U.S. Department of Transportation

BUDGET ESTIMATES

FISCAL YEAR 2022

OFFICE OF THE SECRETARY OF TRANSPORTATION

SUBMITTED FOR THE USE OF
THE COMMITTEES ON APPROPRIATIONS

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DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

FY 2022
CONGRESSIONAL JUSTIFICATION

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

SECTION 1: OVERVIEW

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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. The Office plays a crucial role in facilitating the Department's robust regulatory response to the urgent challenges facing the Nation, including the coronavirus pandemic, economic recovery, racial justice, and climate change. The individual Offices of the Secretary work together to ensure the Secretary's goals for the Department are implemented in an effective and efficient manner.

OST is responsible for the selection, award, and oversight of billions of dollars of multimodal infrastructure funding for the Rebuilding American Infrastructure with Sustainability and Equity (RAISE) transportation discretionary grants program. In addition, OST works to broaden the availability of funding for infrastructure through the management of the Department's innovative finance programs.

The FY 2022 President's Budget requests **$1.7 billion** for OST to sustain its oversight responsibilities and implement the Department's key priorities of safety; equitable economic strength and improving core assets; improving transportation equity; increasing resilience and addressing climate change; and investing in transformative infrastructure.

Key Components of the Request

RAISE Transportation Grants Program: $1 billion to fund critical **transportation projects** that benefit a local community or region through a **merit-based, competitive program.** RAISE 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.

Salaries and Expenses (S&E): $143 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 Administration's goals, with a focus on safety, equitable economic strength and improving core assets, improving transportation equity, transformative infrastructure, and addressing climate change. This request includes a proposal to create a new Office of Public Engagement as well as funding for expanded oversight of the Department's progress in implementing the goals of the President's Executive Orders.

Financial Management Capital (FMC): $5 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. In addition, DOT currently has limited financial data analytics capacity

and this funding will strengthen capabilities to provide oversight over DOT's potential risk areas and internal controls.

Departmental Office of Civil Rights (DOCR): $13 million to support and advance internal and external civil rights initiatives, administer Federal civil rights statutes, and investigate Equal Employment Opportunity complaints. The FY 2022 Request represents a more than 30 percent increase from FY 2021 enacted levels, and will support additional positions needed to more effectively implement the Department's existing Civil Rights and EEO Programs, including the Disadvantaged Business Enterprise program, as well as the Administration's Executive Order on advancing racial equity.

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): $13 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 **$2 million** to streamline permitting review processes.

Cyber Security Initiatives: $39 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. Of this amount, $15.6 million will directly support enhancements to address the impacts of the SolarWinds incident at DOT

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.

Essential Air Service (EAS) program: $364 million to ensure that eligible small communities retain a link to the national air transportation system, funded from $116 million of mandatory overflight fees collected by the Federal Aviation Administration and a $248 million discretionary appropriation.

Research and Technology: $43 million to ensure coordination across the Department for research, development, and technology activities. The FY 2022 request funds several specific efforts to address climate change, transportation equity, and the safety and resiliency of the transportation network. These efforts include three discrete initiatives to improve the resilience and reliability of civil sector Position, Navigation and Timing (PNT) services. The Office will also support the development of an Equity Data and Analysis Sharing Platform which will allow comprehensive transportation analysis with a new emphasis on equity, climate, safety, and economic impact; the reestablishment and expansion of the Climate Change Center to support the research, data and analysis, and evidence-building efforts required to respond to the Climate

Crisis; and for the first time provides consistent funding for the Highly Automated Systems Safety Center of Excellence (HASS COE) which was established by Congress in FY 2020.

Thriving Communities: $110 million for a new program that will establish a new office to support communities with eliminating persistent transportation barriers and increasing access to jobs, school, and businesses. In concert with the American Jobs Plan, these funds will support technical assistance and planning grants that would encourage State, regional and local governments, residents, philanthropy, and private sector collaboration and identify community identified project and programs that address needs and improve access to destinations. These efforts will serve as a complement to the $5 billion included for this effort in the American Jobs Plan, and the President's commitment to increased access to housing and commercial opportunities that are affordable, safe, healthy, and accessible by public transportation.

Electric Fleet Vehicle: $11 million to purchase electric vehicles (EV) for the Department's owned vehicle fleet or as part of a transition to GSA's leased fleet. These acquisitions are a significant step towards eliminating tailpipe emissions of greenhouse gases (GHG) from the DOT fleet and aligning DOT's fleet operations with the goal of achieving a fully ZEV federal fleet.

Working Capital Fund (WCF): In FY 2022, the WCF will obligate an estimated **$726 million** across the Department, including $90 million to continue the Department's implementation of a Shared Services environment for commodity information technology (IT) investments. This builds on prior successes to consolidate resources and improve delivery of services across the Department.

AMERICAN JOBS PLAN: BUILD WORLD-CLASS TRANSPORTATION INFRASTRUCTURE: FIX HIGHWAYS, REBUILD BRIDGES, AND UPGRADE PORTS, AIRPORTS, RAIL AND TRANSIT SYSTEMS

President Biden is calling on Congress to make a historic and overdue investment in our roads, bridges, rail, ports, airports, and transit systems. The President's plan will ensure that these investments produce good-quality jobs with strong labor standards, prevailing wages, and a free and fair choice to join a union and bargain collectively. These investments will advance racial equity by providing better jobs and better transportation options to underserved communities. These investments also will extend opportunities to small businesses to participate in the design, construction, and manufacturing of new infrastructure and component parts. President Biden's plan will deliver infrastructure Americans can trust, because it will be more resilient to floods, fires, storms, and other threats, and not fragile in the face of these increasing risks.

The President's plan invests an additional $621 billion in transportation infrastructure and resilience:

- Within this amount, **$540 Billion** would reside in the Department of Transportation for its programs allocated over a five-year period, and is in addition to the base amounts included in the FY 2022 Budget request.

- Separately, the American Jobs Plan also provides $50 billion make our infrastructure more resilient of which **$7.5 Billion** would be provided to the Department of Transportation.

- Aside from Department of Transportation funding, the American Jobs Plan calls for **$74 Billion** in additional infrastructure investments, including $8 Billion to the U.S. Army Corps of Engineers for Inland Waterways and Harbor Projects, $3 Billion to the General Services Administration for land ports of entry, $20 Billion to the Environmental Protection Agency for school bus electrification, and $43B for non-transportation resilience programs.

Detailed information about the American Jobs Plan can be found within the FY 2022 Budget Highlights located at:

https://www.transportation.gov/mission/budget/fiscal-year-2022-budget-highlights

SURFACE TRANSPORTATION REAUTHORIZATION

The President's vision for addressing our Transportation Safety and Infrastructure needs relies on three building blocks:

The FY 2022 Budget

First, the FY 2022 President's Budget provides discretionary and mandatory funding in core programs to continue the current portfolio of transportation programs and includes targeted funding elements to address the Administration's current priorities particularly in the transit and rail areas.

Surface Transportation Reauthorization

The President's plan also recognizes that the current surface authorization act – Fixing America's Surface Transportation Act (FAST Act) – expires this fiscal year. Since Congress is now considering multi-year legislation that would begin in FY 2022, the budget displays flat levels equal to the last year of the FAST Act for simplicity. **This is not a policy decision that the next reauthorization should equal FAST ACT levels, but rather a technical presentation to ensure consistency between the American Jobs Plan (AJP) and the traditional DOT accounts.** Surface authorization acts have traditionally provided mandatory funding for highway, transit, and safety programs from excise tax revenue deposited into the Highway Trust Fund (HTF). Additionally, surface authorization acts establish certain programs that Congress funds through the annual appropriations process. For example, the FAST Act was the first time a rail title was included in a multi-year surface reauthorization package.

American Jobs Plan

Finally, the $621 billion in investments proposed in the American Jobs Plan represent investments in addition to the base amounts included in the FY 2022 President's Budget request.

The FY 2022 Budget request reflects the American Jobs Plan funding as budget authority provided over five years. Funding is grouped in nine new program accounts that align with the major portions of the AJP, but funding is not assigned to specific DOT Budget Accounts.

The President's FY 2022 request does not include a formal legislative reauthorization proposal. Rather, the President's Budget documents present key Administration reauthorization principles, which align with the foundation of the AJP. These include:

- Safety
- Equitable Economic Strength and Improving Core Assets
- Ensuring Investments Meet Racial Equity and Economic Inclusion Goals
- Resilience and Addressing Climate Change

- Transformation of our Nation's Transportation Infrastructure

To reflect this, the FY 2022 President's Budget shows flat funding of contract authority in current Highway Trust Fund accounts throughout the full 10-year Budget window. These flat-line levels do not represent funding or program design recommendations by the Administration.

When the Congress takes up the AJP and Surface Transportation reauthorization, the Administration looks forward to working collaboratively with Congress to infuse its key principles and policy proposals into legislation, and to add additional funding and policy proposals proposed in the American Jobs Plan. The Administration seeks to work with Congress to reflect the American Jobs Plan and key principles in legislative measures to advance ambitious investments in infrastructure, including surface transportation reauthorization.

How does this impact programs not impacted by AJP goals?

For other programs that receive discretionary appropriations and mandatory programs unaffected by surface authorization, the FY 2022 Budget presents detailed information consistent with DOT's prior budget requests.

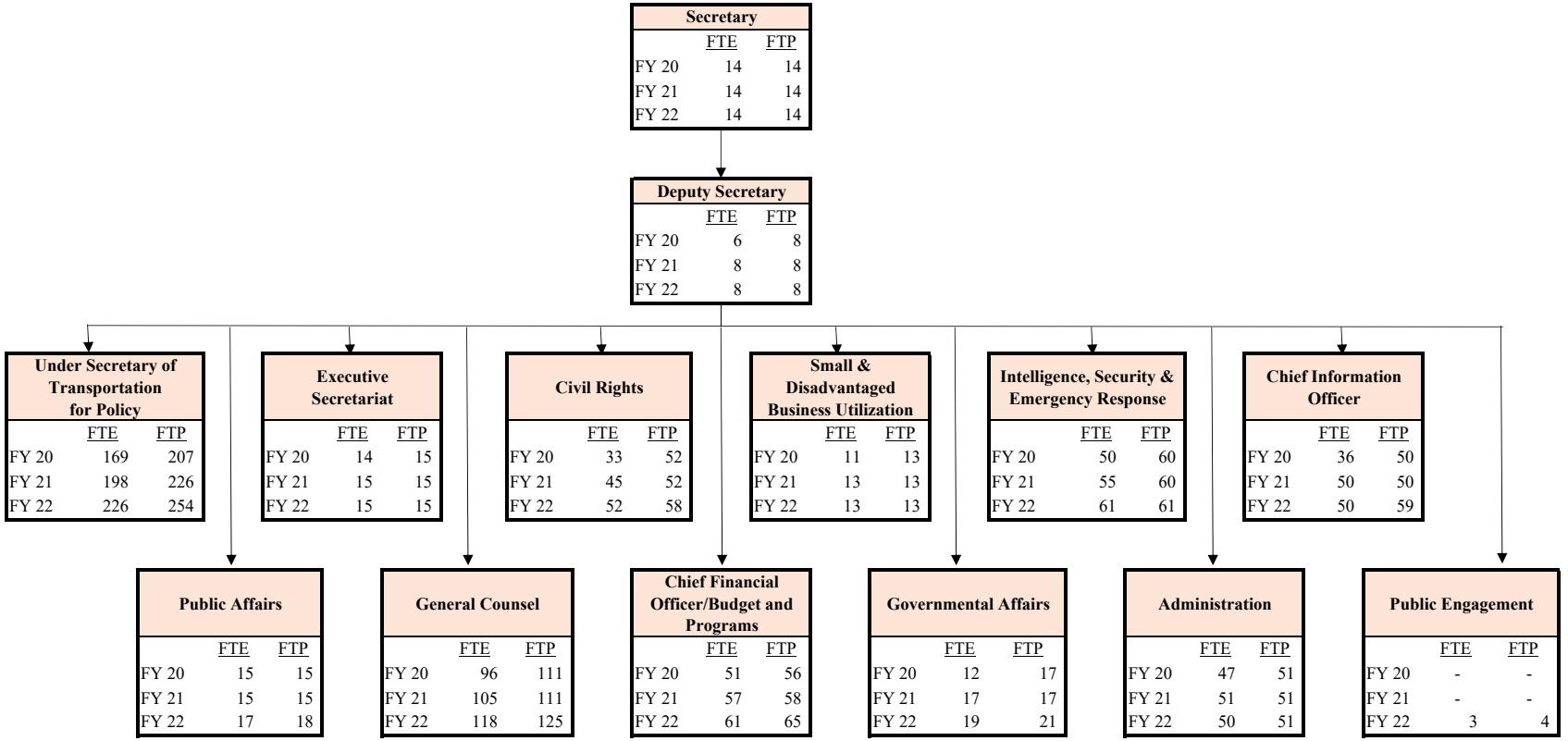
JUSTICE40

Executive Order 14008, issued on January 27, 2021, created a government-wide "Justice40" Initiative with the goal of delivering 40 percent of the overall benefits of relevant federal investments to disadvantaged communities and tracking performance toward the goal through an Environmental Justice Scorecard.

The Justice40 Initiative has the potential to deliver benefits that could include increased access to renewable energy and energy efficiency improvements, public transit, water infrastructure, climate-resilient affordable housing, training and workforce development, reductions in legacy pollution, and equitable and just community development, among others. There are important considerations in the development, implementation, and evaluation of such a wide-reaching and complex initiative. To advance Justice40 goals the Department is considering options in areas such as, but not limited to, incorporating criteria in the Department's discretionary grant programs, developing implementable definitions for "investment benefit" and "disadvantaged communities" as it relates to programmatic activities, public engagement strategies with stakeholders to define and further understand "investment benefits" that can be targeted for disadvantaged and underserved communities, and developing a Department-wide Environmental Justice Scorecard.

In the coming months, the Department will be working to ensure that subsequent programs, targets, and metrics fulfill the ambition of the Justice40 Initiative to deliver meaningful and measurable benefits to disadvantaged and underserved communities.

Exhibit I
U.S. Department of Transportation
Office of the Secretary
Direct Full-Time Equivalents (FTE) / Full-Time Positions (FTP)
FYs 2020, 2021, and 2022



SECTION 2:
BUDGET
SUMMARY TABLES

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EXHIBIT II-1
FY 2022 BUDGET AUTHORITY
OFFICE OF THE SECRETARY OF TRANSPORTATION

($000)

ACCOUNTS	M/D	FY 2020 ACTUAL	FY 2020 CARES ACT	FY 2021 ENACTED	FY 2021 CRRSA ACT	FY 2021 AMERICAN RESCUE PLAN ACT	FY 2022 PRESIDENT'S BUDGET	
APPROPRIATION/OBLIGATION LIMITATION								
SALARIES AND EXPENSES	**D**	**115,490**	**1,753**	**126,174**	**-**	**-**	**143,030**	
FINANCIAL MANAGEMENT CAPITAL	**D**	**2,000**	**-**	**2,000**	**-**	**-**	**5,000**	
OFFICE OF CIVIL RIGHTS	**D**	**9,470**	**-**	**9,600**	**-**	**-**	**12,628**	
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	**D**	**4,646**	**-**	**4,714**	**-**	**-**	**4,977**	
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	**D**	**10,879**	**-**	**9,350**	**-**	**-**	**12,797**	
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT		9,879	-	8,350	-	-	10,797	
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER		1,000	-	1,000	-	-	2,000	
NATIONAL INFRASTRUCTURE INVESTMENTS	**D**	**1,000,000**	**-**	**1,000,000**	**-**	**-**	**1,000,000**	
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**D**	**5,000**	**-**	**5,000**	**-**	**-**	**3,800**	
CYBER SECURITY INITIATIVES	**D**	**15,000**	**-**	**22,000**	**-**	**-**	**39,400**	
RESEARCH AND TECHNOLOGY	**D**	**21,000**	**-**	**22,800**	**-**	**-**	**43,363**	
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	**D**	**162,000**	**-**	**141,724**	**-**	**-**	**247,700**	
TRANSPORTATION DEMONSTRATION PROGRAM	**D**	**-**	**-**	**100,000**	**-**	**-**	**-**	
THRIVING COMMUNITIES	**D**	**-**	**-**	**-**	**-**	**-**	**110,000**	
ELECTRIC VEHICLE FLEET	**D**	**-**	**-**	**-**	**-**	**-**	**11,000**	
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM	**D**	**-**	**-**	**-**	**-**	**3,000,000**	**-**	
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION		**1,345,485**	**1,753**	**1,443,362**	**-**	**3,000,000**	**1,633,695**	
INDEFINITE BUDGET AUTHORITY								
ESSENTIAL AIR SERVICE	**M**	**112,093**	**56,000**	**106,219**	**-**	**-**	**116,419**	
ESSENTIAL AIR SERVICE		112,093	-	82,887 1/	-	-	116,419	1/
COVID-19 EMERGENCY RELIEF		-	56,000	23,332	-	-	-	
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	**D**	**10,000**	**-**	**10,000**	**4,000** 2/	**-**	**-**	2/
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**M**	**300,000**	**-**	**300,000**	**-**	**-**	**300,000**	
TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT PROGRAM		300,000		300,000	-	-	300,000	
SUBTOTAL, TRANSFER		**422,093**	**56,000**	**416,219**	**4,000**	**-**	**416,419**	
REIMBURSABLE								
SALARIES AND EXPENSES	**D**	**10,647**	**-**	**11,406**	**-**	**-**	**14,103**	
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	**D**	**340,000**	**-**	**345,000**	**-**	**-**	**345,000**	3/
WORKING CAPITAL FUND	**D**	**319,793**	**-**	**319,793**	**-**	**-**	**-**	4/
TRANSPORTATION SAFETY INSTITUTE	**D**	**20,000**	**-**	**20,000**	**-**	**-**	**20,000**	3/
SUBTOTAL, REIMBURSABLE		**690,440**	**-**	**696,199**	**-**	**-**	**379,103**	
ALLOCATION								
BUREAU OF TRANSPORTATION STATISTICS	**M**	**26,000**	**-**	**26,000**	**-**	**-**	**26,000**	
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	**M**	**77,500**	**-**	**77,500**	**-**	**-**	**77,500**	
SUBTOTAL, ALLOCATION		**103,500**	**-**	**103,500**	**-**	**-**	**103,500**	
GRAND TOTAL		**2,561,518**	**57,753**	**2,659,280**	**4,000**	**3,000,000**	**2,532,718**	

1/ Estimated Fee Collections.
2/ Pursuant to PL 116-260 FY 2021 Omnibus and COVID Relief and Response Act, Division M, Title IV, (4) Up to $5,000,000 shall be available and transferred to ''Office of the Secretary, Salaries and Expenses'' to carry out the Small Community Air Service Development Program
3/ Estimated Customer Agreements
4/ No limitation is proposed.

EXHIBIT II-2
FY 2022 TOTAL BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT
OFFICE OF THE SECRETARY OF TRANSPORTATION
Appropriations, Obligation Limitations, Exempt Obligations

($000)

ACCOUNTS	M/D	FY 2020 ACTUAL	FY 2020 CARES ACT	FY 2021 ENACTED	FY 2021 CRRSA ACT	FY 2021 AMERICAN RESCUE PLAN ACT	FY 2022 PRESIDENT'S BUDGET	
APPROPRIATION/OBLIGATION LIMITATION								
SALARIES AND EXPENSES	**D**	**115,490**	**1,753**	**126,174**	**-**	**-**	**143,030**	
FINANCIAL MANAGEMENT CAPITAL	**D**	**2,000**	**-**	**2,000**	**-**	**-**	**5,000**	
OFFICE OF CIVIL RIGHTS	**D**	**9,470**	**-**	**9,600**	**-**	**-**	**12,628**	
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	**D**	**4,646**	**-**	**4,714**	**-**	**-**	**4,977**	
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	**D**	**10,879**	**-**	**9,350**	**-**	**-**	**12,797**	
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT		9,879	-	8,350	-	-	10,797	
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER		1,000	-	1,000	-	-	2,000	
NATIONAL INFRASTRUCTURE INVESTMENTS	**D**	**1,000,000**	**-**	**1,000,000**	**-**	**-**	**1,000,000**	
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**D**	**5,000**	**-**	**5,000**	**-**	**-**	**3,800**	
CYBER SECURITY INITIATIVES	**D**	**15,000**	**-**	**22,000**	**-**	**-**	**39,400**	
RESEARCH AND TECHNOLOGY	**D**	**21,000**	**-**	**22,800**	**-**	**-**	**43,363**	
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	**D**	**162,000**	**-**	**141,724**	**-**	**-**	**247,700**	
TRANSPORTATION DEMONSTRATION PROGRAM	**D**	**-**	**-**	**100,000**	**-**	**-**	**-**	
THRIVING COMMUNITIES	**D**	**-**	**-**	**-**	**-**	**-**	**110,000**	
ELECTRIC VEHICLE FLEET	**D**	**-**	**-**	**-**	**-**	**-**	**11,000**	
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM	**D**	**-**	**-**	**-**	**-**	**3,000,000**	**-**	
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION		**1,345,485**	**1,753**	**1,443,362**	**-**	**3,000,000**	**1,633,695**	
INDEFINITE BUDGET AUTHORITY								
ESSENTIAL AIR SERVICE	**M**	**112,093**	**56,000**	**106,219**	**-**	**-**	**116,419**	
ESSENTIAL AIR SERVICE		112,093	-	82,887 1/	-	-	116,419	1/
COVID-19 EMERGENCY RELIEF		-	56,000	23,332	-	-	-	
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	**D**	**10,000**	**-**	**10,000**	**4,000** 2/	**-**	**-**	2/
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**M**	**271,800**	**-**	**266,700**	**-**	**-**	**300,000**	
TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT PROGRAM		271,800	-	266,700	-	-	300,000	
SUBTOTAL, TRANSFER		**393,893**	**56,000**	**382,919**	**4,000**	**-**	**416,419**	
REIMBURSABLE								
SALARIES AND EXPENSES	**D**	**10,647**	**-**	**11,406**	**-**	**-**	**14,103**	
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	**D**	**340,000**	**-**	**345,000**	**-**	**-**	**345,000**	3/
WORKING CAPITAL FUND	**D**	**319,793**	**-**	**319,793**	**-**	**-**	**-**	4/
TRANSPORTATION SAFETY INSTITUTE	**D**	**20,000**	**-**	**20,000**	**-**	**-**	**20,000**	3/
SUBTOTAL, REIMBURSABLE		**690,440**	**-**	**696,199**	**-**	**-**	**379,103**	
ALLOCATION								
BUREAU OF TRANSPORTATION STATISTICS	**M**	**26,000**	**-**	**26,000**	**-**	**-**	**26,000**	
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	**M**	**77,500**	**-**	**77,500**	**-**	**-**	**77,500**	
SUBTOTAL, ALLOCATION		**103,500**	**-**	**103,500**	**-**	**-**	**103,500**	
GRAND TOTAL		**2,533,318**	**57,753**	**2,625,980**	**4,000**	**3,000,000**	**2,532,718**	

1/ Estimated Fee Collections.
2/ Pursuant to PL 116-260 FY 2021 Omnibus and COVID Relief and Response Act, Division M, Title IV, (4) Up to $5,000,000 shall be available and transferred to ''Office of the Secretary, Salaries and Expenses'' to carry out the Small Community Air Service Development Program
3/ Estimated Customer Agreements
4/ No limitation is proposed.

EXHIBIT II - 4
FY 2022 OUTLAYS
OFFICE OF THE SECRETARY OF TRANSPORTATION

($000)

ACCOUNTS	M/D	FY 2020 ACTUAL	FY 2020 CARES ACT	FY 2021 ENACTED	FY 2021 CRRSA ACT	FY 2021 AMERICAN RESCUE PLAN ACT	FY 2022 PRESIDENT'S BUDGET
APPROPRIATION/OBLIGATION LIMITATION							
SALARIES AND EXPENSES	**D**	**109,934**	**-**	**139,449**	**-**	**-**	**147,659**
FINANCIAL MANAGEMENT CAPITAL	**D**	**1,607**	**-**	**2,000**	**-**	**-**	**1,500**
OFFICE OF CIVIL RIGHTS	**D**	**9,002**	**-**	**11,319**	**-**	**-**	**12,009**
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	**D**	**4,709**	**-**	**5,311**	**-**	**-**	**3,850**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	**D**	**(3,795)**	**-**	**11,575**	**-**	**-**	**6,108**
NATIONAL INFRASTRUCTURE INVESTMENTS	**D**	**535,949**	**-**	**1,232,339**	**-**	**-**	**953,352**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU		**75,357**	**-**	**133,000**	**-**	**-**	**289,000**
National Surface Transportation & Innovative Finance Bureau (General Fund)	D	3,357	-	5,000	-	-	5,000
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	D	72,000	-	128,000	-	-	284,000
CYBER SECURITY INITIATIVES	**D**	**14,145**	**-**	**18,693**	**-**	**-**	**26,350**
RESEARCH AND TECHNOLOGY	**D**	**10,199**	**-**	**27,867**	**-**	**-**	**21,213**
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	**D**	**175,879**	**-**	**105,222**	**-**	**-**	**205,490**
TRANSPORTATION DEMONSTRATION PROGRAM	**D**	**-**	**-**	**-**	**-**	**-**	**7,000**
THRIVING COMMUNITIES	**D**	**-**	**-**	**-**	**-**	**-**	**-**
ELECTRIC VEHICLE FLEET	**D**	**-**	**-**	**-**	**-**	**-**	**-**
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM	**D**	**-**	**-**	**1,050,000**	**-**	**-**	**1,950,000**
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION		**932,986**	**-**	**2,736,775**	**-**	**-**	**3,623,531**
INDEFINITE BUDGET AUTHORITY							
ESSENTIAL AIR SERVICE	**M**	**141,506**	**-**	**172,299**	**-**	**-**	**112,369**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU		**120,413**	**-**	**454,000**	**-**	**-**	**-**
TIFIA General Fund Program Account	M	1,000	-	5,000	-	-	-
Railroad Rehabilitation and Improvement Program Account	M	39,000	-	69,000	-	-	-
TIFIA Upward Reestimates (General Fund)	M	80,413	-	380,000	-	-	-
SUBTOTAL, TRANSFER		**261,919**	**-**	**626,299**	**-**	**-**	**112,369**
REIMBURSABLE							
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	**D**	**16**	**-**	**-**	**-**	**-**	**(52)**
WORKING CAPITAL FUND	**D**	**(25,337)**	**-**	**-**	**-**	**-**	**-**
TRANSPORTATION SAFETY INSTITUTE	**D**	**10,653**	**-**	**-**	**-**	**-**	**-**
SUBTOTAL, REIMBURSABLE		**(14,668)**	**-**	**-**	**-**	**-**	**(52)**
GRAND TOTAL		**1,180,237**	**-**	**3,363,074**	**-**	**-**	**3,735,848**

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

($000)

			Baseline Changes										
	FY 2020 Actual	FY 2021 Enacted	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
PERSONNEL RESOURCES													
Direct FTPs	476	478	-	-	-	-	-	-	-	-	478	47	525
Direct FTEs	402	452	-	8	-	-	-	-	-	-	460	26	486
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	79,736.838	82,845.741	208.039	1,625.000	1,663.551	-	-	(2.140)	226.606	-	86,566.797	6,057.881	92,624.678
Travel	1,237.705	1,344.412	-	-	-	-	-	-	-	(0.000)	1,344.412	129.700	1,474.112
Transportation	2.969	2.999	-	-	-	-	-	-	-	0.030	3.029	-	3.029
GSA Rent	10,524.219	10,848.080	-	-	-	-	(2,424.918)	-	-	-	8,423.162	-	8,423.162
Communication & Utilities	0.925	0.853	-	-	-	-	-	-	-	0.009	0.862	-	0.862
Charges-Rental-Furniture	8.831	8.919	-	-	-	-	-	-	-	0.089	9.008	-	9.008
Printing	185.311	137.424	-	-	-	-	-	-	-	1.374	138.798	-	138.798
Working Capital Fund	18,381.940	20,812.667	-	-	-	-	-	2,719.270	-	-	23,531.936	-	23,531.936
Contractual Services	5,236.398	9,977.420	-	-	-	-	-	-	-	96.974	10,074.394	6,530.011	16,604.405
Supplies and Materials	150.469	156.589	-	-	-	-	-	-	-	1.566	158.155	22.767	180.922
Equipment	24.396	39.112	-	-	-	-	-	-	-	0.391	39.503	-	39.503
Administrative Subtotal	**115,490.000**	**126,174.217**	**208.039**	**1,625.000**	**1,663.551**	**-**	**(2,424.918)**	**2,717.129**	**226.606**	**100.433**	**130,290.058**	**12,740.359**	**143,030.417**
PROGRAM EXPENSES													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
TOTAL	**115,490.000**	**126,174.217**	**208.039**	**1,625.000**	**1,663.551**	**-**	**(2,424.918)**	**2,717.129**	**226.606**	**100.433**	**130,290.058**	**12,740.359**	**143,030.417**

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)

			Baseline Changes										
	FY 2020 Actual	FY 2021 Enacted	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
PERSONNEL RESOURCES													
Direct FTPs	-	-	-	-	-	-	-	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	-	-
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
PROGRAM EXPENSES													
Financial Management Capital	2,000.000	2,000.000	-	-	-	-	-	-	-	-	2,000.000	3,000.000	5,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**2,000.000**	**2,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**2,000.000**	**3,000.000**	**5,000.000**
TOTAL	**2,000.000**	**2,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**2,000.000**	**3,000.000**	**5,000.000**

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)

			Baseline Changes										
	FY 2020 Actual	FY 2021 Enacted	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
PERSONNEL RESOURCES													
Direct FTPs	52	52	-	-	-	-	-	-	-	-	52	6	58
Direct FTEs	33	45	-	4	-	-	-	-	-	-	49	3	52
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	7,202.197	7,436.324	18.749	700.000	149.937	-	-	(0.037)	20.481	-	8,325.454	747.652	9,073.106
Travel	49.751	50.249	-	-	-	-	-	-	-	-	50.249	-	50.249
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	30.207	30.509	-	-	-	-	-	-	-	0.305	30.814	-	30.814
Printing	11.149	11.260	-	-	-	-	-	-	-	0.113	11.373	-	11.373
Working Capital Fund	1,041.038	1,252.200	-	-	-	-	-	0.764	-	-	1,252.964	-	1,252.964
Contractual Services	1,083.096	766.370	-	-	-	-	-	-	-	7.664	774.034	1,381.841	2,155.875
Supplies and Materials	52.562	53.088	-	-	-	-	-	-	-	0.531	53.619	-	53.619
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**9,470.000**	**9,600.000**	**18.749**	**700.000**	**149.937**	**-**	**-**	**0.727**	**20.481**	**8.612**	**10,498.507**	**2,129.493**	**12,628.000**
PROGRAM EXPENSES													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
TOTAL	**9,470.000**	**9,600.000**	**18.749**	**700.000**	**149.937**	**-**	**-**	**0.727**	**20.481**	**8.612**	**10,498.507**	**2,129.493**	**12,628.000**

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)

			Baseline Changes										
	FY 2020 Actual	FY 2021 Enacted	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
PERSONNEL RESOURCES													
Direct FTPs	13	13	-	-	-	-	-	-	-	-	13	-	13
Direct FTEs	11	13	-	-	-	-	-	-	-	-	13	-	13
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	1,619.788	1,711.494	4.310	-	34.468	-	-	(0.031)	4.555	-	1,754.797	-	1,754.797
Travel	19.580	19.776	-	-	-	-	-	-	-	-	19.776	-	19.776
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	0.529	0.534	-	-	-	-	-	-	-	0.005	0.539	-	0.539
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	3.328	3.361	-	-	-	-	-	-	-	0.034	3.395	-	3.395
Working Capital Fund	324.301	302.539	-	-	-	-	-	0.520	-	-	303.059	-	303.059
Contractual Services	867.926	865.523	-	-	-	-	-	-	-	8.135	873.659	210.777	610.566
Supplies and Materials	22.393	22.617	-	-	-	-	-	-	-	0.226	22.844	-	22.844
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**2,857.845**	**2,925.845**	**4.310**	**-**	**34.468**	**-**	**-**	**0.489**	**4.555**	**8.400**	**2,978.068**	**210.777**	**2,714.975**
PROGRAM EXPENSES													
Cooperative Agreements	1,788.155	1,788.155	-	-	-	-	-	-	-	-	1,788.155	-	2,262.025
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**1,788.155**	**1,788.155**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,788.155**	**-**	**2,262.025**
TOTAL	**4,646.000**	**4,714.000**	**4.310**	**-**	**34.468**	**-**	**-**	**0.489**	**4.555**	**8.400**	**4,766.223**	**210.777**	**4,977.000**

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)

			Baseline Changes										
	FY 2020 Actual	FY 2021 Enacted	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
PERSONNEL RESOURCES													
Direct FTPs	37	40	-	-	-	-	-	-	-	-	40	4	44
Direct FTEs	35	39	-	1	-	-	-	-	-	-	40	2	42
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	6,387.252	7,958.015	20.193	225.000	161.494	-	-	0.821	2.760	5.134	8,373.418	451.321	8,824.739
Travel	173.506	175.241	-	-	-	-	-	-	-	-	175.241	-	175.241
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	874.608	964.659	-	-	-	-	-	34.144	-	-	998.803	-	998.803
Contractual Services	1,418.644	226.844	-	-	-	-	-	-	-	2.268	229.112	2,543.611	2,772.723
Supplies and Materials	24.990	25.241	-	-	-	-	-	-	-	0.252	25.493	-	25.493
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**8,879.000**	**9,350.000**	**20.193**	**225.000**	**161.494**	**-**	**-**	**34.965**	**2.760**	**7.655**	**9,802.068**	**2,994.932**	**12,797.000**
PROGRAM EXPENSES													
Non-Traditional and Emerging Transportation Technology (NETT) Council	2,000.000	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**2,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
TOTAL	**10,879.000**	**9,350.000**	**20.193**	**225.000**	**161.494**	**-**	**-**	**34.965**	**2.760**	**7.655**	**9,802.068**	**2,994.932**	**12,797.000**

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

NATIONAL INFRASTRUCTURE INVESTMENTS

($000)

			Baseline Changes										
	FY 2020 Actual	FY 2021 Enacted	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
PERSONNEL RESOURCES													
Direct FTPs	7	7	-	-	-	-	-	-	-	-	7	-	7
Direct FTEs	4	7	-	-	-	-	-	-	-	-	7	-	7
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	6,719.966	6,042.548	15.625	-	124.960	-	-	(0.825)	6.369	-	6,188.677	-	6,188.677
Travel	808.000	808.000	-	-	-	-	-	-	-	-	808.000	-	808.000
Transportation	0.404	0.408	-	-	-	-	-	-	-	0.004	0.412	-	0.412
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	10.605	10.711	-	-	-	-	-	-	-	0.107	10.818	-	10.818
Working Capital Fund	135.778	197.002	-	-	-	-	-	599.327	-	-	796.329	-	796.329
Contractual Services	17,304.037	12,919.909	-	-	-	-	-	-	-	(745.781)	12,174.128	-	12,174.128
Supplies and Materials	21.210	21.422	-	-	-	-	-	-	-	0.214	21.636	-	21.636
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**25,000.000**	**20,000.000**	**15.625**	**-**	**124.960**	**-**	**-**	**598.501**	**6.369**	**(745.456)**	**20,000.000**	**-**	**20,000.000**
PROGRAM EXPENSES													
NII Infrastructure Grants	975,000.000	980,000.000	-	-	-	-	-	-	-	-	980,000.000		980,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**975,000.000**	**980,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**980,000.000**	**-**	**980,000.000**
TOTAL	**1,000,000.000**	**1,000,000.000**	**15.625**	**-**	**124.960**	**-**	**-**	**598.501**	**6.369**	**(745.456)**	**1,000,000.000**	**-**	**1,000,000.000**

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 AND INNOVATIVE FINANCE BUREAU

($000)

			Baseline Changes										
	FY 2020 Actual	FY 2021 Enacted	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
PERSONNEL RESOURCES													
Direct FTPs	16	16	-	-	-	-	-	-	-	-	16	-	16
Direct FTEs	13	16	-	-	-	-	-	-	-	-	16	-	16
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	2,825.708	2,707.317	6.841	-	54.707	-	-	39.365	8.195	-	2,816.424	(51.830)	2,764.594
Travel	75.000	75.000	-	-	-	-	-	-	-	-	75.000	-	75.000
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	213.673	590.173	-	-	-	-	-	369.574	-	-	959.747	-	959.747
Contractual Services	1,875.719	1,617.511	-	-	-	-	-	-	-	16.175	1,633.686	(1,633.686)	0.000
Supplies and Materials	9.900	9.999	-	-	-	-	-	-	-	0.100	10.099	(9.440)	0.659
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**5,000.000**	**5,000.000**	**6.841**	**-**	**54.707**	**-**	**-**	**408.939**	**8.195**	**16.275**	**5,494.956**	**(1,694.956)**	**3,800.000**
PROGRAM EXPENSES													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
TOTAL	**5,000.000**	**5,000.000**	**6.841**	**-**	**54.707**	**-**	**-**	**408.939**	**8.195**	**16.275**	**5,494.956**	**(1,694.956)**	**3,800.000**

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)

			Baseline Changes										
	FY 2020 Actual	FY 2021 Enacted	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
PERSONNEL RESOURCES													
Direct FTPs	-	-	-	-	-	-	-	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	2,735.714	2,735.714	-	-	-	-	-	-	-	-	2,735.714	-	2,735.714
Contractual Services	7,219.286	7,129.956	-	-	-	-	-	-	-	71.300	7,201.256	17,207.357	24,408.613
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	5,045.000	12,134.330	-	-	-	-	-	-	-	121.343	12,255.673	-	12,255.673
Administrative Subtotal	**15,000.000**	**22,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**192.643**	**22,192.643**	**17,207.357**	**39,400.000**
PROGRAM EXPENSES													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
TOTAL	**15,000.000**	**22,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**192.643**	**22,192.643**	**17,207.357**	**39,400.000**

EXHIBIT II-5

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

RESEARCH AND TECHNOLOGY

($000)

			Baseline Changes										
	FY 2020 Actual	FY 2021 Enacted	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
PERSONNEL RESOURCES													
Direct FTPs	20	36	-	-	-	-	-	-	-	-	36	12	48
Direct FTEs	19	29	-	3	-	-	-	-	-	-	32	6	38
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	3,267.033	3,945.573	9.792	600.000	78.303	-	-	1.554	10.268	-	4,645.490	1,224.847	5,870.337
Travel	68.112	95.000	-	-	-	-	-	-	-	-	95.000	-	95.000
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	200.000	202.000	-	-	-	-	-	-	-	-	202.000	-	202.000
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	1.020	1.020	-	-	-	-	-	-	-	0.010	1.030	-	1.030
Working Capital Fund	951.000	1,022.330	-	-	-	-	-	394.454	-	-	1,416.784	-	1,416.784
Contractual Services	2,178.834	931.917	-	-	-	-	-	-	-	9.319	941.236	0.281	941.517
Supplies and Materials	15.000	15.150	-	-	-	-	-	-	-	0.152	15.302	-	15.302
Equipment	101.000	102.010	-	-	-	-	-	-	-	1.020	103.030	-	103.030
Administrative Subtotal	**6,782.000**	**6,315.000**	**9.792**	**600.000**	**78.303**	**-**	**-**	**396.008**	**10.268**	**10.501**	**7,419.872**	**1,225.128**	**8,645.000**
PROGRAM EXPENSES													
Research and Technology Programs	2,218.000	11,485.000									11,485.000	(7,267.000)	4,218.000
Emergency Planning Transportation Data Initiative	1,000.000	1,000.000	-	-	-	-	-	-	-	-	1,000.000	(1,000.000)	-
Transportation Resiliency Study	1,000.000	1,000.000	-	-	-	-	-	-	-	-	1,000.000	(1,000.000)	-
Highly Automated Systems Safety Center Of Excellence	5,000.000	3,000.000	-	-	-	-	-	-	-	-	3,000.000	2,000.000	5,000.000
UTC Congestion & Infrastructure Research Grants	5,000.000	-	-	-	-	-	-	-	-	-	-	-	-
Implementation of Recommendations from the GPS Backup and Complementary PNT Demonstration Report	-	-	-	-	-	-	-	-	-	-	-	10,000.000	10,000.000
Equity Data and Analysis Sharing Platform	-	-	-	-	-	-	-	-	-	-	-	3,500.000	3,500.000
Climate Change Innovation	-	-	-	-	-	-	-	-	-	-	-	5,000.000	5,000.000
EO 13905 Implementation and Signal Authentication	-	-	-	-	-	-	-	-	-	-	-	3,500.000	3,500.000
GNSS Interference Detection Capability	-	-	-	-	-	-	-	-	-	-	-	3,500.000	3,500.000
Program Subtotal	**14,218.000**	**16,485.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**16,485.000**	**18,233.000**	**34,718.000**
TOTAL	**21,000.000**	**22,800.000**	**9.792**	**600.000**	**78.303**	**-**	**-**	**396.008**	**10.268**	**10.501**	**23,904.872**	**19,458.128**	**43,363.000**

