

Subject: DEPARTMENT OF TRANSPORTATION (DOT), OFFICE OF THE UNDER SECRETARY OF TRANSPORTATION FOR POLICY ORGANIZATION MANUAL

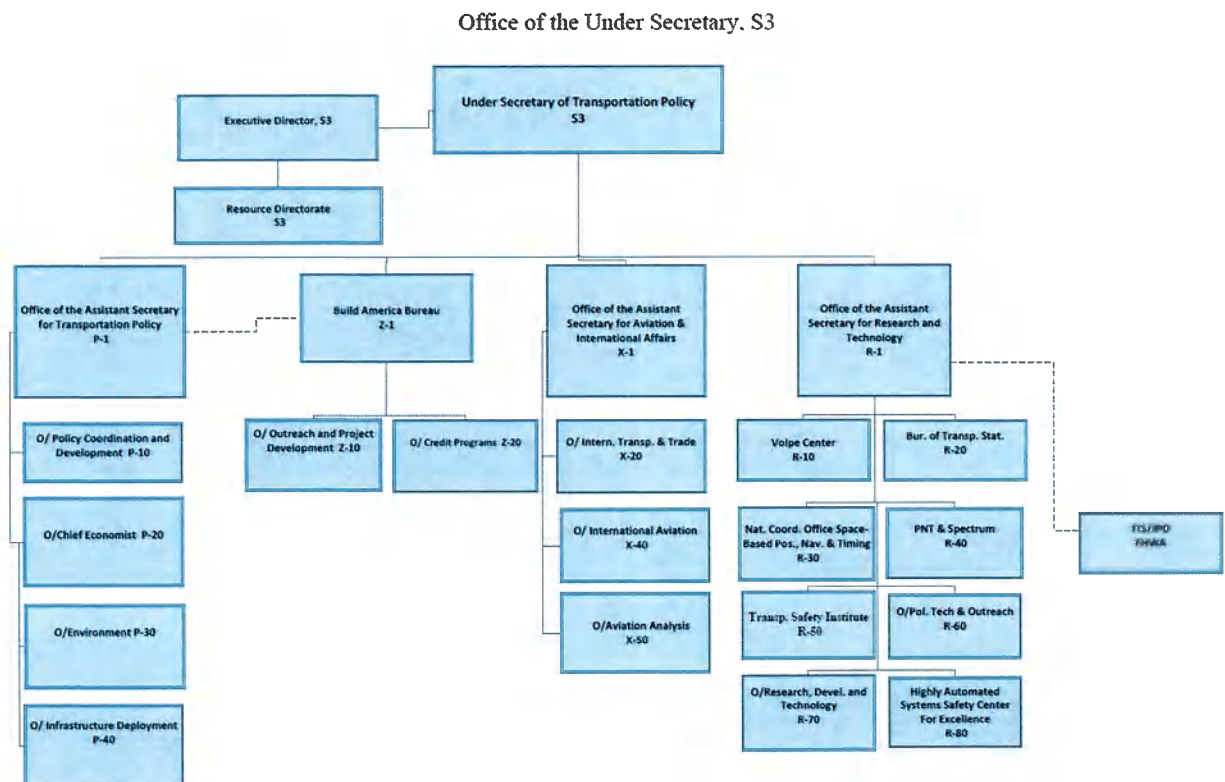
1. PURPOSE. This Order officially updates the mission and functional statements for the Office of the Under Secretary of Transportation for Policy located within the Office of the Secretary.
2. CANCELLATIONS. This Order cancels DOT 1101.10B, Department of Transportation, Office of the Under Secretary of Transportation for Policy, dated, December 16, 2016, and DOT 1100.75A, Department of Transportation Organization Manual Research and Innovative Technology Administration, dated, September 30, 2008.
3. BACKGROUND. Order 1100.75A will be cancelled to realign the Office of the Assistant Secretary for Research and Technology under the Office of the Under Secretary of Transportation for Policy to better align resources to address the Nation's priorities.
4. REFERENCES.
 - a. DOT Order 1101.00, Office of the Secretary Organization, dated November 6, 1995.
 - b. DOT Order 1320.16D, U.S. Department of Transportation Directives System, dated January 19, 2021.
5. EXPLANATION OF CHANGES.
 - a. The Office of Policy Coordination and Development (P-10) has been established.
 - b. The Office of Transportation Policy Development (P-30) has been renamed the Office of Environment to reflect its missions and functions.
 - c. The Office of Infrastructure Finance and Innovation (P-40) has been renamed the Office of Infrastructure Deployment to reflect its missions and functions.
 - d. The Office of the Assistant Secretary for Research and Technology has been realigned under the Under Secretary of Transportation for Policy to ensure better coordination of functions.
6. MISSION. The Under Secretary of Transportation for Policy (Under Secretary) serves as a principal policy advisor to the Secretary and provides leadership in the development of policies for the Department, generating proposals and providing advice regarding legislative and regulatory initiatives across all modes of transportation. By statute, the

Under Secretary is third in the Department's order of succession. The Under Secretary is responsible for ensuring Departmental policy coordination. The Under Secretary oversees the Assistant Secretaries for Research and Technology (R), Aviation and International Affairs (X) and for Transportation Policy (P), coordinating transportation policy development with the goal of making the Nation's transportation resources function as an integrated national system. The Under Secretary also oversees the Build America Bureau (Bureau), housing two of the Department's primary credit assistance programs and other innovative financing activities.

7. FUNCTIONS.

- a. Plans and develops the Department's major long-range policy initiatives to guide future activities.
- b. Provides leadership and direction in the Department's strategic planning activities.
- c. Provides the Secretary with advice on major policy issues currently before the Department across all modes of transportation.
- d. Participates in the development of major legislative and regulatory proposals and ensures conformity with established Departmental policy.
- e. Consults with the Director of the Departmental Office of Civil Rights regarding equity and access to ensure and promote compliance with Federal civil rights laws in all transportation policies and initiatives, and to ensure equal employment opportunity and a harassment-free workplace for S3 employees and applicants.
- f. Represents the Department at official functions, as needed.
- g. Carries out special projects on behalf of the Secretary and Deputy Secretary, as needed.
- h. Works with the Assistant Secretary for Budget and Programs to ensure coordination between the Department's budget development and policy development functions.
- i. Ensures that the Department's research and technology development priorities are consistent with the Secretary's policy priorities.
- j. Ensures Departmental data and statistical analysis are utilized to develop Secretarial policy decisions.
- k. Coordinates international policy development and participation in international organizations or other forums.

- l. Ensures the application processes for the credit assistance programs that are administered by the Bureau are streamlined and transparent.
 - m. Promotes the study of industry trends and the proposal of legislative initiatives to Congress on behalf of the organization.
 - n. Promotes intermodal and multimodal transportation initiatives, including advanced technology initiatives.
 - o. Manages the process of the clearance and delivery of Authorization reports to Congress
8. DELEGATIONS. The authority delegated from the Secretary of Transportation to the Under Secretary is codified at 49 CFR § 1.25 and re-delegations of that authority to the Assistant Secretaries is codified at 49 CFR Part 1. Delegations within the Office of the Under Secretary are described in an addendum.
9. ORGANIZATION.



a. Office of the Under Secretary of Transportation for Policy (S-3)

- 1) Mission: The Under Secretary of Transportation for Policy (Under Secretary) is by statute third in the Department of Transportation's order of succession and serves as a principal policy advisor to the Secretary, providing leadership in the development of policies for the Department and generating proposals and providing advice regarding legislative and regulatory initiatives across all modes of transportation. The Under Secretary provides departmental oversight for the offices of the Assistant Secretary for Research and Technology (OST-R), Assistant Secretary for Aviation and International Affairs (OST-X), Assistant Secretary for Transportation Policy (OST-P), and the National Surface Transportation and Innovative Finance Bureau (Build America Bureau) (OST-Z), coordinating transportation policy development with the goal of making the nation's transportation resources function as an integrated national system.

The Office of the Under Secretary comprises multiple offices with a broad range of functions and missions, including domestic and international transportation policy development and implementation, economic and legislative analysis, regulatory oversight, credit assistance, and innovative financing opportunities. The office has separate salary-paying appropriations accounts to support its Senior Executive Service (SES) members and more than 800 career employees, in addition to accounts that support specific grant programs including Essential Air Service (EAS), Better Utilizing Investment to Leverage Development (BUILD) Program, Infrastructure for Rebuilding America (INFRA) Program, Small Community Air Service Development Program and Safe Skies for Africa as well as the multi-billion-dollar credit finance programs under the Build America Bureau.

- 2) Functions:

- a) Plans and develops the Department's major long-range policy initiatives to guide future activities.
- b) Provides leadership and direction in the Department's strategic planning activities.
- c) Provides the Secretary with advice on major policy issues currently before the Department across all modes of transportation.
- d) Participates in the development of major legislative and regulatory proposals and ensures conformity with established departmental policy.

