U.S. Department of Transportation

BUDGET ESTIMATES

FISCAL YEAR 2023

OFFICE OF THE SECRETARY OF TRANSPORTATION

SUBMITTED FOR THE USE OF
THE COMMITTEES ON APPROPRIATIONS

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

FY 2023
CONGRESSIONAL JUSTIFICATION

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

SECTION 1: OVERVIEW

OFFICE OF THE SECRETARY

OVERVIEW

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

OST is responsible for the selection, award, and oversight of billions of dollars of multimodal infrastructure funding for the Rebuilding American Infrastructure with Sustainability and Equity (RAISE) grants – formerly known as TIGER/BUILD Grants – the Infrastructure for Rebuilding America (INFRA) discretionary grant program and the new National Infrastructure Project Assistance Program created by the Bipartisan Infrastructure Law (BIL). The BIL also created and provided advance appropriations for three new grant programs: The National Culvert Removal, Restoration, program, which focuses on aging culvert replacement, the Strengthening Mobility and Revolutionizing Transportation (SMART) program, which will support advanced smart city or community technologies, and Safe Streets and Roads for All, which will focus on preventing death and serious injury on roads and streets. In addition, OST works to broaden the availability of funding for infrastructure through the management of the Department's innovative finance programs.

OST plays a crucial role coordinating the development of National transportation policy to promote the Secretary's priorities and facilitating the Department's robust regulatory response to the urgent challenges facing the Nation, including economic recovery, racial justice, and climate change. Other critical OST activities include supporting commercial flight access for rural communities and ensuring fairness to airline travelers.

The FY 2023 Budget includes $7 billion for the Office of the Secretary These resources include funds that will continue through the advance appropriations provided by the Bipartisan Infrastructure Law (BIL), as well as $20 million to ensure that historic investments under the BIL will deliver resources and benefits equitably, including communities that have been historically underserved and adversely affected by persistent poverty or income inequality.

Key Components of the Request

Salaries and Expenses (S&E): $184.4 million for the Secretarial offices. The OST Offices serve as advisors to the Secretary on a wide range of areas while also maintaining oversight controls on the Department's programs, initiatives, and policies. These Offices contribute to the advancement of the Administration's goals, with a focus on safety, equitable economic strength and improving core assets, improving transportation equity, transformative infrastructure, and addressing climate change.

Financial Management Capital (FMC): $5 million to strengthen DOT's capabilities to provide oversight over DOT's risks and controls, continue the execution of the DATA Act compliance requirements and full implementation of G-Invoicing to include all data

standardization initiatives, and this funding will improve DOT's currently limited financial data analytics.

Departmental Office of Civil Rights (DOCR): $20.5 million is requested to support the Department's goals of advancing equity and opportunity for all individuals and communities throughout its internal and external programs. This funding will address compliance, technical assistance, and execution of Title VI, Americans with Disabilities Act while launching and institutionalizing additional diversity, equity, inclusion, and accessibility (DEIA) initiatives in support of the Administration's Equity priorities.

Office of Small and Disadvantaged Business Utilization and Outreach (OSDBU): $7 million to assist small, disadvantaged, and women-owned businesses in participating in DOT and DOT-assisted contracts and grants, and fully fund existing Small Business Transportation Resource Centers. OSDBU's work will continue to support the implementation of the Department's economic justice strategy, a key component of the Administration's Equity goals.

Transportation Planning, Research and Development Program (TPR&D): $19.6 million for research activities and studies to support the Secretary's formulation of National transportation policies, climate priorities, the Administration's initiatives and advance emerging transportation technologies. Of this funding, the **Interagency Infrastructure Permitting Improvement Center** will receive **$7.1 million** to address climate change and to continue to streamline the permitting review processes, boosting capacity for NEPA implementation to move projects more efficiently and effectively through the environmental review process.

Cyber Security Initiatives: $48 million to continue enhancements and investment in DOT Cybersecurity capabilities, expand cybersecurity and privacy risk management capabilities, integrate DOT's Zero Trust Architecture implementation and upgrade the FAA security operations (SOC) capabilities.

National Surface Transportation and Innovative Finance Bureau: $3.8 million is requested to provide assistance and communicate best practices, financing, and funding opportunities to entities eligible under DOT infrastructure finance programs. Funds requested will also be used to administer the application process for several DOT finance programs

will facilitate targeted Federal investments in infrastructure by streamlining the Department's innovative finance programs. and efficiently promote best practices for innovative financing and public-private partnerships.