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 (AIRPORT AND AIRWAY TRUST FUND)

($000)

			Baseline Changes										
	FY 2020 Actual	FY 2021 Enacted	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
PERSONNEL RESOURCES													
Direct FTPs	-	-	-	-	-	-	-	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	-	-
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
PROGRAM EXPENSES													
Essential Air Service	162,000.000	141,724.000	-	-	-	-	-	-	-	-	141,724.000	105,976.000	247,700.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**162,000.000**	**141,724.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**141,724.000**	**105,976.000**	**247,700.000**
TOTAL	**162,000.000**	**141,724.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**141,724.000**	**105,976.000**	**247,700.000**

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

TRANSPORTATION DEMONSTRATION PROGRAM

($000)

			Baseline Changes										
	FY 2020 Actual	FY 2021 Enacted	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
PERSONNEL RESOURCES													
Direct FTPs	-	-	-	-	-	-	-	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	-	-
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
PROGRAM EXPENSES													
Transportation Demonstration Program	-	100,000.000	-	-	-	-	-	-	-	-	100,000.000	(100,000.000)	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**100,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**100,000.000**	**(100,000.000)**	**-**
TOTAL	**-**	**100,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**100,000.000**	**(100,000.000)**	**-**

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

THRIVING COMMUNITIES

($000)

			Baseline Changes										
	FY 2020 Actual	FY 2021 Enacted	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
PERSONNEL RESOURCES													
Direct FTPs	-	-	-	-	-	-	-	-	-	-	-	5	5
Direct FTEs	-	-	-	-	-	-	-	-	-	-	-	3	3
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	625.000	625.000
Travel	-	-	-	-	-	-	-	-	-	-	-	200.000	200.000
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	9,150.000	9,150.000
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	25.000	25.000
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**10,000.000**	**10,000.000**
PROGRAM EXPENSES													
Thriving Communities	-	-	-	-	-	-	-	-	-	-	-	100,000.000	100,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**100,000.000**	**100,000.000**
TOTAL	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**110,000.000**	**110,000.000**

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

ELECTRIC VEHICLE FLEET

($000)

	FY 2020 Actual	FY 2021 Enacted	Baseline Changes								FY 2022 Baseline Estimate	Program Increases or Decreases	FY 2022 President's Budget
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2022 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
Direct FTPs	-	-	-	-	-	-	-	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	-	-
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
PROGRAM EXPENSES													
Electric Vehicle Fleet	-	-	-	-	-	-	-	-	-	-	-	11,000.000	11,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**11,000.000**	**11,000.000**
TOTAL	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**11,000.000**	**11,000.000**

EXHIBIT II - 6
WORKING CAPITAL FUND
OFFICE OF THE SECRETARY OF TRANSPORTATION

($000)

ACCOUNTS	M/D	FY 2020 ACTUAL	FY 2021 ENACTED	FY 2022 PRESIDENT'S BUDGET
APPROPRIATION/OBLIGATION LIMITATION				
SALARIES AND EXPENSES	**D**	**18,719**	**22,884**	**27,600**
FINANCIAL MANAGEMENT CAPITAL	**D**	**-**	**-**	**-**
OFFICE OF CIVIL RIGHTS	**D**	**1,077**	**1,277**	**1,279**
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	**D**	**337**	**315**	**315**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	**D**	**899**	**993**	**1,028**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT		668	849	851
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER		231	144	177
NATIONAL INFRASTRUCTURE INVESTMENTS	**D**	**144**	**204**	**803**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU		**214**	**590**	**999**
RESEARCH AND TECHNOLOGY	**D**	**971**	**1,042**	**1,438**
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	**D**	**-**	**-**	**-**
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION		**22,361**	**27,305**	**33,463**
INDEFINITE BUDGET AUTHORITY				
ESSENTIAL AIR SERVICE	**M**	**281**	**354**	**557**
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	**M**	**98**	**98**	**-**
SUBTOTAL, TRANSFER		**379**	**452**	**557**
REIMBURSABLE				
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	**D**	**15,634**	**15,501**	**15,512**
WORKING CAPITAL FUND	**D**	**-**	**-**	**-**
TRANSPORTATION SAFETY INSTITUTE	**D**	**254**	**131**	**157**
SUBTOTAL, REIMBURSABLE		**15,888**	**15,632**	**15,669**
ALLOCATION				
BUREAU OF TRANSPORTATION STATISTICS	**M**	**5,019**	**5,477**	**5,797**
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	**M**	**191**	**170**	**170**
SUBTOTAL, ALLOCATION		**5,210**	**5,647**	**5,967**
GRAND TOTAL		**43,838**	**49,036**	**55,656**

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

ACCOUNTS	FY 2020 ACTUAL	FY 2021 ENACTED	FY 2022 PRESIDENT'S BUDGET
APPROPRIATION/OBLIGATION LIMITATION			
SALARIES AND EXPENSES	**402**	**452**	**486**
FINANCIAL MANAGEMENT CAPITAL	-	-	-
OFFICE OF CIVIL RIGHTS	**33**	**45**	**52**
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	**11**	**13**	**13**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	**35**	**39**	**42**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	28	32	35
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER	7	7	7
NATIONAL INFRASTRUCTURE INVESTMENTS	**4**	**7**	**7**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**13**	**16**	**16**
CYBER SECURITY INITIATIVES	-	-	-
RESEARCH AND TECHNOLOGY	**19**	**29**	**38**
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	-	-	-
TRANSPORTATION DEMONSTRATION PROGRAM	-	-	-
THRIVING COMMUNITIES	-	-	**3**
ELECTRIC VEHICLE FLEET	-	-	-
CARES ACT	-	-	-
ESSENTIAL AIR SERVICE	-	-	-
SALARIES AND EXPENSES	-	-	-
CRRSA ACT	-	-	-
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	-	-	-
AMERICAN RESCUE PLAN ACT	-	-	-
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM	-	-	-
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	**517**	**601**	**657**
INDEFINITE BUDGET AUTHORITY			
ESSENTIAL AIR SERVICE	**13**	**14**	**14**
ESSENTIAL AIR SERVICE	**13**	**14**	**14**
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	**5**	**5**	**5**
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	**5**	**5**	**5**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**19**	**23**	**31**
TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT PROGRAM	19	23	31
SUBTOTAL, TRANSFER	**37**	**42**	**50**
REIMBURSABLE			
SALARIES AND EXPENSES	**26**	**30**	**31**
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	**519**	**570**	**570**
WORKING CAPITAL FUND	**243**	**291**	**292**
TRANSPORTATION SAFETY INSTITUTE	**29**	**30**	**32**
SUBTOTAL, REIMBURSABLE	**817**	**921**	**925**
ALLOCATION			
BUREAU OF TRANSPORTATION STATISTICS (ALLOCATION)	**48**	**55**	**55**
BUREAU OF TRANSPORTATION STATISTICS (REIMBURSABLE)	**13**	**20**	**20**
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	**5**	**5**	**5**
SUBTOTAL, ALLOCATION	**66**	**80**	**80**
GRAND TOTAL	**1,437**	**1,644**	**1,712**

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

ACCOUNTS	FY 2020 ACTUAL	FY 2021 ENACTED	FY 2022 PRESIDENT'S BUDGET
APPROPRIATION/OBLIGATION LIMITATION			
SALARIES AND EXPENSES	**476**	**478**	**525**
FINANCIAL MANAGEMENT CAPITAL	**-**	**-**	**-**
OFFICE OF CIVIL RIGHTS	**52**	**52**	**58**
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	**13**	**13**	**13**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	**37**	**40**	**44**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	30	33	37
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER	7	7	7
NATIONAL INFRASTRUCTURE INVESTMENTS	**7**	**7**	**7**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**16**	**16**	**16**
CYBER SECURITY INITIATIVES	**-**	**-**	**-**
RESEARCH AND TECHNOLOGY	**20**	**36**	**48**
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	**-**	**-**	**-**
TRANSPORTATION DEMONSTRATION PROGRAM	**-**	**-**	**-**
THRIVING COMMUNITIES	**-**	**-**	**5**
ELECTRIC VEHICLE FLEET	**-**	**-**	**-**
CARES ACT	**-**	**-**	**-**
ESSENTIAL AIR SERVICE	-	-	-
SALARIES AND EXPENSES	-	-	-
CRRSA ACT	**-**	**-**	**-**
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	-	-	-
AMERICAN RESCUE PLAN ACT	**-**	**-**	**-**
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM	-	-	-
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	**621**	**642**	**716**
INDEFINITE BUDGET AUTHORITY			
ESSENTIAL AIR SERVICE	**14**	**14**	**14**
ESSENTIAL AIR SERVICE	**14**	**14**	**14**
CARES ACT	-	-	-
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	**6**	**6**	**5**
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	**6**	**6**	**5**
CRRSA ACT	-	-	-
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**28**	**28**	**31**
TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT PROGRAM	28	28	31
SUBTOTAL, TRANSFER	**48**	**48**	**50**
REIMBURSABLE			
SALARIES AND EXPENSES	**32**	**32**	**33**
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	**633**	**633**	**633**
WORKING CAPITAL FUND	**297**	**297**	**299**
TRANSPORTATION SAFETY INSTITUTE	**35**	**35**	**35**
SUBTOTAL, REIMBURSABLE	**997**	**997**	**1,000**
ALLOCATION			
BUREAU OF TRANSPORTATION STATISTICS (ALLOCATION)	**55**	**60**	**65**
BUREAU OF TRANSPORTATION STATISTICS (REIMBURSABLE)	**20**	**20**	**20**
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	**5**	**5**	**5**
SUBTOTAL, ALLOCATION	**80**	**85**	**90**
GRAND TOTAL	**1,746**	**1,772**	**1,856**

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SECTION 3: BUDGET REQUESTS BY ACCOUNT

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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. 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 on Credit and Finance to record the decisions and actions of each meeting.

Sec. 102 Explanation
Section 103 retains the provision in Public Law 116-260 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.

Sec. 103. In addition to authority provided by section 327 of title 49, United States Code, the Department's Working Capital Fund is 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 SAFETEA-LU (5 U.S.C. 7905 note): 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 1 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. 103 Explanation
Section 103 retains the provision in Public Law 116-260 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 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. 104. Receipts collected in the Administrative Working Capital Fund, as authorized by section 327 of title 49, United States Code, for unused *transit and* van pool benefits, in an amount not to exceed 10 percent of fiscal year 2021 collections, shall be available until expended in the Department's Working Capital Fund to provide contractual services in support of section 199A of this Act: Provided, That obligation in fiscal year [2021] 2022 of such collections shall not exceed $1,000,000.

Sec. 104 Explanation

Section 104 retains the retains the 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. 105. The remaining unobligated balances, as of September 30, 2021, from amounts made available for the ''Department of Transportation—Office of the Secretary—National Infrastructure Investments'' in division G of the Consolidated Appropriations Act, 2019 (Public Law 116–6) are hereby permanently rescinded, and an amount of additional new budget authority equivalent to the amount rescinded is hereby appropriated on September 30, 2021, to remain available until September 30, 2022, and shall be available, without additional competition, for completing the funding of awards made pursuant to the fiscal year 2019 national infrastructure investments program.]

Sec. 105 Deletion Explanation
Section 105 is proposed for deletion because the provision was enacted in the FY 2021 appropriations act and it is no longer required for FY 2022.

Sec. [106]105. None of the funds in this Act may be obligated or expended for retention or senior executive bonuses for an employee of the Department of Transportation without the prior written approval of the Assistant Secretary for Administration.

Sec. 105 Explanation
Section 105106 retains the provision that prohibits the obligation or expense for retention or senior executive bonuses without prior written approval of the Assistant Secretary for Administration.

SEC. [107]106. 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. 106 Explanation
Section 107 retains the 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. Section 106 retains the 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 Share Services consolidation of IT throughout the department regardless of the age of assets being transferred into the WCF.

SEC. [108]107. None of the funds provided in this Act to the Department of Transportation may be used to provide credit assistance unless not less than 3 days before any application approval to provide credit assistance under sections 603 and 604 of title 23, United States Code, the Secretary provides notification in writing to the following committees: the House and Senate Committees on Appropriations; the Committee on Environment and Public Works and the Committee on Banking, Housing and Urban Affairs of the Senate; and the Committee on Transportation and Infrastructure of the House of Representatives: *Provided*, That such notification shall include, but not be limited to, the name of the project sponsor; a description of the project; whether credit assistance will be provided as a direct loan, loan guarantee, or line of credit; and the amount of credit assistance.

Sec. 107 Explanation
Section 107 retains the provision that the Secretary will provide written notification to Congress on the intent to approve an application for credit assistance no less than three days before the application is approved.

SEC. 108*. Section 312 of title 49, United States Code, is repealed.*

Sec. 108 Explanation
Section 108 is a new provision that repeals the National Timing Resilience and Security Act (NTRSA) which was enacted as Section 514 of the Frank LoBiondo Coast Guard Authorization Act of 2018 (P.L. 115-282) and codified in 49 U.S.C. Section 312 – Alternative Timing System. NTRSA directs DOT to establish certain technology services related to Global Positioning System (GPS) resilience in a manner that runs counter to national interests as well as more recently established Administration policy. Informed by recent federal analyses, reports, and technology demonstrations, DOT finds that: 1) no single solution for the provision of back-up or complementary positioning, navigation and/or timing (PNT) services can meet the diversity of critical infrastructure application requirements, and 2) it would be inefficient, anti-competitive, and potentially harmful to

the existing market for back-up/complementary PNT services for the Federal Government to procure or otherwise fund a specific solution for non-federal users. Rather than building or otherwise procuring a new system, DOT in partnership with the Department of Homeland Security is better positioned to enable and encourage the owners and operators of critical infrastructure to be responsible users of PNT. Therefore, under the Office of the Assistant Secretary for Research and Technology (OST-R), DOT proposes to repeal NTRSA and also requests $17 million in investments intended to support a more resilient civil GPS and to enable more responsible PNT usage.

GENERAL PROVISIONS—DEPARTMENT OF TRANSPORTATION

SEC. 190.
(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 sections 5901 and 5902 of title 5, United States Code

(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 missions of the Department of Transportation or an operating administration of the Department of Transportation.

(c) Any unmanned aircraft system purchased, procured, or contracted for by the Department prior to the date of 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. 190 Explanation
Section 190 retains the provision in Public Law 116-260 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. 191. 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. 191 Explanation
Section 191 retains the provision in Public Law 116-260 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. 192. (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. 192 Explanation
Section 192 retains the provision in Public Law 116-260 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. 193. None of the funds made available by 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. 193 Explanation
Section 193 retains the provision limiting the number of political appointees that may be employed by the Department at any given time.

SEC. 194. 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. 194 Explanation
Section 194 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. 195. (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 full business days 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: *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 full business days 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. 195 Explanation
Section 195 retains the provision which 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.

SEC. 196. 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. 196 Explanation
Section 196 retains the provision in Public Law 116-260 that allows funds received from rebates, refunds, and similar sources to be credited to appropriations of the Department of Transportation.

SEC. 197. Amounts made available by this Act 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 by 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 *Payment Integrity Information Act of 2019 (Public Law 116–117)* [Improper Payments Information Act of 2002 (Public Law 107–300), as amended by the Improper Payments Elimination and Recovery Act of 2010 (Public Law 111–204) and Improper Payments Elimination and Recovery Improvement Act of 2012 (Public Law 112–248), and Fraud Reduction and Data Analytics Act of 2015 (Public Law 114–186):] *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 *the amounts to* an appropriate account *as offsetting collections* [, which] *and the amounts* shall be available for the purposes and period associated with the account so credited; *Provided further, that amounts credited to programs under this subparagraph (A) shall not be subject to any limitation on obligations in this or any other Act;* 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 *payment* [payments]" has the same meaning as that provided in section *3351(4)*[2(e)(2)]of *title 31, United States Code.* [the Improper Payments Elimination and Recovery Act of 2010 (Public Law 111–204).]

Sec. 197 Explanation
Section 197 this proposed change to the provision on improper payment recoveries is to incorporate the recent Payment Integrity Information Act of 2019 and clarify the impact of credited funds on established obligation limitations.

SEC. 198. Notwithstanding any other provision of law, if any funds provided by 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 such reprogramming notice shall be provided solely to the House and Senate Committees on Appropriations, and such 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 after the date on which the reprogramming action has been approved or denied by the House and Senate Committees on Appropriations.

Sec. 198 Explanation
Section 198 retains the provision in Public Law 116-260 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. 199. 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. 199 Explanation
Section 199 retains the provision in Public Law 116-260 that allows 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. [199A] ***200***. 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. 200 Explanation
Section 189 retains the provision in Public Law 116-260 that explicitly designates the Department of Transportation as the Government-wide executive agency for the Federal transportation transit benefit program.

SEC. [199B] ***201***. 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. 201 Explanation
Section 199B retains the provision to allow for local hiring for projects carried out through FHWA and FTA grant awards.

SEC. [**199C**] ***202***. 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. 202 Explanation
Section Sec. 199C retains the provision in Public Law 116-94 that would continue coordination with DHS on cybersecurity procurements.

[**SEC. 199D**. None of the funds made available by this Act to the Department of Transportation may be used in contravention of section 306108 of title 54, United States Code.]

Sec. 199D Deletion Explanation
Section 199D would turn any violation of 54 U.S.C. 306108 into an Antideficiency Act violation, DOT requests removal consistent with prior years as this would be redundant with current law requirements.

SEC. 203. *Section 7202(a) of Public Law 117-2 is amended by striking "for which 1 percent of the funds may be used for implementation costs and administrative expenses" and inserting "for which 3 percent of the funds may be used for implementation costs and administrative expenses"*

Sec. 203 Explanation
Section Sec. 203 is a new provision that would amend the Aviation Manufacturing Jobs Protection program, established in the American Rescue Plan Act of 2021, to allow for up to three percent of administrative funds to be used to implement this new program.

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 116-260 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 116-260 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 116-260 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 in 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 116-260 is proposed for deletion because agencies subject to this Act are already subject to government-wide guidelines for conducting training of employees.

SEC 404. 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 **[**2021**]** *2022*, 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 *in an appropriations law* [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] *notice is transmitted to* 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 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. 404 Explanation

Section 405 in Public Law 116-260 retains continues Congressional reprogramming guidelines. Sec. 405 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. 405. Except as otherwise specifically provided by law, not to exceed 50 percent of unobligated balances remaining available at the end of fiscal year **[**2021**]** *2022* from appropriations made available for salaries and expenses for fiscal year **[**2021**]** *2022* in this Act, shall remain available through September 30, **[**2022**]** *2023*, 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 of this Act.

Sec. 405 Explanation

Section 405 in Public Law 116-260 continues the provision providing that 50 percent of unobligated balances of appropriations made available for salaries and expenses are available for certain purposes.

SEC. 406. 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. 406 Explanation

Section 406 in Public Law 116-260 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 116-260 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 116-260 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 the THUD appropriations bill differently than the rest of the Federal employees covered by USERRA.
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SEC. 407. 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. 407 Explanation
Section 410 in Public Law 116-260 continues the prohibition of the availability of funds to any person or entity that does not comply with the Buy American Act.

SEC. 408. 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. 408 Explanation
Section 411 in Public Law 116-260 continue the prohibition of the availability of funds to any person or entity that has been convicted of violating the Buy American Act.

SEC. 409. 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. 409 Explanation
Section 412 of Public Law 116-260 continues the prohibition of 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 116-260 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 Deletion Explanation
Section 414, which prohibits more than 50 people from attending an international conference unless a report is provided at least 5 days in advance, is proposed for deletion as it potentially may restrict the ability of the agency to attend diplomatic conferences.

[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 116-260 is proposed for deletion because it is specific to the Surface Transportation Board

SEC 410. (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. 410 Explanation
Section 410 retains the provision prohibiting expenditures to maintain or establish computer networks unless those networks block pornography.

SEC. 411 (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. 411 Explanation
Section 411 retains the protections and requirements for Inspector General activity.

SEC 412. 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. 412 Explanation
Sec. 412 retains the provision prohibiting awards or incentive fees for contractors who fail to meet certain performance standards.

[SEC. [421 In addition to funds provided to the "Payments to Air Carriers" program in Public Law 116–94, Public Law 116–136, and this Act to carry out the essential air service program under section 41731 through 41742 of title 49, United States Code, $23,332,000 to be derived from the Treasury, and to be made available to the Essential Air Service and Rural Improvement Fund, to prevent, prepare for, and respond to coronavirus, including to offset the loss resulting from the coronavirus pandemic of the mandatory overflight fees collected pursuant to section 45301 of title 49, United States Code: Provided, That, notwithstanding section 41733 of title 49, United States Code, for each of fiscal years 2020 and 2021, the requirements established under subparagraphs (B) and (C) of section 41731(a)(1) of title 49, United States Code, and the subsidy cap established by section 332 of the Department of Transportation and Related Agencies Appropriations Act, 2000, shall not apply to maintain eligibility under section 417831 of title 49, United States Code: Provided further, That such amount is designated by the Congress as being for an emergency requirement pursuant to section 251(b)(2)(A)(i) of the Balanced Budget and Emergency Deficit Control Act of 1985.]

Sec. 421 Deletion Explanation
Section 421 of Public Law 116-260 is proposed for deletion because this was a one-time increase to support reduced EAS fee revenue during COVID-19.

[**SEC. 422**. Section 47114(c)(1) of title 49, United States Code, is amended by adding at the end the following: "(J) SPECIAL RULE FOR FISCAL YEARS 2022 AND 2023.—Notwithstanding subparagraph (A) and the absence of scheduled passenger aircraft service at an airport, the Secretary shall apportion in fiscal years 2022 and 2023 to the sponsor of the airport an amount based on the number of passenger boardings at the airport during whichever of the following years that would result in the highest apportioned amount: "(i) Calendar year 2018. "(ii) Calendar year 2019. "(iii) The prior full calendar year prior to the current fiscal year.".]

Sec. 422 Deletion Explanation
Section 422 of Public Law 116-260 is proposed for deletion because this was a one-time, but permanent, amendment to the authorizing statute.

[**SEC. 423**. Notwithstanding section 47124(d)(1)(B) of title 49, United States Code, the Secretary of Transportation shall not calculate a benefit-to-cost ratio with respect to an air traffic control tower participating in the Contract Tower Program on the basis of an annual aircraft traffic decrease in fiscal years 2020 and 2021.]

Sec. 423 Deletion Explanation
Section 423 of Public Law 116-260 is determined to be no longer needed based on projected aircraft traffic.

APPROPRIATION/ OBLIGATION LIMITATION ACCOUNTS

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	79,737	-	82,846	-	-	92,663
Travel	1,238	-	1,344	-	-	1,474
Other Costs	34,515	-	41,984	-	-	48,893
Programs	-	1,753	-	-	-	-
TOTAL	115,490	1,753	126,174	-	-	143,030
STAFFING						
Direct FTPs	476	-	478	-	-	525
Direct FTEs	402	-	452	-	-	486

Appropriations Language

SALARIES AND EXPENSE

For necessary expenses of the Office of the Secretary, [$126,174,000] $143,030,000 [, of which not to exceed $3,360,000 shall be available for the immediate Office of the Secretary; not to exceed $1,200,000 shall be available for the immediate Office of the Deputy Secretary; not to exceed $22,210,000 shall be available for the Office of the General Counsel; not to exceed $11,797,000 shall be available for the Office of the Under Secretary of Transportation for Policy; not to exceed $16,394,000 shall be available for the Office of the Assistant Secretary for Budget and Programs; not to exceed $3,010,000 shall be available for the Office of the Assistant Secretary for Governmental Affairs; not to exceed $32,239,000 shall be available for the Office of the Assistant Secretary for Administration; not to exceed $2,610,000 shall be available for the Office of Public Affairs; not to exceed $2,018,000 shall be available for the Office of the Executive Secretariat; not to exceed $13,576,000 shall be available for the Office of Intelligence, Security, and Emergency Response; and not to exceed $17,760,000 shall be available for the Office of the Chief Information Officer: Provided, That the Secretary of Transportation (referred to in this title as the "Secretary") 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 $70,000 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, 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]. (Department of Transportation Appropriations Act, 2021.)

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 the priorities of the Administration. The Office is responsible for overall planning, direction, and control of the Department's agenda.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

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 provides the necessary executive leadership essential to respond to the transportation issues affecting the Nation. By understanding the challenges faced by the American Public in the transportation sector, this senior office sets and implements the agenda of the Administration.

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, among other responsibilities, 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.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

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 coordinating and guiding the Department's response to transportation issues affecting the Nation. This request will enable the Department to continue to respond quickly and efficiently to the transportation needs of the American public and to advance key priorities of: safety; equitable economic strength and improving core assets; rebalancing investments to meet racial equity and economic inclusion; and climate and resilience.

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 (S-3)** serves as the principal policy advisor to the Secretary and provides leadership in the development and implementation of transportation policies for the Department, directs cross-modal initiatives, leads in the efficient development of intermodal transportation solutions, manages statutory programs that are designated by Congress for the Secretary to administer, and oversees activities related to infrastructure and infrastructure deployment. S-3 provides the foundation for the Department's efforts to increase the productivity and competitiveness of American workers and businesses 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 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 and the Non-Traditional and Emerging Transportation Technology (NETT) Council. 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 supports the Department's activities under Executive Order 14008, "Tackling the Climate Crisis at Home and Abroad", including efforts to develop climate action plans and to implement the Justice40 initiative. It develops and implements policies related to the National Environmental Policy Act, interagency infrastructure permitting, and climate change mitigation and adaptation. The Office also acts as the Department lead in areas of regulatory impact analysis.

The **Office of the Assistant Secretary for Aviation and International Affairs** (OST-X) is 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, provides Departmental leadership on international multimodal transportation policies, and participates in international diplomatic dialogues and protocol activities. The Office directly contributes to advancing America's economic growth and competitiveness domestically and internationally through efficient and flexible transportation. OST-X also represents the Department on several interagency processes and works with other Departmental offices to support implementation of Executive Orders and Administration priorities, including EO 14008 on Tackling the Climate Crisis at Home and Abroad, EO 14017 on America's Supply Chains, and EO 13998 on Promoting COVID-19 Safety in Domestic and International Travel.

The **Office of the Assistant Secretary for Research and Technology** (OST-R) coordinates and strengthens research and technology initiatives that cut across all Operating Administrations. The Office ensures that the Department's research and innovation policies are implemented, and leads a range of cross-modal research initiatives to address strategic goals Department-wide. OST-R leads and administers the Department's multimodal statistics and data programs and oversees the work of related fee-for-service organizations and will co-host the reestablished Climate Change Center with OST Policy. An OST-R portfolio focused on cross-cutting, cross-modal research is of benefit to DOT leadership and the entire Department. Policy-making demands credible estimates of the value and public benefits of transportation investments. To make wise decisions about new highways, pipelines, or airport renovation or expansion, policymakers need estimates of the economic and societal effects of these investments. Analysis of public-private partnerships to adopt new technologies require estimates of how such adoption will ripple through supply chains, as well as consideration of how new technologies will address the climate crisis and the mobility and accessibility needs of underserved populations.

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 Infrastructure Financing and Innovation Act (TIFIA), Railroad Rehabilitation and Improvement Financing (RRIF), Private Activity Bonds (PABs) programs, and develops new initiatives to facilitate public and private financing mechanisms. While advising the Secretary and Departmental 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 2021 Anticipated Accomplishments:

- The Office of the Under Secretary will lead the Department's efforts to develop agency initiatives in the areas of safety, environment, climate change, infrastructure investments, future-oriented innovation, public and intergovernmental outreach, freight policy, public-private partnerships, and international transportation policy.

- The Office will administer new matters submitted to the Department by the U.S. aviation industry, including those related to domestic and international COVID response and economic recovery, in support of EO 13998.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 continue to support U.S. efforts, including in the interagency process and through the International Civil Aviation Organization (ICAO), to enable the recovery of domestic and international aviation and to address health-related issues in aviation.

- The Office will advance the Department's human trafficking initiative working with transportation stakeholders across all modes of transportation to ensure they are equipped

with guidance, training and best practices to help stop this crime. The Office will also implement the lead an ICAO working group on combatting human trafficking and conduct an Asian-Pacific Economic Cooperation workshops on human trafficking.

- 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. This includes the execution of one to three safety research projects in FY 2021 that will use external data sources new to the Department to answer persistent safety questions. We will also pursue opportunities to help State and local policy and decision making through the execution of nine cooperative agreements totaling almost $3.3 million to develop, refine, and implement roadway safety tools. These safety tools are diverse in scope, from the use of artificial intelligence tools to rural Tribal capacity building. The safety tools are anticipated to be completed by the end of FY 2021.

- The Office will also continue to support the US Trade Representative (USTR) in negotiating free trade agreements, and in implementing the transportation provisions of trade agreements, such as the U.S. Mexico Canada Trade Agreement (USMCA).

- The Office will continue to negotiate liberalized air transport agreements to achieve greater international market access rights for U.S. carriers, aiming to commence or conclude negotiations with Russia, Japan, Ecuador, Brazil, Dominican Republic, Moldova, and Egypt.

- In light of numerous worldwide restrictions as a result of the COVID-19 public health emergency, the Office will engage with its foreign counterparts so that international obligations are upheld and will take regulatory action as needed to ensure fair competition between U.S. and foreign carriers.

- 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 experts an increased involvement in cases as a result of the implementation of the Foreign Investment Risk Review Modernization Act of 2018 (FIRRMA).

- The Office will continue to advance the tracking and improvement of environmental reviews on the permitting dashboard, while protecting the environment and enhancing project outcomes. The Office will conduct research and prepare reports and guidance to respond to environmental issues and requirements that will affect the delivery and operation of transportation projects.

- The Office will oversee and coordinate implementation of EO 14008, "Tackling Climate Change at Home and Abroad," including development of a climate action plan for resiliency and the Justice40 initiative.

- The Office will develop guidance to implement the National Environmental Policy Act, including addressing the concerns of disadvantaged communities through the environmental review process.

- The Office will coordinate with the Operating Administrations to initiate Department-wide strategies to address climate change and reduce greenhouse gas emissions to reach the President's goal of net-zero carbon emissions in 2050.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent. In addition, one position within S-3 that supports public engagement activities is moving to the new Office of Public Engagement.

The FY 2022 request includes six new positions and funding for three FTE. Four of the new positions will be dedicated to supporting the Administration's Racial Equity, Climate Change, Safety, Transformation and Economic Equitability goals. These positions will be developing and promoting policies on reducing green-house gas emissions and achieving NetZero Emissions by 2050 through partnerships with DOT's internal and external stakeholders. The funding will also be used to hire two positions within the OST International Affairs Office to specifically manage Executive Orders around climate change. The budget request also provides resources to fully fund seven FTEs for previously approved Secretarial priority hires of policy analysts.

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 an 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 system without undue regulatory barriers. In order to achieve that, the Department engages with stakeholders and industry to identify such 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.

The Office also provides benefits to the public by improving the environmental review process to ensure that impacts of transportation projects are considered and addressed, particularly with respect to disadvantaged communities. The Office will also develop strategies to reduce

greenhouse gas emissions and establish resilience strategies to protect the American public from the worst impacts of climate change.

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 provides 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 2021 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.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

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 supports the following functions:

- All-threats and all-hazards incident preparedness, response and recovery situational awareness through domestic and international event and incident monitoring, and reporting and decision support product development.
- Continuity of Operations and Government (COOP/COG).
- All source intelligence monitoring and reporting.
- National security policy and preparedness development.
- Protection of the Secretary.
- Liaison between, and coordinate with, DOT and external Federal, State, and local government entities on the development of policy for the Nation's transportation system.

Safety: The Office is DOT's focal point for 24/7 monitoring and reporting on domestic and international events and incidents that impact or have the potential to impact the safety and security of the Nation's transportation sector (systems and infrastructure). 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, minimize, and/or mitigate risks.

Intelligence: 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 foreign and domestic extremists. The Office contributes to the development of policies, strategies, and plans to deter and/or dissuade extremists from taking actions that threaten the safety and security of the transportation sector.

National Security Policy and Preparedness: The Office represents DOT at national-level engagements relating to the safe and secure operations of the transportation sector and collaborates with Federal partners to develop policies and plans as required and authorized to facilitate risk mitigation. Additionally, the Office engages with the White House National Security Council staff and Federal partners to formulate national security policy and plans that:

- Guide intra- and interagency coordination
- Prioritize and address DOT equities
- Provide DOT senior leadership with recommendations and courses of action
- Carry out the authorities delegated to the Secretary for Defense Production Act activities for civil transportation

Protection of the Secretary: The Office is solely responsible for the safety and security of the Secretary while at their residence or traveling domestically and internationally.

Revitalizing and rebuilding our critical infrastructure

In accordance with the Robert T. Stafford Act, the Office leads Emergency Support Function #1 (Transportation) in support of Federally declared emergencies. The Office coordinates DOT's efforts to prevent, protect against, mitigate, respond to and recover from all-threats and all-hazards events and incidents. Activities include, but are not limited to, identifying and reporting damage to and status of the transportation sector, identifying alternative transportation solutions, and coordinating the restoration and recovery of the Nation's transportation sector. Our efforts enable the safe movement of people, goods, and services.

The Office has co-Sector Risk Management 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 incidents that have the potential to adversely impact national security, economic stability, or 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 its roles and responsibilities in support of the Secretary and the Department. The Office procures social and traditional media monitoring technology to provide enhanced situational awareness to facilitate timely response and recovery decisions as well as enhanced coordination between Federal, State, local, tribal, and territorial governments and private sector partners.

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

Enhancing Accountability

The Office leads DOT's Defensive Counterintelligence and Insider Threat Programs. These programs ensure that DOT personnel do not compromise information related to potential or actual threats to national security and private sector proprietary technologies.

FY 2021 Anticipated Accomplishments:

To advance the Department's mission, the office will:

- Increase coordination and collaboration with Intelligence Community partners to support evolving information need and to enhance overall quality and value added of DOT intelligence products.

- Better utilize social media monitoring in the Transportation Operations Center to enhance our capability to capture a wide array of incident data that enables trend

analysis, maximizes understanding and improves the timeliness and accuracy of incident reporting by 25%.

- Expand stakeholders' familiarity with the DOT Headquarters Devolution Plan, and establish accountability for personnel that will fulfill primary roles and responsibilities.

- Develop and facilitate a DOT-focused exercise for the Secretary's Emergency Response Team.

- Leverage DOT's role—alongside the Department of Homeland Security—as Co-Sector-Specific Agency for the Transportation Systems Sector to solidify stakeholders' understanding and use of the new Transportation Systems Sector Response Playbook.

- Expand training for the Secretary's protective service detail.

- Build resilience into the Department's response and recovery posture to better prepare for more frequent and intensive disasters.

- Institutionalize Geographical Information Systems capability in response and recovery by leveraging existing capabilities and capacities into an Emergency Response Team Task Force.

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, and streamlining responsibilities while cross-training personnel across multiple work portfolios, applying personnel resources to proactively engage existing mission areas more effectively.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

In addition, the Office is requesting one (1) FTP/one (1) position to support a 12th Regional Emergency Transportation Representative (RETREP) position as part of a broader reorganization of Departmental emergency operations employees.

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

The FY 2022 budget request supports resource needs required 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 activities.

- Assure COOP/COG operations and maintain 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 respond to behavior that may be indicative of intelligence gathering or pre-operational planning related to terrorism, criminal, or other illicit intent.

- Coordinate with and support government partners and stakeholders to restore transportation infrastructure operations after all-hazards incidents.

- Facilitate communication between DOT and appropriate DOD commands ensuring harmonization between policy formulation and support to national security initiatives.

- 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 and all-hazard 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), 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. The OCIO leverages it authorities to lead in the innovative application of data and technology to achieve safety outcomes and improve the condition of the nation's infrastructure. 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 achieving accountability for results with complete transparency through the IT Shared Services Initiative. The OCIO continues to lead this 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 implement best practices, achieves efficiencies, and reduce risk while aligning requests with the mission priorities of DOT stakeholders. In FY 2022, OCIO will continue the multi-year commodity IT consolidation.

The Salaries & Expenses (S&E) appropriation funds the following[1]:

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 missions.

[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 Cybersecurity Initiatives appropriation, which is focused on implementing security-related improvements.

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

- 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 Protection – Cybersecurity and Privacy are key priorities for the OCIO. The OCIO applies strategies to make targeted investments in policy, people, processes, and technology to ensure the confidentiality, integrity, and availability of DOT data, as well as mission and business systems. Priority Cybersecurity and Privacy activities include: incident and breach response; information security continuous monitoring, security assessment and authorization (SA&A); security and privacy risk management; records management; education, training, and awareness; related policies, standards, directives, and guidance; and other information governance. S&E expenditures in this area are in addition to expenditures under the "Cybersecurity Initiatives" 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.

- IT 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 enterprise IT risk management.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) non-pay inflation of 1.0 percent.

In addition, the request includes $1.3 million in funding for 5 FTEs and two (2) new cybersecurity positions to address critical deficiencies in risk management and identity, credentialing, and access

management, seven (7) positions for necessary improvements in other cybersecurity functional areas, and an increase for contracts to modernize the DOT Intranet site to migrate from a legacy platform to the DOT enterprise platform, and update functionality and content; and for the GEMS/GrantSolutions program management support.

FY 2021 Anticipated Accomplishments:

In FY 2021, 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;
- Update and issuance of the Department's IT Cybersecurity Policy and supporting guidance;
- Development and dissemination of IT Contingency Planning training and guidance for the IT community and DOT information system owners;
- Development and application of an IT supply chain risk management guidance and processes;
- Piloting of a Privacy Risk Management automation capability;
- 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?

Innovative, efficient, modern, and secure IT are crucial to enabling the Department and the transportation sector. 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 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. 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 all public affairs interests. 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 to help inform employees of areas of public interest.

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.

FY 2021 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.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

The request includes funding for three (3) positions to play a key part in how USDOT and the Secretary communicate with the American public. These positions would support the Secretary in communicating with the American public through social media and news media placements. The new positions will ensure that the information and messages communicated across our social media platforms are accurate, timely and reflect the priorities of USDOT leadership and the Administration. These positions would also help their cohorts across USDOT modes, sharing best practices in content creation, platforms and analytics to help foster learning and continuous improvement

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 policy positions. 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 government stakeholders informed of programs and activities. Not only is there an inherent public right to know, but public understanding and discussion is essential to accomplishing the priorities of the Administration. 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 (OAs).

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, reapportionments, and reprogrammings; 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. The Office develops performance measures, and tracks actual outcomes against those measures, pursuant to the Government Performance and Results Act (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 the 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 Enterprise Risk Management, Payment Recapture Audit programs, and the Payment Integrity 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 seven 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 innovative finance 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 **budget formulation, budget execution, and financial management for the OST offices and programs**. 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, and tracks actual outcomes against those measures.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

In addition, the request also includes funding for seven new positions to support growing requirements for the Department's role in budget and financial oversight resulting from increased Congressional requirements.

Three positions will support OST-B's work toward transforming its business operations to leverage financial data analytics to deliver accurate data for senior leadership decision making and to maintain compliant financial reporting. DOT currently has limited financial data analytics capacity and must strengthen current capabilities to provide adequate oversight over DOT's risks and controls. These additional resources will be used to establish an analytics team that employs modern financial analytics to continuously oversee the Department's full lifecycle of funds distribution and accurately monitor and report on risks and funds status, including the flow of funds to program recipients. This team will further enable DOT to provide additional financial assurances when we encounter a national crisis or significant increase in Departmental funding

Two positions will support the budget formulation, budget execution, and financial management of the OST Offices and programs. The number and complexity of programs managed by OST has grown exponentially over the last few years and additional support is needed to ensure the resources supporting these programs are properly budgeted and executed while maintaining existing requirements.

One position will support the Departmental Budget Office in providing oversight and tracking the requirements of the Evidence and Evaluation Act, the Administration's American Rescue Plan, other COVID-19 Supplemental Appropriations, and other expanded legislative requirements. The final position will support oversight of the Department's Innovative Finance/Credit Programs.

FY 2021 Anticipated Accomplishments:

- 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.

- The Office will continue to increase oversight of the Department's COVID relief funding and enhance the reporting capabilities of the Department's travel management system.