- e) Represents the Department at official functions, as needed.
- f) Carries out special projects on behalf of the Secretary and Deputy Secretary, as needed.
- g) Works with the Chief Financial Officer and Assistant Secretary for Budget and Programs to ensure coordination between the Department's budget development and policy development functions.
- h) Consults with the Director of the Departmental Office of Civil Rights regarding equity and access to ensure and promote compliance with Federal civil rights laws in all transportation policies and initiatives.
- i) Ensures that the Department's research and technology development priorities are consistent with the Secretary's policy priorities.
- j) Ensures Departmental data and statistical analysis are utilized to develop Secretarial policy decisions.
- k) Coordinates international policy development and participation in international organizations or other forums.
- l) Ensures the application processes for the credit assistance programs that are administered by the Build America Bureau are streamlined and transparent.
- m) Promotes the study of industry trends and the proposal of legislative initiatives to Congress on behalf of the organization.
- n) Promotes intermodal and multimodal transportation initiatives, including advanced technology initiatives.
- o) Manages the process of the clearance and delivery of Authorization reports to Congress

b. Executive Director (S-3)

- 1) Mission: The Executive Director exercises administrative management oversight of the Office of the Under Secretary, and all its sub-offices, including the Resource Directorate (S3.6), the Office of the Assistant Secretary for Transportation Policy (OST-P), the Office of the Assistant Secretary for Aviation, and International Affairs (OST-X), the Build America Bureau (OST-Z), and the

Office of the Assistant Secretary for Research and Technology (OST-R). The Office of the Under Secretary comprises multiple offices with a broad range of functions and missions, including domestic and international transportation policy development and implementation, economic and legislative analysis, regulatory oversight, credit assistance, and innovative financing opportunities.

2) Functions:

- a) Exercises responsibility for the full range of administrative and policy activities assigned to the Office of the Under Secretary, including providing supervisory direction to the Resource Directorate and advises and consults with the OST-P, OST-X, OST-Z, and OST-R offices on the implications of resource decisions regarding their programs.
- b) Oversees the administrative support to the Office of the Under Secretary, OST-P, OST-X, OST-Z, and OST-R offices, including personnel management; budget formulation, execution, and oversight; administrative services; equal employment opportunity and civil rights compliance; space planning and allocation; and other services necessary to the efficient operation of the offices.
- c) Coordinates the overall fiscal management, financial accountability, organizational integrity, operation, and performance of the Office of the Under Secretary, the Resource Directorate, OST-P, OST-X, OST-Z, and OST-R based on the directions of the Under Secretary, applicable statutory requirements, and departmental requirements and guidance.
- d) Develops, implements, and coordinates a comprehensive financial accountability and integrity program ensuring the effective operation of budget processes, proper utilization of accounting for the resources of the Office of the Under Secretary, the Resource Directorate, OST-P, OST-X, OST-Z, and OST-R offices, striving to ensure that projects are being completed on time and within budget.
- e) Makes recommendations on process changes or improvements regarding the structure, operation, and well-being of the Office of the Under Secretary, the Resource Directorate, OST-P, OST-X, OST-Z, and OST-R offices as it relates to the implementation of all policy programs. The Executive Director will assist the Under Secretary in promoting ongoing quality improvement, strategic plans, and performance measurement.
- f) Oversees the process for the development of studies of industry trends and the

proposal of legislative initiatives to Congress on behalf of the organization.

- g) Promotes systematic approaches to find, understand, and use knowledge to achieve organizational objectives and focus on information sharing and knowledge management.
- h) Ensures that nationwide programs are carried out in accordance with the policies and objectives of the Under Secretary while securing a diverse workforce and a staffing and organizational structure that is designed for the most effective program operations. They will be responsible for ensuring fair and equitable treatment of all persons employed or affected by the Office of the Under Secretary.
- i) Performs such other programmatic and representational duties as the Under Secretary may assign.
- j) Advises and participates with the Under Secretary in the establishment of policies and provides recommendations on the implications of all relevant program operations.

c. Resource Directorate (S-3,6)

- 1) Mission: The Resource Directorate serves as the focal point for resource oversight for the Office of the Under Secretary and the organizational offices; OST-P, OST-X, OST-Z, and OST-R offices. The Resource Directorate is a direct report of the Executive Director, S3. The Administrative Officer and Primary Fund Certification functions are executed by the Resource Directorate. The staff develops and executes resource policies, plans, and procedures to manage all aspects of program integration, organizational and fiscal resource management. The Resource Directorate coordinates with appropriate organizational leads and each Office's Directors and functional managers to ensure compliance and alignment with current government policies and regulations and ensure optimal use of all forms of resources. The staff works directly with management officials in each office to analyze monetary commitments to maximize fiscal resources, while forecasting the impact of current and future financial expenditures. The staff directly advises top management on correspondence policy and budget program integration. The staff works with top management to recruit, develop and retain a diverse workforce while advising management on defining organizational structure and skill competencies required to support office goals and strategically forecast current workforce trends to optimize current staff levels.

2) Functions:

a) Organizational Resource Management

- i. Program Management Alignment/Execution
- ii. Manage Advisory Organizations/Services
- iii. Workforce Planning, Development, Recruitment
- iv. Training
- v. Security/Clearances
- vi. Personnel Systems/Actions
- vii. Payroll System/Actions
- viii. Performance Management Alignment/Labor Relations Alignment
- ix. Administrative Policy Development and Execution

b) Financial Resource Management

- i. Strategic Financial Advice and Planning
- ii. Accounting
- iii. Budget Formulation
- iv. Budget Execution
- v. Financial Systems
- vi. Procurement Actions
- vii. Travel

c) Program Integration

- i. Office of the Under Secretary Correspondence Control
- ii. Office of the Under Secretary Regulatory Clearance Coordination Control
- iii. OIG/GAO
- iv. Inter-agency LRM Review
- v. Information Technology
- vi. IT System Ownership
- vii. Records Management
- viii. Space Management
- ix. Program Action Coordination

Note: The fiscal resource management, management organizational alignment/human capital development, and program integration functions for OST-R and its assigned program offices and functions are managed by the leadership of OST-R on daily operations and are functionally aligned and supervised by the Resource Directorate in support of the Executive Director to ensure continuity across all offices.

d. Office of the Assistant Secretary for Transportation Policy (OST-P)

- 1) Mission: The Office of the Assistant Secretary for Transportation Policy is the office primarily responsible for recommending transportation policy initiatives to the Secretary, Deputy Secretary, and Under Secretary. In addition, the office coordinates initiatives that cut across modes. The office coordinates and works with all S3 Offices in the development of the Department's research agenda to ensure that it is consistent with the Secretary's policy priorities. The office consults with the Director of the Departmental Office of Civil Rights regarding equity and access to ensure and promote compliance with Federal civil rights laws in all transportation policies and initiatives.
- 2) Functions: The Office of the Assistant Secretary for Transportation Policy reviews proposed departmental and outside agency legislative and regulatory actions to ensure that regulations are as consistent as possible with the policies of the Administration and the Secretary.
 - a) The Assistant Secretary exercises executive direction over four subordinate offices:
 - i. Office of Policy Coordination and Development: Provides departmental leadership and coordination in developing modal and intermodal transportation solutions that move people and goods in an efficient manner, provide the foundation for improved productivity growth, strengthen the nation's ability to compete in the global economy, and obtain the optimum yield from the nation's transportation resources. Ensures, as appropriate, issues are raised at the Secretarial level for continuity. Serves as the lead office on the development and implementation of the departmental Strategic Plan and collaborates with the other DOT offices to develop legislative proposals and policy priorities.
 - ii. Office of the Chief Economist: Provides leadership on economic issues across the Department. Reviews and recommends policies from a cost-benefit perspective, with particular focus on infrastructure, and reviews and provides economic analysis for proposed regulatory actions. In addition, this office supports the other offices within Transportation Policy to the extent economic expertise is needed.
 - iii. Office of Environment: Provides leadership and coordination on

environment and energy issues affecting all aspects of transportation. Manages long-term research, analysis, and initiatives on issues including permitting and project delivery, livability and economic development, environmental impacts, and energy, among others. Maintains the permitting dashboard.

- iv. Office of Infrastructure Deployment: Reviews and recommends policies concerning the development of infrastructure financing and grant programs, promotes innovation in transportation infrastructure, and provides analysis for proposed program and regulatory actions. In addition, this office oversees the RAISE discretionary grant program and administers the INFRA discretionary grant program on behalf of the Build America Bureau.

e. Office of Policy Coordination and Development (P-10)

- 1) Mission: The Office of Policy Coordination and Development provides departmental leadership and coordination in developing modal and intermodal transportation solutions that move people and goods in an efficient manner, provide the foundation for improved productivity growth, strengthen the nation's ability to compete in the global economy, and obtain the optimum yield from the nation's transportation resources. Ensure as appropriate issues are raised at the Secretarial level for continuity. Serves as the lead office on the development and implementation of the departmental Strategic Plan and collaborates with the other DOT offices to develop legislative proposals and policy priorities.
- 2) Functions:
 - a) Serves as the Department's advocate for, and advisor on, modal and intermodal transportation.
 - i. Publicizes and promotes initiatives and programs within the government and with industry.
 - ii. Explores, with States and industry, flexible solutions for transportation planning projects.
 - iii. Monitors the DOT grants process to promote initiatives.
 - iv. Reviews DOT regulations and encourages modal considerations in rulemaking activities.

- v. Participates in coordinating planning, research, and budgeting among DOT agencies.
 - vi. Evaluates transportation issues to identify solutions and formulates and advances appropriate courses of action.
 - b) Coordinates Federal transportation policy and initiates policies to promote efficient modal transportation.
 - c) Provides technical assistance to States, large metropolitan areas, and rural areas to facilitate their collection of data and assists in planning in coordination with DOT operating administrations.
 - d) Ensures Federal research on modal transportation is identified in accordance with 23 U.S.C. § 502, including additional research needs identified by the Under Secretary and the Assistant Secretary for Transportation Policy, in coordination with the Assistant Secretary for Research and Technology.
 - e) Reviews State-generated modal management systems to assure continued progress towards improving and integrating modal transportation systems, where appropriate.
 - f) Coordinates miscellaneous DOT issues as required by law and/or as raised by the Secretary and the modal agencies.
 - g) Provides advice for the Department's legislative, regulatory, and research programs and technical reviews involving transportation issues.
- f. Office of the Chief Economist (P-20)
- 1) Mission: The Office of the Chief Economist examines transportation policy issues from an economic perspective, conducts analyses of the economic effects of transportation policies, and designs more economically efficient policies. These analyses focus on the economic impact of transportation investments, strategies for using transportation infrastructure more efficiently, ways of increasing the economic efficiency of federal transportation programs, new ways of financing transportation infrastructure, and analyzing the costs and benefits of transportation rulemakings. This office coordinates as appropriate with the Office of Regulation (C-50), Office of the General Counsel.
 - 2) Functions:
 - a) Provides leadership and training to economists throughout the Department.

