrastructure Finance and Innovation Act (TIFIA) Program: \$311 million.** Additional details on this account will be provided in the proposed surface transportation reauthorization proposal.
- **BUILD Transportation Grants Program: \$1 billion** to fund critical transportation projects that benefit a local community or region through a merit-based, competitive program. BUILD provides an equitable geographic distribution of funds as well as an appropriate balance in addressing rural and urban communities' needs with infrastructure investments across a variety of transportation modes.
- **INFRA Grant Program: \$1 billion** in General Funds to support project sponsors who propose economically sound and cost-effective projects, leverage Federal

assistance, incorporate innovation into their projects, and commit to accountability, all while meeting strict congressional requirements.

- **Salaries and Expenses (S&E): \$127 million** for S&E for the Secretarial offices. The OST Offices serve as advisors to the Secretary on a wide range of areas while also maintaining oversight controls on the Department's programs, initiatives, and policies. These Offices contribute to the advancement of the Department's strategic goals, from safety to infrastructure and innovation, to regulatory reform. The request supports OST's continued role leading the Department's regulatory reform task force (RRTF), implementing safe, sensible, and effective regulatory reform pursuant to Executive Orders 13771 and 13777. Also, in this request, is a proposal to consolidate Public Affairs and Governmental Affairs activities within OST.
- **Financial Management Capital (FMC): \$2 million** to continue the execution of the DATA Act compliance requirements and full implementation of G-Invoicing to include all data standardization initiatives, in addition to other necessary projects to support efficiency in DOT financial management.
- **Departmental Office of Civil Rights (DOCR): \$10 million** to support and advance internal and external civil rights initiatives, administer Federal civil rights statutes, and investigate Equal Employment Opportunity complaints.
- **Small and Disadvantaged Business Utilization and Outreach (SDBUO): \$5 million** to assist small, disadvantaged, and women-owned businesses in participating in DOT and DOT-assisted contracts and grants, and fully fund existing Small Business Transportation Resource Centers.
- **Transportation Planning, Research and Development Program (TPR&D): \$9 million** for research activities and studies to support the Secretary's formulation of National transportation policies and advance emerging transportation technologies. Of this funding, the Interagency Infrastructure Permitting Improvement Center will receive \$1.5 million to streamline permitting review processes.
- **Cyber Security Initiatives: \$22 million** to continue to improve the compliance of DOT's cyber security posture, including modernizing the DOT cyber resiliency program and enterprise authentication and authorization capabilities.
- **National Surface Transportation and Innovative Finance Bureau: \$4 million** will facilitate targeted Federal investments in infrastructure by streamlining the Department's innovative finance programs. The budget request will also allow OST to further build upon its initial progress of consolidating these credit programs, and continue to develop and promote best practices for innovative financing and public-private partnerships, including the management of the Title XI program.
- **Essential Air Service (EAS) program: \$296 million** to ensure that eligible small communities retain a link to the national air transportation system, funded from \$154

million of mandatory overflight fees collected by the Federal Aviation Administration and a \$142 million discretionary appropriation. OST is proposing reforms to ensure Federal funds are efficiently used, including a cost-sharing requirement for communities found out of compliance with certain statutory provisions in recent years.

- **Research and Development: \$11 million** to ensure coordination across the Department for research, development, and technology activities.
- **Working Capital Fund (WCF):** In FY 2021, the WCF will obligate an estimated **\$703 million** across the Department, including \$153 million to continue the Department's implementation of a Shared Services environment for human resources, procurement, and commodity information technology (IT) investments. This builds on prior successes to consolidate resources and improve delivery of services across the Department.

Surface Transportation Reauthorization Proposal

In the coming months, the Administration will submit a comprehensive surface transportation reauthorization proposal to Congress for consideration. The FY 2021 President's Budget request includes **\$15.6 billion** to support a 10-year authorization of certain activities in OST. Further, the proposed surface transportation reauthorization includes non-budgetary policy changes. OST includes programs operated under the Office of the Under Secretary of Transportation for Policy, including the Build America Bureau and the Office of the Assistant Secretary for Research and Technology. The provisions of the proposal address the following four core themes that support the Administration and the Secretary's priorities:

Prioritizing Safety: The proposed surface transportation reauthorization proposal will ensure that there is stronger collaboration between the Department of Transportation, transportation operators, and other stakeholders on safety data, to generate new insights and produce better safety outcomes. Other portions of the proposal will enhance the Bureau of Transportation Statistics' commitment to deliver high-quality, timely statistical data products – which will enhance safety and performance on all parts of the American transportation system.

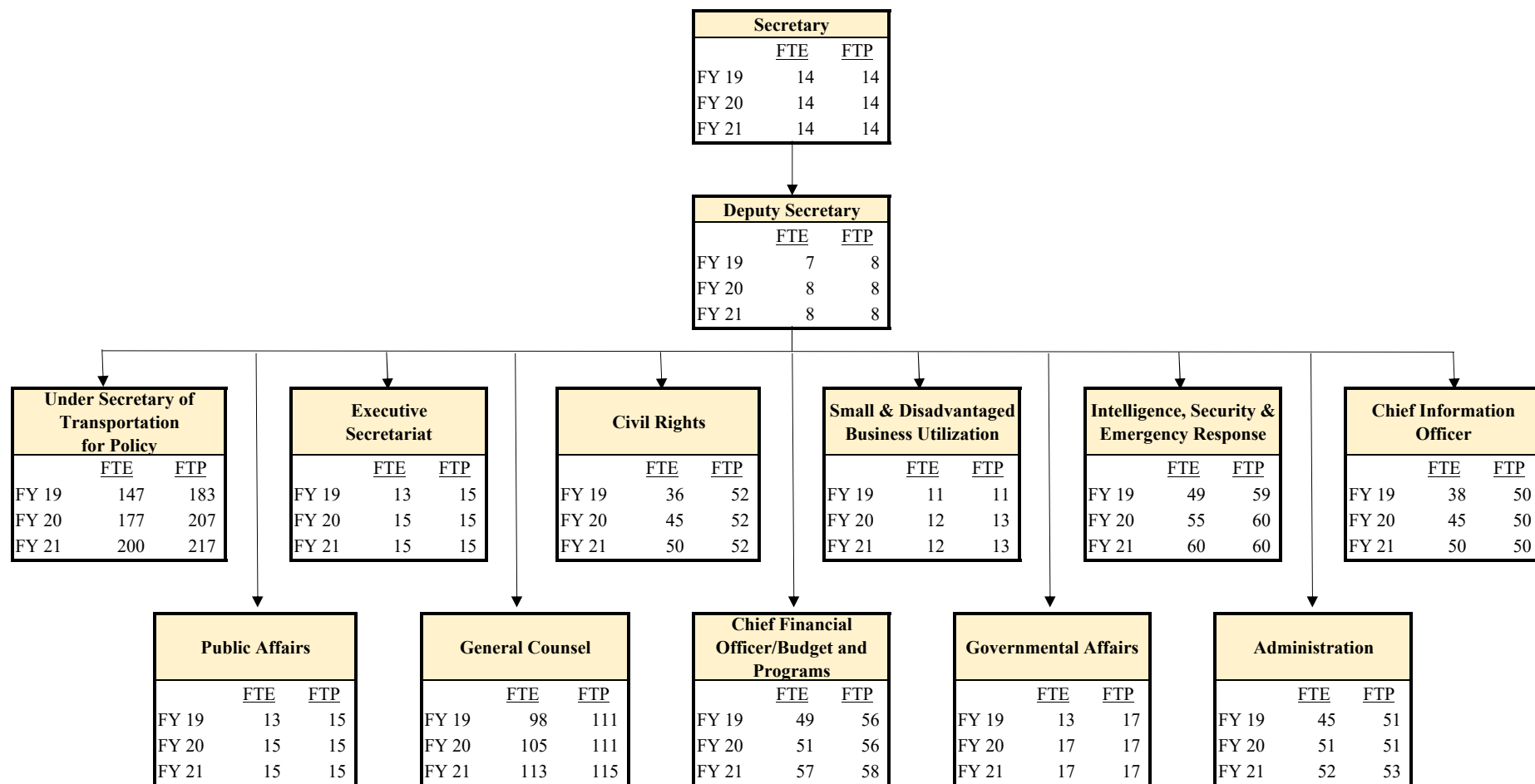
Investing in Both Rural and Urban America: The proposal will make robust investments in transportation infrastructure across America. The BUILD grant program, which provides awards to surface transportation projects, will be authorized for the first time, providing certainty to stakeholders. The INFRA grant program, which focuses on alleviating freight bottlenecks on major highways, will be re-authorized. Rural communities will have improved access to DOT financial assistance due to the authorization of the Rural Opportunities to Use Transportation for Economic Success (ROUTES) program and a new technical assistance program in the Build America Bureau to onboard new borrowers.

Preparing for the Future: Significant investment is made in the research area. The proposal will promote better research coordination, outcomes, and forward-thinking innovation with the Department taking a long-term view of forthcoming technology advancements. Freight programs are also bolstered by this Administration's proposal. Among the freight provisions,

key elements include adjustments to the National Strategic Freight Plan and enhancements to State freight plans.

Build Infrastructure More Efficiently: The proposed surface transportation reauthorization proposal includes several initiatives that will allow the public and private sectors to build infrastructure more efficiently. These reforms will reduce duplication, improve coordination among Federal agencies, and delegate more responsibility to State and local partners.

Exhibit I
U.S. Department of Transportation
Office of the Secretary
Direct Full-Time Equivalents (FTE) / Full-Time Positions (FTP)
FYs 2019, 2020, and 2021



SECTION 2: BUDGET SUMMARY TABLES

EXHIBIT II-1
FY 2021 BUDGET AUTHORITY
OFFICE OF THE SECRETARY OF TRANSPORTATION
(\$000)

ACCOUNTS	M/D	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
APPROPRIATION/OBLIGATION LIMITATION				
SALARIES & EXPENSES	D	113,910	115,490	127,374
FINANCIAL MANAGEMENT CAPITAL	D	2,000	2,000	2,000
OFFICE OF CIVIL RIGHTS	D	9,470	9,470	9,600
SMALL & DISADVANTAGED BUSINESS UTILIZATION & OUTREACH	D	3,488	4,646	4,714
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	D	7,879	10,879	9,350
MINORITY BUSINESS RESOURCE CENTER	D	500	-	-
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT GRANT PROGRAM	D	900,000	1,000,000	1,000,000
INFRASTRUCTURE FOR REBUILDING AMERICA GRANT PROGRAM	D	-	-	1,000,000
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU		22,000	5,000	315,250
National Surface Transportation & Innovative Finance Bureau (General Fund)	D	5,000	5,000	4,250
Railroad Rehabilitation and Improvement Financing Program	D	17,000	-	-
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	D	-	-	311,000
CYBER SECURITY INITIATIVES	D	15,000	15,000	22,000
RESEARCH AND TECHNOLOGY	D	8,471	21,000	11,033
PAYMENTS TO AIR CARRIERS	D	175,000	162,000	141,724
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION		1,257,718	1,345,485	2,643,045
TRANSFER				
ESSENTIAL AIR SERVICE	M	145,437	150,512	154,276
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	M	10,000	10,000	-
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU		3,587	271,800	-
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	M	3,587	271,800	-
SUBTOTAL, TRANSFER		159,024	432,312	154,276
REIMBURSABLE				
JOHN A. VOLPE TRANSPORTATION CENTER WORKING CAPITAL FUND	D	335,000	340,000	345,000
WORKING CAPITAL FUND (Obligation Limitation)	M	319,793	319,793	-
TRANSPORTATION SAFETY INSTITUTE	D	19,949	19,829	20,046
SUBTOTAL, REIMBURSABLE		674,742	679,622	365,046
GRAND TOTAL		2,091,484	2,457,419	3,162,367

1/ This funding is being shown in OST's budget submission to reflect the account re-assignments that occurred in January 2020.

2/ FY 2019 and FY 2020 amounts for the TIFIA Credit Subsidy and Administrative expenses were funded within the Federal-Aid Highways account, and is reflected in the transfer lines above.
The surface transportation reauthorization proposal reauthorizes this program directly to OST.

3/ Estimated Fee Collections.

4/ Estimated Customer Agreements

5/ No limitation is proposed

EXHIBIT II - 2
FY 2021 TOTAL BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, Exempt Obligations

(\$000)

ACCOUNTS	M/D	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
APPROPRIATION/OBLIGATION LIMITATION				
SALARIES & EXPENSES	D	113,910	115,490	127,374
FINANCIAL MANAGEMENT CAPITAL	D	2,000	2,000	2,000
OFFICE OF CIVIL RIGHTS	D	9,470	9,470	9,600
SMALL & DISADVANTAGED BUSINESS UTILIZATION & OUTREACH	D	3,488	4,646	4,714
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	D	7,879	10,879	9,350
MINORITY BUSINESS RESOURCE CENTER	D	500	-	-
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT GRANT PROGRAM	D	900,000	1,000,000	1,000,000
INFRASTRUCTURE FOR REBUILDING AMERICA GRANT PROGRAM	D	-	-	1,000,000
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU		22,000	5,000	315,250
National Surface Transportation & Innovative Finance Bureau (General Fund)	D	5,000	5,000	4,250
Railroad Rehabilitation and Improvement Financing Program	D	17,000	-	-
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	D	-	-	311,000
CYBER SECURITY INITIATIVES	D	15,000	15,000	22,000
RESEARCH AND TECHNOLOGY	D	8,471	21,000	11,033
PAYMENTS TO AIR CARRIERS	D	175,000	162,000	141,724
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION		1,257,718	1,345,485	2,643,045
TRANSFER				
ESSENTIAL AIR SERVICE	M	145,437	150,512	154,276
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	M	10,000	10,000	-
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU		3,587	271,800	-
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	M	3,587	271,800	-
SUBTOTAL, TRANSFER		159,024	432,312	154,276
REIMBURSABLE				
JOHN A. VOLPE TRANSPORTATION CENTER WORKING CAPITAL FUND	D	335,000	340,000	345,000
WORKING CAPITAL FUND (Obligation Limitation)	M	319,793	319,793	-
TRANSPORTATION SAFETY INSTITUTE	D	19,949	19,829	20,046
SUBTOTAL, REIMBURSABLE		674,742	679,622	365,046
GRAND TOTAL		2,091,484	2,457,419	3,162,367

1/ This funding is being shown in OST's budget submission to reflect the account re-assignments that occurred in January 2020.

2/ FY 2019 and FY 2020 amounts for the TIFIA Credit Subsidy and Administrative expenses were funded within the Federal-Aid Highways account, and is reflected in the transfer lines above.

The surface transportation reauthorization proposal reauthorizes this program directly to OST.

3/ Estimated Fee Collections.

4/ Estimated Customer Agreements.

5/ No limitation is proposed.

EXHIBIT II - 3
FY 2021 BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATIONAL GOALS
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, & Exempt Obligations

(\$000)

ACCOUNTS	Safety	Infrastructure	Innovation	Accountability	Total
SALARIES & EXPENSES	774	3,986	1,042	121,572	127,374
FINANCIAL MANAGEMENT CAPITAL	-	-	-	2,000	2,000
OFFICE OF CIVIL RIGHTS	-	-	-	9,600	9,600
SMALL & DISADVANTAGED BUSINESS UTILIZATION & OUTREACH	-	-	-	4,714	4,714
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	882	4,906	1,626	1,936	9,350
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT GRANT PROGRAM	-	975,000	-	25,000	1,000,000
INFRASTRUCTURE FOR REBUILDING AMERICA GRANT PROGRAM	-	975,000	-	25,000	1,000,000
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU	-	-	315,250	-	315,250
National Surface Transportation & Innovative Finance Bureau (General Fund)	-	-	4,250	-	4,250
Railroad Rehabilitation and Improvement Financing Program	-	-	-	-	-
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	-	-	311,000	-	311,000
CYBER SECURITY INITIATIVES	-	-	-	22,000	22,000
RESEARCH AND TECHNOLOGY	-	-	11,033	-	11,033
PAYMENTS TO AIR CARRIERS	-	141,724	-	-	141,724
GRAND TOTAL	1,656	2,100,616	328,951	211,823	2,643,045

EXHIBIT II - 4
FY 2021 OUTLAYS
OFFICE OF THE SECRETARY OF TRANSPORTATION

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ACCOUNTS	M/D	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
APPROPRIATION/OBLIGATION LIMITATION				
SALARIES & EXPENSES	D	110,935	130,589	136,546
FINANCIAL MANAGEMENT CAPITAL	D	4,055	2,000	2,000
OFFICE OF CIVIL RIGHTS	D	8,250	11,319	9,574
SMALL & DISADVANTAGED BUSINESS UTILIZATION & OUTREACH	D	4,831	6,792	5,311
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	D	5,412	6,152	10,000
MINORITY BUSINESS RESOURCE CENTER	D	37	-	-
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT GRANT PROGRAM	D	358,600	850,315	1,264,020
INFRASTRUCTURE FOR REBUILDING AMERICA GRANT PROGRAM	D	-	-	-
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU		23,477	229,000	257,250
National Surface Transportation & Innovative Finance Bureau (General Fund)	D	2,916	5,000	4,250
Railroad Rehabilitation and Improvement Financing Program	D	16,975	1,000	-
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	D	3,587	223,000	253,000
CYBER SECURITY INITIATIVES	D	15,558	8,661	16,750
RESEARCH AND TECHNOLOGY	D	8,236	-	-
PAYMENTS TO AIR CARRIERS	D	196,974	131,268	149,834
NEW HEADQUARTERS BUILDING	D	-	89	-
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION		736,367	1,376,184	1,851,285
TRANSFER				
ESSENTIAL AIR SERVICE	M	123,268	148,178	151,741
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU		196,141	120,413	-
TIFIA General Fund Program Account	M	-	1,000	-
Railroad Rehabilitation and Improvement Financing Program	M	61,000	39,000	-
TIFIA Upward Reestimates (General Fund)	M	135,141	80,413	-
SUBTOTAL, TRANSFER		319,409	268,591	151,741
REIMBURSABLE				
JOHN A. VOLPE TRANSPORTATION CENTER WORKING CAPITAL FUND	D	11,138	-	-
WORKING CAPITAL FUND (Obligation Limitation)	M	(38,000)	24,000	4,000
TRANSPORTATION SAFETY INSTITUTE	D	(2,583)	19,829	19,923
SUBTOTAL, REIMBURSABLE		(29,445)	43,829	23,923
GRAND TOTAL		1,026,330	1,688,604	2,026,949

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations

SALARIES AND EXPENSES SUMMARY

(\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/Decreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	-1 Adjustment to Compensabl	GSA Rent	WCF Increase/Decrease	1% Inflation and Other Adjustments			
PERSONNEL RESOURCES												
Direct FTE	401	441	-	-	-	-	-	-	-	441	32	473
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	76,707.879	79,736.838	1,303.000	-	1,181.000	(310.360)	-	20.846	4,255.585	86,186.909	1,600.000	87,786.908
Travel	1,177.621	1,237.705	-	-	-	-	-	-	105.406	1,343.111	-	1,343.111
Transportation	3.137	2.969	-	-	-	-	-	-	0.030	2.999	-	2.999
GSA Rent	9,990.744	10,524.219	-	-	-	-	218.619	-	(709.552)	10,033.286	-	10,033.286
Communications & Utilities	71.625	0.925	-	-	-	-	-	-	(0.072)	0.853	-	0.853
Charges-Rental-Furniture	8.831	8.831	-	-	-	-	-	-	0.088	8.919	-	8.919
Printing	180.309	185.311	-	-	-	-	-	-	(46.587)	138.724	-	138.724
Working Capital Fund	17,508.928	18,381.938	-	-	-	-	-	2,980.699	5.080	21,367.717	-	21,367.717
Contractual Services	8,103.184	5,236.399	-	-	-	-	-	-	(240.617)	4,995.782	1,500.000	6,495.782
Supplies	135.549	150.469	-	-	-	-	-	-	6.122	156.591	-	156.591
Equipment	22.193	24.396	-	-	-	-	-	-	14.715	39.111	-	39.111
Administrative Subtotal	113,910.000	115,490.000	1,303.000	-	1,181.000	(310.360)	218.619	3,001.545	3,390.198	124,274.001	3,100.000	127,374.001
PROGRAM EXPENSES												
Cooperative Agreements	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL	113,910.000	115,490.000	1,303.000	-	1,181.000	(310.360)	218.619	3,001.545	3,390.198	124,274.001	3,100.000	127,374.001

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations

FINANCIAL MANAGEMENT CAPITAL

(\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/Decreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	-1 Adjustment to Compensable Days (261 Days)	GSA Rent	WCI+ Increase/Decrease	1% Initiation and Other Adjustments			
PERSONNEL RESOURCES												
Direct FTE	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	-
Supplies	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	-	-	-	-	-	-	-	-	-	-	-	-
PROGRAM EXPENSES												
Financial Management Capital	2,000.000	2,000.000	-	-	-	-	-	-	-	2,000.000	-	2,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	2,000.000	2,000.000	-	-	-	-	-	-	-	2,000.000	-	2,000.000
TOTAL	2,000.000	2,000.000	-	-	-	-	-	-	-	2,000.000	-	2,000.000

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations

OFFICE OF CIVIL RIGHTS

(\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/Decreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	-1 Adjustment to Compensable Days (261 Days)	GSA Rent	WCI Increase/Decrease	1% Initiation and Other Adjustments			
PERSONNEL RESOURCES												
Direct FTE	36	45	-	-	-	-	-	-	-	45	5	50
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	6,890,268	7,202,197	65,000	-	53,000	(27,842)	-	(3,119)	154,601	7,443,836	-	7,443,836
Travel	49,751	49,751	-	-	-	-	-	-	0.498	50,249	-	50,249
Transportation	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	30,207	30,207	-	-	-	-	-	-	0.302	30,509	-	30,509
Printing	11,149	11,149	-	-	-	-	-	-	0.111	11,260	-	11,260
Working Capital Fund	1,204,446	1,041,038	-	-	-	-	-	217,398	45,010	1,303,446	-	1,303,446
Contractual Services	1,231,617	1,083,096	-	-	-	-	-	-	(375,484)	707,612	-	707,612
Supplies	52,562	52,562	-	-	-	-	-	-	0.526	53,088	-	53,088
Equipment	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	9,470,000	9,470,000	65,000	-	53,000	(27,842)	-	214,279	(174,437)	9,600,000	-	9,600,000
PROGRAM EXPENSES												
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL	9,470,000	9,470,000	65,000	-	53,000	(27,842)	-	214,279	(174,437)	9,600,000	-	9,600,000

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH
(\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/Decreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	-1 Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase/Decrease	1% Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES												
Direct FTE	11.0	11.5	-	-	-	-	-	-	-	11.5	-	11.5
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	1,489.903	1,619.788	19.000	-	26.500	(6.279)	-	2.655	52.712	1,714.376	-	1,714.376
Travel	19.580	19.580	-	-	-	-	-	-	0.196	19.776	-	19.776
Transportation	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	0.529	0.529	-	-	-	-	-	-	0.005	0.534	-	0.534
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-
Printing	3.328	3.328	-	-	-	-	-	-	0.033	3.361	-	3.361
Working Capital Fund	202.792	324.301	-	-	-	-	-	5.613	(3.780)	326.134	-	326.134
Contractual Services	604.344	867.926	-	-	-	-	-	-	(28.880)	839.046	-	839.046
Supplies	22.393	22.393	-	-	-	-	-	-	0.224	22.617	-	22.617
Equipment	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	2,342.869	2,857.845	19.000	-	26.500	(6.279)	-	8.268	20.511	2,925.845	-	2,925.845
PROGRAM EXPENSES												
Cooperative Agreements	1,145.131	1,788.155	-	-	-	-	-	-	-	1,788.155	-	1,788.155
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	1,145.131	1,788.155	-	-	-	-	-	-	-	1,788.155	-	1,788.155
TOTAL	3,488.000	4,646.000	19.000	-	26.500	(6.279)	-	8.268	20.511	4,714.000	-	4,714.000

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations
TRANSPORTATION PLANNING, RESEARCH AND DEVELOPMENT
(\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/Decreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	-1,000 Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase/Decrease	1% Inflation and Other Adjustments			
PERSONNEL RESOURCES												
Direct FTE	33	37	-	-	-	-	-	-	-	37	2	39
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	6,570,081	6,387,252	78,000	-	90,000	(24,771)	-	(4,231)	245,000	6,771,250	1,242,481	8,013,731
Travel	174,260	173,506	-	-	-	-	-	-	1,735	175,241	-	175,241
Transportation	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	0,000	-	-	-	-	-	-	0,000	0,000	-	0,000
Working Capital Fund	957,211	874,608	-	-	-	-	-	58,379	0,390	933,377	31,282	964,659
Contractual Services	156,448	1,418,644	-	-	-	-	-	-	10,247	1,428,891	(1,257,762)	171,129
Supplies	21,000	40,990	-	-	-	-	-	-	0,410	41,400	-	41,400
Equipment	-	(16,000)	-	-	-	-	-	-	(0,160)	(16,160)	-	(16,160)
Administrative Subtotal	7,879,000	8,879,000	78,000	-	90,000	(24,771)	-	54,148	257,622	9,333,999	16,001	9,350,000
PROGRAM EXPENSES												
Non-Traditional and Emerging Technology (NETT)	-	2,000,000	-	-	-	-	-	-	-	2,000,000	(2,000,000)	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	2,000,000	-	-	-	-	-	-	-	2,000,000	(2,000,000)	-
TOTAL	7,879,000	10,879,000	78,000	-	90,000	(24,771)	-	54,148	257,622	11,333,999	(1,983,999)	9,350,000

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations

BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT

(\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/Decreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase/Decrease	1% Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES												
Direct FTE	6	7	-	-	-	-	-	-	-	7	-	7
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	6,662,404	6,719,966	59,587	-	50,522	(25,976)	-	(1,415)	-	6,802,684	25,754	6,828,438
Travel	808,000	808,000	-	-	-	-	-	-	8,080	816,080	(8,080)	808,000
Transportation	0.404	0.404	-	-	-	-	-	-	0.004	0.408	-	0.408
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-
Printing	10,605	10,605	-	-	-	-	-	-	0.106	10,711	-	10,711
Working Capital Fund	96,535	135,778	-	-	-	-	-	53,173	-	188,951	8,050	197,002
Contractual Services	19,400,842	17,304,037	-	-	-	-	-	-	173,040	17,477,077	(343,058)	17,134,019
Supplies	21,210	21,210	-	-	-	-	-	-	0.212	21,422	-	21,422
Equipment	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	27,000,000	25,000,000	59,587	-	50,522	(25,976)	-	51,759	181,443	25,317,334	(317,334)	25,000,000
PROGRAM EXPENSES												
NII Infrastructure Grants	873,000,000	975,000,000	-	-	-	-	-	-	-	975,000,000	-	975,000,000
NII Planning Grants	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	873,000,000	975,000,000	-	-	-	-	-	-	-	975,000,000	-	975,000,000
TOTAL	900,000,000	1,000,000,000	59,587	-	50,522	(25,976)	-	51,759	181,443	1,000,317,334	(317,334)	1,000,000,000

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
 Appropriations, Obligation Limitations, and Exempt Obligations
INFRASTRUCTURE FOR REBUILDING AMERICA GRANTS PROGRAM
 (\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/Decreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	-1 Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase/Decrease	1% Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES												
Direct FTE	-	-	-	-	-	-	-	-	-	-	4	4
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	1,091.718	1,091.718
Travel	-	-	-	-	-	-	-	-	-	-	50.000	50.000
Transportation	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	8,848.282	8,848.282
Supplies	-	-	-	-	-	-	-	-	-	-	10.000	10.000
Equipment	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	-	-	-	-	-	-	-	-	-	-	10,000.000	10,000.000
PROGRAM EXPENSES												
INFRA	-	-	-	-	-	-	-	-	-	-	990,000.000	990,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	-	-	-	-	-	-	-	-	-	990,000.000	990,000.000
TOTAL	-	-	-	-	-	-	-	-	-	-	1,000,000.000	1,000,000.000

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations
NATIONAL SURFACE TRANSPORTATION INNOVATIVE FINANCE BUREAU
(\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/Decreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	-1 Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase/Decrease	1% Inflation and Other Adjustments			
PERSONNEL RESOURCES												
Direct FTE	9	14	-	-	-	-	-	-	-	14	2	16
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	2,370,111	2,825,708	54,000	-	46,000	(11,033)	-	-	170,000	3,084,675	(377,358)	2,707,317
Travel	19,889	75,000	-	-	-	-	-	-	0.750	75,750	(0.750)	75,000
Transportation	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	58,531	213,673	-	-	-	-	-	117,393	-	331,066	11,051	342,117
Contractual Services	2,541,469	1,875,719	-	-	-	-	-	-	(1,209)	1,874,510	(758,943)	1,115,567
Supplies	10,000	9,900	-	-	-	-	-	-	0.099	9,999	-	9,999
Equipment	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	5,000,000	5,000,000	54,000	-	46,000	(11,033)	-	117,393	169,640	5,376,000	(1,126,000)	4,250,000
PROGRAM EXPENSES												
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL	5,000,000	5,000,000	54,000	-	46,000	(11,033)	-	117,393	169,640	5,376,000	(1,126,000)	4,250,000

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations

Railroad Rehabilitation and Improvement Financing Program

(\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/D ecreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	(1.00) Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase/D ecrease	1% Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES												
Direct FTE	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	-
Supplies	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	-	-	-	-	-	-	-	-	-	-	-	-
PROGRAM EXPENSES												
Credit Risk Premium Repayment Program	17,000.000	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	17,000.000	-	-	-	-	-	-	-	-	-	-	-
TOTAL	17,000.000	-	-	-	-	-	-	-	-	-	-	-

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

The RRIF Program has an enacted amount of \$17M for FY 2019; however, this is reflected in FRA's budget submission. Beginning in FY 2020, the program request is reflected in the OST budget.

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations

TIFIA Highway Trust Fund Program Account

(\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/Decreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	(1.00) Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase/Decrease	1% Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES												
Direct FTE	5.00	18.00	-	-	-	-	-	-	-	18.00	5.00	23.00
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	-
Supplies	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	-	-	-	-	-	-	-	-	-	-	-	-
PROGRAM EXPENSES												
TIFIA Program	-	-	-	-	-	-	-	-	-	-	311,000.000	311,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	-	-	-	-	-	-	-	-	-	311,000.000	311,000.000
TOTAL	-	-	-	-	-	-	-	-	-	-	311,000.000	311,000.000

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations

CYBER SECURITY INITIATIVES

(\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/Decreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	-1 Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase/Decrease	1% Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES												
Direct FTE	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	2,921,250	2,735,714	-	-	-	-	-	-	-	2,735,714	-	2,735,714
Contractual Services	7,033,750	7,219,286	-	-	-	-	-	-	-	7,219,286	-	7,129,956
Supplies	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	5,045,000	5,045,000	-	-	-	-	-	-	-	5,045,000	7,089,330	12,134,330
Administrative Subtotal	15,000,000	15,000,000	-	-	-	-	-	-	-	15,000,000	7,000,000	22,000,000
PROGRAM EXPENSES												
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL	15,000,000	15,000,000	-	-	-	-	-	-	-	15,000,000	7,000,000	22,000,000

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations

RESEARCH & TECHNOLOGY

(\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/Decreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	-1 Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase/Decrease	1% Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES												
Direct FTE	16	17	3	-	-	-	-	-	-	20	-	20
Reimbursable FTE	29	30	-	-	-	-	-	-	-	30	-	30
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	3,060,140	3,267,034	56,000	-	52,000	(8,302)	-	(0,391)	178,394	3,544,735	0,141	3,544,876
Travel	90,900	68,112	-	-	-	-	-	-	0,681	68,793	26,207	95,000
Transportation	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	675,000	200,000	-	-	-	-	-	-	2,000	202,000	-	202,000
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-
Printing	1,020	1,020	-	-	-	-	-	-	-	1,020	-	1,020
Working Capital Fund	1,530,400	951,000	-	-	-	-	-	50,175	9,840	1,011,015	11,315	1,022,330
Contractual Services	779,541	2,178,834	-	-	-	-	-	-	(17,558)	2,161,277	(828,663)	1,332,614
Supplies	15,000	15,000	-	-	-	-	-	-	0,150	15,150	-	15,150
Equipment	101,000	101,000	-	-	-	-	-	-	1,010	102,010	-	102,010
Administrative Subtotal	6,253,000	6,782,000	56,000	-	52,000	(8,302)	-	49,784	174,518	7,106,000	(791,000)	6,315,000
PROGRAM EXPENSES												
Research and Technology Programs	2,218,000	2,218,000	-	-	-	-	-	-	-	2,218,000	2,500,000	4,718,000
Delta Initiative	-	1,000,000	-	-	-	-	-	-	-	1,000,000	(1,000,000)	-
Resiliency Study	-	1,000,000	-	-	-	-	-	-	-	1,000,000	(1,000,000)	-
HASSCE	-	5,000,000	-	-	-	-	-	-	-	5,000,000	(5,000,000)	-
UTC Congestion & Infrastructure Research Grants	-	5,000,000	-	-	-	-	-	-	-	5,000,000	(5,000,000)	-
Program Subtotal	2,218,000	14,218,000	-	-	-	-	-	-	-	14,218,000	(9,500,000)	4,718,000
TOTAL	8,471,000	21,000,000	56,000	-	52,000	(8,302)	-	49,784	174,518	21,324,000	(10,291,000)	11,033,000

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations

PAYMENTS TO AIR CARRIERS

(\$000)

	FY 2019 Actual	FY 2020 Enacted	Baseline Changes							FY 2021 Baseline Estimate	Program Increases/Decreases	FY 2021 Request
			Annualization of Prior Pay Raises	Annualization of New FY 2020 FTE	FY 2021 Pay Raises	-1 to Compensable Days (261)	GSA Rent	WCF Increase/Decrease	1% Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES												
Direct FTE	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES												
ADMINISTRATIVE EXPENSES												
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	-
Supplies	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	-	-	-	-	-	-	-	-	-	-	-	-
PROGRAM EXPENSES												
Essential Air Service	175,000.000	162,000.000	-	-	-	-	-	-	-	162,000.000	(20,276.000)	141,724.000
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	175,000.000	162,000.000	-	-	-	-	-	-	-	162,000.000	(20,276.000)	141,724.000
TOTAL	175,000.000	162,000.000	-	-	-	-	-	-	-	162,000.000	(20,276.000)	141,724.000

Notes:

* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

EXHIBIT II - 6
WORKING CAPITAL FUND
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, Exempt Obligations, and Reimbursable Obligations
(\$000)

ACCOUNTS	M/D	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
APPROPRIATION/OBLIGATION LIMITATION				
SALARIES & EXPENSES	D	17,866	18,719	21,725
FINANCIAL MANAGEMENT CAPITAL	D	-	-	-
OFFICE OF CIVIL RIGHTS	D	1,244	1,077	1,336
SMALL & DISADVANTAGED BUSINESS UTILIZATION & OUTREACH	D	207	337	341
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	D	991	899	993
MINORITY BUSINESS RESOURCE CENTER	D	19	-	-
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT GRANT PROGRAM	D	106	144	204
INFRASTRUCTURE FOR REBUILDING AMERICA GRANT PROGRAM	D	-	-	-
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU		59	214	342
National Surface Transportation & Innovative Finance Bureau (General Fund)	D	59	214	342
Railroad Rehabilitation and Improvement Financing Program	D	-	-	-
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	D	-	-	-
RESEARCH AND TECHNOLOGY	D	1,551	971	1,042
PAYMENTS TO AIR CARRIERS	D	-	-	-
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION		22,044	22,361	25,983
TRANSFER				
ESSENTIAL AIR SERVICE	M	172	281	354
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	M	98	98	-
SUBTOTAL, TRANSFER		270	379	354
REIMBURSABLE				
JOHN A. VOLPE TRANSPORTATION CENTER WORKING CAPITAL FUND	D	1,538	15,634	16,238
WORKING CAPITAL FUND (Obligation Limitation)	M	-	-	-
TRANSPORTATION SAFETY INSTITUTE	D	-	254	131
SUBTOTAL, REIMBURSABLE		1,538	15,888	16,369
ALLOCATION				
BUREAU OF TRANSPORTATION STATISTICS	M	4,635	5,019	5,477
UNIVERSITY TRANSPORTATION CENTERS GRANT PROGRAM	M	164	191	204
SUBTOTAL, ALLOCATION		4,799	5,210	5,681
GRAND TOTAL		28,652	43,838	48,387

EXHIBIT II - 7
PERSONNEL RESOURCES -- SUMMARY
TOTAL FULL TIME EQUIVALENTS
OFFICE OF THE SECRETARY OF TRANSPORTATION

ACCOUNTS	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
APPROPRIATION/OBLIGATION LIMITATION			
SALARIES & EXPENSES	401	441	473
FINANCIAL MANAGEMENT CAPITAL	-	-	-
OFFICE OF CIVIL RIGHTS	36	45	50
SMALL & DISADVANTAGED BUSINESS UTILIZATION & OUTREACH	11	12	12
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	33	37	39
MINORITY BUSINESS RESOURCE CENTER	-	-	-
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT GRANT PROGRAM	5	7	7
INFRASTRUCTURE FOR REBUILDING AMERICA GRANT PROGRAM	-	-	4
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU	9	14	39
National Surface Transportation & Innovative Finance Bureau (General Fund)	9	14	16
Railroad Rehabilitation and Improvement Financing Program	-	-	-
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	-	-	23 1/
CYBER SECURITY INITIATIVES	-	-	-
RESEARCH AND TECHNOLOGY	16	17	20
PAYMENTS TO AIR CARRIERS	-	-	-
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	511	573	644
TRANSFER			
ESSENTIAL AIR SERVICE	13	14	14
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	4	5	5
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU	5	18	-
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	5	18	- 1/
SUBTOTAL, TRANSFER	22	37	19
REIMBURSABLE			
SALARIES & EXPENSES	27	30	47
JOHN A. VOLPE TRANSPORTATION CENTER WORKING CAPITAL FUND	522	570	570
WORKING CAPITAL FUND (Obligation Limitation)	232	291	291
TRANSPORTATION SAFETY INSTITUTE	29	30	30
SUBTOTAL, REIMBURSABLE	810	921	938
ALLOCATION			
BUREAU OF TRANSPORTATION STATISTICS (Direct)	43	55	55
BUREAU OF TRANSPORTATION STATISTICS (Reimbursable)	14	20	20
UNIVERSITY TRANSPORTATION CENTERS GRANT PROGRAM	4	5	5
SUBTOTAL, ALLOCATION	61	80	80
GRAND TOTAL	1,404	1,611	1,681

1/ TIFIA program staff transitioned to OST in May 2019. The OST and FHWA budget submissions reflect the mid-year transition in FTE levels.

EXHIBIT II - 8
RESOURCE SUMMARY -- STAFFING
FULL TIME PERMANENT POSITIONS
OFFICE OF THE SECRETARY OF TRANSPORTATION

ACCOUNTS	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
APPROPRIATION/OBLIGATION LIMITATION			
SALARIES & EXPENSES	465	476	484
FINANCIAL MANAGEMENT CAPITAL	-	-	-
OFFICE OF CIVIL RIGHTS	52	52	52
SMALL & DISADVANTAGED BUSINESS UTILIZATION & OUTREACH	11	13	13
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	37	37	40
MINORITY BUSINESS RESOURCE CENTER	-	-	-
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT GRANT PROGRAM	7	7	7
INFRASTRUCTURE FOR REBUILDING AMERICA GRANT PROGRAM	-	-	7
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU	12	16	44
National Surface Transportation & Innovative Finance Bureau (General Fund)	12	16	16
Railroad Rehabilitation and Improvement Financing Program	-	-	-
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	-	-	28 1/
CYBER SECURITY INITIATIVES	-	-	-
RESEARCH AND TECHNOLOGY	20	20	20
PAYMENTS TO AIR CARRIERS	-	-	-
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	604	621	667
TRANSFER			
ESSENTIAL AIR SERVICE	14	14	14
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	6	6	6
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU	18	28	-
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	18	28	- 1/
SUBTOTAL, TRANSFER	38	48	20
REIMBURSABLE			
SALARIES & EXPENSES	31	32	49
JOHN A. VOLPE TRANSPORTATION CENTER WORKING CAPITAL FUND	633	633	633
WORKING CAPITAL FUND (Obligation Limitation)	248	297	297
TRANSPORTATION SAFETY INSTITUTE	35	35	35
SUBTOTAL, REIMBURSABLE	947	997	1,014
ALLOCATION			
BUREAU OF TRANSPORTATION STATISTICS (Direct)	55	55	55
BUREAU OF TRANSPORTATION STATISTICS (Reimbursable)	20	20	20
UNIVERSITY TRANSPORTATION CENTERS GRANT PROGRAM	5	5	5
SUBTOTAL, ALLOCATION	80	80	80
GRAND TOTAL	1,669	1,746	1,781

1/ TIFIA program staff transitioned to OST in May 2019. The OST and FHWA budget submissions reflect the mid-year transition in FTE levels.

SECTION 3: BUDGET REQUEST BY APPROPRIATION

**DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY**

ADMINISTRATIVE PROVISIONS

Sec. 101. None of the funds made available in this Act to the Department of Transportation may be obligated for the Office of the Secretary of Transportation to approve assessments or reimbursable agreements pertaining to funds appropriated to the modal administrations in this Act, except for activities underway on the date of enactment of this Act, unless such assessments or agreements have completed the normal reprogramming process for Congressional notification.

Sec. 101 Explanation

Section 101 retains the provision in Public Law 116-94 with the language under the Working Capital Fund heading in the FY 2015 Omnibus, Consolidated and Further Continuing Appropriations Act (P.L. 113-235) whereby no funds appropriated in the Act to an agency of the Department can be transferred to the Working Capital Fund without majority approval of the Working Capital Fund Steering Committee and approval of the Secretary.

***Sec. 102.** Notwithstanding section 3324 of title 31, United States Code, in addition to authority provided by section 327 of title 49, United States Code, the Department's Working Capital Fund is hereby authorized to provide payments in advance to vendors that are necessary to carry out the Federal transit pass transportation fringe benefit program under Executive Order 13150 and section 3049 of Public Law 109-59: Provided, That the Department shall include adequate safeguards in the contract with the vendors to ensure timely and high-quality performance under the contract.*

Sec. 102 Explanation

Section 102 is a new provision to authorize the Department's Working Capital Fund to provide payments in advance to vendors that are necessary to carry out the Federal transit pass transportation fringe benefit program.

Sec. 103. The Secretary shall post on the Web site of the Department of Transportation a schedule of all meetings of the Council on Credit and Finance, including the agenda for each meeting, and require the Council to record the decisions and actions of each meeting.

Sec. 103 Explanation

Section 103 retains the provision in Public Law 116-94 that the Secretary post on the DOT Web site a schedule of all meeting of the Council on Credit and Finance, including the agenda for each meeting, and require the Council to record the decisions and actions of each meeting. The change in the name reflects the name established in the FAST Act and codified at 49 U.S.C. 117.

[**Sec. 104.** No later than May 1, 2020, the Secretary shall announce the selection of all projects to receive awards for all competitive grants provided in Public Law 116-6 under the headings:

"Federal Railroad Administration-Federal-State Partnership for State of Good Repair", "Federal Railroad Administration-Consolidated Rail Infrastructure and Safety Improvements", "Federal Railroad Administration-Restoration and Enhancement", "Federal Railroad Administration-Magnetic Levitation Technology Deployment Program", and "Maritime Administration-Port Infrastructure Development Program".]

Sec. 104 Deletion Explanation

Section 104 in Public Law 116-94 is proposed for deletion because it required announcement of several FY2019 competitive grant program awards by a specific date in FY2020. It is inappropriate to repeat in FY2021 because the FY2019 announcements will have already occurred and the Department is timely making its FY2020 competitive grant program awards.

Sec. 104. In addition to authority provided by section 327 of title 49, United States Code, the Department's Working Capital Fund is hereby authorized to provide partial or full payments in advance and accept subsequent reimbursements from all Federal agencies for transit benefit distribution services that are necessary to carry out the Federal transit pass transportation fringe benefit program under Executive Order 13150 and section 3049 of Public Law 109-59: Provided, That the Department shall maintain a reasonable operating reserve in the Working Capital Fund, to be expended in advance to provide uninterrupted transit benefits to Government employees: Provided further, That such reserve will not exceed one month of benefits payable and may be used only for the purpose of providing for the continuation of transit benefits: Provided further, That the Working Capital Fund will be fully reimbursed by each customer agency from available funds for the actual cost of the transit benefit.

Sec. 104 Explanation

Section 104 retains the provision in Public Law 116-94 that provides authority for the Working Capital Fund (WCF) to provide advance payment to carry out the Federal transit pass transportation fringe benefit program, both within the Department, and to other Federal agencies, and provides explicit authority for the WCF to provide transit benefit services to non-DOT agencies. Such authority would be used instead of the Economy Act (31 U.S.C. 1535). The proposed language provides flexibility and continuity to the WCF in providing transit benefits and will enable real-time reconciliation of payments from Federal customer agencies by streamlining the current funding process.

The Federal Transit Benefit program with proper internal controls will always have excess funds over the amount ordered for the subsidy period. The program requires participants to adjust their transit subsidy so that in any given month the amount received is equal to their actual commuting expense from home to work and work to home. The subsidy is not a cash reimbursement, so therefore, leave, telework, etc. impact the amount of the subsidy. However, the participant's need for the full month's subsidy to cover actual commuting expenses between home and work must be funded and after the fact any amount not used is returned to the agency.

Since the roll-out of the debit card in 2012-14, excess transit benefits that are not used by employees remain on debit cards at the end of the month are subsequently

refunded/swept back to DOT's Federal depository without a need for a participant to take action. Previously with paper vouchers, each participant was required to manually return the unused vouchers to their agency. The automatic return of excess benefit funding is one positive aspect of using an electronic means to deliver the transit subsidy and enables TRANServe to clearly and timely identify excess funding amounts much earlier. Such amounts previously would have been subject to fraud, waste and abuse.

Under the current debit card system, customer agencies are typically refunded 20 percent of their overall cost for transit benefits for the period of performance due to these adjustments. However, under the current process, customer agencies do not have time to use such funds prior to their expiration, which is often at the end of the fiscal year. This authority would enable Federal agencies to use their funds more rapidly and efficiently because the program could be capitalized in advance and could carry an operating reserve.

[**Sec. 105.** (a) The Secretary shall establish a Highly Automated Systems Safety Center of Excellence within the Department of Transportation, in order to have a Department of Transportation workforce capable of reviewing, assessing, and validating the safety of automated technologies.

(b) The Highly Automated Systems Safety Center of Excellence shall--

(1) serve as a central location within the Department of Transportation for expertise in automation and human factors, computer science, data analytics, machine learning, sensors, and other technologies involving automated systems;

(2) collaborate with and provide support on highly automated systems to all Operating Administrations of the Department of Transportation; and

(3) have a workforce composed of Department of Transportation employees, including direct hires or detailees from Operating Administrations of the Department of Transportation and other Federal agencies.

(c) Employees of the Highly Automated Systems Safety Center of Excellence, in conjunction with the relevant Operating Administrations of the Department of Transportation, shall review, assess, and validate highly automated systems to ensure their safety.

(d) The Highly Automated Systems Safety Center of Excellence shall not supersede laws or regulations granting certification authorities to Operating Administrations of the Department of Transportation.

(e) No later than 90 days after the date of enactment of this Act, the Secretary shall report to the Committees on Appropriations of the House of Representatives and the Senate on staffing needs and the staffing plan for the Highly Automated Systems Safety Center of Excellence.]

Sec. 105 Deletion Explanation

Section 105 in Public Law 116-94 is proposed for deletion because it was a one-time provision enacted in FY 2020. It is unnecessary to re-establish the Highly Automated Systems Safety Center of Excellence each fiscal year.

Sec. 105. (a) Section 116(d)(1) of title 49, United States Code, is amended—

- (1) by adding at the end of subsection (d)(1) the following new subparagraph: “(E) The Federal Ship Financing Program under chapter 357 of title 46.”; and*
- (2) In subsection (j)(6), by striking “or multimodal project” and inserting “multimodal project, or ship or ship facility construction, reconstruction, or reconditioning project”.*

(b)

Section 117 of title 49, United States Code, is amended—

- (1) In subsection (b)(1) by adding at the end the following new subparagraph: “(1) The Maritime Administrator.:’ and*
- (2) In subsection (C)(1) by striking “and (C)” and inserting “(C), and (E):.*

Sec. 105 Explanation

Section 105, together with the proposed section 106, is a new provision to support the DOT proposal to transfer the Federal Ship Financing program (commonly referred to as Title XI) from the Maritime Administration to the Office of the Secretary’s – National Surface Transportation and Innovative Finance Bureau. To achieve this transfer, section 105 amends the Bureau’s authorizing statute to include the program and adds the Maritime Administrator to the Department’s Council on Credit and Finance.

[**Sec 106.** None of the funds made available by this Act shall be used to terminate the Intelligent Transportation System Program Advisory Committee established under section 5305(h) of SAFETEA-LU (23 U.S.C. 512 note; Public Law 109-59.)]

Sec. 106 Deletion Explanation

Section 106 in Public Law 116-94 is proposed for deletion to allow the Department to terminate the ITS Program Advisory Committee.

Sec. 106.

- (a) Chapter 537 of title 46, United States code, is amended –*
 - (1) By striking “or Administrator” each place it appears;*
 - (2) By striking “or Administrator’s” each place it appears;*
 - (3) By striking “the Administrator” each place it appears and inserting “the Secretary”;*
 - (4) By striking “the Administrator’s” each place it appears and inserting “the Secretary’s”;*
 - (5) By striking “The Administrator” each place it appears and inserting “The Secretary”;*
 - (6) In section 53701 –*
 - (A) By striking “facilities.” and inserting “facilities, and the Secretary of Transportation with respect to other vessels and general shipyard facilities as provided for in section 53733 of this title.”; and*
 - (B) By striking paragraph (2) and redesignating paragraphs (3) through (15) as paragraphs (2) through (14), respectively;*
 - (7) In section 53708 –*
 - (A) in the heading for subsection (a) by striking “Administrator” and inserting “Secretary of Transportation”; and*

(B) in the heading for subsection (b) by inserting “ of Commerce” after “Secretary”;
(8) in section 53717 –

*(A) in the heading for subsection (b) by striking “Administrator” and inserting
“Secretary of Transportation”;* and

(B) in the heading for subsection (c) by inserting “ of Commerce” after “Secretary”.

Sec. 106 Explanation

Section 106, together with the proposed section 105, is a new provision to support the transfer of the Federal Ship Financing program (commonly referred to as Title XI) from the Maritime Administration to the Office of the Secretary – National Surface Transportation and Innovative Finance Bureau. To achieve this transfer, section 106 amends the program’s authorizing statute to vest authority in the Secretary instead of the Maritime Administrator.

Sec. 107. RESTRICTIONS ON EXPENDITURE OF FUNDS FOR ESSENTIAL AIR SERVICE.

(1) Section 41731(a)(1)(D) of title 49 is revised to read as follows:

“(D) is—

“(i) a community that, as of the date of enactment of fiscal year 2020 appropriations for the Department of Transportation, was receiving essential air service for which compensation was provided to an air carrier under this sub chapter; or

“(ii) is a community that, prior to the date of enactment of fiscal year 2020 appropriations for the Department of Transportation and at any time during the period between September 20, 2010, and September 30, 2011, inclusive—

“(I) received a 90-day notice of intent to terminate essential air service and the Secretary required the air carrier to continue to provide such service the community.”.

*(2) Subsection 41731(c) of title 49, United States Code is amended by striking
“Subparagraphs (B), (C), and (D)” and inserting “Subparagraphs (B) and (C)”.*

(3) Section 332 of the Department of Transportation and Related Agencies Appropriations Act, 2000 (49 U.S.C. 41731 note) is amended by striking “in excess of \$200” and inserting “in excel of \$250,”.

(4) Effective October 1, 2021, section 426 of the FAA Modernization and Reform Act of 2012 (Pub. L. 112-95) is amended by striking subsection (c) and redesignating subsection (d) as subsection (c).

(5) Section 41737 of title 49, United States Code, is amended by inserting the following at the end:

“(f) Notwithstanding any other provision of this subchapter, the Secretary may not provide compensation in fiscal year 2023 or thereafter to an air carrier for air service or air transportation under this subchapter at a community that meets each of the following criteria, unless that community has entered into a cost share agreement with the Department to pay at least ten percent of the total subsidy required in that fiscal year:

(1) “The community has been determined by the Secretary to be out of compliance with either the subsidy cap specified by section 332 of the Department of Transportation and Related Agencies Appropriations Act, 2000 (49 U.S.C. 41731 note)) or section 41731(a)(1)(B) of this title, during the prior fiscal year.

- (2) *“The community received two or more waivers since October 1, 2013, under section 426(c) of Public Law 112-95 or section 41731(e) of this title.”.*

Sec. 107 Explanation

Section 107 is a new provision to support reforms for the Essential Air Service program to create savings from communities that are non-compliant with existing requirements. The reforms would limit EAS eligibility to communities currently receiving subsidized service and provide additional flexibility by increasing the subsidy cap from \$200 to \$250 per passenger for communities located within 210 miles from a large or medium hub airport, but eliminate the opportunity for a waiver from this requirement. The reforms would also require communities that are out of compliance with either the subsidy-per-passenger cap or the 10-emplanement requirement during the most recent fiscal year beginning after September 30, 2021, to contribute a local cost share no less than 10 percent of the community’s current annual subsidy in the following year.

Sec. 108. *Notwithstanding section 405 or any other provision, up to 10 percent of funds appropriated to Salaries and Expenses may be transferred among offices under that account in the Office of the Secretary of Transportation if the Secretary of Transportation determines such action to be necessary.*

Sec. 108 Explanation

Section 108 is a new provision to increase the flexibility for the Secretary to transfer funds when deemed fit for accounts under the Salaries and Expenses appropriation from a cap of seven percent to ten percent.

Sec. 109. *In addition to authority provided by section 327 of title 49, United States Code, the Department's Administrative Working Capital Fund is hereby authorized to transfer information technology equipment, software, and systems from Departmental sources or other entities and collect and maintain a reserve at rates which will return full cost of transferred assets.*

Sec. 109 Explanation

Section 109 is a new provision to grant the Administrative Working Capital Fund the authority to transfer equipment into the WCF and collect replacement reserve for the equipment equal to the useful life and estimated replacement cost of the equipment. This authority provides flexibility to accelerate the Shared Services consolidation of IT throughout the department regardless of the age of assets being transferred into the WCF.

Sec. 110. *Receipts collected in the Administrative Working Capital Fund (49 U.S.C. 327) for unused van pool benefits, in an amount not to exceed ten percent of fiscal year collections, shall be available in the Administrative Working Capital Fund to provide contractual services in support of section 189 of this Act: Provided, That such collections shall be available until expended and obligations shall not exceed \$1,000,000 in any fiscal year.*

Sec. 110 Explanation

Section 110 is a new provision to allow the Department to use certain recoveries from the transit benefit program to improve the administration of that program. Sec. 189 of this

Act explicitly designates the Department of Transportation as the Government-wide executive agency for the Federal transportation transit benefit program. The Department of Transportation designation as the Government-wide executive agent enables the Department to lead more effectively the effort against benefit subsidy fraud and abuse.

In 2012 the Office of Management and Budget designated the Department of Transportation as the collector of excess van pool funds for all federal transit benefit participants. DOT developed a process and published a Federal Register Notice with instructions for the Van Pool providers to return the funds. DOT currently processes about \$5 million annually in unused van pool funds. The program requires participants to adjust their transit subsidy so that in any given month the amount received is equal to their actual commuting expense from home to work and work to home. Van pools are paid in advance of the service and therefore, telework, leave, etc. end up effecting the subsidy. However, the participant's need for the full month's subsidy to cover actual commuting expenses between home and work must be funded and after the fact any amount not used is returned.

The Federal Register Notice instructs the Van pool providers to return the unused funds through Pay.Gov to the Department. Over the last seven years, excess van pool funds have continued to be collected by the Department and deposited to Treasury miscellaneous receipts. In 2012, the Department began collecting \$2 million annually which rose and have remained at \$5 million annually since 2017. Federal agencies implemented internal controls and monitor employee use, however, the Department would like to use a portion of the available funds collected by the agency, via the Working Capital Fund to ensure standardized data collection throughout the Government for Transit Benefit – van pool usage; ensure consistency though out the Federal sector; and to study implementing stronger internal controls across the transit benefit program with an initial focus on minimizing the return of excess van pool funds.

Sec. 111. Section 41731(a)(1)(A) of title 49 is amended—

(1) in subsection (a)(1)(A) by striking “;or” at the end of clause (i), inserting a “or” at the end of clause (ii), and adding after clause (ii) the following new clause:

“(iii) is in the Commonwealth of the Northern Mariana Islands;” and

(2) by adding at the end of the following new subsection:

“(g) Exception for Locations in the Commonwealth of the Northern Mariana Islands.—Subsection (a)(1)(D) shall not apply with respect to locations in the Commonwealth of the Northern Mariana Islands.”.

Sec. 111 Explanation

Section 111 is a new provision to make the Commonwealth of the Northern Mariana Islands eligible for Essential Air Service under the same provisions as other eligible places under that statute.

GENERAL PROVISIONS—DEPARTMENT OF TRANSPORTATION

SEC. 180. (a) During the current fiscal year, applicable appropriations to the Department of Transportation shall be available for maintenance and operation of aircraft; hire of passenger motor vehicles and aircraft; purchase of liability insurance for motor vehicles operating in foreign countries on official department business; and uniforms or allowances therefor, as authorized by law (5 U.S.C. 5901–5902).

(b) During the current fiscal year, applicable appropriations to the Department and its operating administrations shall be available for the purchase, maintenance, operation, and deployment of unmanned aircraft systems that advance the Department's, or its operating [administrations'], *administrations'* missions.

(c) Any unmanned aircraft system purchased, [or] procured, *or contracted for* by the Department prior to the enactment of this Act shall be deemed authorized *by Congress as if this provision was in effect when the system was purchased, procured, or contracted for*.

Sec. 180 Explanation

Section 180 retains the provision in Public Law 116-94 that allows the Department of Transportation to use funds for aircraft (including unmanned aircraft), motor vehicles, liability insurance, uniforms, or allowances, as authorized by law.

SEC. 181. Appropriations contained in this Act for the Department of Transportation shall be available for services as authorized by 5 U.S.C. 3109, but at rates for individuals not to exceed the per diem rate equivalent to the rate for an Executive Level IV.

Sec. 181 Explanation

Section 181 retains the provision in Public Law 116-94 that limits appropriations for services authorized by 5 U.S.C. 3109, relating to the employment of experts and consultants, to the rate for an Executive Level IV.

SEC. 182. (a) No recipient of funds made available in this Act shall disseminate personal information (as defined in 18 U.S.C. 2725(3)) obtained by a State department of motor vehicles in connection with a motor vehicle record as defined in 18 U.S.C. 2725(1), except as provided in 18 U.S.C. 2721 for a use permitted under 18 U.S.C. 2721.

(b) Notwithstanding subsection (a), the Secretary shall not withhold funds provided in this Act for any grantee if a State is in noncompliance with this provision.

Sec. 182 Explanation

Section 182 retains the provision in Public Law 116-94 that prohibits recipients of funds made available in this Act from releasing certain personal information and photographs from a driver's license or motor vehicle record, without express consent of the person to whom such information pertains; and prohibits the withholding of funds provided in this Act for any grantee if a State is in noncompliance with this provision.

[**SEC. 183.** None of the funds in this Act shall be available for salaries and expenses of more than 125 political and Presidential appointees in the Department of Transportation: *Provided*, That none of the personnel covered by this provision may be assigned on temporary detail outside the Department of Transportation.]

Sec. 183 Deletion Explanation

Section 183 in Public Law 116-94 is proposed for deletion to remove the cap on the number of political that can be appointed in the Department.

SEC. 183. Funds received by the Federal Highway Administration and Federal Railroad Administration from States, counties, municipalities, other public authorities, and private sources for expenses incurred for training may be credited respectively to the Federal Highway Administration's "Federal-Aid Highways" account and to the Federal Railroad Administration's "Safety and Operations" account, except for State rail safety inspectors participating in training pursuant to 49 U.S.C. 20105.

Sec. 183 Explanation

Section 183 retains the provision that permits funds received by specified DOT agencies from States or other private or public sources for expenses incurred for training to be credited to certain specified agency accounts.

SEC. 184. (a) None of the funds provided in this Act to the Department of Transportation may be used to make a loan, loan guarantee, line of credit, or discretionary grant unless the Secretary of Transportation notifies the House and Senate Committees on Appropriations not less than [3] 1 full business [days] day before any project competitively selected to receive any discretionary grant award, letter of intent, loan commitment, loan guarantee commitment, line of credit commitment, or full funding grant agreement [is announced by the Department or its modal administrations:] *totaling \$1,000,000 or more is announced by the Department or its modal administrations: Provided*, That the Secretary gives concurrent notification to the House and Senate Committees on Appropriations for any "quick release" of funds from the emergency relief program: *Provided further*, That no notification shall involve funds that are not available for obligation.

(b) In addition to the notification required in subsection (a), none of the funds made available in this Act to the Department of Transportation may be used to make a loan, loan guarantee, line of credit, cooperative agreement or discretionary grant unless the Secretary of Transportation provides the House and Senate Committees on Appropriations a comprehensive list of all such loans, loan guarantees, lines of credit, cooperative agreement or discretionary grants that will be announced not less the [3] 1 full business [days] day before such announcement: *Provided*, That the Department shall provide the list required in this subsection prior to the notification required in subsection (a): *Provided further*, That the requirement to provide a list in this subsection does not apply to any "quick release" of funds from the emergency relief program: *Provided further*, That no list shall involve funds that are not available for obligation.

Sec. 184 Explanation

Section 184 revises the provision in Public Law 116-94 that currently prohibits funds from being used to make a grant unless the Secretary of Transportation notifies the House and Senate Committees on Appropriations no less than three days in advance of any discretionary grant award, letter of intent, or full funding grant agreement to not less than one full business day. Also, proposes set a reporting requirement floor of \$1 million for an award.

***SEC. 185.** Section 311 of title 49, United States Code, is amended by striking "3 full business days" each place it appears and inserting "1 full business day".*

Sec. 185 Explanation

Section 185 is a new provision to mirror the timing change requested to the appropriator notification provision at Sec. 184, but it applies to the notification to authorizers.

SEC. 186. Rebates, refunds, incentive payments, minor fees and other funds received by the Department of Transportation from travel management centers, charge card programs, the subleasing of building space, and miscellaneous sources are to be credited to appropriations of the Department of Transportation and allocated to elements of the Department of Transportation using fair and equitable criteria and such funds shall be available until expended.

Sec. 186 Explanation

Section 186 retains the provision in Public Law 116-94 that allows funds received from rebates, refunds, and similar sources to be credited to appropriations of the Department of Transportation.

[SEC. 187. Amounts made available in this or any prior Act that the Secretary determines represent improper payments by the Department of Transportation to a third-party contractor under a financial assistance award, which are recovered pursuant to law, shall be available—

(1) to reimburse the actual expenses incurred by the Department of Transportation in recovering improper payments: *Provided*, That amounts made available in this Act shall be available until expended; and

(2) to pay contractors for services provided in recovering improper payments or contractor support in the implementation of the Improper Payments Information Act of 2002, as amended by the Improper Payments Elimination and Recovery Act of 2010 and Improper Payments Elimination and Recovery Improvement Act of 2012, and Fraud Reduction and Data Analytics Act of 2015: *Provided*, That amounts in excess of that required for paragraphs (1) and (2)—

(A) shall be credited to and merged with the appropriation from which the improper payments were made, and shall be available for the purposes and period for which such appropriations are available: *Provided further*, That where specific project or accounting information associated with the improper payment or payments is not readily available, the

Secretary may credit an appropriate account, which shall be available for the purposes and period associated with the account so credited; or

(B) if no such appropriation remains available, shall be deposited in the Treasury as miscellaneous receipts: *Provided further*, That prior to depositing such recovery in the Treasury, the Secretary shall notify the House and Senate Committees on Appropriations of the amount and reasons for such transfer: *Provided further*, That for purposes of this section, the term "improper payments" has the same meaning as that provided in section 2(e)(2) of Public Law 111–204.]

Sec. 187 Deletion Explanation

Section 187 in Public Law 116-94 is proposed for deletion to remove the provision that allows amounts from improper payments to a third party contractor that are lawfully recovered by the DOT to be available to cover expenses incurred in the recovery of such payments. The provision is redundant with improper payment legislation and a-123 guidance issued in 2018.

SEC. 187. Notwithstanding any other provision of law, if any funds provided in or limited by this Act are subject to a reprogramming action that requires notice to be provided to the House and Senate Committees on Appropriations, transmission of said reprogramming notice shall be provided solely to the House and Senate Committees on Appropriations[, and said reprogramming action shall be approved or denied solely by the House and Senate Committees on Appropriations]: *Provided*, That the Secretary of Transportation may provide notice to other congressional committees of the action of the House and Senate Committees on Appropriations on such reprogramming but not sooner than 30 days following the date on which the reprogramming action has been [approved or denied by] *transmitted to* the House and Senate Committees on Appropriations.

Sec. 187 Explanation

Section 187 retains the provision in Public Law 116-94 that allows the Secretary to provide a reprogramming notice to other Congressional Committees not sooner than 30 days following the date that notice is transmitted to the Committees on Appropriations.

SEC. 188. Funds appropriated in this Act to the modal administrations may be obligated for the Office of the Secretary for the costs related to assessments or reimbursable agreements only when such amounts are for the costs of goods and services that are purchased to provide a direct benefit to the applicable modal administration or administrations.

Sec. 188 Explanation

Section 188 retains the provision in Public Law 116-94 that would allow the Office of the Secretary of Transportation to assess or enter into reimbursable agreements with the modal administrations only to the degree that such amounts are for the costs of goods and services that are purchased to provide a direct benefit to the applicable modal administration or administrations.

SEC. 189. The Secretary of Transportation is authorized to carry out a program that establishes uniform standards for developing and supporting agency transit pass and transit benefits authorized under section 7905 of title 5, United States Code, including distribution of transit benefits by various paper and electronic media.