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 provides guidance and direction in the effective preparation and presentation of sound budget estimates, which ensures the Department has the resources it needs to execute its Mission while keeping budget requests practical and defensible. The Office reviews policy, program, and legislative proposals to evaluate and advise on their potential impact to Departmental resource and financial management requirements and plans, and provides policy guidance and oversight of the Department's financial management personnel, programs, activities, and operations. Finally, the Office's responsibility to design and implement financial systems required for accurate and timely financial reporting, and the policies necessary to govern these systems, helps ensure the Department's ability to report on the efficient and lawful use of taxpayer dollars.

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 plays a crucial role in facilitating the Department's robust response to the urgent challenges facing the Nation, including rebuilding its infrastructure, economic recovery, inequity, environmental justice, and climate change as well as in all areas of the Department's activities. More specifically, the Office assists in identifying and overcoming statutory and regulatory challenges that frustrate the Department ability to confront these problems and, in their place, assists in developing appropriate and effective statutory and regulatory solutions, along with litigation, procurement, and other strategies. The Office coordinates DOT's regulatory actions, legislative efforts, and litigation and leads various consumer protection, operational, and international legal matters. The Office of the General Counsel carries out aviation consumer protection activities, and promotes and facilitates collaborative problem solving through the use of alternative dispute resolution (ADR) within the Department.

The Office provides 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; Congressional and other oversight of DOT; cybersecurity; competition law; and security and emergency response.

The Office provides legal services in support of aviation economic matters, including review of airport competition plans, aviation economic licensing rules and orders. 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 Transportation Infrastructure Finance and Innovation Act and Railroad Rehabilitation and Improvement Financing multibillion dollar Private Activity Bonds Program and DOT's Nationally Significant Freight and Highway Projects Grants Program (INFRA).

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. This Office is responsible for assembling legislation proposals, 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, and draft Executive Orders, Presidential Memoranda and Proclamations.

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 leads the Department's activities implementing aviation consumer protection laws, including laws prohibiting discrimination by airlines in air travel on the basis of disability, race, color, national origin, religion, sex and ancestry. The Office also: (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 facilitates early and direct interaction among parties by providing mediation, facilitation, and ombudsman services and provides training on dispute resolution and conflict management.

FY 2021 Anticipated Accomplishments:

The Office will provide legal support for the implementation of President Biden's Executive Orders on a broad range of issues, including building back better infrastructure and economic relief,

diversity and equity, Title VI and environmental justice, and Buy America. The Office will provide legal sufficiency reviews on more than 100 acquisition related documents, and assist in the review and evaluation of more than 1,000 financial assistance applications and more than 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 more than 325 reporting individuals.

- The Office will process more than 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 judicial 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 20 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 provide drafting and technical assistance on fiscal and bill provisions in Congress in support of the Administration's relief, recovery and reauthorization priorities, including provisions on economic recovery, investment, climate, equity, and other matters.

- The Office will review approximately 50 DOT rulemaking actions (based on DOT's regulatory agenda and our Agency's internal coordination) to ensure that they advance national priorities that include addressing the climate crisis and promoting equity while ensuring that America's transportation system remains safe, modern, and efficient. The Office will also coordinate approximately 75 internal and inter-agency regulatory actions to facilitate the Department's response to the COVID-19 pandemic.

- 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 review for legal sufficiency approximately 25 grant agreements under the Small Community Air Service Development Program (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 aviation consumer complaints within two days of receipt by DOT; investigate civil rights complaints (disability and other discrimination) in a timely manner; 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.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

In addition, the FY 2022 request also includes 14 positions to bring the Office to full ability to support organizational goals. The office will also acquire two new and modern database systems to replace the existing systems that are more than 20 years old. These systems include:

Rulemaking Management System (RMS) ($900 thousand):

The Office of Regulation will acquire a new and modern database system to replace the existing 20 plus year old system. Users have identified a large number of limitations, including a lack of basic functionalities and difficult-to-follow user interfaces. In FY 2021, the operations and maintenance (O&M) costs for RMS were approximately $180k to ensure that the system remains functional. Rather than piecemeal an antiquated system the Department will use this funding to buildout existing infrastructure Information Technology architecture, the Electronic Document Management System (EDMS) and the Rulemaking Information Management System (RIMS), recently implemented by FAA.

Consumer Complaints and Case Management System ($700 thousand):

The Office of Aviation Consumer Protection will acquire a modern database system to replace an existing system that is outdated and unwieldy. A new aviation consumer system and related case management system (Consumer Complaint and Case Tracking System) would facilitate more efficient processing by analysts and greater access to data through more granular data collection and reporting as well as more efficient case tracking and data reporting by attorneys. This more refined data processing and reporting capability would result in; in more timely complaint review and more thorough investigations; improve response time to aviation consumer complaints, and more timely pursue enforcement action in appropriate instances. A modern system will also help the Office meet GAO recommendations. Specifically, GAO has recommended that the Office (1) set a performance measure to track its work in enforcing airlines' compliance with consumer protections and (2) provide transparency and clarity into investigations, including those that do not result in a consent order.

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 for billions of dollars of Federal finance assistance in transportation infrastructure projects that directly benefit the US. economy.

- Providing legal support for the implementation of President Biden's Executive Orders on a broad range of issues, including building back better infrastructure and economic relief, diversity and equity, Title VI, environmental justice, and Buy America.

- Providing legal support to DOT program offices in their preparation of rules that will meet substantive, procedural, and Administration policy requirements and evaluating regulations to identify impediments to addressing the coronavirus pandemic, facilitating economic recovery, advancing racial justice, and mitigating the climate crisis and, in their place, assist in developing solutions to these national imperatives while achieving the Department's safety mission.

- Reviewing and analyzing more than 100,000 aviation consumer complaints and civil rights complaints (disability and other discrimination).

- Conducting investigations of U.S. and foreign air carriers regarding compliance with aviation consumer protection and civil rights 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 advises the Secretary and senior leadership in the Department on congressional, intergovernmental, and Tribal matters and 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 legislative mandates are fully implemented by the Department. It also works with the White House, other Federal agencies, and Congress 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 (OAs) to coordinate Congressional outreach activities related to Secretarial initiatives and programs. The Office also works with Presidential nominees for the Department who require confirmation by the Senate through the confirmation process.

The Office of Governmental Affairs also oversees all Tribal engagement on behalf of the Secretary. This includes Tribal consultations for Department policy, project-level engagement from both Tribes and OAs, implementation of relevant Executive Orders, assisting OAs when needed, and responding to requests for trainings and technical assistance. The Office will also 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 Office of Governmental Affair's Tribal Transportation Self-Governance Program (TTSGP) serves 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 Department 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.

FY 2021 Anticipated Accomplishments:

- The office ensures that critical Congressional concerns are promptly addressed. These actions include but are not limited to responding to technical assistance for COVID-19 and surface transportation legislation, educating key Members on USDOT initiatives including the ROUTES toolkit, Highway Trust Fund receipts, and National Strategic Freight Plan, and fostering and promoting essential relationships between the Secretary and Members of Congress on a variety of transportation initiatives.

- 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, Metropolitan Planning Organizations, and Tribes. 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 organizations related to governmental constituencies at the state and local levels.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

Additionally, the budget proposes to add four (4) positions to the Office of Governmental Affairs. These positions are essential for building out a professional government affairs team that will focus on congressional, intergovernmental, and Tribal matters.

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 governmental 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 principal advisor to the Secretary and Deputy Secretary on Department-wide and Office of the Secretary of Transportation (OST) administrative functions, and leads policy development and operations in this area. 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 the Department of Transportation (DOT) on interagency committees and task forces in areas related to Departmental HR management and liaises with other agencies, including the White House, Congress, the Office of Management and Budget, and the Office of Personnel Management. As the CSO, the Assistant Secretary leads the Department's implementation of Executive Order 14008 and the Department's Sustainability Plan. The CSO also leads the Department's energy and resources efficiency initiatives, including implementation of energy and environmental laws and executive orders.

As Deputy Chief Acquisition Officer, the Office formulates Departmental policy, controls, and standards to implement new and innovative legislation 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.

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.

FY 2021 Anticipated Accomplishments:

The Departmental Office of Human Resources will:

- Evaluate and monitor the revised performance management program that ensures employee performance deficiencies are addressed, and action is taken in a timely manner. Design and develop plans at the Departmental and Operating Administration levels to close competency gaps in leadership and mission critical occupations including competencies related to data analytics, automated technologies, and project management.

- Emphasize the development of leadership skills for employees at all level through the expansion of the DOT Mentoring program, and provide leaders with tools to develop their leadership competencies through coaching and 360-degree feedback.

The Office of the Senior Procurement Executive (OSPE) will:

- Support the Department's internal financial control function by providing Department-level stewardship and oversight of key acquisition functions through programs, such the **Acquisition Strategy Review Board** (ASRB), **Procurement Management Reviews** (PMR), and the **Suspension and Debarment** system. Additionally, OSPE will create and implement long-term initiatives to better shape the workforce to include program/project management through implementation of **PMIAA**.

- Manage 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**, **DP2**, and **eGovernment initiatives.**

The Office of Energy and Resource Efficiency will increase resiliency of DOT mission critical buildings and operational assets to climate change impacts by implementing environmentally sustainable practices and reducing pollution, energy footprint and other adverse environmental effects: Additionally:

- Continue to strengthen the Department's culture of sustainability by developing long term strategic plans, guidance documents for implementation, sharing best practices, tracking performance and providing training and outreach that supports the Biden Administration's priorities on climate and resilience.

- Using the *Comprehensive Energy Management Narrative and Data Report* template developed by the Department of Energy (DOE), submit DOT's annual energy, renewable energy, water, waste and Greenhouse Gas (GHG) emissions to DOE for review and comment. The Office will develop long term strategic plans, guidance implementation documents to improve the resiliency of DOT mission critical buildings and operational assets to climate change.

- The Office of Security will develop, implement and maintain an organization-level Continuity Plan that identifies office-wide essential functions and continuity capabilities, and aligns with the DOT Continuity Plan. The Office will pursue improvements and strengthen its capability to provide essential support functions to DOT under all circumstances.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

In addition, the Office of the Assistant Secretary for Administration is requesting $519 thousand to support existing costs related to the Office's responsibility to pay for OST specific interagency agreements such as Background Investigations, Federal Occupational Health, and Department of Homeland Security Federal Protection Services. Further, $2.158 million is requested for Environmental Stainability contractor support for LED lighting project for HQs '24/7 areas, implementation of the Energy Act of 2020 to include LEED Platinum analysis for the HQs, and annual sustainability and energy resiliency assessments, analysis, reports, and action plans; Acquisition contractor support for Program Management Reviews, Acquisition Services Review Board and Suspension and Debarment tracking system; and Audit Liaison support.

The funding requested also supports OST payments to the WCF and GSA rental expenses for all OST Offices (broken out in the table that follows). $1.946 million of the rental decrease is due to the transfer of responsibility of building operating costs from GSA to the Department. The operating and maintenance costs are now reflected in payments to the WCF.

Rental Locations	FY 2021 Rental Payments	FY 2022 Rental Payments	Net Increase/Decrease
Southeast Federal Center, WDC	$ 10,813,092	8,423,162	$ (2,389,930)
Des Plaines, IL	$ 9,749	-	$ (9,749)
Operations and Maintenance	$ 25,239	-	$ (25,239)
Total:	$ 10,848,080	8,423,162	$ (2,424,918)

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 and will result in savings to the Department. This on-going oversight is designed to ensure OA 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 procurement.

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 are performed at least annually. 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 labor relations teams, performance management and recognition workgroups, the PMIAA work group, Cybersecurity Workforce Act Group, and OPM HR Line of Business initiatives. 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.

Detailed Justification for the Office of Public Engagement

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

The Department's Public Engagement efforts have historically been included in the Office of Policy. As transportation programs continue to grow in size and focus, establishing this function as a separate organization will help ensure the public and all interested stakeholders have a clear point of contact in the Department regarding inquires, providing feedback, and identifying opportunities for engagement with the Department and its programs. The Office of Public Engagement will also provide support for events that support initiatives and programs within the Department to improve the public's understanding of transportation programs and the ways they can help improve local communities across the Nation.

The FY 2022 request includes $1.275 million to support one (1) existing FTP transferred from the Office of the Under Secretary for Policy and three (3) new positions, as well as contract and travel funding necessary to stand up the Office.

FY 2021 Anticipated Accomplishments:

New initiative for FY 2022.

Funding Changes:

New initiative for FY 2022.

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

The new Public Engagement Office will ensure the public and all interested stakeholders have a clear point of contact in the Department regarding inquires and will improve the public's understanding of transportation programs and the ways they can help improve local communities across the Nation.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2021 Enacted	**$126,174**	**478**	**452**
Adjustments to Base			
Annualization of Prior Pay Raises	$208	0	0
Annualization of Positions Previously Requested	$1,625	0	8
FY 2022 Pay Raises	$1,664	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$989	0	0
FERS Changes	$227	0	0
Inflation and Other Adjustments to Base	$107	0	0
Subtotal Adjustments to Base	$4,820	0	8
FY 2022 Baseline Estimate	**$130,994**	**478**	**460**
Program Changes (+/-):	$12,036	47	26
FY 2022 President's Budget	**$143,030**	**525**	**486**

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	-	-	-	-	-	-
Travel	-	-	-	-	-	-
Other Costs	-	-	-	-	-	-
Programs	2,000	-	2,000	-	-	5,000
TOTAL	2,000	-	2,000	-	-	5,000
STAFFING						
Direct FTPs	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-

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,] $5,000,000, to remain available through September 30, [2022] 2023. (Department of Transportation Appropriations Act, 2021.)

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 standards and reporting, strenghtening capabilities to provide oversight over DOT's risk and controls, 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 continually support data access to financial management to effectively make operational and strategic decisions. The funding also ensures the financial systems 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 FMC initiatives will better position DOT and its customers to improve oversight over federal funds and comply with Federal laws, regulations and standards, including:

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

In FY 2022, 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. Funds will also be used to strengthen DOT's current abilities to provide additional financial assurances when encountering a national crisis or significant increase in Departmental funding by employing modern financial analytics to continuously oversee the Department's budget formulation process, and full lifecycle of funds distribution. These analytical tools will aid in risk based decision making, accurately monitor and report on risks, funds status, and include the flow of funds to program recipients. 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.

FY 2021 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 monthly attestation and quarterly certification of the DATA Act submission.

Funding Changes:

The FY 2022 budget request includes $5 million, which is an increase of $3 million above the FY 2021 enacted level. DOT currently has limited financial data analytics capacity and this funding will strengthen capabilities to provide oversight over DOT's risks and controls. DOT's scope and operations have outgrown its financial oversight infrastructure (e.g., process and technology) to a point where the assurances over operations and financial reporting are now at risk. This funding is needed to support DOT efforts to mitigate such risk.

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

The FY 2022 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.

Office of Budget and Programs is working toward transforming its business operations to leverage financial data analytics to deliver accurate data for senior leadership decision making and to maintain compliant financial reporting. FY 2022 funding will be used to help mitigate risk related to providing assurances over operations and financial reporting through investments in process improvements and technology to maintain strong financial management and internal

controls across DOT; transparent, accurate, and timely financial reporting; best shared practices; and continued focus on bolstering financial data analytics skills of DOT core workforce in Budget, Accounting, Systems, and Financial Management.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2021 Enacted	**$2,000**	**0**	**0**
Adjustments to Base			
Annualization of Prior Pay Raises	$0	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2022 Pay Raises	$0	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Inflation and Other Adjustments to Base	$0	0	0
Subtotal Adjustments to Base	$0	0	0
FY 2022 Baseline Estimate	**$2,000**	**0**	**0**
Program Changes (+/-):	$3,000	0	0
FY 2022 President's Budget	**$5,000**	**0**	**0**

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	7,202	-	7,436	-	-	9,073
Travel	50	-	50	-	-	50
Other Costs	2,218	-	2,113	-	-	3,505
Programs	-	-	-	-	-	-
TOTAL	9,470	-	9,600	-	-	12,628
STAFFING						
Direct FTPs	52	-	52	-	-	58
Direct FTEs	33	-	45	-	-	52

Appropriations Language

OFFICE OF CIVIL RIGHTS

For necessary expenses of the Office of Civil Rights, [$9,600,000] $12,628,000. (Department of Transportation Appropriations Act, 2021.)

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) plays a central leadership role in ensuring that the Department of Transportation (DOT) fulfills its goals of advancing equity and opportunity for all individuals and communities throughout its internal and external programs. DOCR seeks to integrate principles of opportunity, equity, and access in every facet of DOT's operations. DOCR provides oversight, guidance, and expertise on civil rights policy, programming, and enforcement for the Office of the Secretary (OST) and the Operating Administrations (OAs). DOCR is responsible for advising the Secretary, the Deputy Secretary, and Departmental Executive Management on measures designed to promote equity, diversity, and inclusion in its activities and its workforce.

DOCR enforces Federal civil rights laws and regulations that prohibit various forms of discrimination in Federally operated and assisted transportation programs. DOCR also manages the program for receiving, investigating, and resolving federal equal employment opportunity (EEO) complaints within DOT. DOCR directs the Department's Disadvantaged Business Enterprise (DBE) Program, DOT's signature initiative for ensuring that women- and minority-owned small businesses are able to participate fully in our nation's economy. DOCR establishes priorities to focus OA efforts and resources to address national or regional DBE requirements and challenges. DOCR advises congressional staff, State and Local governments, and constituents on DBE program compliance matters; provides authoritative interpretations of DBE regulations; and draft clarifying policies, guidance, and regulations.

DOCR also conducts extensive outreach to civil rights stakeholders throughout the country to ensure that communities impacted by transportation infrastructure decisions have meaningful engagement in the decision-making process.

By establishing priorities that focus DOT's OA efforts and resources to address national or regional civil rights requirements, challenges, and trends, DOCR supports the entire Department's efforts 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, and 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. In fulfilling its regulatory oversight functions, the organization provides transportation equity and access oversight on investigations and compliance reviews; conducts Equal Employment Opportunity (EEO) investigations, oversees the OA's EEO

counseling and alternative dispute resolution programs, and issues final agency decisions on EEO complaints; and adjudicates appeals filed by applicant firms that were decertified or denied DBE or Airport Concessions Disadvantage Business Enterprise (ACDBE) certification, and engages in internal and external policy development, communication, and outreach for the DBE program.

DOCR's organizational structure supports its ability to: (1) foster a positive civil rights climate at DOT and within the Federal transportation community; (2) educate and train DOT personnel, recipients of Federal financial assistance and other civil rights stakeholders regarding their rights and responsibilities under Federal civil rights laws; (3) identify, investigate, and redress instances and patterns of discrimination; (4) evaluate new or modified legislation and regulation to project potential civil rights impact, and develop recommendations of regulatory changes or craft guidance as required; and (5) build and maintain clear and continuing lines of communication between OST and OA leadership, the Office of Inspector General, recipients, congressional staff, industry representatives, and counterparts in Federal, state, and local government; and work to minimize misunderstandings and/or misinterpretations of highly complex and sensitive issues.

FY 2021 Anticipated Accomplishments:

- Develop educational, training and public-facing information for transportation 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, the Rehabilitation Act, the ADA, and other civil rights and anti-discrimination laws.

- Socialize and communicate the requirements and impacts of the new Departmental Orders on Title VI and Environmental Justice with internal and external stakeholders. Provide oversight and technical assistance ensuring that projects and activities financed by DOT successfully provide equal access regardless of race, color, or national origin.

- Collect, maintain, and perform trend analyses using information submitted by the OAs and recipients to (1) tabulate DBE participation rates; (2) assess whether recipients reach their DBE participation requirements and (3) gauge the number of DBE certifications across the country.

- Assist the National Highway Training Institute and the Federal Highway Administration with rebuilding the on-line DBE certification training content and deploying a certificate-based platform for DOT's Unified Certification Program recipients that will properly train certification application review staff, pursuant to DOT official guidance.

- Complete a notice of proposed rulemaking for RIN 2105-AE98 in collaboration with OA and OST partners to recraft core firm eligibility provisions of the regulation; incorporate procedural flexibilities enacted during the COVID-19 pandemic; add new program elements to foster greater usage of DBEs and ACDBEs with concurrent, proactive monitoring and oversight; and correct technical errors that have led to substantive misinterpretations of the rules by recipients and program applicants.

- Renew Paperwork Reduction Act clearance package for DBE Program Regulation, 49 CFR Part 26, enabling the Department to continue to successfully implement program information collection and reporting requirements.

- Enhance DOT's Limited English Proficiency access by conducting an analysis of the current state of DOT materials and identifying ways to increase access to those materials in languages other than English.

- Assist in the implementation of the Departmental Reasonable Accommodation process and socialize opportunities to improve the recruitment, hiring, and professional development of persons with disabilities at DOT.

- Enhance and increase performance capabilities to effectively process EEO complaints and issue final agency decisions in accordance with regulatory timeframes.

- Lead Secretarial working groups that are tasked with fulfilling the directives of equity, diversity and inclusion Executive Orders and take concurrent action to advance an intersectional policy and program lens addressing racial, gender, disability, environmental and economic justice across DOT. Fill existing vacancies to ensure a robust civil rights program and career development opportunities to DOCR staff.

- Procure and conduct DOT-wide equity training for OA senior leadership, civil rights professionals, and program staff to enhance their understanding of commitment to civil rights and equity.

- Provide guidance toolkits and training that reflect the Administration's priorities and aid DOT program managers with implementing racial equity, gender justice and disability justice requirements for various federally funded transportation initiatives.

Funding Changes:
The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

Over the years, the office has maintained services by shifting funds allocated for FTEs and not backfilling vacancies when employees off-boarded. This caused difficulties in DOCR's ability to fulfill programmatic commitments and Secretarial expectations. Additionally, the Office absorbed all cost of living increases, contractual increases, working capital fund (WCF) increases, promotions and within grade increases and costs required to maintain secure IT systems. The Office has also addressed cost upsurges stemming from the high and increasing demand for EEO investigative and final agency decision services. Specifically, the costs for EEO services are derived per case, per issue and per basis. Depending on the nature of the complaints, these factors inflate costs and reduce the number of cases that the organization can process.

This request includes $2.8M to right-size the office and fully fund previously approved positions and necessary contracts. This funding would support up to 20 FTEs that have remained vacated over several years to accommodate increased Federal civil rights requirements. The restored personnel will provide DOT with civil rights resources equipped to address Federal directives improving racial equity, opportunities for historically underserved and overburdened communities, mobility and environmental justice, policy development and awareness, disability and language accommodations, program evaluation, technical assistance and training. The additional resources will also help to fully staff the organization's DBE Appeal writing, EEO case processing and External Complaint processing functions, which must comply with regulatory processing timeframes.

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

DOCR enforces laws and regulations that prohibit discrimination in employment and the provision of services. DOCR is responsible for providing leadership to ensure that DOT does not discriminate against its employees or applicants for employment, and that the benefits of transportation projects and other related activities are accessible to all segments of the American public and that DOT spending is used equitably and does not promote prior transportation decisions that created isolated or segregated communities of color. Additionally, the Office communicates the Secretary's equity and civil rights oversight and compliance expectations to the OAs. DOT OAs are relying on DOCR to provide guidance, toolkits and training to aid its program managers with implementing equity requirements for various federally funded transportation initiatives. The effectiveness of their efforts ensures that recipients of Federal transportation funds conduct their programs, services and activities according to Federal guidance.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2021 Enacted	**$9,600**	**52**	**45**
Adjustments to Base			
Annualization of Prior Pay Raises	$19	0	0
Annualization of Positions Previously Requested	$700	0	4
FY 2022 Pay Raises	$150	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$1	0	0
FERS Changes	$20	0	0
Inflation and Other Adjustments to Base	$9	0	0
Subtotal Adjustments to Base	$899	0	4
FY 2022 Baseline Estimate	**$10,499**	**52**	**49**
Program Changes (+/-):	$2,129	6	3
FY 2022 President's Budget	**$12,628**	**58**	**52**

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	1,620	-	1,711	-	-	1,755
Travel	20	-	20	-	-	20
Other Costs	1,218	-	1,195	-	-	940
Programs	1,788	-	1,788	-	-	2,262
TOTAL	4,646	-	4,714	-	-	4,977
STAFFING						
Direct FTPs	13	-	13	-	-	13
Direct FTEs	11	-	13	-	-	13

Appropriations Language

SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH

For necessary expenses for small and disadvantaged business utilization and outreach activities, [$4,714,000,] $4,977,000, to remain available until September 30, [2022] 2023: Provided, That notwithstanding section 332 of title 49, United States Code, such amounts 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 "Office of the Secretary—Minority Business Resource Center Program". (Department of Transportation Appropriations Act, 2021.)

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, which amended the Small Business Act, requires every Federal agency to have this office and to implement legal requirements on behalf of small businesses.

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 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 to small businesses seeking to participate in the agency's transportation programs.

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 business training and counseling, technical assistance, and disseminate 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 enable small business and DBEs to become competitive in the government procurement marketplace.

The SBTRCs help prepare small businesses to compete for transportation-related contracts and help the Department implement its 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 2022 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.

FY 2021 Anticipated Accomplishments:

In FY 2021, OSDBU will continue to focus on effective outreach activities to increase small business participation in DOT procurements. Specifically, OSDBU will:

- Sponsor DOT events to ensure that small businesses are prepared to compete and perform for DOT contracts and subcontracts, including a Woman Owned Small Business outreach and matchmaking event;

- Utilize web based training and information sessions to provide valuable information and options to small businesses during and after the pandemic response;

- Host and collaborate with other federal agencies in outreach activities to enhance the capacity of Historically Black Colleges and Universities (HBCU) and Minority Serving Institutions to compete and perform in DOT contract opportunities;

- Promote and market the Small Business Innovation Research (SBIR) program in DOT sponsored events to assist Operating Administrations increase small business awareness and participation in the program;

- 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 businesses market their products and services to the Department;

- Sponsor Surety Bonding webinars that will provide small businesses in attendance information on the importance of securing bonding, DOT's Bonding Education Program, and how entrepreneurs can access our program and other federal resources;

- Host Capital Access webinars that will provide small businesses information on raising the capital needed to participate on projects and grow their business

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

The FY 2022 budget request includes an additional $200 thousand for additional cooperative agreements to support DOT's Regional Small Business Transportation Resource Centers.

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	FTPs	FTEs
FY 2021 Enacted	**$4,714**	**13**	**13**
Adjustments to Base			
Annualization of Prior Pay Raises	$4	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2022 Pay Raises	$34	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$5	0	0
Inflation and Other Adjustments to Base	$8	0	0
Subtotal Adjustments to Base	$52	0	0
FY 2022 Baseline Estimate	**$4,766**	**13**	**13**
Program Changes (+/-):	$211	0	0
FY 2022 President's Budget	**$4,977**	**13**	**13**

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	6,387	-	7,958	-	-	8,825
Travel	174	-	175	-	-	175
Other Costs	2,318	-	1,217	-	-	3,797
Programs	2,000	-	-	-	-	-
TOTAL	10,879	-	9,350	-	-	12,797
STAFFING						
Direct FTPs	37	-	40	-	-	44
Direct FTEs	35	-	39	-	-	42

Appropriations Language

TRANSPORTATION, PLANNING, RESEARCH AND DEVELOPMENT

For necessary expenses for conducting transportation planning, research, systems development, development activities, and making grants, [$9,350,000,] $12,797,000, to remain available until expended: Provided, That of such amount, [$1,000,000] $2,000,000, shall be for necessary expenses of 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 in accordance with the preceding proviso. (Department of Transportation Appropriations Act, 2021.)

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.

The TPR&D program coordinates National, international, and multimodal transportation issues, analyzes safety data and the value of transportation safety improvements, and studies how to increase the economic efficiency of transportation. In addition, TPR&D supports regulatory modernization associated with environmental review and permitting, enables the safe testing and deployment of automated vehicles (AV) in our Nation's transportation systems, and works to advance innovation, including 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, particularly post COVID-19 pandemic.

Resources in this appropriation also support the following cross-modal programs:

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

IIPIC collects and reports data for projects published on the Permitting Dashboard in accordance with the Fixing America's Surface Transportation (FAST) Act and reporting standards issued by the Office of the Secretary (OST) that establish metrics for permitting and environmental review of infrastructure projects tracked on the Permitting Dashboard. Additionally, IIPIC is continuing to develop new policy improvements and process reform recommendations to accelerate project delivery through synchronized/coordinated environmental review and permitting among agencies, and promoting shared National Environmental Policy Act documents to satisfy all environmental reviews and permits. This includes identifying additional best practices associated with early stakeholder engagement, reducing information collection requirements, and other aspects of environmental review and permitting as well as to facilitating advanced planning for mitigation of project impacts and use of landscape or watershed-level approaches to mitigation to achieve improved environmental and community outcomes The Program requires continued funding to support future activities to implement reforms to improve interagency coordination and expedite projects, including funds necessary to maintain, operate, and enhance the Permitting Dashboard. Funding for the IIPIC and the Permitting Dashboard will enable the continuation of work to reduce infrastructure permitting and review timelines by producing a more streamlined efficient process.

Climate Change Center – In direct support of the research, data and analysis, and evidence-building efforts required to inform decisions and to meet DOT goals in response to the Climate Crisis, and to support the goals of EO 14008, "Tackling the Climate Crisis at Home and Abroad", DOT plans to reinstitute and expand the work of the DOT Climate Change Center. The Center will establish a cross-modal coordination capacity to address policy and research objectives related to climate change. It will:

1. develop department-wide policies and strategies to reduce greenhouse gas emissions and make our transportation systems more resilient.
2. take action to measure and reduce transportation-related greenhouse gas emissions and mitigate the effects of climate change from transportation, especially for the most vulnerable and historically disadvantaged populations;
3. develop a cross-modal information infrastructure for climate and equity information, climate research literature, data and analytical tools; and
4. establish a clearinghouse of solutions to reduce transportation-related greenhouse gas emissions and to mitigate the effects of climate change.

The Center will consist of representatives of all DOT Operating Administrations and other relevant DOT offices. It will be co-led by the Office of the Assistant Secretary for Transportation Policy and the Office of the Assistant Secretary for Research and Technology. Its activities will be overseen by a Climate Council composed of senior DOT leadership.

FY 2021 Anticipated Accomplishments:

In FY 2021, DOT will continue to collaborate 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. In June of 2020, DOT selected nine State, local, and Tribal government recipients for almost $3.3 million in awards to develop, refine, and implement roadway safety tools. OST is working 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.

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. In FY2021, The Department expects to collect data from the Automated Driving System Demonstration Grant award winners that can be used for research purposes to better inform Departmental analysis.

In FY 2021, the Department will use the appropriated funds to the NETT Council to publish an upcoming innovation agenda, including projects, issues, or topics that DOT should consider through the NETT Council. DOT will also seek public comments on the Department's innovation principles, innovation priorities and activities. The Department will consider any significant comments to inform the future work and direction of the NETT Council to support the Administration's priorities.

In FY 2021, the Department will have completed substantial upgrades to the permitting dashboard. These include 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 agency tools in line with the administration's initiatives and policies.

In FY 2021, the Department will initiate a study of the resilience and capacity of supply chains for the American transportation industrial base, and review the Department’s implementation of Made in America laws to maximize the use of domestic products in Federally-assisted transportation infrastructure projects. The Department will also finalize the National Multimodal Freight Network, as required by the FAST Act, and evaluate potential options for Congress to modify existing transportation programs, such as the national highway freight program, to allow for improvements to inland waterways.

The Department is responsible as the lead for implementation of the President's Executive Orders on racial equity, climate change and Made in America among many others. The Department will conduct work under the EOs utilizing research and a data-driven approach to support policy decisions and direction. This approach also provides the Department an opportunity to apply the framework envisioned by the Evidence Act to create a portfolio of evidence, including results from program evaluations and policy analyses, and produce a meaningful learning agenda that can be pursued in the coming years.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

The FY 2022 request also includes a $2.75 million increase to fund three new positions and two

FTEs, a $1 million increase to improve IPIC's ability to conduct climate, environmental and other data analytics, and safety tools that help with both infrastructure and behavioral safety policy making. The additional positions will allow OST to dedicate staff to the Administration's goal of improving transportation equity. They will assess transportation costs that disproportionately affect low income families and develop new policies and programs to target transportation affordability.

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; FY 2021 and FY 2022 funds will be used to continue to support economic recovery and planning in the aviation industry, and for analysis of airline competition issues and proposed airline agreements;
- 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;
- Identifying aspects of the U.S. transportation system that might be enhanced to increase international exports and provide economic benefits;
- Expanding engagement with foreign governments to assess the weaknesses and vulnerabilities in the global transportation supply chain, critical infrastructure, and their impacts on our U.S. economic security.

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	FTPs	FTEs
FY 2021 Enacted	**$9,350**	**40**	**39**
Adjustments to Base			
Annualization of Prior Pay Raises	$20	0	0
Annualization of Positions Previously Requested	$225	0	1
FY 2022 Pay Raises	$161	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$35	0	0
FERS Changes	$3	0	0
Inflation and Other Adjustments to Base	$8	0	0
Subtotal Adjustments to Base	$452	0	1
FY 2022 Baseline Estimate	**$9,802**	**40**	**40**
Program Changes (+/-):	$2,995	4	2
FY 2022 President's Budget	**$12,797**	**44**	**42**

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
NATIONAL INFRASTRUCTURE INVESTMENTS
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	6,720	-	6,043	-	-	6,189
Travel	808	-	808	-	-	808
Other Costs	17,472	-	13,149	-	-	13,003
Programs	975,000	-	980,000	-	-	980,000
TOTAL	1,000,000	-	1,000,000	-	-	1,000,000
STAFFING						
Direct FTPs	7	-	7	-	-	7
Direct FTEs	4	-	7	-	-	7

Appropriations Language

NATIONAL INFRASTRUCTURE INVESTMENTS

For capital investments in surface transportation infrastructure, $1,000,000,000 to remain available until September 30, 2024: Provided, That the Secretary shall distribute amounts made available under this heading as discretionary grants to be awarded to a State, local or tribal government, U.S. territory, transit agency, port authority, metropolitan planning organization, political subdivision of a State or local government, 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 amounts made available 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; port infrastructure investments (including inland port infrastructure and land ports of entry); and 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 more than $30,000,000 for the planning, preparation or design of projects eligible for amounts made available under this heading [, of which not less than $10,000,000 is for projects eligible for amounts made available under this heading located in or to directly benefit areas of persistent poverty: Provided further, That the term "areas of persistent poverty" means any county that has consistently had greater than or equal to 20 percent of the population living in poverty during the 30-year period preceding the date of enactment of this Act, as measured by the 1990 and 2000 decennial census and the most recent annual Small Area Income and Poverty Estimates as estimated by the Bureau of the Census; any census tract with a poverty rate of at least 20 percent as measured by the 2014–2018 5-year data series available from the American Community Survey of the Bureau of the Census; or any territory or possession of the United States: Provided further, That grants awarded under the previous two provisos shall not be subject to a minimum grant size]: Provided further, That the Secretary may use up to 20 percent of the amounts 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), if the Secretary finds that such use of the funds would advance the purposes of this heading [: Provided further, That in distributing amounts made available 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, including tribal areas, and the investment in a variety of transportation modes: Provided further, That a grant award 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 amounts 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 amount is provided under this heading shall be, at the option of the recipient, 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 an Urbanized Area (UA), as designated by the Bureau of the Census, that had a population greater than 200,000 in the 2010 decennial 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 amounts 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]: Provided further, That for rural awards and areas of persistent poverty awards the Secretary may increase the Federal share of costs above 80 percent: Provided further, That projects conducted using amounts made available under this heading shall 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 $20,000,000 of the amounts made available under this heading, and may transfer portions of such amounts 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 amounts made available 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 120 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 of the applications submitted under the previous two provisos, the Secretary shall make grants no later than 330 days after enactment of this Act in such amounts that the Secretary determines]. (Department of Transportation Appropriations Act, 2021.)

Program and Performance Statement

The National Infrastructure Investments program, also known as Rebuilding American Infrastructure with Sustainability and Equity (RAISE) grants program, provides funding for grant awards or credit assistance on a competitive basis for capital and planning investments in surface transportation infrastructure.

Detailed Justification for the Rebuilding American Infrastructure with Sustainability and Equity Discretionary Grant Program

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

The Rebuilding American Infrastructure with Sustainability and Equity (RAISE) 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 RAISE grant program is aligned with the President's focus on creating good paying jobs, improving safety, applying transformative technology, addressing climate change, and advancing racial equity. The RAISE grant program can support economic revitalization and good-paying jobs in energy communities – hard-hit coal, oil and gas, and power plant communities – across the country. The program uses a competitive evaluation process to select projects that result in significant local or regional impact.

Since 2009, DOT has received more than 9,700 grant applications requesting more than $175 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 2020, the program has provided a combined $8.9 billion to 680 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. RAISE grants help DOT 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 RAISE grants, the focus is not on particular levels of government or modes, but on impactful outcomes and return on taxpayer investments. Among other outcomes, RAISE grants support projects that consider climate change and environmental justice in their planning and are designed with specific elements to address climate change impacts. RAISE grants also seek to invest in projects that either proactively address racial equity and barriers to opportunity or redress prior inequities and barriers to opportunity.

RAISE grants fund 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 2021 Anticipated Accomplishments:

In FY 2021, OST will:

- Continue to execute grant agreements to fully obligate $882.1 million granted to 56 FY 2019 applicants and $986 million granted to 68 FY 2020 applicants;
- Oversee implementation of projects previously obligated under the program; and
- Execute all FY 2021 funding including soliciting applications and implementing a competitive selection process by the statutory deadline.

Funding Changes:

No funding changes are proposed for FY 2022.

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

The RAISE 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, economic development, racial equity, and climate change 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. RAISE grants, however, assists local sponsors in obtaining support for innovative projects designed to move people and goods, regardless of transportation mode or jurisdictions involved.

RAISE grants enable DOT to examine a broad array of projects on their merits to help ensure projects create good paying jobs, improve safety, apply transformative technology, address climate change, and advance racial equity so that 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. Upon award, DOT attaches a funding deadline, thereby incentivizing grantees' timely and cost-effective project delivery. Once awarded, grantees must leverage performance measurements and outcome tracking to demonstrate to the taxpayer the attainment of proposed benefits and is used 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 12 years of the program. DOT believes that programs like RAISE grants are key to transforming the Nation's transportation systems and future proofing national infrastructure. 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. RAISE grants present 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
NATIONAL INFRASTRUCTURE INVESTMENTS
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2021 Enacted	**$1,000,000**	**7**	**7**
Adjustments to Base			
Annualization of Prior Pay Raises	$16	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2022 Pay Raises	$125	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$599	0	0
FERS Changes	$6	0	0
Inflation and Other Adjustments to Base	-$745	0	0
Subtotal Adjustments to Base	$0	0	0
FY 2022 Baseline Estimate	**$1,000,000**	**7**	**7**
Program Changes (+/-):	$0	0	0
FY 2022 President's Budget	**$1,000,000**	**7**	**7**

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	2,826	-	2,707	-	-	2,765
Travel	75	-	75	-	-	75
Other Costs	2,099	-	2,218	-	-	960
Programs	-	-	-	-	-	-
TOTAL	5,000	-	5,000	-	-	3,800
STAFFING						
Direct FTPs	16	-	16	-	-	16
Direct FTEs	13	-	16	-	-	16

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] $3,800,000, to remain available until expended: Provided, That the Secretary 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. (Department of Transportation Appropriations Act, 2021.)

Program and Performance Statement

This appropriation 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; increasing transparency and the public availability of information regarding 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.

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 (P3s), 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 $30 billion, and has supported over $123 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 efficiently;
- 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 as well as 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.

In addition, the Bureau provides outreach support to the Rural Opportunities to Use Transportation for Economic Success (ROUTES) initiative, which was launched in October 2019 to address disparities in rural transportation infrastructure and improve safety and economic competitiveness nationwide. The ROUTES Initiative has three key activities that will help the Department identify ways to improve access to and the impact of DOT funding for rural communities:

- Collecting feedback from stakeholders to identify rural infrastructure project needs and challenges

- Providing user-friendly information to rural communities to assist them in understanding and applying for DOT funds

- Improving DOT's data-driven approaches to better assess needs and benefits of rural transportation infrastructure projects

Overall direction for the initiative is provided by a Council led by the Under Secretary of Transportation for Policy, and made up of modal administrators and senior leadership. In addition, a cross-modal Management Team composed of staff from the various modes works to coordinate ROUTES activities across the Department. Bureau and OST-P staff are responsible for overseeing and conducting the activities of the ROUTES Initiative, and supporting the Council and Management Team.