- b) Represents the Department in meetings with economists from the White House (in collaboration with C-50, with respect to rulemakings), other Cabinet Departments, and the national and international transportation economics community.
- c) Works to improve the quality of economic data and analytical methodologies available for transportation policymaking, in coordination with the Bureau of Transportation Statistics and the Department's Operating Administrations.
- d) Reviews the economic efficiency of departmental programs designed to assist transportation capital markets.
- e) Takes the lead on departmental policy involving transportation competition and antitrust issues.
- f) Develops designs for more economically efficient transportation programs and policies.
- g) Develops and coordinates research on economic competitiveness across the Department, in conjunction with the Assistant Secretary for Research and Technology.
- h) Reviews proposed and final regulatory actions, notices, and related economic analyses of the Department and its Operating Administrations.
- i) Develops guidance and provides outreach on benefit-cost analysis for applicants to DOT discretionary grant programs.
- j) Organizes, oversees, and provides training to internal reviewers of benefit-cost analyses prepared for DOT discretionary grant programs.
- k) Develops guidance, issued by the Assistant Secretary for Transportation Policy, on the value of travel time savings for use in regulatory and other economic analyses prepared by the Department and its Operating Administrations.
- l) Develops guidance, issued jointly by the Assistant Secretary for Transportation Policy and the General Counsel, on the value of statistical life for use in regulatory and other economic analyses prepared by the Department and its Operating Administrations.
- m) Serves as the Department's principal resource and advisor on policy issues

involving freight transportation.

- n) Develops and coordinates national freight transportation policy within the Department and among federal agencies to support commercial goods movement.
- o) Works with State DOTs and Metropolitan Planning Organizations (MPO) in large metropolitan areas to heighten awareness of critical freight transportation issues and logistical considerations in commercial transportation operations.
- p) Focuses on systemic freight transportation needs from the perspective of users (e.g., shippers, logistics services, etc.).
- q) Addresses cross-cutting freight transportation issues as required by law and/or as raised by the Secretary and the Department's Operating Administrations.
- r) Targets freight research needs in coordination with the Assistant Secretary for Research and Technology.

g. Office of Environment (P-30)

- Mission: The Office of Environment coordinates and evaluates public policy on environment and energy issues affecting all aspects of transportation. This includes formulating and coordinating policies and best practices for environmental review, analysis, and permitting during the planning and development of transportation infrastructure. The office maintains policy oversight of legislative and regulatory proposals affecting these areas, conducts or oversees studies and analyses, as appropriate, and provides advice on research and development requirements and concerns. In addition, the office manages the Department's Infrastructure Permitting Improvement Center (Center) and maintains the Permitting Dashboard. In addition, the office manages the Department's Infrastructure Permitting Improvement Center (Center) and maintains the Permitting Dashboard. It also directs and supports the work of the DOT Climate Change Center, in partnership with the Office of Research and Technology.

1) Functions:

- a) Analyzes, formulates, and recommends departmental policies, plans, and guidelines regarding public policy on environmental issues, including environmental health and energy issues affecting the transportation sector. Consults with the Departmental Office of Civil Rights on the development of policies, where appropriate.

- b) Provides support and policy advice on all matters and initiatives related to energy and transportation, including global climate change and related environmental impacts, energy conservation, energy efficiency, alternative fuels, and energy security.
- c) Formulates and recommends departmental policies, plans, and guidelines related to the natural and human environment. These responsibilities include, but are not limited to, policy advice and activities on air quality, water quality, ecosystem management, noise, emissions, sustainability, historic preservation, environmental justice, and quality of life of states and communities.
- d) Prepares guidance and oversees implementation of the National Environmental Policy Act across the Department and serves as the liaison to the President's Council on Environmental Quality and the Federal Permitting Improvement Steering Council.
- e) Serves as the central resource for accelerating project delivery for all departmental projects, as well as for removing barriers to efficient and effective project permitting and environmental review through the Center's environmental specialists, data analysts, and conflict-resolution experts. Coordinates and oversees the implementation of legislation and regulations related to environmental review and permitting. Reviews project readiness for project financing.
- f) Provides leadership and coordination for energy and environmental initiatives, domestic and international, from within or outside the Department.
- g) Provides advice for the Department's legislative, regulatory, and research programs and technical reviews involving environmental issues.
- h) Develops and proposes policies in cooperation with other OST offices, operating administrations, and other affected parties as appropriate. Proposes and/or comments on proposals for transportation-related legislation involving energy and environmental concerns.

h. Office of Infrastructure Deployment (P-40)

- 1) Mission: The Office of Infrastructure Deployment develops DOT-wide policies to improve transportation infrastructure financing and project delivery, develops new initiatives to facilitate public and private financing mechanisms and analyzes the cost-effectiveness of new and alternative approaches. The Office provides

support and leadership on grant and legislative and regulatory matters. The Office of Infrastructure Deployment manages multibillion-dollar discretionary grant programs. This includes both the Rebuilding American Infrastructure with Sustainability and Equity (RAISE) and the Infrastructure for Rebuilding America (INFRA) programs. These programs provide funding for critical surface transportation infrastructure projects of national, regional, or local significance.

2) Functions:

- a) Conducts policy research on innovative finance, privatization, user fees, and public-private partnerships, and encourages modal administrations to adopt innovative finance techniques.
- b) Provides policy direction related to the implementation of infrastructure grant programs and regulations that impact infrastructure development and operation.
- c) Advises on the development of policies related to innovative finance and procurement.
- d) Manages the multibillion-dollar RAISE discretionary grant program.
- e) Administers the application process for the INFRA grant program
- f) Provides standard guidance on discretionary grant program policies and selection criteria .

i. Office of the Assistant Secretary for Aviation and International Affairs (OST-X)

- 1) Mission: The Assistant Secretary for Aviation and International Affairs is responsible for the analysis, development, articulation, and review of policies, programs, and plans for economic issues in domestic aviation and international transportation.
 - a) The Assistant Secretary exercises executive direction over the following offices:
 - i. Office of International Transportation and Trade: Provides departmental leadership, direction, and coordination on the international surface and intermodal transportation and trade policies and programs; leads and coordinates departmental representation in global transportation and trade organizations.
 - ii. Office of International Aviation: Develops, coordinates, and executes departmental international aviation transportation policy.
 - iii. Office of Aviation Analysis: Initiates and supports the development of the Department's public policies regarding economic oversight of the airline industry in both domestic and international markets.
- 2) Functions:
 - a) Provides departmental leadership for and develops, coordinates, and carries out public policy related to the economic regulation of the airline industry.
 - b) Formulates, coordinates, and carries out departmental international civil aviation transportation policy, and works with the Department of State in negotiating bilateral and multilateral international aviation matters.
 - c) Administers the laws and regulations governing U.S. and foreign carrier economic authority to engage in air transportation. Renders decisions in all aviation economic, regulatory matters that are instituted by the Department.
 - d) Conducts special projects and analyses as requested by the Secretary, Deputy Secretary, or Under Secretary for Policy.
 - e) Administers programs for small community air transportation, including the Essential Air Service Program and the Small Community Air Service Development Program.
 - f) Develops, coordinates, and carries out public policy and regulatory actions with respect to the establishment of mail rates within Alaska and international markets.

- g) Develops, coordinates, and carries out public policy and certain regulatory actions with respect to access at U.S. airports.
 - h) Coordinates departmental policies regarding surface transportation that affect the North American Free Trade Agreement (NAFTA) and other international agreements.
 - i) Provides support for the Department of Transportation activities in foreign countries and departmental involvement in international fora.
 - j) Consults with the Director of the Departmental Office of Civil Rights regarding equity and access to ensure and promote compliance with Federal civil rights laws in all transportation policies and initiatives.
- j. Office of International Transportation and Trade (X-20)
- 1) Mission: The Office of International Transportation and Trade provides departmental leadership, direction, and coordination on international surface and intermodal transportation and trade policies and programs, including trade facilitation, technical assistance, and cooperation programs, trade promotion and advocacy, multimodal transportation issues, and international diplomatic and protocol activities; to lead and coordinate departmental representation in global transportation and trade organizations.
 - 2) Functions:
 - a) Provides the Secretary with the best information available to develop international transportation policy and carry out the Department's international responsibilities in a timely manner.
 - b) Promotes and facilitates open and liberalized global transportation markets.
 - c) Conducts in-depth analyses and provides policy recommendations to address emerging and ongoing international transportation issues.
 - d) Initiates and manages international technical assistance and cooperative programs.
 - e) Coordinates with other Federal agencies and the private sector as appropriate to achieve broad international transport policy objectives and promotes public/private partnerships.
 - f) Develops the Department's positions on transport aspects of international trade agreements in consultation with operating administrations and leads departmental representation in key international organizations.