Sec. 189 Explanation

Section 189 retains the provision in Public Law 116-94 that would explicitly designate the Department of Transportation as the Government-wide executive agency for the Federal transportation transit benefit program.

SEC. 190. The Secretary of Transportation shall coordinate with the Secretary of Homeland Security to ensure that best practices for Industrial Control Systems Procurement are up-to-date and shall ensure that systems procured with funds provided under this title were procured using such practices.

Sec. 190 Explanation

Section 190 retains the provision in Public Law 116-94 that would continue coordination.

[SEC. 191. The Department of Transportation may use funds provided by this Act, or any other Act, to assist a contract under title 49 U.S.C. or title 23 U.S.C. utilizing geographic, economic, or any other hiring preference not otherwise authorized by law, or to amend a rule, regulation, policy or other measure that forbids a recipient of a Federal Highway Administration or Federal Transit Administration grant from imposing such hiring preference on a contract or construction project with which the Department of Transportation is assisting, only if the grant recipient certifies the following:

- (1) that except with respect to apprentices or trainees, a pool of readily available but unemployed individuals possessing the knowledge, skill, and ability to perform the work that the contract requires resides in the jurisdiction;
- (2) that the grant recipient will include appropriate provisions in its bid document ensuring that the contractor does not displace any of its existing employees in order to satisfy such hiring preference; and
- (3) that any increase in the cost of labor, training, or delays resulting from the use of such hiring preference does not delay or displace any transportation project in the applicable Statewide Transportation Improvement Program or Transportation Improvement Program.]

Sec. 191 Deletion Explanation

Section 191 in Public Law 116-94 allows Federal funds to be used on projects that do have a local hiring preference for individual contractor employees. The section is proposed for deletion because the law generally prohibits Federal government contractors from discriminating based on geographic location of individual contractor employees.

[SEC. 192. Section 502(b)(3) of the Railroad Revitalization and Regulatory Reform Act of 1976 (45 U.S.C. 822(b)(3)) is amended by striking "only during the 4-year period beginning on the date of enactment of the Passenger Rail Reform and Investment Act of 2015" and inserting "until September 30, 2020".]

Sec. 192 Deletion Explanation

Section 192 in Public Law 116-94 is proposed for deletion because it was enacted in fiscal year 2020. DOT proposes to address this topic through reauthorization.

GENERAL PROVISIONS—THIS ACT

SEC. 401. None of the funds in this Act shall be used for the planning or execution of any program to pay the expenses of, or otherwise compensate, non-Federal parties intervening in regulatory or adjudicatory proceedings funded in this Act.

Sec 401 Explanation

Section 401 in Public Law 116-94 continues the prohibition on the use of funds for pay and other expenses provided in the appropriation act for compensating non-Federal parties intervening in regulatory or adjudicatory proceedings funded by the act.

SEC. 402. None of the funds appropriated in this Act shall remain available for obligation beyond the current fiscal year, nor may any be transferred to other appropriations, unless expressly so provided herein.

Sec 402 Explanation

Section 402 in Public Law 116-94 continues the prohibition on obligations beyond the current fiscal year and transfers of funds to other appropriations unless expressly provided in the appropriations act.

SEC. 403. The expenditure of any appropriation under this Act for any consulting service through a procurement contract pursuant to section 3109 of title 5, United States Code, shall be limited to those contracts where such expenditures are a matter of public record and available for public inspection, except where otherwise provided under existing law, or under existing Executive order issued pursuant to existing law.

Sec 403 Explanation

Section 403 in Public Law 116-94 continues the limitation on expenditures for consulting service through procurement contracts where such expenditures are a matter of public record and available for public inspection.

[SEC. 404. (a) None of the funds made available in this Act may be obligated or expended for any employee training that—

- (1) does not meet identified needs for knowledge, skills, and abilities bearing directly upon the performance of official duties;
- (2) contains elements likely to induce high levels of emotional response or psychological stress in some participants;
- (3) does not require prior employee notification of the content and methods to be used in the training and written end of course evaluation;
- (4) contains any methods or content associated with religious or quasi-religious belief systems or “new age” belief systems as defined in Equal Employment Opportunity Commission notice N-915.022, dated September 2, 1988; or

(5) is offensive to, or designed to change participants' personal values or lifestyle outside the workplace.

(b) Nothing this section shall prohibit, restrict, or otherwise preclude an agency from conducting training bearing directly upon the performance of official duties.

Sec. 404 Deletion Explanation

Section 404 in Public Law 116-94 is proposed for deletion because the Department is already subject to government-wide guidelines conducting training of employees.

SEC. 405. Except as otherwise provided in this Act, none of the funds provided in *titles I or III* of this Act, provided by previous appropriations Acts to the agencies or entities funded in *titles I or III* of this Act that remain available for obligation or expenditure in fiscal year [2020] 2021, or provided from any accounts in the Treasury derived by the collection of fees and available to the agencies funded by *titles I or III* of this Act, shall be available for obligation or expenditure through a reprogramming of funds that—

- (1) creates a new program;
- (2) eliminates a program, project, or activity;
- (3) increases funds or personnel for any program, project, or activity for which funds have been denied or restricted by the Congress;
- (4) proposes to use funds directed for a specific activity by either the House or Senate Committees on Appropriations for a different purpose;
- (5) augments existing programs, projects, or activities in excess of \$5,000,000 or 10 percent, whichever is less;
- (6) reduces existing programs, projects, or activities by \$5,000,000 or 10 percent, whichever is less; or
- (7) creates, reorganizes, or restructures a branch, division, office, bureau, board, commission, agency, administration, or department different from the budget justifications submitted to the Committees on Appropriations or the table accompanying the joint explanatory statement accompanying this Act, whichever is more detailed, unless prior approval is received from the House and Senate Committees on Appropriations: *Provided*, That not later than 60 days after the date of enactment of this Act, each agency funded by *titles I or III* of this Act shall submit a report to the Committees on Appropriations of the Senate and of the House of Representatives to establish the baseline for application of reprogramming and transfer authorities for the current fiscal year: *Provided further*, That the report shall include—
 - (A) a table for each appropriation with a separate column to display the prior year enacted level, the President's budget request, adjustments made by Congress, adjustments due to enacted rescissions, if appropriate, and the fiscal year enacted level;
 - (B) a delineation in the table for each appropriation and its respective prior year enacted level by object class and program, project, and activity as detailed in this Act, the table accompanying the explanatory statement accompanying this Act, accompanying reports of the House and Senate Committee on Appropriations, or in the budget appendix for the respective appropriations, whichever is more detailed, and shall apply to all items for which a dollar amount is specified and to all programs for which new budget (obligational) authority is provided, as well as to discretionary grants and discretionary grant allocations; and
 - (C) an identification of items of special congressional interest.

Sec. 405 Explanation

Section 405 in Public Law 116-94 retains continues Congressional reprogramming guidelines. For FY 2021, HUD is proposing HUD-specific reprogramming language for inclusion its GP section in Title II. As such, it is proposing to remove reference to HUD/Title II here. Sec. 404 continues the provision that each Department provide a report to the Committees on Appropriations that establishes the baseline for application of reprogramming and transfer authorities for the current fiscal year not later than 60 days after enactment.

SEC. 406. Except as otherwise specifically provided by law, not to exceed 50 percent of unobligated balances remaining available at the end of fiscal year [2020] 2021 from appropriations made available for salaries and expenses for fiscal year [2020] 2021 in this Act, shall remain available through September 30, [2021] 2022, for each such account for the purposes authorized: *Provided*, That a [request] *notification* shall be submitted to the House and Senate Committees on Appropriations [for approval] prior to the expenditure of such funds: *Provided further*, That these requests shall be made in compliance with reprogramming guidelines under section [405] 404 of this Act.

Sec. 406 Explanation

Section 406 in Public Law 116-94 continues the provision providing that 50 percent of unobligated balances are available for certain purposes.

SEC. 407. No funds in this Act may be used to support any Federal, State, or local projects that seek to use the power of eminent domain, unless eminent domain is employed only for a public use: *Provided*, That for purposes of this section, public use shall not be construed to include economic development that primarily benefits private entities: *Provided further*, That any use of funds for mass transit, railroad, airport, seaport or highway projects, as well as utility projects which benefit or serve the general public (including energy-related, communication-related, water-related and wastewater-related infrastructure), other structures designated for use by the general public or which have other common-carrier or public-utility functions that serve the general public and are subject to regulation and oversight by the government, and projects for the removal of an immediate threat to public health and safety or brownfields as defined in the Small Business Liability Relief and Brownfields Revitalization Act (Public Law 107–118) shall be considered a public use for purposes of eminent domain.

Sec. 407 Explanation

Section 407 in Public Law 116-94 continues the provision prohibiting the use of funds for eminent domain unless such taking is employed for public use.

[SEC. 408. None of the funds made available in this Act may be transferred to any department, agency, or instrumentality of the United States Government, except pursuant to a transfer made by, or transfer authority provided in, this Act or any other appropriations Act.]

Sec. 408 Deletion Explanation

Section 408 in Public Law 116-94 is proposed for deletion because it is unnecessary in light of the statutory prohibition on transfers without authorization, 31 U.S.C. 1532.

[**SEC. 409.** No part of any appropriation contained in this Act shall be available to pay the salary for any person filling a position, other than a temporary position, formerly held by an employee who has left to enter the Armed Forces of the United States and has satisfactorily completed his or her period of active military or naval service, and has within 90 days after his or her release from such service or from hospitalization continuing after discharge for a period of not more than 1 year, made application for restoration to his or her former position and has been certified by the Office of Personnel Management as still qualified to perform the duties of his or her former position and has not been restored thereto.]

Sec. 409 Deletion Explanation

Section 409 in Public Law 116-94 is proposed for deletion as the language overlaps and potentially conflicts with similar protections already conferred under Uniformed Services Employment and Reemployment Rights Act (USERRA) in Title 38. Section 409 would treat the employees of agencies under THUD bill differently than the rest of the Federal employees covered by USERRA.

SEC. 410. No funds appropriated pursuant to this Act may be expended by an entity unless the entity agrees that in expending the assistance the entity will comply with sections 2 through 4 of the Act of March 3, 1933 (41 U.S.C. 8301–8305, popularly known as the "Buy American Act").

Sec. 410 Explanation

Section 410 in Public Law 116-94 prohibits the availability of funds to any person or entity that does not comply with the Buy American Act.

SEC. 411. No funds appropriated or otherwise made available under this Act shall be made available to any person or entity that has been convicted of violating the Buy American Act (41 U.S.C. 8301–8305).

Sec. 411 Explanation

Section 411 in Public Law 116-94 prohibits the availability of funds to any person or entity that has been convicted of violating the Buy American Act.

SEC. 412. None of the funds made available in this Act may be used for first-class airline accommodations in contravention of sections 301–10.122 and 301–10.123 of title 41, Code of Federal Regulations.

Sec. 412 Explanation

Section 412 of Public Law 116-94 prohibits the use of funds for the purchase of first-class airline accommodations.

[SEC. 413.

(a) None of the funds made available by this Act may be used to approve a new foreign air carrier permit under sections 41301 through 41305 of title 49, United States Code, or exemption application under section 40109 of that title of an air carrier already holding an air operators certificate issued by a country that is party to the U.S.-E.U.-Iceland-Norway Air Transport Agreement where such approval would contravene United States law or Article 17 bis of the U.S.-E.U.-Iceland-Norway Air Transport Agreement.

(b) Nothing in this section shall prohibit, restrict or otherwise preclude the Secretary of Transportation from granting a foreign air carrier permit or an exemption to such an air carrier where such authorization is consistent with the U.S.-E.U.-Iceland-Norway Air Transport Agreement and United States law.]

Sec. 413 Deletion Explanation

Section 413 of Public Law 116-94 is proposed for deletion because it requires the Department to comply with Federal Law and the U.S.-E.U.-Iceland-Norway Air Transport Agreement if it grants a permit or an exemption to a foreign air carrier, and is therefore redundant.

SEC. 414. None of the funds made available in this Act may be used to send or otherwise pay for the attendance of more than 50 employees of a single agency or department of the United States Government, who are stationed in the United States, at any single international conference unless the relevant Secretary reports to the House and Senate Committees on Appropriations at least 5 days in advance that such attendance is important to the national interest: *Provided*, That for purposes of this section the term "international conference" shall mean a conference occurring outside of the United States attended by representatives of the United States Government and of foreign governments, international organizations, or nongovernmental organizations.

Sec. 414 Explanation

Section 414 of Public Law 116-94 retains the provision proposed which prohibits more than 50 people from attending an international conference.

[SEC. 415. None of the funds appropriated or otherwise made available under this Act may be used by the Surface Transportation Board to charge or collect any filing fee for rate or practice complaints filed with the Board in an amount in excess of the amount authorized for district court civil suit filing fees under section 1914 of title 28, United States Code.]

Sec. 415 Deletion Explanation

Section 415 of Public Law 116-94 is proposed for deletion because it is specific to Surface Transportation Board.

[SEC. 416. None of the funds made available by this Act may be used by the Department of Transportation, the Department of Housing and Urban Development, or any other Federal agency to lease or purchase new light duty vehicles for any executive fleet, or for an agency's fleet inventory, except in accordance with Presidential Memorandum-Federal Fleet Performance, dated May 24, 2011.]

Sec. 416 Deletion Explanation

Section 416 of Public Law 116-94 is proposed for deletion as GP because the referenced memorandum was revoked in Executive Order 13693 and its purpose is now satisfied policies under by Executive Order 13834, Efficient Federal Operations.

SEC. 417. (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography.

(b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

Sec. 417 Explanation

Section 417 of Public Law 116-94 retains the provision prohibiting expenditures to maintain or establish computer networks unless those networks block pornography.

[SEC. 418. (a) None of the funds made available in this Act may be used to deny an Inspector General funded under this Act timely access to any records, documents, or other materials available to the department or agency over which that Inspector General has responsibilities under the Inspector General Act of 1978 (5 U.S.C. App.), or to prevent or impede that Inspector General's access to such records, documents, or other materials, under any provision of law, except a provision of law that expressly refers to the Inspector General and expressly limits the Inspector General's right of access.

- (b) A department or agency covered by this section shall provide its Inspector General with access to all such records, documents, and other materials in a timely manner.
- (c) Each Inspector General shall ensure compliance with statutory limitations on disclosure relevant to the information provided by the establishment over which that Inspector General has responsibilities under the Inspector General Act of 1978 (5 U.S.C. App.).
- (d) Each Inspector General covered by this section shall report to the Committees on Appropriations of the House of Representatives and the Senate within 5 calendar days any failures to comply with this requirement.]

Sec. 418 Deletion Explanation

Section 418 of Public Law 116-94 is proposed for deletion because it is redundant with current law requirements.

SEC. 419. None of the funds appropriated or otherwise made available by this Act may be used to pay award or incentive fees for contractors whose performance has been judged to be below satisfactory, behind schedule, over budget, or has failed to meet the basic requirements of a contract, unless the Agency determines that any such deviations are due to unforeseeable events, government-driven scope changes, or are not significant within the overall scope of the project and/or program unless such awards or incentive fees are consistent with 16.401(e)(2) of the Federal Acquisition Regulations.

Sec. 419 Explanation

Section 419 of Public Law 116-94 prohibits pay awards and incentive fees for contractors who fail to meet certain performance levels. That prohibition overlaps with FAR Part 16.4, which provides extensive instruction on when awards and incentive fees are appropriate. Sec. 419 retains the provision prohibiting awards or incentive fees for contractors who fail to meet certain performance standards.

SEC. 420. Except as expressly provided otherwise, any reference to "this Act" contained in this division shall be treated as referring only to the provisions of this division.

Sec. 420 Explanation

Section 420 of Public Law 116-94 states this Act means this Division.

[SEC. 421. None of the funds made available by this Act may be used in contravention of section 5309(d)(2) of title 49, United States Code.]

Sec. 421 Deletion Explanation

Section 421 of Public Law 116-94 is proposed for deletion as this provision requires compliance with another law that is already binding on the Department, and is therefore redundant. The referenced provision, 49 USC 5309(d)(2), controls when new fixed guideway capital projects advance to the “engineering phase” of FTA’s project pipeline.

[SEC. 422. None of the funds made available by this division may be used to issue rules or guidance in contravention of section 1210 of Public Law 115–254 (132 Stat. 3442) or section 312 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5155).]

SEC. 422 Deletion Explanation

Section 422 of Public Law 116-94 is proposed for deletion as this provision requires compliance with other laws that are already binding on the Department, and is therefore redundant. The referenced statutes require Federal agencies to ensure that individuals do not receive duplicative disaster relief funds.

[SEC. 423. None of the funds made available by this division may be used in contravention of section 2635.702 of title 5, Code of Federal Regulations.]

Sec. 423 Deletion Explanation

Section 423 is proposed for deletion because it is redundant with existing law 5 CFR Part 2635.

[SEC. 424. Of the unobligated balances of funds remaining from—

- (1) Public Law 91–605, and any other Act, appropriated to the "Rail Crossings Demonstration Projects" account under Treasury Account Fund Symbol 69X0555, a total of \$517,220.20 is hereby permanently rescinded;
- (2) Public Law 92–18, and any other Act, appropriated to the "Darien Gap Highway" account under Treasury Account Fund Symbol 69X0553, a total of \$2,037,034.50 is hereby permanently rescinded;
- (3) Public Law 93–87, and any other Act, appropriated to the "Alaska Highway" account under Treasury Account Fund Symbol 69X0537, a total of \$62,861.61 is hereby permanently rescinded;
- (4) Public Law 94–387, and any other Act, appropriated to the "Railroad- Highway Crossings Demonstration Projects" account under Treasury Account Fund Symbol 69X0557, a total of \$2,035,137.12 is hereby permanently rescinded;
- (5) Public Law 97–257, and any other Act, appropriated to the "Access High- ways to Public Recreation Areas on Certain Lakes" account under Treasury Account Fund Symbol 69X0503, a total of \$352,333.19 is hereby permanently rescinded;
- (6) Public Law 99–190, and any other Act, appropriated to the "Highway Beautification" account under Treasury Account Fund Symbol 69X0540, a total of \$488,909.57 is hereby permanently rescinded;
- (7) Public Law 101–164, and any other Act, appropriated to the "Highway Demonstration Projects-Preliminary Engineering" account under Treasury Ac- count Fund Symbol 69X0583, a total of \$2,601,431.71 is hereby permanently rescinded;
- (8) Public Law 101–516, and any other Act, appropriated to the "Highway Demonstration Projects" account under Treasury Account Fund Symbol 69X0598, a total of \$1,341 is hereby permanently rescinded;
- (9) Public Law 102–143, and any other Act, appropriated to the "Highway Studies Feasibility, Design, Environmental, Engineering" account under Treasury Account Fund Symbol 69X0533, a total of \$262,204.01 is hereby per- manently rescinded;
- (10) Public Law 103–331, and any other Act, appropriated to the "Surface Transportation Projects" account under Treasury Account Fund Symbol 69X0505, a total of \$573,097.13 is hereby permanently rescinded; and
- (11) Public Law 107–87, and any other Act, appropriated to the "Miscellaneous Highway Project" account under Treasury Account Fund Symbol 69X0641, a total of \$11,003,637 is hereby permanently rescinded.]

SEC. 424 Deletion Explanation

Section 424 of Public Law 116-94 is proposed for deletion because it included one-time rescissions.

[SEC. 425.

(a) Section 127(l)(3)(A) of title 23, United States Code, is amended—

(1) in the matter preceding clause (i), in the first sentence, by striking "clause

(i) or (ii)" and inserting "clauses (i) through (iv)"; and

(2) by adding at the end the following:

"(iii) The Wendell H. Ford (Western Kentucky) Parkway (to be designated as a spur of Interstate Route 69) from the interchange with the William H. Natcher Parkway in Ohio County, Kentucky, west to the interchange of the Western Kentucky Parkway with the Edward T. Breathitt (Pennyriple) Parkway. "(iv) The Edward T. Breathitt (Pennyriple) Parkway (to be designated as a spur of Interstate Route 69) from Interstate 24, north to Interstate 69."

(b) DESIGNATION AS HIGH PRIORITY CORRIDOR.—Section 1105(c) of the Intermodal Surface Transportation Efficiency Act of 1991 (Public Law 102–240; 105 Stat. 2032; 131 Stat. 797) is amended by adding at the end the following:

"(91) The Wendell H. Ford (Western Kentucky) Parkway from the interchange with the William H. Natcher Parkway in Ohio County, Kentucky, west to the interchange of the Western Kentucky Parkway with the Edward T. Breathitt (Pennyriple) Parkway."

(c) DESIGNATION AS FUTURE INTERSTATE.—Section 1105(e)(5)(A) of the Intermodal Surface Transportation Efficiency Act of 1991 (Public Law 102–240; 109 Stat. 597; 131 Stat. 797) is amended in the first sentence by striking "and subsection (c)(90)" and inserting "subsection (c)(90), and subsection (c)(91)".

(d) NUMBERING OF PARKWAY.—Section 1105(e)(5)(C)(i) of the Intermodal Surface Transportation Efficiency Act of 1991 (Public Law 102–240; 109 Stat. 598; 126 Stat. 426; 131 Stat. 797) is amended by adding at the end the following: "The route referred to in subsection (c)(91) is designated as Interstate Route I-569."

(e) EXEMPTION.—Notwithstanding section 111 of title 23, United States Code, if the segment of highway described in paragraph (91) of section 1105(c) of the Intermodal Surface Transportation Efficiency Act of 1991 (Public Law 102–240; 105 Stat. 2032; 131 Stat. 797) is designated as a route on the Interstate System, any commercial establishment operating legally in a rest area on that segment before the date of that designation may continue to operate in the Interstate right-of-way, subject to the Interstate access standards established under section 111 of that title.]

SEC. 425 Deletion Explanation

Section 425 of Public Law 116-94 is proposed for deletion as it was a one-time provision that has enacted permanent changes affecting the designation of a specific highway segment and is inappropriate to repeat. For commercial establishments operating in the right-of-way of that segment, subsection (e) provided a FY 2020 exemption from restrictions generally applicable to commercial activities in the Interstate right-of-way. If subsection (e) is deleted, that exemption will not continue.

Ten-Year History of Budget Authority, Appropriations and User Fees
(\$ in thousands)
Office of the Secretary

	<u>FY 2012</u>	<u>FY 2013</u>	<u>FY 2014</u>	<u>FY 2015</u>	<u>FY 2016</u>	<u>FY 2017</u>	<u>FY 2018</u>	<u>FY 2019</u>	<u>FY 2020</u>	<u>FY 2021</u>
	<u>Actual</u>	<u>Actual</u>	<u>Actual</u>	<u>Actual</u>	<u>Actual</u>	<u>Actual</u>	<u>Actual</u>	<u>Enacted</u>	<u>Enacted</u>	<u>Request</u>
Salaries & Expenses	102,481	97,121	107,000	105,000	108,750	114,000	112,813	113,910	115,490	127,374
Financial Management Capital	4,990	4,729	7,000	5,000	5,000	4,000	6,000	2,000	2,000	2,000
Office of Civil Rights	9,384	8,893	9,551	9,600	9,678	9,751	9,500	9,470	9,470	9,600
Small and Dis. Bus. Util. & Outreach (Min. Bus. Outreach)	3,068	2,908	3,088	3,099	3,084	4,646	4,646	3,488	4,646	4,714 ^{1/}
Trans., Plng., Res. & Dev. (TPR&D)	9,000	8,529	7,000	6,000	8,500	12,000	14,000	7,879	10,879	9,350
TPR&D Cancellation of Unobligated Balances	0	0	-2,750	0	0	0	0	0	0	0
National Infrastructure Investments	500,000	473,847	600,000	500,000	500,000	500,000	1,500,000	900,000	1,000,000	1,000,000
Nationally Significant Freight Projects	0	0	0	0	0	0	0	0	0	1,000,000
Minority Business Resource Center	922	874	925	925	933	941	500	500	0	0
Cyber Security/IT Infrastructure	10,000	9,477	4,455	5,000	8,000	15,000	15,000	15,000	15,000	22,000
National Surface Transportation & Innovative Finance Bureau	0	0	0	0	0	3,000	3,000	5,000	5,000	4,250
Research & Technology	15,981	15,145	14,765	13,000	13,000	13,000	23,465	8,471	21,000	11,033
Essential Air Service	[50,000]	[97,697]	[118,906]	[110,164]	[105,653]	[121,801]	[133,742]	[145,437]	[150,512]	[154,276] ^{2/}
Payments to Air Carriers	143,000	135,520	149,000	155,000	175,000	150,000	155,000	175,000	162,000	141,724
TIFIA Highway Trust Fund Program Account (Obligation Limitatic	0	0	0	0	0	0	0	0	0	311,000

^{1/} Funding for the Office of Small and Disadvantaged Utilization (formerly in Salaries and Expenses) has been merged with the Minority Business Outreach appropriation and the appropriation has been renamed Small and Disadvantaged Business Utilization and Outreach.

^{2/} Overflight fees collected by FAA

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
SALARIES AND EXPENSES SUMMARY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>FUNDING LEVELS</u>	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Personnel Compensation and Benefits	\$ 76,708	\$ 79,737	\$ 83,259
Travel	1,178	1,238	1,251
Other Costs	36,025	34,515	42,864
Programs	-	-	-
TOTAL	\$ 113,910	\$ 115,490	\$ 127,374

STAFFING

Direct FTEs	401	441	473
Reimbursable FTEs	27	30	47

For necessary expenses of the Office of the Secretary, [\$115,490,000]\$127,374,000 [, of which not to exceed \$3,100,000 shall be available for the immediate Office of the Secretary; not to exceed \$1,000,000 shall be available for the immediate Office of the Deputy Secretary; not to exceed \$21,000,000 shall be available for the Office of General Counsel; not to exceed \$10,500,000 shall be available for the Office of the Under Secretary of Transportation for Policy; not to exceed \$15,000,000 shall be available for the Office of the Assistant Secretary for Budget and Programs; not to exceed \$2,650,000 shall be available for the Office of the Assistant Secretary for Governmental Affairs; not to exceed \$29,244,000 shall be available for the Office of the Assistant Secretary for Administration; not to exceed \$2,142,000 shall be available for the Office of Public Affairs; not to exceed \$1,859,000 shall be available for the Office of the Executive Secretariat; not to exceed \$12,181,000 shall be available for the Office Intelligence, Security, and Emergency Response; and not to exceed \$18,814,000 shall be available for the Office of the Chief Information Officer: *Provided*, That the Secretary of Transportation is authorized to transfer funds appropriated for any office of the Office of the Secretary to any other office of the Office of the Secretary: *Provided further*, That no appropriation for any office shall be increased or decreased by more than 7 percent by all such transfers: *Provided further*, That notice of any change in funding greater than 7 percent shall be submitted for approval to the House and Senate Committees on Appropriations]: *Provided [further]*, That not to exceed [\$60,000]\$85,000 shall be for allocation within the Department for official reception and representation expenses as the Secretary may determine: *Provided further*, That notwithstanding any other provision of law, excluding fees authorized in Public Law 107-71, there may be credited to this appropriation up to \$2,500,000 in funds received in user fees[: *Provided further*, That none of the funds provided in this Act shall be available for the position of Assistant Secretary for Public Affairs].

Program and Performance Statement

The Office of the Secretary is responsible for the overall planning, coordination, and administration of the Department's programs. Funding supports the Secretary, Deputy Secretary, Under Secretary for Policy, Secretarial Officers, and their immediate staffs, who provide Federal transportation policy development and guidance, institutional and public liaison activities, and other program support to ensure effective management and operation of the Department.

Detailed Justification for the Immediate Office of the Secretary

What Is This Program and What Does This Funding Level Support?

The Immediate Office of the Secretary (OST) provides leadership for the Department and develops a shared understanding of the Department's vision, mission, and strategic goals. The Office is responsible for overall planning, direction, and control of the Department's agenda.

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

The Immediate Office of the Secretary of Transportation is necessary to provide executive leadership essential to responding to the American public about transportation issues affecting the Nation. By understanding the challenges faced by the transportation sector, this senior office sets the agenda of the administration as it relates to the transportation sector.

Detailed Justification for the Office of the Deputy Secretary

What Is This Program and What Does This Funding Level Support?

The Office of the Deputy Secretary assists the Secretary in the overall planning, direction and control of the Department's agenda. The Deputy Secretary functions as the Chief Operating Officer of the Department, and participates in key activities of every part of the Department. Among other responsibilities, the Deputy Secretary serves as Chair of DOT's Council on Credit and Finance, as Chair of DOT's Intelligent Transportation Systems Management Council, as a member of FAA's Management Advisory Council, and as DOT's representative to the Federal Permitting Improvement Steering Council. The Deputy Secretary also serves as Chair of DOT's Safety Council and as DOT's Regulatory Reform Officer.

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

The Office of the Deputy Secretary assists the Secretary in the overall planning, direction and control of the Department's agenda. The office is essential to prioritizing responses to the American public about transportation issues affecting the Nation. This request will enable the Department to continue to respond more quickly and efficiently to the transportation needs of the American public, and to advance key objectives of maintaining and improving safety, building and repairing vital infrastructure, and enabling innovation for the future.

Detailed Justification for the Office of the Under Secretary of Transportation for Policy

What Is This Program and What Does This Funding Level Support?

The **Under Secretary of Transportation for Policy** serves as a principal policy advisor to the Secretary and provides leadership in the development and implementation of policies for the Department, directs initiatives involving more than one modal administration, leads in the development of intermodal transportation solutions while promoting efficiency, manages statutory programs that are designated by Congress for the Secretary to administer, and oversees activities related to infrastructure and infrastructure deployment. Additionally, the S-3 Office provides the foundation for improved productivity growth and aims to strengthen the Nation's ability to compete in the global economy. All of these functions require expertise in program management, economic analysis, strategic planning, policy coordination and development, and technical matters involving aviation and surface modes. The Under Secretary oversees the Assistant Secretary for Transportation Policy (OST-P), the Assistant Secretary for Aviation and International Affairs (OST-X), the Assistant Secretary for Research and Technology (OST-R), and the National Surface Transportation and Innovative Finance Bureau (OST-Z).

The **Under Secretary of Transportation for Policy** serves as a principal policy advisor to the Secretary and provides leadership in the development and implementation of policies for the Department, directs initiatives involving more than one modal administration, leads in the development of intermodal transportation solutions while promoting efficiency, manages statutory programs that are designated by Congress for the Secretary to administer, and oversees activities related to infrastructure and infrastructure deployment. Additionally, the S-3 Office provides the foundation for improved productivity growth and aims to strengthen the Nation's ability to compete in the global economy. All of these functions require expertise in program management, economic analysis, strategic planning, policy coordination and development, and technical matters involving aviation and surface modes. The Under Secretary oversees the Assistant Secretary for Transportation Policy (OST-P), the Assistant Secretary for Aviation and International Affairs (OST-X), the Assistant Secretary for Research and Technology (OST-R), and the National Surface Transportation and Innovative Finance Bureau (OST-Z).

The **Office of the Assistant Secretary for Transportation Policy (OST-P)** is the office primarily responsible for the leadership and development of policy for the Department, recommending transportation policy initiatives to the Secretary, Deputy Secretary, and Under Secretary for Policy. The Office coordinates intermodal initiatives and processes that may impact multiple agencies within the Department, such as proposed reauthorization language. The Office leads the Department's efforts on Autonomous Vehicle (AV) policy and coordinates responses to cross-modal safety issues while leading initiatives to improve safety through a systemic approach to identify, mitigate, and eliminate risk with improved data collection and analysis, stakeholder collaboration, performance-based safety standards, and other measures. The Office also acts as the Department lead in areas of regulatory impact analysis and policy coordination and development. Additionally, OST-P reviews all proposed DOT rulemakings, legislation, testimony and reports to Congress, and is the lead office for the Department's Permitting Improvement Center (IIPIC),

advancing infrastructure reforms to expedite environmental review and permitting of major infrastructure projects, while improving outcomes and increasing interagency coordination.

The **Office of the Assistant Secretary for Aviation and International Affairs (OST-X)** is primarily responsible for the analysis, development, articulation, and review of policies, programs, and plans for economic issues in domestic aviation and international transportation. The Office negotiates bilateral and multilateral aviation agreements, as well as provides Departmental leadership on multimodal transportation issues, and international diplomatic dialogues and protocol activities. The Office directly contributes to accomplishing DOT's strategic goal of economic growth, advancing America's economic growth and competitiveness domestically and internationally through efficient and flexible transportation.

The **Office of the Assistant Secretary for Research and Technology (OST-R)** strengthens research and technology initiatives across all operating administrations. The Office ensures that the Department's innovation priorities and policies are implemented across the Department and leads a range of cross-modal research initiatives to address strategic goals Department-wide. OST-R also leads and administers the Department's multimodal statistics and data programs and oversees the work of related fee-for-service organizations. leads and administers the Department's multimodal statistics and data programs and oversees the work of related fee-for-service organizations.

The **National Surface Transportation and Innovative Finance Bureau (Build America Bureau, OST-Z)** develops Department-wide policies to improve transportation infrastructure financing and project delivery, administers the Department's transportation investment credit and Private Activity Bonds (PABs) programs, develops new initiatives to facilitate public and private financing mechanisms and alternative investments, and analyzes the cost effectiveness of new and alternative approaches. While advising the Secretary and leadership on all aspects of infrastructure investment, including public-private partnerships and concession agreements, the Bureau works to ensure that DOT promotes a culture of innovation and customer service and complies with pertinent legislation and directives.

FY 2020 Anticipated Accomplishments:

- The Office of the Under Secretary will lead the Department's efforts to develop agency initiatives in the areas of safety, infrastructure investments, innovation, project delivery effectiveness, future-oriented innovation, public and intergovernmental outreach, freight policy, public-private partnerships, and international transportation policy.
- The Office will prepare the DOT report required under Section 8 on Promoting Energy Infrastructure and Economic Growth executive order regarding assistance to state and local governments for supporting energy infrastructure development.
- The Office will continue to administer statutory programs in aviation to achieve greater market access for U.S. airlines, enhance competitive airline service in international markets and at congested airport facilities, promote access to the national air transportation system for small and rural communities, and promote innovation and U.S. jobs, including in the unmanned aircraft systems (UAS) industries. The Office will promote the development of a safe UAS industry in the United States, including package delivery services undertaken in consultation with state, local, and tribal communities.

- The Office will advance the Administration’s human trafficking initiative working with transportation stakeholders across all modes of transportation to ensure they are equipped with guidance and best practices to help stop this horrendous crime.
- The Office will continue to advance the Department’s ability to integrate, analyze, and present data to identify risk patterns and new insights that will aid in reducing transportation crashes and fatalities. We will also pursue opportunities to help State and local policy and decision making through safety data analysis.
- The Office will continue to promote U.S. transportation-related standards and evidence-based policies around the world to advance safety, improve cross-border infrastructure and freight networks, and reduce technical barriers to trade. The Office will also implement the transportation provisions of trade agreements, such as the U.S. Mexico Canada Trade Agreement, that will improve market access for transportation companies and increase competitiveness.
- The Office will continue to work with the Committee on Foreign Investment in the United States on transportation-related transactions that may impact national security and on the implementation of the Foreign Investment Risk Review Modernization Act of 2018 (FIRRMA), which expands coverage to additional critical transportation-related technologies, infrastructure, and real estate

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

What Benefits Will Be Provided to the American Public Through This Request and Why is This Program Necessary?

Requested resources will allow the Office of the Under Secretary to continue its core operation of Department-wide policy development, research, financial assistance, strategic planning and oversight. Specifically, within S-3, the Salaries and Expenses account is a critical funding source for the policy experts, trade negotiators, economists, financial specialists and administrative support vital to the policy-making operations of S-3.

In addition, S-3 aims to foster a deregulatory and regulatory environment that allows for the deployment of innovative technologies throughout transportation sectors, such as the safe testing and deployment of Automated Vehicles (AV) and Unmanned Aircraft Systems (UAS) in the U.S. transportation systems. In order to achieve that, the Department engages with stakeholders and industry to identify regulatory barriers, conduct near term research, and administer pilot programs and exemptions, with the goal of accelerating the deployment of automated vehicles. The Office also engages in economic oversight and facilitation of international trade for U.S. aviation and surface transportation companies, negotiating new air service agreements, making grants, administering regulatory proceedings, reviewing competition matters, and engaging in structured regulatory cooperation with foreign counterparts. In engaging with our global trading partners, the

Office is supporting increased international market access for America's products and services by eliminating transportation and international trade barriers.

Detailed Justification for the Office of the Executive Secretariat

What Is This Program and What Does This Funding Level Support?

The Office of the Executive Secretariat provides organized staff services to the Secretary and Deputy Secretary, including the editing and vetting of correspondence, congressional reports, travel requests, and other documents for their signatures, Federal advisory committee management oversight, and directives management.

The Office of the Executive Secretariat is necessary to provide staff support for controlling and coordinating the flow of correspondence to the Secretary and Deputy Secretary in addition to administrative management services to their offices.

FY 2020 Anticipated Accomplishments:

The Office will work to ensure timely and accurate responses to inquiries of the Department and work with Departmental offices and Operating Administrations to produce quality and responsive documents for stakeholders.

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

What Benefits Will Be Provided to the American Public Through This Request and Why is This Program Necessary?

The Office of the Executive Secretariat ensures the timely response to Secretarial inquiries from the general public (and Congress on their behalf) regarding transportation-related issues.

Detailed Justification for the Office of Intelligence, Security, and Emergency Response

What Is This Program and What Does This Funding Level Support?

The Office of Intelligence, Security, and Emergency Response areas of responsibility include:

- All source intelligence monitoring and reporting;
- Preparedness, response and recovery for all threats, all hazards events and incidents;
- Situational awareness through event and incident monitoring and reporting;
- Decision support product development;
- Continuity of Operations and Government (COOP/COG);
- National security policy and preparedness development; and
- Protection of the Secretary.

Safety: The office is DOT's focal point for 24/7 monitoring and reporting on domestic and international events and incidents that are or have the potential to impact the safety and security of the transportation sector in the U.S. This monitoring and reporting facilitate timely situational awareness and enable the Secretary and DOT senior leadership to (1) identify risks to the transportation sector, and (2) implement policies, strategies, and plans that eliminate or mitigate risks.

The office oversees DOT's intelligence monitoring and reporting enterprise. This function is critical to identifying on-going or potential threats to the transportation sector from extremist groups foreign and domestic. The office contributes to the development of policies, strategies, and plans to deter or dissuade extremists from taking actions that threaten the safety of the transportation sector.

Additionally, the office represents DOT at National-level meetings and conferences relating to the safe and secure operations of the transportation sector, and develops policies and plans as required and authorized to facilitate risk mitigation.

Revitalizing and rebuilding our critical infrastructure: the office leads Emergency Support Function-1, Transportation, in support of Federally-declared emergencies by coordinating DOT's efforts to prevent, protect, mitigate, respond and recover from all threats, all hazards events and incidents. Activities include, but are limited to, identifying and reporting damage to and status of transportation systems and infrastructure, identifying alternative transportation solutions, and coordinating the restoration and recovery of vital transportation systems and infrastructure to enable the safe movement of people, goods, and services. The office has co-Sector-Specific Agency responsibilities (alongside the Department of Homeland Security) for Transportation Sector activities that require coordination with critical infrastructure owners and operators, as well as

multi-level government partners, to enhance the means to rapidly respond to and recover from events or incidents that have the potential to adversely impact national security, economic stability, and public health and safety.

Preparing for the future by engaging with new technologies to ensure safety without hampering innovative emerging technologies: The office continually explores emerging technologies to enhance efficiency and effectiveness in the execution of our roles and responsibilities in support of the Secretary and the Department. Advances in social and traditional media monitoring technology are procured by the office to provide enhanced situational awareness to facilitate more timely decisions and response by the Secretary and DOT and enhanced coordination between Federal, state, local, tribal, and territorial governments and private sector partners.

The office engages with the National Security Council staff and Federal partners to formulate and leverage new and emerging technologies relating to national security policy and plans that guide (1) intra- and interagency coordination, (2) prioritize and addressing DOT equities, and (3) provide DOT senior leadership with recommendations and courses of action. The office carries out the authorities delegated to the Secretary for Defense Production Act activities for civil transportation.

As the DOT lead for the COOP/COG programs, the office utilizes the latest technologies to enable reliable, secure, fixed and mobile communications capabilities. These capabilities support the Department's National security operations during national emergencies and ensure the continuation of mission essential functions which keep the transportation sector operating.

Enhancing Accountability: The office leads DOT's Defensive Counterintelligence and Insider Threat Programs. The programs ensure information related to potential or actual threats to national security and private sector proprietary technologies are not compromised by DOT personnel.

FY 2020 Anticipated Accomplishments:

The Office will continue to advance the mission of DOT by doing the following activities:

- Analyze intelligence community reporting concerning known or developing threats to transportation critical infrastructure, and provide tailored intelligence products to develop situational awareness and support decision making for DOT leadership;
- Oversee intelligence functions and serve as DOT's Federal Senior Intelligence Coordinator;
- Manage and execute DOT's Defensive Counterintelligence and Insider Threat program;
- Maintain critical communications to facilitate information sharing with the White House and other agencies while operating as the focal point for liaison and coordination during incidents;
- Integrate use of geospatial information into daily emergency response products and reports to enhance DOT senior leader situational awareness and decision making;

- Coordinate with the National Security Council and interagency to update and produce national security Presidential policy documents;
- Provide daily personal protective service for the Secretary;
- Oversee DOT's COOP/COG roles and responsibilities as DOT's Continuity Coordinator;
- Serve as DOT's representative to classified COG programs;
- Lead all DOT activities related to event and incident response and recovery to include aligning regional response personnel to better facilitate DOT's response effort;
- Serve as Co-Sector-Specific Agency for the Transportation Sector to foster and coordinate critical infrastructure security and resilience across public and private sector infrastructure; and
- Oversee private sector outreach on behalf of the Transportation Systems Sector during incident response and recovery related to transportation systems and infrastructure.

The office will continue to focus on recruiting a workforce with capabilities and competencies necessary to meet DOT goals, improving efficiencies within operational program areas, streamlining responsibilities while cross-training personnel across multiple work portfolios, applying personnel resources to proactively engage existing mission areas more effectively.

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

What Benefits Will Be Provided to the American Public Through This Request and Why is This Program Necessary?

The FY 2021 budget request supports resource needs necessary to continue to:

- Provide for the safety of the Secretary;
- Provide national security policy engagement that ensures preparedness, mitigates the consequences of transportation sector emergencies, and supports response and recovery;
- Assure COOP/COG operations and maintaining emergency operations capabilities;
- Ensure plans, procedures, training, and exercises prepare DOT to succeed in Federal emergency preparedness, response, and recovery activities;
- Deliver timely, relevant, and expert intelligence analysis;

- Stay abreast of and responding to behavior that may be indicative of intelligence gathering or pre-operational planning related to terrorism, criminal, or other illicit intent;
- Coordinate with, support, and assist government partners and stakeholders to restore transportation infrastructure operations after all-hazards incidents; and
- Maintain a 24/7 operations center to serve as DOT's focal point for facilitating timely situational awareness relating to potential or existing all threats, all hazard events and incidents.

Detailed Justification for the Office of the Chief Information Officer

What Is This Program and What Does This Funding Level Support?

The Office of the Chief Information Officer (OCIO) provides leadership and direction on all matters associated with the Department's \$3.5 billion IT portfolio. The OCIO is the principal information technology (IT), innovation, information management, Cybersecurity, privacy, and records management advisor to the Secretary. Under the Federal Information Technology Acquisition Reform Act (FITARA), the DOT CIO is responsible for all IT planning, budgeting, acquisition, implementation and operations in the Department. The OCIO focuses on ensuring IT projects and investments are planned, administered, completed and delivered in a standardized manner across the Department.

The OCIO has responsibility for planning and oversight of IT staffing, and management and delivery of IT and innovative solutions across the Department. Through this oversight, the OCIO supports the Safety and Infrastructure strategic goals by leading in the innovative application of data and technology to achieve our safety outcomes and improve the condition of the nation's infrastructure. In support of the Innovation strategic goal, the office monitors and advises on digital transformation in the transportation sector, generally; and advises the Secretary and the Operating Administrations (OAs) on fostering innovation in the transportation system.

OCIO is leading the transformation of information technology at the Department with a focus on technology solutions that accelerate the DOT mission, and achieve accountability for results with complete transparency. The OCIO continues to lead the IT Shared Services initiative to consolidate commodity IT services.

The Shared Services initiative will address the evolving and increasing complexity of IT infrastructure and services, direct efforts to identify and eliminate duplicative spending, and strengthen accountability for programming and performance of IT expenditures. The OCIO must create and maintain an agile, reliable, innovative, and scalable IT environment; and deliver business services that align requests with the mission and overall strategic goals of DOT. In FY 2021, OCIO will continue the multi-year commodity IT consolidation.

The Salaries & Expenses (S&E) appropriation funds the following¹:

The CIO drives the use of technology to accelerate the DOT mission resulting in innovative solutions for the Department to increase Cybersecurity, leverage effective shared services, reduce duplication, increase efficiencies and enable Operating Administrations to focus on their mission.

OCIO works to accomplish the DOT mission with a focus on the following areas:

¹ In addition to S&E, the OCIO executes program operations with two other sources of funds: cost reimbursements from the Working Capital Fund (WCF) for providing Department-wide core IT operational support functions and enterprise shared services (email services, help desk support, etc.), and the Cyber Security Initiatives appropriation, which is focused on implementing security-related improvements.

- Intermodal data-driven decision making – The OCIO oversees Department data decision making bodies, enforces policies and ensures compliance with standards to improve data quality and utility. OCIO is working to build insights and visualizations to drive evidence-based policy and decision-making. As the Department continues to grow its data, it needs to organize, share, and analyze data through enterprise data management, reporting, visualization, and advanced analytics such as machine learning and artificial intelligence to discover patterns and other useful information consistent with the requirements of the Foundations for Evidence-Based Policymaking Act (P.L. 115-435).
- Cybersecurity and Information Assurance – Cybersecurity is a key focus for the OCIO. The OCIO enforces the business strategy to make targeted investments in policy, people, processes, and technology that will strengthen the Department’s ability to ensure the confidentiality, integrity, and availability of its vital data and assets. Priority Cybersecurity and information assurance activities include: incident response and situational awareness; information security continuous monitoring; independent verification and validation, and security assessment and authorization; education, training, and awareness; requirements, standards, policies, and directives. S&E expenditures in this area are in addition to expenditures under the “Cybersecurity Initiative” appropriation.
- Technology Modernization and Enterprise Service Delivery – OCIO provides leadership for the digitization and modernization of Departmental IT by managing the roadmap for systems modernization that addresses known weaknesses in Cybersecurity, reduces unnecessary duplication in systems capabilities, retires out of date systems and focuses new investments on modern technology solutions that can transform how DOT interacts with its customers and stakeholders. OCIO provides a secure and modern network infrastructure and enterprise IT services to enable programs to focus on the mission.
- Innovation – OCIO drives the Department’s implementation of modern technology to support the mission. OCIO is also working to implement modern approaches to technology, such as artificial intelligence and robotic process automation (RPA).
- IT Governance, Risk, and Compliance – OCIO works with the Office of the Chief Financial Officer and Assistant Secretary for Budget and Programs, the Office of the Senior Procurement Executive, and the Operating Administrations to ensure that the Department effectively and efficiently procures and provides lifecycle management and oversight of its IT investments, and ensure effective governance of privacy risk, records management, and other agency information.

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

FY 2020 Anticipated Accomplishments:

In FY 2020, the OCIO will make progress in following key areas:

- Continuing to consolidate the delivery of commodity information technology services and developing innovative solutions at DOT as part of the consolidated enterprise delivery of shared services;
- Continuing to lead the Department's digital transformation through consolidation of commodity IT;
- Continuing to improve the Department's Cybersecurity posture and resilience, and reducing Cybersecurity risk;
- Awarding and managing Department-wide IT contract vehicles to ensure greater consistency of technical solutions, provide more competition for modern technical solutions and reduce administrative burden;
- Improving the management of software and managing enterprise agreements; and
- Continuing to modernize the DOT information technology network and infrastructure.

What Benefits Will Be Provided to the American Public Through This Request and Why is This Program Necessary?

Innovation and efficient, modern and secure IT are crucial to enabling the Department and the transportation landscape. Innovations will help ensure secure and usable access to departmental information resources and public services consistent with end-user expectations. Enterprise IT management and oversight are necessary to ensure that the Department is making good business decisions for agency-wide budgeting, planning and execution of IT resources. An enterprise approach reinforces an IT focus on effective business outcome-driven pursuits and balances operational demands with longer term strategy. The programs and activities funded through the OCIO are necessary mission enablers that drive enhanced decision-making and risk management, and align investments to the Department's strategy.

The OCIO is responsible for enforcing strategies and solutions that strengthen the Department's ability to ensure the confidentiality, integrity, and availability of its vital data resources and other assets. The OCIO's Cybersecurity and Privacy programs address urgent and immediate threats to critical transportation-related business operations and mission systems, enable adaptation to continually evolving threats and risks, and enable integrated management and mitigation of risk.

The OCIO promotes innovation, collaboration and data sharing with the public, the transportation sector, and throughout the Department; and ensures data and information is available to the public. The OCIO will continue to focus on improving the strategy and governance for all external web properties to create mobile friendly, accessible and high value digital content for the public.

Detailed Justification for the Office of Public Affairs

What Is This Program and What Does This Funding Level Support?

The Director of Public Affairs is the principal advisor to the Secretary and other senior Department officials and the news media on public affairs questions. The Office of Public Affairs prepares news releases and supporting media materials, articles, facts sheets, briefing materials, publications, byline articles for the Secretary and other senior Department officials; oversees internal communications; and maintains a social media presence. The Office responds to news media and other inquiries and provides information to the Secretary on opinions and reactions of the public and news media on programs and transportation issues. The Office arranges news conferences for significant announcements and prepares speeches, statements, and talking points for the Secretary and other senior Department officials. The Office provides guidance to and coordinates the activities of the Department's modal public affairs offices. The Office of Public Affairs also provides Department-wide news clips every day.

The Office of Public Affairs makes information available to the public regarding the Department's efforts to enhance safety, upgrade the Nation's transportation infrastructure, capitalize on technology innovations, implement regulatory reform and will use public announcements, press releases, video, new/social media, internal communications, the internet and other means to share with the public information about developments that affect them.

The budget proposes to add eight FTEs/FTP to this office by transferring one senior FTE/FTP from each of the Operating Administrations (OA) to consolidate the work of the Office of Public Affairs in the Office of the Secretary. (Affected modes are FAA, FHWA, FMCSA, FRA, FTA, MARAD, NHTSA, and PHMSA.) These senior staff would be moved to more effectively liaison and manage the governmental affairs operations across the department. The positions would be funded through a reimbursable agreement with each of the OAs.

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

FY 2020 Anticipated Accomplishments:

The Office will continue to ensure the public and other stakeholders have access to up-to-date information about Department of Transportation (DOT) issues, including announcement of grant awards, information on public safety issues, and Departmental events.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

The Office of Public Affairs is the link to the public's right to know. The Office prepares responses to inquiries on developing issues and events and presents information to the public on Administration initiatives and stands. The office reaches out to inform the public in a variety of

ways, including through public announcements and speeches, responding to the news media, by press release and through social media.

The Office of Public Affairs is necessary to keep the American public, the news media and all interested governmental agencies informed of programs and activities. Not only is there an inherent public right to know, but public understanding and discussion is essential to accomplishing DOT goals. The public support necessary to achieve Department objectives requires an open public information program responsive to media inquiries and public interest. It must also be comprehensive and cohesive, coordinating the public affairs activities of all the Department's modal public affairs offices.

Detailed Justification for the Office of the Chief Financial Officer and Assistant Secretary for Budget and Programs

What Is This Program and What Does This Funding Level Support?

The Assistant Secretary for Budget and Programs is the principal budget and financial advisor to the Secretary and serves as Chief Financial Officer (CFO) for the Department, pursuant to 31 U.S.C. 901 (establishment of Agency Chief Financial Officers). The Office provides oversight and policy guidance for all budget, financial management, program performance, and internal control activities of the Department and its Operating Administrations(OA).

The Office provides **Departmental budget leadership** for the OAs and the Office of the Secretary (OST), and is responsible for: preparation, review, and presentation of Department budget estimates; being a liaison with the Office of Management and Budget (OMB) and Congressional Appropriations Committees; guidance and review of departmental financial plans, apportionments, reappportionments, and reprogramming; program and systems evaluation and analysis; program evaluation criteria; program resource plans; analysis and review of legislative proposals and one-time reports and studies required by Congress; and budget and financial management relating to OST. The Office develops performance measures under the Department's strategic goals, and tracks actual outcomes against those measures, pursuant to the Government Performance and Results Act (GPRA) and the GPRA Modernization Act of 2010.

The Office is responsible for **Departmental financial management leadership** for the OAs and OST. The primary duty is to uphold strong financial management and accountability while providing timely, accurate, and reliable financial information and enhancing internal controls. This is done through: prompt and precise submission of Department of Transportation's (DOT) consolidated financial statements; preparation and/or review of all deliverables for the annual financial audit; oversight of accounts payable, accounts receivable, and cash management; monitoring and reconciliation of reimbursable agreements; and oversight of the integrity of all transactions in the accounting system. The Office ensures DOT meets OMB and the Department of the Treasury's reporting requirements. The Office also manages DOT's Federal Managers Financial Integrity Act (FMFIA) program, the OMB Circular A-123 Internal Control program, Payment Recapture Audit programs, and the Improper Payments Information Act program.

Additionally, the Office develops DOT-wide financial management policy, provides strategic direction for DOT financial operations and serves as system owner to Delphi, DOT's core financial management system. The Office provides management direction and oversight to the Delphi program and the Enterprise Services Center (ESC). ESC operates as a division of the Department of Transportation located at the Federal Aviation Administration's Mike Monroney Aeronautical Center in Oklahoma City, Oklahoma. ESC operates Delphi and provides a range of accounting services and financial management information system services to DOT and six other governmental agencies. Along with Delphi, the Office serves as the system owner to CASTLE, the DOT-wide Consolidated Automated System for Time and Labor Entry. The Office also establishes Departmental travel policy and guidance, maintains DOT's Travel Credit Card Program, and oversees the travel management contract services throughout DOT.

The Office is further responsible for **oversight of the Department's credit programs**, assisting with the financial review and monitoring of DOT's credit programs and oversees and coordinates all the credit reform requirements with OMB. The CFO and Assistant Secretary for Budget and Programs serves as the Vice Chair of the Department's Council on Credit and Finance.

The Office is responsible for the functional **budget formulation and execution and financial management for the OST offices**. The Office formulates and justifies the budget requests for OST offices and programs to the Departmental Budget Office, OMB, and Congress and executes enacted appropriations. It also performs the full-range of financial management functions for the OST offices and programs, including: financial statement review; preparation and/or review of all deliverables for the annual financial audit; accounts payable and accounts receivable oversight; cash management; reimbursable agreement monitoring and reconciliation; and oversight of the integrity of all transactions in the accounting system. The Office also manages OST's FMFIA and A-123 Internal Control program, develops performance measures under the Department's strategic goals, and tracks actual outcomes against those measures.

The request includes \$400 thousand in additional funding for 1 FTE/2 FTPs for additional support with the Office's current workload and, in particular, to support the Department's efforts to improve its evidence and evaluation capacity.

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

FY 2020 Anticipated Accomplishments:

In FY 2020, the Office will provide an effective presentation of a sound and adequate budget for OST and the Department; foster effective use of resources – such as grant and formula dollars, as well as investments in innovation and research. The Office will continue to provide accurate and reliable financial information and build on its record of clean annual financial audits by enforcing financial controls

In FY 2020, OST re-assigned all resources related to the National Surface Transportation and Innovative Finance Bureau (with the exception of Highway Trust Fund dollars that are part of the larger Federal Aid account). This will allow OST to fully manage the accounting and finance operations directly for the Bureau, in line with the FAST Act provisions establishing the Bureau and directing consolidation of administrative resources.

What Benefits Will Be Provided to the American Public Through This Request and Why is This Program Necessary?

The Office of the Chief Financial Officer and Assistant Secretary for Budget and Programs establishes systems and provides guidance to ensure the effective preparation and presentation of sound budget estimates and financial management information for the Department. The Office reviews policy, program, and legislative proposals to evaluate their impact on departmental

budget resource and financial management requirements and plans and provides policy guidance and oversight of Departmental financial management personnel, programs, activities, and operations. Further, the Office is responsible for designing and implementing the financial systems required for accurate and timely financial reporting, and for establishing financial and accounting policy and programs for the Department.

Detailed Justification for the Office of the General Counsel

What Is This Program and What Does This Funding Level Support?

The General Counsel is the chief legal officer of the Department of Transportation (DOT). The Office of the General Counsel provides legal advice to the Secretary and Secretarial Offices while also providing supervision, coordination, and review of the legal work of the Chief Counsel Offices in the Department.

The Office also provides supervision, coordination, and review of the legal work of the legal offices in the operating administrations. The Office coordinates DOT's regulatory actions, legislative efforts, litigation and involvement in proceedings that are before other agencies as well as various consumer protection, operational, and international legal matters. The Office of the General Counsel provides legal support in all areas of the Department's activities, carries out aviation consumer protection activities, and it facilitates Alternative Dispute Resolution (ADR) within the Department.

The Office addresses general law matters that are common to Federal agencies, providing legal advice, counsel, and representation in the following areas: appropriations, fiscal law and financial management; acquisitions and financial assistance; credit assistance; real property, facilities, and asset management; intellectual property; employee ethical conduct and political activities; Federal labor, equal employment opportunity, disability and civil rights law; environmental law; the Freedom of Information Act (FOIA) and privacy law; and security and emergency response.

The Office provides legal support in support of aviation economic matters, including review of airport competition plans, aviation economic licensing rules. Likewise, it provides legal support for matters related to maritime law and Native American sovereignty and jurisdiction.

The Office provides legal counsel and support on complex matters involving surface transportation project finance and public-private partnerships, Federal and state law and contractual interpretation concerning project finance and public-private partnerships; provides legal advice on DOT's multibillion dollar Private Activity Bonds Program and DOT's approximately \$1 billion Nationally Significant Freight and Highway Projects Grants Program (INFRA) and provides legal advice on all aspects of complex Federal credit transactions, to ensure compliance with applicable statutes, regulations, and policies.

The Office addresses matters of international law, providing legal support for, and facilitation of, DOT's international programs in areas such as: transportation negotiations with foreign countries; international economic aviation licensing and regulatory matters; applications of airline alliances for antitrust immunity; aviation citizenship determinations; war risk insurance issues; international aviation sanctions; international maritime issues; Committee on Foreign Investment in the United States reviews; and transportation trade issues.

The Office provides advice and legal counsel regarding actual or anticipated litigation in which DOT or one of its Operating Administrations (OA) is or might become a party or has an

interest. The Office oversees all Supreme Court cases and significant appellate cases involving the Department and coordinates Department of Justice representation in such matters, supervises the preparation of all filings before independent regulatory agencies on DOT's behalf, and provides legal advice concerning litigation risk, and pre- and post-litigation policy decisions. The Office is also involved, through the filing of amicus briefs or statements of interest, in cases between private parties that implicate DOT statutes, regulations, or policies. The Office also provides advice and guidance on enforcement policy and case-specific matters.

The Office provides support to the Department's legislative activities. It ensures that DOT's legislative materials submitted to Congress adhere to Administration policy. While the various elements of legislative proposals are often prepared by other offices in DOT, this Office is responsible for assembling a coherent proposal, ensuring it meets budgetary and other requirements within DOT, obtaining clearance by the Office of Management and Budget (OMB) and other affected agencies, and preparing the transmittal package for the Secretary. The Office provides comparable support for the preparation of testimony, views and letters, including enrolled bill letters, and draft Executive Orders, Presidential Memoranda and Proclamations. In addition, the Office provides support for Departmental nominees in the form of briefing materials and responses to the Committee.

The Office provides legal guidance on administrative law and rulemaking issues affecting the Department or arising from the Department's OAs or components of the Office of the Secretary (OST) with rulemaking authority. It reviews and coordinates the clearance of all significant and non-significant rulemaking documents to ensure that they are consistent with legal requirements and Administration policy. The Office also provides economic subject matter expertise on matters related to Departmental rulemakings, including reviewing regulatory impact analyses conducted by the OAs, and, when appropriate, prepares such analyses of OST rules.

The Office is the principal liaison with OMB on rulemaking matters, and coordinates important substantive rules that affect multiple OAs. The Office plays a crucial role in implementing safe, sensible, and effective regulatory reform pursuant to Executive Orders 13771 and 13777. In doing so, the Office provides legal and logistical support to the Department's regulatory reform task force (RRTF), including facilitating RRTF meetings and working with the OAs to identify matters to be addressed by the RRTF.

The Office leads the Department's activities implementing aviation consumer protection laws. It (1) assists, educates, and protects aviation consumers by, among other things, reviewing and responding to consumer complaints about air travel, publishing the Department's monthly Air Travel Consumer Report, and ensuring the Department's website contains clear, useful information about the rights of air travelers; (2) monitors compliance, conducts investigations, and enforces as appropriate for violations of aviation consumer protection, civil rights, and licensing requirements against airlines and ticket agents; and (3) assesses the need for and drafts aviation consumer protection and civil rights regulations.

The Office provides innovative approaches to problem-solving that control the cost of conflict and produce quicker, more durable outcomes. It supports the use of ADR by DOT in areas including personnel and equal employment opportunity matters, rulemaking, adjudication, environmental planning, and litigation brought by or against DOT. It facilitates early and direct interaction among

parties by providing mediation, facilitation, and ombudsman services and provides training on dispute resolution and conflict management.

The request includes 2 FTEs/ 4 FTPs to support the Administration's priorities to ensure safety, revitalize and rebuild our critical infrastructure and enhance accountability through regulatory reform.

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

FY 2020 Anticipated Accomplishments:

- The Office will provide legal sufficiency reviews on over 100 acquisition related documents, and assist in the review and evaluation of over 1,000 financial assistance applications and over 100 financial assistance agreements. The Office also will review over 125 public financial disclosure statements and 200 confidential financial disclosure statements as well as provide an annual ethics training program to over 325 reporting individuals.
- The Office will process over 300 international work items, including safety, security, science and technology agreements, code share and other aviation licensing applications, administrative adjudication of requests for antitrust immunity, and approximately 20 rounds of international negotiations.
- The Office will provide legal advice and support in over 100 new cases; prepare 15 to 20 regulatory filings for proceedings before various independent regulatory agencies and participate in two to four hearings before such agencies; and provide advice to the OAs on numerous significant enforcement matters.
- The Office will coordinate Departmental and Administration-wide clearance of approximately 60 items of Congressional testimony by DOT witnesses, and follow-up transcript review and responses to Questions for the Record and conduct Department-wide clearance of approximately 700 policy documents (circulated by the Office of Management and Budget).
- The Office will review approximately 120 significant rulemakings and deregulatory actions. Based on these reviews, and consistent with the Department's safety mission, the Department expects to finalize at least 25 deregulatory actions. The Office will also review all significant guidance documents issued by the Department. Rulemakings reviewed by the Office in FY 2020 are anticipated to result in significant cost savings to the general public and regulated communities without affecting safety. From January 2017 through December 2019, the Department has finalized 60 deregulatory actions with net present value cost savings to the American people of over \$3.6 billion. In the Fall 2019 Unified Agenda, the Department was pursuing more deregulatory actions than any other Federal agency.

- The Office will process hundreds of FOIA requests and appeals, and continue to work towards a reduction in DOT's FOIA backlog and provide legal support for emergency response activities, including regular exercises and 8-10 annual activations of the U.S. Government's Emergency Support Function No. 1 (Transportation), led by DOT.
- The Office will draft and negotiate approximately 25 grant agreements under the SCASDP, and address legal issues as they arise from the administration of about 100 active SCASDP grants. The Office will handle between 150 and 250 items involving carrier economic authority received by DOT and approximately 50 major environmental documents.
- The Office will review thousands of aviation consumer complaints within two days of receipt by DOT; maintain a median investigation time of 150 days for civil rights complaints (disability and other discrimination); and conduct investigations of U.S. and foreign air carriers regarding compliance with consumer protection and civil rights requirements. In addition, the Office will assess existing aviation consumer protection and civil rights regulations to determine whether they should be repealed, replaced, suspended, modified or enhanced and provide air travelers with useful information on a broad range of issues affecting air travelers.
- The Office will review approximately 15 new loan applications and negotiate new loan agreements and review and resolve approximately 60 ongoing project issues, which will involve loan modifications and other legal actions.
- The Office will provide conflict management-related training skills training to nearly 200 DOT and provide coaching and mediation of 25 two-party cases and two large group cases.

What Benefits Will Be Provided to the American Public Through This Request and Why is the Program Necessary?

The Office of the General Counsel provides benefits to the American public by:

- Providing legal support to DOT program offices in their preparation of rules that will meet substantive, procedural, and Administration policy requirements.
- Re-evaluating regulations to reduce unnecessary burden without reducing safety: from January 2017 through August 2019, through the work of the Office, the OAs, and the RRTF, the Department has finalized 52 deregulatory actions with net present value cost savings to the American people of nearly \$3 billion, while remaining consistent with the high standards of the world's safest transportation system. In the Spring 2019 Unified Agenda, the Department was pursuing nearly twice as many deregulatory actions as any other Federal agency and the Department's share of deregulatory actions accounted for more than one-fifth of the entire Federal government's deregulatory pipeline.
- Reviewing and handling thousands of aviation consumer complaints and civil rights complaints (disability and other discrimination).

- Conducting on-site and other investigations of U.S. and foreign air carriers regarding compliance with consumer protection requirements.
- Continuing to implement a 10 percent reduction in DOT's FOIA backlog.
- Providing advice and legal counsel regarding actual or anticipated litigation and administrative proceedings in which DOT or one of its OA is or might become a party or has an interest.
- Providing legal support for and facilitation of DOT's international programs.
- Providing legal support on a broad range of operational issues related to DOT's programs and strategic objectives.

Detailed Justification for the Office of the Assistant Secretary for Governmental Affairs

What Is This Program and What Does This Funding Level Support?