FY 2021 Anticipated Accomplishments:

Based on its active pipeline, the Bureau expects to close 15 to 20 TIFIA and RRIF loans during FY 2021, totaling $10.3 billion in credit assistance, supporting up to $25 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 addition, the first round of Regional Infrastructure Accelerators will be established to begin this demonstration program aimed at helping speed the development of projects eligible for Bureau credit. The Bureau will finalize a strategic plan that will better focus activities on expanding the portfolio by state, region, new asset classes such as Transit oriented development, airport, port, rail, fleet electrification, the adoption of transformative technology, and loans to state infrastructure banks for rural projects.

In addition, to assist in the implementation of the ROUTES Initiative, the Bureau will:

- Develop and implement a suite of Technical Assistance activities to help rural project sponsors navigate the discretionary grant process.

- Evaluate Notice of Funding Opportunities and grant evaluation procedures to identify areas for enhancement of rural opportunities.

- Conduct outreach to help rural stakeholders identify programs that can help them meet their needs, including developing an online tool derived from the Applicant Toolkit.

- Coordinate outreach efforts on Bureau credit programs with ROUTES messaging on grant programs in order to fully take advantage of synergies between grant and credit programs.

- Fund two FTPs to support the ROUTES Initiative funded through the FY 2021 enacted budget.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

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

The Bureau provides financing that is important for the modernization of the nation's 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, along with Transit Oriented Development, significantly increase national economic development.

The Bureau is developing products and strategies aimed at improving access to DOT credit programs for rural communities, smaller borrowers, more diverse project types and new States/municipalities to increase the depth of the loan portfolio. In addition, the ROUTES initiative helps these less experienced applicants navigate grant and credit opportunities throughout the Department, and identify which funding opportunities best meet their needs. The Bureau is currently working on developing standard operating procedures that will help to expedite the review and approval of critical infrastructure projects that support economic vitality, address climate change and environmental justice, promote racial equity, leverage federal funding, increase innovation and the adoption of transformative technology, and incentivize performance and accountability.

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 AND INNOVATIVE FINANCE BUREAU
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2021 Enacted	**$5,000**	**16**	**16**
Adjustments to Base			
Annualization of Prior Pay Raises	$7	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2022 Pay Raises	$55	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$409	0	0
FERS Changes	$8	0	0
Inflation and Other Adjustments to Base	$16	0	0
Subtotal Adjustments to Base	$495	0	0
FY 2022 Baseline Estimate	**$5,495**	**16**	**16**
Program Changes (+/-):	-$1,695	0	0
FY 2022 President's Budget	**$3,800**	**16**	**16**

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	-	-	-	-	-	-
Travel	-	-	-	-	-	-
Other Costs	15,000	-	22,000	-	-	39,400
Programs	-	-	-	-	-	-
TOTAL	15,000	-	22,000	-	-	39,400
STAFFING						
Direct FTPs	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-

Appropriations Language

CYBER SECURITY INITIATIVES

For necessary expenses for cyber security initiatives, including necessary upgrades to network and information technology infrastructure, improvement of identity management and authentication capabilities, securing and protecting data, implementation of Federal cyber security initiatives, and implementation of enhanced security controls on agency computers and mobile devices, [$22,000,000] $39,400,000, to remain available until September 30, [2022] 2023. (Department of Transportation Appropriations Act, 2021.)

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 IT 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, 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.

For the DOT enterprise, the FY 2022 request supports hardware, software, services, and continued operation and enhancement of the DOT Continuous Diagnostics and Mitigation (CDM) program, capabilities aligned to the CSF, integration of privacy and transportation sector cybersecurity-focused initiatives in support of DOT's mission-oriented cybersecurity, privacy, and information protection responsibilities, and cybersecurity support and services provided to DOT business and mission stakeholders. The funding will extend and enhance implementation of core identity and attribute-based access control services for agency systems, configuration of DOT's modernized network for operational and security automation, and implementation of "zero trust" capabilities. A portion of the funds will be used for continued maintenance and operation of software, hardware, and services acquired in FYs 2013-2021 until those expenses can be transitioned to the Working Capital Fund (WCF).

The Cyber Security Initiative investment supports Federal cybersecurity priorities and 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. It also funds hardware, software, maintenance, services, and contract labor in support of the Department's implementation and operation of CDM capabilities including: hardware asset management; software asset management; vulnerability management; security settings management; and core credential and privilege management capabilities and enhancements to credential, privilege, and access management capabilities to better protect Departmental mission and business systems.

The Department of Transportation (DOT) Office of the Chief Information Officer (OCIO) is requesting a total $17.4 million increase above the FY 2021 enacted amount of $22 million in the

Cyber Security Initiative (CSI) account for FY 2022 to provide necessary resources to enhance its cybersecurity program and implement priority enhancements. The additional funding addresses the following priorities:

- The FY 2022 discretionary request identified a cyber reserve of $750 million. The FY 2022 President's Budget allocates these resources to nine agencies that were significantly impacted by the SolarWinds incident, one of which is DOT. The purpose of the funding is to address immediate response needs and does not focus on wholesale replacement of IT systems at this time. The funding request targets critical cybersecurity needs at these nine agencies which prioritizes basic cybersecurity enhancements, including: cloud security, Security Operations Center (SOC) enhancements, encryption, Multi-Factor Authentication (MFA), increased logging functions, and enhanced monitoring tools. Each agency's maturation levels were reviewed in these areas to determine the most critical gaps that require additional funding.

  The FY 2022 President's Budget requests $15.6 million to address the impacts of the SolarWinds incident at DOT. This includes:

  - $4.2 million – Microsoft M365 license upgrades from G3 to G5 for additional monitoring, detection, and protection features.
  - $1.8 million - Cloud security improvements to expand coverage and enable additional protective and monitoring features.
  - $0.5 million – Improved integration and support DOT OCIO IT Shared Services and the SOC to facilitate detection and response activities.
  - $2.3 million – Enabling of encryption leveraging existing and new capabilities to protect agency information in motion and at rest.
  - $1.0 million – Enhancements to multifactor authentication for DOT network users and for DOT mission and business applications.
  - $3.6 million – Expanding the capacity of the enterprise logging solution to enhance visibility and incident detection and response efforts.
  - $2.2 million – Deployment of DOT endpoint enhanced monitoring tools to improve monitoring, detection, protection, and response capabilities for DOT computers.

- $1.8 million of these funds will support implementation of key cybersecurity initiatives for federal civilian executive branch agencies at DOT, and to improve DOT's overall cybersecurity risk management, oversight and compliance, identity, credentialing and

access management, and enterprise cybersecurity functions. These funds will be focused on:

- $0.5 million – Additional support to the DOT CDM program for operational, and analytical capability and capacity enhancements.
- $0.8 million – Expanding the coverage and maturity of DOT's Vulnerability Disclosure Program (VDP).
- $0.5 million – Adding capacity to DOT's implementation of Information Technology Supply Chain Risk Management (IT/SCRM) functions.

FY 2021 Anticipated Accomplishments:

The FY 2021 funds will support acceleration of DOT's implementation of CDM credential and privilege management capabilities, continued operation of endpoint detection and response and cloud security capabilities that were previously deployed, modernization of DOT enterprise authentication capabilities for applications, especially leveraging GSA's Login.gov services, and additional network modernization activities to configure products and services acquired in prior years to automate key processes and begin implementation of zero-trust features within the network.

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.

Funding Changes:

DOT is requesting an additional $17.4 million in funding over the FY 2021 enacted amount of $22 million.

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 and evolving 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, production of actionable intelligence for the mitigation of risks and to inform tactical and strategic priorities, 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	FTPs	FTEs
FY 2021 Enacted	**$22,000**	**0**	**0**
Adjustments to Base			
Annualization of Prior Pay Raises	$0	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2022 Pay Raises	$0	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Inflation and Other Adjustments to Base	$193	0	0
Subtotal Adjustments to Base	$193	0	0
FY 2022 Baseline Estimate	**$22,193**	**0**	**0**
Program Changes (+/-):	$17,207	0	0
FY 2022 President's Budget	**$39,400**	**0**	**0**

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	3,267	-	3,946	-	-	5,870
Travel	68	-	95	-	-	95
Other Costs	3,447	-	2,274	-	-	2,680
Programs	14,218	-	16,485	-	-	34,718
TOTAL	21,000	-	22,800	-	-	43,363
STAFFING						
Direct FTPs	20	-	36	-	-	48
Direct FTEs	19	-	29	-	-	38

Appropriations Language

RESEARCH & TECHNOLOGY

For necessary expenses related to the Office of the Assistant Secretary for Research and Technology, [$22,800,000] $43,363,000, of which [$16,485,000] $34,718,000 shall remain available until expended: Provided, 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. (Department of Transportation Appropriations Act, 2021.)

Program and Performance Statement

This appropriation is responsible for facilitating, 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 Office of the Assistant Secretary for Research and Technology is also responsible for Positioning, Navigation, and Timing (PNT) technologies and services, PNT policy coordination, and spectrum management, and it is the program manager for the Nationwide Differential Global Positioning System.

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. BTS is funded 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, research, technology transfer and education at university based centers of excellence. The UTC Program is funded 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 and security l 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 the Department of Transportation (DOT) 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 DOT Operating Administrations (OAs) and Secretarial Offices. OST-R ensures that the Department's Innovation Priorities are implemented, and leads a range of cross-modal initiatives, including Positioning, Navigation, and Timing (PNT) and spectrum management. 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 climate and equity innovation, technology development, and breakthrough knowledge;
- Conducts oversight of the OA research portfolios on behalf of DOT leadership;
- Conducts research and facilitates multimodal research collaboration;
- Fosters technology transfer (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 programs are measured by their ability to provide high-quality cross-modal results in strategic research planning, program management, and program support services. The requested funding will allow the Research Coordination 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 in support of Secretarial priorities. The funding also examines many issues in transportation at the cross-modal level.

An OST-R portfolio focused on cross-cutting, cross-modal research is a benefit to DOT leadership and the entire Department. Policy-making demands credible estimates of the value and public benefits of transportation investments. To make wise decisions about new highways, pipelines, or airport renovation or expansion, policymakers need estimates of the economic and societal effects of these investments. Analysis of public-private partnerships to adopt new technologies require estimates of how such adoption will ripple through supply chains, as well as consideration of how new technologies will address the climate crisis and the mobility and accessibility needs of underserved populations.

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 and automated vehicles; positioning, navigation, and timing; and radiofrequency spectrum management to ensure collaborative, non-duplicative efforts on research that benefits all modes.

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 representative and 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.

The **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 research planning;
- Providing oversight of Department-wide research and development (R&D) budget development and execution;
- Aligning Departmental research with policy objectives and Secretarial priorities, and eliminating any wasteful or duplicative research spending;
- Evaluating progress on the Secretary's innovation priority 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;

- Identifying and 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.

The **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 and to help to meet the Department's obligations for public access to federally-funded research products. The Research Hub fulfills the requirement for a "consolidated research database" at 49 USC 6502.

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 being 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.

Positioning, Navigation and Timing (PNT) and Spectrum Management: DOT leads the Federal role coordinating civil sector PNT requirements and represents the civil (non-defense) 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 Space Policy Directive (SPD-7, "U.S. Space-Based Positioning, Navigation, and Timing Policy"), and the program includes all civil Federal, State, local and tribal government needs for services of the Global Positioning System (GPS) and its augmentations, as well as all private sector GPS uses and requirements.

Per SPD-7, the Secretary's role also includes ensuring that GPS public safety services meet or exceed international performance standards, and promoting PNT resiliency for transportation safety. Further, the Secretary is required to ensure protection of GPS and other radiofrequency spectrum-based safety-of-life transportation capabilities (i.e., communications, navigation, and surveillance) from harmful interference.

Through this FY 2022 request, DOT will continue to represent all civil Departments and Agencies in GPS development, acquisition, management, and operations and be responsible for coordinating, defining, and validating requirements for civil GPS applications. DOT will support development of the 2023 *Federal Radionavigation Plan*, in conjunction with the Department of Defense (DoD) and Department of Homeland Security (DHS), and provide PNT systems analysis and coordination throughout the requirements development process to ensure safe and efficient architecture deployment. DOT serves as the lead Federal agency in discussions with DoD regarding all GPS civil services and signals.

With respect to spectrum management, OST-R coordinates spectrum management, policy, planning, and analysis among DOT modal administrations; and with other Federal Agencies, including the National Telecommunications and Information Administration (NTIA) and Federal Communications Commission (FCC), to support national spectrum policy. Day-to-day responsibility for spectrum management is handled by OST-R for cross-modal transportation issues as well as for surface transportation, and in coordination with the Federal Aviation Administration (FAA) for aviation and space transportation issues.

Through this FY 2022 request, OST-R will continue to support these spectrum management efforts, analyzing benefits and potential issues for transportation applications associated with spectrum modernization (such as 5G and 6G), including interference testing and analysis.

Global Navigation Satellite Systems (GNSS) Performance Monitoring and Interference Detection Capability ($3.5 million)

Reliable PNT capabilities are essential for safety for all modes of transportation in the U.S. As GPS increasingly has become essential in all manner of global civil and military activities, so do the number of threats facing GPS. Two of these threats which are increasing in frequency are jamming and spoofing of the GPS signal. Per SPD-7, "In coordination with the Secretary of Defense and the Secretary of Homeland Security and the heads of other agencies, as appropriate, [the Secretary of Transportation] implement Federal and facilitate State, local and commercial capabilities to monitor, identify, locate, and attribute space-based PNT service disruption and manipulations within the United States that adversely affect use of space-based PNT for transportation safety, homeland security, civil, commercial, and scientific purposes."

Detection and location of any interference from jamming, spoofing, or manipulation of the GPS signal-in-space is a vital function for ensuring safe, resilient GPS operation for safety-critical transportation applications. A well-integrated monitoring capability to support such applications

does not currently exist and federal response to interference events is conducted through a manual, labor-intensive process.

To address this vulnerability, as GPS civil lead, DOT requests a one-time $3.5 million investment in a real-time GPS interference detection and reporting capability that also monitors signals of the foreign GNSS upon which most technologies now also rely. Once completed, ongoing costs to operate the $1 million annually and may be at least partially reimbursable from non-federal sources.

Through this FY 2022 request, DOT, in coordination with DHS and DoD, will lead an interagency collaboration on a multi-layer interference detection and monitoring (IDM) capability to include: a space layer, an airborne layer, and a terrestrial layer. This IDM capability should leverage federal, state, local and commercial capabilities/assets, current and future performance monitoring capabilities/assets, and related sensor technology innovations. This process will build upon existing event recording capabilities to receive reports of disruption, conduct analysis and interagency coordination and notify Federal Radio Emission Compliance Regulators of significant disruptions or manipulations of space-based PNT services. The end product will be a GNSS sensor network for monitoring performance and radiofrequency (RF) interference detection in the GNSS band.

Near-term requirements involve a spectrum monitoring capability in response to the FCC Order and Authorization granting Ligado Networks the ability to broadcast in the GPS adjacent radiofrequency band. Potential interference monitoring capabilities may include identification and location of GPS jammers and spoofers, space weather events and effects, off-nominal GPS operations, and potential GPS/GNSS design deficiencies.

With respect to GNSS performance monitoring, DOT published the federally-vetted Civil Monitoring Performance Specification (CMPS) in 2020 for all open signals broadcast by GPS. The CMPS itemizes the U.S. Government's commitments to those signals including the GPS Standard Positioning Service Performance Standard and related open signal interface specifications. The comprehensive set of CMPS monitoring functions are not met by the existing GPS Control Segment monitoring capabilities alone.

To ensure that GPS modernization capabilities meet civil needs and standards, DOT seeks to partner with the National Geospatial-Intelligence Agency (NGA) and the 2nd & 19th Space Operations Squadrons through this FY 2022 request to implement the Civil Signal Monitoring System (CSMS). The CSMS will observe and report to both the military GPS operators and to civilian GNSS stakeholder agencies that rely upon GNSS signals. To meet this mission, the DOT–NGA partnership will leverage NGA's infrastructure and resources to accelerate the implementation of the CSMS.

Executive Order (EO) 13905 Implementation and GPS Signal Authentication ($3.5 million)

From a transportation perspective, the goal of EO 13905, "Strengthening National Resilience Through Responsible Use of PNT Services", is for the Transportation Systems Sector to sustain operations in the absence, disruption, or manipulation of space-based PNT and/or develop methods that do not require space-based PNT. DOT has several initiatives focused on implementation of EO 13905 to promote the responsible use of PNT by owners and operators of safety-critical transportation applications. For example, OST-R and the Maritime Administration (MARAD) are conducting a pilot program focused on addressing GPS jamming and spoofing (including data spoofing) that can impact maritime vessels. The DOT pilot program will leverage results from the Complementary PNT Demonstration Program that the OST-R/Volpe Center conducted in March 2020, as well as feedback from the stakeholder engagement, and will inform the development of PNT profiles and best practices as directed by EO 13905.

In support of EO 13905, DOT will continue to coordinate with DHS, requests a one-time $1.5 million investment in vulnerability assessments and testing efforts, including identification of needs and dependencies on PNT necessary, to develop a representative PNT threat space model. Using this model, DOT will be able to build PNT resiliency test vectors, as well as to aid in the development and review of the EO 13905 PNT Profiles. The goal is for the Transportation Systems Sector to sustain operations in the absence, disruption, or manipulation of space-based PNT and/or develop operational methods that do not require space-based PNT. Within these amounts, DOT will also conduct targeted PNT research initiatives that align and support implementation of the National R&D Plan for PNT Resilience issued by the Office of Science and Technology Policy (OSTP) in January 2021.

With respect to GPS signal authentication, it is imperative for transportation safety applications using GPS to ensure that the signals are a legitimate transmission from the GPS satellites. As required by SPD-7, DOT, in coordination with DoD and DHS, requests a one-time $2 million research investment. This research effort will result in the development and validation of requirements for a data and signal authentication capability for civil GPS. DOT will leverage ongoing signal authentication research efforts and work with DHS on a strategy to implement data and signal authentication of civil GPS and augmentations systems for homeland security and public safety purposes.

GPS Backup/Complementary PNT Technologies Research ($10 million).
It is imperative that accurate and reliable sources of PNT are available to transportation applications and other critical infrastructure users (e.g., communications, energy, and information systems). Such resilience is critical to the goal of reducing deaths and injuries within all modes of transportation and ensuring that America's transportation network continues to be safe and technologically advanced.

The most prevalent and recognizable source of PNT supporting critical infrastructure is the Global Positioning System (GPS). Because GPS relies on signals broadcast from satellites in Medium Earth Orbit (MEO), signal strength at the receiver is low and thus vulnerable to

intentional and unintentional disruptions, thereby exposing users to risk when using only GPS alone as a PNT source.

OST-R, through work authorized and funded under the FY 2018 National Defense Authorization Act (NDAA), has demonstrated mature PNT technologies that complement and could provide a backup to the GPS service in case of a major disruption. Many of these technologies are already commercially available to owners and operators of critical infrastructure. During federally funded research demonstrations, these technologies and their vendors displayed significant potential to mitigate the risks faced by users who rely exclusively on GPS/GNSS services. The results from DOT's demonstration indicate that suitable and mature technologies are available in the private sector and offer owners and operators of critical infrastructure a diverse array of complementary PNT services to meet their GPS backup needs. Because such needs are application-specific, GPS resilience across all critical infrastructure sectors will require a plurality of diverse PNT technologies to meet multiple use cases. That is why the request seeks to repeal harmful and anti-competitive directives to establish a single Federal backup PNT solution authorized under the National Timing Resilience and Security Act of 2018 (see Office of the Secretary General Provisions Section. 108 on page 3-4 of this justification).

Through this FY 2022 request, DOT requests $10 million for research necessary to carry out the recommendations from the GPS Backup and Complementary PNT Demonstration Report to Congress submitted in January 2021. DOT estimates that an additional $5 million will be needed in Fiscal Year 2023 to complete this effort. These efforts will further develop PNT modeling, simulation, and testing tools, as well as standards and performance monitoring tools, that are needed to evaluate integration of diverse positioning, navigation, and/or timing technologies into end-user applications. This work will also support development of cyber-secure PNT receivers.

Based on the DOT Complementary PNT Demonstration recommendations, this FY 2022 budget request has three components:

1. Development of safety-critical PNT standards for transportation services.
2. Development of a PNT vulnerability and performance testing framework on demonstrated and suitable complementary technologies.
3. Development of PNT performance monitoring capabilities to ensure PNT services provide operational resilience and achieve safety-critical standards.

Highly Automated Systems Safety Center of Excellence (HASS COE) - In support of U.S. global leadership on emerging technologies and innovation, funding is included for the continuation of the HASS COE. Established by the FY 2020 Appropriations Act, the HASS COE has been created within OST-R to review, assess, and validate the safety of highly automated systems across all modes of transportation. The Department needs to acquire and develop the dedicated workforce necessary to serve as a center of expertise in automation technologies, as automation is developed, validated and deployed across the transportation system. Safely applying automation to achieve national priorities in safety, equity, climate, and

"building back better" requires supporting highly automated systems being deployed in all modes of transportation – not only in automated light-duty vehicles, but fulfilling the safety, equity, job creation and climate protection promises of automation in trucking, rail, shipping and ports, and aviation.

Equity Data and Analysis Sharing Platform - Recognizing the need for coordinated data and analysis in support of DOT's equity goals, funding is requested for a joint initiative with the Bureau of Transportation Statistics (BTS) and the Departments's Office of the Chief Information Officer to develop a coordinated Equity Data and Analysis Sharing Platform. The funding will begin development and deployment of the Platform, intended to provide a crosscutting data analysis platform and data science capability for use by all DOT Operating Administrations (OAs). This platform will provide the ability for DOT to employ a comprehensive approach to transportation analysis, with an emphasis on equity, climate, safety, and economic impact, by using common and shared data and analytical techniques across the Department. The Platform will improve the timeliness, quality, comparability, and accessibility of data and statistics produced in support of EO 13895, "Advancing Racial Equity and Support for Underserved Communities Through the Federal Government", and other Departmental priorities.

Climate Change Center - In direct support of the research, data and analysis, and evidence-building efforts required to inform decisions and to meet DOT goals in response to the Climate Crisis, and to support the goals of EO 14008, "Tackling the Climate Crisis at Home and Abroad", DOT requests funding to support reinstituting and expanding the statutorityauthorized Climate Change Center. The Center will establish a cross-modal coordination capacity and a Department-wide research program, centered around climate equity, to:

1. Develop department-wide policies and strategies to reduce greenhouse gas emissions and make our transportation systems more resilient.
2. Take action to measure and reduce transportation-related greenhouse gas emission ememis em ns and mitigate the effects of climate change from transportation, especially for the most vulnerable and historically disadvantaged populations;
3. Develop a cross-modal information infrastructure for climate and equity information, climate research literature, data and analytical tools; and
4. Establish a clearinghouse of solutions to reduce transportation-related greenhouse gas emissions and to mitigate the effects of climate change.

The Center will consist of representatives of all DOT Operating Administrations and other relevant DOT offices. It will be co-led by the Office of the Assistant Secretary for Transportation Policy and the Office of the Assistant Secretary for Research and Technology. Its activities will be overseen by a Climate Council composed of senior DOT leadership.

FY 2021 Anticipated Accomplishments:

OST-R plans the following activities for FY 2021:

- Conducting the annual review, approval, and Secretarial certification to Congress of DOT's Annual Modal Research Plans (AMRPs);
- Completing the Transportation Resilience Metrics Study, a Congressionally-mandated research project assigned to the National Academies of Sciences, Engineering and Medicine through the Further Consolidated Appropriations Act, 2020;
- Implementing a Department-wide Performance Management Data System (PMDS) to more effectively coordinate and review DOT's research portfolio through its research review and approval process;
- Completing an update to the Department's 2015 Plan to Increase Public Access to the Results of Federally-Funded Scientific Research Results (DOT Public Access Plan);
- Completing an update to the Department's 2012 Scientific Integrity Policy to fulfill the requirements of the Presidential Memorandum "Restoring Trust in Government Through Scientific Integrity and Evidence-Based Policymaking" (January 27, 2021);
- Conducting a pilot program to engage with critical infrastructure owners and operators to evaluate the responsible use of PNT services, as required by Executive Order 13905; and
- Implementing the DOT Strategic Spectrum Plan to evaluate and conduct testing of innovative technologies to ensure transportation safety, while improving spectrum sharing and efficiency.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

The FY 2022 budget request of $43.363 million for OST-R includes an increase of $20.563 million above the FY 2021 funding level ($22.8 million). This funding includes an increase of $2.330 million for salaries and expenses (9 FTE/12FTP) for programmatic oversight and direction for OST-R new and existing programs. In addition:

1) $3.5 million to execute EO 13905 Implementation and GPS Signal Authentication;
2) $3.5 million to implement a real-time GNSS interference detection capability;
3) $10 million to begin implementing recommendations from the GPS Backup and Complementary PNT Demonstration Report;
4) $2 million increase from FY 2021 to support the HASS COE;
5) $3.5 million to develop a coordinated Equity Data and Analysis Sharing Platform; and
6) $5 million for the Climate Change Center.

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, tribal 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 to develop evidence supporting policy decisions and program implementation.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2021 Enacted	**$22,800**	**36**	**29**
Adjustments to Base			
Annualization of Prior Pay Raises	$10	0	0
Annualization of Positions Previously Requested	$600	0	3
FY 2022 Pay Raises	$78	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$396	0	0
FERS Changes	$10	0	0
Inflation and Other Adjustments to Base	$11	0	0
Subtotal Adjustments to Base	$1,105	0	3
FY 2022 Baseline Estimate	**$23,905**	**36**	**32**
Program Changes (+/-):	$19,458	12	6
FY 2022 President's Budget	**$43,363**	**48**	**38**

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	-	-	-	-	-	-
Travel	-	-	-	-	-	-
Other Costs	-	-	-	-	-	-
Programs	162,000	-	141,724	-	-	247,700
TOTAL	162,000	-	141,724	-	-	247,700
STAFFING						
Direct FTPs	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-

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 sections 41731 through 41742 of title 49, United States Code, [$141,724,000] $247,700,000, 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 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 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. (Department of Transportation Appropriations Act, 2021.)

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.

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 2022 Budget request proposes an overall program funding level at $364.119 million, with the breakdown between PAC and EAS dependent on FAA-estimates for Overflight Fees:

PAC Appropriation	$247,700,000
EAS (Overflight Fees)	$116,418,744
TOTAL EAS Program	**$364,118,744**

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. Currently, 172 communities across the country, including 61 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

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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

Year	# of Communities	Budget ($ millions)	Average Subsidy per Community ($ millions)
2009	153	138.4	.90
2010	159	200.0	1.26
2011	155	199.7	1.29
2012	163	215.5	1.32
2013	160	255.0	1.59
2014	160	268.0	1.68
2015	169	263.0	1.56
2016	177	278.0	1.57
2017	177	254.0	1.44
2018	173	286.0	1.65
2019	170	325.0	1.91
2020	170	313.0	1.91

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 December 2020, using data from FY 2019, the Department issued an Order finalizing its annual compliance measurement and enforcement proceeding. The Order granted mandatory statutory waivers to 12 communities under Section 426(d)(1) of Public Law 112-95, as added by Section 458 of Public Law 115-254, and granted discretionary waivers to two other communities.

For Fiscal Years 2020 and 2021, Congress suspended compliance with the $200 per passenger subsidy cap, the 10-enplanement per service day requirement, and the $1,000 per passenger subsidy cap under the Consolidated Appropriations Act, 2021, Pub. L. No. 116-260 (December 27, 2020). Compliance with these eligibility requirements will resume at the beginning of Fiscal Year 2022.

The Department had previously proposed changes to the EAS Program for FY 2021 and FY 2022. However, in light of the continuing COVID-19 pandemic, the Department is assessing the effects of the pandemic on air service to EAS communities and the EAS Program as a whole.

FY 2021 Anticipated Accomplishments:

In FY 2021, the EAS program will:

- Provide uninterrupted service to approximately 172 communities;
- Continue to focus on cost-control through selection of best value awards, air carrier and community support;
- Assess the impact of the COVID-19 pandemic, including on air service to EAS communities;
- Continue outreach with stakeholders, including all EAS communities, Alaska Air Carriers Association, and hub airports, and;
- Continue to address and manage program-related effects of the COVID-19 pandemic.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

Due to a previously forecasted rise in contract amounts for FY 2022, we estimated a 50 percent increase in contracts to be renewed October 1, 2020, through September 30, 2021, and arrived at total program costs on page 1 to provide uninterrupted service at all eligible EAS communities.

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 March 1, 2021, 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 with annual subsidies at 100% completion, as of May 1, 2021

AK	Adak	$2,168,848
AK	Adak (freighter)	$576,819
AK	Akhiok	$227,851
AK	Akutan (helicopter)	$874,832
AK	Akutan (fixed-wing)	$951,170
AK	Alitak	$36,198
AK	Amook Bay	$36,198
AK	Angoon	$356,446
AK	Atka	$1,392,842
AK	Central	$159,268
AK	Chignik	$383,574
AK	Chignik Lake	$383,574
AK	Chisana	$77,636
AK	Circle	$159,268
AK	Cordova	$2,123,121
AK	Cordova (freighter)	$48,250
AK	Diomede	$634,400
AK	Egegik	$202,236
AK	Ekwok	$75,190
AK	Elfin Cove	$106,834
AK	Excursion Inlet	$38,297
AK	False Pass	$240,633
AK	Gulkana	$256,286
AK	Gustavus	$198,398
AK	Healy Lake	$130,903
AK	Hydaburg	$377,536
AK	Igiugig	$205,722
AK	Kake	$255,511
AK	Karluk	$197,041
AK	King Cove	$635,242
AK	Kitoi Bay	$36,198
AK	Koliganek	$193,334
AK	Lake Minchumina	$142,400
AK	Levelock	$156,305
AK	Manley Hot Springs	$43,423
AK	May Creek	$139,240
AK	McCarthy	$139,240
AK	McGrath	$334,121

AK	Minto	$43,423
AK	Moser Bay	$36,198
AK	New Stuyahok	$96,728
AK	Nikolski	$438,755
AK	Olga Bay	$36,198
AK	Pelican	$339,292
AK	Perryville	$813,282
AK	Petersburg	$2,181,575
AK	Petersburg (freighter)	$247,113
AK	Pilot Point	$181,653
AK	Port Alexander	$147,357
AK	Port Bailey	$36,198
AK	Port Heiden	$321,616
AK	Port Williams	$36,198
AK	Seal Bay	$36,198
AK	South Naknek	$148,906
AK	St. George	$1,158,439
AK	St. Paul Island	$2,471,657
AK	Tatitlek	$114,013
AK	Tenakee	$159,940
AK	Twin Hills	$231,332
AK	Uganik	$36,198
AK	Ugashik	$181,653
AK	West Point	$36,198
AK	Wrangell	$2,181,575
AK	Wrangell (freighter)	$259,895
AK	Yakutat	$3,900,569
AK	Yakutat (freighter)	$46,359
AK	Zachar Bay	$36,198
AL	Muscle Shoals	$3,053,546
AR	El Dorado/Camden	$2,645,360
AR	Harrison	$2,935,324
AR	Hot Springs	$2,761,186
AR	Jonesboro	$2,061,773
AZ	Page	$3,949,920
AZ	Prescott	$3,274,593
AZ	Show Low	$1,776,395

CA	Crescent City	$3,564,794
CA	El Centro	$2,539,616
CA	Merced	$3,450,247
CO	Alamosa	$3,577,116
CO	Cortez	$3,837,679
CO	Pueblo	$2,841,494
GA	Macon	$4,687,979
HI	Hana	$165,254
HI	Kalaupapa	$1,497,636
HI	Kamuela	$374,034
IA	Burlington	$2,464,861
IA	Fort Dodge	$3,199,642
IA	Mason City	$3,131,309
IA	Sioux City	$1,541,553
IA	Waterloo	$1,675,918
IL	Decatur	$3,054,253
IL	Marion/Herrin	$3,114,780
IL	Quincy/Hannibal, MO	$3,249,006
KS	Dodge City	$3,891,394
KS	Garden City	$787,821
KS	Hays	$3,187,319
KS	Liberal/Guymon, OK	$3,905,576
KS	Salina	$3,412,542
KY	Owensboro	$2,164,484
KY	Paducah	$3,281,512
ME	Augusta/Waterville	$2,218,739
ME	Bar Harbor	$3,502,049
ME	Presque Isle/Houlton	$6,977,597
ME	Rockland	$2,473,325

MI	Alpena	$3,817,677
MI	Escanaba	$3,222,726
MI	Hancock/Houghton	$2,320,547
MI	Iron Mountain/Kingsford	$3,915,128
MI	Ironwood/Ashland, WI	$3,666,800
MI	Manistee/Ludington	$3,797,570
MI	Muskegon	$3,341,884
MI	Pellston	$1,778,311
MI	Sault Ste. Marie	$3,464,845
MN	Bemidji	$1,386,081
MN	Brainerd	$2,070,420
MN	Chisholm/Hibbing	$2,488,234
MN	International Falls	$3,433,541
MN	Thief River Falls	$4,037,262
MO	Cape Girardeau/Sikeston	$3,440,677
MO	Fort Leonard Wood	$3,111,628
MO	Joplin	$1,544,357
MO	Kirksville	$2,341,196
MS	Greenville	$2,993,485
MS	Laurel/Hattiesburg	$3,723,322
MS	Meridian	$3,390,019
MS	Tupelo	$3,887,625
MT	Butte	$812,499
MT	Glasgow	$2,269,325
MT	Glendive	$2,451,379
MT	Havre	$2,414,676
MT	Sidney	$4,481,188
MT	West Yellowstone	$1,506,963
MT	Wolf Point	$2,440,752
ND	Devils Lake	$4,436,960
ND	Dickinson	$3,042,084
ND	Jamestown (ND)	$3,144,487
NE	Alliance	$2,346,562
NE	Chadron	$2,569,599
NE	Grand Island	$397,339
NE	Kearney	$3,712,514
NE	McCook	$2,614,223
NE	North Platte	$3,489,132
NE	Scottsbluff	$3,050,040

NH	Lebanon/White River Jct.	$3,940,959
NM	Carlsbad	$2,965,221
NM	Clovis	$4,488,669
NM	Silver City/Hurley/Deming	$4,557,812
NY	Massena	$3,480,711
NY	Ogdensburg	$5,127,038
NY	Plattsburgh	$3,408,302
NY	Saranac Lake/Lake Placid	$2,304,700
NY	Watertown (NY)	$3,625,160
OR	Pendleton	$2,676,441
PA	Altoona	$2,921,031
PA	Bradford	$2,586,534
PA	DuBois	$3,232,502
PA	Johnstown	$3,529,918
PA	Lancaster	$2,555,280
PR	Mayaguez	$1,745,659
SD	Aberdeen	$1,338,734
SD	Pierre	$3,712,693
SD	Watertown (SD)	$3,310,324
TN	Jackson	$1,922,856
TX	Victoria	$3,323,060
UT	Cedar City	$2,629,360
UT	Moab	$3,016,499
UT	Vernal	$3,104,102
VA	Staunton	$3,338,563
VT	Rutland	$1,755,539
WI	Eau Claire	$2,488,178
WI	Rhinelander	$2,593,750
WV	Beckley	$2,827,968
WV	Clarksburg/Fairmont	$2,856,486
WV	Greenbrier/White Sulphur Springs/Lewisburg	$3,874,525
WV	Morgantown	$3,193,993
WV	Parkersburg/Marietta, OH	$2,134,573
WY	Cody	$858,163
WY	Laramie	$2,260,920

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2021 Enacted	**$141,724**	**0**	**0**
Adjustments to Base			
Annualization of Prior Pay Raises	$0	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2022 Pay Raises	$0	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Inflation and Other Adjustments to Base	$0	0	0
Subtotal Adjustments to Base	$0	0	0
FY 2022 Baseline Estimate	**$141,724**	**0**	**0**
Program Changes (+/-):	$105,976	0	0
FY 2022 President's Budget	**$247,700**	**0**	**0**

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	-	-	-	-	-	-
Travel	-	-	-	-	-	-
Other Costs	-	-	-	-	-	-
Programs	-	-	100,000	-	-	-
TOTAL	-	-	100,000	-	-	-
STAFFING						
Direct FTPs	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-

Appropriations Language

TRANSPORTATION DEMONSTRATION PROGRAM

[To expand intermodal and multimodal freight and cargo transportation infrastructure, including airport development under chapter 471 of title 49, United States Code, $100,000,000, to remain available until expended: Provided, That the Secretary shall distribute funds provided under this heading as discretionary grants to maritime port authorities or former military airports classified as general aviation airports in the National Plan on Integrated Airport System report for fiscal years 2019 to 2023: Provided further, That eligible applicants that are maritime port authorities shall use a terminal railway and be located not more than 10 miles from a former military airport classified as a general aviation airport in the National Plan on Integrated Airport System report for fiscal years 2019 to 2023: Provided further, That eligible applicants that are former military airports classified as general aviation airports in the National Plan on Integrated Airport System report for fiscal years 2019 to 2023 shall be located not more than 10 miles from a maritime port authority that uses a terminal railway: Provided further, That projects eligible under this heading shall be located not more than 10 miles from at least two highways on the Interstate System: Provided further, That the Secretary shall issue the Notice of Funding Opportunity no later than 60 days after enactment of this Act.] (Department of Transportation Appropriations Act, 2021.)

Program and Performance Statement

The Transportation Demonstration Program provides grants to expand intermodal and multimodal freight and cargo transportation infrastructure, including airport development under chapter 471 of title 49, United States Code.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2021 Enacted	**$100,000**	**0**	**0**
Adjustments to Base			
Annualization of Prior Pay Raises	$0	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2022 Pay Raises	$0	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Award Changes	$0	0	0
Inflation and Other Adjustments to Base	$0	0	0
Subtotal Adjustments to Base	$0	0	0
FY 2022 Baseline Estimate	**$100,000**	**0**	**0**
Program Changes (+/-):	-$100,000	0	0
FY 2022 President's Budget	**$0**	**0**	**0**

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	-	-	-	-	-	625
Travel	-	-	-	-	-	200
Other Costs	-	-	-	-	-	9,175
Programs	-	-	-	-	-	100,000
TOTAL	-	-	-	-	-	110,000
STAFFING						
Direct FTPs	-	-	-	-	-	5
Direct FTEs	-	-	-	-	-	3

Appropriations Language

THRIVING COMMUNITIES

For necessary expenses to provide technical assistance and planning grants to improve equity and foster thriving communities through transportation infrastructure improvements, $110,000,000 to remain available until September 30, 2024: Provided, That the Secretary may retain up to $10,000,000 of the amounts made available under this heading for necessary administrative expenses of carrying out the Thriving Communities program: Provided further, That the Secretary may transfer amounts made available under this heading among the Office of the Secretary and the operating administrations of the Department of Transportation.

Detailed Justification for Thriving Communities Program

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

The Department of Transportation (DOT) requests $110 million to establish a Thriving Communities program to begin to research, identify, and support communities with persistent barriers that prevent efficient access to jobs, schools, and businesses. DOT will initiate a Thriving Communities pilot to coordinate with State DOTs to begin exploring the establishment of Highways-to-Neighborhoods to remove and redesign aging Federal highways and other infrastructure that divide and enclose communities.

The level of funding will enable DOT to provide technical assistance and planning grants to improve equity and foster thriving communities through transportation infrastructure improvements.

Of the $110 million, $10 million is for 3 FTEs and 5 positions and necessary administrative expenses to carry out the Thriving Communities program.

FY 2021 Anticipated Accomplishments:

This is a new FY 2022 initiative.

Funding Changes:

This is a new FY 2022 initiative.

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

Too often, past transportation investments divided communities – like the Claiborne Expressway in New Orleans or I-81 in Syracuse – or it left out the people most in need of affordable transportation options or safer roads, particularly in rural communities. The Thriving Communities program will support the President's commitment to increased access to housing and commercial opportunities that are affordable, safe, healthy and accessible via public transportation. This request is a step towards the Administrations' commitment to help many more communities that face persistent barriers to jobs, schools, and businesses, or face increased environmental and climate vulnerability.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2021 Enacted	**$0**	**0**	**0**
Adjustments to Base			
Annualization of Prior Pay Raises	$0	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2022 Pay Raises	$0	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Award Changes	$0	0	0
Inflation and Other Adjustments to Base	$0	0	0
Subtotal Adjustments to Base	$0	0	0
FY 2022 Baseline Estimate	**$0**	**0**	**0**
Program Changes (+/-):	$110,000	5	3
FY 2022 President's Budget	**$110,000**	**5**	**3**

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
ELECTRIC VEHICLE FLEET
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	-	-	-	-	-	-
Travel	-	-	-	-	-	-
Other Costs	-	-	-	-	-	-
Programs	-	-	-	-	-	11,000
TOTAL	-	-	-	-	-	11,000
STAFFING						
Direct FTPs	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-

Appropriations Language

ELECTRIC VEHICLE FLEET

In addition to amounts otherwise available for necessary expenses to purchase electric vehicles (EV) for the Department's owned vehicle fleet or as part of a transition to the General Service Administration's leased fleet and charging infrastructure for those fleets, $11,000,000, to remain available until expended. Provided, That amounts made available under this heading may be transferred to other accounts of the Department of Transportation.