- g) Facilitates the success of the Secretary's international travel agenda and meetings with foreign visitors.

k. Office of International Aviation (X-40)

- 1) Mission: The Office of International Aviation develops, coordinates, and executes departmental international aviation transportation policy.
- 2) Functions:
 - a) Provides policy advice and policy recommendations to the Assistant Secretary for Aviation and International Affairs on issues involving international civil aviation, including principal responsibilities for bilateral and multilateral aviation negotiations.
 - b) Maintains liaison and coordinates with Federal agencies, State and local governments, airports, the airline industry, and other public and private interests on international aviation transportation matters.
 - c) Reviews, processes, and disposes or recommends disposition of: (1) applications for U.S. air carrier certificates or amendments thereto under Section 41102 or 41108 of the Federal Aviation Act; (2) applications for foreign air carrier permits under Section 41302 of the Act; (3) applications for exemptions under Section 40109 of the Act; (4) fitness determination of foreign carriers; and (5) additional authorities related to the exercise of those cited, as well as authorities to perform charter flights (including code-share operations and wet-lease operations under Part 212 of the Department's regulations), to engage in intermodal cargo operations (under Part 222 of the Department's regulations), to navigate foreign civil aircraft within the United States other than for common carriage (under Part 375 of the Department's regulations) and to commingle blind-sector traffic by foreign air carriers (under Part 216 of the Department's regulations).
 - d) Reviews international fare, rate, and rules agreements and tariffs filings; maintains fare formulas required by statute or departmental policy. Coordinates on policies and operating standards for electronic tariff systems. These functions are carried out in conjunction with the Office of the General Counsel, where appropriate.
 - e) Coordinates with and advises other components of the Office of the Assistant Secretary for Aviation and International Affairs and components of the Office of the Assistant Secretary for Transportation Policy; the Office of Intelligence, Security, and Emergency Response; the Office of the General Counsel; the Office of the Assistant Secretary for Governmental Affairs; the Federal Aviation Administration; the Transportation Security Administration; and other U.S. and foreign government agencies in order to execute effectively the

international aviation policy of the United States. Coordinated matters include, but are not limited to: negotiating positions and day-to-day implementation of international air transport agreements and resolution of bilateral and multilateral relations problems; legislation, regulatory policy, air cargo policy, unfair, deceptive, or discriminatory practices; aviation environmental protection, aviation security and safety, facilitation, airline marketing systems, narcotics customs and immigration enforcement, and national security measures. Monitors the activities of international bodies, such as the International Civil Aviation Organization, World Trade Organization, Organization for Economic Cooperation and Development, and Asia Pacific Economic Cooperation, that involve international aviation matters, and represents the Department on such bodies as appropriate.

- f) Recommends action under and implements the International Air Transportation Fair Competitive Practices Act (IATFPCA).
- g) Recommends action under and implements the provisions of Chapter 14 of the Code of Federal Regulations, Part 213 (14 CFR 213) to require, as necessary, the filing of schedules by foreign air carriers and to disapprove those schedules or portions thereof, where appropriate, as authorized.
- h) Initiates, develops, and coordinates and/or reviews departmental positions on legislative proposals involving international aviation.
- i) Analyzes departmental and other data to support bilateral and multilateral aviation negotiations. Coordinates with the Office of the Assistant Secretary for Research and Technology in the acquisition and maintenance of international data.
- j) Develops and administers requirements imposed on direct and indirect air carriers, including bonding and escrow requirements. Administers registration of Canadian air taxi operators and foreign air freight forwarders, reviews charter prospectuses filed by tour operators, and processes requests for waivers of governing regulations.
- k) Manages aviation technical assistance programs.

1. Office of Aviation Analysis (X-50)

- 1) Mission: The Office of Aviation Analysis initiates and supports the development of the Department of Transportation's public policies regarding economic oversight of the airline industry in both domestic and international markets. The office also has the responsibility to analyze and support the Department's decision-makers on major airline issues, including airline mergers and acquisitions, domestic and international code-share alliances and other joint venture agreements, immunized international alliances between U.S. and foreign

carriers, airline distribution practices, airline strike and bankruptcy issues, and airline service at small communities. In addition, the office administers several important aviation regulatory programs, including the initial and continuing fitness of commercial airlines to serve the public, subsidy and grant programs for air service to small communities, access to slot-controlled airports, and the setting of mail rates within Alaska and in international markets.

2) Functions:

- a) Serves as an independent source of analytical input to the Department's Aviation and International Affairs policy-making function.
- b) Develops medium to long-term views of the airline industry's operating and competitive structures based on analysis of air carriers' costs, fares, service, traffic, capacity, and financial information.
- c) Develops an analytical agenda designed to address significant emerging airline industry issues, such as airline distribution practices, conducts internal studies of those issues, and designs and oversees studies by outside contractors.
- d) Monitors industry developments and ensures that Department policies address those developments.
- e) Reviews non-immunized marketing and alliance agreements between and among domestic air carriers, and where appropriate, recommends disposition on competition grounds.
- f) Reviews and recommends procedures and disposition for all airline mergers, acquisition applications, and applications for antitrust immunity for domestic and international alliances.
- g) Provides economic analyses for international route cases.
- h) Investigates the economic components of allegations of unfair methods of competition and deceptive practices in the airline industry and recommends action where appropriate.
- i) Analyzes the public and competitive impact of airline strikes and bankruptcies.
- j) Regularly provides quick-turn, analytically based reviews of a variety of aviation economic issues for senior Department officials.
- k) Provides leadership for large special aviation projects that support Secretarial and other policy initiatives that are national in scope.

- l) Provides a leadership role in the development and implementation of domestic and international aviation analytical functions.
- m) Develops and publishes recurrent reports on airline fares, costs, revenues, profitability, and operations for use by senior Department officials and the public.
- n) Participates in preparing rulemaking and departmental positions on legislative proposals concerning a variety of economic issues affecting the airline industry, including small community air service, air carrier fitness, access at slot-controlled airports, and airline industry structural issues.
- o) Administers the Essential Air Service Program and:
 - i. Determines levels of essential air service, reviews and updates such determinations, processes carrier selection cases and subsidy need issues, and conducts rate negotiations with applicants, reviewing forecast expenses and revenues;
 - ii. Evaluates continuing reliability of carriers, monitors performance, and conducts periodic on-site operational examinations of carriers;
 - iii. Sets interim and final subsidy rates where necessary to maintain service and renews subsidy rates where appropriate at one- or two-year intervals;
 - iv. Processes and participates in community appeals and conducts on-site informal hearings relating to appeals on essential air service levels and eligibility;
 - v. Processes suspension notices and hold-in notices to adjust or maintain service based upon statutory service reduction provisions, and evaluates proposals for replacement service; and
 - vi. Processes claim for subsidies and compensation authorized to support essential air service.
- p) Administers the Small Community Air Service Development Program, including: (1) soliciting of community proposals; (2) selection of the grant recipients; (3) management of the grant process, including reimbursements; (4) the development of all procedures and analytical paradigms for the administration of the program; and (5) additional requirements related to exercise of these responsibilities.
- q) Reviews, processes, disposes of or recommends disposition of: (1) applications for initial U.S. air carrier certificates under 49 U.S.C. 41102 and 41103, and for commuter air carrier authority under 49 U.S.C. 42378,

including a determination that the applicant is fit, willing, and able to conduct the proposed operations; (2) continuing fitness reviews under 49 U.S.C. 41110(e), including the modification, suspension, or revocation of authority, where appropriate; (3) applications for exemptions under 49 U.S.C. 40109; and (4) additional requirements related to the exercise these responsibilities, including participation in formal hearings involving air carrier fitness.

- r) Develops policies, analyzes policy issues, and administers certain regulatory issues with respect to access at slot-controlled airports, including the award of slot exemptions.
- s) Reviews international and intra-Alaska mail rates for adequacy and appropriateness; reviews contractual arrangements between the United States Postal Service and certificated air carriers for the transportation of mail; reviews Postal Service rules and regulations relating to the carriage of mail by aircraft; and conducts non-hearing investigations through show-cause procedures to establish individual and/or class rates.

m. Build America Bureau (OST-Z)

- 1) Mission: The National Surface Transportation and Innovative Finance Bureau, known as the Build America Bureau, develops DOT-wide policies to improve transportation infrastructure financing and project delivery, develops new initiatives to facilitate public and private financing mechanisms, and analyzes the cost-effectiveness of new and alternative approaches.

- a) The Bureau is headed by an Executive Director. The Executive Director exercises executive direction over three subordinate offices:
 - i. Office of Outreach and Project Development: Develops DOT-wide outreach goals, strategies, and tools which are used to educate state and local organizations. While the outreach campaign is national in scope, it is local in application.
 - ii. Office of Credit Programs: Administers the Department's credit programs that provide direct loans, loan guarantees, or lines of credit to support the construction of transportation projects and infrastructure.

2) Function:

- a) Serves as the Secretary's advisor on project finance policy issues that require expertise in areas such as public-private partnerships (PPPs), concession agreements, and accelerating large transportation projects between public and private organizations.