The Office of Governmental Affairs serves as the liaison between the Department of Transportation (DOT) and Congress and State, local, and tribal governmental entities. The Office works with other offices within the Department to ensure that Congressional mandates are fully implemented by the Department. It also works with the White House, other Federal agencies, and Congress in order to fulfill the Secretary's and Administration's legislative priorities. This includes, among other things, working with Congress on Departmental priorities and working on significant legislation. In addition, the Office works with the Operating Administrations (OA) to coordinate Congressional outreach activities related to Secretarial initiatives and programs.

Another key function of the Office of Governmental Affairs is to guide political Departmental appointees that require confirmation by the Senate through the Senate confirmation process. This requires working closely with the White House and relevant Senate Committees throughout the various steps of the confirmation process.

An Office of Self-Governance (OSG) will continue to oversee the implementation of Tribal transportation self-governance legislation and authorities within the DOT pursuant to 23 USC 207 and selected provisions of the Indian Self-Determination and Education Assistance Act (ISDEAA), Public Law 93-638. The OSG will serve as a national program providing information, technical assistance, and policy coordination in support of DOT's self-governance activities. This office will act as the Agency Lead Negotiators (ALNs) to represent the Secretary and the DAS for Tribal Affairs during negotiations with eligible Tribes. The ALNs will provide Tribes with self-governance information, assist Tribes in self-governance planning, coordinate meetings between the Tribe and DOT during the negotiation process, and coordinate DOT's response to Tribal questions. The ALNs also will assist Operating Administrations with negotiating program-specific addenda to funding agreements.

The ALN role requires detailed knowledge of DOT formula, discretionary and competitive grant programs, awareness of current policy and practice, and understanding of the rights and authorities available to a Tribe under 23 U.S.C. 207 and incorporated provisions of the ISDEAA. In most instances, ALNs will perform negotiation duties in addition to functions related to the implementation of the self-governance program, such as finance and accounting, program analysis, and management. As necessary, ALNs will receive assistance from other OST and OA staff, the Office of the General Counsel, and the Office of the Assistant Secretary of Transportation for Policy prior to and during negotiations.

Such assistance may include:

- Reviewing eligibility requirements for Tribes to participate in the TTSGP and making recommendations about the Secretary's discretionary decisions relative to eligibility determinations for Tribes that do not conclusively demonstrate eligibility;

- Drafting and reviewing self-governance documents (letters of interest, requests for technical assistance, draft compacts, draft funding agreements, and addenda and amendments thereto; responses to final offers, etc.);
- Developing and recommending policies, administrative procedures, and guidelines for the DOT TTSGP and advising DOT senior leadership on TTSGP actions and activities;
- Identifying DOT concerns for resolution;
- Providing advice on compliance with statutory requirements;
- Responding to requests for waivers of regulatory requirements;
- Responding to requests for access to Federal sources of supply; property donation;
- Reviewing audits and other reports to determine whether there are questioned or disallowed costs;
- Collaborating with Tribal and Federal partners to address crosscutting issues and processes, including budget formulation; self-determination issues; Tribal shares methodologies (as appropriate); resolution of audit findings; project delivery; and emergency preparedness, response and security; and
- Developing, publishing, and presenting information related to the TTSGP to Tribes, Tribal Organizations, state and local governmental agencies, and other interested parties, including leading TTSGP training within the Department and for stakeholders.

The budget proposes to add nine FTEs/FTP to this office by transferring one senior FTE/FTP from each of the Operating Administrations (OA) to consolidate the work of Governmental Affairs in the Office of the Secretary. (Affected modes are FAA, FHWA, FMCSA, FRA, FTA, MARAD, NHTSA, PHMSA, and the SLSDC.) These senior staff would be moved to more effectively liaison and manage the governmental affairs operations across the department. The positions would be funded through a reimbursable agreement with each of the OAs.

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

FY 2020 Anticipated Accomplishments:

In FY 2020, the Office will provide responsive and timely assistance in several key areas, with the Office's core constituencies, which include Governors' offices, State Departments of Transportation, State Legislators, County Officials, City Mayors, City and County Chambers of Commerce and Metropolitan Planning Organizations. Those key areas include: meeting requests with the Secretary and Senior Leadership of the Department; information and access to expert assistance on grant applications; and information and access to expert assistance on modal concerns.

The Office will also proactively convey core Departmental values and advocate on behalf of Departmental objectives to influential state organizations such as NGA and AASHTO. Finally, the Office will provide the Secretary and Senior Leadership in the Department strategic advice on issues of concern affecting states and localities.

What Benefits Will Be Provided to the American Public Through This Request and Why is This Program Necessary?

The Office of Governmental Affairs works with the White House, other Federal agencies and Congress to fulfill the Secretary's and Administration's legislative priorities. The Office is a cornerstone to ensuring the Department's cohesive approach to legislative bodies that represent the interests of the American public.

Detailed Justification for the Office of the Assistant Secretary for Administration

What Is This Program and What Does This Funding Level Support?

The Assistant Secretary for Administration serves as the policy and operations leader and principal advisor to the Secretary and Deputy Secretary on Department-wide and Office of the Secretary of Transportation (OST) administrative functions. This includes developing, coordinating, and implementing programs for the strategic management of human capital; real and personal property assets; facilities operations, information services; business support; security; acquisitions and grants management. Additionally, responsibilities include the follow-up and resolution of Government Accountability Office and Inspector General audit reviews of Department programs, including preparation of required reports; and other management-related initiatives.

In addition, the Assistant Secretary serves as the Chief Human Capital Officer (CHCO), the Deputy Chief Acquisition Officer, and the Chief Sustainability Officer (CSO). As CHCO, the Office is responsible for developing, coordinating and implementing Department-wide policy and programs with oversight in all areas of human capital management, including: employment and staffing, recruitment, human resource (HR) systems, compensation, benefits, executive and political resources, succession planning, labor and employee relations, workforce quality (e.g., work-life and special programs, disability resources support, drug testing) workforce development and learning, competency management, performance management, and diversity in accordance with applicable laws, regulations, and best business practices. The CHCO or Deputy CHCO also represents DOT on interagency committees and task forces in areas related to Departmental HR management and liaison with other agencies, including the White House, Congress, the Office of Management and Budget, the Office of Personnel Management, and other Federal agencies.

As Deputy Chief Acquisition Officer, the Office formulates Departmental policy, controls, and standards to implement new and innovative legislature and federal policy (e.g. serves as Senior Accountable Official for implementation of Category Management and as co-Program Management Improvement Officer responsible for implementation of the Program Management Improvement and Accountability Act (PMIAA, 2016). The Assistant Secretary also has delegated authority to ensure that procurement and financial assistance programs are in accord with applicable laws, regulations, and best business practices and to exercise procurement authority on behalf of the Office of the Secretary. As the Chief Sustainability Officer, the Office leads the Department's energy and resources efficiency, including implementation of energy and environmental laws and executive orders. Further, the Office provides policy and oversight to ensure compliance with applicable laws, promote standards, and gain efficiencies across the Department's real and personal property assets.

The Assistant Secretary is designated as the senior agency official for the Department's Classified National Security Information program, charged with providing oversight and direction of the program while ensuring the safety, security, and protection of DOT personnel, information, facilities, and other assets. In addition, the Office is responsible for establishing and maintaining uniform Federal Government standards for Federal agencies transportation fringe benefit programs.

The Office of the Assistant Secretary for Administration is requesting one FTE and two FTP in FY 2021 for additional support with the Office's current workload. In addition, \$1.5 million is requested to support costs related to the purchase of the DOT Headquarters facility (with anticipated DOT delegated authority becoming effective in October 2021), including property management services to maintain and operate the facility. These services may cover things like building maintenance, custodial, elevators, and landscaping.

The funding requested also supports GSA rental expenses for all OST Offices (broken out in the table that follows).

Rental Locations	FY 2020 Rental Payments	FY 2021 Rental Payments	Net Increase/Decrease
Southeast Federal Center, WDC	\$ 10,420,123	10,813,092	\$ 392,969
Des Plaines, IL	\$ 78,857	9,749	\$ (69,108)
Operations and Maintenance	\$ 25,239	25,239	\$ -
Total:	\$ 10,524,219	10,848,080	\$ 323,861

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

FY 2020 Anticipated Accomplishments:

The Departmental Office of Human Resource Management's focus will be on integrating and aligning human capital initiatives with the Department's strategic goals, creating efficiencies by reducing redundant activities and implementing shared services for key HR functional areas, closing competency gaps in the Department's mission critical occupations, and ensuring the timely hiring of quality candidates. The Office will maintain and institutionalize ongoing Human Capital programs while integrating Human Capital practices, technologies, and programs to contribute to organizational mission accomplishment. It also will continue to play a key role in addressing issues identified in the Annual Federal Employee Viewpoint Survey to strengthen employee engagement throughout DOT.

In addition, the Departmental Office of Human Resources will:

- Provide Departmental oversight and executive guidance to enhance efficiencies with the Working Capital Fund Shared Services initiatives, which include consolidation of human resource activities from nine Operating Administrations (OA) to centers of excellence. The implementation of standardized practices in all Operating Administrations (except FAA and OIG) in the human resource areas of classification, staffing, and processing will result in increased consistency and efficiency, and lead to

better customer service and expedited hiring. Additional HR areas, including Benefits, will be evaluated for consolidation to further enhance the customer experience by providing seamless and timely customer service.

- Evaluate and monitor the revised performance management program that ensures employee performance deficiencies are addressed, and action is taken in a timely manner as outlined in the updated 2020 DOT Human Capital Operating Plan. Continue to track and report on activities taken to address poor performers Department-wide. Continue to foster a performance culture where DOT's Operating Administrations have performance appraisal and award systems that are linked to agency mission, goals and outcomes; where fairness and equity is the perception of employees;

The Office of the Senior Procurement Executive (OSPE) will continue to provide expert advice and direction to the OAs, ensuring that taxpayer dollars achieve the performance outcomes required to accomplish DOT's mission while emphasizing performance, integrity and public policy requirements. The OSPE will also develop and execute strategies to implement the President's Management Agenda (PMA) related to acquisition and financial assistance. Specific areas of OSPE focus will include the following:

- Identifying additional opportunities for shared services; and developing, and executing strategic plans for shared services implementation; to include overseeing and managing the Working Capital Fund pilot **IT Acquisition Center of Excellence (ACE)** to align with DOT's vision for shared services that reduces overall IT operating costs through standardization and enterprise approaches, minimizing duplication, ensuring stronger alignment with DOT level mission needs, and improving operational efficiencies through better planning and process automation, evaluating performance under the pilot program and pursue expansion to all OAs; and implementing **category management initiatives**.
- Creating and implementing a long-term initiative to better shape the workforce and re-balance the entry, mid and senior level employees; to include program/project management through implementation of **PMIAA**, and **Warriors to DOT** initiatives).
- Managing Departmental procurement and financial assistance award reporting ensuring compliance with OMB and **Data Act** requirements and leveraging best practices robust data management strategies, processes, and tools to ensure DOT's acquisition and financial assistance award data are reliable, accurate, current and complete; to include **Federal Integrated Acquisition Environment and System for Award Management** and **DP2**.

The Assistant Secretary for Administration performs the critical functions of maintaining and institutionalizing new and on-going Human Capital programs while integrating Human Capital practices, reforms, technologies, and programs; providing expert advice and direction to OAs to ensure that taxpayer dollars are efficiently spent through DOT's acquisition and grants business processes to achieve the performance outcomes required to accomplish DOT's mission; securing DOT by protecting information and other assets through vigilance and innovative technologies; leading Federal Transit Benefit Practice Groups in the development of uniformed standards to

support agency transit pass and benefit programs; and funding centralized OST payments to the WCF and rental expenses to GSA.

What Benefits Will Be Provided to the American Public Through This Request and Why is the Program Necessary?

The Office of the Senior Procurement Executive (OSPE) serves as a focal point for accountability as it relates to OA procurement performance and departmental guidance on grants, cooperative agreements, loans, and other transactions. Programs such as procurement management reviews (PMRs) and improving federal program management are key to achieving efficiencies and delivering value to the traveling public. The department's efforts to move common requirements into a managed spend status will result in fiscal and programmatic efficiencies. Procurement and financial assistance oversight and improved program management serve as enforcement tools that allow the OSPE to measure OA efforts that will result in significant savings to the department. This on-going oversight is designed to ensure Operating Administration program offices are executing their contracts as planned without significant deviation from OSPE approved acquisition plans. The goal of both the PMR and improvement of program management is cost containment and more efficient and effective delivery of goods and services in both the strategic and operational phases of a department procurement.

Another initiative of OSPE is the updating of outdated procurement and financial assistance regulations and instituting a routine process to ensure regulations and guidance are as current as possible. This falls in line with the administration's efforts to reduce unnecessary regulations and practices to provide efficiencies in both the procurement and financial assistance processes within the Department. OSPE programs align with the DOT Strategic Plan's objectives of improving the performance of both procurement and financial assistance systems, accelerated movement toward IT Acquisition Shared Services, and Acquisition Workforce Development.

The Departmental Office of Human Resource Management (DOHRM) provides HR leadership, policy, strategic planning, and consultative services for all DOT managers and employees and will provide information about DOT's workforce and employment opportunities to the public.

DOHRM will continue efforts in ensuring the traveling public remains safe through recruiting, hiring and retaining sufficient safety oriented specialists, including engineers, analysts, and safety inspection personnel. DOHRM will also continue to ensure the drug and alcohol testing program for DOT which includes random, reasonable suspicion, pre-appointment/employment, post-accident and other drug and alcohol tests are performed at least annually. Both of these efforts are integral to maintain the public's access to safe, reliable transportation. DOHRM will remain engaged in several Office of Personnel Management initiatives to enhance workforce planning and development within DOT and across the federal government. Some of these initiatives include hiring process and legislative review teams, performance management and recognition workgroups, Cybersecurity Workforce Act Group, and the Community Solutions Program. These efforts contribute to the increased effectiveness and efficiency in providing HR support to the Department and convey to government-wide efforts as well.

The Office of the Assistant Secretary will implement targeted initiatives in the areas of building energy and vehicle fleet management. The Energy and Resource Efficiency Program will lead engagement with each Operating Administration to achieve reductions in energy, water use and to reduce costs through operational efficiencies across the Department's 31 million square feet of building assets. These initiatives will enhance operational resilience and, strengthen the Department's ability to carry out its mission. The Office will continue to provide policy and oversight across the Department's 6,000 vehicles, with a continued focus toward 'right sizing' the fleet. Departmental fleet policy will be updated to reflect process improvements and procedures to better evaluate and document the business purpose and need for Operating Administration vehicles. This careful stewardship and evaluation of building energy and vehicle utilization, will optimize DOT's ability to focus resources toward critical mission requirements that impact citizens on a daily basis.

The Office will research, analyze, and draft security policy to ensure DOT compliance with government regulations and standards in the areas of safety, security, and protection of DOT personnel, information, facilities, and other assets. The Office will focus on the implementation of the Controlled Unclassified Information (CUI) order as required by EO 13556 and 32 CFR 2002. Additionally, it is anticipated, that a number of existing DOT policies will be updated to ensure compliance with current regulations and standards.

In addition to drafting new policies and updating current policies, the Office will continue to participate in multiple policy boards, advisory committees, and implementation working groups. These actions will help assure the American Public that DOT personnel, property, and information is protected from external and internal threats.

The Office will also continue to serve on the DOT Emergency Response Team and coordinate M participation in National Level Exercise (NLE)/Eagle Horizon annual exercises. It will support DOT devolution planning in preparation for the NLE 2020 functional exercise and will develop and implement a new Continuity Plan that identifies office-wide essential functions and continuity capabilities, and aligns with the DOT Continuity Plan. The Office will pursue improvements that strengthen its capability to provide essential support functions to DOT under all circumstances.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
SALARIES AND EXPENSES SUMMARY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$115,490	441
Adjustments to Base		0
Annualization of January 2020 Pay Raise	\$1,303	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	-\$310	
January 2021 Pay Raise	\$1,181	
GSA Rent	\$219	
Working Capital Fund and FECA Changes	\$3,002	
FERS Changes	\$3,001	
Award Changes	\$1,254	
Inflation and Other Adjustments	-\$865	
Subtotal Adjustments to Base	\$8,783	0
FY 2021 Baseline Estimate	\$124,274	441
Program Changes (+/-):	\$3,100	32
FY 2021 Request	\$127,374	473

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
FINANCIAL MANAGEMENT CAPITAL
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>FUNDING LEVELS</u>	<u>FY 2019 Actual</u>	<u>FY 2020 Enacted</u>	<u>FY 2021 Request</u>
Personnel Compensation and Benefits	\$ -	\$ -	\$ -
Travel	-	-	-
Other Costs	-	-	-
Programs	2,000	2,000	2,000
TOTAL	\$ 2,000	\$ 2,000	\$ 2,000

STAFFING

Direct FTEs	0	0	0
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Appropriations Language**FINANCIAL MANAGEMENT CAPITAL**

For necessary expenses for upgrading and enhancing the Department of Transportation's financial systems and re-engineering business processes, \$2,000,000 to remain available through September 30, [2021]2023 .

Program and Performance Statement

This appropriation provides funds to support projects that modernize DOT's financial systems and business processes to comply with key financial management initiatives. These funds will assist DOT in increasing data quality, ensuring compliance with financial data standards and reporting, execution of DATA Act requirements, and other critical needs that may arise.

Detailed Justification for Financial Management Capital

What Is This Program and What Does This Funding Level Support?

The Department of Transportation (DOT) has been providing financial management services across DOT Operating Administrations (OA) and several non-DOT agencies since 2005. The Financial Management Capital (FMC) account supports projects that modernize DOT's financial systems and business processes to comply with key financial management initiatives. These initiatives are led by the Chief Financial Officer and Assistant Secretary for Budget and Programs in coordination with the Office of the Senior Procurement Executive and the Chief Information Officer and include participation from each OA to ensure coordination on each project.

In addition to complying with government-wide reporting requirements, many initiatives will better position DOT and its customers to comply with Federal laws, regulations and standards, including the following:

- Digital Accountability and Transparency Act (DATA Act);
- Federal Financial Management Improvement Act;
- Federal Managers' Financial Integrity Act;
- Federal Information Security Management Act;
- OMB, Treasury, and other government-wide requirements; and
- Government Accountability Office standards for internal controls in the Federal Government.

In FY 2021, DOT plans to use FMC funds to continue execution of requirements related to DATA Act compliance and full implementation of G-Invoicing to include data standardization initiatives. In addition, these funds will be used to support other critical changes to DOT practices, including system upgrades, to address any changing requirements in the area of financial management.

The budget request includes \$2 million to support: Department-wide implementation of G-Invoicing – the Department of the Treasury's online portal for Intragovernmental Transactions in which agencies arrange and negotiate information electronically common to all Federal agencies; DATA Act compliance requirements, including efforts to increase data quality and to address future DATA Act Information Model Schema (DAIMS) requirements; and Government-wide data standardization efforts which necessitate modifications to DOT financial management and procurement system interfaces to implement CAP Goal 8 (Results-Oriented Accountability for Grants).

OMB and Treasury directives continually seek to enhance Federal spending transparency, leading to increased reporting requirements, which will necessitate further improvements to processes and enhancements to our systems. Since initial deployment, there have already been five release updates to Treasury's DATA Act architecture. It is expected that Treasury will continue making updates at this pace, and to continue issuing new mandates, all of which will require increased agility in our financial management processes and financial feeder systems. FMC funding helps provide DOT the support needed to respond to these mandates.

As other critical financial management issues arise, DOT will also use this account to support efforts towards overall efficiency and effectiveness across the Department's financial management.

FY 2020 Anticipated Accomplishments:

- DOT will continue to evaluate process and system changes and develop a change management strategy to accomplish department-wide implementation of G-Invoicing. This change management strategy will include significant business process re-engineering efforts as well as end user training for full adoption of the G-Invoicing system and additional vendor integration solutions.
- DOT will complete data quality improvements through an assessment of existing business processes to identify opportunities to reduce reporting inconsistencies and provide greater transparency. In addition, DOT will formalize policies and procedures related to the quarterly certification of the DATA Act submission.
- DOT will procure and fully implement an Enterprise Content Management (ECM) solution that enables the Department to electronically manage over 7 million sensitive financial, procurement, and other documents that are currently stored on non-supported software and/or in paper form stored in physical locations on-site. DOT anticipates migrating over two million documents to ECM by the end of FY 2020.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

The FY 2021 funding will allow for continued enhancements to existing systems, and improved data quality and standardization in accordance with evolving DATA Act requirements and the President's Management Agenda priorities. Maintaining alignment with these important initiatives provides a more accurate picture for the American public to see how the DOT is spending their tax funds via www.usaspending.gov.

Compliance with Treasury's G-Invoicing mandate will lead to improvements in overall management of intergovernmental agreements. This standardization of processes across the entire federal government will be more efficient for DOT which will in turn reduce cost. It will also improve the visibility to the American taxpayer (via www.usaspending.gov) as they will be able to better track funds when they are used for multi-agency programs and shared services via these intergovernmental agreements.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
FINANCIAL MANAGEMENT CAPITAL
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$2,000	0
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$0	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	\$0	
January 2021 Pay Raise	\$0	
GSA Rent	\$0	
Working Capital Fund Changes	\$0	
FERS Changes	\$0	
Award Changes	\$0	
Inflation and Other Adjustments	\$0	
Subtotal Adjustments to Base	\$0	
FY 2021 Baseline Estimate	\$2,000	0
Program Changes (+/-):	\$0	0
FY 2021 Request	\$2,000	0

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
OFFICE OF CIVIL RIGHTS
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	\$ 6,890	\$ 7,202	\$ 7,454
Travel	50	50	50
Other Costs	2,530	2,218	2,096
Programs	-	-	-
TOTAL	\$ 9,470	\$ 9,470	\$ 9,600

STAFFING

Direct FTE	36	45	50
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Appropriations Language**OFFICE OF CIVIL RIGHTS**

For necessary expenses of the Office of Civil Rights, [\$9,470,000]\$9,600,000 .

Program and Performance Statement

The Office of Civil Rights provides Department-wide leadership for all civil rights activities, including employment opportunity and enforcement of laws and regulations that prohibit discrimination in the financing and operation of transportation programs with Federal resources. The Office also is responsible for non-discrimination policy development, analysis, coordination and compliance, and promotes an organizational culture that values workforce diversity, and handles all civil rights cases related to Department of Transportation employees.

Detailed Justification for the Office of Civil Rights

What Is This Program and What Does This Funding Level Support?

The Departmental Office of Civil Rights (DOCR) is responsible for advising the Secretary and Departmental leadership on issues of equity, diversity, and inclusion in its workforce and activities. Further, it supports the Department's Operating Administrations (OA) to achieve proactive compliance with laws and regulations that prohibit discrimination in Federally-operated and assisted transportation programs.

DOCR provides oversight, guidance, and services to resolve complaints of discrimination in Federally-funded activities, compliance reviews, Equal Employment Opportunity (EEO) compliance oversight and reviews, alternative dispute resolutions, final agency decision-writing, disadvantaged business enterprise certification appeals, internal and external policy development, education, training, and quality control. DOCR also provides its civil rights partners and stakeholders with business operations and information technology services that enable them to make informed and timely civil rights decisions. Major statutes that DOCR enforces include: Titles VI and VII of the Civil Rights Act of 1964, as amended; Sections 501 and 504 of the Rehabilitation Act of 1973, as amended; Title II of the Americans with Disabilities Act (ADA) of 1990; the Equal Pay Act of 1963; the Age Discrimination in Employment Act of 1967; and the Genetic Information Nondiscrimination Act of 2008.

Personnel in DOCR headquarters in Washington, D.C., provide leadership, policy guidance, enforcement support, and training and education services to the Office of the Secretary (OST) and to the Department's OAs, which have personnel throughout the country who partner with DOCR to ensure a strong and effective civil rights program.

DOT's organizational structure is aligned with Federal and Departmental civil rights strategies and designed to support the organization's ability to: (1) foster a positive civil rights climate at DOT and within the transportation community; (2) educate and train DOT personnel, recipients of Federal financial assistance and civil rights stakeholders regarding their rights and responsibilities under Federal civil rights laws; (3) identify, investigate, and redress instances or patterns of discrimination; (4) administer civil rights services in a timely, efficient and cost effective manner; and (5) provide effective outreach and engagement programs to ensure equal and timely access to DOT programs and services for all stakeholders.

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

FY 2020 Anticipated Accomplishments:

- Assist DOT's modal civil rights officials in carrying out DOT's Section 504, ADA, Disadvantaged Business Education (DBE), Title VI and Title VII, and other civil rights programs in a streamlined and efficient manner;

- Enhance DOOCR’s educational, training and public-facing information for leaders, advocates and community organizations to maximize awareness regarding accessible and equitable transportation services, to reduce any subsequent issues that might arise as a result of complaints based on Title VI, Rehabilitation Act, ADA, DBE and other civil rights programs;
- Provide oversight and technical assistance in the implementation of the new DOT Title VI order, ensuring that projects and activities financed by DOT successfully provide equal access regardless of race, color, or national origin;
- Provide oversight and technical assistance over DOT’s anti-harassment program, to promote compliance with DOT’s policy prohibiting harassment in the workplace to attract, develop, and retain employees who have the capabilities and competencies to help the Department achieve its goals;
- Pursuant to Section 501 of the Rehabilitation Act, assist DOT and the OAs meet hiring goals to employ individuals with disabilities and update DOT’s reasonable accommodations policy; and
- Enhance DOT’s current internal EEO training curricula, to more effectively target issues and trends in internal EEO complaints.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

DOOCR ensures that the benefits of transportation projects and other related activities are accessible to all segments of the American public. DOOCR, OST and the OAs enforce laws and regulations that prohibit discrimination in employment and the provision of services. DOOCR is responsible for providing leadership to ensure that DOT does not discriminate against its employees or applicants for employment Nationwide, and that DOT conducts programs supporting a general public free of discrimination. In summary, the Office is responsible for appropriate monitoring of internal activities, collaboration, and oversight of OAs to ensure that recipients of Federal transportation funds are compliant in the conduct of their programs, services and activities, and to reduce the burden of compliance with these laws and regulations on recipients.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
OFFICE OF CIVIL RIGHTS
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$9,470	45
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$65	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	-\$28	
January 2021 Pay Raise	\$53	
GSA Rent	\$0	
Working Capital Fund Changes	\$214	
FERS Changes	\$56	
Award Changes	\$99	
Inflation and Other Adjustments	-\$329	
Subtotal Adjustments to Base	\$130	
FY 2021 Baseline Estimate	\$9,600	45
Program Changes (+/-):	\$0	5
FY 2021 Request	\$9,600	50

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
SMALL AND DISADVANTAGED BUSINESS UTILIZATION
AND OUTREACH
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>FUNDING LEVELS</u>	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Personnel Compensation and Benefits	\$ 1,490	\$ 1,620	\$ 2,029
Travel	20	20	20
Other Costs	1,979	3,007	2,665
Programs	-	-	-
TOTAL	\$ 3,488	\$ 4,646	\$ 4,714

STAFFING

Direct FTE	11	12	12
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Appropriations Language**SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH**

For necessary expenses for small and disadvantaged business utilization and outreach activities [\$4,646,000] \$4,714,000 , to remain available until September 30, [2021]2022 : *Provided* , That notwithstanding 49 U.S.C. 332, these funds may be used for business opportunities related to any mode of transportation: *Provided further*, That appropriations made available under this heading shall be available for any purpose consistent with prior year appropriations that were made available under the heading "Minority Business Resource Center Program".

Program and Performance Statement

This appropriation includes funding for the Office of Small and Disadvantaged Business Utilization to ensure that: 1) the small and disadvantaged business policies and programs of the Secretary of Transportation are developed and implemented throughout the Department in a fair, efficient, and effective manner; and 2) effective outreach activities are in place to assist small businesses owned and controlled by socially and economically disadvantaged individuals, small businesses owned and controlled by women, small businesses owned and controlled by service disabled-veterans, Native American small business concerns, and qualified Historically Underutilized Business Zone (HUB Zone) small businesses concerned with securing Department of Transportation contracting and subcontracting opportunities.

Detailed Justification for the Small and Disadvantaged Business Utilization and Outreach

What Is This Program and What Does This Funding Level Support?

The Office of Small and Disadvantaged Business Utilization (OSDBU) carries out the Department of Transportation's (DOT) statutory responsibility to ensure procurement opportunities for small businesses, small disadvantaged businesses, women-owned small businesses, Historically Under-utilized Business Zones (HUBZone) businesses, and service-disabled Veteran-owned small businesses. Public Law 95-507 requires every Federal agency to have this office and to implement legal requirements on behalf of small businesses, in accordance with Sections 8, 15, and 31 of the Small Business Act.

The Office ensures that small businesses are provided maximum practicable opportunities to participate in the agency's contracting process. The responsibility of OSDBU is to ensure that small businesses are treated fairly and have an opportunity to compete and perform in the agency's contracting and subcontracting opportunities. Additionally, DOT's OSDBU provides financial and technical assistance.

OSDBU provides the small business community training, counseling and procurement assistance for transportation-related contracts. OSDBU ensures that small businesses have an equitable opportunity to participate in DOT's direct procurement and Federal financial assistance programs.

OSDBU administers DOT's Small Business Transportation Resource Center (SBTRC) program. The SBTRCs provide a delivery system of business training and counseling, technical assistance, and the dissemination of information to transportation-related small business concerns, including Disadvantaged Business Enterprise (DBE) firms within their regions. The SBTRCs are established regionally through cooperative agreements with 501 (c)(3) and (6) organizations. These partnerships create a delivery system that targets small businesses, including DBEs, enabling them to become competitive in the government procurement marketplace.

The SBTRCs help prepare small businesses to compete for transportation-related contracts and help DOT implement DOT's Bonding Education Program (BEP). The BEP assists small businesses in obtaining bonds or increasing their existing bonding levels that can help them qualify to participate on transportation projects. The FY 2021 budget will utilize the requested funds to continue the program at the current level of support provided to stakeholders assisted by the SBTRC program and fully fund existing SBTRCs.

The FY 2021 budget request also includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

FY 2020 Anticipated Accomplishments:

In FY 2020, OSDBU will continue to focus on effective outreach activities to increase small business participation in DOT procurements. Specifically, OSDBU will:

- Collaborate with other Federal agencies to increase small business participation in the Federal marketplace;
- Sponsor DOT events to ensure that small businesses are prepared to compete and perform for DOT contracts and subcontracts;
- Promote and develop small business subcontractors by providing developmental assistance designed to help these businesses succeed on bidding for infrastructure projects;
- Maintain the DOT Procurement Opportunity Forecast to assist small business market their products and services to the Department;
- Conduct monthly Small Business Specialist Training sessions to communicate rules and regulations that impact small business contracting; and
- Continue to ensure small and disadvantaged businesses are provided with the education and resources needed to successfully compete for and participate on transportation related contracts.

What Benefits Will Be Provided to The American Public Through This Request and Why Is This Program Necessary?

OSDBU will provide technical assistance to small businesses to help them grow their Businesses, which is a major contributor to the overall economy by facilitating job Creation associated with infrastructure projects. Small businesses do not always stay small; some grow into large businesses often remaining in the community in which the business was first established. Having an established business in a community can help provide employment and stimulate the local economy.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
SMALL AND DISADVANTAGED BUSINESS UTILIZATION
AND OUTREACH
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$4,646	11.5
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$19	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	-\$6	
January 2021 Pay Raise	\$27	
GSA Rent	\$0	
Working Capital Fund Changes	\$8	
FERS Changes	\$34	
Award Changes	\$19	
Inflation and Other Adjustments	-\$32	
Subtotal Adjustments to Base	\$68	
FY 2021 Baseline Estimate	\$4,714	11.5
Program Changes (+/-):	\$0	0.0
FY 2021 Request	\$4,714	11.5

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
TRANSPORTATION PLANNING, RESEARCH AND DEVELOPMENT
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	\$ 6,570	\$ 6,387	\$ 7,705
Travel	174	174	175
Other Costs	1,135	4,318	1,469
Programs	-	-	-
TOTAL	\$ 7,879	\$ 10,879	\$ 9,350

STAFFING

Direct FTE	33	37	39
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Appropriations Language**TRANSPORTATION, PLANNING, RESEARCH AND DEVELOPMENT**

For necessary expenses for conducting transportation planning, research, systems development, development activities, and making grants, [\$10,879,000]\$9,350,000, to remain available until expended: *Provided*, That of such amount, [\$1,000,000]\$1,500,000 shall be for necessary expenses for the Interagency Infrastructure Permitting Improvement Center (IIPIC): *Provided further*, That there may be transferred to this appropriation, to remain available until expended, amounts transferred from other Federal agencies for expenses incurred under this heading for IIPIC activities not related to transportation infrastructure: *Provided further*, That the tools and analysis developed by the IIPIC shall be available to other Federal agencies for the permitting and review of major infrastructure projects not related to transportation only to the extent that other Federal agencies provide funding to the Department as provided for under the previous proviso.

Program and Performance Statement

This appropriation finances research and studies concerned with planning, analysis, and information development needed to support the Secretary's responsibilities in the formulation of National transportation policies and the coordination of National level transportation planning. Funding also supports Departmental leadership in areas such as economic impacts, deregulation, safety impacts of transportation, aviation economic policy, and international transportation issues. The program activities include contracts with other Federal agencies, educational institutions, non-profit research organizations, and private firms. This appropriation also finances the Interagency Infrastructure Permitting Improvement Center, including an online database Permitting Dashboard, to support permitting/environmental review reforms to improve interagency coordination, and make the process for Federal approval for major infrastructure projects more efficient.

Detailed Justification for Transportation Planning, Research and Development

What Is This Program and What Does This Funding Level Support?

The Transportation Planning, Research and Development (TPR&D) program within the Office of the Under Secretary of Transportation for Policy supports the Secretary's responsibilities in implementing the Department's multimodal programs, formulating national and international transportation policies, and supporting Administration initiatives in which transportation plays a critical role.

In FY 2021, TPR&D will coordinate National, international, and multimodal transportation issues, analyze safety data and the value of transportation safety improvements, and study how to increase the economic efficiency of transportation. In addition, TPR&D will support regulatory modernization associated with environmental review and permitting, continue actions to further enable the safe testing and deployment of automated vehicles (AV) in our Nation's transportation systems, and work to advance non-traditional and emerging transportation (NETT) technologies.

TPR&D research, analysis, and project development serve a variety of functions, including providing data and assessment tools necessary to determine how key programs, and transportation communities, are performing, and supporting Departmental priorities to advance the economic competitiveness of U.S. companies.

Interagency Infrastructure Permitting Improvement Center (IIPIC) and On-line Permitting Dashboard

Funding for the IIPIC and the Permitting Dashboard will continue to support work to reduce infrastructure permitting and review timelines by producing a more streamlined process, leading to efficiencies in the review and permitting of projects. IIPIC collects and reports data for projects on the Dashboard in accordance with the Fixing America's Surface Transportation (FAST) Act and guidance by the Office of Management and Budget (OMB) that establish metrics for permitting and environmental review of major infrastructure projects.

Funds in FY 2021 will allow for upgrades to the Dashboard to expand technical and visualization capabilities to support project management and tracking, and improve transparency. These upgrades will include development of a new user interface, integration of real-time reporting on performance metrics, and visual enhancements in addition to synchronization with other Federal agencies tools.

The FY 2021 request includes an increase of two FTEs/three FTPs. Two positions will be assigned to TPR&D, supporting Departmental initiatives such as AV safety testing and integration, Safety Data Initiative (SDI) planning and execution, and research and

development of NETT technologies. One position will be assigned to IIPIC to support the program's workload.

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

FY 2020 Anticipated Accomplishments:

By the end of FY 2020, the Department anticipates the SDI program will initiate and complete collaborative projects with State and local governments to further the use of safety data for policy and decision making. DOT will coordinate with State and local entities – with a particular focus on jurisdictions with lower analytic capacity – to enhance safety analysis through the development of tools that identify, quantify, and/or further explain safety risk. Some of these tools will come from the work performed in FY 2019 such as the Fatality Analysis Reporting System (FARS) visualization tools, the fatality tool, applications of Waze data, and the tools from the Solve for Safety Data Visualization challenge¹. OST will work in close collaboration with the Federal Highway Administration (FHWA) and the National Highway Traffic Safety Administration (NHTSA) to ensure the work performed complements rather than duplicates their existing program activities. The outcome will be the transfer of tools and knowledge so that State and local jurisdictions have the information they need to make safety decisions, and the SDI will leverage the convening power of OST to scale and disseminate best practices.

The SDI will also invest in applied policy research using new methods and new data sources. Research questions developed through an analytic agenda setting will be used to incorporate new data sources to explore solutions to pressing potential safety focus areas such as intersections, precursors to crashes, non-motorized safety, and non-fatal injury crashes. An ancillary benefit will be the identification of opportunity areas to improve data governance, data quality, and data standards. We also will invest in data ecosystems to expand our capacity to host and integrate voluntarily-provided sensitive and proprietary data. This will be in support of the State and local partnerships and the applied policy research.

The Department will continue actions to further enable the safe testing and integration of AVs into our Nation's transportation systems. In 2020, the Department released *Ensuring American Leadership in Automated Vehicle Technologies: Automated Vehicles 4.0*, which seeks to ensure a consistent Federal government approach to AV technologies, and to detail the authorities, research, and investments being made across the government so that the United States can continue to lead AV technology research, development, and integration. AV 4.0 builds upon *Preparing for the Future of Transportation: Automated Vehicles 3.0*, by expanding the scope to 38 relevant Federal government components that have equities in safe development and integration of AV technologies. Additionally, the Department expects to publish a comprehensive plan for AVs, and collect data from the Automated Driving System

¹ Visit <https://www.transportation.gov/content/safety-data-initiative> for more information and to demo the tools.

Demonstration Grant award winners that can be used for research purposes to better inform Departmental analysis.

For FY 2020, the Department will use the \$2 million in appropriated funds to the NETT Council to publish the Department's principles and clarify the Department's role for NETT technologies, establish an accountable and consistent process for innovators to engage with the Department, and compile additional resources for innovators to consult. To support this document, the DOT will conduct site visits to learn more about the current stages of technology development. The NETT Council also plans to develop training materials for DOT OAs on how to best manage new and emerging transportation technologies.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

Some of the benefits to the American public from TPR&D resources include:

- Providing enhanced benefit/cost analysis to better measure the impact of proposed infrastructure investments;
- Improving the surface transportation community's ability to save lives by converting information into useful tools through data visualization, data integration, and the use of advanced analytics;
- Ensuring fair and efficient air service to the American public by providing oversight over proposed airline partnerships, airline mergers and acquisitions;
- Modernizing the data collection methods, usefulness and consistency of aviation data, which is used by the Department of Transportation, the aviation industry and the American Public to enhance aviation route planning;
- Maintaining dialogue with foreign countries regarding aviation competition matters and assuring the fairness of competition between domestic and international air carriers;
- Identifying international best practices that will increase efficiency or reduce costs to improve safety, build infrastructure, identify new technology or reduce regulatory burden;
- Ensuring regulatory and standards compatibility with U.S. trading partners to ensure that U.S. firms are not locked out of foreign markets by regulatory barriers; and
- Identifying aspects of the U.S. transportation system that might be enhanced to increase international exports and provide economic benefits.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
TRANSPORTATION PLANNING, RESEARCH AND DEVELOPMENT
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$10,879	37
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$78	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	-\$25	
January 2021 Pay Raise	\$90	
GSA Rent	\$0	
Working Capital Fund Changes	\$54	
FERS Changes	\$189	
Award Changes	\$56	
Inflation and Other Adjustments	\$13	
Subtotal Adjustments to Base	\$455	
FY 2021 Baseline Estimate	\$11,334	37
Program Changes (+/-):	-\$1,984	2
FY 2021 Request	\$9,350	39

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
BETTER UTILIZING INVESTMENTS TO LEVERAGE
DEVELOPMENT
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>FUNDING LEVELS</u>	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Personnel Compensation and Benefits	\$ 6,662	\$ 6,720	\$ 6,828
Travel	808	808	808
Other Costs	19,530	17,472	17,364
Programs	873,000	975,000	975,000
TOTAL	\$ 900,000	\$ 1,000,000	\$ 1,000,000

STAFFING

Direct FTEs	5	7	7
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Appropriations Language**NATIONAL INFRASTRUCTURE INVESTMENTS**

[For] *Contingent upon enactment of a multi-year surface transportation authorization legislation, for capital investments in surface transportation infrastructure, \$1,000,000,000, to remain available through September 30, [2022]2023 : Provided, [That the Secretary of Transportation shall distribute funds provided under this heading as discretionary grants to be awarded to a State, local government, transit agency, port authority, or a collaboration among such entities on a competitive basis for projects that will have a significant local or regional impact: Provided further, That projects eligible for funding provided under this heading shall include, but not be limited to, highway or bridge projects eligible under title 23, United States Code; public transportation projects eligible under chapter 53 of title 49, United States Code; passenger and freight rail transportation projects; and port infrastructure investments (including inland port infrastructure and land ports of entry); projects investing in surface transportation facilities that are located on tribal land and for which title or maintenance responsibility is vested in the Federal Government: Provided further, That of the amount made available under this heading, the Secretary shall use an amount not less than \$15,000,000 for the planning, preparation or design of projects eligible for funding under this heading: Provided further, That grants awarded under this previous proviso shall not be subject to a minimum grant size: Provided further, That the Secretary may use up to 20 percent of the funds made available under this heading for the purpose of paying the subsidy and administrative costs of projects eligible for Federal credit assistance under chapter 6 of title 23, United States Code, or sections 501 through 504 of the Railroad Revitalization and Regulatory Reform Act of 1976 (Public Law 94–210), as amended, if the Secretary finds that such use of the funds would advance the purposes of this paragraph: Provided further, That in distributing funds provided under this heading, the Secretary shall take such measures so as to ensure an equitable geographic distribution of funds, an appropriate balance in addressing the needs of urban and rural areas, and the investment in a variety of transportation modes: Provided further, That a grant funded under this heading shall be not less than \$5,000,000 and not greater than \$25,000,000: Provided further, That not more than 10 percent of the funds made available under this heading may be awarded to projects in a single State: Provided further, That the Federal share of the costs for which an expenditure is made under this heading shall be up to 80 percent: Provided further, That the Secretary shall give priority to projects that require a contribution of Federal funds in order to complete an overall financing package.*

Provided further, That grants awarded under this previous proviso shall not be subject to a minimum grant size: Provided further, That the Secretary may use up to 20 percent of the funds made available under this heading for the purpose of paying the subsidy and administrative costs of projects eligible for Federal credit assistance under chapter 6 of title 23, United States Code, or sections 501 through 504 of the Railroad Revitalization and Regulatory Reform Act of 1976 (Public Law 94-210), as amended, if the Secretary finds that such use of the funds would advance the purposes of this paragraph: Provided further, That in distributing funds provided under this heading, the Secretary shall take such measures so as to ensure an equitable geographic distribution of funds, an appropriate balance in addressing the needs of urban and rural areas, and the investment in a variety of transportation modes: Provided further, That a grant funded under this heading shall be not less than \$5,000,000 and not greater than \$25,000,000: Provided further, That not more than 10 percent of the funds made available under this heading may be awarded to projects in a single State: Provided further, That the Federal share of the costs for which an expenditure is made under this heading shall be up to 80 percent: Provided further, That the Secretary shall give priority to projects that require a contribution of Federal funds in order to complete an overall financing package.

Provided further, That an award under this heading is an urban award if it is to a project located within or on the boundary of a Urbanized Area (UA), as designated by the U.S. Census Bureau, that had a population greater than 200,000 in the 2010 Census: *Provided further*, That for the purpose of determining if an award for planning, preparation or design is an urban award, the project location is the location of the project being planned, prepared or designed: *Provided further*, That each award under this heading that is not an urban award is a rural award: Provided further, That of the funds awarded under this heading, not more than 50 percent shall be awarded as urban awards and rural awards respectively: *Provided further*, That for rural awards, the minimum grant size shall be \$1,000,000 and the Secretary may increase the Federal share of costs above 80 percent: *Provided further*, That projects conducted using funds provided under this heading must comply with the requirements of subchapter IV of chapter 31 of title 40, United States Code: *Provided further*, That the Secretary shall conduct a new competition to select the grants and credit assistance awarded under this heading: *Provided further*,] That the Secretary may retain up to \$25,000,000 of the funds provided under this heading, and may transfer portions of those funds to the Administrators of the Federal Highway Administration, the Federal Transit Administration, the Federal Railroad Administration, and the Maritime Administration to fund the award and oversight of grants and credit assistance made under the National Infrastructure Investments program[: *Provided further*, That none of the funds provided in the previous proviso may be used to hire additional personnel: *Provided further*, That the Secretary shall consider and award projects based solely on the selection criteria from the fiscal year 2017 Notice of Funding Opportunity: *Provided further*, That, notwithstanding the previous proviso, the Secretary shall not use the Federal share or an applicant's ability to generate non-Federal revenue as a selection criteria in awarding projects: *Provided further*, That the Secretary shall issue the Notice of Funding Opportunity no later than 60 days after enactment of this Act: *Provided further*, That such Notice of Funding Opportunity shall require application submissions 90 days after the publishing of such Notice: *Provided further*, That the applications submitted under the previous two provisos, the Secretary shall make grants no later than 270 days after enactment of this Act in such amounts that the Secretary determines:

Provided further, That such sums provided for national infrastructure investments for multimodal safety projects under title VIII of division F of the Consolidated and Further Continuing Appropriations Acts, 2013 (Public Law 113-6); 127 Stat. 423) shall remain available through fiscal year 2024 for the liquidation of valid obligations of active grants awarded with this funding: Provided further, That the preceding proviso shall be applied as if it were in effect on September 30, 2019].

Program and Performance Statement

The National Infrastructure Investments program, also known as the Better Utilizing Investments to Leverage Development (BUILD) program, provides funding for grant awards or credit assistance on a competitive basis for capital investments in surface transportation infrastructure. The Administration is proposing to authorize the BUILD program for the first time as part of its 10-year surface transportation reauthorization proposal.

Detailed Justification for the Better Utilizing Investments to Leverage Development Discretionary Grant Program

What is This Program and What Does This Funding Level Support?

The Better Utilizing Investments to Leverage Development (BUILD) Transportation Discretionary Grant Program provides a unique opportunity for the Department of Transportation (DOT) to invest in the Nation's surface transportation infrastructure, including roads and highways, public transportation facilities, freight and passenger rail, and port infrastructure. The BUILD program is aligned with the President's focus on modernizing America's infrastructure and provides funds to governmental entities for transportation investments on a competitive basis to support merit-based projects. The Program uses a rigorous evaluation process to select projects in line with defined merit criteria, rewards sponsors for delivering projects cheaper and faster, and invests in our Nation's infrastructure to make our communities safer, more sustainable, and economically secure.

As part of its surface transportation reauthorization proposal, the Administration is proposing \$11.9 billion over 10-years for the BUILD program, including \$1 billion for FY 2021. The proposal will provide an equitable geographic distribution of funds as well as an appropriate balance in addressing rural and urban communities' needs with infrastructure investments across a variety of transportation modes. These funds will enable the Department to fund critical transportation projects through a merit-based, competitive program. The Administration is proposing to authorize the BUILD program for the first time.

The Administration is proposing \$1 billion in discretionary funding for FY 2021 for the BUILD Transportation Grant Program.

Since 2009, DOT has received more than 9,100 grant applications requesting more than \$166 billion from all 50 States, Puerto Rico, Guam, American Samoa, the District of Columbia, the Northern Mariana Islands, and the Virgin Islands. Between 2009 and 2018, the Program has provided a combined \$8 billion to 609 projects in all 50 states, the District of Columbia, Puerto Rico, Guam, and the Virgin Islands. The overwhelming number of applications demonstrates the public's demand for improved infrastructure across the entire surface transportation system and provides an alternative to the traditional framework for infrastructure investment. Through BUILD, DOT helps fund projects in rail, transit, roads, and ports throughout the entire Nation – improving safety, state of good repair, economic competitiveness, quality of life, environmental protection, innovation, and partnership.

DOT's competitive selection process rewards applicants that demonstrate a level of commitment, planning, and partnership that stands apart from other discretionary grant programs and allows DOT to navigate the distinct needs of different communities across the country. With BUILD, the focus is not on particular levels of government or modes, but on impactful outcomes and substantial return on taxpayer investments.

The BUILD Transportation Grant Program has the unique ability to increase the economic competitiveness of the Nation in the full range of transportation infrastructure options – highway,

transit, rail, multimodal, and port facilities. State and local governments continually show tremendous interest in the Program.

BUILD funds projects focused on multimodal investments that are often difficult to fund in other mode-specific transportation grant programs. It rewards innovation and encourages cross-jurisdictional and public-private partnership. As a result, this Program is helping to build a robust, more efficient, competitive, cost-effective and durable transportation system for the taxpayer.

FY 2020 Anticipated Accomplishments:

In FY 2020, OST will:

- Continue to execute grant agreements to fully obligate \$2,845,585,499 granted to 188 projects in FY 2017, FY 2018, and FY 2019;
- Execute \$1 billion in FY 2020 funding including soliciting applications and implementing a competitive selection process by the statutory deadline of September 15, 2020; and
- Oversee the execution of funding with Operating Administration counterparts to ensure successful implementation of projects selected in prior fiscal years.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

The BUILD Transportation Grant Program aligns with the President's focus on infrastructure and is necessary to address the needs of States, local and tribal governments, transit agencies, or collaborations among such entities, in seeking more cost-effective, innovative solutions to complex transportation and economic development challenges. This requires greater flexibility than is possible through the current formula programs, which focuses on individual modes, specific project types, and a limited group of grantees. BUILD, however, assists local sponsors in obtaining support for innovative projects designed to move people and goods, regardless of transportation mode or jurisdictions involved.

BUILD enables DOT to examine a broad array of projects on their merits to help ensure taxpayers receive the highest value for every dollar invested. By challenging potential grantees to present their strongest plans, DOT receives requests with lower project costs and strongly articulated cases for project benefits. For example, the International Cargo Terminal Modernization Project in Jacksonville, Florida reconstructs and modernizes approximately 100 acres of cargo terminal to increase capacity for port operations and increase operational efficiency and the Plank-Nicholson BRT project constructs Baton Rouge, Louisiana's first BRT line to better connect transit-dependent passengers with employment and educational opportunities. Similarly, the Ashely Rive Crossing project in Charleston, South Carolina improves the existing regional and bicycle network and constructs a new multi-use path for travelers using non-motorized modes.

Upon award, DOT attaches a funding deadline, thereby incentivizing grantees' timely and cost-effective project delivery. Once awarded, BUILD grantees must leverage performance measurements and outcome tracking to demonstrate to the taxpayer the attainment of proposed benefits. DOT then uses this data to inform best practices for future rounds and projects.

The \$1 billion request will continue to support the types of infrastructure projects that DOT has funded over the past eleven years of the Program. The BUILD Transportation Discretionary Grant Program targets projects that support Safety, Economic Competitiveness, State of Good Repair, Quality of Life, Environmental Protection, Innovation, and Partnership. DOT believes that programs such as BUILD are key to addressing the deteriorating state of the Nation's transportation systems. The Program funds projects that tend to be innovative, multi-modal projects that are difficult to fund through existing formula programs.

The Nation's complex transportation and economic challenges require cost-effective, innovative solutions. The BUILD Transportation Grant Program presents the unique opportunity for DOT to invest in road, rail, transit, and port projects that promise to achieve local or regional outcomes, that otherwise might not receive Federal support.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
BETTER UTILIZING INVESTMENTS TO LEVERAGE
DEVELOPMENT
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$1,000,000	7
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$60	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	-\$26	
January 2021 Pay Raise	\$51	
GSA Rent	\$0	
Working Capital Fund Changes	\$52	
FERS Changes	\$0	
Award Changes	\$0	
Inflation and Other Adjustments	\$181	
Subtotal Adjustments to Base	\$317	
FY 2021 Baseline Estimate	\$1,000,317	7
Program Changes (+/-):	-\$317	0
FY 2021 Request	\$1,000,000	7

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
INFRASTRUCTURE FOR REBUILDING AMERICA
GRANTS PROGRAM
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	\$ -	\$ -	\$ 1,092
Travel	-	-	50
Other Costs	-	-	8,858
Programs	-	-	990,000
TOTAL	\$ -	\$ -	\$ 1,000,000
 <u>STAFFING</u>			
Direct FTEs	0	0	4

Appropriations Language

NATIONALLY SIGNIFICANT FREIGHT PROJECTS

For financial assistance for projects eligible under 23 U.S.C. 117, \$1,000,000,000, to remain available through September 30, 2024: Provided, That the Secretary of Transportation shall distribute funds provided under this heading as discretionary grants according to criteria and requirements described in 23 U.S.C. 117: Provided further, That the limitation at 23 U.S.C. 117(d)(2)(A) shall not apply to the funding provided under this heading: Provided further, That the Secretary may retain up to \$10,000,000 of the funds provided under this heading, and may transfer portions of such funds to the Administrators of the Federal Highway Administration, the Federal Railroad Administration, and the Maritime Administration, to fund the award and oversight of grants and credit assistance made under 23 U.S.C. 117 and this heading: Provided further, That section 1101(b) of Public Law 114–94 shall apply to funds made available under this heading.

Program and Performance Statement

The Budget requests \$1 billion in General Fund appropriations to support the Nationally Significant Freight and Highway Projects discretionary grant program, also known as the Infrastructure for Rebuilding America (INFRA) program, authorized under 23 U.S.C. 117. The INFRA program provides financial assistance on a competitive basis to highway, freight rail, intermodal, and port infrastructure projects of national or regional significance. The goals of the program include reducing congestion and bottlenecks, and improving safety, on the Nation's freight networks. The resources in this account are not subject to the limitation in 23 U.S.C. 117(d)(2)(A) for certain freight projects.

Detailed Justification for the Infrastructure for Rebuilding America Grant Program

What Is This Program and What Does This Funding Level Support?

The Infrastructure for Rebuilding America (INFRA) Grant Program provides the Department of Transportation (DOT) with the ability to invest directly in Nationally- and regionally-significant highway, freight rail, intermodal, and port infrastructure. The INFRA program is aligned with the President's focus on modernizing America's infrastructure, providing funds to governmental entities for transportation investments on a competitive basis. The program uses rigorous evaluation processes to select projects in line with defined merit criteria, explore ways to deliver projects cheaper and faster, and invest in our Nation's infrastructure to support economic vitality, leverage federal funding, increase innovation, and incentivize performance and accountability.

The FY 2021 Budget proposal includes \$1 billion in discretionary resources for the INFRA Grant Program. Under the Fixing America's Surface Transportation (FAST) Act (Public Law 114-94), which expires at the end of FY 2020, the INFRA program was authorized contract authority from the Highway Trust Fund. In the coming months, the Administration will release a surface transportation reauthorization proposal that will provide funding details for Highway Trust Fund programs.

Authorized under 23 U.S.C. 117, the INFRA program has made \$3.2 billion in awards to 74 nationally and regionally significant projects since 2016. These awards have successfully leveraged more than \$12.9 billion in other funding, including more than \$9.3 billion in non-Federal funding, to begin work on \$16.2 billion of infrastructure investment. Demand far exceeds supply, with the Department receiving applications requesting a total of \$9.8 billion in the FY 2019 round of competition alone.

The INFRA program rewards project sponsors who propose economically sound and cost-effective projects, leverage federal assistance, incorporate innovation into their projects, and commit to accountability, all while meeting strict congressional requirements.

The Administration is proposing \$1 billion in funding for the INFRA grant program, to be administered in accordance with 23 U.S.C. 117, while removing the limit on funding for intermodal, rail and port freight projects. The proposal also sets aside up to \$10 million of the additional funding for administrative expenses, along with a request for four full-time equivalents (FTE) and seven full-time positions (FTP).

FY 2020 Anticipated Accomplishments:

In FY 2020, OST will:

- Evaluate applications and announce selections for the FY 2020-authorized INFRA funding to projects generating Nationally-significant economic, mobility, and safety benefits, by the statutory deadline of June 18, 2020;

- Manage the implementation and obligation of \$855 million in FY 2019 FAST Act funding to 20 projects that were selected in the summer of 2019; and
- Monitor the performance and construction of 54 projects selected to receive \$2.4 billion in funding from FYs 2016-FY 2018.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

The INFRA program is necessary to address the needs of States, local and tribal governments, or transportation authorities in seeking more cost-effective, innovative solutions to complex transportation and economic development challenges. The ability to invest directly provides critical federal funding support to many large- scale or non-traditional projects, which may have difficulty securing funding using traditional federal-aid formula programs. INFRA can assist project sponsors in securing the final piece of funding necessary to move a project forward easily and efficiently.

With its focus on Nationally- or regionally-significant projects, INFRA enables DOT to review projects on their merits to help ensure taxpayers receive the highest value for every dollar invested. By challenging applicants to present their strongest plans, DOT receives many high quality proposals and is able to prioritize projects with substantial public benefits—benefits such as shorter travel times or reduced injuries and fatalities. In FY 2019, the Department selected projects whose combined estimated net benefits at the time of award exceeds \$1 billion. The program incentivizes applicants to increase State and local funding in projects to increase the value of the overall investments. Due to its competitive nature, INFRA allows DOT to establish deadlines which incentivize grantees’ timely and cost-effective project delivery.

Maryland’s Howard Street Tunnel project is an example of INFRA at work. The 124-year-old freight rail tunnel through downtown Baltimore is being repaired and expanded through a partnership between the federal government, the State of Maryland, and CSX railroad. The project will enhance rail operating efficiency by allowing double-stack container trains to serve the Port of Baltimore, reducing freight movement costs and the negative impacts from truck traffic.

On Florida’s space coast, INFRA funding is serving as a critical catalyst in replacing the Cape Canaveral Spaceport Indian River Bridge. The bridge, built by NASA in 1964, is in need of replacement and expansion as traffic serving the commercial space industry increases. INFRA funding is enabling the State of Florida to replace the bridge and assume long-term maintenance and operation responsibilities.

The \$1 billion request will continue to support highway, freight rail, intermodal, and port infrastructure projects. The INFRA Transportation Discretionary Grant program targets projects which support Economic Vitality, Leveraging of Federal Funding, Innovation, and Performance and Accountability. DOT believes that programs such as INFRA are key to improving the

performance of the Nation's transportation systems, particularly in the area of relieving congestion. Moreover, the competitive aspect of the program promotes additional investment into transportation infrastructure while using available grant funding and loan financing to enhance the Nation's transportation network.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
INFRASTRUCTURE FOR REBUILDING AMERICA
GRANTS PROGRAM
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$0	0
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$0	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	\$0	
January 2021 Pay Raise	\$0	
GSA Rent	\$0	
Working Capital Fund and FECA Changes	\$0	
FERS Changes	\$0	
Award Changes	\$0	
Inflation and Other Adjustments	\$0	
Subtotal Adjustments to Base	\$0	
FY 2021 Baseline Estimate	\$0	0
Program Changes (+/-):	\$1,000,000	4
FY 2021 Request	\$1,000,000	4

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
NATIONAL SURFACE TRANSPORTATION INNOVATIVE
FINANCE BUREAU - GENERAL FUND
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>FUNDING LEVELS</u>	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Personnel Compensation and Benefits	\$ 2,370	\$ 2,826	\$ 2,484
Travel	20	75	75
Other Costs	2,610	2,099	1,691
Programs	-	-	-
TOTAL	\$ 5,000	\$ 5,000	\$ 4,250

STAFFING

Direct FTE	9	14	16
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Appropriations Language**NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU**

For necessary expenses of the National Surface Transportation and Innovative Finance Bureau as authorized by 49 U.S.C. 116, [\$5,000,000]\$4,250,000 , to remain available until expended: *Provided* , That the Secretary [shall notify the house and Senate Committees on Appropriations no less than 15 days prior to exercising the transfer authority granted under section 116(h) of title 49, United States Code] *may collect and spend fees, as authorized by title 23, United States Code, to cover the costs of services of expert firms, including counsel, in the field of municipal and project finance to assist in the underwriting and servicing of Federal credit instruments and all or a portion of the costs to the Federal Government of servicing such credit instruments: Provided further, That such fees are available until expended to pay for such costs: Provided further, That such amounts are in addition to other amounts made available for such purposes and are not subject to any obligation limitation or the limitation on administrative expenses under section 608 of title 23, United States Code.*

Explanation: The TIFIA fee authority above, originally in the FHWA obligation limitation appropriation language in FY 2020, is now reflected in OST. In addition, the FHWA language was broadened to ensure that it includes the Bureau appropriation and not just the FHWA administrative funds for which it was initially intended.

Program and Performance Statement

This appropriations supports the National Surface Transportation and Innovative Finance Bureau (the Bureau). The Bureau fulfills a number of responsibilities, including providing assistance and communicating best practices and financing and funding opportunities to entities eligible under DOT infrastructure finance programs; administering the application process for DOT infrastructure finance programs; administering the application process for the Infrastructure for Rebuilding America (INFRA) grant program; reducing uncertainty and delays related to environmental reviews and permitting, as well as project delivery and procurement risks, and costs for projects financed by the DOT infrastructure finance programs and INFRA; and promoting best practices in procurement for projects financed by the DOT infrastructure finance programs and the INFRA program by developing benchmarks related to procurement. The fees in this account cover the costs of services of expert firms in the field of municipal and project finance to assist in the underwriting and servicing of Federal credit instruments. The Budget proposes to consolidate the Maritime Guaranteed Loan (Title XI) program under the Bureau, including open loans.

Detailed Justification for the National Surface Transportation and Innovative Finance Bureau

What Is This Program and What Does This Funding Level Support?

Among the provisions included in the Fixing America's Surface Transportation (FAST) Act (Public Law 114-94) was the establishment of the National Surface Transportation and Innovative Finance Bureau (Bureau), reporting to the Office of the Under Secretary of Transportation for Policy. The Bureau facilitates targeted Federal investments in infrastructure by streamlining the Department of Transportation's (DOT) innovative finance programs. The Bureau provides technical assistance and facilitates innovative best practices focused on expediency in procurement, environmental review, permitting, project delivery, and monitoring. The Bureau provides expert advice on project finance policy issues that require expertise in innovative finance initiatives, public-private partnerships (P3), concession agreements, and accelerating large transportation projects.

The Bureau directly supports efforts to rebuild and modernize the Nation's transportation infrastructure by leveraging State, local, and private funds. The Bureau administers the Transportation Infrastructure Financing and Innovation Act (TIFIA) program, the Railroad Rehabilitation and Improvement Financing (RRIF) program, the Infrastructure for Rebuilding America (INFRA) Grant Program, and the Private Activity Bonds (PABs) program. Combined, the Bureau currently manages a TIFIA and RRIF loan portfolio of over \$33 billion, and has supported over \$120 billion in overall project costs, including over 40 projects that are still under construction, and expects to close at least \$3 billion in project loans annually going forward.

The Bureau fulfills a number of specific responsibilities that are critical to the financing and funding of transportation infrastructure, including the following:

- Provide one-stop technical assistance to help project sponsors navigate the regulatory and financing process more efficient;
- Develop new products and services to expand utilization of DOT credit programs to rural and non-traditional borrowers and states that have not historically sought DOT financial assistance;
- Provide long-term loans with attractive rates and terms that are a critical component of many large transportation infrastructure project financings, including most P3s;
- Provide assistance and communicate best practices and financing and funding opportunities to entities eligible under DOT infrastructure finance programs;
- Develop and promote best practices for innovative financing and P3s, which aligns infrastructure development with entities best suited to provide sustained and efficient investment;
- Implement strategies to expedite access to financing and funding for critical infrastructure projects;

- Increase transparency and the public availability of information regarding projects financed by the Department’s infrastructure finance programs; and
- Promote best practices in procurement for projects financed by the Department’s infrastructure finance programs by developing benchmarks related to procurement.

The FY 2021 budget also proposes to move the administration of the Federal Ship Financing Program (Title XI) from the Maritime Administration to the Bureau. The Budget does not provide additional budget authority for this program, but the administration of the existing loan guarantees portfolio can benefit from the guidance and oversight of the Bureau in mitigating defaults and improving the process for modeling of the risk to the Federal government.

FY 2020 Anticipated Accomplishments:

Based on its active pipeline, the Bureau expects to close a combined six to 10 TIFIA and RRIF loans during FY 2020, totaling \$2-3 billion in credit assistance, supporting up to \$10 billion in total infrastructure investment for projects from around the country in various stages of the Bureau’s creditworthiness review process. Like the Bureau’s current portfolio, the pipeline of projects includes a diverse mix of rural and urban projects, P3s and public projects, as well as projects in States using TIFIA and RRIF for the first time.

In FY 2020, OST re-assigned all resources related to TIFIA and RRIF activities previously provided to the Federal Highway Administration (FHWA), with the exception of Highway Trust Fund dollars that are part of the larger Federal Aid account, and the Federal Railroad Administration (FRA). This will allow OST to fully manage the accounting and finance operations directly for TIFIA and RRIF, in line with the FAST Act provisions establishing the Bureau and directing consolidation of administrative resources.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

The work of the Bureau provides financing that is important for modernization of the nation’s inventory of transportation infrastructure. The Bureau provides efficient processing of private, state and local requests for DOT financing assistance, which leverages state, local, and private funds; accelerates national infrastructure construction; and increases the number of infrastructure projects that are built. The Bureau’s customer-focused approach to infrastructure financing and funding supports responsible stewardship of taxpayer funds. The Bureau advances the development and streamlined delivery of projects in the highway, rail, transit, and port sectors, which significantly increases national economic development.