Program and Performance Statement

This appropriation supports the Administration's goal of transitioning to a fully Zero Emission Vehicle (ZEV) Federal fleet. These funds will be used for the acquisition and deployment of vehicles which are battery electric, plug-in electric hybrid, and hydrogen fuel cell vehicles. Funding will also be used to acquire the necessary vehicle charging and refueling infrastructure. These acquisitions are a significant step towards eliminating tailpipe emissions of greenhouse gases (GHG) from the DOT fleet and aligning the DOTs fleet operations with the goal of achieving a fully ZEV federal fleet.

Detailed Justification for Electric Vehicle Fleet

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

In support of the President's goal of transitioning to a fully Zero Emission Vehicle Federal fleet, DOT's budget includes $11 million for zero emission vehicle (ZEV - battery electric, plug-in electric hybrid, and hydrogen fuel cell vehicles) acquisitions and deploying necessary vehicle charging and refueling infrastructure. These acquisitions are a significant step towards eliminating tailpipe emissions of greenhouse gases (GHG) from the DOT fleet and aligning DOT's fleet operations with the goal of achieving a fully ZEV federal fleet. This action is important because tailpipe emissions are currently the leading source of GHG emissions that threaten the planet and harm U.S. communities.

The DOT ZEV acquisitions may include vehicles for both its agency-owned and GSA-leased segments of its vehicle fleet, including incremental costs of leased vehicles and lease payments to GSA for conversion of agency-owned vehicles to GSA's leased fleet where appropriate. To ensure effective and efficient deployment of ZEVs, DOT will undertake preparation and planning for arriving ZEVs at its facilities, properly prioritizing transition to ZEVs where it is simplest and allow time for additional planning where mission demands pose a challenge to transitioning based on current technologies. Integral to this preparation is growth in the number of agency-accessible re-fueling points (vehicle charging stations). In installing this infrastructure on-site to support acquired ZEVs, DOT will take the long-term view to ensure efficiencies and thereby ensure wise infrastructure decisions that limit total expenditures. Using its experienced personnel and lessons learned in the fleet arena, DOT will undertake a process that relies on a cross-functional team of staff from fleets, operations, facilities, finance, and acquisition departments with executive leadership support. The collaboration will not stop with initial deployment, as DOT fleet and facility managers will work closely and employ existing training and tools to control utility costs by managing the overall charging load and thereby ensuring a seamless operation that now will involve building systems and vehicles together. Further, DOT will ensure proper training of personnel to address any initial shortcomings in terms of any necessary ZEV knowledge and operations as the advanced vehicle technologies roll into the DOT fleet.

The Agency is coordinating all of these efforts to meet or exceed the ZEV-related goals set forth in the comprehensive plan developed pursuant to E.O. 14008, Section 205(a). Funds for these DOT ZEV activities are part of a $600 million request in the President's Budget for ZEVs and charging infrastructure that is contained within the individual budgets of 18 Federal agencies, including ZEV Federal fleet dedicated funds at the General Services Administration. This investment will be complemented by Department of Energy funding to provide technical assistance to agencies through the Federal Energy Management Program as the DOT builds and grows its ZEV infrastructure. This investment serves as a down payment to support a multiyear, whole-of-government transformation to convert the Federal motor vehicle fleet to ZEVs and thereby reduce

carbon emissions.

FY 2021 Anticipated Accomplishments:

This is a new FY 2022 initiative

Funding Changes:

This is a new FY 2022 initiative.

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

The FY 2022 budget request supports resource needs necessary to support the President's goal of transitioning to a fully Zero Emission Vehicle fleet. These resources will be used for the acquisition of zero emission vehicle (ZEV - battery electric, plug-in electric hybrid, and hydrogen fuel cell vehicles) and the deployment of necessary vehicle charging and refueling infrastructure. These acquisitions are a significant step towards eliminating tailpipe emissions of greenhouse gases (GHG) from the DOT fleet and aligning the DOT's fleet operations with the goal of achieving a fully ZEV federal fleet. This action is important because tailpipe emissions are currently the leading source of GHG emissions that threaten the planet and harm U.S. communities.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
ELECTRIC VEHICLE FLEET
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2021 Enacted	**$0**	**0**	**0**
Adjustments to Base			
Annualization of Prior Pay Raises	$0	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2022 Pay Raises	$0	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Award Changes	$0	0	0
Inflation and Other Adjustments to Base	$0	0	0
Subtotal Adjustments to Base	$0	0	0
FY 2022 Baseline Estimate	**$0**	**0**	**0**
Program Changes (+/-):	$11,000	0	0
FY 2022 President's Budget	**$11,000**	**0**	**0**

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INDEFINITE BUDGET AUTHORITY ACCOUNTS

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	2,264	-	2,271	-	-	2,343
Travel	8	-	7	-	-	7
Other Costs	1,144	-	1,153	-	-	1,365
Programs	108,677	-	79,456	-	-	112,704
TOTAL	112,093	-	82,887	-	-	116,419
STAFFING						
Direct FTPs	14	-	14	-	-	14
Direct FTEs	13	-	14	-	-	14

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.

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT PROGRAM
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	7,440	-	8,441	-	-	8,707
Travel	-	-	-	-	-	-
Other Costs	-	-	-	-	-	-
Programs	264,360	-	258,259	-	-	291,293
TOTAL	271,800	-	266,700	-	-	300,000
STAFFING						
Direct FTPs	28	-	28	-	-	31
Direct FTEs	19	-	23	-	-	31

TIFIA Highway Trust Fund Program Account

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.

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.

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, Rebuilding American Infrastructure with Sustainability and Equity (RAISE) 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 83 projects across the United States, including five intermodal projects, 55 highway projects, and 23 transit projects. Currently, the TIFIA program's portfolio represents over $122 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 23 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. Each dollar of TIFIA funding authority can provide approximately $35 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 30 loans and extended $11.6 billion in credit support to stimulate over $41 billion in infrastructure investment.

FY 2021 Anticipated Accomplishments:

- The Office of the Secretary of Transportation (OST) anticipates closing 8 new loans in FY2021 totaling approximately $4 billion in value. That exceeds the OST's anticipated loan closing in FY 2020 (seven loans totaling approximately $3.5 billion).
- OST also anticipates to refinance five to seven existing loans with a total value of over $3 billion in support of entities that have been impacted by COVID-19.
- The Department currently has a pipeline of twenty-five additional projects in various stages of project development and credit review process, which could add more than $20 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 for undersubscribed rural loans. Currently, the Bureau is developing 12 RPI projects in eight states. This represents approximately 10 percent of the projects in the Bureau's pipeline. It is anticipated that this program will be fully subscribed during FY 2021.
- OST will continue to reach out to States historically under-represented in the applicants for TIFIA products, mainly using virtual meetings, webinars and training sessions. 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. OST will also provide technical assistance related to innovative project financing and delivery options.
- Build America Bureau will also have a fully functional risk management unit that will monitor market risks and strategically manages risk of its credit programs, especially existing loans in the portfolio (totaling more than $40 billion). This unit will consolidate risk management efforts and expand existing tasks to cover macro and micro risks similar to functions carried out by commercial banks.

Funding Changes:

The FY 2022 budget request includes changes to fund: (1) the out-year effects of the enacted 2021 one percent pay raise; (2) a proposed 2.7 percent pay raise in 2022; (3) a required 1.1 percent increase to the FERS contributions in FY 2022; and (4) a non-pay inflation of 1.0 percent.

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.

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REIMBURSABLE ACCOUNTS

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EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	90,596	-	91,720	-	-	92,903
Travel	4,000	-	4,040	-	-	4,040
Other Costs	245,404	-	249,240	-	-	248,057
Programs	-	-	-	-	-	-
TOTAL	340,000	-	345,000	-	-	345,000
STAFFING						
Reimbursable FTPs	633	-	633	-	-	633
Reimbursable FTEs	519	-	570	-	-	570

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 undertaken at the Volpe Center.

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 (OAs), 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.

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 to 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 Federal, State and local 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 2021 Anticipated Accomplishments:

In FY 2021, the Volpe Center will pursue:

- Providing ongoing support to safety programs across the OAs, including efforts to advance safe integration of new entrants into the National Airspace System including Unmanned Aircraft Systems, commercial space vehicles, and supersonic aircraft;
- Providing infrastructure and automated vehicle technical and policy support;
- Advancing data sharing across the aviation community in support of the Federal Aviation Administration's System Wide Information Management (SWIM) System;
- Preparing a Positioning, Navigation and Timing (PNT) technology report to inform the National Space-Based PNT Executive Committee about candidate backup PNT technologies that can lead to more resilient PNT services in support of safety and emerging and future automation initiatives, in support of the Office of the Assistant Secretary for Research and Technology;
- Providing technical support to the Highly Automated Systems Safety Center of Excellence; and
- Supporting the Federal Emergency Management Agency Region 1 in response to COVID-19 by providing technical advisory assistance to state, local, and tribal governments for recovery activities, including COVID-19 disaster impact assessments and long-term recovery planning related to the restoration of safe access and use of critical transportation systems and infrastructure.

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 safety, infrastructure and innovation goals of the Department and the OAs.

The Volpe Center delivers 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-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
WORKING CAPITAL FUND
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2020 Enacted	FY 2020 CARES Act	FY 2021 President's Budget	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 Request
WCF DOT Activities	205,912	-	243,638	-	-	280,637
WCF Shared Services	113,881	-	152,838	-	-	126,124
WCF Non-DOT Activities	299,483	-	306,609	-	-	306,335
TOTAL	619,276	-	703,085	-	-	713,096
STAFFING						
Reimbursable FTPs	297	-	297	-	-	299
Reimbursable FTEs	243	-	291	-	-	292

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 (DOT): Provided further, That the limitation in the preceding proviso on operating expenses shall not apply to non-DOT entities: Provided further, That no funds made available by 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 therefore are presented to the House and Senate Committees on Appropriations and are approved by such Committees.] (Department of Transportation Appropriations Act, 2021.)

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 (OAs) and other customers. In FY 2022, the Working Capital Fund will likely obligate nearly $726 million across the Department, including $93 million to continue the De-partment's implementation of a shared services environment for commodity information technology (IT) investments. The IT shared services initiative will modernize IT across the Department and improve mission delivery by consolidating separate, overlapping, and duplicative processes and func-tions. In FY 2022, the Department will continue consolidating commodity IT services across OAs. As a key part of this effort, the Office of the Chief Information Officer will focus on investment-level commodity IT as well as IT Security and Compliance activities. 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 2022, the WCF estimates $725.51 million in obligations, 303 positions, and 295 FTEs, including $93.39 million to continue the Department's move towards implementing Shared Services.

FY 2022 Working Capital Fund Summary (000s)	
DOT WCF Activities	
Administration	**$164,957**
Information Technology	**$160,826**
Sub Total	**$325,783**
DOT Shared Services	
Administration	**$3,700**
Information Technology	**$89,690**
Sub Total	**$93,390**
Non-DOT Activities	**$306,335**
TOTAL	**$725,508**

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 (OAs) 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 Cybersecurity Initiatives 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 Human Resources, 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 132 agencies Nationwide.

- The **Office of the Chief Information Officer** (OCIO) manages the delivery of IT services to customers, including operating information technology (IT) infrastructure that includes e-mail, file and print, enterprise hosting, and consolidated IT services, as well as configuration and change management support. OAs contract with the OCIO for services and reimburse the WCF for the cost of the 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 and managed. The WCF already delivers these services for several OAs, and as such, has the infrastructure in place to provide Department-wide.

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WCF Services in FY 2022

The following section outlines the activities planned with the resources requested in FY 2022. The section is grouped by the three main programmatic areas: DOT Activities; Shared Services; and Non-DOT Activities.

~ WCF Services in FY 2022: DOT Activities ~

FY 2022 DOT Activities (000s)	
Administration	$164,957
Information Technology	$160,826
Total	$325,783

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 $164.957 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. The OASA is expanding its use of the WCF to streamline inefficient reimbursable intra-agency agreements processes and consolidate payments for Departmental Centers of Excellence.

Acquisitions & Procurement Operations $8.399 million

This program provides the full range of procurement functions from acquisition planning through contract closeout including pre-award contract services, post award contract 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, Transportation Safety Institute and does limited procurement work for other customers as requested. Acquisition Services awards between $200 million and $250 million in new obligations annually, processing over 1,200 transactions per year. The Office of the Senior Procurement Executive (OSPE) has endorsed the implementation of an IT Acquisition Center of Excellence operated within the Federal Highway Administration (FHWA) that will provide acquisition and contracting support for the procurement of IT hardware, software, and services. Thise Center of Excellence will be offered through the WCF The WCF will be used as the payment mechanism for services provided by FHWA. Billing will be based on an allocation provided from the service provider and there will be no WCF Overhead charged to this service.

Building Security $18.446 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 and access control functions.

Disability Resource Center $3.666 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 **$1.791 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 **$4.074 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 **$5.049 million**

The 24 E-Gov Initiatives serve citizens, businesses, and Federal and state government employees by delivering high quality services. This business line consolidates over 115 separate DOT interagency agreements into 9 E-Gov Initiative agreements.

Emergency Response Programs **$1.790 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 **$13.178 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 **$4.951 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 the DOT cafeteria, and works with GSA to coordinate facilities operated under the Randolph-Sheppard Act.

HQ Facility Operations & Management **$30.498 million**

This program manages a diverse and complex, mission-essential, building management program for the DOT Headquarters facility totaling over 1.5 million useable square feet of space which

houses the Secretary of Transportation, seven Operating Administrations, and over 5,500 federal employees and contractors.

Human Resource Systems **$22.090 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, USA Performance Management, as well as for ongoing HR systems modernization.

Human Resource Services **$20.139 million**

Human Resource Services provides leadership, guidance, and oversight to all Human Resources programs, specifically: Departmental Work Life and Special Programs; Health Services; Human Capital Planning and Solutions; Human Resource Operations; Executive and Political Resources Center; Office of Innovation and Engagement 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.

DOT's Automated Staffing Services Executive Agent (EA) housed within the FHWA and with payments centralized through the WCF,is expanding its service offering to providecentralized classification and personnel action processing for all DOT operating administration. . The EA will utilize its existing infrastructure and cost structure to provide cto the services to all DOT Operating Administrations.

The Departmental Leadership and Supervisory training Center of Excellence is transferring into the WCF in FY2022. The Federal Transit Administration (FTA) has been designated as the single center of excellence to provide high quality training opportunities to the operating administration for Departmental Leadership and Supervisory Training. This service is currently provided through individual interagency agreements between FTA and each operating administration. Shifting this training into the WCFwill eliminate multiple interagency agreements.

The expanded DOT Automated Staffing Services along with the FTA Leadership and Supervisory Training Centers of Excellence will be billed through the WCF to Departmental Operating Administrations. The WCF will be used as the payment mechanism for services provided by the servicing operating administration which will eliminate multiple intra-agency agreements on both the buyer and seller side, and will eliminate the administrative burden for both the providers and the buyers. Billing will be based on an allocation provided from the service provider and there is no WCF Overhead charged to these services.

Information & Records Management **$8.090 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.

Security Operations **$8.498 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 **$3.003 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 OA's, USCG, and the U.S. Merchant Marine Academy.

DOT Transit Benefit Program **$9.229 million**

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

Unemployment Compensation **$2.066 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 $160.826 million

The Office of the Chief Information Officer (OCIO) has 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 **$8.549 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) **$22.625 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) **$8.884 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 separate 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 from which they can inherit security 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 **$29.684 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 **$0.361 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 **$6.124 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 **$51.838 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 **$32.761 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.

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~ WCF Services in FY 2022: Shared Services Activities ~

Administration	$3,700
Information Technology	
Original SSC	$36,674
Supplementary SSC	$53,016
Total	$93,390

Note: Supplementary SSC refers to those IT commodity items not previously included in DOT's original SSC budget requests.

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 - $3.700 million

Consolidation of services offers 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.

- The HR Operations consolidation of processes will culminate with staffing functions being added to the Departmental Automated Staffing Services Center of Excellence portfolio managed by FHWA. This phase is the final component of the center of excellence and will integrate the full staffing function to include cradle to grave hiring actions. It is anticipated that this phase will include all aspects of the hiring activity, including salary negotiations, initiating the security clearance process, coordinating drug testing, and new employee orientation.

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.

FY2022 Administration Shared Services Request ($000)	
Staff Functions	$3,071
Enterprise Property System	$629
Total	**$3,700**

CHIEF INFORMATION OFFICER:
Information Technology Shared Services – $89.690 million

The Office of the Chief Information Officer digital transformation initiative - *DestinationsDIGITAL* - is leveraging information technology Shared Services to modernize IT across DOT and better equip the Department to fulfill its mission. OCIO has taken an iterative, phased approach to digital transformation, utilizing a multi-year strategy.

Since FY 2019, DOT has identified commodity IT activities. This has allowed the OCIO to consolidate commodity IT contracts and related expenses from across the Department. *DestinationsDIGITAL* has been a success. But, further consolidation focused on additional commodity IT functions not previously identified in the original consolidation is required to improve underlying technologies and methodologies.

Currently, the technical architecture at DOT is inconsistent, with many outdated, insecure, or non-standard solutions. Decentralized IT has inhibited consistent interpretation and application of cybersecurity, privacy, and other policies, resulting in unnecessarily duplicative and inconsistent applications and practices. Modern, efficient, and secure technologies are not being utilized consistently. For example, data requests, which are an important aspect of the Department's ability to make decisions and ensure the safety of the public, require significant effort to standardize and quality check.

OCIO has a proven track record for successfully consolidating IT and managing it effectively. Decentralized IT is a detriment to the Department's mission complicating implementation, operations, and maintenance, increasing the time to recovery from failures and incidents, reducing transparency, and unnecessarily degrading end-user and stakeholder access to, and use of, DOT information and systems. Shared Services is proven to be in the best interest of DOT and its internal and external stakeholders.

In FY 2022, 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. The estimates include the remaining activities from the original commodity IT consolidation, and adds the supplementary commodity IT not previously identified.

- IT Security: IT Security and Compliance activities, particularly authorization to operate (ATO) services, not previously defined as Commodity functions. DOT spend in this area is not currently included in the FY 2021 limitation. It is essential that IT security is managed centrally to ensure consistency of risk management across DOT's systems and applications.

- Investment-level Commodity IT Spend: OAs often excluded commodity IT items supporting program offices from the original IT commodity template, including web hosting or cloud services. OCIO has expanded its IT commodity service offerings and gained more insight into OA IT spend since the data was first gathered in 2017. This spend is not programmatic and should be consolidated as part of the Commodity IT phase.

FY 2022 Commodity IT Shared Services Spending Request (000s)		
	Original SSC	**Supplementary SSC**
Desktop Services	$3,013	$7,549
Desktop Support, Field Support, Anti-virus protection		
Server Operations (on premise and cloud)	$15,148	$5,990
* **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	$0	$0
Circuit Connections		
Voice Cable & Wireless	$15,799	$25,673
Telephone & Voicemail Services, Video Teleconferencing, and Wireless Services		
Network Engineering	$2,714	$3,062
Network Hardware & Software, Networking Hardware & Software Support, and Secure Remote Access		
Directory & Messaging Services		
Active Directory Services and E-Mail Services		
Cybersecurity as a Service	$0	$10,742
* 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	**$36,674**	**$53,016**

Note: Supplementary SSC refers to those IT commodity items not previously included in DOT's original SSC budget requests.

Commodity IT Shared Services Personnel

In support of the movement of commodity IT into the WCF, an additional 49 FTP are required in direct correlation to the workload associated with commodity IT. The 49 FTP 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. A significant portion of Common Operating Environment (COE) Services that require federal and contract labor support were transitioned into the WCF in FY2020 and continue to transition in FY2021.

Seven of the 49 positions have been filled as of October 2020. The remaining unfilled positions will be advertised and open to internal DOT candidates. Staff who do not apply or are not selected will remain in his or her operating administration. Positions not filled with internal candidates will be posted on US Jobs until all positions have been filled.

~ WCF Services in FY 2022: Non-DOT Activities ~

FY 2022 Non-DOT Activities (000s)	
Administration	$306,335

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

OFFICE OF ADMINISTRATION: Administration Activities $306.335 million

Administrative Services $4.699 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 $0.293 million

Fees collected from DOT employee for DOT Fitness Center membership.

Non-DOT Transit Benefits & Parking $301.285 million

The TRANServe Program Office is a Federal Government shared services provider for transit benefits to 132 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 **$0.059 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.

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Changes in the FY 2022 Request

The following section outlines the changes in resources planned in FY 2022. The section is grouped by the three main programmatic areas: DOT Activities; Shared Services; and Non-DOT Activities.

~ Changes in the FY 2022 Request: DOT Activities ~

DOT Activities $99.380 million: Changes to the Lines of Business below make up the net change from FY 2021 enacted levels:

OFFICE OF ADMINISTRATION: Administration Activities - $30.010 million

- Acquisition and Procurement Operations is increasing by $3.291 million which reflects $3.00 million increase for the Acquisition Center of Excellence, and $.291 million due to workload changes and one additional FTP for the Departmental Procurement Platform (DP2).

- Building Security is increasing by $0.504 million due to wage increases associated with the armed Protective Security Officer contract, and for updates to the camera system, perimeter security, the physical access control system, and an outdated security console at the FAA headquarters facilities.

- E-Gov Initiatives has an increase of $1.339 million. $1.197 million is due to Integrated Acquisition Environment changes, and the new initiative for HR Assessments requires an additional increase of $0.132 million. There is a net increase of $0.01 million across multiple E-Gov initiatives.

- Financial Management, Accounting and Administration has a net increase of $1.853 million primarily due to estimated FY2022 COLA increase of $1.033 million with remaining net increase of $0.820 million related to contract escalations and the addition of the OST-wide IAA for A-123 Contractual Services.

- HR Systems has a net increase of $0.326 million. 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. Additionally, there are small increases attributable to normal salary and contract increases throughout the program.

- HQ Facility Operations and Management has a net increase of $9.945 million; $10.207 million is the net effect of Building Operations and Maintenance, HQ Utilities, and WCF Rent cost shifting as DOT anticipates receiving Delegated authority from GSA for the O&M of the DOT Building. There is a $0.262 million decrease due to contract changes.

- HR Services is increasing by $9.103 million with a $6.851 million increase due to expansion of DOT Automated Staffing Services; $1.5 million increase for Departmental Leadership and Supervisory Training; $0.405 million increase for additional FTE needed in HR Operations; $0.204 million increase for the Office of Innovation and Engagement. The remaining $0.143 million increase is a result of growth of contracts.

- Information and Records has an increase of $0.604 million due to $0.579 million for Multi-Functional Printers, and contract escalation of $0.025 million.

- Security Operations has an increase of $0.505 million due to Security and Investigations increase of $0.450 million, and contract increases of $0.055 million.

- Transit Benefits and Parking has an increase of $2.220 million due to normalized estimates of program usage.

- Several WCF Business lines had small changes with a net increase of $0.320 million.

CHIEF INFORMATION OFFICER: Information Technology Activities - $12.654 million

- Campus Area Network is increasing by $3.643 million due to the additional IT bandwidth needed to support expanded telework.

- Server & Messaging Services is increasing by $4.794 million due to the transition of MARAD and FHWA, NHTSA, and FRA into the COE.

- Voice, Cable and Wireless business line is increasing by $6.937 million due to the transition of Video Teleconferencing from Shared Services to the Common Operating Environment, PHMSA transitioning to the COE, the partial transition of the operational administrations to the COE EIS contract, and expanded circuit bandwidth for data traffic.

- Other small decreases of -$2.720 for Information Technology Activities have been incorporated in and are reflected in the revenue estimates to the WCF customers.

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~ Changes in the FY 2022 Request: Shared Services ~

Shared Services - $56.716 million: There is an increase for the WCF Administration and IT Shared Services. WCF Administration Shared Services increased by $3.700 million and Commodity IT refinements results in an increase of $53.016 million. Changes to the Shared Services below make up the net change.

OFFICE OF ADMINISTRATION: Administration Activities - $3.700 million

Human Resources staff functions and Enterprise Personal Property System.

CHIEF INFORMATION OFFICER: Information Technology Activities - $53.016 million

As OCIO and the modes have worked together to schedule consolidation activities, DOT has transitioned commodity IT spending into the WCF. As those contracts and labor-intensive services transition into the COE, the base services for IT activities will reflect an increase, as the OA Shared Services components are reduced.

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~ Changes in the FY 2022 Request: Non-DOT Activities ~

Non-DOT Activities - $0.274 million: Changes to the Non-DOT Activities below make up the net change.

A small decrease of $-0.145 million in Transit Benefits and Parking is the result of changes in the enrolled customer base and projected utilization of Fare Media. The WCF business lines with NON-DOT Activities decreased in the amount of $-0.129 million due to minor changes in customer demand across multiple business lines.

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Anticipated FY 2021 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:

- Implement and evaluate standardized pilot processes for HR staffing, classification and processing to provide for greater consistency and data quality; establish department-wide position description library; address customer satisfaction and improvement areas using 2020 Voice of the Customer survey as a benchmark; and oversee the Federal Transit Administrations' implementation of the DOT-wide new and refresher supervisory training for supervisors.

- Initiate the consolidation of DOT's $7.6 billion of personal property assets into a single system. The contract solicitation for the current WCF contract is planned in FY 2021. Future expansion of the service is expected to be a long-term, phased-in approach to ensure incremental data migration and staff training in the new system.

CHIEF INFORMATION OFFICER: In FY 2021, 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 2021 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 2021, OCIO anticipates completing the transition of 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 FY 2021, we anticipate 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 2021 Enacted		**$319,793**
FY 2022 Program Changes		**$99,380**
Description	**Explanation**	**(+/-)**
		Assistant Secretary for Administration
Acquisition & Procurement Operations	$3.0 million increase for the IT ACE, and $.291 due to workload changes and one additional FTP for the Departmental Procurement Platform (DP2)	$3,291
Building Security	Adjusted Labor rates for Building Security Guard Contract and new security equipment	$504
E-Gov Initiative	Increase of $1.197 due to Integrated Acquisition Environment, addition of the new initiative for HR Assessments for $0.132, and net increase of $0.01 across multiple E-Gov Initiatives	$1,339
Financial Mgmt., Accounting, & Administration	FY2022 COLA increase of $1.033, with remaining net increase of $0.820 related to contract escalations and the addition of the OST-wide IAA for A-123 Contractual Services.	$1,853
HQ Facility Operations & Management	O&M of the DOT Building and the net decrease of HQ Utilities and WCF Rent cost	$9,945
HR Systems	Increased costs from the Service Providers	$326
Human Resource Services	Increase of $8.351 million due to expansion DOT HR Centers of Excellence. $0.405 increase for additional FTE needed in HR Operations; $0.204 increase for the Office of Innovation and Engagement. The remaining $0.143 million increase is a result of growth of contracts	$9,103
Information & Records	Increase of $0.604 million due to $0.579 for Multi-Functional Printers, and contract escalation of $0.025	$604
Security Operations	Increase of $0.505 million due to Security and Investigations increase of $0.450, and contract increases of $0.055	$505
Transit Benefits and Parking	Restoring program usage to regular levels	$2,220
Shared Services	$3.071 million increase for staff functions, and $0.629 increase for Enterprise Property System	$3,700
Other	Changes in customer demand and refined user estimates	$320
Assistant Secretary for Administration Sub Total:		*$33,710*
Chief Information Officer		
Campus Area Network (CAN)	Transition of MARAD and FHWA into the COE, O&M on new asset purchase from FY2021	$3,643
Server & Messaging Services	Reduction efficiencies in modal transfers and reduced work order load from FY2021	$4,794
Voice, Cable & Wireless	Transition of MARAD and FHWA into the COE and reduced work order load from FY2021	$6,937
Shared Services	Addition of investment-level commodity IT not previously included in the original SSC estimates	$53,016
Other	Changes in customer demand and refined user estimates	($2,720)
Chief Information Office Subtotal:		*$65,670*
Total FY 2022 Request		**$419,173**

Working Capital Fund
Operating Administration Costs
And Other Expenses Estimate
($000)

	FY 2022 Request					
Operating Administration	**Admin**	**Admin SS**	**OCIO**	**Orig OCIO SSC**	**Supp OCIO SSC**	**Total**
OST	$ 17,537	$ -	$ 15,829	$ -	$ -	$ 33,366
FAA	46,318	0	9,859	0	0	$ 56,177
FHWA	16,635	0	38,396	6,073	0	$ 61,104
FRA	6,077	0	10,688	5,392	0	$ 22,157
NHTSA	8,319	0	19,652	2,327	0	$ 30,298
FTA	5,971	0	6,931	1,334	0	$ 14,236
GLS	355	0	755	1	0	$ 1,111
VOLPE	1,176	0	2,768	11,563	0	$ 15,507
MARAD	6,013	0	11,842	3,430	0	$ 21,285
OIG	3,948	0	1,840	128	0	$ 5,915
FMCSA	8,644	0	15,171	2,388	0	$ 26,203
OST-R	3,902	0	3,658	2	0	$ 7,562
PHMSA	5,220	0	8,611	1,549	0	$ 15,381
DOT Unspecified	17,594	3,700	21,779	2,486	53,016	$ 98,575
SUBTOTAL	$147,710	$ 3,700	$167,779	$36,674	$53,016	$408,879
Other Expenses						
Capital Assets	$ 0	$ 0	$ 8,108	$ 0	$ 0	$ 8,108
Depreciation	(95)	0	(8,202)	0	0	(8,297)
Net NON-DOT Intrafund Costs	8,786	0	0	0	0	8,786
Net WCF Intra Fund Costs	8,556	0	(6,859)	0	0	1,697
TOTAL	**$164,957**	**$ 3,700**	**$160,826**	**$36,674**	**$53,016**	**$419,173**

Note: Supplementary SSC refers to those IT commodity items not previously included in DOT's original SSC budget requests.

Crosswalk of DOT Operating Costs/Expenses

The WCF is a fee-for-service operation which receives no direct appropriations. Instead, the WCF is a self-sustaining reimbursable fund. During the budget formulation stage, the WCF provides to its customers operating cost estimates they will need to contribute to the WCF. These estimates are based on historical data and projected on-demand service levels. The preceding chart is a summary of the DOT operating cost estimates to our customers based on full cost recovery. These operating costs represent the costs provided to each Operating Administration during the fiscal year.

To crosswalk the DOT customer operating costs to DOT obligations, it is necessary to account for items that are (a) at the time of budget formulation were not directly attributable to a specific customer or (b) not directly collected as operating costs.

- DOT Unspecified represents costs where the scope of the work for individual customers is not yet determined and it is not possible to determine a specific billing methodology or customer base, such as for IT consolidation.
- Capital Asset obligations will be expensed over the expected life of the asset and collected in the future as asset replacement reserve.
- Depreciation expenses are treated as a replacement reserve to enable capital assets to be refreshed on a regular cycle. These assets are typically significant technology investments, such as networking and telecommunications equipment that have a useful life of two or more years.
- Net Non DOT Intra Fund Costs provide support services to NON-DOT programs that are not reflected in the DOT cost numbers.
- Net WCF Intra Fund Costs are the indirect expenses shared between WCF programs.

Customer Operating Costs:	***FY2022*** **($000)**
DOT Customer Total	310,303
DOT Unspecified	98,576
DOT Operating Administrations' Costs	408,879
Capital Assets	8,108
Depreciation	(8,297)
Net Non-DOT Intra Fund Costs	8,786
Net WCF Intra Fund Costs	1,697
Total WCF Obligations	419,173

The DOT unspecified amounts in FY 2022 relate to Shared Services Consolidations that will vary greatly across the WCF customer base. Additionally, the FY 2022 unspecified includes on-demand services such as facility services and personnel services which are subject to fluctuation in customer demand, and expanded Center of Excellence services provided by FHWA and FTA.

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	5,000	-	5,000	-	-	5,155
Travel	2,000	-	2,000	-	-	2,020
Other Costs	13,000	-	13,000	-	-	12,825
TOTAL	20,000	-	20,000	-	-	20,000
STAFFING						
Reimbursable FTPs	35	-	35	-	-	35
Reimbursable FTEs	29	-	30	-	-	32

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 meeting the Department's safety goals and creates a safer transportation system for the traveling public.

Since 1971, TSI has trained more than 1,000,000 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 and TSI continues to 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: Basic and Advanced Aviation Safety Investigator and Basic and Advanced Aviation Safety Officer. TSI provides critical aviation safety training to federal, state, and municipal agencies, international government and private 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 provides 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 investigations 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 Federal Transit Administration (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, 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. The division revises and/or develops 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. NHTSA and TSI developed the Highway Traffic Safety Professional Certificate Series for employee and stakeholder professional development. This division also conducts administrative services for NHTSA's Crash Investigative Sampling System and manages the NHTSA Crash Lab.

FY 2021 Anticipated Accomplishments:

FY 21 accomplishments:

- Updated all TSI classrooms to state-of-the-art technology to meet new requirements for domestic and international virtual live trainings
- Expand development of virtual live e-learning training opportunities for transportation professionals in all modes of transportation: motor carrier, hazardous materials, transit, highway traffic safety, and aviation
- Expand our training products and services to the Department of Defense
- Incorporated the emerging new 3D Faro System Laser Mapping technology to be utilized into the aircraft investigation training. This system will allow personnel to document the aircraft accident site in a 3D platform.

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 enables a cost savings to our customers. TSI will continue to enhance its safety training services to accommodate changing needs and growing demands.

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ALLOCATION ACCOUNTS

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

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	11,961	-	11,961	-	-	12,115
Travel	130	-	130	-	-	130
Other Costs	13,909	-	13,909	-	-	13,755
TOTAL	26,000	-	26,000	-	-	26,000
STAFFING						
Allocation FTPs	55	-	60	-	-	65
Allocation FTEs	48	-	55	-	-	55
Reimbursable FTPs	20	-	20	-	-	20
Reimbursable FTEs	13	-	20	-	-	20

Detailed Justification for the Bureau of Transportation Statistics

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

The **Bureau of Transportation Statistics (BTS)** was established to collect, analyze, and disseminate transportation-related information to inform policy issues requiring a cross-modal, system-wide perspective. The BTS Director is designated as the senior advisor to the Secretary on data and statistics by 49 USC 6302(b). BTS is a designated principal Federal statistical agency established in 49 USC Chapter 63 to serve the transportation community, including all levels of government and the private sector, by providing independent policy-neutral information that: analyzes safety data and trends; assesses infrastructure usage and condition; enables infrastructure and operational investment planning; and supports accountability. BTS employs innovative data collection processes and rigorous economic and statistical analysis to facilitate evidence-based decision-making, and disseminates statistical information and the Department's research findings to its diverse customers through the Bureau's National Transportation Library. BTS also maintains reimbursable programs for the collection and publication of commercial airline information and for confidential close calls reporting.

Our Nation relies on objective, credible statistics to support and inform the decisions of governments, businesses, households, and other organizations. BTS programs provide the Nation with objective, credible transportation statistics, data and tools to assist entities such as the Department, state DOTs, metropolitan and rural planning organizations, transportation authorities, local and tribal governments, transportation carriers and shippers in strategically targeting operational and capital investments and allowing them to effectively implement policies in support of the Nation's transportation infrastructure and operations. BTS data, including indicators of economic activity, are used to track changes in transportation related to the COVID-19 pandemic and other disruptions, and to target investments in revitalizing and rebuilding airports, freight transportation facilities, and other critical transportation infrastructure. Through the application of statistics and analytical tools, BTS continues to provide transportation and other sector decision-makers with trusted resources and valuable insight on how our transportation system is performing.

Transportation planning and analysis require more geographic and temporal specificity in BTS data sets to fine-tune analyses to support optimal operations and more precise estimates of the incidence of impacts. BTS is gathering more data, more frequently, to support the performance measures increasingly used to support investment and policy decisions. BTS is meeting the demand for more frequent updating, for new tools with which to display and understand information, and for improved access to information within constraints of promises of confidentiality to respondents and limitations in the use of proprietary data.

FY 2021 Anticipated Accomplishments:

- Completed the agency transformation from a focus on printed reports and annual statistical releases to interactive statistical products and visualizations, continuously updated.

- Completed preparations for the 2022 Commodity Flow Survey to provide post-pandemic benchmarks for the Freight Analysis Framework to support the Department's National Freight Policy and National Freight Strategic Plan, along with a suite of other analyses, both planned and in response to policymaker needs.
- Continued to develop rapid indicators of COVID-19 impacts on transportation.
- Established with the Office of the Chief Information Officer a DOT Data Council as part of implementation of the Evidence Act.
- Establish a Data and Analysis sharing platform to manage data from multiple sources, make available analysis results and codes, and collaboratively develop evidence to achieve Administration Priority Goals.

Funding Changes:

The BTS program is funded through an allocation from the Federal Highway Administration (FHWA).

What benefits will be provided to the American Public through this request and why is this program necessary?

The requested budget will significantly strengthen BTS' ability to support the Department's increasing transportation data, analysis and statistical needs at this time when the data needs and challenges are rapidly changing. The world is changing, transportation technology is changing, and how we use, collect, analyze, display, and disseminate data is changing. What is being asked of data, and the rapidity with which answers are demanded, has both increased and accelerated.

Key benefits include, but are not limited to:

- BTS provides continuing monitoring of significant changes in the transportation system and its use following the disruptions caused by COVID-19.

- BTS' Commodity Flow Survey data and TransBorder freight data collections provide foundational data to the Freight Analysis Framework that estimates system-wide freight flow by detailed commodity classification, origin, destination, and mode. Without these estimates, the National Freight Policy and the National Freight Strategic Plan (pursuant to MAP-21 §1115) are not evidence-based. BTS' transportation network data contributes significantly to the development of the National Freight Network (§ 1115), which is critical to targeted infrastructure and operational investments to support the future efficient movement of goods.

  To receive funding under the National Highway Freight Program (23 USC 167), the FAST Act requires each State to develop a State Freight Plan that comprehensively addresses the state's freight planning activities and investments. BTS' comprehensive freight flow estimates undergird the development of these State Freight Plans.

- Transportation's key role in the economy is highlighted by BTS statistics such as the Transportation Services Index and Transportation Satellite Accounts. Through these time

series indicators, policy makers, investors and planners can understand transportation-based economic trends and the depth of reliance of major economic sectors on transportation.

- BTS is initiating data collection for new and emerging modes and means of delivering personal and freight transportation that may supplement or replace components of the traditional transportation system.

- The commerical airline information program provides essential information to the Federal Aviation Administration to guide infrastructure investments and to the Office of the Assistant Secretary for Aviation and International Affairs for oversight of the aviation industry and of consumer protection related to airline on-time performance.

- The Confidential Close Calls program improves workplace safety by implementing safety management systems and protocols, the results of which are measured through the reduction of serious close call events and by the number of insights on potential safety problems that can be generalized from the program's participants to the broader transportation community.

- The National Transportation Library, established in 49 USC 6304 as part of BTS, leads the implementation of the Department's public access plan, which makes DOT-funded research and supporting data available to and usable by the public, industry, and the scientific community; and catalyzes innovation.

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
UNIVERSITY TRANSPORTATION CENTERS PROGRAM
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	855	-	876	-	-	888
Travel	100	-	100	-	-	100
Other Costs	76,545	-	76,524	-	-	76,512
Grants	-	-	-	-	-	-
TOTAL	77,500	-	77,500	-	-	77,500
STAFFING						
Allocation FTPs	5	-	5	-	-	5
Allocation FTEs	5	-	5	-	-	5

Detailed Justification for the University Transportation Centers Program

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

The University Transportation Centers (UTC) Program awards competitive grants to university consortia across the U.S. to advance state-of-the-art transportation research, promote technology transfer, and develop the next generation of transportation professionals. The UTC program provides DOT with the opportunity to fund advanced, transformative research that DOT would not otherwise be able to execute, in the environment best suited for such research. The UTCs are also valuable assets for industry and State DOTs, executing research that neither group could conduct themselves and providing each group with new talent on the high end of the workforce scale. To this end, the UTC program advances Departmental priorities through baseline grant funding for multimodal university-based transportation research, technology transfer and education. In FY 2020, OST-R awarded funding to support four Tier 1 Centers, one in each of the following specific topic areas.