- b) Oversees the Department's transportation investment credit and tax programs, ensuring the application of consistent credit policies and management practices across all DOT credit programs, to the extent permissible under authorizing statutes. The Bureau administers DOT credit programs that include the:
 - i. Transportation Infrastructure Finance and Innovation Act of 1998 (TIFIA) Program;
 - ii. Railroad Rehabilitation and Improvement Financing (RRIF) Program; and
 - iii. Private Activity Bonds (PABs).
- c) Possesses expert knowledge in the infrastructure financing industry with both public and private participants.
- d) Advises senior leadership on the loan and guarantee oversight process and the most effective policy positions to administer the process.
- e) Functions as an expert consultant on infrastructure investment bank initiatives and how to effectively administer related policy.
- f) Consults with the Director of the Departmental Office of Civil Rights regarding equity and access to ensure and promote compliance with Federal civil rights laws in all transportation policies and initiatives.
- g) Develops designs for more effective and efficient transportation programs and policies.
- h) Responsible for the development, drafting, negotiation, and implementation of reauthorization provisions related to innovative finance.
- i) Coordinates with the appropriate credit and grant offices in the operating administrations to provide policy guidance on the Department's innovative finance programs.
- j) Takes actions that are appropriate and consistent with the Department's goals and policies to improve the delivery timelines for projects carried out under the Bureau's credit programs
- k) Supports the Council on Credit and Finance.

n. Office of Outreach and Project Development (Z-10)

- 1) Mission: The Office of Outreach and Project Development develops DOT-wide outreach

goals, strategies, and tools which are used to educate state and local organizations about the innovative finance tools administered at The Bureau. While the outreach campaign is national in scope, it is local in application.

2) Functions:

- a) Facilitates the development of and coordinates the offering of credit programming in various areas in partnership with the appropriate programs.
- b) Educates state and local policymakers on making more efficient use of transportation infrastructure credit programs.
- c) Builds public-private partnerships and encourages innovative finance techniques.
- d) Provides resource and contact lists for outreach coordinators to inform about credit eligibility.
- e) Conducts proactive outreach in coordination with the Bureau's webpage and coordinates the program's webinars.
- f) Manages the Bureau's application assistance responding to questions about the basic concepts and components of the credit programs administered in The Bureau.
- g) Builds the Bureau's Outreach to help spread the word about the Department's credit assistance programs.
- h) Consults with subject matter experts and client audiences to conduct needs assessments and develop related program activities of the Bureau.
- i) Conducts intake and screening to define project support.
- j) Supports pre-application activities and offers a consistent Project Development Lead (PDL).
- k) Works with the modal administrations within the Department, eligible entities, and other public and private interests to develop and promote best practices for innovative financing and public-private partnerships per 49 U.S.C. 116(e).
- l) Provides projects with technical assistance and modal connections.
- m) Prepares program updates to the Department's leadership and/or Congress.

o. Office of Credit Programs (Z-20)

- 1) Mission: The Office of Credit Programs administers the majority of the Department's credit programs that provide direct loans, loan guarantees, or lines of credit to support the construction of transportation projects and infrastructure.
 - a) The Bureau administers DOT credit and tax programs that include the:
 - i. Transportation Infrastructure Finance and Innovation Act (TIFIA) of 1998 Program;
 - ii. Railroad Rehabilitation and Improvement Financing (RRIF) Program; and
 - iii. Private Activity Bonds (PABs)
- 2) Functions:
 - a) Oversees the Department's transportation investment credit programs ensuring the application of consistent credit policies and management practices across all DOT credit programs.
 - b) Develops DOT-wide policies to improve transportation infrastructure financing and project delivery.
 - c) Administers the application process for TIFIA, RRIF, and PABs.
 - d) Performs underwriting and negotiations for loans.
 - e) Manages portfolios of active loans and escalates risks to the Council on Credit and Finance.
 - f) Manages risks of the loan portfolio.
 - g) Prepares materials for review by the Council on Credit and Finance, OST Budget, and OMB.

p. Office of the Assistant Secretary for Research and Technology (OST-R)

- 1) Mission: Administers the programs of the Office of the Assistant Secretary for Research and Technology (OST-R) and advises and assists the Secretary, Deputy Secretary, and the Under Secretary for Policy in matters pertinent to OST-R and its functions.
- 2) Functions:
 - a) Provides executive direction over the various OST-R program offices and is directly accountable to the Secretary, Deputy Secretary, and the Under Secretary for accomplishing OST-R's mission, implementing the President's agenda, and supporting the Secretary's goals and objectives;
 - b) Oversees the DOT Research Development & Technology Planning Team and is directly accountable to the Secretary and Deputy Secretary for accomplishing the Team's mission, supporting the Secretary's goals and objectives;
 - c) Serves as the Secretary's primary advisor for RD&T matters, in coordination with the Under Secretary, and advocates for RD&T budgets, programs, and activities;
 - d) Serves as the departmental lead on Positioning, Navigation and Timing (PNT) and radiofrequency spectrum management matters; and
 - e) Consults with the Director of the Departmental Office of Civil Rights regarding equity and access to ensure and promote compliance with Federal civil rights laws in all transportation policies and initiatives.

q. The Volpe National Transportation Systems Center (R-10)

- 1) Mission: To apply a unique combination of multidisciplinary, multimodal technical knowledge and expertise to improve the effectiveness, efficiency, and responsiveness of the nation's transportation system by anticipating emerging issues and advancing technical, operational, and institutional innovations in support of the Secretary, DOT's Operating Administrations and other federal, state, international and private sector partners.

- 2) Functions:

Under the executive direction of the Assistant Secretary for Research and Technology:

- a) The Director of the Volpe Center provides:

- i. Leadership and Executive Oversight
 - o Exercises executive operations and management oversight of all elements, programs, and assets of the Volpe Center, ensuring sound government and organization practices, public trust, and confidence of its customers;
 - o Provides executive oversight of the Volpe Center's Deputy Director for Operations/Chief Operating Officer and the Deputy Director for Research and Technology;
 - o Oversees the development and implementation of the Volpe Center's strategic planning and related activities. Provides strategic direction in the selection and development of Volpe's goals, objectives, programs, technical, and institutional resources to meet changing transportation requirements;
 - o Defines total program requirements and evaluates the Volpe Center's ability to meet related technological and socioeconomic program requirements;
 - o Oversees the conduct of activities to increase awareness and understanding of the Volpe Center's mission, accomplishments, and contributions to the public; and the dissemination of information on Volpe's programs and products to appropriate elements of the government, technical, and transportation communities;
 - o Looks across the transportation enterprise to anticipate future transportation issues and challenges, providing thought leadership so as to better prepare and inform departmental and other decision-

makers and provide a basis for establishing the Volpe Center's strategic direction; and,

- Provides executive oversight of and implements the Department's Small Business Innovation Research Program and serves as the Department's technical research representative to the Small Business Administration.
- ii. Partnerships
- Promotes the application of scientific and technological innovations to solve national and global transportation systems problems. Develops and maintains long-term relationships and partnerships with other Federal agencies; State, local, and tribal governments; universities; industry; and foreign entities involved in transportation issues, and,
 - Serves as an advisor, when requested, at all levels within DOT on technical and programmatic decisions affecting major programs.
- iii. Executive Assurance
- Assures sound processes, systems, and procedures for the Volpe Center's overall cost recovery of its operational activities;
 - Plans and provides financial services and reporting for the Volpe Center's indirect and direct project activities; and,
 - Develops and secures approval from the Assistant Secretary for Research and Technology for the Volpe Center's indirect budget and is responsible for implementing and overseeing the Volpe Center's budget and Working Capital Fund.
- iv. Liaison and Communications
- Establishes and maintains an effective system of communications throughout the Volpe Center;
 - Manages Volpe's liaison activities with OIG and GAO; and,
 - In consultation with the Office of Technology Policy and Outreach, establishes and maintains effective communications on behalf of the Volpe Center with current and prospective clients, and with other Federal agencies; State, local and tribal governments; universities; industry; and foreign entities involved in transportation issues.
 - Plans, develops, and manages programs for DOT and other client agencies as designated by the Assistant Secretary for Research and Technology.

r. The Volpe National Transportation Systems Center's Office of the Deputy Director for Operations (R-11)

- 1) Mission: Provides administrative, operational, information technology, and business enterprise support to assure federal process integrity in responsive and cost-effective Volpe Center operations and serves as the principal advisor on such matters to the Director.

2) Functions:

Under the executive direction of the Volpe Center Director and within established laws, regulations, and DOT and other Federal agency policies and guidance, the

Deputy Director for Operations of the Volpe Center serving as the Chief Operating Officer provides:

i. Leadership and Direction

- Provides direction for operations and management oversight of all operational elements and programs of the Volpe Center, ensuring sound government and organization practices, public trust, and confidence of its customers;
- Implements and supports strategic direction of overall operational activities of the Volpe Center. Shapes the Volpe Center's corporate culture creating a distinct and positive Volpe identity, consistent with OST-R and DOT goals;
- Working with the Departmental Office of Human Resource Management, ensures the planning and delivery of a comprehensive human resources and labor management program that embraces diversity, equity, and inclusion and is consistent with departmental and OST policy and guidance. Continually builds and maintains the professional, world-class, multidisciplinary technical expertise of the Volpe Center staff. Continually adapts the Volpe Center's organization, policy, procedures, and delegations of authority, resources, and personnel to anticipate and respond to changing national objectives. Through the Volpe Center's staff, creates and applies the knowledge and tools required to guide transportation products, policies, strategic plans, resource investment, and allocation throughout the transportation enterprise;
- Contracts for services, equipment, materials, and supplies to meet all Volpe Center project and institutional requirements. Applies the Volpe Center's technical assessment capabilities to ensure that the government is a smart buyer by defining what is needed and

determining how to acquire it while using industry, small business, and academia in compliance with Federal acquisition regulations;

- Manages all Volpe Center facilities and serves as Senior Real Property Officer. Interfaces with tenant organizations and local authorities regarding the Volpe Center's real property and operations;
 - Serves as the Designated Safety and Health Official and establishes, develops, and oversees a comprehensive safety, security, emergency preparedness disaster recovery, and environmental health program for the facility and occupants, ensuring accessibility for all employees and visitors;
 - Plans and provides information technology (IT) and information management (IM) resources (human, financial, and technology) services for the Volpe Center consistent with Department policies and standards, and works closely with the departmental Office of the Chief Information Officer (OCIO) regarding the development, acquisition, management, and oversight of all IT and IM program's technical resources; and
 - Develops and administers a comprehensive set of programs to improve and enhance the overall culture at Volpe and the work-life and well-being of the Center's employees.
- ii. Executive Assurance
- Assures the use of information technology integration to maximize the security and efficiency of the Volpe Center's internal operations, project support, and management systems consistent with departmental policy and guidance;
 - Assures full and affirmative implementation of civil rights and equal employment opportunity precepts;
 - Performs workload analysis, metrics development, and programmatic and institutional performance measurement; and
 - Plans, designs, and manages programs for DOT and other client agencies as designated by the Director.

s. The Volpe National Transportation Systems Center's Office of the Deputy Director for Research and Technology (R-12)

- 1) Mission: Provides leadership and oversight of the Volpe Center's technical community in supporting DOT and the broader transportation community, including decision-makers trying to define issues and pursuing solutions to meet 21st Century transportation goals. Advances the Department's priorities for innovative research in transportation technologies and concepts with a special focus on cross-cutting and intermodal transportation issues.