The Bureau is developing products and strategies aimed at improving access to DOT credit programs for rural communities, smaller borrowers and new states/municipalities to increase the depth of the loan portfolio. Additionally, the Bureau’s infrastructure finance expertise drives the formulation and promotion of new and innovative strategies to address the nation’s critical infrastructure needs, including promotion of programs and projects that attract private sector capital through P3s.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
NATIONAL SURFACE TRANSPORTATION INNOVATIVE
FINANCE BUREAU - GENERAL FUND
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$5,000	14
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$54	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	-\$11	
January 2021 Pay Raise	\$46	
GSA Rent	\$0	
Working Capital Fund Changes	\$117	
FERS Changes	\$120	
Award Changes	\$50	
Inflation and Other Adjustments	\$0	
Subtotal Adjustments to Base	\$376	
FY 2021 Baseline Estimate	\$5,376	14
Program Changes (+/-):	-\$1,126	2
FY 2021 Request	\$4,250	16

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
Railroad Rehabilitation and Improvement Financing Program
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>FUNDING LEVELS</u>	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Personnel Compensation and Benefits	\$ -	\$ -	\$ -
Travel	-	-	-
Other Costs	17,000	-	-
Programs	-	-	-
TOTAL	\$ 17,000	\$ -	\$ -

STAFFING

Direct FTEs	-	-	-
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Appropriations Language**RAILROAD REHABILITATION AND IMPROVEMENT FINANCING PROGRAM**

The Secretary of Transportation is authorized to issue direct loans and loan guarantees pursuant to sections 501 through 504 of the Railroad Revitalization and Regulatory Reform Act of 1976 (Public Law 94-210), as amended, such authority to exist as long as any such direct loan or loan guarantee is outstanding.

Explanation: No funds are being requested in FY 2021 for this account. In addition, the RRIF appropriations language above, originally in the FRA appropriations language for FY 2020, is now reflected in OST.

Program and Performance Statement

The Transportation Equity Act of the 21st Century of 1998 established the Railroad Rehabilitation and Improvement Financing (RRIF) loan and loan guarantee program. The Safe, Accountable, Flexible, Efficient Transportation Equity Act of 2005: A Legacy for Users, changed the program to allow FRA to issue direct loan and loan guarantees up to \$35,000,000,000, and it required that no less than \$7,000,000,000 be reserved for projects primarily benefiting freight railroads other than Class I carriers. The program was expanded by the Rail Safety Improvement Act of 2008 and again by the Fixing America's Surface Transportation Act in 2015. Loans may be used: (1) to acquire, improve, or rehabilitate intermodal or rail equipment or facilities, including track, components of track, bridges, yards, buildings, or shops; (2) to refinance debt; (3) to develop and establish new intermodal or railroad facilities, (4) to reimburse related planning and design expenses; (5) finance certain economic development related to passenger rail stations.

For FY 2016, \$1.96 million was appropriated to assist Class II and Class III railroads in covering RRIF loan application expenses. In FY 2018, \$25 million was appropriated for credit risk premiums, with an additional \$17 million being appropriated in FY 2019 for a similar purpose. No new funds are requested for this account for FY 2021.

Detailed Justification for Railroad Rehabilitation and Improvement Financing Program

What Is This Program and What Does This Funding Level Support?

DOT is authorized to provide direct loans and loan guarantees up to \$35 billion through the Railroad Rehabilitation and Improvement Financing (RRIF) program of which not less than \$7 billion is reserved for projects benefiting freight railroads other than Class I carriers.

RRIF loans may be used to:

- Acquire, improve, or rehabilitate intermodal or rail equipment or facilities, including track, components of track, bridges, yards, buildings and shops, and the installation of positive train control systems, as well as cost related to these activities, including pre- construction cost;
- Develop or establish new intermodal or railroad facilities;
- Refinance outstanding debt incurred for the purposes listed above;
- Reimburse planning and design expenses related to the activities described above; and
- Finance transit-oriented development projects (available through September 30, 2020).

The program gives priority to projects that provide public benefits, including benefits to public safety, economic development and competitiveness in international markets, the environment, and transit-oriented development. In providing financial assistance through RRIF, the Department must fulfill its obligations under the National Environmental Policy Act and related laws, regulations, and orders.

The program serves a number of goals in the interest of increasing overall investment in the nation's network of rail infrastructure. In recent years, the program has supported critical safety investments, through the installation of positive train control systems for the Massachusetts Bay Transportation Authority and New York Metropolitan Transportation Authority, and the procurement of next-generation high-speed trainsets for Amtrak's Acela service on the Northeast Corridor.

Eligible applicants include government sponsored authorities and corporations, railroads, and other joint ventures with eligible applicants. Direct loans can be made for up to one hundred percent of the total project cost, for terms up to 35 years beyond substantial completion of the project, and at an interest rate equal to the yield on U.S. Treasury securities of comparable date of execution of the credit agreement.

The Budget does not request appropriations for this program. However, the program has \$25 million in funding appropriated in FY 2018 to provide a subsidy of the credit risk premium costs for both new loans and loan modifications. The \$17 million appropriated in FY 2019 was used to repay the credit risk premium for direct loans in the RRIF program's Cohort I.

FY 2020 Anticipated Accomplishments:

Based on its current pipeline, OST expects to close three to four RRIF loans during FY 2020, totaling \$500-700 million, supporting up to \$1 billion in total infrastructure investment for projects around the country.

In FY 2020, OST re-assigned all resources related to RRIF activities previously provided to the Federal Railroad Administration (FRA). This will allow OST to fully manage the accounting and finance operations directly for RRIF, in line with the FAST Act provisions establishing the Bureau and directing consolidation of administrative resources.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

The RRIF program provides financing for rail projects that would not otherwise be funded through the private markets. For example, many short line railroads lack the capital funding necessary to invest in improvements to their infrastructure and equipment, and cannot easily access long-term financing from private financial institutions.

Private sector loans with favorable rates are typically only available on short-term loans. Short line railroads need long-term loans to support track and structure upgrades that will enjoy useful lives of 20 to 30 years. Given the greater risk of longer term repayments, these private sector loans carry a much higher interest rate than a comparable RRIF direct loan. The cost to upgrade and repair a rail line is expensive, but necessary, to avoid safety-related speed reductions and derailments. Of the 39 RRIF loans since 2002, 15 were for less than \$10 million.

Likewise, the program has funded major safety investments and forward-leaning projects. In FY 2018, the Department issued a \$220 million RRIF loan to the Massachusetts Bay Transportation Authority for deployment of positive train control, a Federal safety requirement that many commuter railroads and short line railroads cannot accommodate in their annual capital budgets.

In FY 2019, The Department issued a \$5.9 million loan to the Port of Everett in the State of Washington to expand on-terminal rail capacity that will both increase the amount of cargo that can be processed through the Port and alleviate local road congestion. The Department also issued a \$908 million loan to the Dallas Area Rapid Transit (DART) System in FY 2019 for the Cotton Belt Corridor Regional Rail Project, a 26-mile passenger railroad extending from Dallas-Fort Worth (DFW) International Airport eastward to the Plano/Richardson area. The

Section 3 – FY 2021 Budget Requests by Account

Cotton Belt Project is expected to improve mobility, accessibility, and system linkages to major employment, population, and activity centers in the northern part of Dallas, which has long been identified as a heavily congested area in need of additional capacity and mobility solutions.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
Railroad Rehabilitation and Improvement Financing Program
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$0	0
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$0	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	\$0	
January 2021 Pay Raise	\$0	
GSA Rent	\$0	
Working Capital Fund Changes	\$0	
FERS Changes	\$0	
Award Changes	\$0	
Inflation and Other Adjustments	\$0	
Subtotal Adjustments to Base	\$0	
FY 2021 Baseline Estimate	\$0	0
Program Changes (+/-):	\$0	0
FY 2021 Request	\$0	0

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
TIFIA Highway Trust Fund Program Account
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>FUNDING LEVELS</u>	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Personnel Compensation and Benefits	\$ -	\$ -	\$ -
Travel	-	-	-
Other Costs	-	-	\$ 311,000
Programs	-	-	\$ -
TOTAL	\$ -	\$ -	\$ 311,000

STAFFING

Direct FTEs	5	18	23
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Appropriations Language**TIFIA Highway Trust Fund Program Account**

Contingent upon enactment of multi-year surface transportation reauthorization legislation, for the liquidation of obligations incurred in carrying out the Transportation Infrastructure Finance and Innovation Act program under 23 U.S.C. 601 et seq., \$311,000,000 derived from the Highway Trust Fund (other than the Mass Transit Account), to remain available until expended: Provided, That obligations incurred against the contract authority authorized from the Highway Trust Fund for fiscal year 2021 to carry out the Transportation Infrastructure Finance and Innovation Act program shall not exceed total obligations of \$311,000,000, and may be incurred until such amount is reached.

Program and Performance Statement

This is the program account for the Transportation Infrastructure Finance and Innovation Act (TIFIA) program which is supported by the Highway Trust Fund (HTF). The TIFIA program provides credit assistance for qualified projects of regional and national significance. As part of the Administration's 10-year surface transportation reauthorization proposal, the budget requests \$3.7 billion in contract authority for the TIFIA program over 10 years. Of this amount, \$311 million is requested for 2021, a 3.7 percent increase from 2020. This schedule reflects 2021 contract authority and obligation limitation equal to the baseline. Contract authority and obligation limitation for 2021 above the baseline amounts are reflected as a legislative proposal, in a separate Transmit-2 (Legislative Proposal, Not Subject to PAYGO) schedule. In the coming months the Administration will release the details of its reauthorization proposal. The Budget for the first time reflects the reassignment of this account from FHWA to OST; however, most 2019 program and financial information for HTF-supported TIFIA loans is reflected in FHWA's Federal-aid Highways account.

Detailed Justification for the Transportation Infrastructure Finance and Innovation Act (TIFIA) Highway Trust Fund Program Account

What Is This Program and What Does This Funding Level Support?

The Transportation Infrastructure Finance and Innovation Act (TIFIA) program is a Federal financing program that provides credit assistance to sponsors of surface transportation projects. The program offers three types of credit assistance: direct loans; loan guarantees; and lines of credit.

As part of its surface transportation reauthorization proposal, the Administration is requesting a total of \$3.7 billion for the TIFIA program over 10 years, including \$311 million for FY 2021. In addition, to streamline program administration, the Budget requests a direct appropriation of Highway Trust Fund resources into the Office of the Secretary for the TIFIA program.

Congress created the TIFIA program as part of its 1998 enactment of the Transportation Equity Act for the 21st Century (TEA-21, P.L. 105-78), as amended by the TEA-21 Restoration Act (Title IX, P.L. 105-206), further amended in 2005 by the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU, P.L. 109-59), amended and restated in 2012 by the Moving Ahead for Progress in the 21st Century Act (MAP-21, P.L. 112-141), and most recently, as amended in 2015 by the Fixing America's Surface Transportation (FAST) Act (P.L. 114-94).

In addition to direct funding for the TIFIA program, the FAST Act permits the use of certain Federal-aid funds to cover the subsidy and administrative costs associated with TIFIA credit assistance. For example, Surface Transportation Block Grant Program, National Highway Performance Program, and Infrastructure for Rebuilding America (INFRA) grant program funds may be used by eligible recipients to cover the subsidy and administrative costs of TIFIA credit assistance. Similarly, the Better Utilizing Investments to Leverage Development (BUILD) grant program funds may also be used by grant recipients to pay for such costs.

The TIFIA program has played a significant role in delivering infrastructure projects. Since its inception, the TIFIA Program has financed 87 projects across the United States, including seven intermodal projects, 55 highway projects, and 25 transit projects. Currently, the TIFIA program's portfolio represents over \$120 billion in infrastructure investment spread across the country. Under MAP-21 and the FAST Act, the TIFIA program has dramatically increased its investment and expanded its portfolio into new states and municipalities; the portfolio now includes 22 states, the District of Columbia, and Puerto Rico.

The TIFIA program is designed to leverage substantial private co-investment by providing supplemental and subordinate capital to projects. The program maximizes Federal resources to deliver large infrastructure investments. Historically, each dollar of TIFIA funding authority has provided approximately \$15 in credit assistance. Given statutory changes in the TIFIA credit program under the FAST Act, and the need to calculate credit subsidies on a project-by-project basis, actual lending capacity could vary. On average, TIFIA has supported total

infrastructure investment of three to four times the amount of total credit assistance it has made available.

The TIFIA program stimulates transportation infrastructure investments that would be temporarily or permanently delayed without TIFIA financing. The program leverages Federal resources to accelerate project delivery and facilitate private participation in transportation infrastructure projects. Since the beginning of FY 2016, the Department has closed 28 projects and extended \$11.0 billion in credit support to stimulate over \$39 billion in infrastructure investment.

FY 2020 Anticipated Accomplishments:

OST closed three loans in December 2019 totaling \$1.6 billion. That exceeds the total amount of loans for four projects closed in FY 2019 (\$1.5 billion). The Department currently has a pipeline of 10 additional projects in various stages of the review process, which could add \$10 billion in infrastructure investment when constructed.

The Rural Projects Initiative (RPI) represents a targeted and significant easing of the barriers to participation in the TIFIA program. Currently, the Bureau is developing 12 RPI projects in eight states. This represents approximately 10 percent of the projects in the Bureau's pipeline.

In FY 2020, OST will continue to reach out to States historically under-represented in the applicants for TIFIA products. The enhanced outreach will center around education to State and local jurisdictions on how the TIFIA program works and how loan products may be a viable option for infrastructure needs.

In FY 2020, OST re-assigned all resources related to TIFIA activities previously provided to the Federal Highway Administration (FHWA), with the exception of Highway Trust Fund dollars that are part of the larger Federal Aid account. This will allow OST to fully manage the accounting and finance operations directly for TIFIA, in line with the FAST Act provisions establishing the Bureau and directing consolidation of administrative resources.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

The TIFIA program supports the delivery of significant transportation projects throughout the United States. It will also facilitate projects that would otherwise be delayed or deferred due to lack of funding. By stimulating investment in the country's transportation infrastructure, the TIFIA program will improve the economy through job creation, improve mobility and enhance transportation options via new eligibilities under the FAST Act for transit- oriented development, help American businesses improve productivity and competitiveness, and improve access in rural communities.

Accelerating Project Delivery: One of the most beneficial impacts of TIFIA is the acceleration of the delivery of transportation infrastructure. TIFIA can expedite the financing and accelerate

the delivery of a project which may otherwise not be built for years. In some cases, TIFIA assistance is essential to the viability of a project's financial plan; without the interest cost savings or flexible repayment terms of a TIFIA loan, a given revenue stream may be insufficient to support a given project. In other cases, a public project sponsor may have access to adequate revenue and private capital markets to finance the project, but TIFIA assistance helps advance the project more quickly and at a lower cost, freeing up resources to accomplish other infrastructure projects. TIFIA's streamlined application process implemented as a result of the FAST Act allows sponsors to obtain a faster lending decision.

Stimulating Significant Economic Benefits Including Job Creation: TIFIA credit assistance provides improved access to capital markets, flexible repayment terms, and more favorable interest rates than can be found in private capital markets for similar instruments. In this way, the TIFIA Program can help accelerate delivery of qualified projects that otherwise might be delayed or deferred because of size, complexity, or uncertainty over the timing of revenues.

Attracting Private Debt and Equity: In addition to stimulating new revenue streams, TIFIA credit assistance can help attract private debt and equity participation to transportation projects. TIFIA has been an integral part of Public-Private Partnerships (P3) in the United States, with almost one-third of the TIFIA Program's portfolio funded as P3 projects. One such example is the Transform 66 – Outside the Beltway Project, which closed in November 2017. This project involved a major interstate expansion and construction of approximately 22.5 miles of managed tolled lanes of Interstate 66 in Northern Virginia under a P3 agreement with the Virginia Department of Transportation. In addition to a \$1.2 billion TIFIA loan approved to fund the project, the project's private sponsor also contributed approximately \$1.5 billion in equity, and the balance of project funding came from proceeds of Private Activity Bonds (PABs) and a State Infrastructure Bank loan.

In total, there have been 23 projects financed with TIFIA loans that have advanced as P3s and \$6 billion of private equity has been committed to these projects. Currently, over two-thirds of the entire portfolio has received a level of private participation in financing.

Enhancing Economic Competitiveness: By facilitating projects that would have been delayed or deferred, the TIFIA Program will help modernize our transportation system, which will advance communities and help American businesses compete and grow in the global economy. The TIFIA program will accelerate project delivery by stimulating new revenue streams for transportation projects and attracting private investment. Furthermore, TIFIA funding will leverage limited Federal funds, so that a relatively small Federal commitment will stimulate a large amount of State, local, and private investment.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
TIFIA Highway Trust Fund Program Account
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$0	18
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$0	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	\$0	
January 2021 Pay Raise	\$0	
GSA Rent	\$0	
Working Capital Fund Changes	\$0	
FERS Changes	\$0	
Award Changes	\$0	
Inflation and Other Adjustments	\$0	
Subtotal Adjustments to Base	\$0	
FY 2021 Baseline Estimate	\$0	18
Program Changes (+/-):	\$311,000	5
FY 2021 Request	\$311,000	23

Note: Prior to FY 2021, these resources were provided in FHWA; therefore, all resources are shown as new in OST in FY 2021.

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
CYBER SECURITY INITIATIVES
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>FUNDING LEVELS</u>	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Personnel Compensation and Benefits	\$ -	\$ -	\$ -
Travel	-	-	-
Other Costs	15,000	15,000	22,000
Programs	-	-	-
TOTAL	\$ 15,000	\$ 15,000	\$ 22,000

STAFFING

Direct FTE	-	-	-
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Appropriations Language**CYBER SECURITY INITIATIVES**

For necessary expenses for cyber security initiatives, including necessary upgrades to [wide area network and information technology infrastructure, improvement of network perimeter controls and identity management, testing and assessment of information technology against business, security, and other requirements,] *network and information technology infrastructure, improvement of identity management and authentication capabilities, securing and protecting data*, implementation of Federal cyber security initiatives and [information infrastructure enhancements, and] implementation of enhanced security controls on [network devices, \$15,000,000] *agency computers and mobile devices, \$22,000,000*, to remain available through September 30, [2021]2023 .

Program and Performance Statement

This appropriation will fund cyber security initiatives, including necessary upgrades to the wide area network and information technology infrastructure. The funding will support key program enhancements, infrastructure improvements, and contractual resources to enhance the security of the Department of Transportation network, and reduce the risk of security breaches.

Detailed Justification for Cyber Security Initiatives

What Is This Program and What Does This Funding Level Support?

The Department of Transportation (DOT) Office of the Chief Information Officer (OCIO) is the principal information technology (IT), cybersecurity, privacy, risk management, and information protection advisor to the Secretary.

DOT operates and oversees significant elements of the critical transportation infrastructure of the United States, much of which is heavily dependent on IT and industrial control system technologies. DOT framework relies upon, and is integrated with, computer networks, computer mediated communications, online databases, automation solutions, artificial intelligence and machine learning capabilities, internet-of-things (IOT) devices, cyber-physical systems and sensors, and a wide variety of technologies. With the increasing interconnectivity between DOT, Federal, State, local, and tribal government agencies, the private sector entities it regulates, and private sector service providers, and an ongoing modernization to include commodity technologies, new dependencies, relationships, and vulnerabilities are created that did not previously exist, resulting in new risks to DOT IT infrastructure, systems, and mission.

DOT continues to mature its implementation of the National Institute of Standards and Technology (NIST) Cyber Security Framework (CSF) within the DOT enterprise and is integrating privacy and transportation-sector cybersecurity focused initiatives in support of DOT's mission-oriented cybersecurity, privacy, and information protection responsibilities.

For the DOT enterprise, the FY 2021 request supports hardware, software, services, and continued operation and enhancement of the DOT Continuous Diagnostics and Mitigation (CDM) program, capabilities aligned to the CSF, and cybersecurity support and services provided to DOT business and mission stakeholders. The funding will support implementation of core identity and attribute-based access control services for agency systems, and completion of DOT's network modernization initiative. A portion of the funds will be used for continued maintenance and operation of software, hardware, and services acquired in FYs 2013-2020 until those expenses can be transitioned to the Working Capital Fund (WCF).

This investment supports the DOT and DOT IT strategic plans, and cybersecurity objectives, which include holistic activities to invest in people, process, and technologies at strategic, operational, and tactical levels for improved effectiveness of the Department's integrated Cybersecurity and Privacy Risk Management programs, reduction of agency cybersecurity and privacy risks, and maturation of DOT's implementation of the NIST CSF.

This program funds hardware, software, maintenance, services, and contract labor in support of the Department's implementation and operation of Continuous Diagnostics and Mitigation (CDM) capabilities including: hardware asset management; software asset management; vulnerability management; security settings management; and core credential and privilege

management capabilities. This program will also fund the extension of credential, privilege, and access management capabilities into Departmental mission and business systems to better secure those systems and protect them from unauthorized access, and attacks that exploit the escalation of administrative privileges.

DOT is requesting \$22 million in the Cyber Security Initiative (CSI) account for FY 2021 to provide necessary resources for DOT to significantly enhance its cybersecurity program and capabilities, and maintain existing cybersecurity capabilities, and services. DOT will focus on:

- Data loss prevention tools and capabilities;
- Upgrading existing endpoint security capabilities with a more capable solution that supports advanced threat detection and mitigation;
- Cloud Access Security Broker (CASB) services to securely authenticate DOT users to authorized cloud services, and protect DOT information stored with the cloud service providers;
- Acquisition, deployment and operation of CDM Phase 2 credential and privilege management capabilities not funded by DHS;
- Additional configuration, optimization, and automation of DOT's modernized network to better secure high-value assets, and improve the performance and efficiency of network operations and applications;
- Continued operations and maintenance of cybersecurity related infrastructure procured through this appropriation until they are successfully transitioned to the Working Capital Fund; and
- Investment, as needed, to address critical cybersecurity and privacy risks, evolving threats to DOT systems and networks, and recommendations provided by the Office of Inspector General (OIG) and the Government Accountability Office (GAO).

FY 2020 Anticipated Accomplishments:

The FY 2020 funds will support completion of the current phase of the network remediation and modernization activities, including capabilities for the tuning of automation and orchestration capabilities.

Improvements will address enhanced cybersecurity analytics and response, provide better situational awareness and visibility into DOT's operational security posture, and allow a more proactive approach in identifying and remediating vulnerabilities.

Additional efforts will address building capacity and maturity in alignment with the NIST CSF, including continued remediation of gaps and vulnerabilities associated with the Administration cybersecurity priorities. DOT will continue to utilize the CSI appropriation to acquire and deploy tools, services, and capabilities to increase DOT's maturity and compliance in these areas.

In many cases, vulnerabilities are identified on an ad hoc basis, often based on activities external to DOT. In other cases, new remediation tools or updated standards are released within a budget year. The CSI appropriation allows the Department to respond to these changes in a more agile, effective way to reduce identified vulnerabilities as soon as possible.

DOT recognizes that many purchases completed in the CSI appropriation initially can potentially be transferred to other existing funding sources once products and services are operational. The transfer of these purchases will be considered and executed on an investment level basis.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

The CSI appropriation not only supports improvements to the core DOT Cybersecurity and Privacy programs through implementation of the NIST CSF, but also updates the DOT enterprise IT infrastructure to mitigate immediate threats and vulnerabilities to critical business operations and ensure the resiliency and availability of stakeholder-facing services. The resulting improvements will ensure improved reliability of services, greater integrity of information and services delivered by DOT, and protection of the information that stakeholders and the public provide to DOT as part of its normal operations, all with a reduced focus on reactive efforts and an increased focus on proactive, efficient mission-sustaining activities and resilience.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
CYBER SECURITY INITIATIVES
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$15,000	0
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$0	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	\$0	
January 2021 Pay Raise	\$0	
GSA Rent	\$0	
Working Capital Fund Changes	\$0	
FERS Changes	\$0	
Award Changes	\$0	
Inflation and Other Adjustments	\$0	
Subtotal Adjustments to Base	\$0	
FY 2021 Baseline Estimate	\$15,000	0
Program Changes (+/-):	\$7,000	0
FY 2021 Request	\$22,000	0

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
RESEARCH & TECHNOLOGY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	\$ 3,060	\$ 3,267	\$ 3,393
Travel	91	68	95
Other Costs	3,102	3,447	2,827
Programs	2,218	14,218	4,718
TOTAL	\$ 8,471	\$ 21,000	\$ 11,033

STAFFING

Direct FTEs	16	17	20
Reimbursable FTE	29	30	30

Appropriations Language**RESEARCH AND TECHNOLOGY**

For necessary expenses related to the Office of the Assistant Secretary for Research and Technology, [\$21,000,000]\$11,033,000, of which [\$14,218,000]\$4,718,000 shall remain available until expended [for (1) \$5,000,000 for new competitive grants under section 5505 of title 49, United States Code, for Tier 1 University Transportation Centers, (2) \$1,000,000 for the establishment of an emergency planning transportation data initiative to conduct research and develop models for data integration of geo-located weather and roadways information for emergency and other severe weather conditions to improve public safety and emergency evacuation and response capabilities, (3) \$1,000,000 for the Secretary of Transportation to enter into an agreement with the National Academies of Sciences, Engineering, and Medicine to conduct a study through the Transportation Research Board on effective ways to measure the resilience of transportation systems and services to natural disasters, natural hazards, and other potential disruptions, and (4) \$5,000,000 for the establishment of a Highly Automated Systems Safety Center of Excellence as required in section 105 of this Act: *Provided*, That such amounts are in addition to amounts previously provided for Tier 1 University Transportation Centers: *Provided further*, That such amounts for additional Tier 1 University Transportation Center under this heading are providing notwithstanding section 5505(c)(4)(A) of title 49, United States Code]: *Provided [further]*, That there may be credited to this appropriation, to be available until expended, funds received from States, counties, municipalities, other public authorities, and private sources for expenses incurred for training: *Provided further*, That any reference in law, regulation, judicial proceedings, or elsewhere to the Research and Innovative Technology Administration shall continue to be deemed to be a reference to the Office of the Assistant Secretary for Research and Technology of the Department of Transportation.

Program and Performance Statement

This appropriation is responsible for facilitating, reviewing and ensuring the non-duplication of the Department of Transportation's (DOT) research, development, and technology portfolio, as well as enhancing the data collection and statistical analysis programs to support data-driven decision-making. The program activities are also responsible for civil Positioning, Navigation, and Timing (PNT) technologies and services, PNT policy coordination, and spectrum management.

This appropriation also oversees and provides direction to the following programs and activities:

The Bureau of Transportation Statistics (BTS) manages and shares statistical knowledge and information on the Nation's transportation systems, including statistics on freight movement, geospatial transportation information, and transportation economics. The Fixing America's Surface Transportation Act (FAST Act) (P.L. 114-94) funded BTS by a statutory allocation from the Federal Highway Administration's Federal-Aid Highways account.

The University Transportation Centers (UTC) advance U.S. technology and expertise in many transportation-related disciplines through grants for transportation education, research, and technology transfer at university based centers of excellence. The FAST Act provided funding to the Office of the Assistant Secretary for Research and Technology for the UTC Program through a statutory allocation from the Federal Highway Administration.

The John A. Volpe National Transportation Systems Center (Cambridge, MA) provides expertise in research, analysis, technology deployment, and other technical knowledge to DOT and non-DOT customers on specific transportation system projects or issues on a fee-for-service basis.

The Transportation Safety Institute (Oklahoma City, OK) develops and delivers safety, security, and environmental training, products, and services for both the public and private sector on a fee-for-service and tuition basis.

Detail Justification for the Office of the Assistant Secretary for Research and Technology

What Is This Program and What Does This Funding Level Support?

The Office of the Assistant Secretary for Research and Technology (OST-R) coordinates research and technology transfer (T2) programs to leverage and maximize the approximately \$1 billion annual investment in transportation research, development, and technology (RD&T) activities across all Department of Transportation Operating Administrations (OA) and Secretarial Offices. OST-R ensures that the Department's Innovation Strategic Goals and Objectives are implemented across the Department, and leads a range of cross-modal initiatives, including Positioning, Navigation, and Timing (PNT) and spectrum management, to address those goals. OST-R leads the Department's statistical programs and University Transportation Center (UTC) grants; and oversees the work of related fee-for-service organizations.

The mission of OST-R is to transform transportation by expanding the base of knowledge to make America's transportation system safer, more competitive and innovative. Specifically, OST-R:

- Advances innovation, technology development, and breakthrough knowledge;
- Conducts oversight on behalf of DOT leadership on the OA research portfolios;
- Conducts research and facilitates multimodal research collaboration;
- Fosters T2 through partnerships within the Department and with external private sector and university partners; and

Provides useful statistics and analyses to decision-makers as they establish policy and address policy-related issues.

OST-R's organizational performance is measured by its ability to provide high-quality cross-modal results in strategic research planning, program management, and program support services. The requested funding will allow the R&T Program to continue its congressionally-mandated mission of coordinating the Department's research portfolio across the OAs, providing oversight review of the Department's research investments, actively pursuing T2 agreements and activities, and engaging in research collaborations with other federal agencies that support Secretarial priorities.

This program manages and conducts congressionally-mandated strategic planning, coordination, facilitation, and review for all Departmental research, development and technology activities (49

USC Chapter 65); and coordinates research and engineering work on cross-modal topics including connected/automated vehicles; positioning, navigation, and timing; and radiofrequency spectrum management to ensure collaborative, non-duplicative efforts on research that benefits all modes.

R&T directly addresses the Department’s Innovation Strategic Goals, and indirectly impacts the achievement of the Department’s Safety and Infrastructure Strategic Goals, by working across all OAs to ensure that research investments are directly aligned with Secretarial priorities. R&T programs identify synergies, gaps and opportunities to apply research cross-modally, which prevents the duplication of research efforts and waste of Federal resources. R&T is DOT’s primary facilitator of T2, maximizing the impact of Federal research investments by accelerating the deployment of new technologies and practices. This program also awards research funding to small businesses to enhance their potential for product commercialization.

Research, Development and Technology (RD&T) Coordination Program works to optimize the effective use of Department-wide research resources, ensuring that the Department’s research activities are coordinated with the wider transportation research community and eliminating potentially duplicative research activities. Specific duties include:

- Executing strategic research planning;
- Providing oversight of Department-wide research budget development and execution;
- Aligning Departmental research with policy objectives;
- Evaluating progress on the Secretary’s strategic innovation objectives by collecting and tracking Department-wide research performance measures;
- Identifying and leading cross-modal research initiatives in partnership with DOT OAs, industry and academia;
- Implementing best practices in innovation development and deployment across the Department’s OAs; and
- Ensuring transparency and public access to the Department’s research portfolio and products, and to the datasets generated by that research.

Technology Transfer (T2) Program activities focus on leveraging the Department’s research products to facilitate commercialization and subsequent “real world” benefits. The program works with the OAs and external stakeholders to assist them in understanding and implementing best practices in research product development and deployment and in building technology transfer mechanisms into research planning early in the process.

DOT Research Hub is a web-based, publicly available centralized repository of project records from DOT-sponsored research, development, and technology projects. The DOT Research Hub is designed to track the lifecycle of DOT research projects through outputs, outcomes, and “real world” impacts, providing the ability to demonstrate and evaluate the value of the Department’s research investment to the nation’s transportation system. This critical information is used as the basis for OST-R’s research coordination and collaboration mission.

Cross-Modal Research Priorities (CMRP) Program works with Federal and non-Federal stakeholders to advance the development and deployment of cross-modal Departmental/Administration research and technology priorities. This program focuses on providing the means to address research priorities that span multiple modes and/or require intensive coordination with other Federal and non-Federal partners. The CMRP program ensures the cost-effective leveraging of complementary research efforts underway outside the Department, and ensures the elimination of duplicative research efforts. Example priority areas to be supported include transportation system applications of Artificial Intelligence/Machine Learning (AI/ML); incorporating resilience costs and benefits into the national infrastructure project planning process; and, developing and applying new congestion management strategies across the multi-modal transportation system.

Economics Research funding is requested in FY 2021 to examine the many issues in transportation economics at the cross-modal level, because they do not fit neatly into one mode. It is helpful for leadership for OST-R to have a portfolio focused on cross-cutting cross-modal research, that will be of benefit to the entire Department. Policy-making demands credible estimates of the economic value of transportation investments. To make wise decisions about new highways, or pipelines, or airport renovation or expansion, policymakers need estimates of the economic effects of these investments. Analysis of new public-private partnerships to adopt new technologies require estimates of how such adoption will ripple through supply chains. Over the past five years, a new empirical methodology has emerged for evaluating the role of transportation in economic development, with economists leading the way in this research program. These researchers, who have participated in the recent meetings on the economics of infrastructure, are focusing on credible empirical strategies for measuring the causal effects of infrastructure spending.

Positioning, Navigation and Timing (PNT) and Spectrum Management leads the Federal role coordinating civil sector PNT requirements and represents the civil departments and agencies in the development, acquisition, management, and operations of the Global Positioning System (GPS). The Secretary of Transportation is assigned this role by National Security Presidential Directive (NSPD-39 “U.S. Space-Based Position, Navigation, and Timing Policy”), and the program includes all civil federal, state and local government needs for services of GPS and its augmentations, as well as all private sector GPS uses and requirements.

The Secretary's role includes ensuring that GPS public safety services meet or exceed international performance standards, and promoting the use of GPS services for transportation safety. Further, the Secretary ensures protection of GPS and other radiofrequency spectrum-based safety-of-life transportation capabilities (i.e., communications, navigation, and surveillance) from harmful interference.

The PNT and Spectrum Management program efforts support the Secretary's priorities for safety, as well as preparing for the future by engaging with new technologies to ensure safety without hampering innovative emerging technologies.

The FY 2021 budget request includes additional resources to fund: (1) the out-year effects of the enacted FY 2020 pay raise; (2) an additional one percent pay raise in FY 2021; (3) an increase in spending on employee awards; and (4) increases in FY 2020 and FY 2021 required agency Federal Employees Retirement System (FERS) contributions.

Bureau of Transportation Statistics

In the coming months, the Administration will submit a comprehensive surface transportation reauthorization proposal to Congress for consideration for this program.

University Transportation Centers

In the coming months, the Administration will submit a comprehensive surface transportation reauthorization proposal to Congress for consideration for this program.

FY 2020 Anticipated Accomplishments:

OST-R plans the following activities for FY 2020:

- Publishing a revised DOT RD&T Strategic Plan that aligns with the DOT Strategic Plan;
- Conducting the annual review, approval, and Secretarial certification to Congress of DOT's Annual Modal Research Plans (AMRPs);
- Providing training in processes and best practices for facilitating technology transfer;
- Leading collaborative efforts within the Department in response to mandates from Lab to Market Cross-Agency Priority Goal (chaired by Office of Science and Technology Policy and National Institute of Standards and Technology), Federal Laboratory Consortium, and Interagency Working Group for Technology Transfer;
- Implementing real-time GPS civil signal monitoring integrated into the next generation of

the US Air Force GPS satellite command and control operations to provide detection of signal anomalies and prompt notification to satellite operators so anomalies are quickly resolved with minimal impact to users; and

- Implementing the DOT Strategic Spectrum Plan to evaluate innovative technologies to ensure transportation safety, while improving spectrum sharing and efficiency.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

The Department-wide research coordination function is driven by OST-R. The R&T mission is to coordinate, collaborate, and maximize the effectiveness of the DOT research portfolio as well as to enhance the data collection and statistical analysis programs supporting data-driven decision-making across the Department. R&T underpins this mission by coordinating collaboration across the Department and with partners from other Federal agencies, State and local governments, industry, universities, stakeholder organizations, transportation professionals, system operators and international partners. R&T's coordination efforts optimize and ensure the effective use of limited research resources, eliminate potentially redundant or duplicative research, and allow the Nation's transportation research enterprise to move forward in a coherent fashion.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
RESEARCH & TECHNOLOGY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$21,000	17
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$56	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	-\$8	
January 2021 Pay Raise	\$52	
GSA Rent	\$0	
Working Capital Fund Changes	\$50	
FERS Changes	\$123	
Award Changes	\$55	
Inflation and Other Adjustments	-\$4	
Subtotal Adjustments to Base	\$324	3
FY 2021 Baseline Estimate	\$21,324	20
Program Changes (+/-):	-\$10,291	0
FY 2021 Request	\$11,033	20

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
PAYMENTS TO AIR CARRIERS
Appropriations, Obligation Limitations, and Exempt Obligations
(Discretionary)
(\$000)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	\$ -	\$ -	\$ -
Travel	-	-	-
Other Costs	-	-	-
Programs	175,000	162,000	141,724
TOTAL	\$ 175,000	\$ 162,000	\$ 141,724

STAFFING

Direct FTE	0	0	0
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Appropriations Language

PAYMENTS TO AIR CARRIERS
(AIRPORT AND AIRWAY TRUST FUND)

In addition to funds made available from any other source to carry out the essential air service program under 49 U.S.C. 41731 through 41742, [\$162,000,000]\$141,724,000, to be derived from the Airport and Airway Trust Fund, to remain available until expended: *Provided*, [That in determining between or among carriers competing to provide service to a community, the Secretary may consider the relative subsidy minimum requirements of the carriers: *Provided further*,] That basic essential air service minimum requirements shall not include the 15-passenger capacity requirement under section 41732(b)(3) of title 49, United States Code[: *Provided further*, That non of the funds in this Act or any other Act shall be used to enter into a new contract with a community located less than 40 miles from the nearest small hub airport before the Secretary has negotiated with the community over a local cost share]: *Provided further*, That amounts authorized to be distributed for the essential air service program under section 41742(b) of title 49, United States Code, shall be made available immediately from amounts otherwise provided to the Administrator of the Federal Aviation Administration: *Provided further*, That the Administrator may reimburse such amounts from fees credited to the account established under section 45303 of title 49, United States Code.

Program and Performance Statement

Through 1997, the Essential Air Service (EAS) program was funded from the Airport and Airway Trust Fund. Starting in 1998, the Federal Aviation Administration reauthorization funded it as a mandatory program supported by overflight fees under the EAS and Rural Airport Improvement Fund. In addition to mandatory funding supported by overflight fees, direct appropriations from the Airport and Airway Trust Fund to Payments to Air Carriers have been enacted every year beginning in 2002 to meet the needs of the essential air service program. The 2021 Budget proposes to reform the EAS program to ensure Federal funds are efficiently targeted at the communities most in need. The reforms limit EAS eligibility to communities receiving subsidized service in 2020; increase the subsidy cap from \$200 to \$250 per passenger for communities located with 210 miles of a large or medium hub airport; eliminate the subsidy waiver for this requirement; and propose a 10 percent cost share for communities that do not meet certain eligibility requirements.

Detailed Justification for Payments to Air Carriers

What Is This Program and What Does This Funding Level Support?

The Essential Air Service (EAS) program ensures that eligible small communities retain a link to the National air transportation system. EAS is funded by two sources – the Payments to Air Carriers (PAC) appropriation and EAS overflight fees collected by the Federal Aviation Administration (FAA).

The President's FY 2021 Budget request proposes an overall program funding level as follows:

PAC Appropriation	\$141,724,447
EAS Overflight Fees	\$154,275,553
TOTAL EAS Program	\$296,000,000

EAS was established at the time the Airline Deregulation Act (ADA) passed in 1978. Under the ADA, eligible communities were assured that, for 10 years, they would continue to receive scheduled service to a hub airport - by Federally-subsidized flights if necessary. The program was later extended for another 10 years; the mandatory component of EAS was made permanent in 1996; the discretionary PAC component of EAS is authorized through 2023.

In the FY 2012, Department of Transportation (DOT) Appropriations Act (Public Law (P.L.) 112–55), Congress first capped the program in the 48 contiguous states and Puerto Rico. Congress subsequently affirmed that provision in the FAA Modernization and Reform Act (P.L. 112-95). Currently, about 170 communities across the country, including 60 in Alaska, receive subsidized scheduled air service.

Below is a historical list of the annual EAS budget and the number of communities subsidized:

Year	# of Communities	Budget (\$ millions)	Average Subsidy per Community (\$ millions)
1996	97	22.6	.23
1997	95	25.9	.27
1998	101	50.0	.50
1999	100	50.0	.50
2000	106	50.0	.47
2001	115	50.0	.43
2002	123	113.0	.92
2003	126	101.8	.81
2004	140	101.7	.73
2005	146	101.6	.70
2006	152	109.4	.72
2007	147	109.4	.74
2008	146	109.4	.75
2009	153	138.4	.90

Year	# of Communities	Budget (\$ millions)	Average Subsidy per Community (\$ millions)
2010	159	200.0	1.26
2011	155	199.7	1.29
2012	163	215.5 ¹	1.32
2013	160	255.0 ²	1.59
2014	160	268.0	1.68
2015	169	263.0	1.56
2016	177	278.0 ³	1.57
2017	177	254.0	1.44
2018	173	286.0	1.65
2019	170	325.0	1.91

¹Includes \$22.5 million unobligated balance of Payments to Air Carriers funding carried forward into FY 2012.

²Includes unobligated balance of Payments to Air Carriers funding carried forward into FY 2013, prior year recoveries and transfers from other OST programs.

³Enacted amount

In October 2014, the Department issued a notice of enforcement policy that announced how the Department intended, going forward, to enforce compliance with the requirements of the Department of Transportation and Related Agencies Appropriations Act, 2000, which prohibits the Department from subsidizing EAS to communities located within the 48 contiguous States receiving per passenger subsidy amounts exceeding \$200, unless the communities are located more than 210 miles from the nearest large or medium hub airport. In addition, communities not in Alaska and Hawaii that are within 175 miles of the nearest large or medium hub airport are required to maintain 10 enplanements per service day.

In August 2019, using data from FY 2018, the Department terminated Franklin/Oil City, Pennsylvania, and Hagerstown, Maryland, from the program for failure to comply with the statutory requirements. Washington County, Maryland (Hagerstown) and Hagerstown Regional Airport have challenged this decision in the U.S. Court of Appeals for the District of Columbia Circuit, and the matter is pending review of the Court.

For FY 2021, the Department is proposing reforms to create savings from communities that are non-compliant with existing requirements. The reforms have the following three components.

- Limit EAS eligibility to communities currently receiving subsidized service.
- Provide additional flexibility by increasing the subsidy cap from \$200 to \$250 per passenger for communities located within 210 miles from a large or medium hub airport, but eliminating the opportunity for a waiver from this requirement. This reform is notwithstanding Section 426 of Public Law 112-95, amended by Section 458 of Public Law 115-254, that directed the Department to waive application of the \$200 subsidy cap for communities that meet certain criteria, when the Secretary finds that the community's subsidy-per-passenger for a fiscal year is lower than the subsidy-per-passenger for any of

the three previous fiscal years, or if the subsidy-per-passenger cap for a fiscal year is less than 10 percent higher than the highest subsidy-per-passenger from any of the three previous fiscal years.

- Communities that are found to be out of compliance with either the \$250 subsidy-per-passenger cap or the 10-emplanement requirement during the most recent fiscal year beginning after September 30, 2021, notwithstanding Section 426 of Public Law 112-95, as amended by Section 458 of Public Law 115-254, will contribute a local cost share no less than 10 percent of the community's current annual subsidy in the following fiscal year to continue to receive EAS funds.

Additionally, a proposed change to EAS eligibility standards would make certain communities in the Commonwealth of the Northern Mariana Islands eligible for EAS.

FY 2020 Anticipated Accomplishments:

In FY 2020, the EAS program will:

- Provide uninterrupted service to approximately 170 communities;
- Continue to focus on cost-control through selection of best value awards, air carrier and community support, and longer-term contracts (three-, four-, and five-year awards);
- Continue enforcement of current EAS program requirements (10-emplanement requirement, \$200 per passenger subsidy cap, and \$1,000 per passenger subsidy cap); and
- Continue outreach with stakeholders, including all EAS communities, Alaska Air Carriers Association, and hub airports.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

Eligible communities will continue to receive subsidized scheduled air service. The table on the following pages shows all subsidized EAS communities as of January 1, 2020, at annual subsidy rates as awarded by the Department.

In addition to the communities below, it is possible there may be adjustments in Alaska and Hawaii (newly subsidized communities as provided by statute, or unsubsidized service through air carrier proposals).

EAS Communities as of January 1, 2020

		Annual subsidy
<u>State</u>	<u>EAS Community</u>	<u>as of Jan. 1, 2020</u>
AK	Adak	\$2,168,848
AK	Adak (freighter)	\$576,819
AK	Akhiok	\$219,086
AK	Akutan (fixed-wing)	\$951,170
AK	Akutan (helicopter)	\$874,832
AK	Alitak	\$38,408
AK	Amook Bay	\$38,408
AK	Angoon	\$280,999
AK	Atka	\$1,066,556
AK	Central	\$159,268
AK	Chignik	\$373,817
AK	Chignik Lake	\$373,817
AK	Chisana	\$77,636
AK	Circle	\$159,268
AK	Cordova	\$3,551,906
AK	Cordova (freighter)	\$30,947
AK	Diomedes	\$190,476
AK	Egegik	\$399,948
AK	Ekwok	\$71,744
AK	Elfin Cove	\$121,118
AK	Excursion Inlet	\$36,824
AK	False Pass	\$232,941
AK	Gulkana	\$200,304
AK	Gustavus	\$528,258
AK	Healy Lake	\$113,203
AK	Hydaburg	\$195,319
AK	Igiugig	\$197,810
AK	Kake	\$261,841
AK	King Cove	\$615,426
AK	Kitoi Bay	\$38,408
AK	Koliganek	\$185,898
AK	Lake Minchumina	\$118,668
AK	Levelock	\$194,427
AK	Manley Hot Springs	\$43,333
AK	May Creek	\$126,532
AK	McCarthy	\$126,532
AK	McGrath	\$290,366

Section 3 – FY 2021 Budget Requests by Account

		Annual subsidy
State	<u>EAS Community</u>	<u>as of Jan. 1, 2020</u>
AK	Minto	\$43,333
AK	Moser Bay	\$38,408
AK	New Stuyahok	\$85,378
AK	Nikolski	\$334,843
AK	Olga Bay	\$38,408
AK	Pelican	\$296,412
AK	Perryville	\$783,228
AK	Petersburg	\$362,984
AK	Petersburg (freighter)	\$237,851
AK	Pilot Point	\$174,796
AK	Port Alexander	\$147,357
AK	Port Bailey	\$38,408
AK	Port Heiden	\$509,127
AK	Port Williams	\$38,408
AK	Seal Bay	\$38,408
AK	South Naknek	\$145,045
AK	St. George	\$910,867
AK	St. Paul Island	\$2,344,633
AK	Tatitlek	\$114,013
AK	Tenakee	\$121,826
AK	Twin Hills	\$224,973
AK	Uganik	\$38,408
AK	Ugashik	\$174,796
AK	West Point	\$38,408
AK	Wrangell	\$321,499
AK	Wrangell (freighter)	\$250,154
AK	Yakutat	\$3,860,767
AK	Yakutat (freighter)	\$29,734
AK	Zachar Bay	\$38,408
AL	Muscle Shoals	\$2,906,552
AR	El Dorado/Camden	\$2,580,559
AR	Harrison	\$2,709,305
AR	Hot Springs	\$2,703,266
AR	Jonesboro	\$2,082,599
AZ	Page	\$4,398,924
AZ	Prescott	\$4,064,342
AZ	Show Low	\$1,741,564

		Annual subsidy
State	EAS Community	as of Jan. 1, 2020
CA	Crescent City	\$3,310,503
CA	El Centro	\$2,539,616
CA	Merced	\$3,316,269
CO	Alamosa	\$3,009,319
CO	Cortez	\$3,744,077
CO	Pueblo	\$2,841,494
GA	Macon	\$4,687,979
HI	Hana	\$115,252
HI	Kamuela	\$374,034
IA	Burlington	\$2,489,758
IA	Fort Dodge	\$2,980,005
IA	Mason City	\$2,980,005
IA	Waterloo	\$1,762,664
IL	Decatur	\$3,064,011
IL	Marion/Herrin	\$3,024,059
IL	Quincy/Hannibal, MO	\$3,333,681
KS	Dodge City	\$3,695,084
KS	Garden City	\$891,695
KS	Hays	\$3,187,319
KS	Liberal/Guymon, OK	\$3,824,488
KS	Salina	\$3,056,211
KY	Owensboro	\$2,101,441
KY	Paducah	\$2,844,587
ME	Augusta/Waterville	\$2,175,234
ME	Bar Harbor (Labor Day to Memorial Day)	\$1,944,549
ME	Bar Harbor (Memorial Day to Labor Day)	\$1,428,280
ME	Presque Isle/Houlton	\$4,878,526
ME	Rockland	\$2,378,197

		Annual subsidy
State	<u>EAS Community</u>	<u>as of Jan. 1, 2020</u>
MI	Alpena	\$2,453,395
MI	Escanaba	\$3,079,304
MI	Hancock/Houghton	\$2,065,384
MI	Iron Mountain/Kingsford	\$3,342,359
MI	Ironwood/Ashland, WI	\$3,622,489
MI	Manistee/Ludington	\$2,990,575
MI	Muskegon	\$2,661,758
MI	Pellston	\$1,374,162
MI	Sault Ste. Marie	\$2,785,006
MN	Bemidji	\$1,336,412
MN	Brainerd	\$2,013,381
MN	Chisholm/Hibbing	\$2,849,809
MN	International Falls	\$3,042,482
MN	Thief River Falls	\$3,504,152
MO	Cape Girardeau/Sikeston	\$3,440,677
MO	Fort Leonard Wood	\$3,111,628
MO	Kirksville	\$2,112,705
MS	Greenville	\$2,849,241
MS	Laurel/Hattiesburg	\$3,128,905
MS	Meridian	\$3,332,133
MS	Tupelo	\$3,932,032
MT	Butte	\$812,499
MT	Glasgow	\$2,203,228
MT	Glendive	\$2,379,979
MT	Havre	\$2,344,345
MT	Sidney	\$4,350,668
MT	West Yellowstone	\$662,888
MT	Wolf Point	\$2,369,662
ND	Devils Lake	\$4,015,395
ND	Dickinson	\$3,724,490
ND	Jamestown (ND)	\$2,743,360
NE	Alliance	\$2,346,562
NE	Chadron	\$2,506,926
NE	Grand Island	\$397,339
NE	Kearney	\$3,750,282
NE	McCook	\$2,512,710
NE	North Platte	\$3,648,904
NE	Scottsbluff	\$3,216,627

		Annual subsidy
State	EAS Community	as of Jan. 1, 2020
NH	Lebanon/White River Jct.	\$3,825,513
NM	Carlsbad	\$2,892,899
NM	Clovis	\$4,368,499
NM	Silver City/Hurley/Deming	\$3,585,068
NY	Massena	\$3,136,994
NY	Ogdensburg	\$3,060,013
NY	Plattsburgh	\$3,440,709
NY	Saranac Lake/Lake Placid	\$2,172,401
NY	Watertown (NY)	\$4,030,251
OR	Pendleton	\$2,611,162
PA	Altoona	\$2,583,025
PA	Bradford	\$2,400,898
PA	DuBois	\$3,247,723
PA	Johnstown	\$3,227,650
PA	Lancaster	\$2,555,280
PR	Mayaguez	\$1,646,814
SD	Aberdeen	\$1,418,158
SD	Pierre	\$3,712,693
SD	Watertown (SD)	\$3,310,324
TN	Jackson	\$1,922,856
TX	Victoria	\$3,481,033
UT	Cedar City	\$2,629,360
UT	Moab	\$3,039,776
UT	Vernal	\$3,160,873
VA	Staunton	\$3,053,983
VT	Rutland	\$1,755,539
WI	Eau Claire	\$2,515,278
WI	Rhineland	\$2,340,322
WV	Beckley	\$2,827,968
WV	Clarksburg/Fairmont	\$2,856,486
WV	Greenbrier/White Sulphur Springs	\$4,075,942
WV	Morgantown	\$3,175,894
WV	Parkersburg/Marietta, OH	\$2,134,573
WY	Cody	\$867,347
WY	Laramie	\$2,156,912
	Annual Subsidy @ 100% completion	\$328,411,559

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
PAYMENTS TO AIR CARRIERS
Appropriations, Obligation Limitations, and Exempt Obligations
(Discretionary)
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$162,000	0
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$0	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	\$0	
January 2021 Pay Raise	\$0	
GSA Rent	\$0	
Working Capital Fund Changes	\$0	
FERS Changes	\$0	
Award Changes	\$0	
Inflation and Other Adjustments	\$0	
Subtotal Adjustments to Base	\$0	
FY 2021 Baseline Estimate	\$162,000	0
Program Changes (+/-):	-\$20,276	0
FY 2021 Request	\$141,724	0

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
ESSENTIAL AIR SERVICE
Appropriations, Obligation Limitations, and Exempt Obligations
(Mandatory)
(\$000)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	\$ 2,185	\$ 2,264	\$ 2,271
Travel	7	8	7
Other Costs	1,117	1,144	1,153
Programs	142,129	147,096	150,845
TOTAL	\$ 145,437	\$ 150,512	\$ 154,276

STAFFING

Direct FTE	13	14	14
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The Essential Air Service (EAS) overflight fees collected by the Federal Aviation Administration and transferred to OST are combined with the Payment to Air Carriers appropriation to fully fund the EAS program.

Program and Performance Statement

The Federal Aviation Reauthorization Act of 1996 (P.L. 104-264) authorized the collection of user fees for services provided by the Federal Aviation Administration (FAA) to aircraft that neither take off nor land in the United States, commonly known as overflight fees. The Act permanently appropriated the first \$50 million of such fees for the Essential Air Service (EAS) program and rural airport improvements. In addition, the FAA Modernization and Reauthorization Act (P.L. 112-95) requires that, in any fiscal year, overflight fees collected in excess of \$50 million will be available to carry out the EAS program. The FY 2021 Budget proposes to reform the EAS program.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
ESSENTIAL AIR SERVICE
Appropriations, Obligation Limitations, and Exempt Obligations
(Mandatory)
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$150,512	14
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$20	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	-\$9	
January 2021 Pay Raise	\$17	
GSA Rent	\$0	
Working Capital Fund Changes	\$0	
FERS Changes	\$0	
Award Changes	\$0	
Inflation and Other Adjustments	\$0	
Subtotal Adjustments to Base	\$28	
FY 2021 Baseline Estimate	\$150,540	14
Program Changes (+/-):	\$3,736	-
FY 2021 Request	\$154,276	14

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
WORKING CAPITAL FUND
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>Program</u>	<u>FY 2019 Actual</u>	<u>FY 2020 Enacted</u>	<u>FY 2021 Request</u>
WCF DOT Activities	\$203,883	\$205,912	\$243,638
WCF Shared Services	115,910	113,881	152,838
WCF Non-DOT Activities	321,257	299,483	306,609
TOTAL	\$641,050	\$619,276	\$703,085

<u>Staffing</u>			
Reimbursable Positions	248	297	297
Reimbursable FTE	232	291	291

Appropriations Language

Working Capital Fund

[For necessary expenses for operating costs and capital outlays of the Working Capital Fund, not to exceed \$319,793,000, shall be paid from appropriations made available to the Department of Transportation: *Provided*, That such services shall be provided on a competitive basis to entities within the Department of Transportation: *Provided further*, That the above limitation on operating expenses shall not apply to non-DOT entities: *Provided further*, That no funds appropriated in this Act to an agency of the Department shall be transferred to the Working Capital Fund without majority approval of the Working Capital Fund Steering Committee and approval of the Secretary: *Provided further*, That no assessments may be levied against any program, budget activity, subactivity or project funded by this Act unless notice of such assessments and the basis therefor are presented to the House and Senate Committees on Appropriations and are approved by such Committees.] *Any Working Capital Fund limitation shall not apply to the Department's Information Technology, Human Resources, or Acquisition shared services consolidation of functions.*

Program and Performance Statement

The Working Capital Fund finances common administrative services and other services that are centrally performed in the interest of economy and efficiency. The fund is financed through agreements with the Department of Transportation operating administrations and other customers. In 2021, the Working Capital Fund will likely obligate nearly \$703 million across the Department, including \$153 million to continue the Department's implementation of a shared services environment for human resources, procurement, and commodity information technology investments. The Department of Transportation's shared services initiative will improve mission delivery in acquisition, human resources, and information technology by consolidating separate, overlapping, and duplicative processes and functions. As a key part of this effort, the Department is currently embarking upon a more modern, centralized approach to Information Technology (IT) investment and management through the use of shared services. In 2021, the Department will continue consolidating its acquisition, Human Resources (HR), and commodity IT services across Operating Administrations (OAs). Utilizing shared services will enable the Department to improve cybersecurity, increase efficiencies, and improve transparency in IT spending.

Detailed Justification for Working Capital Fund

What Is This Program and What Does This Funding Level Support?

The Working Capital Fund (WCF) is a fee-for-service operation that normally receives no direct appropriation; its costs are paid by its customers. In FY 2021, the WCF estimates \$703.09 million in obligations, 297 positions, and 291 FTEs, including \$152.84 million to continue the Department's move towards implementing Shared Services.

FY 2021 DOT Working Capital Fund Summary (000s)	
DOT WCF Activities	
Administration	\$137,313
Information Technology	\$106,325
Sub Total	\$243,638
DOT Shared Services	
Administration	\$24,460
Information Technology	\$128,378
Sub Total	\$152,838
Non-DOT Activities	\$306,609
TOTAL	\$703,085

The WCF is authorized under 49 U.S.C. 327 to support the Department by strategically providing high quality, timely administrative shared services to the Department of Transportation (DOT) customers, which enables the Operating Administrations (OA) to focus on core transportation infrastructure goals. The WCF provides a wide range of technical and administrative shared services and is a fully self-sustaining organization and must achieve full cost recovery which includes an equitable distribution of overhead and indirect costs.

The WCF facilitates efficiencies by placing policy offices and service providers together in the same organization through the following:

- Making the best use of employee expertise, increasing communication, and reducing costs to the taxpayers;
- Identifying and eliminating redundancies and reducing organizational layers;
- Finding opportunities to integrate infrastructure improvements and assets from cyber and other appropriations into the WCF;

- Providing best value to the government through compliance with OMB and Congressional directives to consolidate and deliver services more efficiently; and
- Consolidating OAs' infrastructures into a single Departmental infrastructure to improve service delivery, increase security, and reduce costs.

The two OST offices providing WCF services are:

- The **Office of the Assistant Secretary for Administration (OASA)** prioritizes and deploys resources to provide the financial management for the WCF and Departmental services in HR, security, acquisition and Federal acquisitions reporting systems, information services, transportation and facilities, and space management. In addition, the OASA manages the transit benefit program for 140 agencies Nationwide.
- The **Office of the Chief Information Officer (OCIO)** manages the delivery of IT services to customers, including operating an IT infrastructure that includes e-mail services, file and print service, enterprise hosting services, consolidated IT services as well as configuration and change management support for OAs' contracts with the OCIO for services and reimburse the WCF for the cost of those services.

To achieve its vital nationwide mission of efficiently and effectively planning for and executing DOT's mission, DOT seeks to continually enhance its mission delivery by improving shared services offerings. Shared services efforts include identifying strategies to reduce cost and improve service delivery by consolidating separate, overlapping, and duplicative processes and functions. As an existing shared services provider within the Department, the WCF is the logical place for administrative and commodity IT to be performed or managed. The WCF already delivers these services for several OAs, and as such, has the infrastructure in place to provide Department-wide.

WCF Services in FY 2021

The following section outlines the activities planned with the resources requested in FY 2021. The section is grouped by the three main programmatic areas: DOT Activities; Shared Services; and Non-DOT Activities.

~ WCF Services in FY 2021: DOT Activities ~

FY 2021 DOT Activities (000s)	
Administration	\$137,313
Information Technology	\$106,325
Total	\$243,638

Within DOT Activities, there are activities provided through the Office of Administration and the Office of the Chief Information Officer.

OFFICE OF ADMINISTRATION: Administration Activities **\$137.313 million**

The Office of the Assistant Secretary for Administration provides the Department with a competitively priced, comprehensive range of administrative shared services while continuously improving administrative activities to ensure effective performance through the use of best practices. The OASA staff plans, develops, evaluates, and provides support programs in the areas of: security; personnel; organizational and HR development; procurement; employee wellness; occupational health and safety; personal property; mail and copy management; motor pool; parking and transit benefits; graphics; printing, photography, warehousing, distribution, and library services; and space management. The staff consists of experienced government FTEs and contractors who oversee the technical and business operations.

Acquisitions & Procurement Operations **\$4.519 million**

This program provides the full range of procurement functions from acquisition planning through contract closeout including pre-award contract and grant services, post award contract and grant services, simplified acquisition services, and purchase card administration and oversight. This program acts as the servicing procurement office for the Office of the Secretary (OST), Office of the Inspector General, and Surface Transportation Board and does limited procurement work for other customers as requested. Acquisition Services awards between \$250 million and \$450 million in new obligations annually, processing over 1200 transactions per year.

Building Security **\$17.518 million**

The Building Security program provides security for the DOT Headquarters building and FAA FOB-10A, and FAA FOB-10B, which includes contract Protective Security Officer (PSO) services on a 24-hour per day basis and other physical security access control functions.

Disability Resource Center **\$3.628 million**

The Disability Resource Center (DRC) provides a centralized activity to help managers, their employees, and job applicants with disabilities maintain performance and productivity through reasonable accommodations, accessibility support, technical assistance, and inclusion strategies, in accordance with Federal law. The Center uses the shared service model delivered by a team of subject matter experts. Program costs are allocated to the modes based on their national population of staff with adjustments made to exclude certain position series with stringent medical requirements.

DOT Cross Functional Activities **\$1.476 million**

Provides centralized billing for services received by the Department from multiple Federal agencies. Services include: Flexible Spending Account, Federal Audit Clearing House, Cross Agency Priority Goal/Government-Wide Policy, Government-Wide Councils, Federal Laboratory Consortium, and News Media Services.

DOT Property & Space Management

\$4.401 million

The Real Property and Space Management Program provides oversight and management of all DOT real property. The office provides various support services, as required, involving the Department's nationwide real property, leasing, and assets in compliance with Federal guidelines.

E-Gov Initiatives

\$3.707 million

The 24 E-Gov Initiatives serve citizens, businesses, and Federal and state government employees by delivering high quality services. This business line consolidates 117 separate DOT interagency agreements into 8 E-Gov Initiative agreements.

Emergency Response Programs

\$1.842 million

This Program provides centralized billing services for the Department's Continuity of Operations (COOP) to include consolidation of five reimbursable agreements for the Transportation Operations Center, the Department's COOP facility, and the Emergency Notification System.

Financial Management, Accounting & Administration

\$13.029 million

The Office of the Assistant Secretary for Administration provides WCF financial administration and guidance and support to the program offices within the WCF, including the OCIO. The financial administration includes budget formulation and execution; financial management and accounting services; and overall management and oversight of the financial operations of the WCF.

Headquarters Services Management

\$ 4.859 million

This program manages multiple functions within DOT Headquarters, including Events Center, Mail Management, Motor pool and Fitness Center. The program coordinates concession activities such as facilities operated under the Randolph-Sheppard Act, and the DOT cafeteria.

HQ Facility Operations & Management

\$19.686 million

This program manages a diversified and complex, mission-essential, building management program for the DOT Headquarters facility totaling over 1.3 million useable square feet of space which houses the Secretary of Transportation and over 5,500 Federal and contractor support employees.

Human Resource Systems

\$21.520 million

Human Resources (HR) Systems provides program management, oversight and support for all of the DOT-enterprise wide HR systems, which include the Federal Personnel and Payroll System, the Oracle Business Intelligent Enterprise Edition, the Learning Management System, the Electronic Official Personnel Folder, the Workforce Transformation Tracking System / Entry on Duty System, Employee Express, the Workers' Compensation Information System, Web Printing, as well as for ongoing HR systems modernization.

Human Resource Services

\$10.233 million

Human Resource Services provides leadership, guidance, and oversight to all Human Resources programs, specifically: Departmental Work Life and Special Programs; Health Services; DOT Work Life and Human Capital and Solutions; Human Resource Operations; Executive and Political Resources Center; and DOT's Automated Staffing Services. These programs offer HR services; leadership development opportunities for supervisors, managers, and leaders; centralized coordination of programs that cross all DOT operating Administrations and Secretarial Offices; seminars, resources, referral support to employees nationwide; health services; and full range of executive and political resources operational services.

Information & Records Management

\$8.210 million

Information and Records Management provides a wide-range of services to include Dockets Operations servicing as a clearinghouse for rulemaking and non-rulemaking activity; multifunctional printer equipment for DOT nationwide; expert visual information and printing consulting including design specifications, multi-media presentations, CD-ROM layout services, publications, posters, plaques and certificates; Records Management oversight to ensure compliance with statutory and regulatory requirements; and the DOT Library which provides research and reference assistance across a variety of transportation and legal resources.

Security Operations

\$8.008 million

Security Operations programs include Security and Investigations, Personnel Security, National Industrial Security Program, Identification Media, HSPD-12, Passports, Information Security, and Technical Security. Security Operations is an integral and crucial part of DOT's effort to ensure a safe and secure working environment for its federal and contractor employees and visitors; and to protect DOT facilities, equipment, and sensitive and classified information.

Substance Abuse Awareness & Testing

\$3.688 million

The DOT Federal Employee Drug and Alcohol Testing Program, mandated by Executive Order 12564 and the Omnibus Employee Transportation Act of 1991, is the second largest program in the Federal Government with over 80,000 federal employees (DOT and Non-DOT services) in the testing pool. Services under this program are provided to all DOT OAs and the U.S. Merchant Marine Academy.

DOT Transit Benefit Program

\$8.922 million

Transportation Services (TRANServe) delivers transit benefit services to DOT operating administrations. TRANServe provides this fringe benefit in accordance with the Internal Revenue Code section 132(f).

Unemployment Compensation

\$2.067 million

The Department of Labor requires a central billing point in each cabinet agency for the unemployment costs of employees. The Working Capital Fund accepts unemployment compensation charges from the Department of Labor and bills each OA for their costs through a centralized billing service. Department of Labor (DOL) bills the Department of Transportation on a quarterly basis for their unemployment charges.

CHIEF INFORMATION OFFICER: Information Technology Activities \$106.33 million

The Office of the Chief Information Officer (OCIO) has the responsibility for the management and administration of the IT Shared Services portion of the Department's WCF organization, including the infrastructure, known as the common operating environment (COE). This includes telecommunications, messaging, directory services, a fully consolidated DOT headquarters network, service desk and related support. The OCIO provides the Department with a single source for competitively priced, comprehensive range of IT services while continuously improving the technology and safety of the IT infrastructure for the Department. WCF OCIO provides expertise to the Department with state-of-the-market technical expertise, institutional IT knowledge, and historical data that is not readily available from other sources. The OCIO works to remediate common cybersecurity vulnerabilities and weaknesses through WCF-funded strategies.

OCIO continues to implement the approved reprogramming and reorganization that was based on an extensive information technology (IT) workforce analysis completed in FY 2014. This realignment improves management and efficacy of the management of IT. Funding for the new positions will be realigned from the OCIO's contract line item.