1. Highly Automated Transportation Systems Research;
2. Communications Technology and E-Commerce Effects on Travel Demand;
3. Implications of Accessible Automated Vehicles and Mobility Services for People with Disabilities; and
4. Strategic Implications of Changing Public Transportation Travel Trends.

OST-R receives UTC program funding through an allocation from the FHWA. The costs of coordinating, overseeing and managing the UTC program are funded from an administrative set-aside of 1.5% percent designated by 49 USC 5505(d), supporting the UTC program and associated grants management staff.

FY 2021 Anticipated Accomplishments:

- Completed and submitted the Annual UTC Report to Congress required by 49 USC 5505(d)(2).

- Issued continuation funding for FY 2021 to qualified UTCs to conduct research, technology transfer and education programs in accordance with U.S. DOT and FAST Act research and technology goals. This effort was achieved in an optimal manner that ensured the timely obligation of funds to the various UTC entities.

Funding Changes:

The UTC program is funded through an allocation from the Federal Highway Administration (FHWA).

What benefits will be provided to the American Public through this request and why is this program necessary?

Funding the UTC program will result in a safer, more advanced surface transportation system through transformative technologies. The research and technology transfer activities conducted by these centers will ultimately save lives and reduce injuries. The monetary savings benefit the public through increased safety of transportation systems and through reduced congestion, more resilient infrastructure, cleaner communities and increased access to multiple modes of transportation.

The UTC program prepares the next generation of transportation leaders and experts to not only deal with today's problems, but to address the challenges of advancing future technologies and to replace an aging workforce unfamiliar with newer transportation industry technologies.

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SUPPLEMENTAL ACCOUNTS

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EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2020 Actual	FY 2020 CARES Act	FY 2021 Enacted	FY 2021 CRRSA Act	FY 2021 American Rescue Plan Act	FY 2022 President's Budget
Personnel Compensation and Benefits	-	-	-	-	-	-
Travel	-	-	-	-	-	-
Other Costs	-	-	-	-	30,000	-
Programs	-	-	-	-	2,970,000	-
TOTAL	-	-	-	-	3,000,000	-
STAFFING						
Direct FTPs	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-

The Aviation Manufacturing Jobs Protection (AMJP) Program is a new program created under the American Rescue Plan that provides funding to eligible businesses, to pay up to half of their compensation costs for certain categories of employees, for up to six months. In return, the business has to make several commitments, including a commitment that the company will not involuntarily furlough or lay off employees within that group during the same six-month period. No funds are being requested in FY 2022.

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SECTION 4: RESEARCH, DEVELOPMENT, AND TECHNOLOGY

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EXHIBIT IV-1
DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY OF TRANSPORTATION
FY 2022 RESEARCH, DEVELOPMENT & TECHNOLOGY BUDGET REQUEST BY GOAL
BUDGET AUTHORITY
(in thousands of dollars)

Budget Account	FY 2020 Actual	FY 2021 Enacted	FY 2022 President's Budget	Applied	Tech Transfer	Facilities	Experimental Development	Major Equipment, R&D Equipment
A. Transportation Planning, Research & Development (TPR&D)	**10,879**	**9,350**	**12,695**	**12,695**	**-**	**-**	**-**	**-**
B. Research & Development (R&D)	**14,218**	**16,485**	**34,718**	**22,768**	**3,950**	**-**	**6,500**	**1,500**
Research & Technology Programs	2,218	7,715	4,218	3,668	550	-	-	-
Emergency Planning Transportation Data Initiative	1,000	1,000	-					
Recycled Plastic Materials in Transportation	-	800	-					
Resilient Infrastructure	-	1,000	-					
Shared-use Mobility	-	2,970	-	-				
Transportation Resiliency Study	1,000	-	-					
National Competitive University Transportation Centers (UTC)	5,000	-	-					
EO 13905 Implementation/GPS Signal Authentication	-	-	3,500	2,000	500	-	1,000	-
GNSS Performance Monitoring/Interference Detection			3,500	1,000	500		500	1,500
Implementation of Recommendations from the GPS Backup and Complementary PNT Demonstration Report	-	-	10,000	7,000	1,000		2,000	
Highly Automated Systems Safety Center of Excellence	5,000	3,000	5,000	3,000			2,000	
Equity Data and Analysis Sharing Platform			3,500	3,100	400			
Climate Change Center			5,000	3,000	1,000		1,000	
Competitive University Transportation Center (UTC) Consortia (FHWA)	[77,500]	[77,500]	[77,500]	[77,500]				
Safety								
Infrastructure								
Total	**25,097**	**25,835**	**47,413**	**35,463**	**3,950**	**-**	**6,500**	**1,500**

FY 2022 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 2022. 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), National Highway Traffic Safety Administration (NHTSA), Federal Railroad Administration (FRA), 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, DOT will continue to collaborate 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. In June of 2020, DOT selected nine State, local, and Tribal government recipients for almost $3.3 million in awards to develop, refine, and implement roadway safety tools. OST is working 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 better and

more effective 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.

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. In FY2021, The Department expects to collect data from the Automated Driving System Demonstration Grant award winners that can be used for research purposes to better inform Departmental analysis.

FY 2022 funds will be used to continue to fund the acquisition of foreign airline data and an airline traffic evaluation computer model used to map traffic flows (particularly important for pandemic mitigation) and for analysis of airline competition issues and proposed airline agreements.

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.

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Climate Change Center – In direct support of the research, data and analysis, and evidence-building efforts required to inform decisions and to meet DOT goals in response to the Climate Crisis, and to support the goals of EO 14008, "Tackling the Climate Crisis at Home and Abroad", DOT requests funding to reinstitute and expand the work of the DOT Climate Change Center. The Center will establish a cross-modal coordination capacity to address policy and research objectives related to climate change. It will:

1. develop department-wide policies and strategies to reduce greenhouse gas emissions and

make our transportation systems more resilient.

2. take action to measure and reduce transportation-related greenhouse gas emissions and mitigate the effects of climate change from transportation, especially for the most vulnerable and historically disadvantaged populations;
3. develop a cross-modal information infrastructure for climate and equity information, climate research literature, data and analytical tools; and
4. establish a clearinghouse of solutions to reduce transportation-related greenhouse gas emissions and to mitigate the effects of climate change.

The Center will consist of representatives of all DOT Operating Administrations and other relevant DOT offices. It will be co-led by the Office of the Assistant Secretary for Transportation Policy and the Office of the Assistant Secretary for Research and Technology. Its activities will be overseen by a senior Climate Council composed of senior DOT non-career representatives.

Office of the Assistant Secretary for Research and Technology

RDT Coordination Program

The RDT Coordination program does not fund research activities, but rather focuses on coordinating the Department's research portfolio 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; review of Department-wide research budgets and modal funding plans; aligning Departmental research with policy objectives; implementing best practices in innovation development and deployment across the Department's Operating Administrations (OA); and working with the OAs to ensure 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.

Fiscal Year 2021

Examples of the programmatic activities funded through the RDT Coordination Program in Fiscal Year 2021 (FY 2021) include:

FY 2021 Research Review and Approval Process:
A Research Review and Approval Process (RRAP) was implemented by OST-R in 2018 to ensure that DOT's research activities are aligned with DOT Strategic Goals and Secretarial priorities and comply with statutory mandates. The process is composed of three primary elements to ensure full coverage of each modal administration's research portfolio; (a) Annual Modal Research Plans – Statutory Review; (b) Project Spend Plan Reviews; and (c) Biannual Research Reviews.

In FY 2021 DOT utilized its Performance Management Data System (PMDS) as the core data source and analysis platform for the FY 2021 Research Review and Approval Process (RRAP). The PMDS is a project-level database of the Department's $1B research portfolio, providing the analytical tools and visualizations necessary for internal review, coordination, and progress tracking of the research being conducted and proposed across the OAs. The PMDS also served as the data source for meeting the Department's FAST Act Consolidated Research Database mandates and Public Access compliance mandates, through alignment with the DOT Research Hub initiative described below.

DOT Performance Management Data System and 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. In FY 2021 the PMDS built capabilities through the use of natural language processing tools to accelerate research reviews and enable cross-agency identification of synergies and tracking. PMDS helped ensure the continued collection of up-to-date project information by developing updated tools and processes and by coordinating across all OAs.

DOT's PMDS and Research Hub work together to ensure RD&T portfolio transparency, track progress towards research coordination, 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). These two systems database supports research coordination by providing project-level access to the Department's extensive RD&T portfolio, leveraging opportunities for cross-agency and external collaboration. These two systems will be integrated into one database to develop reports on pertinent research topics, and to identify gaps and potential duplication in ongoing research activities across the Department.

Technology Transfer (T2):
T2 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.

DOT Climate Change Center:
RDT Coordination will be the lead OST-R office supporting the re-institution of the Department's statutorily authorized by 49 U.S.C. 102 (g), "Office of Climate Change and Environment," multi-modal Center for Climate Change in FY 2021, in partnership with the Office of the Assistant Secretary for Transportation Policy. The Center will ensure cross-modal coordination and collaboration, and will track climate change activities across the Department through modal and OST representation on the Center's steering group. It will promote innovation and research; establish an information infrastructure; ensure consideration of equity issues related to climate change, and integrate climate policies across the department. Center expansion plans for FY 2022 are provided below.

OST-R plans to accomplish the following activities in FY 2021:

- Coordinating the development of all OA Annual Modal Research Plans (AMRPs);
- Conducting the annual review, approval, and Secretarial certification to Congress of DOT's Annual Modal Research Plans (AMRPs);
- Conducting the FY 2021 Research Review and Approval Process (RRAP);

- Conducting a series of Biannual Research Reviews to monitor progress made by the modal administrations towards prior year objectives and to discuss plans for the coming fiscal year.
- Piloting a Department-wide PMDS to more effectively coordinate and review DOT's research portfolio through its research review and approval process; and communicate with OST leadership on Department-wide RD&T activities.
- Providing training in processes and best practices for facilitating technology transfer;

Fiscal Year 2022

In FY 2022, the RD&T Coordination Program will continue to work 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 will include:

- Coordinating the development of all OA Annual Modal Research Plans (AMRPs);
- Conducting the annual review, approval, and Secretarial certification to Congress of DOT's Annual Modal Research Plans (AMRPs);
- Developing a new DOT RD&T Strategic Plan to align with the new DOT Strategic Plan.
- Continuing to provide oversight of Department-wide research budget development and execution through the FY 2022 Research Review and Approval Process;
- Aligning Departmental research with strategic goals, policy objectives, and Secretarial priorities, and eliminating any wasteful or duplicative research spending;
- Conducting a series of Biannual Research Reviews to to monitor progress made by the modal administrations towards prior year objectives and to discuss plans for the coming fiscal year.
- Implementing best practices in innovation development and deployment across the Department's OAs.
- Providing training in processes and best practices for facilitating technology transfer;
- Ensuring transparency and public access to the Department's research portfolio and products, and to the datasets generated by that research.
- Maintaining and improving the Department-wide Performance Management Data System (PMDS) to more effectively coordinate and review DOT's research portfolio through its research review and approval process.
- FTEs to stand up a climate office in FY 2022 to guide and support the Center with independent funding to pay for cross-modal projects initiated through the Center.

Cross-Modal Research Priorities (CMRP) Program

OST-R works with Federal and non-Federal stakeholders to advance the development and deployment of cross-modal Secretarial 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 complementary research efforts underway outside the Department, and ensures the elimination of duplicative research efforts. Example priority areas include COVID-19 research needs and impacts assessment (including economic recovery),

infrastructure resilience and disaster recovery, racial equity and climate change.

Fiscal Year 2021

In FY 2021 the program is focusing on several high priority cross-modal research areas conducted in conjunction with internal and external research partners. Cross-modal areas where challenges and problems were addressed included:

(a) Infrastructure Resilience

1. Tools to Augment Transportation Infrastructure Resilience and Disaster Recovery
"Tools to Augment Transportation Infrastructure Resilience and Disaster Recovery" is a collaborative effort between FHWA, OST-R, and OST-S60, with the Volpe Center serving as the technical team. The project objective is to develop a prioritization tool to assist State MPO's in incorporating resiliency into long range infrastructure planning. The project's technical team, working with Hampton Roads MPO, identified the travel demand model (TDM) as the foundation for tool development. The tool, known as the Resilience and Disaster Recovery Metamodel Minimum Viable Product, is now being piloted in partnership with Hampton Roads MPO and VDOT and will provide benefit cost analysis at the project level, including exposure analysis and TDM data, and provide project prioritization for long range planning. The technical team is working with external project partners, and a feedback group of several State MPOs, to compile and review test results for further tool development. The project team is discussing the COVID-19 response as a recovery component to the tool.

2. TRB Transportation Resilience Metrics Study
In FY 2020, Congress directed $1M to the National Academies of Science, Engineering and Medicine through the Transportation Research Board (TRB) to initiate the Transportation Resilience Metrics Study. The study will:

(1) identify and examine approaches used by Federal agencies, States, metropolitan planning organizations, local governments, and other organizations, including approaches described in academic literature, to develop metrics for transportation resilience;
(2) provide findings on approaches to measuring resilience that have shown or promise success; and
(3) provide recommendations on addressing challenges with measuring resilience.

OST-R is acting as the federal "sponsor/manager" for the project, which commenced in April 2020 and will be completed in FY 2021.

3. NSTC Subcommittee on Resilience Science and Technology
USDOT serves on the White House NSTC Subcommittee on Resilience Science and Technology. The subcommittee is defining and coordinating the federal role in resilience research and its interface with national and international stakeholders. Currently, the subcommittee is identifying the challenges and immediate lessons learned during the COVID-19 impact to help shape the resilience science and technology research agenda in the coming budget years.

(b) Congestion Management in the 21st Century

This research effort, conducted in partnership with the Federal Highway Administration, aimed to provide a resource for practitioners, policy and decision makers at all levels of Government, and other stakeholders to better understand current trends in congestion, and the methodologies used in response at both the Federal and local level. The study focused on capturing the latest trends in congestion and highlight new strategies used by Federal, state and local governments, and other countries, to address congestion, as well as examine research on emerging congestion mitigation methodologies and strategies. The study was completed in FY 2021.

(c) Human Factors Cross-Modal Research Coordination – Scoping Study.

The Volpe Center coordinated with the Human Factors Coordinating Committee (HFCC) to identify, consolidate and prioritize DOT multimodal research needs related to human factors (HF). The results of this activity will be documented in a List of Cross-Modal Research Topics:

- HF research that is being planned, ongoing or complete that might apply to another mode
- HF research (planned ongoing or complete) that might apply to multiple or all modes
- Equipment, talent or other resources that might be made available to other modes to complete HF research
- Data that might reside in a given mode that might help human factors researchers across DOT to scope, define or complete HF research

Volpe will also support OST-R's human factors research planning and review process by engaging HFCC in facilitated discussions and brainstorming of cross-modal research priorities, as well as structured review of modal research plans. This may include identifying and developing cross-modal research topic(s) that can be led by the TRWG and developing a framework for cross-modal research evaluation. This study is scheduled for completion in FY 2021.

CMRP Program Benefits

The research results from these studies advance the Department's commitment to addressing transportation problems in a holistic manner through cross-modal, collaborative work. Each study area addressed an issue of critical importance that required a multimodal approach. The outputs were used to address DOT secretarial priorities as well as meeting the research needs of federal and non-federal research partners.

Fiscal Year 2022

In FY 2022 the CMRP program will continue to work on high-priority cross-modal topic areas that address secretarial priority areas. It is anticipated that the program will continue to focus on high priority cross-modal research areas that include:

- Working with State and local partners to test disaster recovery decision-making tools for use in the aftermath of regional-scale natural and man-made disasters.
- Research needs related to COVID-19 and the impacts of global pandemics on transportation system resilience
- Funding cross-modal research in other high priority areas such as economic recovery,

climate change, and racial equity.

FY 2022 Anticipated Accomplishments from the CMRP program include:

- Completion of the Transportation Resilience Metrics Study, a congressionally-mandated research project assigned to the National Academies of Sciences, Engineering and Medicine through the Further Consolidated Appropriations Act [2020, P.L. 116-94 (2019)].
- Initiation of a project on "Resilient Infrastructure" to expand technical assistance and training to help state DOTs, local governments, and tribal governments incorporate reliable indicators of vulnerability and actionable mitigation measures in all phases of transportation planning and asset management. to be conducted by the National Academies of Sciences, Engineering, and Medicine.
- Completion of the Tools to Augment Transportation Infrastructure Resilience and Disaster Recovery project, in conjunction with FHWA, and initiation of a second phase that focuses on piloting the resilience tool with State and local transportation agencies.
- Initiation of a "Shared-use mobility" project to increase mobility to disadvantaged groups, particularly in rural areas.
- Initiation of a "Recycled Plastic Materials in Transportation" project, to be conducted by the National Academies of Sciences, Engineering, and Medicine.

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 and resiliency without hampering innovative emerging technologies.

Fiscal Year 2021

Activities funded in FY 2021 included:

Completing the FY 2018 National Defense Authorization Act Section 1606 Report to Congress on GPS Backup /Complementary PNT Demonstration Analysis and Assessment;

- Initiating a pilot program, as required by Executive Order 13905, in conjunction with the Maritime Administration focused on evaluation of GPS jamming and spoofing in the maritime environment and applicable mitigation techniques.

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

- Evaluating spectrum monitoring techniques that could be utilized to detect harmful interference caused by authorized operations by Ligado in the adjacent radiofrequency band to GPS.

Fiscal Year 2022:

The research is expected to address PNT capability gaps such as interference to GPS and the need for PNT resiliency, including cyber resiliency, interference detection, and Complementary PNT capabilities. Focus areas for FY 2022 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 benefits to the American people are reliable and resilient PNT for safety-critical transportation applications.

Through this FY 2022 request, DOT will continue to represent all civil departments and agencies in GPS development, acquisition, management, and operations and be responsible for coordinating, defining, and validating requirements for civil applications. DOT will support development of the 2023 Federal Radionavigation Plan, in conjunction with DoD and DHS, and provide PNT systems analysis and coordination throughout the requirements development process to ensure safe and efficient architecture deployment and serves as the lead federal agency in discussions with DoD regarding all GPS civil services and signals.

Per SPD-7, the Secretary's role also includes ensuring that GPS public safety services meet or exceed international performance standards, and promoting PNT resiliency for transportation safety. Further, the Secretary is required to ensure protection of GPS and other radiofrequency spectrum-based safety-of-life transportation capabilities (i.e., communications, navigation, and surveillance) from harmful interference.

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).

Highly Automated Systems Safety Center of Excellence

OST-R staffs and manages the Highly Automated Systems Safety (HASS) Center of Excellence (COE). The HASS COE has been established to order to have a Department of Transportation workforce capable of reviewing, assessing, and validating the safety of automated technologies.

The HASS COE 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.

Employees of the HASS COE, in conjunction with the relevant Operating Administrations of the Department of Transportation, shall review, assess, and validate highly automated systems to ensure their safety.

Fiscal Year 2021

Expected and completed achievements:

- Hiring a Director for the HASS COE
- Coordinating with the USDOT Operating Administrations to identify the major research and technology areas involved in transportation automation;
- Coordinating with OST-M to map occupational codes and skillsets to the major research and technology areas involved in transportation automation;
- Coordinating with the USDOT Operating Administrations to identify the primary skillset, expertise and knowledge gaps existing across the transportation modes;
- Completing and submitting the HASS COE Staffing Plan to Congress;
- Requesting and justifying Full Time Equivalent (FTE) billets to staff the office
- Developing and submitting to Congress the Position Descriptions for the initial FTE hires;
- Developing a Transportation Automation Workforce Strategic Plan;
- Staffing the HASS COE with the FTEs planned to be filled in FY 2021 in accordance with the approved Staffing Plan
- Developing a HASS COE Strategic Narrative, Goals and Plan
- Developing a HASS COE Stakeholder Engagement Plan to identify the stakeholder

community across USDOT, Other Government Agencies, industry and academia, and to establish the strategy to engage with each component of the stakeholder community;

- Developing a Transportation Automation Technology Gaps and Opportunities Analysis to identify the opportunities to foster consistency and continuity of automation policies, research, regulatory framework, test and validation methods and standards across transportation modes;

- Supporting the Department in the development of automation elements of an updated USDOT Strategic Plan and USDOT Research and Development Strategic Plan; and

- Supporting OST-R in the review of automation elements of Annual Model Research Plans;

Fiscal Year 2022:

- Staffing the HASS COE with the FTEs planned to be filled in FY 2022 in accordance with the approved Staffing Plan;

- Support USDOT Human Capital offices with the identification of key skillsets required across the agency to perform the USDOT mission for automated transportation systems;

- Fully implement operations to support the USDOT Operating Administrations with expertise to review, assess and validate the safety of automation transportation systems;

- Fully implement operations to support the Department in the development and implementation of updated Automated Vehicle policies; and

- Develop a Plan of Action and Milestones to further the Department's efforts to manage the Transportation System of the Future as an integrated system-of-systems, particularly in the area of transportation automation.

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SECTION 5: INFORMATION TECHNOLOGY BUDGET NARRATIVE

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INFORMATION TECHNOLOGY
DEPARTMENT OF TRANSPORTATION
OST BUDGET AUTHORITY

($000)

Budget Account	FY 2020 Enacted	FY 2021 Budget	FY 2022 Request
Cyber			
IT Working Capital Contribution			
Commodity IT Shared Services	$5,563	$3,523	$3,500
Modal IT	$9,437	$18,477	$35,900
Cyber Total	**$15,000**	**$22,000**	**$39,400**
Salaries and Expenses (S&E)			
IT Working Capital Contribution			
DOT Agency WCF Contribution Passthrough	$5,469	$5.588	$6.802
Commodity IT Shared Services	$13.713	$12,655	$12,328
Non-CIO IT WCF	$22,647	$24,303	$25,181
Modal IT	$36,279	$38,938	$34,688
Salaries and Expenses Total	**$78,109**	**$81,485**	**$79,000**
Office of Research and Technology (OST-R)			
IT Working Capital Contribution			
Commodity IT Shared Services	$3,537	$3,410	$3,660
Modal IT	$2,288	$2,750	$0,522
OST-R Total	**$5,825**	**$6,160**	**$4,182**
Volpe			
IT Working Capital Contribution			
Commodity IT Shared Services	$14,269	$14,017	$14,331
Modal IT	$1,644	$7,353	$7,039
Volpe Total	**$15,913**	**$21,371**	**$21,371**
OST Total	**$114,846**	**$131,016**	**$143,953**

The Office of the Secretary (OST) is requesting **$143,953 million** in FY 2022 for information technologies (IT) that support the full spectrum of OST programs as well as the Department's initiative to transform and consolidate the management of certain IT solutions centrally by the Office of the Chief Information Officer (OCIO).

Commodity IT Shared Services (SS) through the Working Capital Fund

OCIO will continue to provide all modes Commodity IT Shared Services in FY 2022 to achieve economies of scale and increase consistency of cybersecurity protections across the Department. Commodity IT Shared Services include IT functions and activities dedicated to basic support services, including network operations, end-user computing, telecommunications services, and server operations.

The following bullets each represents a breakout of OST's contributions to the WCF and provides the source of the funding budget account for the contribution. The narrative also explains what IT services OST offices are buying through the WCF.

- **Base Services WCF-Chief Information Officer (CIO)** – OST requests **$3.500 million** from the Cyber budget account**, $12.328 million** from S&E budget account, **$3.658 million** from OST-R budget account, and **$2.768 million** from Volpe budget account. These WCF Base Service contributions 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).

- **Commodity IT Shared Services (SS) WCF-CIO** – OST-R requests **$0.002 million** from S&E budget account, and **$11.563 million** from the Volpe budget account. The 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-CIO IT Working Capital Fund** – OST requests total of **$25.181 million** from the S&E budget account. Non-CIO IT WCF services and systems include, but is not limited to, the Workers Compensation Information System, the Personnel Security Enterprise System (PSES), and the Human Resources (HR) & Payroll Services. The Office of the Assistant Secretary for Administration (OST-M) contributes majority of the total Non-CIO IT WCF for OST.

- **DOT Agency WCF Contribution Passthrough** – OST requests **$6.802 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.

Modal IT

The following major mission-critical and mission support IT systems will be maintained by OST in FY 2022. This list is only a subset of all IT systems that support OST and are reported in OMB's the Corporate Investment Management System.

- **DOT IT Security and Compliance Program** – OST requests **$39.400 million** in the Cyber Appropriation account 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 cyber security initiatives, including necessary upgrades to network and IT infrastructure, enhancement of identity management and authentication capabilities, securing and protecting data, testing and assessment of IT against business, security, and other requirements, implementation of Federal cyber security initiatives and implementation of enhanced security controls on agency computers and mobile devices.

- **Delphi** – OST requests **$2.084 million** in the Salaries and Expenses (S&E) account 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.

- **Consolidated Automated System for Time and Labor Entry (CASTLE)** – OST requests **$0.150 million** in the Salaries and Expenses (S&E) account DME and O&M. CASTLE records DOT's employee Time and Attendance (T&A).

- **Enterprise Service Center (ESC) Procurement Information System for Management (PRISM)** – OST requests **$1.385 million** in the Salaries and Expenses (S&E) account DME and O&M. ESC PRISM supports multiple purchasing sites, electronic routing and approval, requisitioning, electronic notifications, contract management, and post award processing and closeout.

- **Other IT maintenance and support contributions staying within OST** – OST requests $**12.350 million** in the Salary and Expense DME and O&M of these systems to provide IT program and project management, strategic planning, and other technology in alignment of OST OCIO's mission. They include, but is not limited to direct CIO support and administration, Amazon Web Services support, Section 508 compliance, Aviation Decisions Data Systems, Grants Notification system, and Airline Performance and Economic Information System

FY 2022 Budget

Department of Transportation (DOT) Information Technology Budget Summary

(Budget Authority in Thousands)

Operating Administration (OA)	FY 2020 Actual	FY 2021 Request	FY 2022 Request
Federal Aviation Administration (FAA)	$3,153,693	$3,076,685	$3,236,680
Federal Highway Administration (FHWA)	$114,288	$109,441	$111,386
Federal Motor Carrier Safety Administration (FMCSA)	$63,816	$75,447	$66,031
Federal Railroad Administration (FRA)	$25,542	$28,110	$30,077
Federal Transit Administration (FTA)	$32,025	$31,971	$33,282
Maritime Administration (MARAD)	$29,292	$25,708	$25,740
National Highway Traffic Safety Administration (NHTSA)	$64,601	$58,956	$73,046
Office of Inspector General (OIG)	$9,042	$9,607	$11,154
Office of the Secretary (OST)	$114,846	$131,016	$143,953
Pipeline and Hazardous Materials Safety Administration (PHMSA)	$26,949	$23,309	$22,846
Saint Lawrence Seaway Development Corporation (SLSDC)	$2,284	$2,229	$2,546
DOT Total	**$3,636,378**	**$3,572,479**	**$3,756,741**

	FY 2019 Actual	FY 2020 Budget	FY 2021 Request
Commodity IT SS WCF Subtotal	$155,338	$166,644	$176,889
Programmatic IT Subtotal	$3,481,044	$3,403,919	$3,579,843
DOT Total	**$3,636,378**	**$3,572,479**	**$3,756,741**

Note: Totals may not add due to rounding.

The Department of Transportation (DOT) is requesting $3. 756 billion in FY 2021for 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 Section 5s.

SECTION 6: TEN-YEAR HISTORY TABLE

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

	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request	
SALARIES AND EXPENSES	97,121	107,000	105,000	108,750	114,000	112,813	113,910	115,490	126,174	143,030	
FINANCIAL MANAGEMENT CAPITAL	4,729	7,000	5,000	5,000	4,000	6,000	2,000	2,000	2,000	5,000	
OFFICE OF CIVIL RIGHTS	8,893	9,551	9,600	9,678	9,751	9,500	9,470	9,470	9,600	12,628	
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	2,908	3,088	3,099	3,084	4,646	4,646	3,488	4,646	4,714	4,977	1/
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	8,529	7,000	6,000	8,500	12,000	14,000	7,879	10,879	9,350	12,797	
TPR&D Cancellation of Unobligated Balances	0	-2,750	0	0	0	0	0	0	0	0	
NATIONAL INFRASTRUCTURE INVESTMENTS	473,847	600,000	500,000	500,000	500,000	1,500,000	900,000	1,000,000	1,000,000	1,000,000	
INFRASTRUCTURE FOR REBUILDING AMERICA	0	0	0	0	0	0	0	0	0	0	
MINORITY BUSINESS RESOURCE CENTER	874	925	925	933	941	500	500	0	0	0	
CYBER SECURITY INITIATIVES	9,477	4,455	5,000	8,000	15,000	15,000	15,000	15,000	22,000	39,400	
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	0	0	0	0	3,000	3,000	5,000	5,000	5,000	3,800	
RESEARCH AND TECHNOLOGY	15,145	14,765	13,000	13,000	13,000	23,465	8,471	21,000	22,800	43,363	
ESSENTIAL AIR SERVICE	[97,697]	[118,906]	[110,164]	[105,653]	[121,801]	[133,742]	[145,437]	[114,869]	[80,869]	[118,446]	2/
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	135,520	149,000	155,000	175,000	150,000	155,000	175,000	162,000	141,724	247,700	

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.

SECTION 7:

OIG & GAO RECOMMENDATIONS

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2020

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
1	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.	Recommendation Pending GAO Closure	N/A	N/A
2	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.	Recommendation Pending GAO Closure	N/A	N/A
3	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.	Recommendation Pending GAO Closure	N/A	N/A
4	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.	Recommendation Pending GAO Closure	N/A	N/A
5	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.	Recommendation Pending GAO Closure	N/A	N/A
6	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.	Recommendation Pending GAO Closure	N/A	N/A
7	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.	Recommendation Pending GAO Closure	N/A	N/A
8	OIG	FHWA	2/5/2009	ZA2009033	Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	Recover the unallowed excecutive 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.	11/1/2020	N/A	N/A
9	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.	11/1/2020	N/A	N/A
10	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.	2/28/2016	N/A	N/A
11	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.	Recommendation Pending GAO Closure	N/A	N/A
12	GAO	FTA	9/24/2009	GAO-09-871	Affordable Housing in Transit-Oriented Development	To strengthen formal collaboration efforts, the Secretary of Transportation should direct the Administrator of the Federal Transit Administration, and the Secretary of Housing and Urban Development should direct the appropriate program offices, to 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.	Recommendation Pending GAO Closure	N/A	N/A
13	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.	3/31/2021	N/A	N/A
14	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.	7/1/2021	N/A	N/A
15	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.	9/30/2021	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2020

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
16	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.	9/30/2021	N/A	N/A
17	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.	12/31/2020	N/A	N/A
18	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 POHMSA 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).	1/31/2021	N/A	N/A
19	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.	12/31/2020	N/A	N/A
20	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.	12/31/2020	N/A	N/A
21	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.	12/31/2020	N/A	N/A
22	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.	12/31/2020	N/A	N/A
23	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.	11/1/2020	N/A	N/A
24	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.	1/1/2024	N/A	N/A
25	OIG	FAA	7/19/2012	AV2012152	Long Term Success of ATSAP Will Require Improvements In Oversight, Accountability, and Transparency	Revise Air Traffic Safety Action Program (ATSAP) guidance to exclude accidents from the program.	N/A	Unresolved	DOT did not agree with the recommendation. FAA is concerned that excluding accidents from ATSAP (along with any other ASAP) may risk losing important details directly after an event and delay safety enhancements that can benefit FAA's Air Traffic Organization, employees, and the traveling public.
26	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.	12/31/2020	N/A	N/A
27	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.	12/31/2020	N/A	N/A
28	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.
29	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.
30	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.	12/31/2020	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
31	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.
32	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 ensue 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 datadriven, 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.
33	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.	N/A	Impasse	GAO disagreed that the Agency's corrective actions fully implement the recommendation.
34	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. Due to resources, FHWA will only conduct a cost allocation study if mandated.
35	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.	6/30/2021	N/A	N/A
36	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.	12/1/2020	N/A	N/A
37	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.	12/31/2020	N/A	N/A
38	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.	12/31/2020	N/A	N/A
39	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.	10/31/2020	N/A	N/A
40	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
41	OIG	FHWA	7/12/2013	SA2013111	Cheyenne River Sioux Tribe, South Dakota	Ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	10/31/2020	N/A	N/A
42	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.	12/31/2020	N/A	N/A
43	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.	10/31/2020	N/A	N/A
44	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.	9/30/2021	N/A	N/A
45	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.	9/30/2021	N/A	N/A
46	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.	9/30/2021	N/A	N/A
47	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
48	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.	12/31/2020	N/A	N/A
49	OIG	FHWA	5/21/2014	SA2014045	Spirit Lake Tribe, North Dakota	Recover $17,190 from the Tribe, if applicable.	12/1/2020	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
50	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.	7/1/2021	N/A	N/A
51	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.	9/30/2020	N/A	N/A
52	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.	12/31/2021	N/A	N/A
53	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.	12/30/2020	N/A	N/A
54	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.	10/31/2020	N/A	N/A
55	OIG	FHWA	9/17/2014	SA2014123	United States Virgin Island	Ensure the USVI complies with Cash Management Requirements.	10/31/2020	N/A	N/A
56	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.	12/31/2020	N/A	N/A
57	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.	6/1/2021	N/A	N/A
58	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.	6/1/2021	N/A	N/A
59	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.	6/1/2021	N/A	N/A
60	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.	12/31/2021	N/A	N/A
61	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.	12/2/2019	N/A	N/A
62	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.	Recommendation Pending GAO Closure	N/A	N/A
63	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.	Recommendation Pending GAO Closure	N/A	N/A
64	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.	Recommendation Pending GAO Closure	N/A	N/A
65	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.	Recommendation Pending GAO Closure	N/A	N/A
66	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.	5/1/2021	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2020

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
67	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.	11/2/2020	N/A	N/A
68	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.	7/30/2021	N/A	N/A
69	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.	8/31/2020	N/A	N/A
70	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.	12/31/2020	N/A	N/A
71	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.	10/15/2021	N/A	N/A
72	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.	6/30/2021	N/A	N/A
73	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
74	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
75	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.	1/31/2021	N/A	N/A
76	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	Impasse	HHS has overall responsibility for communicable disease response, and DHS has the lead in preparedness planning for all sectors, including transportation. DOT supports the development of a national public health preparedness plan in a manner consistent with Presidential Policy Directive 8. We are ready to support the inclusion of aviation equities in such a plan.
77	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.	3/31/2021	N/A	N/A
78	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
79	OIG	OST	3/8/2016	SA2016028	North Coast Railroad Authority, Ukiah, CA	Ensure the Authority complies with the Reporting Requirements.	12/1/2020	N/A	N/A
80	OIG	FHWA	3/11/2016	SA2016039	Crow Tribe of Indians, Crow Agency, MT	Ensure the Tribe complies with the Cash Management Requirements.	10/31/2020	N/A	N/A
81	OIG	FHWA	3/11/2016	SA2016039	Crow Tribe of Indians, Crow Agency, MT	Recover $2,773,489 from the Tribe, if applicable.	10/31/2020	N/A	N/A
82	OIG	FHWA	3/16/2016	SA2016053	Nanwalek IRA Council, Nanwalek, AK	Ensure the Council complies with the Allowable Costs/Cost Principles Requirements.	10/31/2020	N/A	N/A
83	OIG	FHWA	3/16/2016	SA2016053	Nanwalek IRA Council, Nanwalek, AK	Recover $255,941 from the Council, if applicable.	10/31/2020	N/A	N/A
84	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.	10/31/2020	N/A	N/A
85	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.	12/1/2020	N/A	N/A
86	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.	12/31/2020	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
87	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.	Recommendation Pending GAO Closure	N/A	N/A
88	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.	Recommendation Pending GAO Closure	N/A	N/A
89	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.	N/A	Impasse	GAO disagreed with the Agency's corrective action. FHWA conducted a pilot which established model protocols for States to conduct their own in-service performance evaluations. However making any kind of statistically valid performance assessment on a particular device would require 5-6 years of data.
90	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.	8/3/2020	N/A	N/A
91	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.	9/30/2021	N/A	N/A
92	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
93	OIG	OST	8/5/2016	SA2016087	North Coast Railroad Authority, Ukiah, CA	Ensure the Authority Complies with Reporting Requirements.	12/1/2020	N/A	N/A
94	OIG	OST	8/5/2016	SA2016087	North Coast Railroad Authority, Ukiah, CA	Ensure the Authority complies with Fixed Charge Coverage Ratio Requirements.	12/1/2020	N/A	N/A
95	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.	3/30/2020	N/A	N/A
96	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.	3/30/2020	N/A	N/A
97	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.	3/30/2020	N/A	N/A
98	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.	12/30/2020	N/A	N/A
99	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.	12/30/2020	N/A	N/A
100	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.	10/31/2020	N/A	N/A
101	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.	9/10/2020	N/A	N/A
102	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.	8/10/2020	N/A	N/A
103	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.	8/10/2020	N/A	N/A
104	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.	10/1/2020	N/A	N/A
105	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.	Recommendation Pending GAO Closure	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
106	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.	Recommendation Pending GAO Closure	N/A	N/A
107	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Implement a ranking method for incidents.	12/1/2020	N/A	N/A
108	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	12/1/2020	N/A	N/A
109	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.	12/1/2020	N/A	N/A
110	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.	10/1/2020	N/A	N/A
111	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.	12/31/2020	N/A	N/A
112	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.	11/30/2020	N/A	N/A
113	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.	Recommendation Pending GAO Closure	N/A	N/A
114	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.	12/31/2020	N/A	N/A
115	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.	12/31/2020	N/A	N/A
116	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.	10/1/2020	N/A	N/A
117	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. FAA NextGen Transformational Program investments are made in accordance with OMB Circular A-11 and provide a business case that demonstrates to the Agency, OMB, and Congress, that disciplines of good project management are being employed to define and manage the cost, schedule and performance goals of the project and that it is worthy of public investment.
118	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.	10/31/2020	N/A	N/A
119	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.	10/31/2020	N/A	N/A
120	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.	10/31/2021	N/A	N/A
121	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.	10/15/2021	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2020

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
122	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.	10/15/2021	N/A	N/A
123	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.	9/30/2021	N/A	N/A
124	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.	9/30/2021	N/A	N/A
125	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.	9/30/2021	N/A	N/A
126	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.	9/30/2020	N/A	N/A
127	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.	9/30/2020	N/A	N/A
128	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.	8/31/2020	N/A	N/A
129	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.	Recommendation Pending GAO Closure	N/A	N/A
130	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.	12/31/2021	N/A	N/A
131	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.	11/30/2020	N/A	N/A
132	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.	6/30/2021	N/A	N/A
133	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.	12/31/2020	N/A	N/A
134	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.	10/30/2020	N/A	N/A
135	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 recommendes that FHWA strengthen policies and procedures to ensure that terminated users' access is removed timely, in accordance with the DOT Cybersecurity Compendium guidelines.	10/31/2020	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
136	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.	12/31/2020	N/A	N/A
137	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.	6/30/2021	N/A	N/A
138	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.	12/1/2020	N/A	N/A
139	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.	10/31/2020	N/A	N/A
140	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.	Recommendation Pending GAO Closure	N/A	N/A
141	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.	Recommendation Pending GAO Closure	N/A	N/A
142	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.	10/31/2020	N/A	N/A
143	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.	10/31/2020	N/A	N/A
144	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.	3/31/2021	N/A	N/A
145	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.	11/30/2020	N/A	N/A
146	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.	10/31/2020	N/A	N/A
147	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.	9/30/2020	N/A	N/A
148	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.	9/30/2020	N/A	N/A
149	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.	9/30/2020	N/A	N/A
150	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
151	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
152	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.	6/30/2020	N/A	N/A
153	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
154	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
155	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
156	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.	1/31/2021	N/A	N/A
157	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.	1/31/2021	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
158	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.	10/1/2020	N/A	N/A
159	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.	10/1/2020	N/A	N/A
160	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.	10/1/2020	N/A	N/A
161	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.	12/31/2020	N/A	N/A
162	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.	12/31/2020	N/A	N/A
163	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.	12/31/2020	N/A	N/A
164	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
165	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
166	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.	6/30/2021	N/A	N/A
167	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.	3/31/2021	N/A	N/A
168	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.	3/31/2021	N/A	N/A
169	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.	3/31/2021	N/A	N/A
170	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.	3/31/2021	N/A	N/A
171	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.	3/31/2021	N/A	N/A
172	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.	12/1/2020	N/A	N/A
173	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.	12/1/2020	N/A	N/A
174	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.	10/31/2020	N/A	N/A
175	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.	10/31/2020	N/A	N/A
176	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.	10/31/2020	N/A	N/A
177	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.	10/31/2020	N/A	N/A
178	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.	10/31/2020	N/A	N/A
179	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.	9/30/2020	N/A	N/A
180	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.	9/30/2020	N/A	N/A
181	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 OIG disagreed with the Agency's proposed corrective actions as to when FAA should terminate the leases.
182	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.	9/30/2021	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2020