- 2) Functions:

Under the executive direction of the Volpe Center Director, the Deputy Director for Research and Technology provides:

- i. Leadership and Direction

- o Provides strategic direction, implements and oversees all technical activities within the Volpe Center's Technical Centers, including the following:

- (1) Center for Safety Management and Human Factors: Acquires, maintains, distributes, and analyzes transportation safety data to enable the Federal Government, the states, and other governmental and non-governmental bodies to take effective actions to reduce the number and severity of transportation-related deaths, injuries, and property damage;
 - (2) Provides internationally recognized human factors research and development capabilities supporting all modes of transportation. Pioneers new relationships between humans and technologies to improve transportation safety, security, and productivity with due concern for unintended consequences;
 - (3) Center for Policy, Planning, and Environment: Undertakes transportation planning, policy analysis, tool development, and research to strengthen and improve current and future transportation planning and decision making and build innovative, results-driven government organizations that move toward the DOT vision of the 21st-century transportation enterprise;
 - (4) Provides technical and analytical support for decision-making at all levels of government on transportation-related environmental policies, including those pertaining to weather, air quality, noise, and water pollution. Provides technical and analytical support for

decision- making at all levels of government on the role of transportation in achieving greater energy independence both as a consumer of energy and as a critical element in the energy supply chain;

- (5) Center for Infrastructure Systems and Technology: Recognizes the policy implications of shifting global passenger and freight flows and thereby maintains overall cognizance and promotes technical support in the inspection, maintenance, and rehabilitation of the existing and future transportation infrastructure, including vehicles, guideways, and intermodal facilities. Provides technical support, including the utilization of new materials, engineering concepts, and institutional approaches to ensuring the resilience of existing and future transportation infrastructure;
 - (6) Assesses alternative approaches for overcoming policy, institutional, financial, technical, and other barriers to the deployment of advanced vehicle technologies at the local, regional, and national levels. Identifies advanced technologies to improve transportation system performance, with emphasis on safety and mobility, recognizing the importance of civil rights, regions, and regional corridors and share these best practices with all levels of government and the private sector; and
 - (7) Center for Air Traffic Systems and Operations: Enhances the effectiveness, safety, and security of current and next-generation air transportation systems through addressing those procedures, systems, and facilities utilized for air traffic management. This work is accomplished through maintaining and utilizing internationally recognized staff in communications, navigation, surveillance, and traffic flow management systems, and associated disciplines;
- Serves as OST-R center of expertise for coordinating and developing civil-sector requirements for and application of space-and ground-based current and future positioning, navigation, and timing technology;
 - Serves as a national resource for the conceptualization, measurement, analysis, and assessment of aircraft wake turbulence, including mitigation of their effects by technical and operational means, which are essential for the establishment of more efficient aircraft separation standards and air system capacity while maintaining or increasing safety; and
 - Through outreach and interaction with the transportation community, clearly establishes and defines the technical content, staffing,

resources, tools, and capabilities of the technical offices with the goal of highlighting and elevating the Volpe Center's multi-disciplinary technical capabilities.

ii. Executive Assurance

- Assures that programmatic efforts comply with requirements of the funding source, are of high quality, and are conducted efficiently within budget and schedule;
- Oversees the Volpe Center's project management and quality assurance activities and reporting to assure standards are adhered to for all sponsored work;
- Plans, designs, and manages programs for DOT and other client agencies as designated by the Director; and
- Serves as Program Office for Volpe Center-wide technical support services contracts that provide professional and technical human resources to supplement staffing on Volpe Center projects. Identifies and defines technical resource requirements. Monitors contractor technical performance and costs.

t. Bureau of Transportation Statistics (BTS) (R-20)

1) Mission: As a designated principal Federal Statistical Agency, the Bureau of Transportation Statistics (BTS) informs public and private decision-making through the collection, compilation, analysis, and dissemination of objective, comprehensive statistics on the extent and use of the transportation system, the performance of the system, and the effects of the system on society, the economy, and the environment.

2) Functions¹:

- a) Under the executive direction of the Assistant Secretary for Research and Technology, the Director of BTS implements all aspects of 49 USC Chapter 63, including but not limited to:
 - i. Serves as senior advisor to the Secretary of Transportation on data (in coordination with the Chief Data Officer) and statistics;
 - ii. Serves as the Department's Statistical Official (5 U.S.C. § 314);

¹ Functions of the Bureau are specified in Chapter 63, Title 49, United States Code. Responsibilities for the collection and dissemination of airline information are found Section 329(b) (1), Title 49, United States Code and are delegated by the Secretary of Transportation to the Director of BTS.

- iii. Allocates and manages the authorized budget of BTS, including all hiring, grants, cooperative agreements, and contracts awarded by BTS and the amounts paid to BTS for cost-reimbursable projects; and
- iv. Ensures decisions related to information technology guarantee the protection of the confidentiality of information provided solely for statistical purposes, in accordance with the Confidential Information Protection and Statistical Efficiency Act of 2018 (44 U.S.C. §§ 3561-3564, 3571-3576; P. L. 115-435) and in coordination with the Office of the Chief Information Officer.

b) Principal Federal Statistical Agency Programs

- i. Adheres to all Statistical Policy Directives for Principal Federal Statistical Agencies issued by OMB;
- ii. Ensures that the statistics compiled by BTS are accurate, timely, and reliable, and are readily accessible to Federal, State, local, and tribal governments, other decision-makers, and the public (subject to applicable laws and regulations);
- iii. Serves as final approval of BTS' statistical products and publications to assure the objectivity, accuracy, and credibility of those products;
- iv. Ensures that statistical releases and online updates are prepared and executed in accordance with a published schedule, include policy-neutral analysis, and are shared through multiple communications channels; and responds directly to media requests concerning those releases and updates;
- v. Reviews and reports on the sources and reliability of the statistics proposed by the DOT OAs to measure outputs and outcomes as required by the Government Performance and Results Act of 1993, as amended, and carries out such other reviews of the sources and reliability of other data collected by the DOT OAs as requested by the Secretary;
- vi. Issues statistical quality guidelines for the collection of information by DOT to ensure that transportation statistics are accurate, reliable, relevant, and in a form, that permits systematic analysis; and
- vii. Represents the transportation community in deliberations of the Interagency Council on Statistical Policy.

c) Transportation Statistics Programs

- i. Compiles, analyzes, and disseminates a comprehensive set of statistics

on the extent, use, condition, and performance of the nation's transportation systems, and on the consequences of transportation for the population, the economy, and the environment;

- ii. Collects data on multimodal and intermodal transportation, users and uses of the transportation system, commercial aviation, and other aspects of transportation as needed;
- iii. Develops and maintains a port performance freight statistics program and reports to the Congress annually on the capacity and throughput of the largest ports;
- iv. Identifies needed information that is not being collected, reviews such needs annually, and makes recommendations to appropriate DOT officials concerning extramural and intramural research and information collection programs to provide such information;
- v. Prepares and transmits to Congress and the President the Transportation Statistics Annual Report, which contains: 1) description of the nation's transportation system, 2) the system's performance, 3) the system's contribution to the economy and its effects on the society, and economy, and 4) recommendations for improving transportation statistical information; and
- vi. Develops, implements, and maintains the BTS web site, providing an electronic means for consumers of intermodal and multimodal transportation information to obtain data, reports, and other statistical products and services.

d) Geospatial Data Programs

- i. Develops and maintains a National Transportation Atlas Database of geospatial information that depicts transportation networks; flows of people, demographic data from the Census Bureau, goods, vehicles, and craft over the networks; and social, economic, safety, and environmental conditions that affect or are affected by the networks;
- ii. Assures that the National Transportation Atlas Database supports multimodal and intermodal network analysis and planning; and
- iii. Develops analysis and visualization applications to enhance the use of geospatial information for decision-making.

e) Airline Information Programs

- i. Collects, maintains, and disseminates airline information (Section 329(b)(1), Title 49).

f) National Transportation Library Programs

- i. Establishes and maintains the National Transportation Library, which contains a collection of statistical, research, and other information needed for decision-making needs of transportation officials at the Federal, State, local, and tribal levels;
- ii. Acquires, preserves, and manages transportation information and information products for use by the Department, other Federal agencies, and the general public;
- iii. Provides library reference and research assistance;
- iv. Provides as a central depository for research results and technical publications of the Department;
- v. Provides a central clearinghouse for transportation data and information of the Federal Government;
- vi. Serves as coordinator and policy lead for transportation information access;
- vii. Coordinates efforts among, and cooperates with, transportation libraries, information providers, and technical assistance centers, in conjunction with private industry and other transportation library and information centers, with the goal of developing a comprehensive transportation information and knowledge network; and
- viii. Publicizes, facilitates, and promotes access to the information products and services to improve the ability of the transportation community to share information and to make statistics and other information readily accessible.