Business Management and IT Administration

\$8.095 million

Provides the overall management of the IT shared service programs and certain special projects, delivers business management and financial support to the OCIO programs, and direct management and oversight of OCIO programs, Continuity of Operations and Disaster Recovery activities for OCIO programs, Inventory Management/Help Desk software implementation and maintenance, stockroom, and administrative services.

Campus Area Network (CAN)

\$15.528 million

Provides support services for the network infrastructure, Internet connectivity, and secure connections for the DOT headquarters and connectivity between DOT HQ and other DOT buildings in the DC Metro area, including the FAA HQ (FOB-10A).

This program includes support for the 5-HELP Service Center Incident Management Center; maintenance support for new security software and appliances; support of the additional bandwidth for Internet connectivity; the increased level of monitoring as required by DHS and the Trusted Internet Connection; and the Enterprise Network Operations Center (ENOC), which is part of the DOT 5-HELP Service Center is responsible for the monitoring, notification, and facility management in support of OCIO. These services are provided to customers twenty-four hours a day regardless of physical location.

This program also includes Network Engineering which provides planning, design and implementation services for network infrastructure. It is one of the focal points in enabling the consolidation of services and establishing a consistent and secure network across DOT.

Cybersecurity As a Service (CAS) \$6.633 million

The mission of the DOT Cybersecurity As a Service (CAS) program is to ensure the protection, integrity, availability, and confidentiality of DOT business systems and critical IT infrastructure across hundreds of geographically separated locations, including contractor facilities and cloud service providers. The program's primary function is to lead and oversee DOT's implementation of Federal cybersecurity regulations, policies, guidance, and capabilities, and ensure DOT's compliance with the Federal Information Security Modernization Act (FISMA) and other applicable statutory requirements.

This program leads the DOT security assessment and authorization processes, and the implementation of continuous monitoring and risk management across the agency, specifically for DOT CIO systems operated by the OCIO program team. The process ensures there is a secure, foundational general support system that DOT modes can leverage and inherit security from with minimal risk and with minimal duplication of effort or resources. The program provides capabilities that maximize re-use of available information to cost effectively support required enterprise information sharing and reporting to the Office of Inspector General, DHS, and the Office of Management and Budget.

Desktop Services \$18.291 million

The OCIO desktop, laptop, and engineering PC program provides quality, cost effective seat management, and related support under Service Level Agreements (SLA) with customers. OCIO has expanded support to provide desktop support for all non-FAA regional and field users.

Enterprise Dashboard \$0.357 million

The Dashboard allows users to visualize and understand WCF expenditures and to make better business decisions. The platform is also used to improve business intelligence in a variety of areas including demographics tracking, human resource planning, procurements, and undelivered orders.

Enterprise Licenses**\$5.831 million**

OCIO manages Department-wide enterprise license agreements such as the Microsoft Enterprise License Agreement (ELA). Centrally managed enterprise agreements facilitate efficiency, improved management, and leverages economies of scale.

Server and Messaging Services**\$31.576 million**

The server operation includes all areas of server management and digital services, including departmental internet, server administration, storage, backup, and server hosting, professional services, Geographic Information System (GIS), data services, the enterprise web environment and web projects, document management, grant management and other enterprise productivity tools. Server Operations also provides hosting services for the cloud and on-premise servers, and other devices for OAs (with the exception of FAA).

These services also include Directory and messaging services that provide secure authentication to authorized DOT users. OCIO currently manages more than 12,000 user and administrative accounts.

Voice, Cable & Wireless**\$20.014 million**

The Voice, Cable, and Wireless (VCW) component offers customers a wide range of telecommunications services such as desktop telephone service with voice mail, wireless telephony, circuit analysis, cabling, billing analysis, inventory management, telecom coordination/customer service, teleconferencing and customer special projects. The program also includes Email and Mobile Device Management (MDM) which allows the DOT mobile workforce to securely access email, check their calendars, and keep up with work contacts remotely.

~ WCF Services in FY 2021: Shared Services Activities ~

FY 2021 Shared Services (000s)	
Administration	\$24,460
Information Technology	\$128,378
Total	\$152,838

Within Shared Services, there are activities provided through the Office of Administration and the Office of the Chief Information Officer.

OFFICE OF ADMINISTRATION: Administration Shared Services - \$24.460 million

DOT's administrative processes are complex and under consistent pressure to meet mission objectives with increased efficiency, effectiveness, and quality of service. Adding to the complexity of the current model for service delivery are the disparate processes, policies, and

procedures in use across each OAs, causing functional silos, duplication of effort, and inconsistency of service.

Shared services offer the ability to improve internal processes and better enable the effective delivery of core missions by combining currently separate, overlapping, or duplicative mission support processes and systems. The current initiative is designed to improve existing operations to meet industry standards. Ultimately, this will lead to higher performing, more responsive programs that properly allocate resources to improve the quality of service.

Acquisitions: The Office of the Senior Procurement Executive (OSPE) is the lead procurement organization for the oversight of department-wide contract vehicles for use by all DOT OAs. As the Department continues to respond to the White House Executive Order on Reorganizing Executive Departments and Agencies, an assortment of activities are being undertaken across DOT. DOT is establishing an IT Acquisition Center of Excellence within the Department that will provide acquisition and contracting support for the procurement of IT hardware, software, and services. OSPE has been tasked to support the DOT Shared Services acquisition programs with a strategic focus on Shared Services procurements.

HR Shared Services: HR has identified three shared service initiatives, impacting five program areas, that when transitioned to a shared service, will substantially increase efficiencies and customer service. These programs are described below:

- Benefits: The consolidation of the Benefits function to a single shared service center for all DOT OAs, except the OIG, will improve the consistency and quality of information and guidance provided to DOT employees; provide technical expert backups to ensure that employees can always get benefits assistance; maintain or improve the timeliness of service; and lead to economies of scale.
- Staffing, Classification, and Personnel Action Processing: Each OA, other than FAA and OIG, follows the same Title 5 rules, regulations and resources to classify positions, hire employees, and process personnel actions. To provide greater service consistency, expertise, and depth in service, the DOT will establish an HR Operations Center which will be responsible for the full scope of the hiring, classification, and personnel action processing. The establishment of this center will provide consistency across the Department and provide greater depth and breadth of HR knowledge and expertise and enhance support through a sharing of resources through a larger pool of HR Specialists.
- Leadership and Supervisory Training: The development of leaders and supervisors is based on the Executive Core Qualifications (ECQ's), and the competencies that are defined by the Office of Personnel Management (OPM). The consolidation of this training into a single center of excellence will provide all DOT leaders with a consistent level of high quality training opportunities and reduce costs for redundant supervisory and leadership training that is currently being contracted for in multiple OAs.

Enterprise-Wide Personal Property System: A new Enterprise Personal Property Asset Management System of Record will provide DOT with an enterprise solution to manage more than 330,000 accountable assets with an inventory valued at over \$7.2B. The Department does not have an enterprise-wide solution for asset management and currently uses six unique asset management systems across nine OAs to manage accountable assets. An enterprise solution for personal property management will provide a foundation for cost savings and avoidance opportunities in managing all DOT accountable assets.

CHIEF INFORMATION OFFICER: Information Technology Shared Services - \$128.378 million

The Office of the Chief Information Officer is undergoing a digital transformation – *Destinations DIGITAL* - which is leveraging information technology shared services to help modernize IT across DOT. A more modern, centralized approach to managing IT will improve cybersecurity, decrease unnecessary duplication across the organization and free up resources to enhance IT and data capabilities for customer and stakeholders. OCIO is taking an iterative, phased approach to the Department's digital transformation as part of a multi-year Commodity IT consolidation effort.

In FY 2021, OCIO will continue to focus on investment-level commodity IT Spend. As OCIO and the modes have worked together to schedule consolidation activities, DOT has identified additional commodity IT spending, including security needs associated with commodity IT. These activities are explained in the following chart.

FY 2021 Commodity IT Shared Services Spending Request (000s)	
Desktop Services	\$13,282
Desktop Support, Field Support, Anti-virus protection	
Server Operations (on premise and cloud)	\$49,825
<ul style="list-style-type: none"> • Common Server Services: Server Administration, Server Hardware & Software, Server Hardware & Software Support, Patch Management, Disaster Recovery, Storage and Hosting • Collaboration Services: Microsoft SharePoint and Microsoft Teams • Data Services: Enterprise Data Tools (Tableau, Cloudera, Socrata), Secure Data Platforms, and Data Dashboards • Enterprise Solutions: Transportation.gov Website, Enterprise Web Platform and Security, Electronic Document Management System, Oracle Licenses, and Geospatial Licensing & Support (ESRI) 	
Campus Area Network	\$1,234
Circuit Connections	
Voice Cable & Wireless	\$45,508
Telephone & Voicemail Services, Video Teleconferencing, and Wireless Services	
Network Engineering	\$6,470
Networking Hardware & Software, Networking Hardware & Software Support, and Secure Remote Access	
Directory & Messaging Services	\$105

Active Directory Services and E-Mail Services	
Cybersecurity as a Service	\$11,954
<ul style="list-style-type: none"> • Security Operations Center Services • Vulnerability Tracking & Remediation • Website Vulnerability Tracking • Weakness Identification, Tracking & Remediation • Incident Management for Commodity IT • PIV Card Infrastructure & Credentialing, Authentication & Access Control Services • System Contingency Planning & Testing • Security Planning, Authorization & Assessment • Security Awareness & Training • Continuous Monitoring Tool & Licensing, Departmental Governance • Risk & Compliance Tool (CSAM), Management & Support • Vulnerability Identification, and System Security Operation Policy & Guidance 	
Total	\$128,378

Commodity IT Shared Services Personnel

In support of the movement of commodity IT into the WCF, OST is proposing a move of 49 FTE from the OAs, in direct correlation to the workload associated with the transition. The 49 FTE are required to manage help desk support, phone system management, circuit updates, server management, SharePoint and website support, commodity IT project management, and cybersecurity-associated tasks.

Specifically, the 49 FTEs will manage the following tasks:

- **Desktop (13 FTE)** – Through the transition, the desktop user base will double. Modes currently provide ALL tier 2 support in the field. Additional staffing is also needed for premium support.
- **Voice, Cable and Wireless (7 FTE)**
 - Phones (2 FTE) – Additional staff will assist OCIO in managing all field phone systems, which are not currently managed in OCIO. This change results in a 100% increase in the telephone system management.
 - Enterprise Infrastructure Services (EIS) (2 FTE) – OCIO will complete all ordering and updates for all circuits. These activities were previously managed by the modes.
 - Wireless (3 FTE) – Employees will perform deskside phone management duties related to mobile phones. Additional staff is also needed to support premium-level service.

- **Network (5 FTE)** – The network OCIO manages is 30% larger due to the consolidation. All network components must now be under OCIO management. As a result of NARM, we are increasing efficiency and automating where we can.
- **Server (14 FTE)**
 - Administration (10 FTE) – The OCIO-managed server footprint will go by 100%. OCIO is inheriting more servers than are actually managed today. The current environment includes 1,173 servers, and it will grow by 1,420 additional servers.
 - Web (2 FTE) – Staff will manage all modal websites.
 - SharePoint (2 FTE) – All modal sites will be managed as part of the enterprise SharePoint environment. The sites are currently federated, which has led to degraded service and limits DOT’s ability to stay current.
- **Project Managers (5 FTE)** – OCIO will absorb the management of all commodity IT projects for the modes and will be responsible for optimization activities. Future work is estimated at a 100% increase over current OCIO projects.
- **Cybersecurity (5 FTE)** – OCIO will assist with security responsibilities across the Department, including authorization packets. The staff will also work with the modes on patch management and weakness remediation for modal systems.

The proposed modal split for the movement of IT-related personnel to WCF is based on a review of the current modal support provided for commodity IT as represented in the following chart.

Mode	Estimated FTEs to Move to WCF
OST	0
FAA	0
FHWA	12
FRA	5
NHTSA	6
FTA	4
SLSDC	1
MARAD	3
OIG	0
FMCSA	6
PHMSA	2
Unspecified	10
TOTAL	49

~ WCF Services in FY 2021: Non-DOT Activities ~

FY 2021 Non-DOT Activities (000s)	
Administration	\$306,608

Within Non-DOT Activities Services, there are only activities provided through the Office of Administration.

OFFICE OF ADMINISTRATION: Administration Activities **\$306.608 million**

Administrative Services **\$4.781 million**

The WCF provides some administrative services such as HR Systems, Substance Abuse Awareness and Testing, Disability Resources, Work Life, personal property, Dockets operations, security administration, and procurement operations for some Non-DOT agencies.

Employee Fitness Center Fees **\$.340 million**

Fees collected from DOT employee for DOT Fitness Center membership.

Non-DOT Transit Benefits & Parking **\$301.428 million**

The TRANServe Program Office is a Federal Government shared services provider for transit benefits to 140 Federal agencies with approximately 150,000 participants. TRANServe provides this fringe benefit in accordance with the Internal Revenue Code section 132(f). This program receives funding under two different authorities in performing its various roles in support of DOT and Non-DOT agencies:

- Non-DOT WCF under Section 103 of the Further Consolidated Appropriations Act, 2020 (Div. H, Pub. L. 116-94); and
- Employee Parking Deposits for parking spaces to DOT employees under GSA Federal Management Regulation.

The Parking Management Program sells, issues, and administers weather-secure parking spaces in the DOT headquarters building. In addition, the program provides oversight to FAA for the management of their parking fees. The Parking Office collects money from the sale of parking permits for the regular monthly parking, temporary parking, and FAA parking.

Purchase Card Program **\$.059 million**

This program receives funds from purchase card rebates to oversee the Departmental purchase card program. This program provides mandatory training to all OAs (including FAA) and maintains support systems throughout the Department for ensuring compliance with the Government Purchase Card (GPC) laws and regulations.

Changes in the FY 2021 Request

The following section outlines the changes in resources planned in FY 2021. The section is grouped by the three main programmatic areas: DOT Activities; Shared Services; and Non-DOT Activities.

~ Changes in the FY 2021 Request: DOT Activities ~

DOT Activities (\$37.73 million): Changes to the Lines of Business below make up the net change from FY 2020 enacted levels:

OFFICE OF ADMINISTRATION: Administration Activities - \$12.23 million

- Acquisition and Procurement Operations is requesting an increase of \$2.7 million which reflects the ongoing refinement of estimates associated with the IT acquisition consolidation efforts.
- Building Security is increasing by \$0.72 million, of which \$0.58 will be for the new building security contract awarded in FY 2019. The new contract incorporates the current Department of Labor wage grade determination. The remaining \$0.14 million is included to update the lobby turnstiles to the new HSPD 12 compliant readers and for the purchase of wireless readers, allowing guards to view employee images in real time as they swipe their cards to gain admittance to the buildings.
- Financial Management, Accounting and Administration has a net increase of \$0.69 million primarily due to adjustments of Shared Services refinements. Included in this adjustment is an administrative increase of \$3.2 million for the annualization of the FY 2020 pay raise, a one percent pay raise in FY 2021, and the increase in agency FERS contribution and awards in FY 2020 and FY 2021.
- HR Systems is increasing by \$2.73 million, of which \$2.3 million of this is related to the unexpected increase in rates from the service provider. The Department of Interior, has notified the WCF that the rates are increasing to recover the payroll, IT and cyber system enhancements that are necessary to operate the system. The other \$0.43 increase is attributable to normal salary and contract increases throughout the program.
- HQ Facility Operations and Management has a net increase of \$4.9 million; \$2.0 million is attributed to Building Maintenance and Utilities as DOT prepares to request Operations and Maintenance Delegated authority from GSA, and \$2.9 million is associated with the transfer of WCF rent payments from Transit Benefits and Parking to this business line.
- HR Services is increasing by \$3.98 million. A \$1.2 million increase is due to growth in Executive Resource Services and \$2.4 million for consolidation of 13 IAAs for DOT

Automated Staffing services. The remaining \$0.38 million increase is a result of growth of contracts.

- DOT Transit Benefits and Parking has a net decrease of \$1.49 million. Lease payments of \$1.7 million for the DOT Parking Garage has transferred into HQ Facility Operations and Management. DOT Transit Benefits have an increase of \$0.27 million.
- Information & Records is decreasing by \$2.0 million due to the reduction in Printing associated with the FY 2020 Tri-annual printing of the Emergency Response Guide.

CHIEF INFORMATION OFFICER: Information Technology Activities - \$23.83 million

- Significant categories of IT equipment are beyond their useful life and will be replaced in FY 2021. The estimate includes an increase of \$10.1 million for this effort. The WCF collects the cost of the future replacement for equipment over the life cycle of each piece of equipment purchased and will have sufficient reserves to purchase these assets.
- Cybersecurity as a Service and Desktop Services are increasing by a net of \$0.30 million. Cybersecurity as a Service is decreasing by \$0.75 million and Desktop Services is increasing by \$1.0 million, as a result of changes to the contract and interagency agreement estimates across both of these business lines.
- Enterprise Licenses is increasing by \$0.73 million due the conversion of the Adobe Professional Pro Licenses from a two year to a one year contract. This software is used on every computer in DOT and represents the annual costs of these licenses.
- Server & Messaging Services is increasing by \$11.2 million. A \$2.4 million increase is due to new customer specific work orders and adjustments to existing work orders, and \$1.2 million for pre-negotiated contract increases.
- The Business Management and IT Administration business line is increasing by \$1.5 million to upgrade existing and acquire new software and services necessary to implement new shared services costs models.

OTHER: Administration and Information Technology Activities - \$1.67 million

Other small increases and decreases resulting in a net increase of **\$1.67 million** across both Administration and IT have been incorporated in various programs and are reflected in the revenue estimates to the WCF customers.

~ **Changes in the FY 2021 Request: Shared Services** ~

Shared Services (\$38.957 million): There is a net increase for the WCF Administration and IT Shared Services. WCF Administration Shared Services decreased by \$3.815 million and Commodity IT refinements results in a net increase of \$42.772 million. Changes to the Shared Services below make up the net change.

OFFICE OF ADMINISTRATION: Administration Activities - (\$3.815 million)

The decrease is a result of moving Employee and Executive Resources from a shared services pilot to operational activities, the consolidation of 13 IAAs for DOT Automated Staffing services, and small refinements to estimates.

CHIEF INFORMATION OFFICER: Information Technology Activities - \$42.772 million

This increase is comprised of General Support Systems (investment-level commodity IT) and IT security and compliance activities that were not previously included in the commodity IT consolidation.

As OCIO and the modes have worked together to schedule consolidation activities, DOT has identified additional commodity IT spending that can be consolidated into the WCF. These activities had been captured at the OA-investment level and were not included in the FY 2019 commodity IT obligation limitation. These activities, such as web hosting and cloud services, are appropriate to be consolidated as part of the commodity IT initiative.

IT Security and Compliance activities associated with IT commodity, particularly authorization to operate (ATO) services, have not been previously defined as commodity functions, and is not currently included in the obligation limitation. It is essential that commodity IT security is managed centrally to ensure consistency of risk management across DOT's systems and applications. As OCIO takes on more responsibility for managing IT infrastructure for the OAs, there is a corresponding need for OCIO to ensure the central management of the cybersecurity of these resources.

~ **Changes in the FY 2021 Request: Non-DOT Activities** ~

Non-DOT Activities (\$7.1 million): Changes to the Non-DOT Activities below make up the net change.

An increase of \$7.5 million in Transit Benefits and Parking is the result of the increase in the maximum benefit rate and changes in the enrolled customer base and projected utilization of Fare Media offset by a decrease of \$0.33 million due to minor changes in customer demand across multiple business lines.

Anticipated FY 2020 Accomplishments:

OFFICE OF ADMINISTRATION: The Office of the Assistant Secretary for Administration is committed to developing and supporting the mission of the Department through fair, equitable and collaborative approaches, which allows the WCF to continue to provide superior administrative services. The OASA will continue to focus on supporting the existing pilot activities and business process standardization and will review strategies on how to best measure and evaluate the impact of DOT's consolidation efforts through the use of business intelligence capabilities such as: data analytics, performance metrics and dashboards.

Specific program activities will include:

- Implementing standardized processes for HR staffing, classification and processing; utilize Voice of the Customer surveys to identify priority areas for improvements; and pilot DOT-wide training and development for supervisors.
- Continuing the IT Acquisitions Center of Excellence pilot to support the centralized procurement of commodity IT purchases across all DOT operating administrations.
- Consolidating DOT's \$7.6 billion of personal property assets into a single system with a planned contract award in FY 2020. Implementation will be phased to ensure incremental data migration and staff training in the new system.

CHIEF INFORMATION OFFICER: In FY 2020, OCIO will continue to modernize the Department's information technology (IT) infrastructure and improve cybersecurity posture through the *DestinationsDIGITAL* initiative. The OCIO is committed to securely delivering the highest quality IT services to customers, including telecommunications, messaging, directory services, a fully-consolidated DOT headquarters network, service desk, and related services. Operating Administrations (OA) will continue to contract with the OCIO for these services and reimburse the WCF for the cost of the services.

Continuing to consolidate commodity IT services in FY 2020 will:

- Improve the cybersecurity posture of tools, technology, and activities associated with common services;
- Create IT operating efficiencies by streamlining contractor staff;
- Reduce the number of IT contract actions by centralizing service and contract management;
- Provide a standardized environment for service delivery that reduces the Department's Cybersecurity risk exposure;

- Improve user experience through increased service reliability; and
- Leverage economies of scale to reduce unit costs and/or expand support coverage.

In FY 2020, OCIO will continue to transition commodity IT into the WCF. The commodity IT transition has been sequenced based on expiring periods of performance of existing contracts and agreements, to ensure continuity of services throughout transition. By the end of FY20, the majority of support and software license contracts will be transitioned to WCF/enterprise vehicles. These efforts will enable the OAs to free up resources from duplicative IT functions and concentrate on mission critical systems.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

The WCF will continue to provide efficient administrative services in the acquisitions, human resources, information technologies, facilities, print management and physical security arenas.

DOT utilizes a shared services vision for the Department that delivers mission enabling IT services that improve the cybersecurity posture of the Department, creates greater efficiency for IT operations, and presents a strategic advantage to the mission accomplishment of the Department.

Explanation of Funding Changes for the Working Capital Fund (DOT Activities and Shared Services Activities) (000s)		
FY 2020 Request		\$319,793
FY 2021 Program Changes		\$76,683
Description	Explanation	(+/-)
<i>Assistant Secretary for Administration</i>		
Acquisition & Procurement Operations	Transfer of IT Ace to base \$2.0 million and workload Changes due to more refined consolidation estimates \$0.7 million	\$2,708
Building Security	New Guard Contract with Adjusted DOL Labor rates - \$0.579 million and new security equipment \$0.143 million	\$723
Financial Mgmt., Accounting, & Administration	Refined mission support requirements for OCIO Shared Services	\$694
HR Systems	Increased costs from the Service Providers	\$2,729
HQ Facility Operations & Management	Building delegation preparation - \$2.0 million, WCF rent - \$2.9 million	\$4,901
Human Resource Services	\$1.2 million for the increase in Executive Resources; \$2.4 million for DOT Automated Staffing and PC&B and contract inflation of \$0.38 million	\$3,982
Information & Records	Customer specific decrease (Emergency Response Guide)	(\$2,027)
Shared Services	Transfer of Employee and Executive Resources from pilot to operational and consolidation of 13 IAAs for DOT staffing services	(\$3,815)
Transit Benefits and Parking	Parking lease moved to WCF Rent - Decrease of \$1.7M offset by an increase in Transit Benefits - \$0.21 million	(\$1,493)
Other	Changes in customer demand and refined user estimates	\$1,716
<i>Assistant Secretary for Administration Sub Total:</i>		<i>\$10,118</i>
<i>Chief Information Officer</i>		
Business Management and IT Administration	New Business Development Software	\$1,481
Campus Area Network (CAN)	Replacement of Capitalized Equipment.	\$6,392
Cybersecurity as a Service	Contract and IAA reductions	(\$749)
Desktop Services	Changes in customer demand and refined user estimates	\$1,050
Enterprise Licenses	Contract Changes for Adobe Professional Pro Licenses	\$731
Server & Messaging Services	Obligations from SSC - \$7.61 million, Customer Specific Work Orders and adjustments - \$2.4 million, and contract escalation - \$1.23 million	\$11,242
Shared Services	Refinements of Commodity IT not previously identified	\$42,772
Voice, Cable & Wireless	Replacement of Capitalized Equipment.	\$3,646
<i>Chief Information Office Subtotal:</i>		<i>\$66,565</i>
Total FY 2021 Request		\$396,476

Working Capital Fund
Operating Administration Costs
And Other Expenses Estimate
(\$000)

Operating Administration	FY 2021 Request				
	Admin	Admin SS	OCIO	OCIO SSC	Total
OST	\$ 14,061	\$ 0	\$ 14,096	\$ 887	\$ 29,044
FAA	44,307	0	9,466	0	\$ 53,773
FHWA	13,933	0	22,906	17,380	\$ 54,219
FRA	5,358	0	8,313	5,422	\$ 19,093
NHTSA	6,904	0	12,071	8,318	\$ 27,293
FTA	4,915	0	7,089	1,405	\$ 13,409
SLSDC	357	0	755	128	\$ 1,240
VOLPE	1,068	0	2,514	12,657	\$ 16,239
MARAD	4,942	0	4,818	8,799	\$ 18,559
OIG	3,443	0	1,762	418	\$ 5,623
FMCSA	7,822	0	13,298	2,640	\$ 23,760
OST-R	3,360	0	3,253	241	\$ 6,854
PHMSA	4,658	0	6,689	3,377	\$ 14,724
DOT Unspecified	5,751	24,460	0	66,706	\$ 96,917
SUBTOTAL	\$ 120,878	\$ 24,460	\$ 107,031	\$ 128,378	\$ 380,746
Other Expenses					
Capital Assets	\$ 0	\$ 0	\$ 12,797	\$ 0	\$ 12,797
Depreciation	(205)	0	(6,293)	0	(6,498)
Net NON-DOT Intrafund Costs	8,646	0	0	0	8,646
Net WCF Intra Fund Costs	7,994	0	(7,210)	0	784
TOTAL	\$ 137,313	\$ 24,460	\$ 106,325	\$ 128,378	\$ 396,476

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
JOHN A. VOLPE TRANSPORTATION CENTER
WORKING CAPITAL FUND
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>FUNDING LEVELS</u>	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Personnel Compensation and Benefits	\$ 83,699	\$ 90,596	\$ 91,720
Travel	4,000	\$ 4,000	4,040
Other Costs	247,301	245,404	249,240
Programs	-	\$ -	-
TOTAL	\$ 335,000	\$ 340,000	\$ 345,000

STAFFING

Reimbursable FTE	522	570	570
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Program and Performance Statement

The Working Capital Fund finances multidisciplinary research, evaluation, analytical and related activities undertaken at the Volpe Transportation Systems Center (Volpe Center) in Cambridge, MA. The fund is financed through negotiated agreements with other offices within the Office of the Secretary, Departmental operating administrations, other governmental elements, and non-governmental entities using the Center's capabilities. These agreements also define the activities

Detailed Justification for the John A. Volpe Transportation Center Working Capital Fund

What Is This Program and What Does This Funding Level Support?

The Department of Transportation (DOT) established the John A. Volpe National Transportation Systems Center (Volpe Center) to provide multidisciplinary, multimodal transportation expertise on behalf of DOT Operating Administrations (OA), the Office of the Secretary (OST), and external organizations.

For 50 years, the Volpe Center's extensive cross-modal partnerships have led to innovative solutions that advance national and global transportation systems for the public good. As a leader in transportation systems, analysis, and innovation, the Volpe Center is flexible and responsive to the needs and strategic goals and priorities of the DOT.

The Volpe Center programs are funded through its Working Capital Fund (WCF) on a full cost-reimbursable basis. The Volpe Center WCF is authorized under 49 U.S.C. 328 to provide research, development, testing, evaluation, analysis, and related activities for the Department, other Federal agencies, State and local governments, other public authorities, private organizations, and foreign countries. The Volpe Center receives no direct appropriations, and is 100 percent funded by sponsored projects paid through interagency and/or reimbursable agreements.

The Volpe Center provides a historical perspective and institutional memory that is valuable to DOT and the broader transportation community. The Volpe Center works to seek synergies across projects and to transfer best practices, lessons learned, findings, and technologies across DOT and beyond. By partnering with key administration and DOT leaders, the Center maintains a central, crosscutting role in the Department and with other key stakeholders, adding value through technical excellence, innovation, and a commitment to public service.

The Volpe Center's multidisciplinary staff of over 500 federal employees work across all modes of transportation, and collaborate with local, State, and Federal agencies, academia, and industry. Half of the Volpe Center's federal staff have advanced degrees. The Volpe Center workforce represents an elite corps of experts and principal technical advisors representing an expansive variety of disciplines ranging from engineering to the physical and social sciences. The technical experts of the Volpe Center anticipate and address challenges and have a sustained impact on advancing national transportation goals.

The Volpe Center provides leadership to advise, facilitate and manage a wide range of high profile, complex, and often rapid-response Departmental, agency, and priority initiatives of the Secretary. Through extensive outreach and coordination, the Volpe Center supports the Department's efforts to expand its understanding of current, emerging and future issues.

FY 2020 Anticipated Accomplishments:

In FY 2020, the Volpe Center will work to:

- Support safety programs across the OAs, including support to efforts to advance safe integration of new entrants into the National Airspace System;
- Provide infrastructure and automated vehicle policy support;
- Advance data sharing across the aviation community in support of the Federal Aviation Administration’s System Wide Information Management System; and
- Provide technical support to help establish a Highly Automated Systems Safety Center of Excellence.

What Benefits Will be provided to the American Public Through This Request and Why Is This Program Necessary?

The Volpe Center has had a sustained impact on advancing National transportation goals and its work aligns with the strategic goals of the Department – Safety, Infrastructure, Innovation, and Accountability.

The Volpe Center lends key technical support to the OST, DOT OAs, and its customer organizations in several key areas, including:

- Improving transportation safety;
- Integrating advanced technology and engineering into the transportation system;
- Solving complex transportation challenges through a systems approach and sharing expertise, insights and results across the modes;
- Informing transportation policy, programs and decision making;
- Using data to generate new insights and to inform data-driven decisions; and
- Accelerating the adoption of emerging technologies and best practices through outreach, capacity building technology transfer, and demonstration projects.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
JOHN A. VOLPE TRANSPORTATION CENTER
WORKING CAPITAL FUND
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2020 Enacted	\$340,000	570
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$803	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	-\$350	
January 2021 Pay Raise	\$681	
GSA Rent	\$0	
Working Capital Fund Changes	\$303	
FERS Changes	\$0	
Award Changes	\$0	
Inflation and Other Adjustments	\$2,342	
Subtotal Adjustments to Base	\$3,779	
FY 2021 Baseline Estimate	\$343,779	570
Program Changes (+/-):	\$1,221	0
FY 2021 Request	\$345,000	570

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
TRANSPORTATION SAFETY INSTITUTE
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	\$ 8,264	\$ 8,333	\$ 8,438
Travel	2,213	2,213	2,235
Other Costs	9,472	9,282	9,373
Programs	-	-	-
TOTAL	\$ 19,949	\$ 19,829	\$ 20,046

STAFFING

Direct FTEs	29	30	30
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Detailed Justification for the Transportation Safety Institute

What Is This Program and What Does This Funding Level Support?

The Transportation Safety Institute (TSI) provides transportation safety and security training to Federal, State and local governments, the private sector, and foreign transportation professionals on a cost-recovery (“fee-for-service”) basis. This program supports the Department’s Safety Strategic Goal by reducing transportation-related deaths and injuries. Through high quality instruction, TSI provides valuable assistance to the Department and creates a safer transportation system for the traveling public.

Since 1971, TSI has trained more than 950,000 transportation professionals on a reimbursable basis. Many clients represent repeat business, and TSI training is in demand domestically and internationally. Education and training are key factors in improved transportation safety. Course evaluations remain extremely positive and customers consider the training offered by TSI to be critical to their missions. TSI will enhance its safety training services to accommodate changing needs and growing demands.

TSI’s training operations program is organized into four training divisions with expertise in specific transportation safety and security topics.

Aviation Safety was designated by Congress in 1963 as the National Aircraft Accident Investigation School. TSI provides aviation safety and aircraft accident investigation training within its Aviation Safety Professional Certificate Training Program under two distinct tracks: Advanced Aviation Safety Investigator and Advanced Aviation Safety Officer. Continually striving to expand its aviation safety footprint, it offers training to local, state, and federal government agencies, international governments, as well as the aviation industry.

The Division specializes in basic and advanced training courses in Aircraft and Rotorcraft Accident Investigation, Turbine Engine Accident Investigation, General and Commercial Aviation Accident Investigation, Experimental Aircraft Accident Investigation, Cabin Safety Investigations, Heliport Evaluations, Safety Management Systems (SMS), Internal Evaluation Programs, and Human Factors in Aircraft Operations and Maintenance. TSI has provided training and technical assistance to the Interagency Committee on Aviation Policy (ICAP), Customs and Border Protection (CBP), and the Army and Air Force National Guard. TSI has successfully deployed Unmanned Aerial Systems (UAS) in support of Federal Aviation Administration (FAA) and NTSB accident investigation to enhance aircraft accident investigation training.

Transit Safety and Security provides legislatively required and voluntary safety training to the transit industry including public, private, and government professionals. The Division specializes in the development and delivery of safety and security training in the areas of SMS, system safety engineering principles, hazard management, collision/accident investigation, crime prevention, security, substance abuse compliance and program

management, and emergency management. The Division provides the training for the FTA Transit Safety and Security Professional (TSSP) Program.

Multi-Modal Safety provides a variety of transportation safety-related courses specializing in hazardous materials, pipeline safety and motor carrier safety compliance for Federal, State, and private industry audiences. This division develops and delivers safety courses in the areas of explosives, infectious substances, packaging, cylinders, radioactive materials, pipeline transport of both liquids and gases, and commercial motor vehicle inspections. Through continued partnership with the FAA Office of Security and Hazardous Materials Safety (ASH), this division has significantly increased the number of students trained. In addition, the number of courses conducted for Department of Defense's (DOD) Foreign Military Sales (FMS) has increased over 100% the past two years due to new DOD requirements that all FMS recipients take training provided by the TSI Multi-modal division.

Highway Traffic Safety is responsible for the training of Federal, State, and local highway safety professionals and law enforcement in the development, administration, and evaluation of highway traffic safety programs. Specifically, the courses are an integral component of the National Highway Traffic Safety Administration's (NHTSA) core competencies for employee development in highway safety program development, data analysis and evaluation, managing NHTSA grant funds, occupant protection, impaired driving, and speed management. In FY 2017, this division built a new state-of-the-art classroom and vehicle crash laboratory with more than 9500 square feet of training space for crash investigators. They revised and/or develop all curriculum every two years for drug and alcohol enforcement, occupant protection and safety counter measures, impaired driving, pedestrian/bicycle safety and highway safety program/grant management. In FY 2019, NHTSA and TSI developed the Highway Traffic Safety Professional Certificate Series for employee and stake holder professional development. This division also conducts joint projects to include work with the Pipeline and Hazardous Materials Administration (PHMSA) and the Federal Railroad Administration (FRA) to develop, deliver and coordinate training nationally for Federal transportation leaders.

FY 2020 Anticipated Accomplishments:

In FY 2020, TSI will:

- Expand development of cutting-edge courses and e-learning opportunities for transportation professionals;
- Continue utilization of effective learning practices in order to ensure current and future training experiences meet industry training standards;
- Assist DOT partners in implementing needed changes due to changes in regulations;
- Promote safer global transportation systems by domestic and international audiences; and

- Partner with FAA on holding classes in new redesigned TSI facility which will result in cost savings to government.

What Benefits Will Be Provided to the American Public Through This Request and Why Is This Program Necessary?

Through high-quality instruction, TSI provides valuable assistance to the Department and other stakeholders and creates a safer transportation system for the traveling public. TSI has hundreds of subject matter experts currently working for numerous companies that help support our safety training in all transportation modes. This support allows for a cost savings to our customers. TSI will continue to enhance its safety training services to accommodate changing needs and growing demands.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
TRANSPORTATION SAFETY INSTITUTE
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

Explanation of Funding Changes

FUNDING LEVELS

ITEM	AMOUNT	FTEs
FY 2019 Actual	\$19,949	29
FY 2020 Enacted	\$19,829	30
Adjustments to Base		
Annualization of January 2020 Pay Raise	\$74	
Annualization of New Positions Requested in FY 2020	\$0	
Compensable Day(s) Change	-\$32	
January 2021 Pay Raise	\$63	
GSA Rent	\$0	
Working Capital Fund Changes	\$0	
FERS Changes	\$0	
Award Changes	\$0	
Inflation and Other Adjustments	\$112	
Subtotal Adjustments to Base	\$217	
FY 2021 Baseline Estimate	\$20,046	30
Program Changes (+/-):	\$0	0
FY 2021 Request	\$20,046	30

SECTION 4: RESEARCH, DEVELOPMENT AND TECHNOLOGY

EXHIBIT IV-1
FY 2021 RESEARCH, DEVELOPMENT & TECHNOLOGY BUDGET REQUEST BY GOAL
DEPARTMENT OF TRANSPORTATION
BUDGET AUTHORITY
(in thousands of dollars)

Account	Program	Classification (A, D, F, R, or T)	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
OFFICE OF THE SECRETARY					
A.	Transportation Planning, Research & Development		<u>7,879</u>	<u>10,879</u>	<u>9,350</u>
	Development	D	1,309	4,492	1,645
	Administration	A	6,570	6,387	7,705
B.	Research & Development		<u>5,046</u>	<u>16,078</u>	<u>9,075</u>
	Salaries and Administrative Expenses	A	2,828	2,860	4,357
	Research & Technology Programs		2,218	2,218	4,718
	Applied Research	R	887	887	1,887
	Development	D	887	887	1,887
	Technology Transfer/Deployment	T	444	444	944
	Data Initiative		-	1,000	-
	Applied Research	R	-	1,000	-
	Highly Automated Systems Safety Center of Excellence		-	5,000	-
	Applied Research	R	-	5,000	-
	Subtotal, Applied Research (R)	R	887	11,812	1,887
	Subtotal, Development Research (D)	D	2,196	5,379	3,532
	Subtotal, Research and Development Facilities (F)	F	-	-	-
	Subtotal, Technology Transfer/Deployment (T)	T	444	444	944
	Subtotal, Administration (A)	A	9,398	9,322	12,062
	TOTAL		12,925	26,957	18,425

FY 2021 RESEARCH DEVELOPMENT & TECHNOLOGY PROGRAM SUMMARY

The following summarizes the Research, Development & Technology (RD&T) activities within the Office of the Secretary (OST) planned in FY 2021. Within OST, the two offices with the overarching RD&T activities are within the Office of the Under Secretary of Transportation for Policy: Transportation Planning, Research and Development (TPR&D) and the Office of the Assistant Secretary for Research and Technology (OST-R). The information below is a compilation of the TPR&D and OST-R detailed justifications with some additional information highlighting the specific work in these areas.

Transportation Planning, Research and Development

The TPR&D program focuses on identifying improvements in transportation through new and innovative approaches to assisting the travelling public, and lessening impacts to industry. The program fosters improvements in safety, technology and efficiency through research and studies. Once standards and practices are developed and approved through the research conducted, the information is used to create policy and regulation for the transportation system. The program provides economic research reports to develop and refine departmental policy positions. RD&T studies also update the state-of-the-art on economic modeling of, and data for, the aviation industry, in support of the mission of the Office of Aviation and International Affairs.

Partners include the Office of the Assistant Secretary for Research and Technology, Federal Aviation Administration (FAA), Federal Highway Administration (FHWA), Federal Railroad Administration (FRA), and Federal Transit Administration (FTA); the network of University Transportation Centers (UTCs), and other private and not-for-profit organizations that engage in transportation research, including the Transportation Research Board of the National Academies. The research promotes the economic competitiveness of the U.S. airline industry, benefiting the U.S. travelling public, and U.S. air carriers seeking access to foreign markets. The travelling public and emerging industry will benefit from research into emerging transportation technologies. The public also benefits from research to improve the safety of the transportation system.

Safety Data Initiative (SDI)/Automated Vehicles:

In FY 2021, the SDI program will continue to initiate and complete collaborative projects with State and local governments to further the use of safety data for policy and decision making. DOT expects to coordinate with State and local entities – with a focus on jurisdictions with lower analytic capacity – to enhance safety analysis through the development of tools that identify, quantify, and/or further explain safety risk. Some of these tools will come from work previously performed, such as the Fatality Analysis Reporting System (FARS) visualization tools, the fatality tool, applications of Waze data, and the tools from the Solve for Safety Data Visualization challenge¹. This effort will be in close collaboration with FHWA and National Highway Traffic

¹ Visit <https://www.transportation.gov/content/safety-data-initiative> for more information and to demo the tools created in FY 2019.

Safety Administration (NHTSA) to ensure the work performed complements rather than duplicates their existing program activities. The outcome will be the transfer of tools and knowledge so that State and local jurisdictions have the information they need to make safety decisions, and the SDI will leverage the convening power of OST to scale and disseminate best practices.

The SDI will also invest in conducting applied policy research using new methods and new data sources. Research questions developed through an analytic agenda setting will be used to incorporate new data sources to explore solutions to pressing potential safety focus areas such as intersections, precursors to crashes, non-motorized safety, and non-fatal injury crashes. An ancillary benefit will be the identification of opportunity areas to improve data governance, data quality, and data standards. DOT will also invest in data ecosystems to expand our capacity to host and integrate voluntarily-provided sensitive and proprietary data. This will be in support of the State and local partnerships and the applied policy research.

The Department will continue actions to further enable the safe testing and integration of AVs into our Nation's transportation systems. In 2020, the Department released *Ensuring American Leadership in Automated Vehicle Technologies: Automated Vehicles 4.0*, which seeks to ensure a consistent Federal government approach to AV technologies, and to detail the authorities, research, and investments being made across the government so that the United States can continue to lead AV technology research, development, and integration. AV 4.0 builds upon *Preparing for the Future of Transportation: Automated Vehicles 3.0*, by expanding the scope to 38 relevant Federal government components that have equities in safe development and integration of AV technologies. Additionally, the Department expects to publish a comprehensive plan for AVs, and collect data from the Automated Driving System Demonstration Grant award winners that can be used for research purposes to better inform Departmental analysis.

Additionally, the Department will continue non-traditional and emerging transportation technologies (NETT) Council activities, such as the publishing of a document that will establish DOT principles and clarify the Department's role for non-traditional and emerging transportation technologies, establish an accountable and consistent process for innovators to engage with the Department, and compile additional resources for innovators to consult. To support this document, the DOT will conduct site visits to learn more about where in the development stage the technologies involved are at. The Department also plans to develop training materials to train DOT on the types of advanced technologies it is engaging with.

Interagency Infrastructure Permitting Improvement Center (IIPIC) and Online Permitting Dashboard

Funding for the IIPIC and the Permitting Dashboard will continue to support work to reduce infrastructure permitting and review timelines by producing a more streamlined process, leading to efficiencies in the review and permitting of projects. IIPIC collects and reports data for projects on the Dashboard in accordance with the Fixing America's Surface Transportation (FAST) Act and guidance by the Office of Management and Budget (OMB) that establish metrics for permitting and environmental review of major infrastructure projects.

Funds in FY 2021 will allow for upgrades to the Dashboard to expand technical and visualization

capabilities to support project management and tracking, and improve transparency. These upgrades will include development of a new user interface, integration of real-time reporting on performance metrics, and visual enhancements in addition to synchronization with other Federal agencies tools.

Office of the Assistant Secretary for Research and Technology

OST-R works to eliminate potentially duplicative research activities, optimize the effective use of Department-wide research resources, and ensure that the Department's research activities are coordinated with the wider transportation research community. Specific duties include: strategic research planning; oversight of Department-wide research budget development and execution; aligning Departmental research with policy objectives; and implementing best practices in innovation development and deployment across the Department's Operating Administrations (OA); and ensuring transparency and public access to the Department's research portfolio and its products.

Partners include DOT OAs and Secretarial Offices, other Federal departments and agencies, and State and local planning entities, including DOTs. Other partners include the Transportation Research Board (TRB), TRB cooperative research programs, the Association of State Highway and Transportation Officials Research Advisory Committee (AASHTO RAC), academic institutions, transit authorities. OST-R also partners with the private sector including the owners and operators of transportation infrastructure, and international entities such as the European Commission and the International Transport Forum.

DOT Research Hub

OST-R provides information on the Department's research, development and technology projects and their products. This critical information is used as the basis for OST-R's research coordination and collaboration mission. The Research Hub is also used to ensure RD&T portfolio transparency, track progress towards the achievement of the Secretary's Innovation goal, and meet the FAST Act requirement for maintaining a Consolidated Research Database.

This project consists of a web-based, publicly available centralized repository of RD&T project records obtained from each OA (provided online <https://researchhub.bts.gov/search>). The database supports research coordination by providing project-level access to the Department's extensive RD&T portfolio, ensuring transparency and leveraging opportunities for cross-agency and external collaboration. The database is used to develop reports on pertinent research topics, and to identify gaps and potential duplication in ongoing research activities across the Department. Beneficiaries include Departmental staff, transportation research program managers and researchers, external stakeholders, transportation system managers and users, the Office of Management and Budget (OMB) and Congress.

Technology Transfer (T2) Program

T2 Program activities focus on leveraging the Department's research products to facilitate commercialization and subsequent "real world" benefits. The program works with the OAs to

assist them in understanding and implementing best practices in research product development and deployment and in building technology transfer mechanisms into research planning early in the process. The program supports OST-R's overall RD&T coordination mission, and is responsible for tracking Department-wide progress on the "Development and Deployment of Innovation" strategic objectives.

Technology transfer is the process the Federal government uses to advertise and deploy its research by transferring scientific information (technologies and best practices) to stakeholders and users who may further develop it for public or private needs. It includes various elements of transferring technologies and augments the Department's marketing and deployment of technology transfer projects. This program supports the full use of the Department's investment in research and development and protects intellectual property by securing patents and issuing licenses (where applicable) that facilitate technology commercialization.

Cross-Modal Research Priorities (CMRP)

OST-R works with Federal and non-Federal stakeholders to advance the development and deployment of cross-modal Departmental/Administration research priorities. This program focuses on the providing a means to address research priorities that span multiple modes and/or require intensive coordination with other Federal and non-Federal partners. This program thus ensures the cost-effective leveraging of complimentary research efforts underway outside the Department, and ensures the elimination of duplicative research efforts. Example priority areas to be supported include transportation system applications of Artificial Intelligence/Machine Learning (AI/ML), incorporating resilience costs and benefits into the national infrastructure project planning process, and the development and application of new congestion management strategies to the multi-modal transportation system.

Positioning, Navigation, and Timing & Spectrum Management

OST-R coordinates Federal civil agency positioning, navigation, and timing (PNT) requirements, evaluation of technologies, and architecture development to enhance PNT resiliency; and to ensure protection of the Global Positioning System (GPS) and other PNT and spectrum-based safety-of-life transportation capabilities from harmful interference; and assess availability of radiofrequency spectrum to meet future transportation needs. These objectives support the Secretary's priorities for safety, as well as preparing for the future by engaging with new technologies to ensure safety without hampering innovative emerging technologies.

The PNT and Spectrum Management program coordinates Departmental PNT technology, policy, and radiofrequency spectrum management. It also provides civil PNT systems and spectrum analysis that is critical to cross-modal transportation applications in support of the Department's transportation safety requirements and goals. Focus areas include PNT capability gaps such as interference to GPS and the need for PNT resiliency, including cyber resiliency. Focus areas also include identification and evaluation of transformative technologies to ensure safety for automated vehicles, as well as innovations to improve spectrum sharing and efficiency.

The Deputy Secretary of Transportation and the Deputy Secretary of Defense are co-chairs of the

National Space-Based PNT Executive Committee, and the Assistant Secretary for Research and Technology serves as the co-chair of the National Space-Based PNT Executive Steering Group. These entities guide national-level interagency space-based and complementary PNT investment and implementation decisions. The Assistant Secretary for Research and Technology also supports DOT spectrum interests by participating in the National Telecommunications and Information Administration (NTIA) Policy and Plans Steering Group (PPSG) and Interdepartmental Radio Advisory Committee (IRAC).

**SECTION 5:
INFORMATION
TECHNOLOGY BUDGET
NARRATIVE**

**INFORMATION TECHNOLOGY
DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY BUDGET AUTHORITY**

(Budget Authority in Thousands)

	FY 2019 Enacted	FY 2020 Budget	FY 2021 Request
IT Working Capital Fund (WCF) Contribution			
DOT Agency WCF Contribution Passthrough	\$5,612	\$5,623	\$5,623
WCF-Office of the Chief Information Officer (OCIO) Base Services	\$16,477	\$16,156	\$19,862
WCF-OCIO SS Commodity	\$13,896	\$13,708	\$13,785
Non-OCIO IT WCF	\$36,068	\$33,382	\$35,855
Modal IT Spend	\$49,827	\$40,410	\$52,135
Office of the Secretary (OST) Total	\$121,880	\$109,279	\$127,260

OST is requesting **\$127.260 million** in FY 2021 for information technology (IT) resources that support the full spectrum of OST programs as well as the Department’s initiative to transform and consolidate the management of commodity IT solutions centrally by OCIO.

OCIO will continue to provide all modes Commodity IT Shared Services (SS) in FY 2021 to achieve economies of scale and increase consistency of cybersecurity protections across the Department. Commodity IT SS include IT functions and activities dedicated to basic support services, including network operations, end-user computing, telecommunications services, and server operations.

The following bullets provides a breakout of OST’s contributions to the WCF and what IT services OST buys through the WCF.

- **DOT Agency WCF Contribution Passthrough** – OST requests \$5.623 million for DOT’s contribution to the inter-agency agreement systems, such as Budget Formulation and Execution, e-Rulemaking, and e-Travel Fee for Service shared by multiple Federal Agencies.
- **WCF-OCIO Base Services** – OST requests \$19.862 million for WCF Base Service contributions to assist with OCIO’s overall consolidation, IT cyber security compliance, and modernization of mission support IT systems and applications. The WCF-CIO base amount is and managed by the DOT Common Operating Environment (COE).
- **WCF-OCIO SS Commodity** – OST requests \$13.785 million for SS Commodity WCF contributions support OST’s expansion of services for Department investments in

cybersecurity, voice, cable, networks, desktop services, server operations, directory messaging services, enterprise licensing, and enterprise dashboards.

- **Non-OCIO IT WCF** – OST requests a total of \$35.855 million for non-CIO IT WCF services and systems to include, but not limited to, the Workers Compensation Information System, the Personnel Security Enterprise System (PSES), and the Human Resources (HR) & Payroll Services.

Modal IT

The following major mission-critical IT systems will be maintained by OST in FY 2021. This list is only a subset of all IT systems that support OST and are reported in OMB's the Corporate Investment Management System (CIMS).

- **Delphi** – OST requests **\$2.048 million** for development, modernization, and enhancement (DME) and operation and maintenance (O&M). Delphi is the Department's financial management and data repository system that provides its users with the ability to search, browse, maintain, share, classify, register and standardize financially administered items through a web-based application. It includes a real-time invoicing tool that improves efficiency and data transparency by reducing the time between invoice submission and payment. Delphi also provides grant recipients with accurate invoice status reporting capabilities.
- **CASTLE** – OST requests **\$0.145 million** for DME and O&M. The Consolidated Automated System for Time and Labor Entry (CASTLE) records DOT's employee Time and Attendance (T&A).
- **ESC PRISM** – OST requests **\$1.590 million** for DME and O&M. The Enterprise Service Center (ESC) Procurement Information System for Management (PRISM) supports multiple purchasing sites, electronic routing and approval, requisitioning, electronic notifications, contract management, and post award processing and closeout.
- **DOT IT Security and Compliance Program** – OST requests **\$19.148 million** for DME and O&M. DOT-wide IT Security and Compliance Support. The CIO is committed to providing Department-wide protection of information and IT infrastructure assets against the risk of loss, misuse, disclosure, or damage due to security vulnerabilities. This funding supports desktop security, firewalls, Trusted Internet Connection (TIC), compliance monitoring, network/server infrastructure, and Disaster Recovery (DR).
- **Other IT maintenance and support contributions staying within OST** – OST requests **\$29.204 million** for DME and O&M of these systems, in order to provide IT program and project management, strategic planning, and other technology in alignment of OST OCIO's mission. They include, but are not limited to direct CIO support and administration, Amazon Web Services support, Section 508 compliance, Aviation Decisions Data Systems (ADDS), Grants Notification System (GNS), and Airline Performance and Economic Information System (APEIS).

FY 2021 Department of Transportation Information Technology Budget Summary
(Budget Authority in Thousands)

Operating Administration (OA)	FY 2019 Actual	FY 2020 Budget	FY 2021 Request
Federal Aviation Administration (FAA)	\$3,186,328	\$2,964,295	\$3,022,047
Federal Highway Administration (FHWA)	\$105,357	\$114,288	\$112,976
Federal Motor Carrier Safety Administration (FMCSA)	\$64,721	\$64,446	\$64,446
Federal Railroad Administration (FRA)	\$27,442	\$26,693	\$28,470
Federal Transit Administration (FTA)	\$28,792	\$28,540	\$31,787
Maritime Administration (MARAD)	\$28,338	\$26,772	\$25,186
National Highway Traffic Safety Administration (NHTSA)	\$68,487	\$67,600	\$64,517
Office of Inspector General (OIG)	\$8,774	\$9,109	\$10,008
Office of the Secretary (OST)	\$121,880	\$109,279	\$127,260
Pipeline and Hazardous Materials Safety Administration (PHMSA)	\$30,233	\$26,949	\$23,308
Saint Lawrence Seaway Development Corporation (SLSDC)	\$1,642	\$1,876	\$2,229
DOT Total	\$3,671,994	\$3,439,847	\$3,512,234

	FY 2019 Actual	FY 2020 Budget	FY 2021 Request
Commodity IT SS WCF Subtotal	\$181,288	\$165,432	\$168,702
Programmatic IT SS WCF Subtotal	\$0	\$0	\$0
Programmatic IT Subtotal	\$3,490,706	\$3,274,415	\$3,343,532
DOT Total	\$3,671,994	\$3,439,847	\$3,512,234

Note: Totals may not add due to rounding.

The Department of Transportation (DOT) is requesting \$3.512 billion in FY 2021 for information technology (IT) that supports its diverse customers while addressing DOT's expanding and evolving mission and business needs. All of DOT and Operating Administration (OA) systems, support, and services contribute to the core values of the shared service transformation and are constantly being evaluated and enhanced. Additional detail on OA programmatic spending can be found in individual OA congressional justification Section 5 documents.

SECTION 6: GAO-IG ACT REPORT

GAO-IG Act Report: Department of Transportation

Section 6 - FY 2021 GAO-IG Report

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2019

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
1	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Comply with DOT Order 1200.9's financial completion and IAA closeout process requirements for the IAAs identified in table 3 of this report, and determine whether to close them and deobligate the appropriate portions of the \$5,966,933 we identified. Implementing this recommendation across the 854 IAAs in our audit universe could potentially put up to \$33.3 million in funds to better use.	9/30/2021	N/A	N/A
2	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Implement a process to ensure OAs' spend plans, or an alternative mechanism, include descriptions of current and planned Volpe IAA projects, as well as the projects' current and future funding needs.	7/31/2020	N/A	N/A
3	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Implement oversight procedures in compliance with section 1.4.3 of DOT Order 1200.9 to verify use of required forms and the inclusion of required elements when executing Volpe IAAs, including but not limited to buyer obligation numbers, lines of accounting to be charged, and Treasury Appropriation Fund Symbols.	7/31/2020	N/A	N/A
4	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Develop and implement procedures for reviewing current and future OA-issued IAA guidance to confirm alignment with DOT policy.	7/31/2020	N/A	N/A
5	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Develop and implement a mechanism for the OAs to document and share their performance evaluation data regarding Volpe IAAs.	7/31/2020	N/A	N/A
6	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Implement procedures to verify compliance with departmental requirements for conducting IAA financial completion processes and returning unused funds after the period of performance ends.	7/31/2020	N/A	N/A
7	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Develop and implement procedures to communicate with and train relevant OA staff (e.g., Program Office, Acquisitions/Procurement Office, and Budget/Finance Office staff) about DOT's current IAA-related requirements and guidance.	7/31/2020	N/A	N/A
8	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Develop and implement procedures to verify OA compliance with departmental requirements for financially managing IAAs with Volpe, including conducting and documenting monthly and quarterly reconciliations, and year-end reviews.	7/31/2020	N/A	N/A
9	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Implement requirements for documenting the rationale for entering into intra-agency agreements (IAA) with the John A. Volpe National Transportation Systems Center (Volpe), including why the proposed agreement is in the OA's best interest.	7/31/2020	N/A	N/A
10	OIG	OST	9/30/2019	QC2019086	Quality Control Review of the Independent Service Auditor's Report on DOT's Enterprise Services Center	Clearly document the relevant steps for performing an effective review of the Linux audit logs including the time frame of when the review should be performed.	10/1/2019	N/A	N/A
11	OIG	OST	9/30/2019	QC2019086	Quality Control Review of the Independent Service Auditor's Report on DOT's Enterprise Services Center	Ensure that the database audit log reviews are performed in accordance to their procedural documentation and system security plans.	10/1/2019	N/A	N/A
12	OIG	OST	9/30/2019	QC2019086	Quality Control Review of the Independent Service Auditor's Report on DOT's Enterprise Services Center	Update the policy/memo to reflect cited exceptions. Additionally, ESC should continue to work with Oracle on product code updates to allow for these exceptions to be eliminated.	10/1/2019	N/A	N/A
13	OIG	FMCSA	9/25/2019	ST2019084	FMCSA's Plan Addresses Recommendations on Prioritizing Safety Interventions but Lacks Implementation Details	For the fifth NAS recommendation, provide (a) cost estimates that account for staffing, enforcement, and data collection; and (b) benchmarks for completion.	9/30/2020	N/A	N/A
14	OIG	FMCSA	9/25/2019	ST2019084	FMCSA's Plan Addresses Recommendations on Prioritizing Safety Interventions but Lacks Implementation Details	For the fourth and sixth NAS recommendations, provide (a) cost estimates that account for staffing, enforcement, and data collection; (b) benchmarks for completion; and (c) potential programmatic reforms, revisions to regulations, or proposals for legislation.	9/30/2020	N/A	N/A
15	OIG	FAA	9/18/2019	SA2019081	Report on a Single Audit of the Terre Haute Regional Airport Authority, Terre Haute, IN	Ensures that the Authority complies with the special tests and provisions requirements	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
16	OIG	FAA	9/18/2019	SA2019081	Report on a Single Audit of the Terre Haute Regional Airport Authority, Terre Haute, IN	Ensure that the Authority complies with the allowable costs/cost principles and reporting requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
17	OIG	NHTSA	9/18/2019	SA2019080	Report on a Single Audit of the State of Nebraska, Lincoln, Nebraska	Ensures the State complies with the allowable costs/cost principles and subrecipient monitoring requirements, resulting in questioned costs of \$11,745.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.

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OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2019

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
18	OIG	NHTSA	9/18/2019	SA2019080	Report on a Single Audit of the State of Nebraska, Lincoln, Nebraska	Recovers \$11,745 from the State, if applicable.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
19	OIG	FTA	9/18/2019	SA2019079	Report on a Single Audit of the Los Angeles County Metropolitan Transportation Authority	Ensures that the Authority complies with the subrecipient monitoring requirements.	3/16/2020	N/A	N/A
20	OIG	FTA	9/18/2019	SA2019080	Report on a Single Audit of the State of Nebraska, Lincoln, Nebraska	Ensures the State complies with the allowable costs/cost principles and subrecipient monitoring requirements.	3/16/2020	N/A	N/A
21	OIG	FTA	9/18/2019	SA2019080	Report on a Single Audit of the State of Nebraska, Lincoln, Nebraska	Recovers \$232,750 (2018-067) from the State, if applicable.	3/16/2020	N/A	N/A
22	OIG	FTA	9/18/2019	SA2019080	Report on a Single Audit of the State of Nebraska, Lincoln, Nebraska	Recovers \$71,167 (2018-068) from the State, if applicable.	3/16/2020	N/A	N/A
23	OIG	FHWA	9/17/2019	SA2019076	Report on a Single Audit of the Commonwealth of Pennsylvania, Harrisburg, PA	Ensures that the Commonwealth complies with the subrecipient monitoring requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
24	OIG	OST	9/17/2019	SA2019077	Report on a Single Audit of the City of Birmingham, Birmingham, AL	Ensures the City complies with the procurement and suspension and debarment requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
25	OIG	OST	9/17/2019	SA2019077	Report on a Single Audit of the City of Birmingham, Birmingham, AL	Recovers \$381,190 from the City, if applicable.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
26	OIG	FTA	9/17/2019	SA2019078	Report on a Single Audit of the Puerto Rico Metropolitan Bus Authority, San Juan, PR	Ensures that the Authority complies with the equipment and real property management requirements.	3/26/2020	N/A	N/A
27	OIG	OST	9/11/2019	ST2019072	DOT's Updated Anti-Harassment Policy Meets EEOC Requirements, but Program Compliance Hinges on Procedure Implementation and Data Usage	Collect and review each OA's anti-harassment program procedures, and require revisions, as necessary, to bring them into compliance with DOT's policy and EEOC requirements.	12/31/2019	N/A	N/A
28	OIG	FHWA	9/10/2019	SA2019066	Report on a Single Audit of the State of Indiana, Indianapolis, IN	Ensures that the State complies with the special tests and provisions requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
29	OIG	FHWA	9/10/2019	SA2019068	Report on a Single Audit of the Crooked Creek Traditional Council, Crooked Creek, AK	Ensures that the Council complies with the activities allowed or unallowed requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
30	OIG	FHWA	9/10/2019	SA2019068	Report on a Single Audit of the Crooked Creek Traditional Council, Crooked Creek, AK	Recovers \$194,821 from the Council, if applicable.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
31	OIG	FHWA	9/10/2019	SA2019069	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensures that the Authority complies with the matching requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
32	OIG	FHWA	9/10/2019	SA2019070	Report on a Single Audit of the State of Connecticut, Hartford, CT	Ensures that the State complies with the allowable costs/cost principles requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
33	OIG	FHWA	9/10/2019	SA2019070	Report on a Single Audit of the State of Connecticut, Hartford, CT	Recovers \$1,023,224 from the State, if applicable.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
34	OIG	FHWA	9/10/2019	SA2019071	Report on a Single Audit of the Association of Village Council Presidents, Bethel, AK	Ensures that the Council complies with the procurement and suspension and debarment requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
35	OIG	FHWA	9/10/2019	SA2019071	Report on a Single Audit of the Association of Village Council Presidents, Bethel, AK	Ensures that the Council complies with the reporting requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
36	OIG	FHWA	9/10/2019	SA2019071	Report on a Single Audit of the Association of Village Council Presidents, Bethel, AK	Ensures that the Council complies with the special tests and provisions requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
37	OIG	PHMSA	9/10/2019	SA2019065	Report on a Single Audit of the Commonwealth of Virginia, Richmond, VA	Ensures that the Commonwealth complies with the allowable costs/cost principles requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
38	OIG	PHMSA	9/10/2019	SA2019065	Report on a Single Audit of the Commonwealth of Virginia, Richmond, VA	Recovers \$150,203 from the Commonwealth, if applicable.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
39	OIG	NHTSA	9/10/2019	SA2019067	Report on a Single Audit of the State of Vermont, Montpelier, VT	Ensures that the State complies with the level of effort requirements.	3/10/2020	N/A	N/A
40	OIG	FTA	9/10/2019	SA2019069	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensures that the Authority complies with the subrecipient monitoring requirements.	3/8/2020	N/A	N/A
41	OIG	FTA	9/9/2019	ZA2019064	FTA Has an Opportunity To Improve the Integrity Monitor Program for Hurricane Sandy Grantees	Develop and implement procedures requiring all participants in grantee integrity monitoring activities to promptly notify the grantee and FTA when they have knowledge of current or prospective legal matters relating to FTA-funded Hurricane Sandy projects that may affect the Federal Government, including defaults, breaches, major disputes, or litigation; and promptly notify the grantee, FTA, and DOT-OIG if they have knowledge about potential fraud, waste, or abuse occurring on FTA-funded projects, including knowledge of a criminal or civil investigation; by a Federal, State, or local law enforcement or other investigative agency, a criminal indictment or civil complaint; probable cause that could support a criminal indictment; or any other credible information.	N/A	Unresolved	DOT OIG disagreed with the agency's proposed corrective actions.