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
183	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.	12/31/2020	N/A	N/A
184	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.	10/1/2020	N/A	N/A
185	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).	9/30/2020	N/A	N/A
186	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.	9/30/2020	N/A	N/A
187	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.	8/31/2020	N/A	N/A
188	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.	4/1/2020	N/A	N/A
189	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.	2/1/2021	N/A	N/A
190	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.	2/1/2021	N/A	N/A
191	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.	2/1/2021	N/A	N/A
192	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.	2/1/2021	N/A	N/A
193	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.	2/1/2021	N/A	N/A
194	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
195	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.	12/30/2020	N/A	N/A
196	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.	12/30/2020	N/A	N/A
197	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.	12/30/2020	N/A	N/A
198	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.	Recommendation Pending GAO Closure	N/A	N/A
199	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.	Recommendation Pending GAO Closure	N/A	N/A
200	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.	Recommendation Pending GAO Closure	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
201	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.	8/31/2020	N/A	N/A
202	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.	10/31/2020	N/A	N/A
203	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.	10/31/2020	N/A	N/A
204	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
205	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.	Recommendation Pending GAO Closure	N/A	N/A
206	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.	12/31/2020	N/A	N/A
207	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; and c. Making timely referrals of delinquent overflight fees to Treasury; implementation of this recommendation could put $7.98 million in funds to better use.	10/31/2020	N/A	N/A
208	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.	2/28/2021	N/A	N/A
209	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.	2/28/2021	N/A	N/A
210	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.	2/28/2021	N/A	N/A
211	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.	2/28/2021	N/A	N/A
212	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.	2/28/2021	N/A	N/A
213	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.	2/28/2021	N/A	N/A
214	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.	2/28/2021	N/A	N/A
215	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.	12/31/2020	N/A	N/A
216	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.	12/31/2020	N/A	N/A
217	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
218	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.	12/31/2020	N/A	N/A
219	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.	11/30/2020	N/A	N/A
220	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.	11/1/2020	N/A	N/A
221	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

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
222	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
223	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
224	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
225	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.	9/30/2020	N/A	N/A
226	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.	9/30/2020	N/A	N/A
227	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.	9/30/2020	N/A	N/A
228	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.	9/30/2020	N/A	N/A
229	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.	9/30/2020	N/A	N/A
230	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.	9/30/2020	N/A	N/A
231	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.	Recommendation Pending GAO Closure	N/A	N/A
232	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.	12/31/2031	N/A	N/A
233	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.	9/30/2021	N/A	N/A
234	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.	9/30/2021	N/A	N/A
235	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.	12/31/2020	N/A	N/A
236	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
237	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.	5/1/2020	N/A	N/A
238	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	Impasse	FHWA agreed to clarify environmental review start times to provide more consistent information for tracking project review time frames; however, 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.
239	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.	Recommendation Pending GAO Closure	N/A	N/A
240	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.	3/31/2021	N/A	N/A
241	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.	3/31/2021	N/A	N/A
242	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.	12/31/2020	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2020

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
243	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.	10/30/2020	N/A	N/A
244	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.	10/31/2020	N/A	N/A
245	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	12/31/2020	N/A	N/A
246	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.	12/31/2020	N/A	N/A
247	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. Project Level Agreements (PLAs) do not obligate funding so contract funding principles do not apply to these vehicles.
248	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. FAA does not believe that an additional control on Program Management Assessment limits is required due to the fact that all financial management actions are currently handled within existing regulatory constraints.
249	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. FAA's capital budgeting process already documents all records of decision related the agency's budget allocation process. The FAA's budget development process develops agency priorities and ensures that all funding requests are in alignment with these priorities.
250	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.	1/29/2021	N/A	N/A
251	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.	12/1/2020	N/A	N/A
252	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.	12/1/2020	N/A	N/A
253	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.	10/31/2020	N/A	N/A
254	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.	Recommendation Pending GAO Closure	N/A	N/A
255	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.	10/30/2020	N/A	N/A
256	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.	11/15/2020	N/A	N/A
257	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.	10/31/2020	N/A	N/A
258	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.	10/31/2020	N/A	N/A
259	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.	10/31/2020	N/A	N/A
260	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.	10/31/2020	N/A	N/A
261	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.	12/31/2021	N/A	N/A
262	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.	2/28/2022	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
263	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.	3/1/2021	N/A	N/A
264	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.	12/31/2020	N/A	N/A
265	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.	12/31/2020	N/A	N/A
266	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.	12/31/2020	N/A	N/A
267	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.	12/31/2020	N/A	N/A
268	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.	Recommendation Pending GAO Closure	N/A	N/A
269	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.	Recommendation Pending GAO Closure	N/A	N/A
270	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.	Recommendation Pending GAO Closure	N/A	N/A
271	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.	12/31/2021	N/A	N/A
272	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.	10/31/2020	N/A	N/A
273	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.	12/1/2020	N/A	N/A
274	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.	10/31/2020	N/A	N/A
275	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.	2/29/2020	N/A	N/A
276	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
277	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
278	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.	3/31/2021	N/A	N/A
279	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.	3/31/2021	N/A	N/A
280	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.	10/31/2020	N/A	N/A
281	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.	9/1/2020	N/A	N/A
282	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.	9/1/2020	N/A	N/A
283	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.	5/1/2020	N/A	N/A
284	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.	12/31/2020	N/A	N/A
285	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.	3/31/2021	N/A	N/A
286	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.	12/1/2020	N/A	N/A
287	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.	12/1/2020	N/A	N/A
288	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.	12/1/2020	N/A	N/A
289	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.	10/31/2020	N/A	N/A
290	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.	10/31/2020	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
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.	10/31/2020	N/A	N/A
292	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.	10/31/2020	N/A	N/A
293	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.	10/31/2020	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	Recovers $3,077,574 from the Tribe, if applicable.	10/31/2020	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	Ensures that the Tribe complies with the activities allowed/allowable costs and cost principles requirements.	10/31/2020	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	Recovers $22,691 from the Tribe, if applicable.	10/31/2020	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	Ensures that the Tribe complies with the equipment and real property requirements.	10/31/2020	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 period of performance requirements.	10/31/2020	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 special tests and provisions requirements.	10/31/2020	N/A	N/A
300	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.	4/30/2020	N/A	N/A
301	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
302	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
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 reporting requirements.	10/1/2019	N/A	N/A
304	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.	12/1/2020	N/A	N/A
305	OIG	OST	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Recovers $8,954 from the University, if applicable.	12/1/2020	N/A	N/A
306	OIG	FTA	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Recovers $9,377 from the University, if applicable.	10/31/2020	N/A	N/A
307	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.	10/31/2020	N/A	N/A
308	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
309	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.	12/31/2020	N/A	N/A
310	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of eInvoicing and AIP Grant Payments	Update FAA policy to include the availability of existing Delphi eInvoicing training and communicate the policy revision to all AIP grantees.	10/31/2020	N/A	N/A
311	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of eInvoicing 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.	10/31/2020	N/A	N/A
312	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of eInvoicing 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.	10/31/2020	N/A	N/A
313	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.	10/31/2020	N/A	N/A
314	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.	12/31/2021	N/A	N/A
315	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.	10/31/2020	N/A	N/A
316	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.	10/31/2020	N/A	N/A
317	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.	12/30/2020	N/A	N/A
318	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.	12/30/2020	N/A	N/A
319	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.	12/30/2020	N/A	N/A
320	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.	6/30/2020	N/A	N/A
321	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.	6/30/2021	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
322	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.	9/30/2020	N/A	N/A
323	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 accuracyand completeness of the Federal Aviation Administration's (FAA) CrossAgency Priority (CAP) goal metrics.	12/1/2020	N/A	N/A
324	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.	12/1/2020	N/A	N/A
325	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 retainingdata used to report on CAP performance-based goal metrics.	12/1/2020	N/A	N/A
326	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.	12/31/2020	N/A	N/A
327	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.	12/31/2020	N/A	N/A
328	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.	10/31/2020	N/A	N/A
329	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.	10/31/2020	N/A	N/A
330	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.	10/31/2020	N/A	N/A
331	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.	4/30/2021	N/A	N/A
332	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.	12/31/2020	N/A	N/A
333	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Develop and issue Agencywide 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.	12/31/2020	N/A	N/A
334	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.	12/31/2020	N/A	N/A
335	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.	12/31/2020	N/A	N/A
336	GAO	OST	3/7/2019	GAO-19-161	Automated Trucking: Federal Agencies Should Take Additional Steps to Prepare for Portential 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.	Recommendation Pending GAO Closure	N/A	N/A
337	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.	12/31/2020	N/A	N/A
338	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.	Recommendation Pending GAO Closure	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
339	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.	Recommendation Pending GAO Closure	N/A	N/A
340	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.	1/7/2021	N/A	N/A
341	GAO	OST	3/11/2019	GAO-19-279	Survace 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."	1/7/2021	N/A	N/A
342	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.	12/31/2020	N/A	N/A
343	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.	11/1/2020	N/A	N/A
344	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.	11/1/2020	N/A	N/A
345	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.	9/23/2022	N/A	N/A
346	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.	12/31/2021	N/A	N/A
347	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.	12/21/2021	N/A	N/A
348	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
349	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.	2/16/2021	N/A	N/A
350	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.	1/31/2021	N/A	N/A
351	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.	1/31/2021	N/A	N/A
352	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.	11/30/2021	N/A	N/A
353	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
354	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.	11/1/2020	N/A	N/A
355	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.	10/31/2020	N/A	N/A
356	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.	10/31/2020	N/A	N/A
357	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.	10/31/2020	N/A	N/A
358	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.	10/31/2020	N/A	N/A
359	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
360	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
361	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

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2020

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
362	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
363	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
364	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
365	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
366	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
367	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
368	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
369	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
370	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
371	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.	6/30/2021	N/A	N/A
372	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.	11/2/2020	N/A	N/A
373	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.	10/31/2020	N/A	N/A
374	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.	10/31/2020	N/A	N/A
375	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.	10/31/2020	N/A	N/A
376	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.	10/31/2020	N/A	N/A
377	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.	10/31/2020	N/A	N/A
378	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.	10/31/2020	N/A	N/A
379	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.	Recommendation Pending GAO Closure	N/A	N/A
380	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.	10/31/2020	N/A	N/A
381	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.	10/31/2020	N/A	N/A
382	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.	10/31/2020	N/A	N/A
383	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.	10/31/2020	N/A	N/A
384	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.	10/31/2020	N/A	N/A
385	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.	10/31/2020	N/A	N/A
386	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.	9/1/2020	N/A	N/A
387	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
388	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.	10/31/2020	N/A	N/A
389	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.	2/29/2020	N/A	N/A
390	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

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
391	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.	Recommendation Pending GAO Closure	N/A	N/A
392	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.	Recommendation Pending GAO Closure	N/A	N/A
393	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.	Recommendation Pending GAO Closure	N/A	N/A
394	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.	3/31/2021	N/A	N/A
395	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."	6/30/2021	N/A	N/A
396	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.	6/30/2021	N/A	N/A
397	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.	6/30/2021	N/A	N/A
398	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.	6/30/2021	N/A	N/A
399	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.	6/30/2021	N/A	N/A
400	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.	12/30/2020	N/A	N/A
401	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.	12/30/2020	N/A	N/A
402	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.	12/31/2020	N/A	N/A
403	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
404	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
405	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.	10/1/2020	N/A	N/A
406	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.	10/31/2020	N/A	N/A
407	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).	10/31/2020	N/A	N/A
408	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).	10/31/2020	N/A	N/A
409	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.	10/30/2020	N/A	N/A
410	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.	12/31/2020	N/A	N/A
411	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.	12/31/2020	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
412	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.	12/31/2020	N/A	N/A
413	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
414	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.	9/30/2020	N/A	N/A
415	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.	9/30/2020	N/A	N/A
416	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.	9/30/2020	N/A	N/A
417	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.	9/30/2020	N/A	N/A
418	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
419	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
420	GAO	OST	6/26/2019	GAO-19-541	Discretionary Transportation GrantA: 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.	Recommendation Pending GAO Closure	N/A	N/A
421	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.	Recommendation Pending GAO Closure	N/A	N/A
422	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.	Recommendation Pending GAO Closure	N/A	N/A
423	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
424	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
425	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.	12/31/2020	N/A	N/A
426	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
427	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
428	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
429	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
430	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
431	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
432	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.	Recommendation Pending GAO Closure	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
433	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.	12/30/2020	N/A	N/A
434	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.	12/1/2021	N/A	N/A
435	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.	12/1/2021	N/A	N/A
436	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.	4/1/2021	N/A	N/A
437	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.	4/1/2021	N/A	N/A
438	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.	3/1/2021	N/A	N/A
439	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).	3/1/2021	N/A	N/A
440	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).	11/1/2020	N/A	N/A
441	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.	11/1/2020	N/A	N/A
442	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.	10/1/2020	N/A	N/A
443	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
444	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.	12/31/2021	N/A	N/A
445	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.	12/31/2021	N/A	N/A
446	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.	12/31/2020	N/A	N/A
447	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.	12/31/2020	N/A	N/A
448	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.	12/31/2020	N/A	N/A
449	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.	12/31/2020	N/A	N/A
450	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.	12/1/2020	N/A	N/A
451	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.	10/30/2020	N/A	N/A
452	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
453	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.	10/30/2020	N/A	N/A
454	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.	10/30/2020	N/A	N/A
455	GAO	FAA	8/30/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	The Runway Safety Manager should develop a process to identify and remove duplicate excursion records.	9/30/2020	N/A	N/A
456	GAO	FAA	8/30/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	The Administrator of FAA should 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.	9/30/2020	N/A	N/A
457	GAO	FAA	8/30/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	The Administrator of FAA should require Flight Standards to share the results of its investigations with the Runway Safety Group, in a timely manner.	9/30/2020	N/A	N/A
458	GAO	FAA	8/30/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	The Runway Safety Manager should take steps to analyze data on ramp area incidents in FAA's new surface safety metric.	9/30/2020	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2020

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
459	GAO	FAA	8/30/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	The Runway Safety Manager should 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.	9/30/2020	N/A	N/A
460	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.	2/1/2021	N/A	N/A
461	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.	2/1/2021	N/A	N/A
462	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.	2/1/2021	N/A	N/A
463	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.	2/1/2021	N/A	N/A
464	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.	2/1/2021	N/A	N/A
465	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.	2/1/2021	N/A	N/A
466	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.	2/1/2021	N/A	N/A
467	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.	12/1/2020	N/A	N/A
468	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.	12/1/2020	N/A	N/A
469	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.	11/1/2020	N/A	N/A
470	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.	10/31/2020	N/A	N/A
471	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.	10/31/2020	N/A	N/A
472	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.	10/31/2020	N/A	N/A
473	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.	10/31/2020	N/A	N/A
474	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.	10/31/2020	N/A	N/A
475	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.	10/31/2020	N/A	N/A
476	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.	9/1/2020	N/A	N/A
477	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.	9/1/2020	N/A	N/A
478	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
479	GAO	OST	9/16/2019	GAO-19-543	Environmental Justice: Federal Efforts Need Better Planning, Coordination, and Methods to Assess Progress	Issue a progress report on the department's environmental justice efforts each year.	N/A	Partial Concur	DOT did not agree to fully implement GAO's recommendation. DOT will issue a progress report on its environmental justice efforts as needed.
480	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.	10/31/2020	N/A	N/A
481	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.	10/31/2020	N/A	N/A
482	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.	10/1/2020	N/A	N/A
483	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.	10/1/2020	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
484	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.	11/30/2020	N/A	N/A
485	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.	10/31/2020	N/A	N/A
486	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.	10/30/2020	N/A	N/A
487	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.	8/31/2020	N/A	N/A
488	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.	8/31/2020	N/A	N/A
489	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.	8/31/2020	N/A	N/A
490	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.	12/31/2020	N/A	N/A
491	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.	12/31/2020	N/A	N/A
492	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
493	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.	1/18/2021	N/A	N/A
494	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.	1/18/2021	N/A	N/A
495	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.	1/18/2021	N/A	N/A
496	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.	1/18/2021	N/A	N/A
497	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.	1/18/2021	N/A	N/A
498	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.	1/18/2021	N/A	N/A
499	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.	1/18/2021	N/A	N/A
500	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.	1/18/2021	N/A	N/A
501	GAO	PHMSA	10/16/2019	GAO-20-167	Natural Gas Storage: Actions Needed to Assess Inspection Workload and Progress toward Safety Outcomes	The PHMSA Administrator should analyze the factors affecting states' participation in underground natural gas storage inspections and analyze its workforce needs on an ongoing basis to guide its budget requests.	Recommendation Pending GAO Closure	N/A	N/A
502	OIG	OST	10/16/2019	SA2020001	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending August 31, 2019	Determine the allowability of the questioned transactions and recover $1,005,222.00, if applicable.	2/1/2021	N/A	N/A
503	GAO	NHTSA	10/17/2019	GAO-20-53	Traffic Safety: Improved Reporting Could Clarify States' Achievement of Fatality and Injury Targets	The NHTSA Administrator should provide direction and clarification to states to ensure compliance with requirements to assess and report progress made in achieving fatality targets.	Recommendation Pending GAO Closure	N/A	N/A
504	GAO	FAA	10/17/2019	GAO-20-29	Unmanned Aircraft Systems: FAA's Compliance and Enforcement Approach for Drones Could Benefit from Improved Communication and Data	The Administrator of the FAA should identify existing or new data and information needed to evaluate oversight activities and develop a mechanism for capturing these data as needed.	Recommendation Pending GAO Closure	N/A	N/A
505	GAO	NHTSA	10/17/2019	GAO-20-53	Traffic Safety: Improved Reporting Could Clarify States' Achievement of Fatality and Injury Targets	The NHTSA Administrator should develop and implement a mechanism that communicates to Congress and other stakeholders whether states achieve their fatality and serious injury targets.	6/21/2022	N/A	N/A
506	GAO	FHWA	10/17/2019	GAO-20-32	Highway Emergency Relief: Federal Highway Administration Should Enhance Accountability over Project Decisions	The Administrator of FHWA should require FHWA division offices to document the rationale for classifying projects as emergency repairs, such as a description of why an emergency repair is necessary and which alternative strategies or repairs were considered, and to more clearly define the circumstances under which projects are classified as emergency repairs, including what constitutes restoration of essential traffic.	3/1/2021	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
507	GAO	FHWA	10/17/2019	GAO-20-32	Highway Emergency Relief: Federal Highway Administration Should Enhance Accountability over Project Decisions	The Administrator of FHWA should identify a specific timeline for clarifying the policy on the acceptable time frames for accomplishing emergency repair projects undertaken under expedited contracting and environmental requirements, and require FHWA division offices to document the rationale for decisions to extend projects beyond these time frames.	3/1/2021	N/A	N/A
508	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the OA CIOs to develop mechanisms to ensure updated system security plans and assessments of security controls (that were previously assessed as not satisfied or partially satisfied) reflect current operational environments, including an accurate status of the implementation of system security controls, and all applicable security controls are properly evaluated.	12/15/2031	N/A	N/A
509	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with OAs to remediate outstanding identity and access management weaknesses through implementation and closure of POA&Ms and control assessments to determine whether these risks were addressed.	7/1/2021	N/A	N/A
510	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Resolve any inconsistencies with respect to Departmental policies and procedures, which prescribe conflicting directions on whether DOT components are required to provide, develop and update incident response plans, documenting evidence of review and revisions within a history log.	12/31/2020	N/A	N/A
511	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Implement a process to ensure incident response plans are developed for all OAs and updated on at least an annual basis.	12/31/2020	N/A	N/A
512	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the OA CIOs to review current assessment and authorization processes and implement a validation process to ensure updated security plans, ATOs and risk assessments are reviewed and updated to reflect all system (including privacy) controls, vulnerabilities, and that current risks are clearly presented to the authorizing officials.	12/2/2020	N/A	N/A
513	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the OA CIOs to remediate identified weaknesses in contingency plans and BIAs, such as missing information, lack of timely review, and inadequate approvals, demonstrated by updated contingency plans and BIAs.	10/2/2020	N/A	N/A
514	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Perform a review of all Plans of Action and Milestone (POA&M) items closed during the audit period to include supporting documentation and re-approve their closure.	9/8/2020	N/A	N/A
515	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Document and implement a process to ensure incident response procedures related to the timely notification, reporting, updating, and resolution of security incidents are followed in accordance with policy.	8/3/2020	N/A	N/A
516	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Document OA subnets and OA responsibilities for devices and systems operating on the Common Operating Environment.	7/1/2020	N/A	N/A
517	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Document and implement network segmentation to reduce the attack surface or susceptibility of vulnerable and sensitive OA assets in the Common Operating Environment.	7/1/2020	N/A	N/A
518	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Review and update the OCIO Cyber Security Incident Response Plan, documenting evidence of review and revisions within a history log.	6/15/2020	N/A	N/A
519	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Revise current security weakness management policies and procedures (documenting within a revision history table) to require documented evidence such as calendar appointments, meeting minutes, etc. in support of POA&M closure decisions to be uploaded into CSAM.	4/6/2020	N/A	N/A
520	OIG	OST	10/29/2019	QC2020004	Quality Control Review of the Independent Auditor's Review of DOT's DATA Act Implementation	Implement and document a formal quarterly review process to ensure that any non-fatal warnings at the Operating Administration level are investigated, and actions to address the warnings are clearly documented.	10/30/2020	N/A	N/A
521	OIG	OST	10/29/2019	QC2020004	Quality Control Review of the Independent Auditor's Review of DOT's DATA Act Implementation	Implement and document a formal quarterly review process to ensure that any variances identified between File A and the DOT's GTAS SF-133, and File B and OMB Circular No. A-11 and President's budget are clearly explained and documented.	10/30/2020	N/A	N/A
522	OIG	OST	10/29/2019	QC2020004	Quality Control Review of the Independent Auditor's Review of DOT's DATA Act Implementation	Implement and document an internal oversight review process for financial assistance awards to ensure that controls are in place to verify recipients are registered in SAM at the time of financial assistance award.	10/30/2020	N/A	N/A
523	OIG	OST	10/29/2019	QC2020004	Quality Control Review of the Independent Auditor's Review of DOT's DATA Act Implementation	Develop processes to evaluate future reporting of those data elements identified as being inconsistent with DAIMS guidance.	10/30/2020	N/A	N/A
524	OIG	FTA	10/30/2019	ST2020005	FTA's Limited Oversight of Grantees' Compliance With Insurance Requirements Puts Federal Funds and Hurricane Sandy Insurance Proceeds at Risk	Assess the necessary data to affirm that Hurricane Sandy recovery grantees carried flood insurance that complied with the Flood Disaster Protection Act (FDPA). For any Hurricane Sandy recovery grantee that FTA determines had uninsured buildings, contents, or both that should have been insured in compliance with the FDPA, permanently reduce the grantee's total Hurricane Sandy damage assessment by the aggregate amount of the maximum available National Flood Insurance Program (NFIP) insurance or the amount of the Federal investment in the property prior to the storm (whichever is less).	12/31/2020	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
525	OIG	FTA	10/30/2019	ST2020005	FTA's Limited Oversight of Grantees' Compliance With Insurance Requirements Puts Federal Funds and Hurricane Sandy Insurance Proceeds at Risk	Develop and implement procedures within FTA's Triennial and State Management Reviews to assess the necessary data to affirm that each grantee undergoing a comprehensive review carries flood insurance that complies with the FDPA. FTA's suggested corrective actions for any grantee deficiency in this area should include, at a minimum, requiring the grantee to submit to FTA documentation showing proof of flood insurance in the aggregate amount of the maximum available NFIP insurance or the amount of the Federal investment (whichever is less) for all structures required to have it.	12/31/2020	N/A	N/A
526	OIG	FTA	10/30/2019	ST2020005	FTA's Limited Oversight of Grantees' Compliance With Insurance Requirements Puts Federal Funds and Hurricane Sandy Insurance Proceeds at Risk	Revise FTA's Emergency Relief Program (ERP) guidance to include a timeframe within which grantees must apply insurance proceeds to support the policy described in its ERP Final Rule.	12/31/2020	N/A	N/A
527	OIG	FTA	10/30/2019	ST2020005	FTA's Limited Oversight of Grantees' Compliance With Insurance Requirements Puts Federal Funds and Hurricane Sandy Insurance Proceeds at Risk	Require the Hurricane Sandy Recovery grantees to apply their insurance proceeds in accordance with the timeframe established in the revised ERP guidance and in support of the policy described in its ERP Final Rule. Implementation of this recommendation could put over $982.8 million in funds to better use. This is the amount of transit-related insurance proceeds that grantees have received but have not yet spent on eligible transit recovery projects.	12/31/2020	N/A	N/A
528	OIG	FTA	10/30/2019	ST2020005	FTA's Limited Oversight of Grantees' Compliance With Insurance Requirements Puts Federal Funds and Hurricane Sandy Insurance Proceeds at Risk	Require MTA to apply the full amount of its transit-related insurance proceeds to eligible transit projects. Implementation of this recommendation could put up to $180.7 million in funds to better use.	12/31/2020	N/A	N/A
529	OIG	FTA	10/30/2019	ST2020005	FTA's Limited Oversight of Grantees' Compliance With Insurance Requirements Puts Federal Funds and Hurricane Sandy Insurance Proceeds at Risk	Develop procedures to track grantee allocation plan implementation for expenditures solely funded with insurance proceeds.	12/31/2020	N/A	N/A
530	OIG	FTA	10/30/2019	ST2020005	FTA's Limited Oversight of Grantees' Compliance With Insurance Requirements Puts Federal Funds and Hurricane Sandy Insurance Proceeds at Risk	Revise the ERP Toolkit checklist to include a step for FTA Regional staff to crosscheck against the approved insurance allocation plan when reviewing Hurricane Sandy grant applications and awarding Hurricane Sandy grants.	12/31/2020	N/A	N/A
531	OIG	OST	11/4/2019	ZA2020006	Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Update DOT Order 4410.4 to include: a. Defining roles and responsibilities of DOT offices and personnel with respect to management of WCF laptop computers. b. Requiring hand receipts or a similar form whenever an accountable property asset (e.g., laptop) is assigned or unassigned to/from a user. c. Requiring record retention of records from hand receipts or a similar control with the appropriate property official. d. Establishing a timeframe for submitting Reports of Survey to OFIAM.	9/30/2021	N/A	N/A
532	OIG	OST	11/4/2019	ZA2020006	Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Establish a Board of Survey to review instances of lost or damaged WCF equipment as required by DOT Order 4410.4.	9/30/2021	N/A	N/A
533	OIG	OST	11/4/2019	ZA2020006	Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Develop and implement procedures for conducting the annual property inventory to include obtaining missing hand receipts or similar control and timely resolution of discrepancies for WCF laptops. Implementation of this recommendation could result in $2.9 million in funds put to better use.	9/30/2021	N/A	N/A
534	OIG	OST	11/4/2019	ZA2020006	Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Develop and implement a process for verifying the timely and accurate entry of laptop computer data into OFIAM's official personal property system of record, to include establishing data entry timeframes, key fields (e.g., procurement and delivery dates), and quality control checks.	9/30/2021	N/A	N/A
535	OIG	OST	11/4/2019	ZA2020006	Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Implement enhanced physical security controls for the Information Technology Shared Services (ITSS) asset room where Working Capital Fund (WCF)-funded laptops are stored.	3/1/2021	N/A	N/A
536	OIG	OST	11/4/2019	ZA2020006	Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Develop and implement supplemental guidance that defines responsibilities for the Office of Facilities, Information, and Asset Management (OFIAM) and ITSS with respect to receipt, inspection, and acceptance, and inventory management processes and procedures for WCF-purchased laptops.	3/1/2021	N/A	N/A
537	GAO	FTA	11/13/2019	GAO-20-85	Emergency Transportation Relief: Federal Transit Administration and FEMA Took Actions to Coordinate, but Steps Are Needed to Address Risk of Duplicate Funding	The Secretary of Transportation should direct the Administrator of FTA to identify and develop controls, such as methods to more easily identify transit expenses within applications submitted by larger entities, such as a city, county, or state government, to address the risk of duplicate funding.	Recommendation Pending GAO Closure	N/A	N/A
538	OIG	FAA	11/14/2019	QC2020009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that Management design and implement procedures to consistently perform and document the following, as required by existing internal policies: Application log reviews.	9/30/2020	N/A	N/A
539	OIG	FAA	11/14/2019	QC2020009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that Management design and implement procedures to consistently perform and document the following, as required by existing internal policies: Database layer audit log reviews.	9/30/2020	N/A	N/A
540	OIG	FAA	11/14/2019	QC2020009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that Management design and implement procedures to consistently perform and document the following, as required by existing internal policies: Operating System layer log reviews.	9/30/2020	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2020

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
541	OIG	FAA	11/14/2019	QC2020009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that Management design and implement procedures to consistently perform and document the following, as required by existing internal policies: Application level user account access reviews.	9/30/2020	N/A	N/A
542	OIG	FAA	11/14/2019	QC2020009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that Management design and implement procedures to consistently perform and document the following, as required by existing internal policies: Operating system administrative account access reviews.	9/30/2020	N/A	N/A
543	OIG	FAA	11/14/2019	QC2020009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that management redesign policies and procedures unique to LCSS and the receipting scenarios that are acceptable for the MISC and F&E purchase order receipt process which support the accuracy of inputs. Further, management should design and implement review and approval control activities surrounding the creation of MISC and F&E purchase orders in LCSS to ensure the unit cost and other attributes which are critical for the appropriate valuation, are valid and accurate.	8/31/2020	N/A	N/A
544	OIG	FAA	11/14/2019	QC2020009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that management design and implement review and approval control activities specific to the setup of a new donated inventory part in LCSS to ensure the established unit cost and related attributes are based on supportable and accurate information.	7/31/2020	N/A	N/A
545	OIG	FAA	11/18/2019	QC2020011	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management design and implement procedures to consistently perform and document application log reviews as required by existing internal policies.	10/30/2020	N/A	N/A
546	OIG	FAA	11/18/2019	QC2020011	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management design and implement procedures to consistently perform and document database layer audit log reviews as required by existing internal policies.	10/30/2020	N/A	N/A
547	OIG	FAA	11/18/2019	QC2020011	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management design and implement procedures to consistently perform and document operation system layer log reviews as required by existing internal policies.	10/30/2020	N/A	N/A
548	OIG	FAA	11/18/2019	QC2020011	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management design and implement procedures to consistently perform and document application level user account access reviews as required by existing internal policies.	10/30/2020	N/A	N/A
549	OIG	FAA	11/18/2019	QC2020011	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management design and implement procedures to consistently perform and document operating system administrative account access reviews as required by existing internal policies.	10/30/2020	N/A	N/A
550	OIG	FRA	11/18/2019	QC2020011	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FRA management develop an accrual methodology for incurred but not submitted grantee expenses at year-end.	10/30/2020	N/A	N/A
551	OIG	FRA	11/18/2019	QC2020011	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FRA management develop a process to improve communications between the Grant Office and Office of Financial Services to ensure all available expense information is recorded in the proper reporting period.	10/30/2020	N/A	N/A
552	OIG	OST	11/18/2019	QC2020011	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that Office of the Secretary management design controls which are sufficiently precise to ensure that each of the data inputs which are key to the cash flow projections are defined (including for loans expected to reach the substantial disbursement threshold); control procedures are sufficiently designed and documented to ensure that the inputs are validated against source documents; and the inputs are accurate prior to the annual subsidy re-estimation in September.	10/30/2020	N/A	N/A
553	GAO	OST	11/21/2019	GAO-20-81	Federal Research: Additional Actions Needed to Improve Public Access to Research Results	The Secretary of Transportation should fully develop and implement a mechanism to ensure researcher compliance with the public access plan and associated requirements.	12/31/2020	N/A	N/A
554	OIG	FAA	12/11/2019	FI2020012	FAA Needs To Improve Oversight and Enhance Transparency in Its Franchise Fund	Develop and implement a process directing the Logistics Center to maintain detailed records of the age and costs of inventory items as a way to identify obsolete items and prevent unnecessary storage and maintenance costs or purchase of assets already on hand.	2/28/2021	N/A	N/A
555	OIG	FAA	12/11/2019	FI2020012	FAA Needs To Improve Oversight and Enhance Transparency in Its Franchise Fund	Implement the requirement that service organizations collect advance payments before they provide products or services, in accordance with Public Law 104-205.	11/30/2020	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
556	OIG	FAA	12/17/2019	AV2020013	FAA Oversight of Air Carrier Maintenance Programs - Allegiant Air	Perform a comprehensive review of FAA's root cause analysis training to ensure it meets Agency expectations. Modify training, as appropriate, based on the review and require inspectors to complete the course(s) or offer inspectors access to industry-based training programs.	12/31/2020	N/A	N/A
557	OIG	FAA	12/17/2019	AV2020013	FAA Oversight of Air Carrier Maintenance Programs - Allegiant Air	Develop and implement a management control to require managers to review and validate that known risks documented in the Safety Assurance System Certificate Holder Assessment Tool are tracked until mitigated.	10/31/2020	N/A	N/A
558	OIG	FAA	12/17/2019	AV2020013	FAA Oversight of Air Carrier Maintenance Programs - Allegiant Air	Develop and implement policies and procedures to monitor inspector compliance with Safety Assurance System training requirements.	10/31/2020	N/A	N/A
559	OIG	FAA	12/17/2019	AV2020013	FAA Oversight of Air Carrier Maintenance Programs - Allegiant Air	Revise its inspector guidance to require Certificate Holder Evaluation Process teams to report inspection results to the local inspection office, including a determination on whether the carrier is operating at the highest possible degree of safety in the public interest and how the team reached that conclusion.	10/31/2020	N/A	N/A
560	OIG	FAA	12/17/2019	AV2020013	FAA Oversight of Air Carrier Maintenance Programs - Allegiant Air	Revise its Compliance and Enforcement guidance and its Inspector guidance to include the severity of outcomes as a factor in considering whether inspectors should initiate compliance or enforcement actions.	10/31/2020	N/A	N/A
561	OIG	FAA	12/17/2019	AV2020013	FAA Oversight of Air Carrier Maintenance Programs - Allegiant Air	Develop and implement a resolution process to ensure disagreements in handling non-compliances are dealt with consistently, using the most appropriate processes and all relevant information.	10/31/2020	N/A	N/A
562	OIG	FAA	12/17/2019	AV2020013	FAA Oversight of Air Carrier Maintenance Programs - Allegiant Air	Revise its inspector guidance to clarify how inspectors address recurring non-compliances as a factor in considering whether they should initiate compliance or enforcement actions.	10/31/2020	N/A	N/A
563	OIG	FAA	12/17/2019	AV2020013	FAA Oversight of Air Carrier Maintenance Programs - Allegiant Air	Revise its inspector guidance to require inspectors to determine that corrective actions taken by air carriers are implemented and have addressed known discrepancies prior to closing compliance actions.	10/31/2020	N/A	N/A
564	OIG	FAA	12/17/2019	AV2020013	FAA Oversight of Air Carrier Maintenance Programs - Allegiant Air	Develop and implement a process to incorporate historical compliance actions in SAS for inspectors to track current and historical compliance actions.	10/31/2020	N/A	N/A
565	GAO	FAA	12/17/2019	GAO-20-136	FAA Should Improve Drone-Related Cost Information and Consider Options to Recover Costs	The Administrator of the Federal Aviation Administration should develop and implement a process to ensure that information on UAS-related costs is complete and reliable as capabilities and related regulations evolve.	9/30/2020	N/A	N/A
566	GAO	FAA	12/17/2019	GAO-20-136	FAA Should Improve Drone-Related Cost Information and Consider Options to Recover Costs	The Administrator of the Federal Aviation Administration, as part of UAS integration-planning efforts, should use available guidance on effective fee design to incorporate steps that will inform future fee-design considerations. For example, FAA may choose to incorporate these additional steps into its annual UAS implementation plan so that—as existing activities are adapted for UAS users or new regulations, services, or systems are introduced—costs and fee design options are considered.	9/30/2020	N/A	N/A
567	GAO	FTA	1/7/2020	GAO-20-205	Public Transportation: Enhanced Federal Information Sharing on Coordination Could Improve Rural Transit Services	The Administrator of FTA should develop a communication plan that will effectively share information with state transportation agencies and rural and tribal transit providers on coordination opportunities and leading coordination practices in an accessible and informative way.	2/5/2021	N/A	N/A
568	GAO	FAA	1/9/2020	GAO-20-97	Unmanned Aircraft Systems: FAA Could Better Leverage Test Site Program to Advance Drone Integration	The Administrator of FAA should develop a plan for analyzing currently-collected UAS test site data to determine how they could be used to advance UAS integration, and whether the collection of any additional test site data, within the agency's authority to request, could be useful for informing integration.	9/30/2020	N/A	N/A
569	OIG	FRA	1/22/2020	ST2020015	Improved FRA Decision Making and Financial Oversight Processes Could Have Reduced Federal Risks from the California High-Speed Rail Project	Revise and implement policies and procedures for when to escalate grant noncompliance issues within FRA. At a minimum, these procedures should include criteria for when to escalate noncompliance issues beyond FRA's grants management division, and documentation of FRA's decisions and rationale.	12/15/2020	N/A	N/A
570	OIG	FRA	1/22/2020	ST2020015	Improved FRA Decision Making and Financial Oversight Processes Could Have Reduced Federal Risks from the California High-Speed Rail Project	Revise and implement policies and procedures for defining FRA's tolerance for the risk of grantee noncompliance with specific deliverable requirements, periodically assessing those risks, and documenting the resulting risk-based agency decisions on the depth of review to conduct of deliverables.	12/15/2020	N/A	N/A
571	OIG	FRA	1/22/2020	ST2020015	Improved FRA Decision Making and Financial Oversight Processes Could Have Reduced Federal Risks from the California High-Speed Rail Project	Define a framework for determining the minimum acceptable standards of what an interim use plan for new infrastructure funded by FRA grants should provide, and procedures for evaluating these plans.	12/15/2020	N/A	N/A
572	OIG	FRA	1/22/2020	ST2020015	Improved FRA Decision Making and Financial Oversight Processes Could Have Reduced Federal Risks from the California High-Speed Rail Project	Revise and implement guidance for FRA staff to conduct detailed assessments of grantees' procedures for complying with Federal expenditure requirements. This guidance should include steps for when and how FRA staff are to test grantees' implementation of their procedures through sampling and in-depth reviews of selected expenditures.	12/15/2020	N/A	N/A
573	OIG	OST	1/29/2020	SA2020016	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 4-Month Period Ending December 31, 2019	Determine the allowability of the questioned transactions and recover $1,135,453, if applicable.	8/1/2020	N/A	N/A
574	GAO	FAA	2/6/2020	GAO-20-206	Aviation Maintenance: Additional Coordination and Data Could Advance FAA Efforts to Promote a Robust, Diverse Workforce	The Administrator of FAA should direct the Aviation Workforce Steering Committee, as part of its ongoing efforts, to take steps to use existing FAA data and coordinate with other federal agencies to identify and gather the information it needs to measure progress and target resources toward its goal of promoting a robust, qualified, and diverse aviation maintenance workforce. For example, FAA could task a committee working group with developing and implementing ways to improve data sharing among federal agencies to inform decision-making on how to strengthen career pathways and better understand the supply and demand of certificated workers. (Recommendation 1)	7/1/2021	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
575	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Train inspectors on FAA's process to provide feedback on designated airworthiness representatives when corrective actions are needed, and provide inspectors access to the system used to provide feedback.	12/31/2021	N/A	N/A
576	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Develop and implement guidance on how to evaluate air carrier safety risk assessments to ensure the carrier has performed a comprehensive analysis, identified root causes, and established appropriate corrective actions.	9/30/2021	N/A	N/A
577	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Ensure Southwest Airlines complies with regulatory requirements to provide accurate weight and balance information to pilots, or grant an exemption that justifies the non-compliance being in the public interest.	1/31/2021	N/A	N/A
578	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Retrain inspectors at the local oversight office for Southwest Airlines on the purpose and proper use of the Voluntary Disclosure Reporting Program.	1/31/2021	N/A	N/A
579	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Train managers and inspectors of the local oversight office on their roles and responsibilities to work with Southwest Airlines for root cause analysis.	1/31/2021	N/A	N/A
580	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Enhance management controls to ensure designated airworthiness representatives comply with established procedures to verify that aircraft conform to U.S. airworthiness standards.	12/31/2020	N/A	N/A
581	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Develop a management control to ensure that designated airworthiness representatives verify the completeness and accuracy of maintenance records, and do not rely on air carrier provided summary data to make airworthiness determinations.	12/31/2020	N/A	N/A
582	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Complete a compliance review of other certificates issued by the designated airworthiness representatives used by Southwest Airlines.	9/30/2020	N/A	N/A
583	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Develop and implement a management control to ensure air carriers and inspectors do not use Safety Management Systems as a substitute for regulatory compliance.	9/30/2020	N/A	N/A
584	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Develop and implement inspector guidance on how to evaluate air carrier safety culture and how it should be factored into oversight decisions.	9/30/2020	N/A	N/A
585	GAO	OST	2/25/2020	GAO-20-299	Critical Infrastructure Protection: Additional Actions Needed to Identify Framework Adoption and Resulting Improvements	The Secretary of Transportation, in coordination with the Secretary of Homeland Security, should take steps to consult with respective sector partner(s) such as the SCC and NIST, as appropriate, to collect and report sector-wide improvements from use of the framework across its critical infrastructure sector using existing initiatives.	7/31/2021	N/A	N/A
586	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Revise the Acquisition Management System (AMS) and/or FAA's Contract Pricing Handbook to address challenges around conducting appropriate price and cost analyses in order to reliably assert and support a fair and reasonable price determination for a major program contract award. This should include techniques and scenarios to address specific issues that could arise during the award process, such as establishment of a contract ceiling amount at award that includes pricing for all contract work (including option years) using a sound source or basis	12/31/2020	N/A	N/A
587	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to verify that all independent government cost estimates (IGCE) are completed in compliance with Agency requirements prior to the award of a major program contract. Implementing this recommendation could put up to $4.9 billion in Federal funds to better use by improving FAA's ability to establish contract pricing that is fair, reasonable, and realistic.	12/31/2020	N/A	N/A
588	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Revise AMS to clarify requirements around what actions the Program Office must take prior to the award of a major program contract when an IGCE varies by more than 15 percent from the proposed offer, and strengthen internal controls to verify these requirements are followed.	12/31/2020	N/A	N/A
589	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to hold acquisition and program officials accountable for providing timely signatures on packages for any major program contract procurement action—such as increasing the ceiling or definitizing a contract line item number—to be submitted for Chief Financial Officer approval, per Agency requirements.	12/31/2020	N/A	N/A
590	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Revise AMS to require acquisition planning for both competitive and noncompetitive major program contracts to allow adequate time and the possibility for achieving competition of option years and follow-on contracts.	12/31/2020	N/A	N/A
591	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to ensure a sound rationale is documented to support each noncompetitive major program contract, per Agency requirements, before the award is made. Implementing this recommendation could put up to $17.3 million to better use by allowing FAA to realize the benefits of competition and make more efficient use of these Federal funds.	12/31/2020	N/A	N/A
592	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to verify compliance with Agency requirements for conflict of interest agreements to be completed by all officials involved in a major program contract source selection process before they perform any of their responsibilities.	12/31/2020	N/A	N/A
593	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to verify compliance with Agency requirements regarding completion and approval of source selection evaluation plans for major program contracts.	12/31/2020	N/A	N/A
594	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to verify compliance with Agency requirements to use code names in lieu of contractor names in all source selection and evaluation communication and documentation for major program contracts.	12/31/2020	N/A	N/A