Essential Air Service (EAS) Program: $450 million to ensure that eligible small communities retain a link to the national air transportation system, funded from an estimated $85.5 million of mandatory overflight fees collected by the Federal Aviation Administration and a $368.7 million discretionary appropriation.

Research and Technology (R&T): $48 million is requested to support the Secretary's goals to transform transportation by expanding the base of knowledge to transform America's transportation system into one that is safer, cleaner, more equitable, more economically competitive, and innovative. The Office of the Assistant Secretary for Research and Technology

(OST-R) ensures that the Department's strategic R&T priorities are implemented and leads a range of cross-modal initiatives.

The request includes **$5 million** for the Climate Change Center; **$5 million** for Position Navigation and Timing (PNT) research activities; and **$3.2 million** for the planning and development of an Advanced Research Projects Agency-Infrastructure in the Department of Transportation. The Department of Transportation's new Advanced Research Projects Development effort will accelerate the transformative transportation goals of the BIL.

Thriving Communities: $111 million will provide technical assistance, capacity building and other assistance to help disadvantaged communities advance transformative, equitable and climate-friendly infrastructure projects that would support equitable economic growth, reduce transportation cost-burden, improved public health and mobility and increased access to economic opportunity. This program aims to provide in-depth, hands-on technical assistance resulting in an accelerated project plan for at least one transformative, community-led infrastructure project per state and territory.

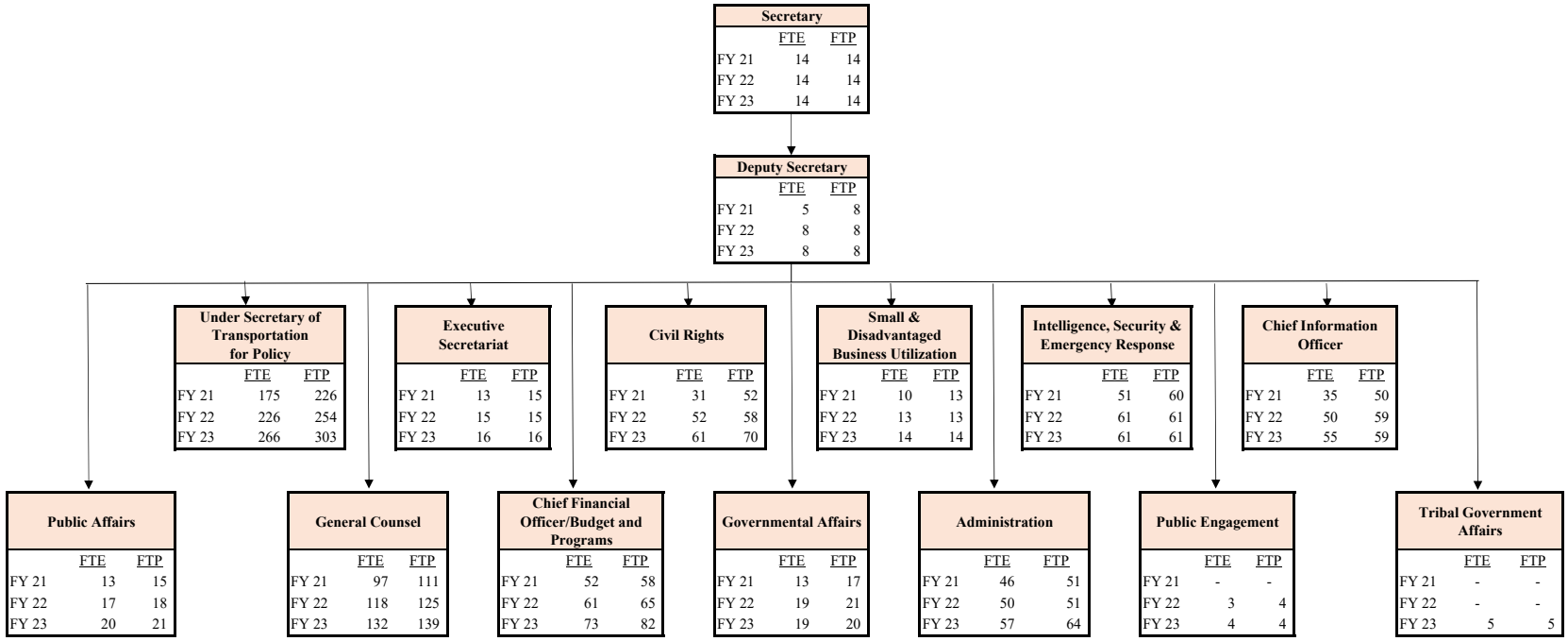
Electric Fleet Vehicle: $16 million to purchase electric vehicles (EV) for the Department's owned vehicle fleet and install charging infrastructure as part of the Administration's goal to transition the Federal motor vehicle fleet to clean and zero emission vehicles.