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OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2019

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
42	OIG	FTA	9/9/2019	ZA2019064	FTA Has an Opportunity To Improve the Integrity Monitor Program for Hurricane Sandy Grantees	Develop and implement procedures for consistently reviewing, approving and periodically updating grantee integrity monitor plans.	7/31/2020	N/A	N/A
43	OIG	FTA	9/9/2019	ZA2019064	FTA Has an Opportunity To Improve the Integrity Monitor Program for Hurricane Sandy Grantees	Develop and implement procedures for periodically assessing whether integrity monitors are meeting plan expectations, and for taking appropriate corrective actions when integrity monitors are not meeting expectations.	7/31/2020	N/A	N/A
44	OIG	FTA	9/9/2019	ZA2019064	FTA Has an Opportunity To Improve the Integrity Monitor Program for Hurricane Sandy Grantees	Inform integrity monitors about best practices for targeting new risk areas, such as procedures for contractor responsibility determinations, and updating plans accordingly.	7/31/2020	N/A	N/A
45	OIG	FTA	9/9/2019	ZA2019064	FTA Has an Opportunity To Improve the Integrity Monitor Program for Hurricane Sandy Grantees	Develop and implement guidance for determining threats and impediments to independence. The guidance should address criteria for independence, including the use of internal grantee staff and actions required if independence issues cannot be resolved.	7/31/2020	N/A	N/A
46	OIG	FTA	9/9/2019	ZA2019064	FTA Has an Opportunity To Improve the Integrity Monitor Program for Hurricane Sandy Grantees	Provide guidance or training on Master Agreement notification requirements for grantees and integrity monitors, such as defining what is meant by providing "prompt" notification.	7/31/2020	N/A	N/A
47	OIG	FTA	9/9/2019	ZA2019064	FTA Has an Opportunity To Improve the Integrity Monitor Program for Hurricane Sandy Grantees	Develop and implement procedures for grantee oversight of integrity monitors that include a review of quarterly reports that, at a minimum contain information about integrity monitor activities, findings, and recommendations, as well as descriptions of the grantee's response to the recommendations and estimated completion dates for corrective actions, where appropriate.	7/31/2020	N/A	N/A
48	OIG	FTA	9/9/2019	ZA2019064	FTA Has an Opportunity To Improve the Integrity Monitor Program for Hurricane Sandy Grantees	Recover the estimated \$1.1 million that represents FTA's share of the settlement funds paid to PANYNJ-OIG.	7/31/2020	N/A	N/A
49	OIG	FRA	9/4/2019	ST2019063	FRA Collects Reliable Grade Crossing Incident Data, but Needs to Update Its Accident Prediction Model and Improve Guidance for Using the Data To Focus Inspections	Establish and implement a procedure for determining when to evaluate and, if necessary, adjust the normalizing constants for the accident prediction formula in U.S. DOT's Accident Prediction and Severity Model to reflect current accident and grade crossing inventory data.	3/15/2020	N/A	N/A
50	OIG	FRA	9/4/2019	ST2019063	FRA Collects Reliable Grade Crossing Incident Data, but Needs to Update Its Accident Prediction Model and Improve Guidance for Using the Data To Focus Inspections	Prepare and implement a comprehensive compliance manual for the grade crossing discipline that includes procedures for using grade crossing data to focus inspections and outreach.	3/15/2020	N/A	N/A
51	GAO	FAA	9/3/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	Require air traffic control managers to share information on terminal area incidents, such as operational incidents and pilot deviations, with airport operators, in a timely manner.	Currently in 180-Day Letter Process	N/A	N/A
52	GAO	FAA	9/2/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	Require Flight Standards to share the results of its investigations with the Runway Safety Group, in a timely manner.	Currently in 180-Day Letter Process	N/A	N/A
53	GAO	FAA	9/1/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	Establish a plan to assess the effectiveness of all of FAA's terminal area-safety efforts, including Airport Surface Detection Equipment, Model X (ASDE-X) and the Runway Safety Program.	Currently in 180-Day Letter Process	N/A	N/A
54	GAO	FAA	8/31/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	Take steps to analyze data on ramp area incidents in FAA's new surface safety metric.	Currently in 180-Day Letter Process	N/A	N/A
55	GAO	FAA	8/30/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	Develop a process to identify and remove duplicate excursion records.	Currently in 180-Day Letter Process	N/A	N/A
56	OIG	FAA	8/27/2019	AV2019062	FAA Has Made Progress in Implementing Its Metroplex Program, but Benefits for Airspace Users Have Fallen Short of Expectations	Identify the corrective actions needed to mitigate the 10 obstacles from the NextGen Advisory Committee that FAA did not include in its action plan, and if feasible, establish milestones for implementing them.	3/30/2020	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
57	OIG	FAA	8/27/2019	AV2019062	FAA Has Made Progress in Implementing Its Metroplex Program, but Benefits for Airspace Users Have Fallen Short of Expectations	Implement a process in the PBN policy office to track and evaluate whether actions taken to address identified obstacles have been effective in mitigating them, including the areas of phraseology, training, designing and amending procedures, and automation tools.	3/30/2020	N/A	N/A
58	OIG	FAA	8/27/2019	AV2019062	FAA Has Made Progress in Implementing Its Metroplex Program, but Benefits for Airspace Users Have Fallen Short of Expectations	Implement a procedure for assessing online and facility-level Performance Based Navigation (PBN) training provided to controllers for effectiveness. This procedure should include reporting the results of the assessments on a continuous basis to FAA management in the PBN policy office, and take corrective action as needed.	3/30/2020	N/A	N/A
59	OIG	FAA	8/27/2019	AV2019062	FAA Has Made Progress in Implementing Its Metroplex Program, but Benefits for Airspace Users Have Fallen Short of Expectations	Display the same benefits numbers on FAA's NextGen website as those that are reported in post-implementation analysis reports for completed Metroplex sites or declare any differences in the data being reported.	12/31/2019	N/A	N/A
60	OIG	FAA	8/27/2019	AV2019062	FAA Has Made Progress in Implementing Its Metroplex Program, but Benefits for Airspace Users Have Fallen Short of Expectations	Document the methodology used to estimate PBN benefits for each Metroplex site.	12/2/2019	N/A	N/A
61	OIG	NHTSA	7/31/2019	SA2019059	Report on a Single Audit of the Highways Division, Department of Transportation, State of Hawaii, Honolulu, HI	Ensures that the State complies with the cash management requirements.	1/31/2020	N/A	N/A
62	OIG	NHTSA	7/31/2019	SA2019060	Report on a Single Audit of the State of Louisiana, Baton Rouge, LA	Ensures that the State complies with the allowable costs/cost principles requirements.	1/31/2020	N/A	N/A
63	OIG	NHTSA	7/31/2019	SA2019060	Report on a Single Audit of the State of Louisiana, Baton Rouge, LA	Recovers \$155,937 from the State, if applicable.	1/31/2020	N/A	N/A
64	OIG	NHTSA	7/31/2019	SA2019060	Report on a Single Audit of the State of Louisiana, Baton Rouge, LA	Ensures that the State complies with cash management requirements.	1/31/2020	N/A	N/A
65	OIG	NHTSA	7/31/2019	SA2019060	Report on a Single Audit of the State of Louisiana, Baton Rouge, LA	Recovers \$9,204 from the State, if applicable.	1/31/2020	N/A	N/A
66	OIG	FTA	7/31/2019	SA2019061	Report on a Single Audit of the Municipality of Anchorage, Anchorage, AK	Ensures that the Municipality complies with the activities allowed or unallowed requirements.	1/27/2020	N/A	N/A
67	OIG	FTA	7/31/2019	SA2019061	Report on a Single Audit of the Municipality of Anchorage, Anchorage, AK	Recovers \$151 from the Municipality, if applicable.	1/27/2020	N/A	N/A
68	OIG	FTA	7/31/2019	SA2019061	Report on a Single Audit of the Municipality of Anchorage, Anchorage, AK	Ensures that the Municipality complies with the equipment and real property management requirements.	1/27/2020	N/A	N/A
69	OIG	FTA	7/31/2019	SA2019061	Report on a Single Audit of the Municipality of Anchorage, Anchorage, AK	Recovers \$64,220 from the Municipality, if applicable.	1/27/2020	N/A	N/A
70	OIG	FTA	7/31/2019	SA2019058	Report on a Single Audit of the City and County of Honolulu, HI	Ensures that the City and County complies with the reporting requirements.	1/20/2020	N/A	N/A
71	OIG	FAA	7/31/2019	SA2019061	Report on a Single Audit of the Municipality of Anchorage, Anchorage, AK	Ensures that the Municipality complies with the special tests and provisions requirements.	12/31/2019	N/A	N/A
72	OIG	FHWA	7/31/2019	SA2019059	Report on a Single Audit of the Highways Division, Department of Transportation, State of Hawaii, Honolulu, HI	Ensures that the State complies with the cash management requirements.	11/1/2019	N/A	N/A
73	GAO	OST	7/25/2019	GAO-19-384	Cybersecurity: Agencies Need to Fully Establish Risk Management Programs and Address Challenges	Fully establish and document a process for coordination between cybersecurity risk management and enterprise risk management functions.	1/24/2021	N/A	N/A
74	GAO	OST	7/25/2019	GAO-19-384	Cybersecurity: Agencies Need to Fully Establish Risk Management Programs and Address Challenges	Fully develop a cybersecurity risk management strategy that includes the key elements identified in this report.	10/1/2020	N/A	N/A
75	GAO	OST	7/25/2019	GAO-19-384	Cybersecurity: Agencies Need to Fully Establish Risk Management Programs and Address Challenges	Update the Department's policies to require an organization-wide risk assessment.	7/1/2020	N/A	N/A
76	OIG	MARAD	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	In coordination with DOT CIO develop and implement a training program for administrators to adequately protect passwords that includes the DOT Policy requirement to not record passwords in electronic form.	9/30/2020	N/A	N/A
77	OIG	MARAD	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Encrypt PII data on personal and network drives in accordance with DOT Chief Information Officer Departmental Privacy Risk Management Policy.	9/30/2020	N/A	N/A
78	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Encrypt PII data on personal and network drives in accordance with DOT Chief Information Officer Departmental Privacy Risk Management Policy.	9/30/2020	N/A	N/A
79	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Examine service account permissions and remove unnecessary rights using the principle of least privilege so that service accounts have access to intended resources.	9/30/2020	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
80	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Develop a plan and address identified critical and high vulnerabilities on MARAD workstations managed by OST that are older than June 19, 2017 (1 year prior to the ending of our scanning period).	9/30/2020	N/A	N/A
81	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Implement a software solution that would assist in the detection of installed keyloggers and the prevention of keylogger installation and operation.	9/30/2020	N/A	N/A
82	OIG	MARAD	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Develop a plan and address identified high and medium vulnerabilities on any remaining legacy websites and verify that new websites are being assessed for vulnerabilities.	1/6/2020	N/A	N/A
83	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Incorporate a routine step for IT help desk personnel to check for keyloggers any time request for assistance requires a technician to physically service a workstation.	1/6/2020	N/A	N/A
84	OIG	MARAD	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	In coordination with DOT CIO develop and implement a training program for MARAD personnel who provided credentials during the phishing test on security awareness, with a focus on phishing attacks.	12/31/2019	N/A	N/A
85	OIG	MARAD	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Develop a plan and address all identified critical and high vulnerabilities on its servers that are older than July 5, 2017 (1 year prior to the ending of our scanning period).	10/31/2019	N/A	N/A
86	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Update the departmental annual security awareness training to include information on encryption using approved technological methods.	10/31/2019	N/A	N/A
87	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Update fiscal year 2019 Department of Transportation Security Awareness Training to include information about keyloggers and their detection.	8/15/2019	N/A	N/A
88	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Update fiscal year 2019 Department of Transportation Security Awareness Training to include spear phishing and phishing examples and scenarios.	8/15/2019	N/A	N/A
89	OIG	MARAD	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Change the password for the compromised server management device account to a strong password that meets DOT's Cybersecurity Compendium requirements and NIST guidelines.	7/24/2019	N/A	N/A
90	OIG	MARAD	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Configure alerts on server management devices to notify staff of unusual activity and when the system reboots.	7/24/2019	N/A	N/A
91	OIG	MARAD	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Change the password for the compromised MARAD service account.	7/24/2019	N/A	N/A
92	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Change the passwords for OST's compromised social media accounts.	7/24/2019	N/A	N/A
93	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Change the passwords for MARAD's compromised social media accounts managed by OST.	7/24/2019	N/A	N/A
94	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Change the temporary passwords for the executives and staff that joined the Department during the change in the Presidential Administration.	7/24/2019	N/A	N/A
95	GAO	FTA	7/22/2019	GAO-19-562	Rail Transit: Federal Transit Administration Could Improve Information on Estimating Project Costs	Ensure that FTA's cost estimating information for project sponsors is consistent with all 12 steps found in GAO's Cost Estimating and Assessment Guide and needed for developing reliable cost estimates.	12/31/2019	N/A	N/A
96	GAO	FTA	7/22/2019	GAO-19-562	Rail Transit: Federal Transit Administration Could Improve Information on Estimating Project Costs	Provide a central, easily accessible source with all of FTA's cost estimating information to help project sponsors improve the reliability of their cost estimates.	12/31/2019	N/A	N/A
97	OIG	FRA	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Develop, finalize, and implement procedures for FRA and the MTACs to use for all phases of project design oversight reviews and Rail Traffic Controller modeling simulation results.	12/31/2020	N/A	N/A
98	OIG	FRA	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Develop and implement a risk-based oversight process for non-safety field inspections to include criteria to determine which prospective projects could benefit at key project phases.	12/31/2020	N/A	N/A
99	OIG	FRA	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Develop and implement policies and procedures that require the MTACs to follow a consistent process for conducting oversight reviews and documenting deliverables in a manner appropriately scaled for the size, complexity, and type of project.	12/31/2020	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
100	OIG	FRA	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Develop and implement procedures that (a) direct the MTACs to describe each recommendation in terms of impact, such as safety or cost; (b) clearly state whether the recommendation is required or optional; and (c) track MTAC recommendations to resolution.	12/31/2020	N/A	N/A
101	OIG	FRA	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Develop and implement a process that ensures that completed MTAC oversight reports are uploaded and maintained at regular intervals in FRA's Program Management Tracker database.	12/31/2020	N/A	N/A
102	OIG	OST	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Update and implement procedures to ensure Volpe's staff follow Volpe and departmental requirements and guidance when preparing and documenting independent government cost estimates.	12/31/2020	N/A	N/A
103	OIG	OST	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Update Volpe's procedures to require the use of risk-mitigation controls if the contractor's accounting system cannot be evaluated with current audit information prior to award of a cost-reimbursement contract, and document the contract file.	12/31/2020	N/A	N/A
104	OIG	OST	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Develop and provide refresher training for Volpe's contracting personnel on the Federal Acquisition Regulation, Transportation Acquisition Manual, and Volpe's requirements and guidance for establishing contract and task order files that provide complete and accurate records of all actions	12/31/2020	N/A	N/A
105	OIG	OST	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Obtain incurred cost audits for its Monitoring and Technical Assistance Contractor (MTAC) cost-reimbursable contracts or document the rationale for not obtaining these audits in the contract file.	12/31/2020	N/A	N/A
106	OIG	OST	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Update the Volpe April 2018 invoice review policy to require contracting officials to verify that the appropriate indirect rates have been charged.	12/31/2020	N/A	N/A
107	OIG	FRA	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Revise the Monitoring Procedures to better align with FRA's financial assistance programs and strengthen the MTACs' role in the oversight of FRA financial assistance programs.	12/30/2019	N/A	N/A
108	GAO	OST	6/26/2019	GAO-19-541	Discretionary Transportation Grants: Actions Needed to Improve Consistency and Transparency in DOT's Application Evaluations	Develop procedures for each remaining INFRA-funding cycle to ensure that when additional information is requested from an applicant, the specific rationale behind the request is documented (for example, to promote geographic diversity among projects), as well as to ensure that DOT documents the rationale if similar projects were not afforded an opportunity to provide additional information.	9/30/2020	N/A	N/A
109	GAO	OST	6/26/2019	GAO-19-541	Discretionary Transportation Grants: Actions Needed to Improve Consistency and Transparency in DOT's Application Evaluations	Ensure that DOT, in its notice of funding opportunity and evaluation plan for each remaining INFRA-funding cycle, clarify the circumstances under which DOT may select applicants to receive requests for additional information.	3/31/2020	N/A	N/A
110	GAO	OST	6/26/2019	GAO-19-541	Discretionary Transportation Grants: Actions Needed to Improve Consistency and Transparency in DOT's Application Evaluations	Ensure that DOT provides information to applicants in its notice of funding opportunity for each remaining INFRA-funding cycle regarding: (1) how scores on merit criteria are used, if at all, to determine whether projects advance to the Secretary for selection, and (2) how, if at all, DOT plans to use merit scores to determine which projects should receive an award.	3/31/2020	N/A	N/A
111	OIG	FAA	6/25/2019	AV2019055	FAA Needs To Adopt a Risk-Based, Data-Driven Scheduling Process To Improve the Effectiveness of Its Drug Abatement Inspection Program	Develop and implement a data-driven, risk-based inspection scheduling program in accordance with FAA's Safety Risk Management Policy. The program should include: a. Procedures for re-inspecting companies with identified non-compliances to ensure corrective actions have been implemented and are effective, and b. Procedures for selecting substitute companies in the event of inspection cancellations.	12/31/2020	N/A	N/A
112	OIG	FAA	6/25/2019	AV2019055	FAA Needs To Adopt a Risk-Based, Data-Driven Scheduling Process To Improve the Effectiveness of Its Drug Abatement Inspection Program	Develop and implement a process to coordinate and verify the accuracy of aviation company data, including coordinating with FAA Flight Standards, prior to finalizing the inspection schedule.	12/31/2020	N/A	N/A
113	GAO	PHMSA	6/5/2019	GAO-19-426	Critical Infrastructure Protection: Key Pipeline Security Documents Need to Reflect Current Operating Environment	Work with the TSA Administrator to develop and implement a timeline with milestone dates for reviewing and as appropriate, updating, the 2006 MOU Annex.	12/31/2020	N/A	N/A
114	GAO	PHMSA	6/5/2019	GAO-19-426	Critical Infrastructure Protection: Key Pipeline Security Documents Need to Reflect Current Operating Environment	In consultation with the TSA Administrator, revise the 2006 MOU Annex to include a provision requiring periodic reviews of, and as appropriate, corresponding updates to the Annex.	3/31/2020	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
115	OIG	OST	6/3/2019	FI2019054	DOT's Fiscal Year 2018 IPERA Compliance Review	Implement procedures to ensure FHWA provides additional guidance to State and local agencies that receive Highway Planning and Construction funds on the importance of eliminating administrative or process errors and maintaining adequate documentation to support payments requests.	6/1/2020	N/A	N/A
116	GAO	FRA	5/30/2019	GAO-19-443	Rail Safety: Freight Trains Are Getting Longer, and Additional Information Is Needed to Assess Their Impact	Work with railroads to engage state and local governments to (a) identify community-specific impacts of train operations, including longer trains, where streets and highways cross railroad rights-of-way and (b) develop potential solution to reduce those impacts.	9/15/2020	N/A	N/A
117	GAO	FRA	5/30/2019	GAO-19-443	Rail Safety: Freight Trains Are Getting Longer, and Additional Information Is Needed to Assess Their Impact	Develop a strategy for sharing FRA's research results with internal and external stakeholders and implement that strategy for its research on the safety impacts of very long trains.	2/15/2020	N/A	N/A
118	OIG	FHWA	5/29/2019	ST2019053	Inadequate Data and Guidance Hinder FHWA Force Account Oversight	Develop and implement a process for periodically assessing force account risk. Based on the risk assessment, develop and implement procedures for overseeing compliance with Federal force account regulations.	4/1/2020	N/A	N/A
119	OIG	FHWA	5/29/2019	ST2019053	Inadequate Data and Guidance Hinder FHWA Force Account Oversight	Revise force account guidance for the States to clarify when cost-effectiveness determinations are required.	4/1/2020	N/A	N/A
120	OIG	FHWA	5/29/2019	ST2019053	Inadequate Data and Guidance Hinder FHWA Force Account Oversight	Develop an action plan to collect and review the cost-effectiveness determinations for the 18 projects related to the \$22.3 million in unsupported costs. Recover funds associated with projects where force account was not the most cost-effective approach for executing that project.	4/1/2020	N/A	N/A
121	OIG	FHWA	5/29/2019	ST2019053	Inadequate Data and Guidance Hinder FHWA Force Account Oversight	Develop and implement a process for determining when force account can be used for work performed outside the Federal highway right-of-way without complying with Federal requirements.	4/1/2020	N/A	N/A
122	GAO	FAA	5/23/2019	GAO-19-437	Commercial Space Transportation: Improvements to FAA's Workforce Planning Needed to Prepare for the Industry's Anticipated Growth	Develop workload metrics that encompass the whole office and that would allow AST to determine an appropriate workforce size and composition.	12/31/2019	N/A	N/A
123	GAO	FAA	5/23/2019	GAO-19-437	Commercial Space Transportation: Improvements to FAA's Workforce Planning Needed to Prepare for the Industry's Anticipated Growth	Establish a timeline for finalizing workload projections that extend beyond the 2-year budget cycle and that include an approach for addressing uncertainty.	12/31/2019	N/A	N/A
124	GAO	FAA	5/23/2019	GAO-19-437	Commercial Space Transportation: Improvements to FAA's Workforce Planning Needed to Prepare for the Industry's Anticipated Growth	Ensure that the AST skills assessment survey collects information from staff on skills and competencies in both those areas that are currently needed and that may be needed in the future.	12/31/2019	N/A	N/A
125	GAO	FAA	5/23/2019	GAO-19-437	Commercial Space Transportation: Improvements Needed to FAA's Workforce Planning to Prepare for the Industry's Anticipated Growth	Develop and document a plan for periodically assessing whether staff possess the necessary skills and competencies to achieve programmatic goals, such as annually administering a skills assessment survey.	12/31/2019	N/A	N/A
126	OIG	FAA	5/8/2019	AV2019052	FAA Plans to Modernize Its Outdated Civil Aviation Registry Systems, but Key Decisions and Challenges Remain	Define what desired capabilities are technologically feasible within the Registry's desired timeframes and include in its requirements, in consultation with FAA's Office of Information Technology (AIT).	12/31/2019	N/A	N/A
127	OIG	FAA	5/8/2019	AV2019052	FAA Plans to Modernize Its Outdated Civil Aviation Registry Systems, but Key Decisions and Challenges Remain	Develop and implement a procedure to obtain feedback on CARES from internal and external stakeholders to better ensure that CARES meets the needs of the users of the system.	10/31/2019	N/A	N/A
128	OIG	FAA	5/8/2019	AV2019052	FAA Plans to Modernize Its Outdated Civil Aviation Registry Systems, but Key Decisions and Challenges Remain	Develop and implement a plan for maintaining real-time access to aircraft registration data prior to any potential closure of the Public Documents Room (PDR).	6/30/2019	N/A	N/A
129	OIG	FAA	5/8/2019	AV2019052	FAA Plans to Modernize Its Outdated Civil Aviation Registry Systems, but Key Decisions and Challenges Remain	Develop and implement a timeline for making key decisions regarding the Civil Aviation Registry Electronic Services (CARES), such as defining requirements, one system vs. two systems, cloud vs. server architecture, risk-based policies, and what processes FAA could automate.	5/31/2019	N/A	N/A
130	OIG	OST	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Develop and issue guidance to OAs for clearly identifying awards as R&D.	12/31/2020	N/A	N/A
131	OIG	OST	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Revise DOT financial assistance policies to specify what officials are authorized to approve justifications for awarding financial assistance without full and open competition.	12/31/2020	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
132	OIG	NHTSA	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Update financial assistance policies and procedures to address what administrative requirements apply to agreements with for-profit and foreign entities.	3/30/2020	N/A	N/A
133	OIG	NHTSA	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Update financial assistance policies and procedures to specifically address agreements using a work-order structure, including procedures to reduce the risk of using these agreements to circumvent the general requirement to award financial assistance using full and open competitive procedures.	3/30/2020	N/A	N/A
134	OIG	NHTSA	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Update the checklist for agreement files that describes what pre- and post-award documentation is required under current DOT and NHTSA policies.	3/30/2020	N/A	N/A
135	OIG	NHTSA	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Update financial assistance policies and procedures to specify what level of review is required to approve a justification for making a financial assistance award without using full and open competitive procedures.	3/30/2020	N/A	N/A
136	OIG	OST	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Develop and implement a risk-based methodology for reviewing a number of grantee reimbursement requests in detail on a regular basis.	3/30/2020	N/A	N/A
137	OIG	OST	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Provide guidance to OAs to reinforce a common definition of R&D for use when determining whether a financial assistance award needs to be identified as R&D.	3/30/2020	N/A	N/A
138	OIG	OST	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Update the checklist for agreement files that describes what pre- and post-award documentation is required under current DOT and OST-R policies.	3/30/2020	N/A	N/A
139	OIG	FHWA	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Update policies and procedures to determine when it is appropriate to require approval of recipient subcontracts or subawards and communicate this requirement to recipients; review the \$12,400 in unapproved subcontractor costs identified in this report; and recover any costs deemed unreasonable. Implementing this recommendation could result in \$1.6 million in funds being put to better use.	12/31/2019	N/A	N/A
140	OIG	FHWA	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Update the checklist for agreement files that describes what pre- and post-award documentation is required under current DOT and FHWA policies.	12/31/2019	N/A	N/A
141	OIG	OST	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Revise DOT financial assistance policies to require that OAs define what administrative requirements apply to agreements with for-profit and foreign recipients.	12/31/2019	N/A	N/A
142	OIG	FAA	4/23/2019	AV2019050	FAA Has Taken Steps To Advance the SENSR Program, but Opportunities and Risks Remain	Develop and implement an integrated Schedule, Budget, and Organizational Chart that incorporates all the partner agencies for the SENSR program.	10/31/2019	N/A	N/A
143	GAO	OST	4/11/2019	GAO-19-241	Data Center Optimization: Additional Agency Actions Needed to Meet OMB Goals	Take action to meet the data center closure targets established under DCOI by OMB.	12/31/2020	N/A	N/A
144	GAO	OST	4/11/2019	GAO-19-241	Data Center Optimization: Additional Agency Actions Needed to Meet OMB Goals	Take action to meet the data center optimization metrics targets established under DCOI by OMB.	12/31/2020	N/A	N/A
145	OIG	OST	4/9/2019	ZA2019049	Several Factors Limit DOT's Ability To Efficiently Utilize Its Office Space	Develop, document, and implement a supplemental guide to DOT's Office Space Design Standard Policy (Policy) to provide the Department and its Operating Administrations (OA) guidance for applying the Agency's utilization standard to existing office space—including those spaces that DOT continues to occupy under new agreements—and clarify those terms related to the application of the standard, as identified in this report—i.e., "new acquisitions," "office space renovations," "immediately retrofit," and "regularly review."	9/30/2020	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
146	OIG	OST	4/9/2019	ZA2019049	Several Factors Limit DOT's Ability To Efficiently Utilize Its Office Space	Develop, document, and implement an internal control process to apply when an OA is planning to acquire or continue to occupy an office space that exceeds the Agency's utilization standard. At a minimum, the process should require the OA to justify with documented evidence that it has implemented a different standard based on mission requirements or that applying the Department's standard will not be cost-effective or a best value option. Implementing this recommendation could potentially put \$2.1 million in funds to better use by preventing DOT from paying for unneeded space that exceeds the Agency's utilization standard.	9/30/2020	N/A	N/A
147	OIG	OST	4/9/2019	ZA2019049	Several Factors Limit DOT's Ability To Efficiently Utilize Its Office Space	Develop, document, and implement a supplemental guide to DOT's Policy to provide OAs guidance on how to determine peak occupancy and accurately calculate the utilization rates for DOT office spaces in compliance with the methodology prescribed in the Policy.	9/30/2020	N/A	N/A
148	OIG	OST	4/9/2019	ZA2019049	Several Factors Limit DOT's Ability To Efficiently Utilize Its Office Space	Develop and implement a process for tracking DOT office spaces and their utilization rates. At a minimum, this process should include the ability to track staff counts and a requirement for the OAs to regularly maintain and report up-to-date data.	9/30/2020	N/A	N/A
149	OIG	OST	4/9/2019	ZA2019049	Several Factors Limit DOT's Ability To Efficiently Utilize Its Office Space	Develop, document, and implement departmentwide guidance on how all OAs are to conduct regular reviews of their office spaces to identify and execute cost-efficiency opportunities.	9/30/2020	N/A	N/A
150	GAO	OST	4/4/2019	GAO-19-265	Scientific Integrity Policies: Additional Actions Could Strengthen Integrity of Federal Research	Develop mechanisms to regularly monitor and evaluate implementation of the department's scientific integrity policy, including mechanisms to remediate identified deficiencies and make improvements where necessary.	3/31/2020	N/A	N/A
151	GAO	OST	4/4/2019	GAO-19-58	Cloud Computing: Agencies Have Increased Usage and Realized Benefits, but Cost and Savings Data Need to Be Better Tracked	Establish guidance on assessing new and existing IT investments for suitability for cloud computing services.	12/31/2019	N/A	N/A
152	GAO	OST	4/4/2019	GAO-19-58	Cloud Computing: Agencies Have Increased Usage and Realized Benefits, but Cost and Savings Data Need to Be Better Tracked	Complete an assessment of all IT investments for suitability for migration to a cloud computing service, in accordance with OMB guidance.	12/31/2019	N/A	N/A
153	GAO	OST	4/4/2019	GAO-19-58	Cloud Computing: Agencies Have Increased Usage and Realized Benefits, but Cost and Savings Data Need to Be Better Tracked	Establish a consistent and repeatable mechanism to track savings and cost avoidances from the migration and deployment of cloud services.	12/31/2019	N/A	N/A
154	OIG	FAA	3/27/2019	SA2019044	Report on a Single Audit of the City of Wolf Point, Wolf Point, MT	Ensure that the City complies with the procurement and suspension and debarment requirements.	12/21/2019	N/A	N/A
155	OIG	FHWA	3/27/2019	SA2019047	Report on a Single Audit of the Native Village of Kluti-Kaah, Copper Center, AK	Ensures that the Native Village complies with the reporting requirements.	10/1/2019	N/A	N/A
156	OIG	FHWA	3/27/2019	SA2019034	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensures that the Authority complies with the activities allowed or unallowed requirements.	10/1/2019	N/A	N/A
157	OIG	FHWA	3/27/2019	SA2019034	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Recovers \$74,746 from the Authority, if applicable.	10/1/2019	N/A	N/A
158	OIG	FTA	3/27/2019	SA2019043	Report on a Single Audit of the Southern California Regional Rail Authority, Los Angeles, CA	Ensures that the Authority complies with the equipment and real property management requirements.	10/1/2019	N/A	N/A
159	OIG	FTA	3/27/2019	SA2019034	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensures that the Authority complies with the subrecipient monitoring requirements.	10/1/2019	N/A	N/A
160	OIG	OST	3/26/2019	SA2019037	Report on a Single Audit of Macon-Bibb County, Macon, GA	Ensures that the County complies with the reporting requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
161	GAO	OST	3/26/2019	GAO-19-172	Small Community Air Service Development	Clarify in the SCASDP evaluation plan how reviewers should assess a grant application's alignment with the priority and secondary selection criteria and assign the application rating categories.	11/30/2019	N/A	N/A
162	OIG	FHWA	3/26/2019	SA2019036	Report on a Single Audit of the New Mexico Department of Transportation, Santa Fe, NM	Ensures that the Department complies with the subrecipient monitoring requirements.	10/1/2019	N/A	N/A
163	OIG	FHWA	3/26/2019	SA2019041	Report on a Single Audit of the State of West Virginia, Charleston, WV	Ensures that the State complies with period of performance requirements.	10/1/2019	N/A	N/A
164	OIG	FHWA	3/26/2019	SA2019041	Report on a Single Audit of the State of West Virginia, Charleston, WV	Recovers \$3,644,218 from the State, if applicable.	10/1/2019	N/A	N/A

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165	OIG	FHWA	3/26/2019	SA2019041	Report on a Single Audit of the State of West Virginia, Charleston, WV	Ensures that the State complies with the special tests and provisions requirements.	10/1/2019	N/A	N/A
166	OIG	FHWA	3/26/2019	SA2019041	Report on a Single Audit of the State of West Virginia, Charleston, WV	Recovers \$2,877,461 from the State, if applicable.	10/1/2019	N/A	N/A
167	OIG	FTA	3/26/2019	SA2019032	Report on a Single Audit of the Metro Regional Transit Authority, Akron, OH	Ensure that the Metro Regional Transit Authority complies with the special tests and provisions requirements.	10/1/2019	N/A	N/A
168	OIG	FTA	3/26/2019	SA2019035	Report on a Single Audit of the City of Phoenix, Phoenix, AZ	Ensures that the City complies with the subrecipient monitoring requirements.	10/1/2019	N/A	N/A
169	OIG	FTA	3/26/2019	SA2019038	Report on a Single Audit of the City of Long Beach, Long Beach, NY	Ensures that the City complies with the allowable costs/cost principles requirements.	10/1/2019	N/A	N/A
170	OIG	FTA	3/26/2019	SA2019038	Report on a Single Audit of the City of Long Beach, Long Beach, NY	Recovers \$1,656 from the City, if applicable.	10/1/2019	N/A	N/A
171	OIG	FTA	3/26/2019	SA2019039	Report on a Single Audit of the Greater New Haven Transit District, Hamden, CT	Ensures that the District complies with the activities allowed or unallowed requirements.	10/1/2019	N/A	N/A
172	OIG	FAA	3/26/2019	QC2019025	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FAA perform a review of the accounts payable accrual, including the procurement samples selected and their fiscal year allocation, at a level of precision to identify errors in order to prevent a potential misstatement.	3/31/2019	N/A	N/A
173	OIG	FAA	3/26/2019	QC2019025	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FAA develop and implement policies and procedures to ensure that all assets are recorded with the appropriate useful life based on the asset dictionary.	3/31/2019	N/A	N/A
174	OIG	FAA	3/26/2019	QC2019025	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FAA develop and implement policies and procedures to ensure accurate accounting for internal use software assets in accordance with SFFAS 10.	3/31/2019	N/A	N/A
175	OIG	FAA	3/26/2019	QC2019025	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FAA develop and implement policies and procedures to ensure that all assets that meet the criteria for the EC&D liability are included in the facility quantities report and that any converted assets are properly removed and re-included in the report under the new facility contraction.	2/1/2019	N/A	N/A
176	OIG	OST	3/25/2019	SA2019028	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensures that the Authority complies with the reporting requirements.	N/A	Unresolved	DOT did not respond to the recommendation at the time of this report.
177	OIG	FTA	3/25/2019	SA2019026	Report on a Single Audit of the City of Columbus, Columbus, IN (2016)	Ensure that the City comply with the Allowable Costs/Cost Principles requirement.	1/31/2020	N/A	N/A
178	OIG	FTA	3/25/2019	SA2019026	Report on a Single Audit of the City of Columbus, Columbus, IN (2016)	Recover \$83,547 from the City, if applicable.	1/31/2020	N/A	N/A
179	OIG	FTA	3/25/2019	SA2019026	Report on a Single Audit of the City of Columbus, Columbus, IN (2016)	Ensure that the City comply with the Allowable Costs/Cost Principles requirements.	1/31/2020	N/A	N/A
180	OIG	FTA	3/25/2019	SA2019026	Report on a Single Audit of the City of Columbus, Columbus, IN (2016)	Recover \$30,335 from the City, if applicable.	1/31/2020	N/A	N/A
181	OIG	FTA	3/25/2019	SA2019026	Report on a Single Audit of the City of Columbus, Columbus, IN (2016)	Ensure that the City comply with cash management requirements.	1/31/2020	N/A	N/A
182	OIG	FTA	3/25/2019	SA2019026	Report on a Single Audit of the City of Columbus, Columbus, IN (2016)	Recover \$13,465 from the City, if applicable.	1/31/2020	N/A	N/A
183	OIG	FTA	3/25/2019	SA2019027	Report on a Single Audit of the City of Columbus, Columbus, IN (2017)	Ensure that the City complies with the activities allowed or unallowed requirements.	1/31/2020	N/A	N/A
184	OIG	FTA	3/25/2019	SA2019027	Report on a Single Audit of the City of Columbus, Columbus, IN (2017)	Recover \$41,733 from the City, if applicable.	1/31/2020	N/A	N/A
185	OIG	FTA	3/25/2019	SA2019027	Report on a Single Audit of the City of Columbus, Columbus, IN (2017)	Ensure that the City complies with the allowable costs/cost principles requirements.	1/31/2020	N/A	N/A
186	OIG	FTA	3/25/2019	SA2019027	Report on a Single Audit of the City of Columbus, Columbus, IN (2017)	Recover \$107,181 from the City, if applicable.	1/31/2020	N/A	N/A
187	OIG	FTA	3/25/2019	SA2019027	Report on a Single Audit of the City of Columbus, Columbus, IN (2017)	Ensure that the City complies with the matching, level of effort, earmarking requirements.	1/31/2020	N/A	N/A
188	OIG	FTA	3/25/2019	SA2019027	Report on a Single Audit of the City of Columbus, Columbus, IN (2017)	Recover \$8,067 from the City, if applicable.	1/31/2020	N/A	N/A
189	OIG	FTA	3/25/2019	SA2019028	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensures that the Authority complies with the equipment and real property management requirements.	10/1/2019	N/A	N/A
190	OIG	FTA	3/25/2019	SA2019028	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensures that the Authority complies with the reporting requirements.	10/1/2019	N/A	N/A

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191	GAO	FHWA	3/20/2019	GAO-19-22	Tribal Consultation: Additional Federal Actions Needed for Infrastructure Projects	Document in the agency's tribal consultation policy how agency officials are to communicate with tribes about how tribal input from consultation was considered in agency decisions on infrastructure projects.	12/30/2020	N/A	N/A
192	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Direct OAs (FAA, FHWA, FMCSA, FRA, FTA, OST, PHMSA, MARAD, and NHTSA) with weaknesses in data protection and privacy to update the status and develop POA&Ms to address the weaknesses.	9/30/2020	N/A	N/A
193	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Update specialized training guidance in DOT Cybersecurity Action Memos policy and DOT Cybersecurity Compendium policy to clearly define requirements.	9/30/2020	N/A	N/A
194	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Enhance security awareness training policy to define processes to tailor this training to DOT's unique environment and use feedback to enhance its program.	9/30/2020	N/A	N/A
195	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Develop policy and procedures to verify and validate the accuracy and completeness of the Department's key FISMA information repository and tool, currently the Cyber Security Assessment and Management tool (CSAM).	9/30/2020	N/A	N/A
196	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Direct OCIO to follow policy and conduct annual cybersecurity performance analysis reviews of OAs' cybersecurity programs, and submit reports to OAs with recommendations to address cybersecurity weaknesses.	9/30/2020	N/A	N/A
197	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Develop a process and policy where applicable to ensure the Department develops and maintain a comprehensive and accurate inventory of cloud systems, contractor systems, and websites that the public can access.	9/30/2020	N/A	N/A
198	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Direct OST to prioritize and resolve COE security weaknesses identified by assessor, and develop POA&Ms that realistically reflect resources and timeframes for completions of these actions.	9/30/2020	N/A	N/A
199	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Direct OST to establish MOUs that delineate the responsibilities for COE common controls with each of the following OAs: FHWA, FMCSA, FRA, FTA, OIG, MARAD, SLSDC, and NHTSA.	9/30/2020	N/A	N/A
200	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Develop and define a taxonomy that describes the content of the hardware and software inventory and the process to assemble, verify and maintain adequate support for the inventory data as well as the related information reported to OMB and other external parties.	9/30/2020	N/A	N/A
201	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Develop a process to define its performance measures—that consider DOT's business environment—to assess the effectiveness of DOT's information security program, including its ISCM program.	9/30/2020	N/A	N/A
202	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Using NIST guidance, test and authorize CDM applications (such as BigFix) that have been placed into operation on DOT's networks without proper security control assessments.	9/30/2020	N/A	N/A
203	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Provide enterprise wide specialized training on contingency planning and testing on a periodic basis to appropriate security officials and stakeholders. Training should reinforce crucial role contingency planning and testing plays in an effective information security program.	9/30/2020	N/A	N/A
204	GAO	OST	3/20/2019	GAO-19-22	Tribal Consultation: Additional Federal Actions Needed for Infrastructure Projects	Document in the agency's tribal consultation policy how agency officials are to communicate with tribes about how tribal input from consultation was considered in agency decisions on infrastructure projects.	6/30/2020	N/A	N/A
205	OIG	FAA	3/20/2019	QC2019024	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that ESC develop, implement, and document a timeline for journal vouchers to be approved and posted.	10/1/2019	N/A	N/A

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206	OIG	FAA	3/20/2019	QC2019024	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that ESC establish a review control, with the appropriate level of precision, to ensure journal vouchers are posted in a timely manner and in accordance with the above policy.	10/1/2019	N/A	N/A
207	OIG	FHWA	3/20/2019	QC2019024	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FHWA management develop and implement a process to require documentation of the UPACS audit log review to be maintained to include documentation of the date reviewed, person who reviewed the log, and any follow-up actions required.	10/1/2019	N/A	N/A
208	OIG	FHWA	3/20/2019	QC2019024	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FHWA management update the UPACS standard operating procedures or other appropriate documentation to reflect the new audit log review process.	10/1/2019	N/A	N/A
209	OIG	FHWA	3/20/2019	QC2019024	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FHWA management develop a process to ensure the review of FMIS5 application access is completed by all divisions.	10/1/2019	N/A	N/A
210	OIG	FHWA	3/20/2019	QC2019024	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FHWA management update the FMIS5 standard operating procedures or other appropriate documentation to reflect the new review process.	10/1/2019	N/A	N/A
211	OIG	FHWA	3/20/2019	QC2019024	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FHWA management strengthen policies and procedures that require terminated user accounts to be removed from UPACS in a timely manner.	10/1/2019	N/A	N/A
212	OIG	FHWA	3/20/2019	QC2019024	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FHWA management update the UPACS standard operating procedures documents to reflect the new requirements.	10/1/2019	N/A	N/A
213	OIG	FAA	3/20/2019	AV2019021	FAA Has Made Progress but Additional Actions Remain To Implement Congressionally Mandated Cyber Initiatives	Develop a plan with target dates to address the Working Group's four deferred recommendations to enhance aircraft systems cybersecurity.	9/30/2019	N/A	N/A
214	OIG	FAA	3/20/2019	AV2019021	FAA Has Made Progress but Additional Actions Remain To Implement Congressionally Mandated Cyber Initiatives	Develop a plan with target dates to finalize the application of CyRM to the mission support and research and development areas, and determine when full application of CyRM will occur.	9/30/2019	N/A	N/A
215	OIG	FAA	3/20/2019	AV2019021	FAA Has Made Progress but Additional Actions Remain To Implement Congressionally Mandated Cyber Initiatives	Establish priorities for FAA-led research and development activities and incorporate these priorities into the budget process.	9/30/2019	N/A	N/A
216	GAO	OST	3/20/2019	GAO-19-237	International Air Alliances: Greater Transparency Needed on DOT's Efforts to Monitor the Effects of Antitrust Immunity	Provide periodic external reporting, at a time interval DOT determines appropriate, to the public and policymakers, on the effects of antitrust immunity—based on the range of monitoring activities undertaken by DOT—including whether grants of immunity have achieved anticipated benefits and the status of remedies—such as airport slot divestitures—imposed as part of DOT's approval.	9/30/2019	N/A	N/A
217	GAO	NHTSA	3/14/2019	GAO-19-264	Truck Underride Guards: Improved Data Collection, Inspections, and Research Needed	Recommend to the expert panel of the Model Minimum Uniform Crash Criteria to update the Criteria to provide a standardized definition of underride crashes and to include underride as a recommended data field.	8/30/2022	N/A	N/A
218	GAO	NHTSA	3/14/2019	GAO-19-264	Truck Underride Guards: Improved Data Collection, Inspections, and Research Needed	Provide information to state and local police departments on how to identify and record underride crashes.	10/31/2021	N/A	N/A
219	GAO	FTA	3/14/2019	GAO-19-290	Transit Workforce Development: Improved Strategic Planning Practices Could Enhance FTA Efforts	Develop and document clearly defined performance goals and measures for its transit workforce development efforts.	10/1/2021	N/A	N/A
220	GAO	FTA	3/14/2019	GAO-19-290	Transit Workforce Development: Improved Strategic Planning Practices Could Enhance FTA Efforts	Determine, in collaboration with transit stakeholders, whether additional transit workforce data are needed to identify potential future occupational shortages in the transit industry and whether the benefits of this collection would outweigh the cost of gathering it.	9/30/2020	N/A	N/A

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221	GAO	NHTSA	3/14/2019	GAO-19-264	Truck Underride Guards: Improved Data Collection, Inspections, and Research Needed	Conduct additional research on side underride guards to better understand the overall effectiveness and cost associated with these guards and, if warranted, develop standards for their implementation.	8/31/2020	N/A	N/A
222	GAO	FTA	3/14/2019	GAO-19-290	Transit Workforce Development: Improved Strategic Planning Practices Could Enhance FTA Efforts	Develop and document a strategy that outlines how FTA will help address future transit workforce needs.	6/30/2020	N/A	N/A
223	GAO	FMCSA	3/14/2019	GAO-19-264	Truck Underride Guards: Improved Data Collection, Inspections, and Research Needed	Revise Appendix G of the agency's regulations to require that rear guards are inspected during commercial vehicle annual inspections.	2/28/2020	N/A	N/A
224	OIG	FHWA	3/13/2019	ST2019020	FHWA Lacks Adequate Oversight and Guidance for Engineer's Estimates	Develop and implement an action plan that establishes target action dates and assigns responsibility for following up on the key recommendations from the 2015 National Review of State Cost Estimation Practice.	6/30/2020	N/A	N/A
225	OIG	FHWA	3/13/2019	ST2019020	FHWA Lacks Adequate Oversight and Guidance for Engineer's Estimates	Develop and implement an oversight process for Engineer's Estimates that assesses whether States are following FHWA's guidance and thresholds.	6/30/2020	N/A	N/A
226	OIG	FHWA	3/13/2019	ST2019020	FHWA Lacks Adequate Oversight and Guidance for Engineer's Estimates	Update FHWA's Guidelines on Preparing Engineer's Estimate, Bid Reviews, and Evaluation (2004 Guidance) to include: a. Estimating guidance for more recent project delivery methods, such as design-build and construction manager/general contractor and, b. Guidelines to account for contingencies and inflation when developing Engineer's Estimates.	6/30/2020	N/A	N/A
227	OIG	FHWA	3/13/2019	ST2019020	FHWA Lacks Adequate Oversight and Guidance for Engineer's Estimates	Assess the validity and applicability of the threshold in FHWA's 2004 Guidance that is used to measure the accuracy of Engineer's Estimates.	6/30/2020	N/A	N/A
228	GAO	OST	3/12/2019	GAO-19-144	Cybersecurity Workforce :Agencies Need to Accurately Categorize Positions to Effectively Identify Critical Staffing Needs	To complete the appropriate assignment of codes to their positions performing IT, cybersecurity, or cyber-related functions, in accordance with the requirements of the Federal Cybersecurity Workforce Assessment Act of 2015, take steps to review the assignment of the "000" code to any positions in the department in the 2210 IT management occupational series and assign the appropriate NICE framework work role codes.	9/30/2019	N/A	N/A
229	GAO	OST	3/11/2019	GAO-19-279	Surface Transportation: Action needed to Guide Implementation of Build America Bureau and Improve Application Process	Ensure that the Build America Bureau develop a detailed implementation plan that sets goals and a timeline for the Bureau's continued efforts, fills vacancies in the Bureau, and prioritizes and sequences work to carry out the multiple responsibilities given to the Bureau in the FAST Act.	7/31/2020	N/A	N/A
230	GAO	OST	3/11/2019	GAO-19-279	Surface Transportation: Action Needed to Guide Implementation of Build America Bureau and Improve Application Process	Ensure that the Build America Bureau develop performance indicators to assess the Bureau's progress toward meeting its guiding principles or mission as a "one-stop shop."	7/31/2020	N/A	N/A
231	GAO	OST	3/11/2019	GAO-19-279	Surface Transportation: Action Needed to Guide Implementation of Build America Bureau and Improve Application Process	Ensure that the Build America Bureau develop a mechanism to assess the Bureau's application evaluation process for TIFIA and RRIF and identify and address opportunities to improve and further streamline the process. This evaluation should include mechanisms to solicit feedback from project sponsors that sought financing.	7/31/2020	N/A	N/A
232	GAO	OST	3/11/2019	GAO-19-279	Surface Transportation: Action Needed to Guide Implementation of Build America Bureau and Improve Application Process	Ensure that the Build America Bureau develop and adopt a public statement that outlines DOT's and the Bureau's policy goals and appetite for risk for the TIFIA and RRIF financing programs.	12/31/2019	N/A	N/A
233	GAO	OST	3/11/2019	GAO-19-279	Surface Transportation: Action Needed to Guide Implementation of Build America Bureau and Improve Application Process	Ensure that the Build America Bureau establish a policy to document a clear rationale to support decisions made in the PAB application evaluation process to explain why an allocation should or should not be approved.	12/31/2019	N/A	N/A
234	GAO	OST	3/7/2019	GAO-19-161	Automated Trucking: Federal Agencies Should Take Additional Steps to Prepare for Potential Workforce Effects	Collaborate with the Secretary of Labor to continue to convene key groups of stakeholders to gather information on potential workforce changes that may result from automated trucking as the technology evolves, including analyzing needed skills and identifying any information or data gaps, to allow the agencies to fully consider how to respond to any changes. These stakeholders could include, for example, representatives of other relevant federal agencies, technology developers, the trucking industry, organizations that represent truck drivers, truck driver training schools, state workforce agencies, and local workforce development boards.	5/31/2020	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
235	GAO	OST	3/7/2019	GAO-19-161	Automated Trucking: Federal Agencies Should Take Steps to Prepare for Potential Workforce Effects	Consult with the Secretary of Labor to further analyze the potential effects of automated trucking technology on drivers to inform potential workforce-related regulatory changes, such as the requirements to obtain a commercial driver's license or hours of service requirements (e.g., the maximum hours commercial truck drivers are permitted to work). This could include leveraging the analysis described by the Explanatory Statement accompanying the Consolidated Appropriations Act, 2018 once it is complete, as well as information the department obtains from stakeholders as the technology evolves.	5/31/2020	N/A	N/A
236	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Require FHWA Headquarters and Division Offices to follow established procedures for reviewing and approving initial financial plans to ensure they include an assessment of the appropriateness of a P3 for project delivery.	12/31/2019	N/A	N/A
237	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Revise and issue guidance to communicate to FHWA staff and stakeholders the processes FHWA will use to take Federal stewardship considerations into account in approving P3 projects. This guidance should address FHWA's role, if any, in the assessment of traffic and revenue assumptions.	12/31/2019	N/A	N/A
238	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Develop and issue Agency wide guidance identifying risks specific to P3 projects that Division Offices should consider in their risk assessments of State and local transportation agencies' Federal-aid construction programs.	12/31/2019	N/A	N/A
239	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Consult with the Build America Bureau to define FHWA's and the Bureau's roles and responsibilities during the Operations and Maintenance phase for P3 projects.	12/31/2019	N/A	N/A
240	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Develop and issue guidance to internal and external stakeholders communicating the processes FHWA will use to oversee P3 projects, including during the Operations and Maintenance phase for P3 projects that remain funded by Federal loans.	12/31/2019	N/A	N/A
241	OIG	FHWA	2/13/2019	SA2019017	Report on a Single Audit of the Kiowa Tribe of Oklahoma, Carnegie, OK	Ensures that the Tribe complies with the procurement and suspension and debarment requirements.	10/1/2019	N/A	N/A
242	OIG	FHWA	2/13/2019	SA2019017	Report on a Single Audit of the Kiowa Tribe of Oklahoma, Carnegie, OK	We recommend that FHWA recovers \$1,531,442 from the Tribe, if applicable.	10/1/2019	N/A	N/A
243	OIG	FAA	12/18/2018	AV2019015	Most Public Agencies Comply With Passenger Facility Charge Program Requirements, But FAA Can Improve the Use of Its Oversight Tools	Develop a methodology to review completed PFC projects that determines whether they are achieving intended program goals, and identifies best practices and opportunities for improvement.	N/A	Unresolved	DOT did not agree with the recommendation.
244	OIG	FAA	12/18/2018	AV2019015	Most Public Agencies Comply With Passenger Facility Charge Program Requirements, But FAA Can Improve the Use of Its Oversight Tools	Develop and implement policies and procedures that require ADO staff to consistently record certain items in the System of Airport Reporting database to enhance its oversight of the PFC program, such as the receipt of independent audit reports, PFC-related findings reported by independent auditors, follow-up actions and comments discussed with the public agency, status of audit findings, and whether the findings are repeated from prior years.	4/1/2020	N/A	N/A
245	OIG	FAA	12/18/2018	AV2019015	Most Public Agencies Comply With Passenger Facility Charge Program Requirements, But FAA Can Improve the Use of Its Oversight Tools	Develop and implement procedures to ensure PFC expenditures at the Gary, IN, airport are independently audited, including the \$18.3 million identified in our report.	11/29/2019	N/A	N/A
246	OIG	FAA	12/18/2018	AV2019015	Most Public Agencies Comply With Passenger Facility Charge Program Requirements, But FAA Can Improve the Use of Its Oversight Tools	Update FAA's policy and procedures to require Airport District Offices (ADO) to obtain and review complete audit reports and ensure all required audit opinions are included.	10/1/2019	N/A	N/A
247	OIG	FAA	12/18/2018	AV2019015	Most Public Agencies Comply With Passenger Facility Charge Program Requirements, But FAA Can Improve the Use of Its Oversight Tools	Establish specific timeframes for issuing audit reports and verify that public agencies' independent audits are performed annually.	4/1/2019	N/A	N/A
248	OIG	FAA	12/18/2018	AV2019015	Most Public Agencies Comply With Passenger Facility Charge Program Requirements, But FAA Can Improve the Use of Its Oversight Tools	Develop and implement policies and procedures for verifying that public agencies report accurate PFC collection and expenditure information to FAA.	4/1/2019	N/A	N/A

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249	OIG	FAA	12/4/2018	FI2019014	DOT has not met federal targets for implementing components of its information security continuous monitoring program	To improve the accuracy and completeness of the data FAA uses to report on its CAP goal metrics, the Federal Aviation Administrator needs to implement procedures that: define the requirements for selecting the operating systems to be monitored; criteria for determining which tools should be used to collect data for the CAP goal metrics; and verify the accuracy and completeness of the CAP goal metrics.	10/31/2019	N/A	N/A
250	OIG	FAA	12/4/2018	FI2019014	DOT has not met federal targets for implementing components of its information security continuous monitoring program	To improve the accuracy and completeness of the data FAA uses to report on its CAP goal metrics, the Federal Aviation Administrator needs to develop and implement controls for verifying, validating, and retaining data used to report on CAP performance-based goal metrics.	10/31/2019	N/A	N/A
251	OIG	OST	12/4/2018	FI2019014	DOT has not met federal targets for implementing components of its information security continuous monitoring program	To improve the DOT's information security continuous monitoring program, DOT Chief Information Officer needs to update the department's federal information security modernization act standard operating procedures to include steps for verifying the accuracy and completeness of the Federal Aviation Administration's (FAA) Cross Agency Priority (CAP) goal metrics.	10/31/2019	N/A	N/A
252	OIG	FAA	11/27/2018	AV2019013	FAA Remains Several Years Away From A Standardized Controller Scheduling Tool	Develop an implementation plan for deploying a scheduling system for controllers that includes schedule milestones, system requirements, risk assessment and mitigation, and funding requirements.	12/31/2019	N/A	N/A
253	OIG	FAA	11/27/2018	AV2019013	FAA Remains Several Years Away From A Standardized Controller Scheduling Tool	Assess and quantify the expected benefits of a customized controller scheduling tool.	12/31/2019	N/A	N/A
254	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Assess the feasibility and cost of updating the Office of the Secretary airline case management system to address data and reporting limitations, and to undertake those updates that are cost effective and feasible.	12/31/2019	N/A	N/A
255	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Assess Office of the Secretary procedures and training materials for coding airline passengers' complaints, as appropriate, to help ensure that passengers' complaints are consistently coded and that potential consumer protection violations are properly identified.	9/30/2019	N/A	N/A
256	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Capture feedback directly from airline passengers or identify other mechanisms to capture passengers' perspectives to inform DOT's education efforts.	9/30/2019	N/A	N/A
257	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Identify available short- and long-term budgetary resources for DOT's airline-passenger education efforts.	9/30/2019	N/A	N/A
258	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Develop performance measures for DOT's efforts to educate airline passengers.	9/30/2019	N/A	N/A
259	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Establish performance measures for each of the Office of the Secretary objectives for its five key airline-compliance activities.	6/30/2019	N/A	N/A
260	OIG	FAA	11/15/2018	QC2019010	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that DOT management develop sufficient procedures and controls to address the identified GITC control deficiencies.	10/1/2019	N/A	N/A
261	OIG	FAA	11/15/2018	QC2019010	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that DOT management monitor progress to ensure that the GITC procedures and controls are implemented and operating effectively.	10/1/2019	N/A	N/A
262	OIG	FHWA	11/15/2018	QC2019010	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that DOT Management perform a thorough and detailed review of the overall TIFIA cash flow model functionality and implementation to ensure that all assumptions are properly applied in the execution of the cash flow projections.	10/1/2019	N/A	N/A
263	OIG	FHWA	11/15/2018	QC2019010	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that DOT consider automating the calculations that are performed manually to reduce risk of misapplication of assumptions due to human error.	10/1/2019	N/A	N/A

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264	OIG	FAA	11/14/2018	QC2019009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FAA management develop sufficient procedures and controls to address the identified GITC control deficiencies.	9/30/2019	N/A	N/A
265	OIG	FAA	11/14/2018	QC2019009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FAA management monitor progress to ensure that the GITC procedures and controls are implemented and operating effectively.	9/30/2019	N/A	N/A
266	OIG	FAA	11/14/2018	QC2019009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FAA management revise its existing policy of expensing all projects initiated via RE&D funding, to include projects that have progressed beyond the preliminary design stage, and design and implement controls at the appropriate level of precision to determine whether projects should be expensed or capitalized, in accordance with the applicable accounting standards.	9/30/2019	N/A	N/A
267	OIG	FAA	11/14/2018	QC2019009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FAA management design and document policies, procedures, and controls related to the review of inventory shop orders that include standardized reports, an appropriate precision threshold for required analysis or follow-up, and evidence of review.	6/30/2019	N/A	N/A
268	OIG	FAA	11/14/2018	QC2019009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	KPMG recommends that FAA management design and implement policies and procedures to conduct a held for repair unit cost calculation review, including approvals of adjustments due to unique circumstances.	3/31/2019	N/A	N/A
269	GAO	FHWA	11/8/2018	GAO-19-80	Grade-Crossing Safety: DOT Should Evaluate Whether Program Provides States Flexibility to Address Ongoing Challenges	Work with FRA to evaluate the Section 130 Program's requirements to determine whether they allow states sufficient flexibility to adequately address current and emerging grade-crossing safety issues and whether statutory changes to the program are necessary to improve its effectiveness.	6/30/2020	N/A	N/A
270	OIG	FAA	11/7/2018	AV2019004	FAA Has Taken Steps To Address ERAM Outages, but Some Vulnerabilities Remain	Upon completion of the safety review regarding removing ERAM's current backup system, determine what backup capability is required for ERAM and then develop and implement that capability.	12/31/2019	N/A	N/A
271	OIG	FAA	11/7/2018	AV2019004	FAA Has Taken Steps To Address ERAM Outages, but Some Vulnerabilities Remain	Develop and implement contingency plan testing to validate the effectiveness of techniques and procedures to react to and recover from ERAM outages, with air traffic controllers' and maintenance technicians' participation.	12/31/2019	N/A	N/A
272	OIG	FAA	11/7/2018	AV2019004	FAA Has Taken Steps To Address ERAM Outages, but Some Vulnerabilities Remain	Evaluate, develop, and implement training, consistent with NIST guidelines, for maintenance technicians and air traffic control staff for responding to ERAM in degraded system conditions and outages.	12/31/2019	N/A	N/A
273	OIG	FAA	11/7/2018	AV2019005	Opportunities Exist for FAA to Strengthen its Review and Oversight Processes for Unmanned Aircraft System Waivers	Assess performance statistics for ATO's non-automated airspace waiver request process to determine if establishing volume and timeliness goals would enhance the process and if so, develop and implement these goals.	10/29/2019	N/A	N/A
274	OIG	FAA	11/7/2018	AV2019005	Opportunities Exist for FAA to Strengthen its Review and Oversight Processes for Unmanned Aircraft System Waivers	Conduct a workforce assessment of the staff assigned to review airspace waiver and authorization requests to determine if Air Traffic Organization (ATO) staffing is adequate, and take appropriate action based on the results.	9/30/2019	N/A	N/A
275	OIG	FRA	9/12/2018	SA2018098	Report on a Single Audit of the National Railroad Passenger Corporations & Subsidiaries (AMTRAK), Washington, DC	Ensures that AMTRAK complies with the equipment and real property management requirements.	1/31/2021	N/A	N/A
276	OIG	FAA	9/12/2018	SA2018096	Report on a Single Audit of the Territory of American Samoa, Pago Pago, AS	Recovers \$264,077 from the Territory, if applicable.	12/13/2019	N/A	N/A
277	OIG	FAA	9/12/2018	SA2018096	Report on a Single Audit of the Territory of American Samoa, Pago Pago, AS	Ensures that the Territory complies with the equipment and real property requirements.	12/13/2019	N/A	N/A
278	OIG	FAA	9/12/2018	SA2018096	Report on a Single Audit of the Territory of American Samoa, Pago Pago, AS	Ensures that the Territory complies with the special tests and provisions requirements.	10/1/2019	N/A	N/A
279	OIG	FHWA	9/12/2018	SA2018097	Report on a Single Audit of the Navajo Nation, Window Rock, AZ	We recommend that FHWA ensures that the Navajo Nation complies with the equipment and real property requirements.	10/1/2019	N/A	N/A

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280	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of invoicing and AIP Grant Payments	Develop and implement controls for periodically verifying that RO/ADO program managers are implementing FAA's policy for (a) assigning and monitoring grantee risk ratings, as required; (b) performing manual approvals, when required; and (c) performing quarterly reviews and, when applicable, modifying grantee risk ratings according to FAA guidance.	9/30/2019	N/A	N/A
281	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of invoicing and AIP Grant Payments	Update FAA policy to include the availability of existing Delphi invoicing training and communicate the policy revision to all AIP grantees.	9/30/2019	N/A	N/A
282	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of invoicing and AIP Grant Payments	Communicate to AIP grantees FAA's policy requirement for maintaining all original documentation that supports grant payments and confirm that all grantees have acknowledged this requirement.	9/30/2019	N/A	N/A
283	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of invoicing and AIP Grant Payments	Update AIP payment policy to include a specific requirement that grantees submit payment requests on invoiced costs incurred up to the allowable Federal share, and communicate the revision to all AIP grantees.	9/30/2019	N/A	N/A
284	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of invoicing and AIP Grant Payments	Improve existing training for RO/ADO program managers to follow the AIP Handbook requirements for amending grant agreements when expanding project descriptions.	9/30/2019	N/A	N/A
285	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of invoicing and AIP Grant Payments	Develop and implement a plan to recover the \$102,323 in questioned and unsupported costs identified in this report.	12/31/2018	N/A	N/A
286	OIG	FHWA	9/11/2018	SA2018094	Report on a Single Audit of the Commonwealth of the Northern Mariana Islands, Saipan, MP	Ensures that the Commonwealth complies with the equipment and real property management requirements.	10/1/2019	N/A	N/A
287	OIG	FTA	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	ensures that the University complies with the allowable costs/cost principles requirements.	10/1/2019	N/A	N/A
288	OIG	FTA	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Recovers \$9,377 from the University, if applicable.	10/1/2019	N/A	N/A
289	OIG	OST	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Ensures that the University complies with the allowable costs/cost principles requirements.	10/1/2019	N/A	N/A
290	OIG	OST	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Recovers \$8,954 from the University, if applicable.	10/1/2019	N/A	N/A
291	OIG	FHWA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Ensures that the State complies with the special tests and provisions requirements.	10/1/2019	N/A	N/A
292	OIG	FHWA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Ensures that the State complies with the cash management requirements.	10/1/2019	N/A	N/A
293	OIG	FHWA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Ensures that the State complies with the subrecipient monitoring requirements.	10/1/2019	N/A	N/A
294	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensures that the Tribe complies with the cash management requirements.	10/1/2019	N/A	N/A
295	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Recovers \$3,077,574 from the Tribe, if applicable.	10/1/2019	N/A	N/A
296	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensures that the Tribe complies with the activities allowed/allowable costs and cost principles requirements.	10/1/2019	N/A	N/A
297	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Recovers \$22,691 from the Tribe, if applicable.	10/1/2019	N/A	N/A
298	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensures that the Tribe complies with the equipment and real property requirements.	10/1/2019	N/A	N/A
299	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensures that the Tribe complies with the period of performance requirements.	10/1/2019	N/A	N/A
300	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensures that the Tribe complies with the special tests and provisions requirements.	10/1/2019	N/A	N/A
301	OIG	FTA	9/10/2018	SA2018078	Report on Single Audit of the Capital Area Transportation Authority, Lansing, MI	Ensures that the Authority complies with the cash management requirements.	10/1/2019	N/A	N/A
302	OIG	FTA	9/10/2018	SA2018078	Report on Single Audit of the Capital Area Transportation Authority, Lansing, MI	We recommend FTA recovers \$30,641 from the Authority, if applicable.	10/1/2019	N/A	N/A
303	OIG	FTA	9/10/2018	SA2018080	Report on a Single Audit of the City and County of Honolulu, HI	Ensures that the City and County complies with the activities allowed or unallowed and allowable costs/cost principles requirements.	10/1/2019	N/A	N/A
304	OIG	FTA	9/10/2018	SA2018080	Report on a Single Audit of the City and County of Honolulu, HI	Recovers \$24,080,771 from the City and County, if applicable.	10/1/2019	N/A	N/A
305	OIG	FTA	9/10/2018	SA2018080	Report on a Single Audit of the City and County of Honolulu, HI	Ensures that the City and County complies with the reporting requirements.	10/1/2019	N/A	N/A
306	OIG	FTA	9/10/2018	SA2018082	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensures that the Authority complies with the equipment and real property management requirements.	10/1/2019	N/A	N/A