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595	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to verify compliance with Agency requirements for maintaining centralized files for major program contracts—including a complete record of the acquisition history and decisions—and for archiving and destroying documentation.	12/31/2020	N/A	N/A
596	OIG	FAA	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Develop procedures to ensure purchase card files are complete. At a minimum, ensure cardholders verify that: a. supervisory and/or program office approval has been obtained prior to making purchases; b. funds availability has been confirmed prior to making purchases; c. required supporting documentation is on file; d. payment amounts match to invoices; e. items purchased have been received and services have been accepted; and f. sales tax has not been charged.	1/31/2021	N/A	N/A
597	OIG	FAA	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Implement procedures to ensure cardholders retain records in accordance with the National Archives and Records Administration's general records schedule.	1/31/2021	N/A	N/A
598	OIG	FAA	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Develop and implement a process to monitor purchase transactions that involve credits to ensure the follow-up is performed and credits are received timely.	1/31/2021	N/A	N/A
599	OIG	FAA	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Reiterate the importance of following the employee close out and clearance process to Purchase Cardholders, Approving Officials and Agency Program Coordinators, when a cardholder separates from the agency or the purchase card program.	1/31/2021	N/A	N/A
600	OIG	FAA	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Develop and implement controls to ensure that all trainings are administered timely in FAA's electronic learning management system, and ensure cardholders complete refresher training in a timely manner.	12/31/2020	N/A	N/A
601	OIG	FAA	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Establish procedures to enforce the suspension of purchasing authority for cardholders that do not satisfy the refresher training requirement.	12/31/2020	N/A	N/A
602	OIG	OST	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Develop procedures to ensure purchase card files are complete. At a minimum, ensure cardholders verify that: a. supervisory and/or program office approval has been obtained prior to making purchases; b. funds availability has been confirmed prior to making purchases; c. required supporting documentation is on file; d. items purchased have been received and services have been accepted; and e. sales tax has not been charged.	10/31/2020	N/A	N/A
603	OIG	OST	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Implement procedures to ensure cardholders retain records in accordance with the National Archives and Records Administration's general records schedule.	10/31/2020	N/A	N/A
604	OIG	OST	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Update purchase card guidance to include appropriate language that states that purchase cards cannot be used to pay for unauthorized commitments without appropriate documentation showing that the unauthorized commitment has been ratified in accordance with FAR 1.602-3.	10/31/2020	N/A	N/A
605	OIG	OST	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Update TAM Chapter 1213, Appendix A to include appropriate language that indicates that purchase cards cannot be used to pay for unauthorized commitments without appropriate documentation showing that the unauthorized commitment has been ratified in accordance with FAR 1.602-3.	10/31/2020	N/A	N/A
606	OIG	OST	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Update the TAM to require OAs (excluding FAA) to certify individual purchase card program manuals to comply with TAM requirements.	10/31/2020	N/A	N/A
607	OIG	OST	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Update Departmental policy and procedures to require all OAs (excluding FAA) to include a requirement to obtain supervisory and/or program office approval before purchases are made.	10/31/2020	N/A	N/A
608	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should use data collected as part of IT modernization as well as current data sources to identify and analyze patterns of activity indicative of fraud or abuse, based on information from declarations of international operations, postal addresses, sanctions listings, and other sources, and information on dealers, noncitizen corporations, and individuals and entities with significant responsibilities for aircraft ownership.	12/31/2024	N/A	N/A
609	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should increase aircraft registration and dealer fees to ensure the fees are sufficient to cover the costs of FAA efforts to collect and verify applicant information while keeping pace with inflation.	12/31/2022	N/A	N/A
610	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should ensure, as part of aircraft registry IT modernization, that information currently collected in ancillary files or in PDF format on (1) owners and related individuals and entities with potentially significant responsibilities for aircraft ownership (e.g., beneficial owners, trustors, trustees, beneficiaries, stockholders, directors, and managers) and (2) declarations of international operations is recorded in an electronic format that facilitates data analytics by FAA and its stakeholders.	12/31/2022	N/A	N/A
611	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should link information on owners and related individuals and entities with significant responsibilities for aircraft ownership through a common identifier.	12/31/2022	N/A	N/A

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612	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should, as part of IT modernization, develop an approach to check OFAC sanctions data on owners and related individuals and entities with potentially significant responsibilities for aircraft ownership for coordination with OFAC and to flag sanctioned individuals and entities across aircraft registration and dealer systems.	12/31/2022	N/A	N/A
613	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should develop and implement risk-based mitigation actions to address potential fraud and abuse identified through data analyses.	12/31/2022	N/A	N/A
614	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA, in coordination with relevant law-enforcement agencies, should develop a mechanism to provide declarations of international operations for law-enforcement purposes.	12/31/2022	N/A	N/A
615	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should develop a strategy that outlines specific actions to address analyzed risks, including periodic assessments to evaluate continuing effectiveness of the risk response.	12/31/2021	N/A	N/A
616	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should develop mechanisms, including regulations if necessary, for dealer suspension and revocation.	10/31/2021	N/A	N/A
617	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should conduct and document a risk assessment that considers inherent and residual fraud and abuse risks that may enable criminal, national security, or safety risks.	8/31/2021	N/A	N/A
618	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should determine impact, likelihood, and risk tolerance as part of a risk assessment.	8/31/2021	N/A	N/A
619	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should collect and record information on individual registrants, initially including name, address, date of birth, and driver's license or pilot's license, or both, with subsequent PII elements informed by the risk assessment, once completed.	8/31/2021	N/A	N/A
620	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should collect and record information on legal entities not traded publicly—on each individual and entity that owns more than 25 percent of the aircraft; for individuals: name, date of birth, physical address, and driver's license or pilot's license, or both; and for entities: name, physical address, state of residence, and taxpayer identification number.	8/31/2021	N/A	N/A
621	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should verify aircraft registration applicants' and dealers' eligibility and information.	8/31/2021	N/A	N/A
622	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA, in coordination with relevant law-enforcement agencies, should enhance coordination within the Aircraft Registry Task Force through collaborative mechanisms such as written agreements and use of liaison positions.	12/31/2020	N/A	N/A
623	OIG	FTA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FTA management design and implement a process to ensure that a complete population of received FFRs are considered in the retrospective review.	10/1/2020	N/A	N/A
624	OIG	FTA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FTA management document the revised FFR submission policy in their grant methodology to consider the potential impact on the retrospective review process.	10/1/2020	N/A	N/A
625	OIG	FRA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FRA management implement policies and procedures to establish a formal process to assess applicable third-party service organization reports that includes reviewing the SOC-1 report, reviewing and comparing reporting updates year-over-year, and reviewing findings and their impact on the grants management system.	10/1/2020	N/A	N/A
626	OIG	FRA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FRA management implement policies and procedures to establish a formal process to assess applicable third-party service organization reports that includes implementing the service provider's recommended Complementary User Entity Controls (CUECs) and monitoring these controls for proper implementation and operating effectiveness.	10/1/2020	N/A	N/A
627	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FHWA develop and implement a process to notify appropriate authoritative personnel in the event that the division sponsor has not completed its user reviews timely ensuring that monthly reviews of user access within the application are completed by all divisions in accordance with the Fiscal Management Information System Standard Operating Procedures (SOP).	10/1/2020	N/A	N/A

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628	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FHWA Management revise its current bi-weekly review process in coordination with Human Resources to ensure that the grants management application system owners remove terminated users within a defined time period of their termination date and that the User Access Removal SOP be updated to reflect the Human Resource coordination and the defined time period.	10/1/2020	N/A	N/A
629	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that the FHWA determine the appropriate role for the grant management application user based on job function, and revoke user access to the incompatible role.	10/1/2020	N/A	N/A
630	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that the FHWA ensure that access policies and procedures regarding segregation of duties are enforced when granting users access to the grants management application via Role Based Access Control procedures as defined in the Manage Accounts SOP.	10/1/2020	N/A	N/A
631	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that the FHWA develop and implement a periodic review of access for the Database Administrators and Developers for the grants management application.	10/1/2020	N/A	N/A
632	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends FHWA management update the SOP, to clearly define the UPACS audit log environment, log mechanisms, and frequency and documentation of the log reviews.	10/1/2020	N/A	N/A
633	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends FHWA management enforce the Manage Log Review Files SOP or similar procedure that requires the Windows System Administrator to review Grant Management Application/UPACS operating system logs on a daily basis and digitally certify the reviews on a weekly basis.	10/1/2020	N/A	N/A
634	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends FHWA management ensure that System Administrators (SA) or Database Administrators (DBA) review past Grant Management Application/UPACS operating system log records for completion. If SAs or DBAs determine that the Windows Weekly log records, are not completed as required, SAs and DBAs should follow-up with the Windows System Administrator to ensure that incomplete reviews are remediated and future weekly log reviews are completed timely.	10/1/2020	N/A	N/A
635	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends FHWA management enforce the Manage Log Review Files SOP or similar procedure that requires the System Administrators to review Grant Management Application/ UPACS logs on a daily basis and digitally certify the reviews on a weekly basis.	10/1/2020	N/A	N/A
636	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends FHWA management ensure that System Administrators (SA) or Database Administrators (DBA) review past Grant Management Application/UPACS log records for completion. If SAs or DBAs determine that the UNIX/Oracle log records, are not completed as required, SAs and DBAs should follow-up with the UNIX/Oracle System Administrators to ensure that incomplete reviews are remediated and future weekly log reviews are completed timely.	10/1/2020	N/A	N/A
637	OIG	FAA	4/8/2020	QC2020024	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management revise policies and procedures to ensure that the review of grant invoices includes the review and validation of compliance with terms and conditions per the applicable grant agreement.	9/30/2020	N/A	N/A
638	OIG	FAA	4/8/2020	QC2020024	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management enforce the policy that monthly audits are conducted by ESC-EDC personnel, as required by TOPS policy, to ensure that the bi-weekly log reviews are completed as required. In addition, FAA should ensure that the required monthly audits are tracked via checklist and certified by ESC-EDC personnel who conducted the audit. If ESC-EDC personnel determine that the bi-weekly reviews have not been properly completed, the ESC-EDC personnel should follow-up with the DBA to ensure that incomplete reviews are remediated and future bi-weekly log reviews are completed timely, as required by TOPS policy.	9/30/2020	N/A	N/A
639	OIG	FAA	4/8/2020	QC2020024	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management update the purchase request application system's SSP to reflect the design and implementation of the formalized procedures for performance of the periodic user recertification.	9/30/2020	N/A	N/A
640	OIG	FAA	4/8/2020	QC2020024	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management design and implement a process in coordination with Human Resources, to ensure that the contractor and the environmental cleanup tracking application system owner remove terminated users within a defined period of time subsequent to the individuals' termination date.	9/30/2020	N/A	N/A
641	OIG	FAA	4/8/2020	QC2020024	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management implement a change control procedure which includes: change control documents, change control board approval, configuration change testing, and development team approval prior to preceding with implementing changes into production.	9/30/2020	N/A	N/A
642	OIG	FAA	4/8/2020	QC2020024	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPGM recommends that FAA management continue to perform its existing monitoring procedures over excise tax revenue allocations by the IRS. In addition, KPMG recommends that FAA management communicate instances where allocations and certifications of excise tax revenue are materially inconsistent with expectations to Department of Transportation leadership and to the Department of Transportation's Office of the Inspector General to facilitate the timely allocation and certification of excise tax revenues by the IRS.	9/30/2020	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
643	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Complete modification to LAANC Memorandums of Agreement with UAS Service Suppliers to enhance data security and transparency and direct the Authorizing Official to verify and validate that all UAS Service Suppliers are adhering to security requirements outlined in the Memorandum of Agreement.	5/29/2021	N/A	N/A
644	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Establish and implement controls for monitoring, updating, and remediating open security weaknesses as well as the accepted risk in DOT repository for managing security weaknesses, per the DOT Security Weakness Management Guide.	1/29/2021	N/A	N/A
645	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Implement procedures to validate that Security Officials responsible for DroneZone and LAANC are trained on NIST and DOT policy for assessing security controls, and require them to follow the guidance.	1/29/2021	N/A	N/A
646	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Develop Standard Operating Procedures for the use of common and hybrid controls to include at a minimum:a. System owners must review the cloud provider Control Implementation Summary report to verify and document what controls are the customer's versus the cloud provider's.b. System owners must review monthly cloud provider POA&Ms and develop a risk mitigation strategy or compensating controls to address any identified vulnerabilities that may impact its system cybersecurity posture.c. System owners must coordinate with FAA common/hybrid control providers to verify the controls' actual implementation status and document them accurately in the appropriate security document.	1/29/2021	N/A	N/A
647	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Perform a comprehensive assessment of DroneZone and LAANC's security controls that at a minimum provides the correct implementation status for system specific, common, and hybrid controls, and issue a new Authorization to Operate decision for DroneZone and its interconnected system LAANC.	10/31/2020	N/A	N/A
648	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Update the security assessment documents for DroneZone and LAANC to reflect the results of all security controls (e.g., common, hybrid, and system-specific) for selection, implementation, and assessing, per DOT requirements.	10/31/2020	N/A	N/A
649	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Verify and validate that all external information systems providing cloud services to DroneZone and LAANC are FedRAMP-authorized; if not, obtain a departmental waiver approving their use.	10/31/2020	N/A	N/A
650	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Develop and implement a process for testing DroneZone information systems for contingency planning, to include business impact analysis continuity of operations plans, business continuity plans, disaster recovery plans, and Information System Contingency Planning (ISCP).	9/30/2020	N/A	N/A
651	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Develop a process to annually document FAA security officials communicating all contingency planning development, planning, and recovery activities to all stakeholders and executive management prior to authorizing officials making risk-based decisions.	9/30/2020	N/A	N/A
652	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Complete an appropriate ISCP test for DroneZone with its contractor and cloud service provider to ensure the ISCP strategies can be implemented successfully.	9/30/2020	N/A	N/A
653	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Provide and verify that the required DroneZone personnel listed in the ISCP receive annual contingency planning training.	9/30/2020	N/A	N/A
654	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Develop, test and implement an alternative back-up solution verifying that DroneZone data can be backed-up and available to transport to alternate sites in the event the cloud service provider availability zone is unavailable	9/30/2020	N/A	N/A
655	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Develop and implement a process clearly defining how privacy controls are identified, assessed, and documented, and work with the departmental Chief Privacy Officer in developing and implementing the process.	9/30/2020	N/A	N/A
656	GAO	NHTSA	4/23/2020	GAO-20-419	Pedestrian Safety: NHTSA Needs to Decide Whether to Include Pedestrian Safety Tests in Its New Car Assessment Program.	The NHTSA Administrator should make and communicate a decision about whether to include pedestrian safety tests in the New Car Assessment Program (NCAP).	12/31/2021	N/A	N/A
657	GAO	NHTSA	4/23/2020	GAO-20-419	Pedestrian Safety: NHTSA Needs to Decide Whether to Include Pedestrian Safety Tests in Its New Car Assessment Program.	NHTSA should document the process for making changes to NCAP.	12/31/2021	N/A	N/A
658	GAO	NHTSA	4/23/2020	GAO-20-419	Pedestrian Safety: NHTSA Needs to Decide Whether to Include Pedestrian Safety Tests in Its New Car Assessment Program.	NHTSA should develop an evaluation plan with criteria for expanding its pilot program.	4/30/2021	N/A	N/A
659	OIG	OST	4/27/2020	FS2020029	DOT's Fiscal Year 2019 IPERA Compliance Review	Implement procedures to require Federal Highway Administration to review about $28,000 identified as improper payments and recover as appropriate.	6/1/2021	N/A	N/A
660	OIG	OST	4/27/2020	FS2020029	DOT's Fiscal Year 2019 IPERA Compliance Review	Implement procedures to require that Federal Highway Administration develop a process to:a. detect grantees that have not reduced improper payments for 3 consecutive fiscal years or over the 3-year risk assessment cycle, and b. review those grantees' root causes to implement robust/individual corrective actions. Implementation of this recommendation could put approximately $169 million in funds to better use.	6/1/2021	N/A	N/A
661	OIG	FRA	4/29/2020	ST2020030	Oversight Weaknesses Limit FRA's Review, Approval and Enforcement of Railroads' Drug and Alcohol Testing Plans	Update Drug and Alcohol program guidance for both railroads and inspectors to reflect the 2017 Maintenance-of-Way requirements.	3/15/2021	N/A	N/A
662	GAO	MARAD	4/29/2020	GAO-20-460	Maritime Infrastructure: A Strategic Approach and Interagency Leadership Could Improve Federal Efforts in the U.S. Arctic	The U.S. Committee on the Marine Transportation System should complete a government-wide assessment of the economic, environmental, and safety risks posed by gaps in maritime infrastructure in the U.S. Arctic to inform investment priorities and decisions.	1/31/2021	N/A	N/A

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
663	OIG	FRA	4/29/2020	ST2020030	Oversight Weaknesses Limit FRA's Review, Approval and Enforcement of Railroads' Drug and Alcohol Testing Plans	Develop and implement a formal written process for tracking all Part 219 audits.	12/15/2020	N/A	N/A
664	OIG	FRA	4/29/2020	ST2020030	Oversight Weaknesses Limit FRA's Review, Approval and Enforcement of Railroads' Drug and Alcohol Testing Plans	Develop and implement a written process for tracking and following up on all action items issued from Part 219 compliance audits to verify that railroads have taken corrective actions.	12/15/2020	N/A	N/A
665	OIG	OST	5/4/2020	SA2020032	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending March 31 2020	Determine the allowability of the questioned transactions and recover $2,227,535, if applicable.	1/4/2021	N/A	N/A
666	OIG	FHWA	5/19/2020	ST2020035	Gaps in FHWA's Guidance and the Florida Division's Process for Risk-Based Project Involvement May Limit Their Effectiveness	Update and implement FHWA's guidance for risk-based project involvement to clarify the requirements for its project risk-assessment process, including expectations for conducting and documenting the risk assessment and criteria to guide the reevaluation of project risks.	12/31/2021	N/A	N/A
667	OIG	FHWA	5/19/2020	ST2020035	Gaps in FHWA's Guidance and the Florida Division's Process for Risk-Based Project Involvement May Limit Their Effectiveness	Identify and notify Divisions about sources of information that can inform the project risk-assessment process, such as the quarterly reports required by the grant agreement for the Florida International University project.	12/31/2021	N/A	N/A
668	OIG	FHWA	5/19/2020	ST2020035	Gaps in FHWA's Guidance and the Florida Division's Process for Risk-Based Project Involvement May Limit Their Effectiveness	Update and issue a procedure within the Florida Division for conducting and documenting complete project risk assessments in accordance with FHWA's national guidance.	12/31/2021	N/A	N/A
669	OIG	FHWA	5/19/2020	ST2020035	Gaps in FHWA's Guidance and the Florida Division's Process for Risk-Based Project Involvement May Limit Their Effectiveness	Update and implement FHWA's guidance for risk-based project involvement to clarify how the link between elevated risks and associated oversight activities, changes to oversight actions, and the results of its risk-based involvement should be documented in project oversight plans.	12/31/2021	N/A	N/A
670	OIG	FHWA	5/19/2020	ST2020035	Gaps in FHWA's Guidance and the Florida Division's Process for Risk-Based Project Involvement May Limit Their Effectiveness	Develop and implement guidance for documenting, in risk-based project oversight plans and associated materials, the scope of FHWA's risk-based involvement, such as through the use of checklists or standardized forms.	12/31/2021	N/A	N/A
671	OIG	FHWA	5/19/2020	ST2020035	Gaps in FHWA's Guidance and the Florida Division's Process for Risk-Based Project Involvement May Limit Their Effectiveness	Develop and implement guidance that establishes criteria for the content of risk-based project oversight plans to maintain consistency and avoid creating multiple redundant plans. Include examples of complete project oversight plans that can be used as a reference, and clarify the role and purpose of the oversight plan for major projects.	12/31/2021	N/A	N/A
672	OIG	FHWA	5/19/2020	ST2020035	Gaps in FHWA's Guidance and the Florida Division's Process for Risk-Based Project Involvement May Limit Their Effectiveness	Update and issue a procedure within the Florida Division for documenting complete risk-based project oversight plans in accordance with FHWA's national guidance.	12/31/2021	N/A	N/A
673	OIG	FHWA	5/19/2020	ST2020035	Gaps in FHWA's Guidance and the Florida Division's Process for Risk-Based Project Involvement May Limit Their Effectiveness	Develop and implement a process to routinely monitor the implementation and evaluate the effectiveness of FHWA's risk-based project involvement.	12/31/2021	N/A	N/A
674	OIG	OST	5/27/2020	EC2020036	Changes in Airline Service Differ Significantly for Smaller Communities, but Limited Data on Ancillary Fees Hinders Further Analysis	The Secretary request a Revenue Ruling or policy statement from the Department of Treasury regarding the taxation of airline booking fees and, if appropriate, that the Department of Treasury take action to assess the relevant tax. If the Department of Treasury finds that these fees are taxable — and assuming no change in the conditions underlying our calculation of their impact on the Airport and Airway Trust Fund in 2019 — this could conservatively result in $60.6 million in funds put to better use in every year following the determination.	N/A	Unresolved	DOT did not agree with the recommendation. The predicate for the request for investigation is OIG's own study and the Department believes OIG is best suited to represent its own findings and recommendations to the Treasury Department directly.
675	OIG	OST	5/27/2020	EC2020036	Changes in Airline Service Differ Significantly for Smaller Communities, but Limited Data on Ancillary Fees Hinders Further Analysis	The Office of Aviation Analysis develop a process to regularly collect, maintain, and use information from airlines' website disclosures of all fees charged for optional or ancillary services as a screening mechanism for significant changes in these fees. For each mainline carrier and posted fee, this information should include—but not necessarily be limited to—identification of the type of each service and its price (or price range).	N/A	Unresolved	As part of its ongoing mandate, the Department already monitors changes in the airline industry, including ancillary fees, product unbundling and, now re-bundling, to ensure that the Department's analysis of airline competition, as well as its policies, remain consistent with commercial developments.
676	OIG	OST	5/27/2020	EC2020036	Changes in Airline Service Differ Significantly for Smaller Communities, but Limited Data on Ancillary Fees Hinders Further Analysis	The Bureau of Transportation Statistics issue a Reporting Directive clarifying that air carriers are to include booking fees, along with any/all fees required to board the aircraft, in the fare line item reported to the Office of Airline Information's Origin and Destination Survey.	12/31/2020	N/A	N/A
677	OIG	MARAD	7/8/2020	ST2020038	MARAD's Policy and Procedures for the Title XI Program's Application Review Process Do Not Ensure Full Compliance With Requirements	Update the 2012 policy manual to address all statutory and regulatory requirements.	9/30/2021	N/A	N/A
678	OIG	MARAD	7/8/2020	ST2020038	MARAD's Policy and Procedures for the Title XI Program's Application Review Process Do Not Ensure Full Compliance With Requirements	Develop and implement procedures that direct MARAD to obtain and document all application related materials required by statute and regulation.	12/31/2020	N/A	N/A
679	OIG	MARAD	7/8/2020	ST2020038	MARAD's Policy and Procedures for the Title XI Program's Application Review Process Do Not Ensure Full Compliance With Requirements	Develop and implement procedures that require program staff to adhere to MARAD's program policy and statutory and regulatory requirements.	12/31/2020	N/A	N/A
680	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Update the contingency plans for the Northern California, Atlanta, and Chicago TRACONs to include a formal and complete alternate processing site agreement and a signature page to confirm the plans have been reviewed and approved by an authorized official.	6/30/2022	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2020

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
681	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Update the NCT contingency plan to describe the process for returning the affected airspace to a 90-percent capacity within 96 hours of an incident.	6/30/2022	N/A	N/A
682	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Provide training on FAA's policies and procedures regarding separation of duties and the proper management of sensitive data and markings to system specialists and other appropriate security officials at the Northern California TRACON facility (NCT) on a periodic basis.	6/30/2021	N/A	N/A
683	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Develop and implement an internal control that ensures that Agency staff follow requirements for access control in accordance with the STARS Security Handbook.	6/30/2021	N/A	N/A
684	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Develop and implement a plan with a timeline that identifies when critical, high, and medium vulnerabilities in STARS will be mitigated and implemented at the 11 largest TRACON facilities and includes a patch management program to ensure that the security patches for all operating systems, software, and applications are up to date; and timeline when FAA will implement security-relevant software updates for critical, high, and medium vulnerabilities, in accordance with requirements.	3/31/2021	N/A	N/A
685	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Develop and implement a plan with a timeline that identifies a date when FAA will implement malicious code protection mechanisms for all Windows devices deployed in the system and other assets at the 11 largest TRACON facilities.	3/31/2021	N/A	N/A
686	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Develop and implement a plan and timeline identifying when STARS non-industrial control system assets will be configured to enforce a limit of five consecutive invalid attempts within a 15-minute period.	3/31/2021	N/A	N/A
687	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Direct STARS officials to prioritize mitigation efforts to resolve the security weaknesses for the 27 security controls identified in this report; develop a Plan of Action and Milestones that realistically reflects resources and timeframes for the completion of these actions; and report on these actions in the Department's Cybersecurity Assessment and Management. monitoring system.	3/31/2021	N/A	N/A
688	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Implement the current plan with a timeline that defines when STARS system components will be hardened and configured to baseline requirements and to provide only the necessary protocols, ports, and services as defined in the System Security Plan.	3/31/2021	N/A	N/A
689	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Update the STARS incident response policy to include the missing elements from the National Institute of Standards and Technology.	12/31/2020	N/A	N/A
690	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Develop and implement a plan that defines how FAA will remediate weaknesses in STARS' ability to exchange data with or connect to systems outside the National Airspace System without using an approved secure communication network, and provide a timeline for the completion of corrective actions.	12/31/2020	N/A	N/A
691	GAO	FTA	7/16/2020	GAO-20-512	Capital Investment Grants Program: FTA Should Improve the Effectiveness and Transparency of Its Reviews	The FTA Administrator should take steps to provide information to Congress and sponsors to better clarify how FTA applies the methods and factors it considers when performing its review of sponsors' projects. Clarification could include how FTA uses documents, such as project roadmaps, to help sponsors advance through the development process; estimated time frames for reviewing submissions and responding to sponsors' requests; and how FTA considers geographic diversity of projects in its decision-making	N/A	Non-Concur	DOT did not agree with GAO's recommendation. FTA already provides ample information to both Congress and CIG project sponsors on how it applies the methods and factors used to perform CIG project reviews. FTA intends to continue its current practices described previously to GAO to share information with Congress and project sponsors.
692	GAO	FTA	7/16/2020	GAO-20-512	Capital Investment Grants Program: FTA Should Improve the Effectiveness and Transparency of Its Reviews	The FTA Administrator should take steps to ensure its staff communicates information, such as the reason why a project is not advancing, to sponsors in a timely manner and in writing upon the sponsor's request.	N/A	Non-Concur	DOT did not agree with GAO's recommendation. FTA already does what GAO is recommending. FTA regularly communicates with all CIG project sponsors, including holding regular and recurring conference calls and meetings, via email communications, and formal written letters explaining any advancement approvals or denials. FTA intends to continue its team approach to overseeing CIG projects, whereby FTA staff with expertise in various disciplines participate in the regular communications with project sponsors to provide guidance and clarity on FTA requirements and procedures.

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
693	GAO	FTA	7/16/2020	GAO-20-512	Capital Investment Grants Program: FTA Should Improve the Effectiveness and Transparency of Its Reviews	The FTA Administrator should take steps to review all agency guidance pertaining to the Capital Investment Grants program's development process and identify aspects that may be outdated or confusing for sponsors, and communicate to Congress and sponsors the steps needed to update FTA's guidance or otherwise provide sponsors with more current information on the Capital Investment Grants program. As part of FTA's efforts, FTA could obtain feedback from sponsors and the industry on these issues as appropriate.	Currently in 180-Day Letter Process	N/A	N/A
694	OIG	FAA	7/29/2020	AV2020040	FAA Has Begun To Update ERAM but Faces Challenges Realizing Full Benefits for Airspace Users	Develop an action plan with schedule milestones for completing the assessment, test, and mitigation of the new security requirements for ERAM to successfully meet a high impact system categorization.	12/31/2020	N/A	N/A
695	OIG	OST	8/5/2020	SA2020041	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3 Month Period Ending June 30, 2020	Determine the allowability of the questioned transactions and recover $3,440,165, if applicable.	5/2/2021	N/A	N/A
696	GAO	PHMSA	8/6/2020	GAO-20-619	Natural Gas Exports: Updated Guidance and Regulations Could Improve Facility Permitting Processes	The Administrator of PHMSA should conduct a standards-specific review of regulations that incorporate standards and, if necessary, update the regulations or document its decision for not updating them.	2/1/2021	N/A	N/A
697	GAO	PHMSA	8/6/2020	GAO-20-619	Natural Gas Exports: Updated Guidance and Regulations Could Improve Facility Permitting Processes	The Administrator of PHMSA should establish a process to conduct a standards-specific review of regulations that incorporate standards every 3 to 5 years and to update the regulations, if necessary	2/1/2021	N/A	N/A
698	GAO	OST	8/10/2020	GAO-20-622	Transportation Research: Additional Actions Could Improve DOT's Internal Collaboration and Reliability of Information on Research Activities	The Assistant Secretary for Research and Technology should take steps, such as updating guidance or other written communication, to ensure that the topical-research working groups (1) define and monitor progress toward achieving long-term outcomes, and (2) regularly update and monitor their charters and other written agreements to reflect these outcomes, in line with leading practices	10/1/2021	N/A	N/A
699	GAO	OST	8/10/2020	GAO-20-622	Transportation Research: Additional Actions Could Improve DOT's Internal Collaboration and Reliability of Information on Research Activities	The Assistant Secretary for Research and Technology should take additional steps, such as providing more specific guidance or instructions to the modal administrations on the information that should be updated or required, to ensure that the information in the Research Hub is complete and accurate.	10/1/2021	N/A	N/A
700	GAO	FAA	8/18/2020	GAO-20-598	Cybersecurity: DHS and Selected Agencies Need to Address Shortcomings in Implementation of Network Monitoring Program	The FAA Administrator should configure its CDM tools to compare configuration settings against federal core benchmarks and agency-specific variations applicable to its environment.	12/31/2021	N/A	N/A
701	GAO	FAA	8/18/2020	GAO-20-642	Aviation Safety: Actions Needed to Evaluate Changes to FAA's Enforcement Policy on Safety Standards	The FAA Administrator should conduct an evaluation of the Compliance Program to assess the effectiveness of the program in meeting its goals.	12/31/2021	N/A	N/A
702	GAO	FAA	8/18/2020	GAO-20-642	Aviation Safety: Actions Needed to Evaluate Changes to FAA's Enforcement Policy on Safety Standards	The FAA Administrator should collect and analyze data to monitor use of the Compliance Program across all program offices.	9/30/2021	N/A	N/A
703	GAO	FAA	8/18/2020	GAO-20-598	Cybersecurity: DHS and Selected Agencies Need to Address Shortcomings in Implementation of Network Monitoring Program	The FAA Administrator should document agency-specific variations from federal core configuration benchmarks for each operating system on its network.	8/31/2021	N/A	N/A
704	GAO	FAA	8/18/2020	GAO-20-598	Cybersecurity: DHS and Selected Agencies Need to Address Shortcomings in Implementation of Network Monitoring Program	The FAA Administrator should commit to a time frame to complete the agency's effort to associate hardware with its FISMA systems.	6/30/2021	N/A	N/A
705	GAO	FAA	8/18/2020	GAO-20-642	Aviation Safety: Actions Needed to Evaluate Changes to FAA's Enforcement Policy on Safety Standards	The FAA Administrator should assign authority to an office or other entity to oversee use of the Compliance Program across program offices.	6/3/2021	N/A	N/A
706	OIG	FAA	9/2/2020	AV2020044	FAA Issued New Medical Requirements for Small Aircraft Pilots but Lacks Procedures and Data To Oversee the Program	Conduct a risk assessment of the issues related to valid driver's licenses and use of State-licensed physicians noted in this report, and implement processes to mitigate any identified risks. Include the results of this risk-assessment in the required report on the safety impact of BasicMed to Congress.	7/31/2021	N/A	N/A
707	OIG	FAA	9/2/2020	AV2020044	FAA Issued New Medical Requirements for Small Aircraft Pilots but Lacks Procedures and Data To Oversee the Program	Develop and implement a process to collect pilot flight hours, or an alternative process that allows a meaningful assessment of the safety impact of pilots operating under BasicMed compared with pilots operating with a medical certificate.	7/31/2021	N/A	N/A
708	OIG	FAA	9/2/2020	AV2020043	FAA and Its Partner Agencies Have Begun Work on the Aviation Cyber Initiative and Are Implementing Priorities	In consultation with its ACI partners, identify the resources needed to meet the current schedule for achieving ACI's remaining priorities, and how they should be allocated. Revise the current schedule as necessary to reflect the resources that are available.	12/31/2020	N/A	N/A
709	OIG	FAA	9/16/2020	AV2020045	FAA's Process for Updating Its Aircraft Evacuation Standards Lacks Data Collection and Analysis on Current Evacuation Risks	Develop and implement a systematic process to regularly collect and analyze data on emergency evacuations to determine whether evacuation standards need to be revised or updated based upon current risks.	12/31/2021	N/A	N/A
710	OIG	FAA	9/16/2020	AV2020045	FAA's Process for Updating Its Aircraft Evacuation Standards Lacks Data Collection and Analysis on Current Evacuation Risks	Develop a policy or procedures to maintain and analyze a record of critical data from aircraft manufacturers' evacuation demonstrations and analyses to identify risks and ensure data used in analyses and computer modeling are accurate and up to date.	3/31/2021	N/A	N/A
711	OIG	OST	9/22/2020	QC2020046	Quality Control Review of the Independent Auditor's Report on DOT's Enterprise Services Center (FOUO)	KPMG recommends to verify the quality control reviewer is independent of the transactions they review. Specifically, KPMG recommends that ESC management implement a process to verify the roles and permissions for all new and existing daily reviewers are independent of the transactions reviewed.	10/1/2020	N/A	N/A
712	OIG	OST	9/22/2020	QC2020046	Quality Control Review of the Independent Auditor's Report on DOT's Enterprise Services Center (FOUO)	KPMG recommends to review user access and remove any responsibilities that are not consistent with the User Access Request form.	10/1/2020	N/A	N/A
713	OIG	OST	9/22/2020	QC2020046	Quality Control Review of the Independent Auditor's Report on DOT's Enterprise Services Center (FOUO)	KPMG recommends to validate that all requested access changes identified as part of the Delphi User Access review are processed as requested.	10/1/2020	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2020

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
714	OIG	FRA	9/29/2020	ST2020050	FRA Lacks Sufficient Oversight Controls to Consistently Assess Conductor Certification Compliance	Develop and implement a procedure for reviewing and tracking new and updated railroad conductor certification programs.	8/15/2021	N/A	N/A
715	OIG	FRA	9/29/2020	ST2020050	FRA Lacks Sufficient Oversight Controls to Consistently Assess Conductor Certification Compliance	Finalize the Operating Practices Compliance Manual chapter on conductor certification compliance and enforcement and distribute it to inspectors; include a process an inspector can use to notify FRA Headquarters about a problem with a railroad's conductor certification program.	8/15/2021	N/A	N/A
716	OIG	FRA	9/29/2020	ST2020050	FRA Lacks Sufficient Oversight Controls to Consistently Assess Conductor Certification Compliance	Develop and implement a plan for systematically conducting Part 242 compliance audits of all railroads to which the regulations apply.	3/15/2021	N/A	N/A
717	OIG	FRA	9/29/2020	ST2020050	FRA Lacks Sufficient Oversight Controls to Consistently Assess Conductor Certification Compliance	Modify the Railroad Inspection System for Personal Computers (RISPC) to capture data that specifies the types of Part 242 oversight activities inspectors are recording.	3/15/2021	N/A	N/A
718	OIG	FRA	9/29/2020	ST2020050	FRA Lacks Sufficient Oversight Controls to Consistently Assess Conductor Certification Compliance	Develop and issue instructions on the proper entry of Part 242 activity codes in RISPC.	3/15/2021	N/A	N/A
719	GAO	FTA	9/30/2020	GAO-20-686	Transit Asset Management: FTA Should Clarify Performance Data and Develop a Plan to Guide Future Program Improvements	The FTA Administrator should include the known limitations and intended uses of its TAM performance data in its public reports such as its annual NTD summary and other reports for decision-makers. This action should include clarifying the context of state of good repair data in TAM reports in relation to similar data in DOT's *Condition and Performance Report* and how they differ.	Currently in 180-Day Letter Process	N/A	N/A
720	GAO	FTA	9/30/2020	GAO-20-686	Transit Asset Management: FTA Should Clarify Performance Data and Develop a Plan to Guide Future Program Improvements	The FTA Administrator should develop a plan for how FTA intends to analyze, implement, and communicate any identified TAM program improvements moving forward. The plan should describe how FTA intends to address: (1) relying on a single performance measure per asset category, (2) potential limited use of investment scenarios by transit agencies in making asset decisions, and (3) shorter-term planning horizons than those used by other planning counterparts.	Currently in 180-Day Letter Process	N/A	N/A