- g) The Deputy Director of BTS assists the Director in the discharge of the Director's responsibilities with authority to act for the Director in all matters not reserved to the Director by law, order, or instruction of the Director.

u. Director, National Coordination Office for Space-Based Positioning, Navigation and Timing (NCO)

- 1) Mission: Pursuant to the U.S. Space-Based Positioning, Navigation, and Timing (PNT) Policy (SPD-7), the NCO serves as the Secretariat for the National Space-Based Positioning, Navigation, and Timing Executive Committee (EXCOM), co-chaired by the Deputy Secretaries of the Department of Defense and the Department of Transportation. The NCO Director shall be a member of the Senior

Executive Service chosen by and reporting to the Co-Chairs. The NCO shall provide the staff functions for the EXCOM, perform those functions designated in EXCOM Charter Annex A, and those functions delegated by the EXCOM, to support goals and objectives listed in SPD-7. The EXCOM reports to the President, through the Assistant to the President for National Security Affairs, or the Executive Secretary of the National Space Council, as appropriate.

2) Functions:

- a) Assists the EXCOM in the accomplishment of functions listed in SPD-7 including, but not limited to:
 - i. Formulate recommendations to its member Departments and Agencies, and to the President through the representatives of the Executive Office of the President to ensure that national security, homeland security, and civil requirements receive full and appropriate consideration in the decision-making process and facilitate the integration and deconfliction of these requirements for space-based positioning, navigation, and timing capabilities; and
 - ii. Advise and coordinate with and among the Departments and Agencies responsible for the strategic decisions regarding policies, architectures, requirements, and resource allocation for maintaining and improving U.S. space-based positioning, navigation, and timing infrastructures, including the Global Positioning System (GPS), its augmentations, security for these services, and relationships with foreign positioning, navigation, and timing services.
- b) To accomplish the responsibilities of the EXCOM, the NCO shall:
 - i. Review Department and Agency proposals on international cooperation that require interagency coordination, such as spectrum management and protection issues, and provide recommendations to the EXCOM;
 - ii. Evaluate plans to modernize the U.S. space-based PNT infrastructure, including development, deployment, and operation of new and/or improved national security and civil services that exceed, or are at least equivalent to, foreign space-based PNT services;
 - iii. Coordinate Department and Agency PNT program plans, requirements, budgets, and policies, and assess the adequacy of funding and schedules to facilitate the timely integration and deconfliction of requirements for space-based PNT capabilities;
 - iv. Develop and implement processes and relationships with EXCOM members to facilitate information sharing, coordination, and issue resolution regarding Department and Agency program plans,

requirements, budgets, and policies for the operation of U.S. space-based PNT systems and services;

- v. Conduct or oversee space-based PNT studies, analyses, and projects with a National benefit beyond the scope of a single Department or Agency, to include an assessment of ongoing Department and Agency efforts that may benefit from broader U.S. Government participation;
 - vi. Represent the EXCOM on space-based PNT matters within the Government, the public sector, and with representatives of foreign governments and international organizations, as appropriate, in carrying out assigned responsibilities and functions; and
 - vii. Administer the National Space-Based PNT Advisory Board, a Federal Advisory Committee, in coordination with the host Department.
- c) Oversee the operation of the GPS.gov website as a national resource for official information regarding GPS and related systems.
 - d) Assist the Executive Steering Group (ESG), co-chaired by the Departments of Defense and Transportation at the Under/Assistant Secretary level, to perform tasks, build consensus and resolve issues on behalf of the EXCOM.
 - e) Schedule and coordinate meetings of the EXCOM and ESG.
 - f) Chair an Interagency Special Working Group (SWG) to provide strategic advice to the EXCOM for synchronized National action on classified issues regarding safety, security, or resilience of GPS services.
 - g) Administer the National Space-Based PNT Systems Engineering Forum (NPEF), a permanent working group under the auspices of the NCO, to provide a forum for analysis and discussion of systems engineering issues and technology development opportunities relative to GPS and GPS augmentation systems.
- v. Office of Positioning, Navigation, and Timing (PNT) and Spectrum Management (R-40)
- 1) Mission: Coordinates the development of departmental positions on PNT and spectrum policy and the protection of PNT systems from harmful radio frequency interference and operational degradation in conjunction with the Under Secretary for Policy the Assistant Secretary for Transportation Policy, and the Operating Administrations.
 - 2) Functions:

- a) Represents the civil Departments and Agencies in the development, acquisition, management, and operations of the Global Positioning System;
- b) Supports the Deputy Secretary on National Space-Based PNT Executive Committee matters and the Under Secretary at National Space-Based PNT Executive Steering Group meetings;
- c) Provides civil PNT and spectrum analysis and coordination, including requirements development and architectural development;
- d) Oversees and manages the work of the DOT civil GPS acquisition and operational liaisons at Los Angeles Air Force Base and Peterson Air Force Base, respectively;
- e) Represents DOT in Federal radio navigation planning and requirements development activities;
- f) Chairs the DOT Positioning and Navigation (Pos/Nav) Working Group and Extended Pos/Nav Working Group and acts as executive secretariat for the Under Secretary, who chairs the DOT Pos/Nav Executive Committee;
- g) Addresses PNT resiliency through evaluation and implementation of GPS backup and Complementary PNT capabilities;
- h) Represents DOT at National Telecommunications and Information Administration (NTIA) Interdepartmental Radio Advisory Committee (IRAC) and Policy and Plans Steering Group (PPSG) spectrum meetings;
- i) Chairs the Civil Global Positioning System Service Interface (CGSIC) Committee;
- j) Coordinates, in conjunction with the Assistant Secretary for Transportation Policy and the Chief Financial Officer and Assistant Secretary for Budget and Programs, all PNT budget activities within each operating administration; and
- k) Provides regular PNT and spectrum updates to the Under Secretary for Policy and the Assistant Secretary for Transportation.

w. Transportation Safety Institute (TSI) (R-50)

- 1) Mission: Provides premier worldwide transportation training, products, and/or services for both the public and private sectors through innovative, state-of-the-art methods and technologies that contribute to the protection of life, property, and the environment.
- 2) Functions: Under the executive direction of Assistant Secretary for Research and Technology, the Director, TSI:

- a) Designs, develops, conducts, and evaluates training and technical assistance programs in transportation safety and security in conformance with sponsor requirements;
- b) Enters agreements with all user/sponsor organizations for the provision of training and technical assistance services on a cost-recovery basis;
- c) Develops and executes annexes to such agreements setting forth tasking, funding, and personnel requirements; develops the annual TSI composite budget and sponsored programs support plan; and determines the fair share/pro-rata obligations of user/sponsor organizations for the joint use and services of TSI;
- d) Enters agreements for obtaining TSI support services, e.g., procurement, accounting, logistics, space, etc. supplemental to those provided by OST-R;
- e) Accepts collections from student/trainees from non-sponsor organizations (i.e., student/trainees who are not Federal Government employees);
- f) Conducts studies and special projects of operational problems relating to the full range of transportation safety and security matters affecting one or more transportation mode, as dictated by cost recovery agreement;
- g) Summarizes current thought and practice relating to transportation safety and security, as dictated by cost recovery agreement;
- h) Studies and experiments with techniques and procedures in accident and incident investigation in all areas of transportation safety and security for purposes of recommending improvements, as dictated by cost recovery agreement;
- i) Develops and administers programs for certification of personnel knowledge, skills, and abilities through integrated training, testing and performance measures;
- j) Serves as the principal liaison between potential and existing user organizations and TSI, extending the scope and effectiveness of safety and security training on behalf of DOT interests; and
- k) Provides staff assistance to the Assistant Secretary on matters pertaining to the OST-R, operation, staffing, and organization of safety training programs for DOT and other Government agencies, as dictated by cost recovery agreement.

x. Office of Technology Policy and Outreach (R-60)

- 1) Mission: Promotes public and Government understanding of and support for

OST-R programs, activities, policies, and strategies; and coordinates these with Congress, DOT operating administrations (OAs), Federal, State, and local agencies, tribal governments, external stakeholders, and foreign governments.