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307	OIG	FTA	9/10/2018	SA2018083	Report on a Single Audit of the City of Union City, Union City, CA	Recovers \$2,780,059 from the City, if applicable.	10/1/2019	N/A	N/A
308	OIG	OST	9/10/2018	SA2018082	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensures that the Authority complies with the equipment and real property management requirements.	10/1/2019	N/A	N/A
309	OIG	OST	9/10/2018	SA2018084	Report on a Single Audit of the City of Atlanta, Atlanta, GA	Ensures that the City complies with reporting requirements.	10/1/2019	N/A	N/A
310	OIG	OST	9/10/2018	SA2018084	Report on a Single Audit of the City of Atlanta, Atlanta, GA	Ensures that the City complies with subrecipient monitoring requirements.	10/1/2019	N/A	N/A
311	GAO	SLSDC	9/5/2018	GAO-18-610	GREAT LAKES-ST. LAWRENCE SEAWAY: Assessing Risks and Measuring Performance Could Improve Maritime Transportation	Establish a process to identify, analyze, and monitor risks to the system's use to inform future actions to address those risks.	12/31/2019	N/A	N/A
312	OIG	OST	8/22/2018	ST2018076	DOT Operating Administrations Can Better Enable Referral of Potentially Criminal Activity to OIG	Require that Operating Administrations align any criminal referral procedures with updated DOT Orders.	1/15/2020	N/A	N/A
313	OIG	OST	8/22/2018	ST2018076	DOT Operating Administrations Can Better Enable Referral of Potentially Criminal Activity to OIG	Implement an annual mandatory training requirement on DOT employees' responsibility to report fraud, waste, and abuse to the OIG and requirements in DOT Orders 8000.8 and 8000.5A.	1/15/2020	N/A	N/A
314	OIG	OST	8/22/2018	ST2018076	DOT Operating Administrations Can Better Enable Referral of Potentially Criminal Activity to OIG	Update DOT Orders 8000.8 and 8000.5A and make them available to DOT employees.	12/30/2019	N/A	N/A
315	OIG	FHWA	8/22/2018	SA2018074	Report on a Single Audit of the Government of Guam, Hagatna, GU	Ensures that Guam complies with the equipment and real property management requirements.	10/1/2019	N/A	N/A
316	OIG	FTA	8/22/2018	SA2018073	Report on Single Audit of the State of Nebraska, Lincoln, NE	Ensures that the State complies with the subrecipient monitoring requirements.	10/1/2019	N/A	N/A
317	OIG	FTA	8/22/2018	SA2018073	Report on Single Audit of the State of Nebraska, Lincoln, NE	We recommend FTA recovers \$99,226 from the State, if applicable.	10/1/2019	N/A	N/A
318	OIG	FHWA	8/15/2018	SA2018069	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensures that the Authority complies with special tests and provisions requirements.	10/1/2019	N/A	N/A
319	OIG	FHWA	8/15/2018	SA2018069	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensures that the Authority complies with the matching requirements.	10/1/2019	N/A	N/A
320	OIG	FTA	8/15/2018	SA2018067	Report on a Single Audit of the San Francisco Municipal Transportation Agency, San Francisco, CA	Ensures that the Agency complies with the procurement and suspension and debarment requirements.	10/1/2019	N/A	N/A
321	OIG	FTA	8/15/2018	SA2018067	Report on a Single Audit of the San Francisco Municipal Transportation Agency, San Francisco, CA	Recovers \$214,494 from the Agency, if applicable.	10/1/2019	N/A	N/A
322	OIG	FTA	8/15/2018	SA2018069	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensures that the Authority complies with subrecipient monitoring requirements.	10/1/2019	N/A	N/A
323	OIG	OST	8/15/2018	SA2018068	Report on a Single Audit of the North Coast Railroad Authority, Ukiah, CA	Ensures that the Authority complies with the reporting requirements.	10/1/2019	N/A	N/A
324	GAO	MARAD	8/8/2018	GAO-18-478	Maritime Security: DOT Needs to Expediently Finalize the Required National Maritime Strategy for Sustaining U.S.-Flag Fleet	Complete the national maritime strategy and establish and provide to Congress a timeline by which the strategy document will be issued.	2/13/2020	N/A	N/A
325	OIG	FHWA	8/6/2018	SA2018063	Report on Single Audit of the Wyoming Department of Transportation, Cheyenne, WY	Ensures that the Wyoming DOT complies with the reporting requirements.	10/1/2019	N/A	N/A
326	GAO	OST	8/2/2018	GAO-18-93	Federal Chief Information Officers: Critical Actions Needed to Address Shortcomings and Challenges in Implementing Responsibilities	Ensure that the Department's IT management policies address the role of the CIO for key responsibilities in the five areas we identified.	12/31/2019	N/A	N/A
327	GAO	FTA	7/30/2018	GAO-18-539	Public Transit Partnerships: Additional Information Needed to Clarify Data Reporting and Share Best Practices	Determine which on-demand services qualify as "public transportation" based on the statutory definition and disseminate information to clarify whether and how to report data from such services into the National Transit Database (NTD).	6/30/2020	N/A	N/A

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328	GAO	FTA	7/30/2018	GAO-18-539	Public Transit Partnerships: Additional Information Needed to Clarify Data Reporting and Share Best Practices	Gather and publicly share information on transit partnerships, including those that did not receive funding through the Mobility on Demand (MOD) Sandbox program, to include examples regarding how various local transit agencies complied with federal requirements--such as procurement, drug and alcohol testing, ADA, and Title VI requirements--while offering new on-demand services in partnerships.	12/31/2019	N/A	N/A
329	GAO	FTA	7/30/2018	GAO-18-539	Public Transit Partnerships: Additional Information Needed to Clarify Data Reporting and Share Best Practices	Gather and publicly share information on transit partnerships, including those that were not part of the MOD Sandbox program, to include: information on how the local transit agencies and their private mobility company partners are facilitating data sharing, and minimum data needed from a private partner to facilitate NTD reporting.	12/31/2019	N/A	N/A
330	GAO	OST	7/18/2018	GAO-18-519	Civil Penalties: Certain Federal Agencies Need to Improve Inflation Adjustment Reporting	Include information about all civil monetary penalties within DOT's jurisdiction, including the inflation adjustment of the civil monetary penalties, in DOT's fiscal year 2018 AFR.	Rec is Pending GAO Closure	N/A	N/A
331	GAO	OST	7/11/2018	GAO-18-381	Paperwork Reduction Act: Agencies Could Better Leverage Review Processes and Public Outreach to Improve Burden Estimates	Include enough information in Federal Register notices to allow the public to reasonably calculate or determine the number of respondents, the frequency of response, and the average burden time per response for each information collection activity.	Rec is Pending GAO Closure	N/A	N/A
332	GAO	OST	7/11/2018	GAO-18-381	Paperwork Reduction Act: Agencies Could Better Leverage Review Processes and Public Outreach to Improve Burden Estimates	Review the policies, procedures, and related control activities to ensure that the agency's Paperwork Reduction Act review process is operating effectively.	9/30/2019	N/A	N/A
333	GAO	OST	7/11/2018	GAO-18-381	Paperwork Reduction Act: Agencies Could Better Leverage Review Processes and Public Outreach to Improve Burden Estimates	Leverage existing consultation with stakeholders and the public to explicitly seek input on the estimated burden on the imposed by information collections.	9/30/2019	N/A	N/A
334	OIG	FAA	7/10/2018	AV2018060	FAA Has Not Fully Addressed Safety Concerns Regarding the American Airlines Flight Test Program	Develop and implement controls requiring oversight office staff to resolve complaints and follow key policy requirements such as directly contacting complainants and documenting investigations.	12/31/2019	N/A	N/A
335	OIG	FAA	7/10/2018	AV2018060	FAA Has Not Fully Addressed Safety Concerns Regarding the American Airlines Flight Test Program	Establish and implement criteria for evaluating correspondence to ensure safety complaints are routed to FAA's Office of Audit and Evaluation.	12/31/2019	N/A	N/A
336	OIG	FAA	7/10/2018	AV2018060	FAA Has Not Fully Addressed Safety Concerns Regarding the American Airlines Flight Test Program	Modify the existing tool used to evaluate the objectivity of inspectors to incorporate risk factors such as non-routine operations and the length of time inspectors oversee the same air carrier.	10/31/2019	N/A	N/A
337	OIG	FAA	7/10/2018	AV2018060	FAA Has Not Fully Addressed Safety Concerns Regarding the American Airlines Flight Test Program	Conduct an independent review of FAA's oversight of American Airlines' flight operations to determine whether controls are in place and effective in preventing single points of failure; develop and implement corrective actions, if necessary.	9/30/2019	N/A	N/A
338	OIG	FAA	7/10/2018	AV2018060	FAA Has Not Fully Addressed Safety Concerns Regarding the American Airlines Flight Test Program	Develop and implement inspector guidance on FAA's oversight requirements for flight test operations.	6/30/2019	N/A	N/A
339	OIG	FAA	7/3/2018	FI2018059	Opportunities Exist to Further Strengthen the Security Controls of FAA's Data Communications Program (FOUO)	Update and remediate the completion dates in the plans of action and milestones for SI-02.A and CM07.A.2 to ensure that the confidentiality, integrity, and availability of the system are not at risk.	3/31/2019	N/A	N/A
340	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Determine if the newly standardized LDR data are reliable for direct maintenance workloads in the Technical Operations Staffing Model, and if so, develop and implement an action plan with milestones to replace the workload assessments with LDR data.	9/30/2021	N/A	N/A
341	OIG	FAA	6/27/2018	AV2018058	FAA Faces Challenges in Implementing and Measuring the Effectiveness of Its 2015 Runway Safety Call to Action Initiatives	Develop and include in the monitoring plan quantifiable metrics or other indicators that can measure the effectiveness of the initiatives.	12/27/2019	N/A	N/A
342	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Determine the impact of new hire training and certification time and fatigue mitigation requirements on technician staffing and incorporate into the maintenance technician staffing process.	9/30/2019	N/A	N/A
343	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Review and update the Facility, Service, and Equipment Profile policy to require user training and recurring data-validation reviews at the Support Center and national levels at defined intervals prior to running the staffing model.	9/30/2019	N/A	N/A

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344	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Develop and implement a process to reduce and standardize codes in the Labor Distribution Reporting (LDR) system to improve accounting for direct maintenance workload.	9/30/2019	N/A	N/A
345	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Revise the current standard operating procedure, Tier 1/2/3 Staffing Allocations and Tier 1 Watch Coverage Requirements to: a. Define the job series and clarify whether system specialists and System Support Center coordinators are included in the Tier 1, 2, and 3 staffing targets; and b. Require annual review, validation, and updating of staffing allocation targets.	9/30/2019	N/A	N/A
346	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Determine the impact of equipment age on workload and maintenance technician staffing needs and incorporate this factor into the staffing model, if found to be statistically significant.	5/31/2019	N/A	N/A
347	GAO	FTA	5/31/2018	GAO-18-462	Capital Investment Grants Program: FTA Should Address Several Statutory Provisions	Initiate a rulemaking regarding the evaluation and rating process for Core Capacity Improvement projects, consistent with statutory provisions.	12/31/2019	N/A	N/A
348	GAO	FTA	5/31/2018	GAO-18-462	Capital Investment Grants Program: FTA Should Address Several Statutory Provisions	Take steps, such as undertaking additional research or public outreach, to enable FTA to evaluate and rate projects in a program of interrelated projects, in a manner consistent with statutory provisions.	12/31/2019	N/A	N/A
349	OIG	PHMSA	5/30/2018	ST2018056	PHMSA Has an Opportunity To Refine Its Guidance and Performance Reporting for the Pipeline Safety Research and Development Program	Use Performance Improvement Council best practices to update future biennial Update Reports to Congress, to include additional context, such as analyses of current performance metrics and an evaluation of program success, trends, and anomalies.	2/3/2020	N/A	N/A
350	GAO	PHMSA	5/29/2018	GAO-18-461	Interstate Pipeline Inspections: Additional Planning Could Help DOT Determine Appropriate Level of State Participation	Develop a workforce plan for interstate pipeline inspections that is consistent with leading practices in workforce planning, which should include a consideration of the additional resources and safety oversight that state pipeline officials can provide.	6/28/2019	N/A	N/A
351	GAO	FAA	5/24/2018	GAO-18-110	Small Unmanned Aircraft Systems: FAA Should Improve Its Management of Safety Risks	Establish a mechanism, such as an internal review procedure, to ensure that FAA's management of safety risks posed by small UAS operations in the National Airspace System follows all applicable principles and requirements in FAA's policies.	1/31/2019	N/A	N/A
352	OIG	FHWA	5/3/2018	SA2018046	Report on Single Audit of the Highway Division, Department of Transportation, State of Hawaii, Honolulu, HI	Ensures that the State complies with the special tests and provisions requirements.	10/1/2019	N/A	N/A
353	OIG	FHWA	5/2/2018	SA2018052	Report on a Single Audit of the State of Ohio, Columbus, OH	Determine the allowability of the \$5,824 transaction, then review all construction projects to ensure that expenditures were properly paid within the period of performance, and recover any additional questioned costs, if applicable.	10/1/2019	N/A	N/A
354	OIG	FHWA	5/2/2018	SA2018054	Report on Single Audit of the Naknek Native Village Council, Nakenek, AK	Ensures that the Council complies with the cash management requirements.	10/1/2019	N/A	N/A
355	OIG	FHWA	5/2/2018	SA2018054	Report on Single Audit of the Naknek Native Village Council, Nakenek, AK	Recovers \$666,482 from the Council, if necessary.	10/1/2019	N/A	N/A
356	OIG	FAA	4/30/2018	SA2018051	Report on Single Audit of the Valley County, Glasgow, MT	Ensures that the County complies with the equipment and real property requirements.	12/21/2019	N/A	N/A
357	OIG	FHWA	4/30/2018	SA2018044	Report on Single Audit of the New Mexico Department of Transportation, Santa Fe, NM	Ensures that the NM DOT complies with the subrecipient monitoring requirements.	10/1/2019	N/A	N/A
358	OIG	FTA	4/30/2018	SA2018045	Report on Single Audit of the Orange County Transportation Authority, Orange, CA	Ensures that the Authority complies with the procurement and suspension and debarment requirements.	10/1/2019	N/A	N/A
359	OIG	FTA	4/30/2018	SA2018045	Report on Single Audit of the Orange County Transportation Authority, Orange, CA	Ensures that the Authority complies with the subrecipient monitoring requirements.	10/1/2019	N/A	N/A
360	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Develop, document, and implement a new lease approval process that will allow for more timely decisions and for improved coordination with Service Area staff on the status of the decisions made during this process. Implementing this recommendation could potentially put \$14.6 million in funds to better use due to missed rent reduction opportunities, which timely and coordinated lease efficiency opportunity decisions could have potentially prevented.	10/31/2019	N/A	N/A

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361	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Revise and document lease policy and templates to clarify that the indefinite holdover clause should only be used in office and warehouse leases where mission-critical safety equipment or functions are housed, and document a process to verify this policy is followed.	10/31/2019	N/A	N/A
362	GAO	FTA	3/20/2018	GAO-18-310	Rail Transit: Federal Transit Administration Can Strengthen Safety Oversight by Improving Guidance to States	Develop and communicate a method for how the Office of Transit Safety and Oversight will monitor the effectiveness of the enforcement authorities and practices of state safety agencies.	7/31/2019	N/A	N/A
363	GAO	FTA	3/20/2018	GAO-18-310	Rail Transit: Federal Transit Administration Can Strengthen Safety Oversight by Improving Guidance to States	Create a plan, with a timeline, for developing guidance for state safety agencies about how to develop and implement a risk-based inspection program.	4/30/2019	N/A	N/A
364	OIG	FTA	3/19/2018	SA2018035	Report on Single Audit of the Washington Metropolitan Area Transit Authority, Washington, DC	We recommend FTA recovers \$76,572 from the Authority, if applicable.	10/1/2019	N/A	N/A
365	OIG	OST	3/13/2018	SA2018031	Report on Single Audit of the Metropolitan Transportation Authority, New York, NY	Ensure that the Authority complies with the procurement and suspension and debarment requirements.	10/1/2019	N/A	N/A
366	OIG	OST	3/13/2018	SA2018036	Report on Single Audit of the Metropolitan Transportation Commission, San Francisco, CA	Ensure that the Commission complies with the reporting requirements.	10/1/2019	N/A	N/A
367	OIG	FAA	3/6/2018	AV2018030	FAA Needs to Strengthen Its Management Controls Over the Use and Oversight of NextGen Developmental Funding	Develop and implement a quality control checklist with criteria for determining when the use of incremental funding prior to PLA approval is permissible.	N/A	Unresolved	DOT did not agree with the recommendation.
368	OIG	FAA	3/6/2018	AV2018030	FAA Needs to Strengthen Its Management Controls Over the Use and Oversight of NextGen Developmental Funding	Develop and implement a control for enforcing the PMA limits on the assessment of program management fees for various administrative and contract support specified in the Agency's standard operating procedures.	N/A	Unresolved	DOT did not agree with the recommendation.
369	OIG	FAA	3/6/2018	AV2018030	FAA Needs to Strengthen Its Management Controls Over the Use and Oversight of NextGen Developmental Funding	Establish and implement a mechanism for providing oversight of developmental funding, to include records of decision regarding selecting, justifying, and measuring the outcomes of PLAs to ensure FAA is funding the highest priority work.	N/A	Unresolved	DOT did not agree with the recommendation.
370	OIG	FAA	3/6/2018	AV2018030	FAA Needs to Strengthen Its Management Controls Over the Use and Oversight of NextGen Developmental Funding	Define the projects that are considered pre-implementation (developmental) in the Agency budget guidance and Acquisition Management System policy and validate that developmental projects align with the definition and are funded under the appropriate budget activity.	9/30/2019	N/A	N/A
371	GAO	FRA	3/1/2018	GAO-18-367T	Positive Train Control: Many Commuter Railroads Still Have Significant Additional Implementation Work and Opportunities Exist to Provide Federal Assistance	Develop an approach to use the information gathered to prioritize the allocation of resources to address the greatest risk.	3/15/2019	N/A	N/A
372	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Revise AMS to include policy or guidance on justifying the use of program management task orders and a process for implementing assessment fees for multiple-award contracts.	7/31/2019	N/A	N/A
373	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Revise AMS to include policy or guidance for multiple-awards contracts to address acquisition planning, such as estimating contract hours and costs and overall contract estimates.	7/31/2019	N/A	N/A
374	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Revise AMS to include policy or guidance for multiple-award contracts to describe the appropriate structure for fee payments in cost plus fixed-fee contracts.	7/31/2019	N/A	N/A
375	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Revise AMS to include policy or guidance for obtaining direct and indirect cost audits for multiple-award cost-reimbursable contracts or to perform risk assessments to justify not obtaining them.	7/31/2019	N/A	N/A
376	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Revise AMS to require FAA's acquisition program office that manages multiple-award contract vehicles to develop and maintain comprehensive program management and governance plans.	7/31/2019	N/A	N/A
377	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Revise AMS to strengthen multiple-award contract oversight and management framework to ensure such multiple-award contracts follow sound business practices and AMS policies and procedures.	7/31/2019	N/A	N/A
378	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Obtain direct and indirect cost audits for all SE2020 prime contractors for all base contract years, or document the risk assessments performed to justify when cost audits are not performed.	7/31/2019	N/A	N/A

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379	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Enhance procedures and controls to require SE2020 staff with responsibility for oversight of task orders to track and document vendor performance through its Performance-Based Contract Monitoring (PBCM) system.	8/31/2018	N/A	N/A
380	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Strengthen, document, and implement controls for SE2020 invoice review to comply with the Prompt Payment Act. Implementation of this recommendation could put up to \$44,000 in funds to better use.	7/31/2018	N/A	N/A
381	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Update SE2020's standard operating procedure for competition of SE2020 task orders, including strengthening procedures for follow-on awards.	7/31/2018	N/A	N/A
382	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Strengthen and document procedures to collect and analyze SE2020 task-order timeliness data to sustain improvements in task order award time.	6/29/2018	N/A	N/A
383	GAO	OST	2/15/2018	GAO-18-211	Critical Infrastructure Protection: Additional Actions Are Essential for Assessing Cybersecurity Framework Adoption	In cooperation with the Secretary of Homeland Security, take steps to consult with respective sector partner(s), such as the SCC, DHS and NIST, as appropriate, to develop methods for determining the level and type of framework adoption by entities across their respective sector	12/31/2019	N/A	N/A
384	OIG	FHWA	2/12/2018	QC2018023	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2017 and 2016	KPMG recommends FHWA strengthen policies and procedures to ensure that terminated users' access is removed timely from UPACS and the application it supports, in accordance with the DOT Cybersecurity Compendium guidelines.	10/1/2018	N/A	N/A
385	OIG	FAA	2/12/2018	QC2018024	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2017 and 2016	KPMG recommends that the FAA perform a review of the AP accrual, including the procurement samples used for the percentage allocation, at a level of detail or precision to identify errors in order to prevent a misstatement.	2/28/2018	N/A	N/A
386	OIG	FMCSA	1/31/2018	ST2018019	Estimates Show Commercial Driver Detention Increases Crash Risks and Costs, but Current Data Limit Further Analysis	Collaborate with industry stakeholders to develop and implement a plan to collect and analyze reliable, accurate, and representative data on the frequency and severity of driver detention times.	12/31/2019	N/A	N/A
387	GAO	NHTSA	1/31/2018	GAO-18-252	Next Generation 911: National 911 Program Could Strengthen Efforts to Assist States	Regarding the National 911 Program, develop specific program goals and performance measures related to NG911 implementation.	11/1/2019	N/A	N/A
388	GAO	NHTSA	1/31/2018	GAO-18-252	Next Generation 911: National 911 Program Could Strengthen Efforts to Assist States	Regarding the National 911 Program, determine roles and responsibilities of federal agencies participating in the National NG911 Roadmap initiative in order to carry out the national-level tasks over which each agency has jurisdiction.	11/1/2019	N/A	N/A
389	GAO	NHTSA	1/31/2018	GAO-18-252	Next Generation 911: National 911 Program Could Strengthen Efforts to Assist States	Regarding the National 911 Program, develop an implementation plan to support the completion of the National NG911 Roadmap's national-level tasks.	11/1/2019	N/A	N/A
390	OIG	FAA	1/31/2018	AV2018020	FAA Completed STARS at Large TRACONS, but Challenges in Delivering NextGen Capabilities Remain	Resolve the electrical configuration issue of the STARS rack assemblies at each of the 11 TRACONS by either: (a) obtaining approval for the configuration from a nationally recognized testing laboratory or (b) assessing and documenting risks posed by the STARS rack assemblies installed at each of the 11 facilities and FAA's acceptance of that risk on air traffic operations.	9/30/2019	N/A	N/A
391	OIG	FAA	1/31/2018	AV2018020	FAA Completed STARS at Large TRACONS, but Challenges in Delivering NextGen Capabilities Remain	Finalize a timeline for identifying the remaining STARS requirements, including the additional requirements for the "post-implementation enhancements," and quantify the impact these requirements will have on software implementation milestones.	6/28/2019	N/A	N/A
392	GAO	FHWA	1/30/2018	GAO-18-222	Highway and Transit Projects: Evaluation Guidance Needed for States with National Environmental Policy Act Authority	Offer and provide guidance or technical assistance to NEPA assignment states on developing evaluation methodologies, including baseline time frames and timeliness measures.	N/A	Partial Concur	DOT did not agree to fully implement GAO's recommendation. FHWA agreed to offer and provide guidance or technical assistance on evaluation methodologies only if requested by NEPA assignment states to comply with Congressional intent.

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393	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	For the COE and FAA, update procedures and practices for monitoring and authorizing common security controls to (a) require supporting documentation for controls continual assessments, (b) complete reauthorization assessments for the controls, (c) finalize guidance for customers' use of controls, and (d) establish communication protocols between authorizing officials and common control providers regarding control status and risks.	N/A	Unresolved	DOT OIG disagreed with the agency's proposed corrective actions.
394	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Implement controls to continuously monitor and work with components to ensure network administrators are informed and action is taken to disable system accounts when users no longer require access or have been inactive beyond established thresholds.	N/A	Unresolved	DOT OIG disagreed with the agency's proposed corrective actions.
395	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Complete PIV enablement and requirements for remaining information systems, except those that are subject to exclusions that are documented and approved.	12/1/2020	N/A	N/A
396	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Take action to fully implement mandatory use of PIV cards for VDI access.	12/1/2019	N/A	N/A
397	OIG	FAA	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Verify that FAA's criteria regarding designation and definition of contractor systems conforms to DOT guidance, and that systems are correctly classified.	9/30/2019	N/A	N/A
398	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Require MARAD, NHTSA, OST, and SLSDC to develop and disseminate policies and procedures for their risk management programs that include the appropriate elements such as criteria for making risk based decisions.	10/1/2018	N/A	N/A
399	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Implement controls to verify that information on threat activity has been communicated to senior agency officials and require retention of supporting documentation.	10/1/2018	N/A	N/A
400	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Implement processes verifying that personnel performing certain security related roles receive specialized training needed to meet OCIO guidance.	10/1/2018	N/A	N/A
401	GAO	FAA	1/18/2018	GAO-18-177	Homeland Defense: Urgent Need for DOD and FAA to Address Risks and Improve Planning for Technology That Tracks Military Aircraft	Address ADS-B Out security concerns by approving one or more solutions that address ADS-B Out -related security risks or incorporating mitigations for security risks into the existing draft memorandum of agreement. These approved solutions should address operations, physical, cyber-attack, and electronic warfare security risks; and risks associated with divesting secondary-surveillance radars. The solution or mitigations should be approved as soon as possible in order to allow sufficient time for implementation.	Rec is Pending GAO Closure	N/A	N/A
402	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that FAA System Owner of System #2 ensure the system Privacy Plan includes all requirements established by the DOT Chief Privacy Officer in the privacy threshold assessment (PTA) and the adjudication statement is implemented.	8/15/2019	N/A	N/A
403	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that FAA System Owner of System #5 ensure that the encryption protections for data at rest and during transit are implemented in accordance with the DOT Privacy Risk Management Policy.	8/15/2019	N/A	N/A
404	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that FAA System Owner of System #5 confirm that the session time-out functionality has been implemented.	8/15/2019	N/A	N/A
405	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that FAA System Owner of System #8 ensure that the encryption protections for data at rest are implemented in accordance with the DOT Privacy Risk Management Policy.	8/15/2019	N/A	N/A
406	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that FAA System Owner of System #9 Ensure the Privacy Plan including all requirements established by the DOT Chief Privacy Officer in the PTA adjudication statement is implemented.	8/15/2019	N/A	N/A
407	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that FAA System Owner of System #9 implement memoranda of understanding or similar agreements for internal sharing of PII.	8/15/2019	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
408	OIG	OST	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that Office of the Secretary of Transportation Departmental Chief Privacy Officer establish a continuous monitoring (CM) program for privacy supportive security controls to ensure PII systems remain compliant with DOT Privacy Risk Management policy.	8/15/2019	N/A	N/A
409	GAO	FAA	1/16/2018	GAO-18-57	Commercial Space Launch Insurance: FAA Needs to Fully Address Mandated Requirements	Fulfill the CSLCA mandate to include ensuring a balance of risk between the federal government and launch companies as part of FAA's MPL methodology evaluation by reexamining the current probability thresholds.	12/31/2020	N/A	N/A
410	GAO	FAA	1/16/2018	GAO-18-57	Commercial Space Launch Insurance: FAA Needs to Fully Address Mandated Requirements	Fulfill the CSLCA mandate to analyze the cost impact of implementing its revised MPL methodology by evaluating the impact on the direct costs of launch companies and the federal government.	12/31/2020	N/A	N/A
411	GAO	FAA	1/16/2018	GAO-18-57	Commercial Space Launch Insurance: FAA Needs to Fully Address Mandated Requirements	Fulfill the CSLCA mandate to evaluate its MPL methodology in consultation with the commercial space sector and insurance providers by consulting with those entities on the cost impact of its revised MPL methodology, including an updated cost-of-casualty amount, on the launch industry and the federal government.	12/31/2020	N/A	N/A
412	GAO	FAA	1/16/2018	GAO-18-57	Commercial Space Launch Insurance: FAA Needs to Fully Address Mandated Requirements	Establish an estimated completion date for developing and implementing a plan to establish guidance on the most appropriate MPL methodologies and tools to use for each launch.	12/31/2020	N/A	N/A
413	GAO	OST	1/10/2018	GAO-18-42	Information Technology: Agencies Need to Involve Chief Information Officers in Reviewing Billions of Dollars in Acquisitions	Ensure that the office of the CAO is involved in the process to identify IT acquisitions.	12/30/2019	N/A	N/A
414	GAO	OST	1/10/2018	GAO-18-42	Information Technology: Agencies Need to Involve Chief Information Officers in Reviewing Billions of Dollars in Acquisitions	Issue specific guidance to ensure IT-related acquisitions are properly identified.	12/30/2019	N/A	N/A
415	GAO	OST	1/10/2018	GAO-18-42	Information Technology: Agencies Need to Involve Chief Information Officers in Reviewing Billions of Dollars in Acquisitions	Ensure that IT acquisition plans or strategies are reviewed and approved according to OMB's guidance.	12/30/2019	N/A	N/A
416	OIG	FHWA	1/10/2018	ST2018014	FHWA Lacks Detailed Guidance on Infrastructure Resilience for Emergency Relief Projects and a Process To Track Related Improvements	Develop and implement a process to track the consideration of resilience improvements for emergency relief projects and their associated costs.	9/30/2019	N/A	N/A
417	OIG	FHWA	1/10/2018	ST2018014	FHWA Lacks Detailed Guidance on Infrastructure Resilience for Emergency Relief Projects and a Process To Track Related Improvements	Revise the Emergency Relief Manual to include a definition of resilience improvement and identify procedures States should use to incorporate resilience into ERP-funded projects.	9/30/2019	N/A	N/A
418	OIG	FHWA	1/10/2018	ST2018014	FHWA Lacks Detailed Guidance on Infrastructure Resilience for Emergency Relief Projects and a Process To Track Related Improvements	Develop and implement a process to identify best practices for improving the resilience of emergency relief projects and share them with Division Offices and State DOTs.	9/30/2019	N/A	N/A
419	OIG	OST	12/20/2017	QC2018013	Quality Control Review For DOT's Implementation of Enterprise Architecture	KPMG recommends OST direct the OCIO to work with OAs' CIOs to conduct the required annual assessment of the DOT's and OA's EA programs against the GAO's EA Management Maturity Model.	12/31/2019	N/A	N/A
420	OIG	OST	12/20/2017	QC2018013	Quality Control Review For DOT's Implementation of Enterprise Architecture	KPMG recommends OST supplement the existing DOT EA Policy with operational guidance to clarify EA artifacts required by the DOT EA policy.	12/31/2019	N/A	N/A
421	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Revise the Safety Assurance System (SAS) risk-assessment tool to include weighted factors for each organizational risk evaluated by inspectors.	1/31/2020	N/A	N/A
422	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Revise inspector guidance to provide actions inspectors should take after risks are identified through complaints, including reaching out to other offices if necessary and ensuring planned surveillance of the issue is actually completed.	1/31/2020	N/A	N/A
423	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Revise Agency guidance on risk-management processes to recommend adjustments to surveillance when the risk score is identified as "high" or document a reason for not adjusting surveillance given the risk.	1/31/2020	N/A	N/A
424	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Develop and provide additional guidance and training to inspectors to clarify the differences in the choices (word pictures) provided in the decision aids.	10/31/2019	N/A	N/A

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425	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Reevaluate the decision aids to validate that: a. They include the appropriate areas of focus during reviews of the financial condition and transition or growth of regional air carriers; b. The weighting of the focus areas correlates to their potential impact on risks associated with financial distress or rapid growth or downsizing.	10/31/2019	N/A	N/A
426	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Develop and provide guidance and training to show inspectors how to detect triggers that require the completion of a decision aid, as well as the importance of using decision aids to adjust surveillance.	10/31/2019	N/A	N/A
427	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Update the scoring system and instructions in the Financial Condition Assessment Decision Aid to reflect that 10 characteristics are being evaluated.	10/31/2019	N/A	N/A
428	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Revise validated guidance to emphasize the importance of completing decision aids periodically for baseline comparisons.	10/31/2019	N/A	N/A
429	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Implement a retention policy for completed decision aids so they will be available to inspectors for comparison and analysis during risk assessments.	10/31/2019	N/A	N/A
430	OIG	FAA	12/11/2017	FI2018011	FAA Needs To Enhance the Oversight and Management of Its Overflight Fee Program	Develop and implement policies and procedures to ensure that overflight-fee collection activities comply with Department of the Treasury requirements, such as: a. Ensuring debtors are given due process; implementation of this recommendation could put \$1.48 million in funds to better use. b. Assessing late charges on all delinquent debts; implementation of this recommendation could put \$9.3 million in funds to better use. c. Making timely referrals of delinquent overflight fees to Treasury; implementation of this recommendation could put \$7.98 million in funds to better use.	6/30/2020	N/A	N/A
431	GAO	OST	11/30/2017	GAO-18-132	Automated Vehicles: Comprehensive Plan Could Help DOT Address Challenges	Develop and implement a comprehensive plan to better manage departmental initiatives related to automated vehicles. This plan should include leading principles such as goals, priorities, steps to achieve results, milestones, and performance measures to track progress.	12/31/2019	N/A	N/A
432	GAO	PHMSA	11/22/2017	GAO-18-89	Natural Gas Storage: Department of Transportation Could Take Additional Steps to Improve Safety Enforcement Planning	Ensure that PHMSA uses other data and information about budgetary resources as they become available to inform and refine its performance goals.	Rec is Pending GAO Closure	N/A	N/A
433	OIG	PHMSA	11/21/2017	ST2018010	PHMSA Has Improved Its Workforce Management but Planning, Hiring, and Retention Challenges Remain	Include in the workforce plan an assessment of whether the Agency should use a special rate of pay for general engineers (series 0801) and, if appropriate, a plan for seeking authority to establish a higher rate of basic pay.	12/31/2021	N/A	N/A
434	OIG	FHWA	11/15/2017	QC2018008	Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2017 and 2016 - Department of Transportation	KPMG recommends that DOT review the overall cash flow model functionality and implementation to ensure that all assumptions are properly applied, documented, and supported in the execution of the cash flow projections.	10/1/2018	N/A	N/A
435	OIG	FHWA	11/15/2017	QC2018008	Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2017 and 2016 - Department of Transportation	KPMG recommends that DOT consider automating the calculations that are performed manually to reduce the risk of misapplication of assumptions due to human error.	10/1/2018	N/A	N/A
436	OIG	SLSDC	11/8/2017	FI2018003	Independent Auditor's Report On Audited Financial Statements For Fiscal Year 2017 Saint Lawrence Seaway Development Corporation	Develop and implement accounting policies and procedures to recognize and record SLSDC's liabilities with SIBC for open service job orders.	N/A	Impasse	DOT OIG disagrees with the agency's corrective actions.
437	GAO	OST	11/2/2017	GAO-18-38	Discretionary Transportation Grants: DOT Should Take Actions to Improve the Selection of Freight and Highway Projects	Develop an evaluation plan for the Infrastructure for Rebuilding America (INFRA) program in advance of issuing the notice of funding opportunity and ensure the program's evaluation plan clearly defines how all review teams should apply criteria, assess applications, and assign ratings to ensure that all applications are consistently reviewed.	Rec is Pending GAO Closure	N/A	N/A
438	GAO	OST	11/2/2017	GAO-18-38	Discretionary Transportation Grants: DOT Should Take Actions to Improve the Selection of Freight and Highway Projects	Ensure all program applicants be notified in writing of the outcomes of the application selection process. For unsuccessful applicants, the notification should include a brief explanation of the decision.	Rec is Pending GAO Closure	N/A	N/A
439	GAO	OST	11/2/2017	GAO-18-38	Discretionary Transportation Grants: DOT Should Take Actions to Improve the Selection of Freight and Highway Projects	Require INFRA program teams document their decision-making rationale throughout all levels of review in the application selection process.	Rec is Pending GAO Closure	N/A	N/A

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440	GAO	FRA	10/31/2017	GAO-18-97	Railroad Safety: Quiet Zone Analyses and Inspections Could Be Improved	Revise the methodology for the analysis of safety in quiet zones to take into account relevant changes over time—including changes in train and automotive traffic, or in the physical characteristics of the grade crossing.	5/31/2019	N/A	N/A
441	GAO	FAA	10/26/2017	GAO-18-72	Federal Facility Security: Selected Agencies Should Improve Methods for Assessing and Monitoring Risk	To improve agencies' physical security programs' alignment with the ISC Risk Management Process for federal Facilities and Standards for Internal Control in the Federal Government for information and monitoring, update FAA's policy to require the use of a methodology that fully aligns with the ISC's Risk Management Process for Federal Facilities for assessing all undesirable events, considering all three factors of risk, and documenting all deviations from the standard countermeasures.	11/30/2018	N/A	N/A
442	GAO	FAA	10/26/2017	GAO-18-72	Federal Facility Security: Selected Agencies Should Improve Methods for Assessing and Monitoring Risk	To improve agencies' physical security programs' alignment with the ISC Risk Management Process for Federal Facilities and Standards for Internal Control in the Federal Government for information and monitoring, update FAA's policy to include ongoing monitoring of physical security information.	9/30/2018	N/A	N/A
443	GAO	FAA	10/26/2017	GAO-18-72	Federal Facility Security: Selected Agencies Should Improve Methods for Assessing and Monitoring Risk	To improve agencies' physical security programs' alignment with the ISC Risk Management Process for Federal Facilities and Standard for Internal Control in the Federal Government for information and monitoring, develop a plan that provides sufficient details on the activities needed and time frames within the date when FAA will implement an improved methodology.	2/28/2018	N/A	N/A
444	OIG	OST	9/26/2017	ZA2017106	OSDBU Lacks Effective Processes for Establishing, Overseeing, and Managing Its Small Business Resource Centers	Recover the \$69,312.00 in improper payments for unallowable labor charges	12/31/2024	N/A	N/A
445	OIG	OST	9/26/2017	ZA2017106	OSDBU Lacks Effective Processes for Establishing, Overseeing, and Managing Its Small Business Resource Centers	Develop and implement a process to perform periodic financial assistance management reviews of OSDBU to ensure that OSDBU is informed about and complies with existing financial management assistance laws, regulations, and guidance.	10/30/2019	N/A	N/A
446	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Verify the completeness of DOT's inventory of current telecommunications assets and services and establishes a process for ongoing maintenance of the inventory.	Rec is Pending GAO Closure	N/A	N/A
447	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Identify the agency's future telecommunications needs, areas for optimization, and costs and benefits of new technology; and complete efforts to align DOT's approach with its long-term plans and enterprise architecture.	4/1/2019	N/A	N/A
448	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Identify roles and responsibilities related to the management of assets and human capital and legal expertise for the transition; develop a transition communications plan; and fully use configuration and change-management processes in DOT's transition.	4/1/2019	N/A	N/A
449	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Identify the resources needed for the full transition, justify requests for transition resources, identify staff resources needed for the full transition, and fully analyze training needs for staff assisting with the transition.	4/1/2019	N/A	N/A
450	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Fully demonstrate that DOT's transition goals and measures align with its mission; completely identify transition risks related to information security, critical systems, and continuity of operations; and fully identify mission-critical priorities in the transition timeline.	4/1/2019	N/A	N/A
451	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Renegotiate tower leases requiring rent payments to airport sponsors to secure no-cost leases. Implementation of this recommendation could put \$2.2 million in Federal funds to better use.	N/A	Unresolved	DOT and FAA disagreed with the agency's proposed corrective actions.
452	OIG	OST	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Update the Financial Assistance Guidance Manual and other policies to reflect current authorities and oversight needs for OTAs, and clarify which provisions of the manual and other policies apply to these agreements.	12/31/2019	N/A	N/A
453	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures to state when Acquisition Management System guidance, FAA financial assistance policies, and other requirements and guidance such as requirements for Independent Government Cost Estimates, including OTAs in Single Audits, and conflicts of interest analysis apply to OTAs.	12/30/2019	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
454	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures to ensure that OTAs are awarded and administered by properly authorized (warranted) officials, including: a. Creating and regularly maintaining a comprehensive list of awarding officials, the various types of agreements (e.g., contract, grant, OTA, reimbursable agreement, interagency agreement) they are authorized to sign, dollar limits (if any), and the dates the authority began and ended when applicable; b. Clarifying the Acquisition Management System to specify when it is appropriate to use an OTA that is also an interagency agreement or reimbursable agreement, and to specify what warrant authorities are required for officials signing these agreements.	12/30/2019	N/A	N/A
455	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement criteria that: a. Describe when an OTA should be used rather than a contract or grant; b. Require awarding officials to document their rationale for using OTAs rather than contracts or grants.	9/30/2019	N/A	N/A
456	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies to report OTA awards that involve Federal funds to USASpending.gov.	8/31/2019	N/A	N/A
457	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Establish documentation requirements for all types of OTAs, and develop and implement policies and procedures for maintaining complete files for the agreements, including evidence of legal reviews.	8/31/2019	N/A	N/A
458	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Recover the \$19,000 overpayment to an OTA tower construction recipient, determine whether FAA overpaid other recipients on its tower construction agreements, and recover any overpayments and interest not applied to the construction projects.	8/30/2019	N/A	N/A
459	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures for tower construction OTAs that at a minimum address aligning payments to actual needs and disposing of leftover funds and interest earned on advanced funds.	8/30/2019	N/A	N/A
460	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Assess whether OTAs signed by individuals without proper authorization represent unauthorized commitments, and take appropriate corrective actions.	8/30/2019	N/A	N/A
461	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures to standardize and enforce provisions of Tower Operating Agreement OTAs as a condition of providing air traffic control services, including: a. A procedure to provide for periodic inspections of the tower environment to detect problems that have an impact on FAA contract controllers and respond to them; b. Requiring all airport sponsors to sign Tower Operating Agreements.	8/30/2019	N/A	N/A
462	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures, including a standard identification method, for tracking other transaction agreements (OTA).	7/31/2019	N/A	N/A
463	OIG	OST	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Resolve, with the assistance of legal counsel, whether FAA is required to follow the Department's Financial Assistance Guidance Manual and other policies for OTAs.	10/1/2018	N/A	N/A
464	OIG	FAA	9/11/2017	SA2017090	Report on Single Audit of the Arapahoe County Public Airport Authority, Englewood, CO	Recovers \$1,611,898 from the Authority, if applicable.	12/21/2019	N/A	N/A
465	OIG	FAA	9/11/2017	SA2017090	Report on Single Audit of the Arapahoe County Public Airport Authority, Englewood, CO	Ensures that the Authority complies with special tests and provisions-revenue diversion requirements.	12/21/2019	N/A	N/A
466	OIG	FAA	9/11/2017	SA2017085	Report on Single Audit of the Territory of American Samoa, Pago Pago, AS	Ensures that the Territory complies with equipment and real property management Requirements.	10/1/2019	N/A	N/A
467	OIG	FHWA	9/11/2017	SA2017095	Report on Single Audit of the Turtle Mountain Band Of Chippewa Indians, Belcourt, ND	Determine an amount of questioned costs and recover from the Tribe, if applicable.	10/1/2019	N/A	N/A
468	OIG	FHWA	9/11/2017	SA2017097	Report on Single Audit of the State of Florida, Tallahassee, FL	Recovers \$252,644 from the State, if applicable.	10/1/2019	N/A	N/A
469	OIG	FHWA	9/11/2017	SA2017097	Report on Single Audit of the State of Florida, Tallahassee, FL	Ensures that the State complies with matching, level of effort, earmarking requirements.	10/1/2019	N/A	N/A
470	OIG	FHWA	9/11/2017	SA2017091	Report on Single Audit of the Government of the U.S. Virgin Islands, Charlotte Amalie, VI	Ensures that the Government complies with equipment and real property management requirements.	10/1/2019	N/A	N/A

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471	OIG	FHWA	9/11/2017	SA2017091	Report on Single Audit of the Government of the U.S. Virgin Islands, Charlotte Amalie, VI	Ensures that the Government complies with Special tests and provisions-wage rate requirements.	10/1/2019	N/A	N/A
472	OIG	FHWA	9/11/2017	SA2017095	Report on Single Audit of the Turtle Mountain Band Of Chippewa Indians, Belcourt, ND	Ensures that the Tribe complies with activities allowed or unallowed and allowable costs/cost principles requirements.	10/1/2019	N/A	N/A
473	OIG	FHWA	9/11/2017	SA2017083	Report on Single Audit of the Government of Guam, Hagatna, GU	Ensures that the Government of Guam complies with equipment and real property management requirements.	10/1/2019	N/A	N/A
474	OIG	MARAD	9/11/2017	SA2017078	Report on Single Audit of the Itawamba County, Fulton, MS	Ensures that the County complies with allowable costs/costs principles requirements.	10/1/2019	N/A	N/A
475	OIG	MARAD	9/11/2017	SA2017078	Report on Single Audit of the Itawamba County, Fulton, MS	Recovers \$84,365 (2013-020 (\$4,385) and 2013-022 (\$79,980)) from the County, if applicable.	10/1/2019	N/A	N/A
476	OIG	FTA	9/11/2017	SA2017076	Report on Single Audit of the State of Nebraska, Lincoln, NE	Ensures that the State complies with subrecipient monitoring requirements.	10/1/2019	N/A	N/A
477	OIG	FTA	9/11/2017	SA2017076	Report on Single Audit of the State of Nebraska, Lincoln, NE	Recovers \$438,118 from the State, if applicable.	10/1/2019	N/A	N/A
478	OIG	FTA	9/11/2017	SA2017081	Report on Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensures that the Authority complies with equipment and real property management requirements.	10/1/2019	N/A	N/A
479	OIG	FTA	9/11/2017	SA2017082	Report on Single Audit of the Puerto Rico Metropolitan Bus Authority, San Juan, PR	Ensures that the Authority complies with equipment and real property management requirements.	10/1/2019	N/A	N/A
480	OIG	FAA	9/5/2017	AV2017075	Greater Adherence To ADS-B Contract Terms May Generate Better Performance And Cost Savings For FAA	Strengthen future acquisitions by adding or modifying guidance to AMS to incorporate concepts from the OMB Capital Programming Guide on considering the use of successive or incrementally priced contract, orders, or contract line items when acquiring or developing systems spanning many years. This guidance may be incorporated into planned guidance regarding the use of modular contracting concepts.	12/31/2019	N/A	N/A
481	OIG	FAA	9/5/2017	AV2017075	Greater Adherence To ADS-B Contract Terms May Generate Better Performance And Cost Savings For FAA	Conduct and document an analysis to determine whether or not duplicate subscription fee payments are being made due to radio stations that support multiple service volumes.	10/31/2019	N/A	N/A
482	GAO	OST	8/15/2017	GAO-17-448	Data Center Optimization: Agencies Need to Address Challenges and Improve Progress to Achieve Cost Savings Goal	Take action to, within existing OMB reporting mechanisms, complete a plan describing how the agency will achieve OMB's requirement to implement automated monitoring tools at all agency-owned data centers by the end of fiscal year 2018.	9/30/2019	N/A	N/A
483	OIG	FHWA	8/9/2017	SA2017073	Report on Single Audit of the State of Tennessee, Nashville, TN	Ensures that the State complies with special tests and provisions requirements.	10/1/2020	N/A	N/A
484	OIG	FHWA	8/9/2017	SA2017073	Report on Single Audit of the State of Tennessee, Nashville, TN	Ensures that the State complies with procurement and suspension and debarment requirements.	10/30/2019	N/A	N/A
485	OIG	FHWA	8/9/2017	SA2017073	Report on Single Audit of the State of Tennessee, Nashville, TN	Recovers \$466,262 from the State, if applicable.	10/30/2019	N/A	N/A
486	OIG	FTA	8/9/2017	SA2017071	Report on Single Audit of the Yuma County Intergovernmental Public Transportation Authority, Yuma, AZ	Ensures that the County complies with Allowable Costs/Costs Principles requirements.	10/1/2019	N/A	N/A
487	OIG	FTA	8/9/2017	SA2017071	Report on Single Audit of the Yuma County Intergovernmental Public Transportation Authority, Yuma, AZ	Recovers \$171,265 from the County, if applicable.	10/1/2019	N/A	N/A
488	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Develop and implement a process specifying how OCIO prioritizes its cybersecurity IT investments, and follow through on its plan to develop separate plans that include which cybersecurity projects it plans to focus on to address near-term threats, important tactical cybersecurity goals, and remediation challenges.	12/31/2018	N/A	N/A
489	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Update OCIO-WCF billing procedures to ensure billings are accurately and consistently applied to intra-agency agreements for products and services, within specified scopes of work and periods of performance.	12/7/2018	N/A	N/A
490	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Implement the DOT Enterprise Program Management Review Framework and procedures for maintaining support documentation that complies with OMB design and planning requirements to justify its IT investments, including the Virtual Desktop Infrastructure and the Continuous Monitoring Software, and require the use of planning tools such as cost-benefit analyses to monitor the costs, schedule, and performance goals.	12/3/2018	N/A	N/A

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491	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Develop and manage a business case consistent with OMB guidance for cybersecurity investments, and ensure that Continuous Diagnostic and Mitigation program is incorporated into that investment for reporting of costs, and other criteria as required by OMB.	12/3/2018	N/A	N/A
492	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Document OCIO's process for preparing cost estimates that support its cybersecurity budget request and maintaining support documentation justifying the basis of estimates.	9/30/2018	N/A	N/A
493	GAO	PHMSA	8/3/2017	GAO-17-639	Pipeline Safety: Additional Actions Could Improve Federal Use of Data on Pipeline Materials and Corrosion	To assess and validate the effectiveness of PHMSA's Risk Ranking Index Model (RRIM) in prioritizing pipelines for inspection, document the decisions and underlying assumptions for the design of RRIM, including what data and information were analyzed as part of determining each component of the model, such as the threat factors, weights, risk tiers, and inspection frequency.	Rec is Pending GAO Closure	N/A	N/A
494	GAO	PHMSA	8/3/2017	GAO-17-639	Pipeline Safety: Additional Actions Could Improve Federal Use of Data on Pipeline Materials and Corrosion	To assess and validate the effectiveness of PHMSA's RRIM in prioritizing pipelines for inspection, establish and implement a process that uses data to periodically review and assess the effectiveness of the model in prioritizing pipelines for inspection and document the results of these analyses.	Rec is Pending GAO Closure	N/A	N/A
495	GAO	OST	7/27/2017	GAO-17-637	Air Ambulance: Data Collection and Transparency Needed to Enhance DOT Oversight	To increase transparency and obtain information to better inform decision on whether to investigate potentially unfair or deceptive practices in the air ambulance industry, consider consumer disclosure requirements for air ambulance providers, which could include information such as established prices charged, business model and entity that establishes prices, and extent of contracting with insurance.	Rec is Pending GAO Closure	N/A	N/A
496	GAO	OST	7/27/2017	GAO-17-637	AIR AMBULANCE: Data Collection and Transparency Needed to Enhance DOT Oversight	To increase transparency and obtain information to better inform decisions on whether to investigate potentially unfair or deceptive practices in the air ambulance industry, assess available federal and industry data and determine what further information could assist in the evaluation of future complaints or concerns regarding unfair or deceptive practices.	6/30/2020	N/A	
497	GAO	FMCSA	7/13/2017	GAO-17-488	Information Technology: Federal Motor Carrier Safety Administration Needs to Strengthen Its Strategic Planning and Oversight to Modernize Legacy Systems	To help improve the modernization of FMCSA's IT systems, ensure that appropriate governance bodies review all IT investments and track corrective actions to closure.	Rec is Pending GAO Closure	N/A	N/A
498	GAO	FMCSA	7/13/2017	GAO-17-488	Information Technology: Federal Motor Carrier Safety Administration Needs to Strengthen Its Strategic Planning and Oversight to Modernize Legacy Systems	To help improve the modernization of FMCSA's IT systems, finalize the restructure of the Office of Information Technology, including fully defining the roles and responsibilities of the CIO.	12/31/2019	N/A	N/A
499	OIG	FAA	6/26/2017	AV2017063	FAA Has Taken Steps To Identify Flight Deck Vulnerabilities But Needs To Enhance Its Mitigation Efforts (SSI)	Publish an FAA Notice to inspectors that communicates the existence of AC 120-110 and RTCA Report DO-329, highlights the blocking methods orchestrated by the Special Committee, and directs inspectors to communicate this information to the carriers they oversee.	N/A	Unresolved	DOT OIG disagreed with the agency's proposed corrective actions.
500	OIG	FAA	6/26/2017	AV2017063	FAA Has Taken Steps To Identify Flight Deck Vulnerabilities But Needs To Enhance Its Mitigation Efforts (SSI)	Require air carriers to conduct a Safety Risk Assessment (under FAA's Safety Management System) of their current secondary barrier methods using all information from the 2011 RTCA report on secondary barriers, either as a stand-alone Notice or incorporated into another Notice recommended above.	N/A	Unresolved	DOT did not agree with the recommendation.
501	OIG	FTA	6/6/2017	SA2017058	Report on Single Audit of the San Francisco Municipal Transportation Agency, San Francisco, CA	Recovers \$9,189 from the Agency, if applicable.	10/1/2019	N/A	N/A
502	OIG	FTA	6/6/2017	SA2017052	Report on the Single of the City of Tracy, Tracy, CA	Ensures that the City complies with Allowable Costs/Cost Principles Requirements. ()	10/1/2019	N/A	N/A
503	OIG	FTA	6/6/2017	SA2017052	Report on the Single of the City of Tracy, Tracy, CA	Recovers \$147,515 from the City, if applicable.	10/1/2019	N/A	N/A
504	OIG	FAA	5/31/2017	FI2017051	FAA's Security Controls Are Insufficient for Its En Route Automation Modernization Program (SSI)	Implement the required baseline for ERAM's Oracle components, including updating unsupported software, removing unnecessary ports and services in order to limit vulnerabilities, and mitigating the adverse effects of most types of intrusion attempts.	9/30/2020	N/A	N/A

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505	OIG	FAA	5/31/2017	FI2017051	FAA's Security Controls Are Insufficient for Its En Route Automation Modernization Program (SSI)	Implement a process to verify that ERAM POA&Ms are updated quarterly per DOT policy and remediate the 13 ERAM security weaknesses that did not meet their scheduled completion dates to ensure that the confidentiality, integrity, and availability of the system are not at risk.	9/30/2020	N/A	N/A
506	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Modify internal audit policies to ensure FAA audits provide accurate and thorough assessments of APD oversight at each office.	12/31/2019	N/A	N/A
507	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Modify requirements within the risk-based oversight tool (SAS) for inspectors to ensure a sufficient number of check pilot records are evaluated to assess the accuracy of air carrier training.	12/31/2019	N/A	N/A
508	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Clarify surveillance requirements and the inspectors' role overseeing check pilots under AQP.	12/31/2019	N/A	N/A
509	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Develop and implement a training program on how to approve and oversee check pilots under AQPs for inspectors assigned to carriers using those programs.	12/31/2019	N/A	N/A
510	OIG	FAA	5/31/2017	FI2017051	FAA's Security Controls Are Insufficient for Its En Route Automation Modernization Program (SSI)	Develop and implement a program to provide ARTCC ERAM System Administrators and Technical Operations staff with recurring and regularly updated security training on ERAM's various software as well as the security workstations, and to document all training as it is completed.	11/27/2019	N/A	N/A
511	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Modify periodic training provided to FAA inspectors to include information on the importance of verifying check pilot qualifications prior to approval.	8/30/2019	N/A	N/A
512	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Clarify inspector guidance on performing and documenting APD training and observations to ensure authorization requirements are fulfilled.	8/30/2019	N/A	N/A
513	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Develop and implement guidance requiring inspectors, or their designees, to verify that check pilots have met training requirements prior to performing recurrent observations.	8/30/2019	N/A	N/A
514	OIG	FAA	5/30/2017	AV2017049	Enhancements Are Needed To FAA's Oversight Of The Suspected Unapproved Parts Program	Develop a management control to ensure that all SUPs reports received by local inspection offices are submitted to the Hotline for processing.	9/30/2019	N/A	N/A
515	OIG	FAA	5/30/2017	AV2017049	Enhancements Are Needed To FAA's Oversight Of The Suspected Unapproved Parts Program	Develop a management control to ensure inspectors adhere to guidance when conducting SUPs investigations.	9/30/2019	N/A	N/A
516	OIG	FAA	5/30/2017	AV2017049	Enhancements Are Needed To FAA's Oversight Of The Suspected Unapproved Parts Program	Develop a management control to ensure inspectors follow existing guidance requiring operators to remove unapproved parts from use and their inventories.	9/30/2019	N/A	N/A
517	OIG	FHWA	4/27/2017	SA2017044	Report on the Single Audit of the Hopi Tribe, Kykotsmovi, AZ	Ensure the Tribe complies with Procurement, Suspension and Debarment Requirements.	10/1/2019	N/A	N/A
518	OIG	FHWA	4/27/2017	SA2017044	Report on the Single Audit of the Hopi Tribe, Kykotsmovi, AZ	Recover \$25,646 from the Tribe, if applicable.	10/1/2019	N/A	N/A
519	GAO	FAA	4/24/2017	GAO-17-372	Aviation Research and Development: FAA Could Improve How It Develops Its Portfolio and Reports Its Activities	To help FAA better manage and oversee its portfolio of R&D activities, take a more strategic approach to identifying research priorities across the agency, including developing guidance to identify long-term priorities and emerging issue areas, as part of FAA's portfolio development process.	2/28/2019	N/A	N/A
520	GAO	FAA	4/24/2017	GAO-17-372	Aviation Research and Development: FAA Could Improve How It Develops Its Portfolio and Reports Its Activities	To help FAA better manage and oversee its portfolio of R&D activities, develop guidance to ensure that future National Aviation Research Plans (NARP) and R&D Annual Reviews meet statutory requirements to the extent practicable, including (a) The NARP lists activities that are carried under cooperative agreements. (b) The NARP describes the rationale for the prioritized research programs. (c) The NARP identifies how resources were allocated for long-term and near-term research. (d) The NARP identifies REDAC recommendations that are accepted, not accepted, and the reasons for non-acceptance. (e) The NARP provides a detailed description of technology transfer to government, industry, and academia. (f) The Annual Review describes new technologies developed and the dissemination of research results to the private sector. (g) The Annual Review allows a comparison to the NARP. (h) The Annual Review is prepared and presented in accordance with agency performance reporting requirements.	2/28/2019	N/A	N/A

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521	OIG	FHWA	3/28/2017	SA2017038	Report on Single Audit of the Government of the U.S. Virgin Islands, Charlotte Amalie, VI	Ensure that the Government complies with the Equipment and Real Property Management Requirements.	10/1/2019	N/A	N/A
522	OIG	FHWA	3/28/2017	SA2017038	Report on Single Audit of the Government of the U.S. Virgin Islands, Charlotte Amalie, VI	Ensure that the Government complies with the Special Tests and Provisions – Wage Rate Requirements.	10/1/2019	N/A	N/A
523	GAO	FAA	3/23/2017	GAO-17-366	Commercial Space Launch Insurance: Weakness in FAA's Insurance Calculation May Expose the Federal Government to Excess Risk	To help ensure that the government is not exposed to more liability risk than intended, prioritize the development of a plan to address the identified weakness in the cost-of-casualty amount, including setting time frames for action, and update the amount based on current information.	Rec is Pending GAO Closure	N/A	N/A
524	OIG	FHWA	3/6/2017	ST2017029	Vulnerabilities Exist In Implementing Initiatives Under MAP-21 Subtitle C To Accelerate Project Delivery	Establish target completion dates for the remaining planned actions for MAP-21 Subtitle C provisions that are in progress.	1/31/2020	N/A	N/A
525	GAO	FHWA	2/16/2017	GAO-17-159	Single Audits: Improvements Needed in Selected Agencies' Oversight of Federal Awards	Revise policies and procedures to reasonably assure that management decisions contain the required elements and are issued timely in accordance with OMB guidance.	9/30/2019	N/A	N/A
526	GAO	FHWA	2/16/2017	GAO-17-159	Single Audits: Improvements Needed in Selected Agencies' Oversight of Federal Awards	Design and implement policies and procedures for identifying and managing recurring single audit findings using a risk-based approach.	9/30/2019	N/A	N/A
527	GAO	FTA	2/16/2017	GAO-17-159	Single Audits: Improvements Needed in Selected Agencies' Oversight of Federal Awards	The Secretary of Transportation should direct the Administrator of the Federal Transit Administration to design policies and procedures to reasonably assure that all award recipients required to submit single audit reports do so in accordance with OMB guidance.	9/30/2019	N/A	N/A
528	GAO	FTA	2/16/2017	GAO-17-159	Single Audits: Improvements Needed in Selected Agencies' Oversight of Federal Awards	The Secretary of Transportation should direct the Administrator of the Federal Transit Administration to revise policies and procedures to reasonably assure that management decisions contain the required elements and are issued timely in accordance with OMB guidance.	9/30/2019	N/A	N/A
529	GAO	FTA	2/16/2017	GAO-17-159	Single Audits: Improvements Needed in Selected Agencies' Oversight of Federal Awards	The Secretary of Transportation should direct the Administrator of the Federal Transit Administration to design and implement policies and procedures for identifying and managing recurring single audit findings using a risk-based approach.	9/30/2019	N/A	N/A
530	OIG	FHWA	2/7/2017	ST2017024	FHWA's Oversight Does Not Ensure Division Offices Fully Comply With Project Agreement & Modification Requirements	Develop and implement internal controls to prevent FHWA authorization of construction projects after State DOT advertisement for bid or contract award to ensure compliance with Federal regulations. Implementation of internal controls could have put an estimated \$1.1 billion in Federal funds to better use.	8/31/2019	N/A	N/A
531	OIG	FHWA	2/7/2017	QC2017025	Quality Control Review of the Management Letter for the Audit of Fiscal Years 2016 and 2015 Financial Statements - Department of Transportation	KPMG recommends that FHWA strengthen policies and procedures to ensure that terminated users' access is removed timely, in accordance with the DOT Cybersecurity Compendium guidelines.	10/1/2017	N/A	N/A
532	OIG	OST	1/17/2017	ZA2017021	New DBE Participation Is Decreasing at the Nation's Largest Airports, and Certification Barriers Exist	Require FAA, FHWA, and FTA to develop and implement a joint plan and schedule for reviewing certifying authorities within the 52 UCPs. Include within the joint plan an assessment of whether required timeframes for processing certification applications are being met and whether mandatory certification training is being completed.	12/31/2019	N/A	N/A
533	OIG	OST	1/17/2017	ZA2017021	New DBE Participation Is Decreasing at the Nation's Largest Airports, and Certification Barriers Exist	Develop and implement a "train the trainer" program for the three Operating Administrations to deliver consistent guidance and training to their recipients on all aspects of the DBE program.	12/2/2019	N/A	N/A
534	OIG	OST	1/17/2017	ZA2017021	New DBE Participation Is Decreasing at the Nation's Largest Airports, and Certification Barriers Exist	Develop and implement an advanced training program on topics requested by certifying authorities, identified in compliance reviews, determined by DOCR, or identified in this report (i.e., the examination of business structures/affiliations, reviews of personal net worth, verification of ownership and control, detailed site-visit reports, and fraud awareness).	11/1/2019	N/A	N/A
535	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Establish a process for developing baseline contingency metrics, analyzing contingency trends and root causes, and annually disseminating the results to Air Traffic Organization personnel.	9/30/2019	N/A	N/A
536	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Develop and implement a policy requiring annual contingency plan training for en route and terminal controllers that includes procedures for managing airspace divestment and the loss of communications and/or surveillance capabilities.	8/30/2019	N/A	N/A

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537	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Establish a process and requirement to validate airspace divestment plans annually to ensure the plans can be executed and technical requirements are up-to-date based on current technology.	5/31/2019	N/A	N/A
538	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Develop a procedure to include aviation industry stakeholders in post-contingency events at the FAA Command Center to discuss lessons learned and explore possible solutions to mitigate the impact of future air traffic disruptions.	5/30/2019	N/A	N/A
539	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Develop airspace divestment plans for oceanic airspace, and develop and implement the technical requirements needed to support all new plans.	4/1/2019	N/A	N/A
540	OIG	FHWA	1/5/2017	ST2017019	FHWA Needs to Strengthen Its Oversight of State Transportation Improvement Programs	Complete the update of the MOAs on coordination with FTA.	2/1/2020	N/A	N/A
541	GAO	OST	12/14/2016	GAO-17-20	DOT Discretionary Grants: Problems with Hurricane Sandy Transit Grant Selection Process Highlight the Need for Additional Accountability	Given DOT's new discretionary grant programs and similar challenges we have found with previous DOT programs, issue a directive that governs department-wide and modal administration discretionary grant programs. Such a directive should include requirements to: (1) develop a plan for evaluating project proposals in advance of issuing a notice of funding availability that defines the stages of the process, including how the process will be overseen to ensure a consistent review of applications; (2) document key decisions, including the reason for any rating changes and the officials responsible for those changes, and how high-level concerns raised during the process were addressed; and (3) align stated program purpose and policy priorities with the evaluation and selection process.	9/30/2019	N/A	N/A
542	GAO	OST	11/30/2016	GAO-17-8	IT Workforce: Key Practices Help Ensure Strong Integrated Program Teams; Selected Departments Need to Assess Skill Gaps	To facilitate the analysis of gaps between the current skills and future needs, the development of strategies for filling the gaps, and succession planning, address the shortfalls in IT workforce planning noted in this report, including the following actions: (1) establish a time frame for when the department is to finalize its draft workforce planning process and maintain that process; (2) develop staffing requirements for all positions; (3) assess competency and staffing needs regularly for all positions; (4) assess gaps in staffing for all components of the workforce; (5) develop strategies and plans to address gaps in competencies and staffing; (6) implement activities that address gaps, including an IT acquisition cadre, cross-functional training of acquisition and program personnel, a career path for program managers, and use of special hiring authorities, if justified and cost-effective; e (7) monitor the department's progress in addressing competency and staffing gaps; and (8) report to department leadership on progress in addressing competency and staffing gaps.	12/31/2019	N/A	N/A
543	GAO	FAA	11/25/2016	GAO-17-100	Commercial Space: FAA Should Examine How to Appropriately Regulate Space Support Vehicles	To respond to changes in the aviation and commercial space-transportation industries, examine and document whether the current regulatory framework is appropriate for aircraft that could be considered space support vehicles, and if not, suggest legislation or develop regulatory changes, or both, as applicable.	12/31/2019	N/A	N/A
544	GAO	FAA	11/22/2016	GAO-17-88	Commercial Space Launch Insurance: Views Differ on Need for Change to Insurance Approach but Clarification Is Needed	To better ensure spaceport operators' understanding of FAA's financial responsibility regulations for commercial space launches, provide additional communication to clarify FAA's interpretation of the financial responsibility regulations for commercial space launches. The forms of communication could include, among other things, issuing additional guidance or using other forums to clarify when a spaceport operator is a third party to a launch and when it is not.	Rec is Pending GAO Closure	N/A	N/A
545	GAO	PHMSA	11/17/2016	GAO-17-91	Hazardous Materials Rail Shipments: Emergency Responders Receive Support, but DOT Could Improve Oversight of Information Sharing	To continue the agency's efforts to improve state and local emergency preparedness for rail accidents involving hazardous materials, develop a process for regularly collecting information from state emergency response commissions on the distribution of the railroad-provided hazardous-materials-shipping information to local planning entities.	8/28/2019	N/A	N/A

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546	OIG	FAA	11/16/2016	AV2017015	FAA Achieved Most of the Anticipated Cost Savings from Contracting Out Flight Service Stations, But Needs to Determine the Future Direction of the Program	Develop an oversight framework that is commensurate with program changes before awarding the next flight services contract and implement the framework shortly after the program changes are put into effect.	3/31/2020	N/A	N/A
547	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	The Deputy Secretary, or his designee, take action to work with OST COE, FTA, and FAA, the common control providers, to report and update risk acceptance for shared controls that are not implemented in DOT's Repository (e.g., CSAM) per FISMA, OMB, and DOT requirements.	9/30/2018	N/A	N/A
548	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	The Deputy Secretary, or his designee, take action to identify and document OST COE compensating controls when used to address security weaknesses in CSAM and system authorizations.	9/30/2018	N/A	N/A
549	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	The Deputy Secretary, or his designee, take action to report/update OST COE security weaknesses found during vulnerability assessments in DOT's Repository (e.g., CSAM) per FISMA, OMB, and DOT requirements.	9/30/2018	N/A	N/A
550	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Take action to work with all OAs to perform a thorough CSAM quality review to ensure system documentation matches what is entered into CSAM. At a minimum, the review should verify that: (1) system authorization dates in CSAM match what is approved by the authorizing official; (2) POAMs are created and reported once a security weakness is found; and (3) authorizing officials are provided accurate documentation on all risks accepted.	9/30/2018	N/A	N/A
551	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Take action to work with FAA and require them to review CSAM POA&M entries, and identify and correct cases where multiple weaknesses were entered as one.	9/30/2018	N/A	N/A
552	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Take action to work with all OAs to complete expired authorizations and reinforce or strengthen policy requiring systems be reauthorized prior to their expiration dates.	9/30/2017	N/A	N/A
553	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Perform a review of CSAM POA&Ms and assess if the entries are compliant with DOT policy. For deficient data, require OAs to provide a corrective action plan.	9/30/2017	N/A	N/A
554	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Take action to work with FAA, FHWA, FMCSA, FTA, MARAD, NHTSA, and OST to develop risk acceptance memos for the expired systems identified in this report.	8/30/2017	N/A	N/A
555	OIG	FHWA	11/15/2016	QC2017013	Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	KPMG recommends that FHWA review the overall cash flow model functionality and implementation to ensure that all assumptions are properly applied, documented, and supported in the execution of the cash flow projections.	10/1/2017	N/A	N/A
556	OIG	FHWA	11/15/2016	QC2017013	Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	KPMG recommends that FHWA consider automating the calculations that are performed manually to reduce the risk of misapplication of assumptions due to human error.	10/1/2017	N/A	N/A
557	OIG	FAA	11/10/2016	AV2017009	Total Costs, Schedules, and Benefits of FAA's NextGen Transformational Programs Remain Uncertain	Develop and implement Agency-wide guidance for a uniform approach to segmentation that provides a common format to aid the management of multiple, complex, and interrelated programs needed to achieve NextGen capabilities for transforming the NAS.	N/A	Unresolved	DOT did not agree with the recommendation.
558	OIG	FAA	11/7/2016	FI2017006	Improvements Increase DOT's Compliance With the Reducing Over-Classification Act	Implement protocols or practices to reinforce guidance on the marking of classified documents and to periodically assess compliance.	5/14/2020	N/A	N/A
559	OIG	FAA	11/7/2016	FI2017006	Improvements Increase DOT's Compliance With the Reducing Over-Classification Act	Implement protocols or practices to identify FAA employees who are missing nondisclosure forms and have each of these employees complete the agreement.	11/30/2019	N/A	N/A
560	OIG	FAA	11/7/2016	FI2017006	Improvements Increase DOT's Compliance With the Reducing Over-Classification Act	Identify all employees whose duties significantly involve the creation, handling, or management of classified information, and update any performance plan that is missing a critical element on management of classified information.	9/30/2019	N/A	N/A
561	OIG	OST	11/7/2016	FI2017006	Improvements Increase DOT's Compliance With the Reducing Over-Classification Act	Dedicate additional resources to oversee FAA's self-inspection program.	9/30/2019	N/A	N/A

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562	GAO	OST	10/31/2016	GAO-17-23	West Coast Ports: Better Supply Chain Information Could Improve DOT's Freight Efforts	To inform DOT's development of its national freight strategy and associated freight efforts, such as states' development of freight plans, newly established freight funding programs, and advancing DOT's efforts to implement national freight policies, in the development of the freight data strategy, include a specific plan to identify: (1) appropriate freight data sources, information, and analytic tools for transportation modes involved in the freight network and supply chains; (2) data gaps that could help both the agency and states and local governments in the development of their freight plans, and an approach for addressing obstacles to developing high-quality, reliable supply chain information; (3) current and planned efforts that can provide insights into supply chains and their impacts on freight networks; and (4) how DOT plans to use the supply chain information and analytical tools to inform freight planning and programming.	12/31/2019	N/A	N/A
563	GAO	FMCSA	10/27/2016	GAO-17-49	Motor Carriers: Better Information Needed to Assess Effectiveness and Efficiency of Safety Interventions	To determine whether CSA interventions influence motor carrier safety performance, identify and implement, as appropriate, methods to evaluate the effectiveness of individual intervention types or common intervention patterns to obtain more complete, appropriate, and accurate information on the effectiveness of interventions in improving motor carrier safety performance. In identifying and implementing appropriate methods, FMCSA should incorporate accepted practices for designing program effectiveness evaluations, including practices that would enable FMCSA to more confidently attribute changes in carriers' safety behavior to CSA interventions.	Rec is Pending GAO Closure	N/A	N/A
564	GAO	FMCSA	10/27/2016	GAO-17-49	Motor Carriers: Better Information Needed to Assess Effectiveness and Efficiency of Safety Interventions	To enable FMCSA management to monitor the agency's progress in achieving its effectiveness and efficiency outcomes for CSA interventions and balance priorities, establish and use performance measures to regularly monitor progress toward both FMCSA's effectiveness outcome and its efficiency outcome.	3/31/2020	N/A	N/A
565	GAO	FMCSA	10/27/2016	GAO-17-49	Motor Carriers: Better Information Needed to Assess Effectiveness and Efficiency of Safety Interventions	To understand the efficiency of CSA interventions, update FMCSA's cost estimates to determine the resources currently used to conduct individual intervention types and ensure FMCSA has cost information that is representative of all states.	12/31/2019	N/A	N/A
566	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Implement a ranking method for incidents.	10/1/2017	N/A	N/A
567	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Establish policy and controls for the use of maintenance data terminals to reduce the incidence of malware on these terminals	10/1/2017	N/A	N/A
568	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Enforce DOT's current policy for incident monitoring to ensure the Cyber Security Management Center's access to FAA's NAS systems and departmental cloud systems, or update the policy to reflect the unique reporting structures between DOT and FAA.	10/1/2017	N/A	N/A
569	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Require OAs to provide their network maps to the Cyber Security Management Center.	6/30/2017	N/A	N/A
570	GAO	FRA	10/12/2016	GAO-17-122	Train Braking: DOT's Rulemaking on Electronically Controlled Pneumatic Brakes Could Benefit from Additional Data and Transparency	Create a plan to collect data from railroads' ongoing and future operational experiences using ECP brakes. The plan should include details on how the agency will work with railroads to collect this data, ensure that such data are reliable, and analyze these data to conduct a retrospective analysis of the ECP brakes requirement that could help inform any potential future actions regarding ECP brakes.	N/A	Non-Concur	DOT did not agree with GAO's recommendation. In September 2018, DOT rescinded the ECP brake rule because its updated Regulatory Impact Analysis estimated that the rule's costs would exceed its benefits. DOT does not intend to create a plan to collect data from railroads' use of ECP brakes.
571	GAO	FRA	10/12/2016	GAO-17-122	Train Braking: DOT's Rulemaking on Electronically Controlled Pneumatic Brakes Could Benefit from Additional Data and Transparency	If DOT promulgates a new rule on the applicable ECP brake system requirements based on updated analysis, require that freight railroads, once they equip with ECP brakes in response to the requirement, collect and provide data to FRA on their ongoing operational experience with ECP brakes.	N/A	Non-Concur	DOT did not agree with GAO's recommendation. In September 2018, DOT rescinded the ECP brake rule because its updated Regulatory Impact Analysis estimated that the rule's costs would exceed its benefits. As a result, this recommendation is currently no longer relevant and DOT does not plan to implement this regulation.