2) Functions:

Under the executive direction of the Assistant Secretary for Research and Technology, the Director of Technology Policy and Outreach:

a) Public Communications

- i. Serves as OST-R's official spokesperson, including but not limited to, communication involving the media, Congress, and public and private stakeholders;
- ii. Provides advice and assistance to OST-R officials on all public communications matters;
- iii. Coordinates with the Department's Office of Public Affairs on all activities involving the media;
- iv. Plans, initiates, and coordinates interviews by print, broadcast, and electronic media with OST-R officials; and
- v. Coordinates and provides staff support for media events and other public communications opportunities involving OST-R officials, including public forums, hearings, symposia, and conferences.

b) Outreach

- i. Coordinates educational and informational events, materials, and online presence to promote awareness of OST-R programs, activities, objectives, and goals by the public, industry, interest groups, State and local governmental agencies, tribal governments, and the media;
- ii. Develops and promotes informational materials on OST-R programs and activities, utilizing a range of media, for use in informational campaigns and for use by DOT and OST-R officials during speeches, briefings, hearings, conferences, and public forums. When appropriate, messaging to the public should be accessible to limited-English proficient individuals and persons with disabilities;
- iii. Provides advice and assistance to DOT and OST-R officials on techniques for communicating with the public about OST-R programs and activities;
- iv. Provides advice and assistance to OST-R offices in the development of communication strategies to promote initiatives; and

- v. Performs Web content management duties for OST-R, serving as liaison to offices within OST-R to ensure that data, reports, research findings, and other information posted to the OST-R web site are relevant and organized appropriately for OST-R's audiences, customers, and stakeholders, in coordination with the Office of the Chief Information Officer.

c) Congressional Relations

- i. Coordinates and promotes OST-R programs and activities with the U.S. Congress, coordinating all meetings, briefings, hearings, and other exchanges with Members, Committees, and Congressional staff;
- ii. Coordinates with the OST Office of the Assistant Secretary for Governmental Affairs on all Congressional activities;
- iii. Coordinates all OST-R technical assistance, policy analysis, and planning for surface authorization and other legislative and policy initiatives that might impact OST-R programs and responsibilities;
- iv. Monitors, provides analysis of, and responds to legislative and other Congressional developments that might impact DOT and OST-R research and technology policy and programs; and
- v. Maintains strong working relationships with relevant Congressional staff and the OST Office of the Assistant Secretary for Governmental Affairs.

d) External Stakeholder Relations

- i. In coordination with other appropriate OST-R offices, promotes OST-R's programs with the Transportation Research Board (TRB), American Association of State Highway and Transportation Officials, Council of University Transportation Centers, ITS America, and other external transportation organizations, and coordinates such activities with OST-R offices;
- ii. Promotes and coordinates OST-R's programs with DOT OAs; other Federal, State, and local agencies; tribal governments; MPOs; and other entities with an interest in OST-R programs; and across DOT research programs more broadly;
- iii. Maintains awareness of, and as necessary, participates in, research and technology policy activities of the Executive Office of the President;
- iv. Maintains awareness and provides an analysis of other Federal agency activities that might impact DOT and OST-R research and technology policy and programs;

- v. Provides policy leadership on spectrum matters, including Federal Communications Commission and National Telecommunications and Information Administration processes, in coordination with the Under Secretary;
- vi. Monitors and responds to, as needed, industry and governmental developments that might impact OST-R programs; and
- vii. Serves as the Department's Standards Executive for the purposes of OMB Circular A-119 (Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities), in coordination with the Office of the General Counsel and the Office of the Under Secretary.

e) International Relations

- i. Coordinates all OST-R international activities, including meetings, agreements, and exchanges with foreign countries, working in coordination with the OST Office of the Assistant Secretary for Aviation and International Affairs to ensure the consistency of those activities with broader departmental international initiatives;
- ii. Serves as OST-R's official representative on the Department's International Policy Council; and
- iii. Reviews all international travel by OST-R employees to ensure consistency with departmental foreign travel policies, plans, and reporting requirements, in advance of submittal to the Office of Aviation and International Affairs (OST-X) and the Chief of Staff for approval/reporting, as appropriate. Serves as the A-123 internal controls point for international travel approvals.

y. Office of Research, Development, and Technology (RD&T) (R-70)

- 1) Mission: Fosters innovation in transportation; contributes to the U.S. transportation research, development, and technology agenda, consistent with departmental strategic goals, and advocates for a fully-integrated, technologically advanced multimodal transportation system; and communicates such to domestic and international partners.
- 2) Functions: Under the executive direction of the Assistant Secretary for Research and Technology, the Director for RD&T:
 - a) Planning and Coordination

- i. Coordinates all DOT OA RD&T efforts and ensures those efforts are consistent with departmental policy objectives in close collaboration with the other operating administrations in accordance with departmental guidance;
- ii. Manages and coordinates the research planning process established by 49 U.S.C. Chapter 65, including the strategic planning process for transportation RD&T across the Department, through the RD&T Planning Process. The process is guided by the DOT Strategic Plan, the views of transportation system stakeholders, and executive and policy guidance from the Under Secretary of Transportation Policy, the Assistant Secretary for Transportation Policy, the Assistant Secretary for Aviation and International Affairs, the Chief Financial Officer and Assistant Secretary for Budget and Programs; and
- iii. Serves as the Chair of and provides staff support to the Department's RD&T Planning Team;
- iv. Coordinates multimodal research in resilience and innovative technologies;
- v. Manages the University Transportation Centers (UTC) Program and other OST-R grant and contract programs in accordance with Federal laws and regulations;
- vi. Provides information to the transportation research community across DOT on DOT-funded research, and externally, principally through the Consolidated Research Database/DOT Research Hub;
- vii. Provides leadership and technical advice to the OAs in technology transfer and commercialization, and
- viii. Communicates the DOT RD&T Strategic Plan, Annual Modal Research Plan(s), and other research collaboration opportunities to domestic partners, such as the American Association of State Highway and Transportation Officials, the Transportation Research Board; and to international parties.

b) Leadership and Liaison

- i. Facilitates DOT participation in initiatives of the Office of Science and Technology Policy/National Science and Technology Council, on multimodal issues such as infrastructure resilience to communicate DOT RD&T needs;

- ii. Strengthens existing public-private technology partnerships and promotes new collaborations through outreach to industry and other agencies;
- iii. Represents DOT on interdepartmental forums on RD&T technology transfer, and on the Federal Laboratories Consortium on Technology Transfer;
- iv. Provides leadership, coordination, and guidance on the Departmental Scientific Integrity Policy and Implementation Plan;
- v. Represents DOT on the Transportation Research Committee of the International Transport Forum/Organization for Economic and Community Development, in coordination with the Office of International Transportation & Trade (X-20);
- vi. Collaborates with the European Commission and the Transportation Research Board to hold biennial research symposia on timely and critical transportation issues; and
- vii. Serves as DOT coordinator for the twinning of research projects with the European Commission, working with the Modal Administrations, in coordination with the Office of International Transportation & Trade (X-20).

c) Assessments, Reviews, and Performance

- i. Provides guidance to the OA's input to the Secretary on DOT OA RD&T budgets, in consultation with OA and OST Offices, and recommends research investment changes to ensure alignment with the Secretary's priorities, the DOT Strategic Plan, and the President's Budget through the Research Review Working Group (RRWG);
- ii. Assesses DOT RD&T programs for their effectiveness and responsiveness to evaluation findings, in consultation with DOT OAs and OST Offices, as deemed necessary by the RD&T Planning Team, the Assistant Secretary for Research and Technology, or the Secretary. Such evaluation findings may include, but are not limited to, reports developed through the Office of Management and Budget (OMB), the President's Management Agenda R&D Investment Criteria, and findings and reports issued by the Inspector General (OIG) and the Government Accountability Office (GAO);
- iii. Represents DOT in internal and external forums regarding the Department's RD&T performance; and

- iv. Conducts or sponsors transportation system assessments and research, scans emerging technologies in the U.S. and internationally, and evaluates the implications for DOT RD&T priorities.
- d) Research – Collection, Analysis, and Dissemination
 - i. Initiates and coordinates DOT technology transfer activities and disseminates transportation RD&T results;
 - ii. Facilitates the application to the transportation of long-term enabling research performed by other Federal agencies, academia, and the private sector;
 - iii. Collects and disseminates information on international RD&T activities underway in DOT, and international RD&T activities of interest to DOT, and works with DOT OAs and the Office of the Assistant Secretary for Aviation and International Affairs to identify new opportunities for transnational RD&T partnerships; and
 - iv. Analyzes transportation research issues, as required by law or as raised by the Secretary, Secretarial offices, and the DOT OAs.
- e) University Programs
 - i. Manages and coordinates a nationwide program of transportation research and technology transfer through grants to institutions of higher education and fosters university participation in the planning, conduct, and analysis of transportation RD&T;
 - ii. Reviews and facilitates the coordination of other DOT RD&T support to universities and institutions of higher education to evaluate their contribution to departmental RD&T programs and to avoid unnecessary duplication; and
 - iii. Identifies opportunities for cross-modal collaboration at universities, and promotes information dissemination of successful university transportation research and technology transfer practices.
- f) Information Systems for Managing RD&T
 - i. Develops and implements information systems to manage the Department's RD&T initiatives in coordination with the Office of the Chief Information Officer and in accordance with departmental and Government-wide information technology framework and guidelines.

z. Highly Automated Systems Safety Center of Excellence (R-80)

1) Mission: Section 105 of Division H, Title I (FY2020 Appropriations Act, Pub. L. No. 116-94) requires that the Secretary of Transportation establish a Highly-Automated Systems Safety Center of Excellence (HASS COE) within the United States Department of Transportation (DOT), "in order to have a Department of Transportation workforce capable of reviewing, assessing, and validating the safety of automated technologies."

2) Functions:

The HASS COE is intended to complement existing expertise and research functions pertaining to highly automated system safety within DOT's operating administrations and, in close coordination with the Office of the Secretary of Transportation, collaboratively identify its activities and projects by drawing from the following core functions:

- a) Review: Provide expert analysis of internal and external technical proposals, standards, and methods.
- b) Assess: Perform technical research and analysis to support highly automated systems safety.
- c) Validate: Develop and evaluate approaches to validating highly automated systems, including real-world and simulated test procedures, safety performance metrics, and safety certification processes.
- d) Inform: Monitor automation-related deployments and develop and disseminate information resources, technical guidance, safety information, and best practices for the government and the public.



Carlos Monje Jr.
Under Secretary of Transportation for Policy

11/01/2021

Date