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572	GAO	OST	9/29/2016	GAO-16-511	Information Technology: Agencies Need to Improve Their Application Inventories to Achieve Additional Savings	To improve the agency's efforts to rationalize its portfolio of applications, improve the inventory by taking steps to fully address the practices we identified as being partially met or not met.	12/30/2019	N/A	N/A
573	GAO	FHWA	9/14/2016	GAO-16-779	HIGHWAY BRIDGES: Linking Funding to Conditions May Help Demonstrate Impact of Federal Investment	Develop an efficiency measure or measures that demonstrate the linkage between the federal funding of bridges and the desired performance outcomes, such as maintained or improved bridge conditions, and report the resulting information to Congress.	7/30/2019	N/A	N/A
574	OIG	OST	9/8/2016	FI2016097	DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	Revise Department-wide policies and procedures to clarify how to accurately identify and report conferences and conference-related activities and require Operating Administrations to review their policies and procedures and revise as needed to align with the Department.	4/30/2020	N/A	N/A
575	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Conduct an assessment of the risks and existing controls associated with the Division Offices' oversight of State's processes to track PE projects, and identify improvements to Division Office oversight.	9/30/2019	N/A	N/A
576	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Update FHWA Order 5020.1 or develop Agency guidance to state FHWA's policy concerning compliance with Title 23 U.S.C. Section 102(b), including the following: a) Define when a project progresses to right-of-way or construction; b) Describe accurate coding parameters for PE projects in FMIS; c) Define the means of tracking the 10-year limit for PE projects, including those involving multiple Federal project numbers; d) Define recordkeeping and documentation expectations for tracking reimbursements, extending the 10-year limit, and decisions not to pursue reimbursements; e) Define roles and responsibilities for Division Offices and FHWA Headquarters for consistent oversight and enforcement of PE requirements before and after the 10-year limit; f) Define FHWA Headquarters' policy on resolving differences arising between Division Offices and States regarding required PE actions.	9/30/2019	N/A	N/A
577	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Develop and implement financial controls and processes to monitor PE projects exceeding the 10-year limit, approved extensions, and reimbursements not pursued when PE projects do not progress within the 10-year limit. Implementing this recommendation could put \$3.3 billion in PE funds to better use.	9/30/2019	N/A	N/A
578	GAO	OST	8/26/2016	GAO-16-686	FEDERAL CHIEF INFORMATION SECURITY OFFICERS: Opportunities Exist to Improve Roles and Address Challenges to Authority	To ensure that the role of the CISO is defined in department policy in accordance with FISMA 2014, define the CISO's role in department policy for ensuring that subordinate security plans are documented for the department's information systems.	6/29/2019	N/A	N/A
579	GAO	OST	8/26/2016	GAO-16-686	FEDERAL CHIEF INFORMATION SECURITY OFFICERS: Opportunities Exist to Improve Roles and Address Challenges to Authority	To ensure that the role of the CISO is defined in department policy in accordance with FISMA 2014, define the CISO's role in department policy for ensuring that security controls are tested periodically.	6/29/2019	N/A	N/A
580	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Conduct an assessment of the accuracy and completeness of PE project authorizations. Correct any errors in FMIS projects that should be coded as PE as a result of this assessment.	10/1/2018	N/A	N/A
581	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	For the \$143 million in PE projects questioned in this report without adequate justification for time extensions or avoided repayments, obtain from the States appropriate support or repayment of PE expenditures as required.	10/1/2018	N/A	N/A
582	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Develop performance measures that track compliance with the 10-year limit and report progress.	7/31/2018	N/A	N/A
583	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Obtain a legal determination from the Office of the Secretary to permit SPES projects and similar funding agreements and establish internal controls to ensure compliance with Federal requirements. Implementing this recommendation could put the \$1.1 billion in PE funds to better use.	6/1/2018	N/A	N/A
584	OIG	FAA	8/25/2016	AV2016094	FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	Link the long-term vision for NextGen, once completed, with current R&D efforts to identify any additional R&D that may be required.	3/30/2019	N/A	N/A

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585	OIG	FAA	8/25/2016	AV2016094	FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	Establish and document a process with clear roles and responsibilities for identifying and prioritizing long-term R&D for air traffic management and related efforts.	6/30/2018	N/A	N/A
586	OIG	FAA	8/25/2016	AV2016094	FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	Have SPC's six high-priority NextGen capabilities validated by an external entity, such as the REDAC to ensure that they are on the critical path for NextGen development, as well as ensure that there are not other areas that warrant additional attention.	6/30/2018	N/A	N/A
587	OIG	OST	8/5/2016	SA2016087	North Coast Railroad Authority, Ukiah, CA	Ensure the Authority Complies with Reporting Requirements.	10/1/2019	N/A	N/A
588	OIG	OST	8/5/2016	SA2016087	North Coast Railroad Authority, Ukiah, CA	Ensure the Authority complies with Fixed Charge Coverage Ratio Requirements.	10/1/2019	N/A	N/A
589	GAO	FAA	7/28/2016	GAO-16-679	Aviation Safety: FAA's Risk-Based Oversight for Repair Stations Could Benefit from Additional Airline Data and Performance Metrics	Develop and implement a process in Flight Standards for incorporating into SAS the volume of critical maintenance that each U.S. airline contracts to repair stations.	N/A	Non-Concur	DOT did not agree with GAO's recommendation. The Agency does not agree that the volume of work performed by a repair station is an accurate metric for determining risk.
590	GAO	FAA	7/28/2016	GAO-16-679	Aviation Safety: FAA's Risk-Based Oversight for Repair Stations Could Benefit from Additional Airline Data and Performance Metrics	Develop and implement an evaluative process with measurable performance goals and measures to determine the effectiveness of SAS as the SMS safety assurance component.	9/30/2021	N/A	N/A
591	GAO	FAA	7/28/2016	GAO-16-679	Aviation Safety: FAA's Risk-Based Oversight for Repair Stations Could Benefit from Additional Airline Data and Performance Metrics	To enhance FAA's risk-based approach for oversight of repair stations, develop and implement an evaluative process with measurable performance goals and measures to determine the effectiveness of SAS as the SMS safety assurance component.	6/30/2020	N/A	N/A
592	GAO	OST	6/21/2016	GAO-16-638	Intelligent Transportation Systems: Urban and Rural Transit Providers Reported Benefits but Face Deployment Challenges	To improve access to and awareness and applicability of ITS resources for ITS deployment, coordinate with the Federal Transit Administration to develop a strategy to raise awareness of the Joint Program of Office's (JPO) training, technical assistance, and knowledge resources for transit ITS deployment in the transit community.	Rec is Pending GAO Closure	N/A	N/A
593	GAO	OST	6/21/2016	GAO-16-638	Intelligent Transportation Systems: Urban and Rural Transit Providers Reported Benefits but Face Deployment Challenges	To improve access to and awareness and applicability of ITS resources for ITS deployment, coordinate with FTA to include ITS adoption by small urban and rural transit providers in ITS monitoring efforts.	Rec is Pending GAO Closure	N/A	N/A
594	OIG	OST	6/16/2016	AV2016068	Improvements Needed in DOT's Process For Identifying Unfair or Deceptive Practices in Airline Frequent Flyer Programs	Define what constitutes reasonable notice for consumers regarding changes to frequent flyer programs' terms and conditions, and require airlines to provide such notice.	12/31/2018	N/A	N/A
595	GAO	FHWA	6/8/2016	GAO-16-575	Highway Safety: More Robust DOT Oversight of Guardrails and Other Roadside Hardware Could Further Enhance Safety	To promote the transition to improved crash-test standards, to strengthen FHWA's oversight of the roadside safety hardware's crash-testing process, and to make more information available to states and industry on how roadside safety hardware performs in actual conditions, develop a process for third-party verification of results from crash-test labs.	6/30/2020	N/A	N/A
596	GAO	FHWA	6/8/2016	GAO-16-575	Highway Safety: More Robust DOT Oversight of Guardrails and Other Roadside Hardware Could Further Enhance Safety	To promote the transition to improved crash test standards, to strengthen FHWA's oversight of the roadside safety hardware's crash-testing process, and to make ore information available to states and industry on how roadside safety hardware performs in actual conditions, support additional research and disseminate results on roadside safety hardware's in-service performance, either as part of future phases of FHWA's current pilot study on guardrail end terminals' performance or as part of FHWA's broader research portfolio.	5/30/2020	N/A	N/A
597	GAO	FHWA	6/8/2016	GAO-16-575	Highway Safety: More Robust DOT Oversight of Guardrails and Other Roadside Hardware Could Further Enhance Safety	To promote the transition to improve crash test standards, to strengthen FHWA's oversight of the roadside safety hardware's crash-testing process, and to make more information available to states and industry on how roadside safety hardware performs in actual conditions, provide additional guidance to crash test labs and accreditation bodies to ensure that labs have a clear separation between device development and testing in cases where lab employees test devices that were developed within their parent organization.	7/30/2019	N/A	N/A
598	OIG	FAA	5/31/2016	AV2016067	FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	Develop a process to ensure the Office of Airports reports its Aircraft Rescue and Fire Fighting enforcement actions to FAA's Enforcement Information System database according to FAA Order 2150.3B.	3/31/2020	N/A	N/A

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599	OIG	FAA	5/31/2016	AV2016067	FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	Identify and implement best practices regarding the content, length, and methods of teaching each of the 11 Aircraft Rescue and Fire Fighting subject areas.	12/31/2019	N/A	N/A
600	OIG	FAA	5/9/2016	ZA2016065	FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	Update AMS policy and guidance to clarify pre-award requirements for sole-source awards. At a minimum, FAA should clarify policy and guidance related to procurement plans, conflict of interest agreements, pre-award public announcements, market analysis, sole-source justifications, IGCEs, and simplified acquisition procedures.	8/30/2019	N/A	N/A
601	OIG	FAA	5/9/2016	ZA2016065	FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	Establish and implement a standard operating procedure to verify the accuracy of FAA's sole-source contract data submitted to OST for annual reporting to Congress.	8/30/2019	N/A	N/A
602	OIG	FAA	5/9/2016	ZA2016065	FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	Establish and implement additional actions to reduce the use of sole-source contracting, including the use of performance measures that are tracked periodically. At a minimum, these actions should include steps to address FAA's acquisition of proprietary technologies.	8/30/2019	N/A	N/A
603	OIG	FAA	5/9/2016	ZA2016065	FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	Establish and implement a standardized process for identifying and assessing potential follow-on procurements, to improve FAA's ability to identify requirements that can be competed in the future.	8/30/2019	N/A	N/A
604	OIG	FAA	5/9/2016	ZA2016065	FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	Establish and implement an oversight process to adequately review sole-source procurements prior to award to ensure that they comply with AMS pre-award requirements.	8/3/2019	N/A	N/A
605	OIG	OST	3/22/2016	FI2016056	The Volpe Center's Information Technology Infrastructure is at Risk for Compromise (FOUO)	Install a network-based intrusion detection and prevention solution to complement the current host-based systems, enabling more comprehensive and accurate detection and prevention of malicious activity on the network, including traffic coming from trusted connections.	9/30/2019	N/A	N/A
606	OIG	FHWA	3/16/2016	SA2016051	Joint Programs of the Shoshone and Arapaho Tribes of the Wind River Reservation, Fort Washakie, WY	Ensure the Shoshone and Arapaho Tribes comply with the Special Tests and Provisions Requirements.	10/1/2019	N/A	N/A
607	OIG	FHWA	3/16/2016	SA2016053	Nanwalek IRA Council, Nanwalek, AK	Ensure the Council complies with the Allowable Costs/Cost Principles Requirements.	10/1/2019	N/A	N/A
608	OIG	FHWA	3/16/2016	SA2016053	Nanwalek IRA Council, Nanwalek, AK	Recover \$255,941 from the Council, if applicable.	10/1/2019	N/A	N/A
609	OIG	FHWA	3/11/2016	SA2016039	Crow Tribe of Indians, Crow Agency, MT	Ensure the Tribe complies with the Cash Management Requirements.	10/1/2019	N/A	N/A
610	OIG	FHWA	3/11/2016	SA2016039	Crow Tribe of Indians, Crow Agency, MT	Recover \$2,773,489 from the Tribe, if applicable.	10/1/2019	N/A	N/A
611	GAO	FAA	3/8/2016	GAO-16-210	Aviation Forecasting: FAA Should Implement Additional Risk-Management Practices in Forecasting Aviation Activity	To help FAA better manage and understand the uncertainties of its forecasts, apply risk-management practices to analyze and report on uncertainty. Specifically, for both the Aerospace and TAF forecasts, analyze and report the forecast's uncertainty, establish forecast error thresholds, and develop an approach that will prompt forecast review when error thresholds are exceeded, and, for TAF forecasts, monitor and publish multi-year historical error performance.	Rec is Pending GAO Closure	N/A	N/A
612	GAO	FAA	3/8/2016	GAO-16-210	Aviation Forecasting: FAA Should Implement Additional Risk-Management Practices in Forecasting Aviation Activity	To help FAA better manage and understand the uncertainties of its forecasts, fully document its methods and assumptions in developing the Aerospace and TAF forecasting models to provide greater transparency to internal users and external stakeholders.	Rec is Pending GAO Closure	N/A	N/A
613	OIG	OST	3/8/2016	SA2016028	North Coast Railroad Authority, Ukiah, CA	Ensure the Authority complies with the Reporting Requirements.	10/1/2019	N/A	N/A
614	OIG	FMCSA	3/3/2016	FI2016024	Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	Specify alternate telecommunications services including necessary agreements for the FMCSA Enforcement Management Information System contingency plan.	1/31/2020	N/A	N/A
615	OIG	FAA	2/4/2016	FI2016019	Security Controls over FAA's Large TRACON Facilities (SSI)	Conduct annual contingency plan exercises for large TRACONs using a formally agreed upon alternate processing site to familiarize TRACON personnel with the alternate facility's available resources and equipment, and evaluate the site's capabilities to support contingency operations using explicit test objectives and success criteria.	12/31/2018	N/A	N/A

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616	OIG	FAA	1/15/2016	AV2016015	FAA Reforms Have Not Achieved Expected Cost, Efficiency, and Modernization Outcomes	Review and identify Federal and industry best practices and guidance from OMB and the Federal CIO that may be incorporated into AMS for acquiring major capital investments and IT systems, including the use of successive contracts that are separately priced and the use of modular concepts when planning and purchasing IT, and determine which are appropriate for incorporation into AMS.	12/31/2019	N/A	N/A
617	GAO	OST	12/16/2015	GAO-16-127	Air Travel and Communicable Diseases: Comprehensive Federal Plan Needed for U.S. Aviation System's Preparedness	To help improve the U.S. aviation sector's preparedness for future communicable disease threats from abroad, work with relevant stakeholders, such as the Department of Health and Human Services, to develop a national aviation-preparedness plan for communicable disease outbreaks. Such a plan could establish a mechanism for coordination between the aviation and public health sectors and provides clear and transparent planning assumptions for a variety of types and levels of communicable disease threats.	N/A	Partial Concur	DOT did not agree to fully implement GAO's recommendation. DOT is prepared to support and participate in HHS and DHS' efforts to develop a national aviation preparedness plan for communicable disease, which should be part of a broader national communicable disease planning effort that is not limited to the aviation sector.
618	OIG	MARAD	12/10/2015	ST2016011	Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	Update existing MAOs in accordance with established timelines.	9/30/2019	N/A	N/A
619	GAO	OST	11/19/2015	GAO-16-79	Critical Infrastructure Protection: Sector-Specific Agencies Need to Better Measure Cybersecurity Progress	To better monitor and provide a basis for improving the effectiveness of cybersecurity risk mitigation activities, informed by the sectors' updated plans and in collaboration with sector stakeholders, develop performance metrics to provide data and determine how to overcome challenges to monitoring the transportation systems sector's cybersecurity progress.	Rec is Pending GAO Closure	N/A	N/A
620	OIG	OST	11/5/2015	FI2016001	FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	Work with the OAs to develop a formal transition plan to the proposed ISCM target architecture that includes but is not limited to: (1) continuously assessing security controls; (2) reviewing system configuration settings; and (3) assessing timely remediation of security weaknesses. During the transition period, establish processes and practices for effectively collecting, validating, and reporting ISCM data.	9/30/2016	N/A	N/A
621	OIG	OST	11/5/2015	FI2016001	FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	Ensure that the OCIO revises the Departmental policy to document its practice of prohibiting user-based waivers or exclusions for PIV required use for network and system access.	9/30/2016	N/A	N/A
622	OIG	OST	11/5/2015	FI2016001	FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	Work with the OAs to ensure they update open POA&Ms with the required data fields.	8/31/2016	N/A	N/A
623	OIG	OST	11/5/2015	FI2016001	FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	Work with FAA to improve its assessment process to meet DOT Cybersecurity Compendium and Security Authorization & Continuous Monitoring Performance Guide. DOT CIO in conjunction with the FAA CIO review the FAA quality assurance process to ensure all security documents are reviewed and updated to reflect the system controls, vulnerabilities, and that the current risks are clearly presented to the authorizing officials.	6/30/2016	N/A	N/A
624	OIG	FAA	10/15/2015	AV2016001	FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	Develop and implement system-based evaluation criteria and risk-based tools to aid ODA team members in targeting their oversight.	3/31/2020	N/A	N/A
625	OIG	FAA	9/29/2015	AV2015112	FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	Install a secure wireless network that can provide access to FAA's local area network (LAN) and connectivity to the internet at Center facilities.	9/30/2020	N/A	N/A
626	OIG	FAA	9/29/2015	AV2015112	FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	Identify and implement changes needed to improve annual contingency training exercises to simulate more realistic scenarios.	12/31/2019	N/A	N/A
627	OIG	FAA	9/29/2015	AV2015112	FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	Develop an implementation plan and quantify all costs required for the implementation of each recommendation in FAA's 30-day Review of Contingency Plans.	7/31/2019	N/A	N/A
628	GAO	MARAD	8/26/2015	GAO-15-666	International Food Assistance: Cargo Preference Increases Food Aid Shipping Costs, and Benefits Are Unclear	Study the potential availability of all qualified mariners needed to meet a full and prolonged activation of the reserve sealift fleet. In the study, MARAD should identify potential solutions to address the mariner shortfall if one is still identified.	2/28/2020	N/A	N/A

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629	OIG	FAA	8/20/2015	AV2015079	FAA Delays in Establishing a Pilot Records Database Limit Air Carriers' Access to Background Information	Establish the FAA-records portion of the database and develop a single process for air carriers to request and obtain records currently available through PRIA, notices of disapproval, and summaries of enforcement actions in accordance with the Act.	12/31/2019	N/A	N/A
630	OIG	OST	6/16/2015	FI2015047	DOT Lacks an Effective Process For Its Transition to Cloud Computing	Establish FedRAMP compliance guidelines and oversight for the Department, and ensure that each Operating Administration put plans in place to meet FedRAMP requirements.	3/31/2020	N/A	N/A
631	GAO	OST	5/21/2015	GAO-15-431	Telecommunications: Agencies Need Better Controls to Achieve Significant Savings on Mobile Devices and Services	To help the department effectively manage spending on mobile devices and services, ensure procedures to monitor and control spending are established department-wide. Specifically, ensure that (1) procedures include assessing devices for zero, under, and over usage; (2) personnel with authority and responsibility for performing the procedures are identified; and (3) the specific steps to be taken to perform the process are documented.	12/2/2019	N/A	N/A
632	GAO	OST	2/27/2015	GAO-15-209	Disaster Relief: Agencies Need to Improve Policies and Procedures for Estimating Improper Payments	To help reduce risk that improper payment estimates related to DRAA funding developed and reported by selected agencies may not be accurate or reliable and to help ensure that DOT produces reliable estimates of its DRAA improper payments, as applicable to each administration, revise policies and procedures for estimating improper payments by: (1) clearly identifying roles and responsibilities for estimating improper payments; (2) defining improper payments consistently with IPFA, as amended, and OMB Circular No. A-123, Appendix C; (3) requiring payments to federal employees to be included in populations for testing as required by IPFA, as amended; (4) including steps to assess the completeness of the population of transactions used for selecting the samples to be tested; (5) requiring the agency to maintain sufficient documentation to support improper payment estimates; (6) requiring that the sampling methodologies meet the precision requirements outlined in OMB Circular No. A-123, Appendix C; and (7) requiring a consultation with a statistician to ensure the validity of sample design, sample size, and measurement methodology.	12/31/2019	N/A	N/A
633	OIG	FHWA	2/18/2015	ST2015027	FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	Revise the quality assurance review process to fully communicate the results of the annual reviews to appropriate Division Offices and track the actions taken to address its recommendations.	10/31/2019	N/A	N/A
634	OIG	FHWA	2/18/2015	ST2015027	FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	Revise Bridge Program Manual guidance to specify how Division Offices should combine and report results when separate assessments of the National Bridge Inspection Standards oversight metrics are performed.	10/31/2019	N/A	N/A
635	OIG	FHWA	2/18/2015	ST2015027	FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	Establish a process for Division Offices to promptly inform the FHWA Headquarters Office of Bridges and Structures when additional resources are needed to complete a review of the State's bridge inspection program and for the Office of Bridges and Structures to coordinate the necessary support.	10/31/2019	N/A	N/A
636	OIG	FHWA	2/18/2015	ST2015027	FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	Develop and implement a comprehensive risk management process for NBIPO to identify, report, and track mitigation actions for high-priority risks to bridge safety at the national level. The process should incorporate best practices consistent with FHWA's risk management framework.	10/31/2019	N/A	N/A
637	GAO	FTA	12/10/2014	GAO-15-110	Transportation Disadvantaged Populations: Nonemergency Medical Transportation Not Well Coordinated, and Additional Federal Leadership Needed	To promote and enhance federal, state, and local NEMT coordination activities, convene a meeting of the member agencies of the Coordinating Council and complete and publish a new or updated strategic plan that, among other things, clearly outlines a strategy for addressing NEMT and how it can be coordinated across federal agencies that fund NEMT service.	9/30/2020	N/A	N/A
638	GAO	FTA	12/10/2014	GAO-15-110	Transportation Disadvantaged Populations: Nonemergency Medical Transportation Not Well Coordinated, and Additional Federal Leadership Needed	To promote and enhance federal, state, and local NEMT coordination activities, convene a meeting of the member agencies of the Coordinating Council and finalize and issue a cost-sharing policy and clearly identify how it can be applied to programs under the purview of member agencies of the Coordinating Council that provide funding for NEMT.	9/30/2020	N/A	N/A

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639	GAO	FTA	12/10/2014	GAO-15-110	Transportation Disadvantaged Populations: Nonemergency Medical Transportation Not Well Coordinated, and Additional Federal Leadership Needed	To promote and enhance federal, state, and local NEMT coordination activities, convene a meeting of the member agencies of the Coordinating Council and using the on-going work of the Health, Wellness, and Transportation working group and other appropriate resources, (1) identify the challenges associated with coordinating Medicaid and VA NEMT programs with other federal programs that fund NEMT, (2) develop recommendations for how these challenges can be addressed while still maintaining program integrity and fraud prevention, and (3) report these recommendations to appropriate committees of Congress. To the extent feasible, the Coordinating Council should implement those recommendations that are within its legal authority.	9/30/2020	N/A	N/A
640	OIG	FAA	12/10/2014	FI2015015	FAA is Making Progress in Addressing ADSB's Security Issues But Weaknesses Still Exist (SSI)	Have ADS-B Program Management work with Exelis to ensure that ADS-B satisfies NAS security requirements and aligns with the NAS Enterprise Architecture.	12/31/2019	N/A	N/A
641	GAO	FTA	12/10/2014	GAO-15-158	TRANSPORTATION FOR OLDER ADULTS: Measuring Results Could Help Determine If Coordination Efforts Improve Mobility	To promote and enhance federal, state, and local coordination activities, convene a meeting of the member agencies of the Coordinating Council and define and report on desired outcomes and collect related data to track and measure progress in achieving results, including the extent of coordination efforts that are under way, such as improved services for older adults. This effort could be conducted as a part of the Coordinating Council's process to update its strategic plan, which we have also recommended in a concurrent report.	12/31/2019	N/A	N/A
642	OIG	OST	11/14/2014	FI2015009	FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	Work with components to develop or revise their plans to effectively transition the remaining information systems to required PIV login. Create a POA&M with planned completion dates to monitor and track progress.	9/30/2016	N/A	N/A
643	OIG	OST	11/14/2014	FI2015009	FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	Work with the Director of DOT Security to develop or revise their plan to effectively transition the remaining facilities to required PIV cards.	9/30/2016	N/A	N/A
644	OIG	OST	11/14/2014	FI2015009	FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	Work with the components to develop a plan to complete annual SAT training within plan milestones and improve tracking. Assess training periodically to determine if the component will meet SAT training plan.	9/30/2016	N/A	N/A
645	OIG	OST	10/28/2014	AV2015001	Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	Require carriers to keep and maintain records documenting when they: a) Notify passengers about the status of the flight delay; b) Notify passengers when they have the opportunity to deplane; and c) Provide food and water to passengers.	8/1/2017	N/A	N/A
646	OIG	OST	10/28/2014	AV2015001	Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	Revise DOT regulations to require carriers - when calculating the length of tarmac delays for reporting purposes - to include the time when an aircraft is at the gate with passengers on board and the crew has not made an announcement to deplane.	8/1/2017	N/A	N/A
647	OIG	OST	10/28/2014	AV2015001	Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	Revise DOT regulations and the FAQ to indicate that U.S. and foreign air carriers provide food and water service within 2 hours after passengers no longer have the opportunity to deplane.	8/1/2017	N/A	N/A
648	OIG	OST	10/28/2014	AV2015001	Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	Define comfortable cabin temperature and include the requirement in DOT regulations. In the interim, issue guidance to the industry that defines comfortable cabin temperature.	8/1/2017	N/A	N/A
649	GAO	FHWA	10/9/2014	GAO-15-33	Highway Trust Fund: DOT Has Opportunities to Improve Tracking and Reporting of Highway Spending	To improve transparency and provide Congress and the public greater visibility into the types of highway activities funded with Highway Trust Fund monies, explore the costs, feasibility, and options for collecting and publicly reporting consistent aggregate project-level spending data.	4/1/2019	N/A	N/A

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650	GAO	OST	9/19/2014	GAO-14-740	Freight Transportation: Developing National Strategy Would Benefit from Added Focus on Community	In order to clarify the federal role related to freight-related local traffic congestion, in implementing MAP-21 and any subsequent reauthorizations, include in the National Freight Strategic Plan a written statement articulating the federal role in freight-related local congestion impacts, by clearly identifying potential objectives and goals (under the general area DOT has established for the Freight Transportation Conditions of reducing adverse environmental and community impacts) for mitigating local congestion caused by national freight movements and the type of role federal and state stakeholders could play in achieving each objective and goal, and including a written strategy for improving the availability of national data to quantify, assess, and establish measures on freight trends and impacts on local traffic congestion.	12/31/2019	N/A	N/A
651	OIG	FHWA	9/17/2014	SA2014123	United States Virgin Island	Ensure the USVI complies with Cash Management Requirements.	10/1/2019	N/A	N/A
652	OIG	FHWA	8/1/2014	SA2014081	Government of the United States Virgin Islands	Ensure the Government of the U.S. Virgin Islands complies with Cash Management Requirements.	10/1/2019	N/A	N/A
653	OIG	FAA	7/9/2014	AV2014062	FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	Require controllers to maintain their own time-on-position records by signing in and out in Cru-X/ART.	7/31/2019	N/A	N/A
654	OIG	FAA	7/9/2014	AV2014062	FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	Analyze its operational and financial data to identify opportunities to increase controller productivity and reduce operating costs.	7/31/2019	N/A	N/A
655	OIG	FAA	6/26/2014	AV2014061	FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	Establish milestones for the work needed to determine the appropriate classification system for unmanned aircraft as a basis for developing the UAS regulatory framework.	10/31/2019	N/A	N/A
656	OIG	FAA	6/26/2014	AV2014061	FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	Assess and determine the requirements for automated tools to assist air traffic controllers in managing UAS operations in the NAS.	8/31/2019	N/A	N/A
657	OIG	FAA	6/5/2014	FI2014052	Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System (FOUO)	Prioritize and remediate all TFMS scheduled POAMs.	5/31/2019	N/A	N/A
658	GAO	OST	5/22/2014	GAO-14-413	Federal Software Licenses: Better Management Needed to Achieve Significant Savings Government-Wide	To ensure the effective management of software licenses, develop an agency-wide comprehensive policy for the management of software licenses that addresses the weaknesses we identified.	12/31/2019	N/A	N/A
659	GAO	OST	5/22/2014	GAO-14-413	Federal Software Licenses: Better Management Needed to Achieve Significant Savings Government-Wide	To ensure the effective management of software licenses, provide management training to appropriate agency personnel addressing contract terms and conditions, negotiations, laws and regulations, acquisition, security planning, and configuration management.	12/31/2019	N/A	N/A
660	OIG	FHWA	5/21/2014	SA2014045	Spirit Lake Tribe, North Dakota	Recover \$17,190 from the Tribe, if applicable.	10/1/2019	N/A	N/A
661	GAO	FMCSA	2/3/2014	GAO-14-114	Federal Motor Carrier Safety: Modifying the Compliance, Safety, Accountability Program Would Improve the Ability to Identify High Risk Carriers	To improve the CSA program, ensure that any determination of a carrier's fitness to operate properly accounts for limitations we have identified regarding safety performance information.	Rec is Pending GAO Closure	N/A	N/A
662	GAO	FMCSA	2/3/2014	GAO-14-114	Federal Motor Carrier Safety: Modifying the Compliance, Safety, Accountability Program Would Improve the Ability to Identify High Risk Carriers	To improve the CSA program, revise the SMS methodology to better account for limitations in drawing comparisons of safety performance information across carriers; in doing so, the Secretary of Transportation should direct the FMCSA Administrator to conduct a formal analysis that specifically identifies: (1) limitations in the data used to calculate SMS scores including variability in the carrier population and the quality and quantity of data available for carrier safety performance assessments, and (2) limitations in the resulting SMS scores including their precision, confidence, and reliability for the purposes for which they are used.	N/A	Non-Concur	DOT did not agree with GAO's recommendation. GAO is awaiting the final outcomes of the National Academies of Science congressionally mandated evaluation of SMS to determine closure of this recommendation.
663	GAO	FHWA	1/16/2014	GAO-14-113	Federal-Aid Highways: Federal Highway Administration Could Further Mitigate Locally Administered Project Risks	Collect data, on an ongoing basis, about which local public agencies are administering federal-aid projects.	N/A	Closed- Not Implemented	Partial Concur - DOT did not agree to fully implement GAO's recommendation.
664	GAO	FHWA	1/16/2014	GAO-14-113	Federal-Aid Highways: Federal Highway Administration Could Further Mitigate Locally Administered Project Risks	Identify and disseminate minimum and uniform qualification criteria for state DOTs to determine whether local public agencies are capable and equipped to administer federal-aid projects.	N/A	Closed- Not Implemented	Partial Concur - DOT did not agree to fully implement GAO's recommendation.

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665	OIG	OST	11/22/2013	FI2014006	FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	Obtain and review specialized training statistics and verify, as part of the compliance review process, that all employees with significant security responsibilities have completed the number of training hours required by policy. Report results to management and obtain evidence of corrective actions.	9/30/2016	N/A	N/A
666	OIG	OST	11/22/2013	FI2014006	FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	Obtain a schedule and action plan for OAs to develop procedures for comprehensive cloud computing agreements to include security controls roles and responsibilities. Report to OA management any delays in completing the procedures.	9/30/2016	N/A	N/A
667	OIG	OST	11/22/2013	FI2014006	FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	Obtain and review existing cloud computing agreements to assess compliance with agency policy, including security requirements. Report exceptions to OA management.	9/30/2016	N/A	N/A
668	OIG	OST	11/22/2013	FI2014006	FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	Obtain and review plans from FMCSA, MARAD, OST, and RITA to authorize systems with expired accreditations. Perform security reviews of unauthorized systems to determine if the enterprise is exposed to unacceptable risk.	9/30/2016	N/A	N/A
669	GAO	OST	11/6/2013	GAO-14-15	GPS Disruptions: Efforts to Assess Risks to Critical Infrastructure and Coordinate Agency Actions Should Be Enhanced	To improve collaboration and address uncertainties in fulfilling the National Security presidential Directive 39 (NSPD-39) backup-capabilities requirement, establish a formal, written agreement that details how the Departments of Transportation and Homeland Security plan to address their shared responsibility to fulfill the National Security Presidential Directive 39 (NSPD-39). This agreement should address uncertainties, including clarifying and defining DOT's and DHS's respective roles, responsibilities, and authorities; establishing clear, agreed-upon outcomes; establishing how the agencies will monitor and report on progress toward those outcomes; and setting forth the agencies' plans for examining relevant issues, such as the roles of SSAs and industry, how NSPD-39 fits into the NIPP risk management framework, whether an update to the NSPD-39 is needed, or other issues as deemed necessary by the agencies.	Rec is Pending GAO Closure	N/A	N/A
670	OIG	FAA	8/27/2013	AV2013121	FAA is Making Progress But Improvements in Its Air Traffic Controller Facility Training Are Still Needed	Organize FAA controller training data into a single source that allows for detailed analysis of all training records for each controller.	12/31/2019	N/A	N/A
671	OIG	FAA	8/27/2013	AV2013120	FAAs Controller Scheduling Practices Can Impact Human Fatigue Controller Performance and Agency Costs	Identify the terminal air traffic facilities that do not meet the established minimum criteria for midnight shift operations, and (a) evaluate the safety risks and benefits of reducing their hours of operation, and (b) develop milestones for implementation of the reduction of operating hours at the selected facilities and report the status and justification for each selected facility to the OIG in 180 days.	5/31/2019	N/A	N/A
672	OIG	FHWA	7/12/2013	SA2013111	Cheyenne River Sioux Tribe, South Dakota	Ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	10/1/2019	N/A	N/A
673	OIG	FHWA	7/12/2013	SA2013111	Cheyenne River Sioux Tribe, South Dakota	Recover \$199,333 from the Tribe, if applicable.	10/1/2019	N/A	N/A
674	OIG	FAA	6/27/2013	FI2013101	FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	Implement the provisions of the Intelligence Reform and Terrorism Prevention Act's for pilot certifications.	12/31/2020	N/A	N/A
675	OIG	FAA	6/27/2013	FI2013101	FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	Encrypt PII and mitigate the vulnerabilities on Registry computers. If controls cannot be implemented immediately then remove all PII or take other actions as appropriate, such as suspend the system's operation in accordance with FAA Order 1280.1B.	12/31/2019	N/A	N/A
676	OIG	FAA	6/20/2013	AV2013099	FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	Establish a comprehensive analyst training program with guidance clarifying their roles, responsibilities, and training needs and establish a method to determine an appropriate number of air carriers per analyst.	3/31/2020	N/A	N/A
677	OIG	FAA	6/20/2013	AV2013099	FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	Verify inspectors are following existing guidance to update and maintain the accuracy of databases prior to running iterations of the staffing model.	12/31/2019	N/A	N/A
678	OIG	FAA	6/20/2013	AV2013099	FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	Conduct a comprehensive assessment of the staffing model as compared to the NRC recommendations, assess the quality of the data in the model and identify the steps needed to make the staffing model more viable.	12/31/2019	N/A	N/A

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679	OIG	FAA	6/20/2013	AV2013099	FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	Conduct and document a variance analysis of each model's results and assess staffing at field offices where the on-board staffing level varies widely from the current model projection to verify if immediate staffing action is needed in the interest of safety.	12/31/2019	N/A	N/A
680	OIG	FAA	2/27/2013	AV2013046	FAAs Efforts to Track and Mitigate Air Traffic Losses of Separation Are Limited by Data Collection and Implementation Challenges	Include high-risk TCAS warning events in its Risk Analysis Process and System Risk Event Rate when the separation between two converging aircraft is maintained at 66 percent or more.	12/31/2019	N/A	N/A
681	OIG	FHWA	2/12/2013	SA2013041	Government of the United States Virgin Islands	Ensure the Government of the U.S. Virgin Islands complies with Cash Management requirements.	10/1/2019	N/A	N/A
682	OIG	NHTSA	2/6/2013	MH2013040	NHTSA's Oversight of Mississippi's Management of Federal Highway Safety Grants Needs Strengthening	Develop an action plan for monitoring Mississippi's grant agreements with sub-grantees, once the high-risk designation is removed, to ensure compliance with Federal requirements.	1/31/2020	N/A	N/A
683	OIG	NHTSA	2/6/2013	MH2013040	NHTSA's Oversight of Mississippi's Management of Federal Highway Safety Grants Needs Strengthening	Work with MOHS to develop an action plan, with milestones, to: a. Obtain technical assistance to identify and implement financial management internal controls to comply with the Grant Common Rule; Government Accountability Office Standards for Internal Control; and other applicable laws, regulations, and program compliance requirements. b. Implement improved processes to calculate reimbursement claims to NHTSA, such as an automated grants system used by other State highway safety offices. c. Obtain independent assurance that proper grant management controls and financial and accounting procedures are in place and working effectively. d. Develop guidance for monitoring the use of local officers as full-time driving under the influence officers to ensure appropriate use of Section 154 funds.	1/31/2020	N/A	N/A
684	OIG	FAA	1/31/2013	AV2013037	FAA and Industry Are Advancing the Airline Safety Act but Challenges Remain To Achieve Its Full Measure	In developing the Pilot Records Database, require training records for all unsatisfactory pilot evaluation events to include written comments from the examiner to aid in identifying specific performance deficiencies.	3/31/2020	N/A	N/A
685	GAO	FHWA	12/13/2012	GAO-13-77	Highway Trust Fund: Pilot Program Could Help Determine the Viability of Mileage Fees for Certain Vehicles	To ensure that up-to-date data are available on the road damages imposed by all vehicle types compared with the revenues each contributes to the National Highway Trust Fund, revise and publish the agency's Highway Cost Allocation Study and update it periodically as warranted.	N/A	Partial Concur	DOT did not agree to fully implement GAO's recommendation. FHWA will only conduct a cost allocation study if legislation is passed mandating a study. Unless Congress is ready to adjust the fuel tax, it would not be a prudent use of FHWA resources.
686	GAO	NHTSA	11/14/2012	GAO-13-42	Motorcycle Safety: Increasing Federal Funding Flexibility and Identifying Research Priorities Would Help Support States' Safety Efforts	To provide the states with information that could better enable them to effectively address the factors that contribute to motorcycle crashes and fatalities, identify research priorities that address these factors as well as gaps in knowledge about the effectiveness of state strategies, particularly those that it has identified as a high priority or promising; and conduct research on the following strategies that it has identified as a high priority or promising: (a) encouraging motorcyclists to increase their conspicuity, and (b) implementing a graduated-licensing model for motorcyclists.	Rec is Pending GAO Closure	N/A	N/A
687	GAO	FAA	10/4/2012	GAO-13-36	General Aviation Safety: Additional FAA Efforts Could Help Identify and Mitigate Safety Risks	To enhance FAA's efforts to improve general aviation safety, and to determine whether the programs and activities underlying the 5-year strategy are successful and if additional actions are needed, develop performance measures for each significant program and activity underlying the 5-year strategy.	Rec is Pending GAO Closure	N/A	N/A
688	GAO	FAA	10/4/2012	GAO-13-36	General Aviation Safety: Additional FAA Efforts Could Help Identify and Mitigate Safety Risks	To enhance FAA's efforts to improve general aviation safety, and to ensure that ongoing safety issues are addressed, set specific general aviation safety improvement goals--such as targets for fatal accident reductions--for individual industry segments using a data driven, risk management approach.	N/A	Partial Concur	DOT did not agree to fully implement GAO's recommendation. FAA determined that developing credible metrics was not feasible using the GA Activity Survey.
689	GAO	FAA	10/4/2012	GAO-13-36	General Aviation Safety: Additional FAA Efforts Could Help Identify and Mitigate Safety Risks	To enhance FA's efforts to improve general aviation safety, improve measures of general aviation activity by requiring the collection of the number of hours that general aviation aircraft fly over a period of time (flight hours), FAA should explore ways to do this that minimize the impact on the general aviation community, such as by collecting the data at regular events (e.g., during registration renewals or at annual maintenance inspections) that are already required.	N/A	Partial Concur	DOT did not agree to fully implement GAO's recommendation. FAA does not plan to collect General Aviation (GA) flight hour data during registration renewals or annual maintenance inspections because this would require rulemaking and could have a significant economic and paperwork impact on the GA industry.

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690	OIG	FHWA	10/1/2012	MH2013001	Improvements to Stewardship and Oversight Agreements Are Needed To Enhance Federal-aid Highway Program Management	Enforce the requirement for Directors of Field Services to sign Agreements, as specified in FHWA's Delegation and Organization Manual, or change the Delegation and Organization Manual to allow Division Administrators to sign the Agreements and require Directors of Field Services to formally document elsewhere that they reviewed and approved the Agreements.	10/31/2019	N/A	N/A
691	GAO	FAA	9/13/2012	GAO-12-902	Slot-Controlled Airports: FAA's Rules Could Be Improved to Enhance Competition and Use of Available Capacity	To help maximize the use of available capacity at slot-controlled airports, enhance competition through greater airline access to slots, and enhance transparency of slot information, apply slot rules to individual slots, as opposed to pools of slots within a slot period.	N/A	Impasse	DOT has no plans to initiate a rulemaking on this issue.
692	GAO	OST	9/13/2012	GAO-12-902	Slot-Controlled Airports: FAA's Rules Could Be Improved to Enhance Competition and Use of Available Capacity	With respect to possible future regulatory action, consider requiring airlines to schedule a certain percentage, or all, of their slot allocations, similar to practices maintained elsewhere in the world.	N/A	Impasse	DOT has no plans to initiate a rulemaking on this issue.
693	GAO	FAA	9/12/2012	GAO-12-890	Airport Noise Grants: FAA Needs to Better Ensure Project Eligibility and Improve Strategic Goal and Performance Measures	To better ensure that federal investments effectively address the remaining airport noise problem and to more fully demonstrate the results of AIP noise grants, establish a strategic noise reduction goal that aligns with the nature and extent of airport noise and targets the agency's noise grant program.	N/A	Partial Concur	DOT did not agree to fully implement GAO's recommendation. FAA's overall noise reduction goal is fundamentally separate from noise mitigation. Noise goals inform multiple FAA activities beyond the noise grant program and aligning these activities would be difficult.
694	GAO	FAA	9/12/2012	GAO-12-890	Airport Noise Grants: FAA Needs to Better Ensure Project Eligibility and Improve Strategic Goal and Performance Measures	To better ensure that federal investments effectively address the remaining airport noise problem and to more fully demonstrate the results of AIP noise grants, establish performance measures to assess progress toward this goal that better demonstrate the results of the program and provide Congress and FAA's program managers with information to gauge progress and make programmatic decisions.	N/A	Partial Concur	DOT did not agree to fully implement GAO's recommendation. FAA's overall noise reduction goal is fundamentally separate from noise mitigation. Noise goals inform multiple FAA activities beyond the noise grant program and aligning these activities would be difficult.
695	OIG	FAA	7/19/2012	AV2012152	Long Term Success of ATSAP Will Require Improvements In Oversight, Accountability, and Transparency	Revise ATSAP guidance to exclude accidents from the program.	N/A	Unresolved	DOT did not agree with the recommendation.
696	OIG	PHMSA	6/18/2012	AV2012140	Hazardous Liquid Pipeline Operators' Integrity Management Programs Need More Rigorous PHMSA Oversight	Create a database of pipeline physical characteristics, accidents, and inspections—including geographic location—of individual pipeline units in order to identify and monitor at-risk pipelines.	12/31/2019	N/A	N/A
697	OIG	FAA	4/23/2012	AV2012094	Status of Transformational Programs and Risks to Achieving NextGen Goals	Define and finalize the transformational programs' NextGen requirements.	N/A	Impasse	DOT OIG disagrees with the agency's corrective actions.
698	OIG	FAA	4/23/2012	AV2012094	Status of Transformational Programs and Risks to Achieving NextGen Goals	Synchronize program requirements between the Transformational Program Offices and NextGen Integration and Implementation Program Office to ensure Agency NextGen goals are aligned with the transformational programs' plans and to avoid schedule delays.	N/A	Impasse	DOT OIG disagrees with the agency's corrective actions.
699	OIG	FHWA	4/5/2012	ZA2012084	Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	Mandate the confidentiality of potential and actual bidders' names and engineer's estimates, as currently recommended in FHWA's competitive bidding and contract award guidance.	11/4/2019	N/A	N/A
700	OIG	FHWA	4/5/2012	ZA2012084	Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	Implement policies and procedures for ensuring that each State DOT establishes and uses a written, FHWA-approved plan for evaluating competition. These plans should address: assessing bidder interest levels, evaluating and documenting decisions on bids that vary significantly from the engineer's estimate, conducting and documenting bid analysis, identifying and mitigating perceived barriers to increasing competition, and adequately documenting final award decisions.	11/4/2019	N/A	N/A
701	OIG	FHWA	4/5/2012	ZA2012084	Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	Develop and implement effective performance measures and metrics to assess and trend State DOT contract award practices, document concerns, and share best practices with other State DOTs.	11/4/2019	N/A	N/A
702	OIG	FHWA	4/5/2012	ZA2012084	Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	Establish standard FHWA Division Office requirements for performing and documenting oversight of State contracting activity, including stewardship agreement requirements for (a) FHWA approval of procurement policies and procedures and (b) FHWA verification that State DOTs have determined a potential winning bidder's status on the Excluded Parties Listing System list prior to contract award.	11/4/2019	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
703	OIG	FAA	3/28/2012	ZA2012082	FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	That FAA's Vice President of Business and Acquisition Services: Revise AMS to include guidance on how to identify and mitigate risks of potential OCIs prior to contract or task order award.	9/30/2019	N/A	N/A
704	OIG	FAA	3/28/2012	ZA2012082	FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	That FAA's Vice President of Business and Acquisition Services: Require FAA's contracting and program staff to use performance-based acquisition principles in their SE-2020 task orders and ensure staff is adequately trained to develop and monitor such awards.	9/30/2019	N/A	N/A
705	OIG	FAA	3/28/2012	ZA2012082	FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	That FAA's Vice President of Business and Acquisition Services: Require the SE-2020 program office to (a) develop policies and procedures to ensure timely reconciliations and corrections to acquisition databases and (b) revise its cost monitoring spreadsheets to ensure accurate data for effective cost control of SE-2020 contracts.	9/30/2019	N/A	N/A
706	GAO	PHMSA	3/22/2012	GAO-12-388	Pipeline Safety: Collecting Data and Sharing Information on Federally Unregulated Gathering Pipelines Could Help Enhance Safety	To enhance the safety of unregulated onshore hazardous liquid and gas gathering pipelines, collect data from operators of federally unregulated onshore hazardous liquid and gas gathering pipelines, subsequent to an analysis of the benefits and industry burdens associated with such data collection. Data collected should be comparable to what PHMSA collects annually from operators of regulated gathering pipelines (e.g., fatalities, injuries, property damage, location, mileage, size, operating pressure, maintenance history, and the causes of incidents and consequences).	1/31/2020	N/A	N/A
707	GAO	FAA	2/16/2012	GAO-12-223	Air Traffic Control Modernization: Management Challenges Associated with Program Costs and Schedules Could Hinder NextGen Implementation	To improve cost estimates and schedules for NextGen and other major air traffic control acquisition programs, when appropriate for major acquisition programs based on a program's cost, schedule, complexity, and risk, conduct independent cost estimates and schedule risk analysis for major acquisition programs.	Rec is Pending GAO Closure	N/A	N/A
708	OIG	FAA	12/20/2011	AV2012027	New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	Develop a standardized procedure for air carriers to report failures of pilot proficiency checks, as well as remedial and recurrent flight training to FAA, and require inspectors to monitor trends and target surveillance to highest risk areas.	4/30/2019	N/A	N/A
709	OIG	OST	11/14/2011	FI2012007	FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	Enhance existing policy to address security awareness training for non-computer users, address security costs as part of capital planning, correct the definition of "government system", and address the identification, monitoring, tracking and validation of users and equipment that remotely access DOT networks and applications.	9/30/2016	N/A	N/A
710	OIG	OST	11/14/2011	FI2012007	FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	In conjunction with OA CIOs, create, complete or test contingency plans for deficient systems.	9/30/2016	N/A	N/A
711	GAO	FHWA	9/7/2011	GAO-11-703	On-the-Job Training: Federal Highway Administration Needs to Strengthen Program Assessment	To establish accountability for meeting the programs' goal of increasing the participation of traditionally underrepresented groups in the highway construction workforce, create and implement an oversight mechanism that (1) holds states accountable for meeting federal training criteria and (2) clearly stipulates how FHWA will assess state program effectiveness, including what type of program achievement data states are to submit and how such data will be used. This oversight mechanism should include assessing the effectiveness of its division offices in overseeing state activities.	5/29/2020	N/A	N/A
712	GAO	NHTSA	6/15/2011	GAO-11-603	Auto Safety: NHTSA Has Options to Improve the Safety Defect Recall Process	In order to encourage vehicle owners to comply with safety recalls, provide vehicle owners with specific information about whether their vehicle is involved in a recall, and identify factors that affect recall completion rates among other things, develop a plan to use the data it collects on recall campaigns to analyze particular patterns or trends that may characterize successful recalls and determine whether these represent best practices that could be used in other recall campaigns.	Rec is Pending GAO Closure	N/A	N/A
713	OIG	FTA	3/23/2011	SA2011069	Washington Metropolitan Area Transit Authority	Ensure the Authority implement security controls and devices to ensure that equipment is properly safeguarded. This finding affects ARRA funds	10/1/2019	N/A	N/A
714	OIG	OST	11/15/2010	FI2011022	Timely Actions Needed to Improve DOT's Cybersecurity	Identify and implement automated tools to better track contractors and training requirements.	10/1/2019	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
715	OIG	FHWA	1/14/2010	MH2010039	Assessment of FHWA Oversight of the Highway Bridge Program and the National Bridge Inspection Program	Report regularly to internal and external stakeholders on the effectiveness of states' efforts to improve the condition of the Nation's deficient bridges based on the analysis of HBP expenditure data and an evaluation of progress made in achieving performance targets.	12/1/2018	N/A	N/A
716	OIG	FHWA	1/14/2010	MH2010039	Assessment of FHWA Oversight of the Highway Bridge Program and the National Bridge Inspection Program	Collect and analyze HBP expenditure data on a regular basis to identify activities undertaken by states such as bridge replacement and rehabilitation to improve the condition of the Nation's deficient bridges.	9/1/2018	N/A	N/A
717	GAO	FTA	9/9/2009	GAO-09-871	Affordable Housing in Transit-Oriented Development: Key Practices Could Enhance Recent Collaboration Efforts between DOT-FTA and HUD	To strengthen formal collaboration efforts between the Federal Transit Administration and the Department of Housing and Urban Development, develop a plan to ensure that data collected on the various programs of the agencies related to affordable housing and transit are sufficient to measure the agencies' performance toward goals and outcomes established in the HUD-FTA action plan and the Partnership for Sustainable Communities.	Rec is Pending GAO Closure	N/A	N/A
718	GAO	FTA	6/30/2009	GAO-09-603	Public Transportation: FTA's Triennial Review Program Has Improved, But Assessments of Grantees' Performance Could Be Enhanced	To support the triennial review program's goal of having grantees consistently meet more federal requirements, meet standards set forth in previous GAO work, based on the Government Performance and Results Act of 1993, and develop performance measures to assess: (1) the outcomes of the triennial review program, such as a method for evaluating improvements in grantee performance in meeting more federal requirements over time (2) and the quality of the triennial review through improved contractor oversight, testing, or inspection.	7/1/2019	N/A	N/A
719	GAO	FTA	6/30/2009	GAO-09-603	Public Transportation: FTA's Triennial Review Program Has Improved, But Assessments of Grantees' Performance Could Be Enhanced	To support the triennial review program's goal of having grantees consistently meet more federal requirements, improve the objectivity and reliability of the "Close Findings Timely" performance measure by: (1) developing an internal controls process to verify grantees have satisfactorily resolved findings before closing them (2) continuing to emphasize the use of OTRAK across all regions and developing a process to close out triennial reviews in OTRAK upon grantees' completion of corrective actions.	7/1/2019	N/A	N/A
720	GAO	FTA	6/30/2009	GAO-09-603	Public Transportation: FTA's Triennial Review Program Has Improved, But Assessments of Grantees' Performance Could Be Enhanced	To support the triennial review program's goal of having grantees consistently meet more federal requirements, that additional outcome and quality performance measures are balanced with the existing measures for assessing the timeliness of the triennial review program so that one priority is not emphasized at the expense of others.	7/1/2019	N/A	N/A
721	OIG	FAA	5/14/2009	AV2009057	FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	Revise current ASAP guidance to exclude accidents from the program.	N/A	Partial Concur	DOT did not agree to fully implement GAO's recommendation.
722	OIG	FAA	5/14/2009	AV2009057	FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	Require that FAA representatives on ERCs receive ASAP reports in a timely manner and concurrently with other ERC members.	5/31/2019	N/A	N/A
723	OIG	FAA	5/14/2009	AV2009057	FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	Modify Advisory Circular 120-66B to clarify that ASAP is not an amnesty program and that employees submitting ASAP reports are subject to administrative action by FAA and corrective action by the air carrier.	5/31/2019	N/A	N/A
724	OIG	FAA	5/14/2009	AV2009057	FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	Require inspectors to examine repetitive reports of safety concerns and enhancements to ensure that corrective actions are completed in a satisfactory manner.	5/31/2019	N/A	N/A
725	OIG	FHWA	2/5/2009	ZA2009033	Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	By implementing the recommendations in this report, FHWA could put approximately \$30.2 million in future Federal-aid funds to better use.	10/31/2019	N/A	N/A
726	OIG	FHWA	2/5/2009	ZA2009033	Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	Recover the unallowed executive compensation costs and other unallowable expenses identified in this audit - \$2.8 million in unallowable executive compensation and \$1.6 million in other unallowable indirect charges.	10/31/2019	N/A	N/A
727	OIG	FHWA	1/12/2009	MH2009013	National Bridge Inspection Program: Assessment of FHWA's Implementation of Data-Driven, Risk-Based Oversight	Increase FHWA's use of element-level data by incorporating AASHTO's updated standards into the NBIS through the rulemaking process.	6/1/2018	N/A	N/A
728	OIG	FHWA	1/12/2009	MH2009013	National Bridge Inspection Program: Assessment of FHWA's Implementation of Data-Driven, Risk-Based Oversight	Increase FHWA's use of element-level data by developing and implementing a plan to collect element-level data after AASHTO's updated standards have been incorporated into the NBIS.	6/1/2018	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
729	GAO	OST	10/3/2008	GAO-09-56	Highway Safety: Foresight Issues Challenge DOT's Efforts to Assess and Respond to New Technology-Based Trends	In order to improve the information available to the Congress for reauthorization, analyze and report on trends currently anticipated to affect highway safety through 2020 and beyond in a systematic fashion--including information on high-clockspeed trends, discussion of evidence about these and other individual trends, their implications and potential interactions, and DOT responses.	Rec is Pending GAO Closure	N/A	N/A
730	GAO	OST	10/3/2008	GAO-09-56	Highway Safety: Foresight Issues Challenge DOT's Efforts to Assess and Respond to New Technology-Based Trends	Evaluate whether or not new approaches to data collection are needed to better track new trends related to highway safety.	Rec is Pending GAO Closure	N/A	N/A
731	GAO	OST	10/3/2008	GAO-09-56	Highway Safety: Foresight Issues Challenge DOT's Efforts to Assess and Respond to New Technology-Based Trends	In order to improve the information available to the Congress for reauthorization, determine, in consultation with relevant congressional committees, schedules for periodic reporting that will be sufficiently frequent to update the Congress on fast-changing trends.	Rec is Pending GAO Closure	N/A	N/A
732	GAO	OST	10/3/2008	GAO-09-56	Highway Safety: Foresight Issues Challenge DOT's Efforts to Assess and Respond to New Technology-Based Trends	In order to develop an approach to decision making and the development of evidence on high-clockspeed trends highway safety that are characterized by uncertainty, consider and evaluate practices and principles for making decisions under conditions of uncertainty and for using data in such decision making and, on that basis, develop an approach to guide decision making on high-clockspeed trends that, although somewhat uncertain, may affect highway safety.	Rec is Pending GAO Closure	N/A	N/A
733	GAO	OST	1/7/2008	GAO-08-287	Freight Transportation: National Policy and Strategies Can Help Improve Freight Mobility	In order to improve freight mobility by more clearly defining the federal role in the freight transportation network and to begin to align federal investments with economically significant national benefits, develop with Congress and public and private sector stakeholders a comprehensive national strategy for freight transportation. This national strategy should include defining the federal role and national interests in freight transportation, including economically-based and objective criteria to identify areas of national significance for freight transportation and to determine whether federal funds are required in those areas.	12/31/2019	N/A	N/A
734	GAO	OST	1/7/2008	GAO-08-287	Freight Transportation: National Policy and Strategies Can Help Improve Freight Mobility	In order to improve freight mobility by more clearly defining the federal role in the freight transportation network and to begin to align federal investments with economically significant national benefits, develop with Congress and public and private sector stakeholders a comprehensive national strategy for freight transportation. This strategy should include establishing the roles of regional, state, and local governments, as well as the private sector.	12/31/2019	N/A	N/A
735	GAO	OST	1/7/2008	GAO-08-287	Freight Transportation: National Policy and Strategies Can Help Improve Freight Mobility	In order to improve freight mobility by more clearly defining the federal role in the freight transportation network and to begin to align federal investments with economically significant national benefits, develop with Congress and public and private sector stakeholders a comprehensive national strategy for freight transportation. This national strategy should include using new or existing federal funding sources and mechanisms to support a targeted, cost-effective, and sustainable federal role in freight transportation.	12/31/2019	N/A	N/A