Volpe Transportation Center New Building: $4.5 million is requested as a one-time appropriation for unfunded costs related to final move of the John A. Volpe Transportation Center to its new building in Cambridge, Massachusetts. These costs include limited move and replication moving costs such as preparation and transition of laboratories and necessary communication and coordination with employees. The majority of costs associated with the move and occupancy are funded via the exchange agreement General Services Administration entered into with the private sector partner.

Working Capital Fund (WCF): In FY 2023, the Working Capital Fund will obligate an estimated **$764.2 million.** Increases from FY 2022 are necessary to cover costs that are shifting to the working capital fund from the Operating Administrations associated with building delegation responsibilities and centralized GSA rent payments, and the ongoing transition for Commodity Information Technology shared services.

Office of Multimodal Freight Infrastructure and Policy: $2 million is requested to support the continuing consolidation of resources and standing up the Multimodal Freight Office to administer and perform data collection, information sharing, and national freight planning to maximize the safe and efficient multi-modal movement of goods to support US economic competitive goals. The office also administers the Infrastructure for Rebuilding America (INFRA) discretionary grant program.

Exhibit I
U.S. Department of Transportation
Office of the Secretary
Direct Full-Time Equivalents (FTE) / Full-Time Positions (FTP)
FYs 2021, 2022, and 2023



SECTION 2:
BUDGET
SUMMARY TABLES

EXHIBIT II-1
FY 2023 BUDGET AUTHORITY
OFFICE OF THE SECRETARY OF TRANSPORTATION

($000)

ACCOUNTS	FY 2021 ENACTED	FY 2022 CR (with IIJA Oblim)	FY 2022 ENACTED	FY 2023 PRES. BUDGET	
APPROPRIATION/OBLIGATION LIMITATION					
SALARIES AND EXPENSES	**126,174**	**126,174**	**141,500**	**184,419**	
FINANCIAL MANAGEMENT CAPITAL	**2,000**	**2,000**	**5,000**	**5,000**	
OFFICE OF CIVIL RIGHTS	**9,600**	**9,600**	**11,564**	**20,555**	
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	**4,714**	**4,714**	**4,977**	**7,094**	
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	**9,350**	**9,350**	**29,863**	**19,648**	
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	8,350	8,350	27,863	12,512	
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER	1,000	1,000	2,000	7,136	
NATIONAL INFRASTRUCTURE INVESTMENTS (MULTIMODAL INFRASTRUCTURE INVESTMENTS)	**1,000,000**	**1,000,000**	**775,000**	**1,500,000**	
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**5,000**	**5,000**	**13,800**	**3,850**	
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	5,000	5,000	3,800	3,850	
RRIF CREDIT SUBSIDY - AUTHORIZATION	-	-	10,000	-	
CYBER SECURITY INITIATIVES	**22,000**	**22,000**	**39,400**	**48,100**	
RESEARCH AND TECHNOLOGY	**22,800**	**22,800**	**51,363**	**48,147**	
RESEARCH AND TECHNOLOGY	22,800	22,800	51,363	44,903	
ADVANCED RESEARCH PROJECTS - INFRASTRUCTURE	-	-	-	3,244	
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	**141,724**	**247,700**	**350,000**	**368,727**	
TRANSPORTATION DEMONSTRATION PROGRAM	**100,000**	**100,000**	**-**	**-**	
THRIVING COMMUNITIES	**-**	**-**	**25,000**	**110,737**	
ELECTRIC VEHICLE FLEET	**-**	**-**	**-**	**16,000**	
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM	**3,000,000** 1/	**-**	**-**	**-**	
JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING	**-**	**-**	**-**	**4,500**	
OFFICE OF MULTIMODAL FREIGHT INFRASTRUCTURE AND POLICY	**-**	**-**	**-**	**2,000**	
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	**4,443,362**	**1,549,338**	**1,447,467**	**2,338,777**	
INDEFINITE BUDGET AUTHORITY					
ESSENTIAL AIR SERVICE	**106,219**	**40,623**	**70,256**	**81,274**	
ESSENTIAL AIR SERVICE	82,887	40,623	70,256	81,274	2/
COVID-19 EMERGENCY RELIEF	23,332	-	-	-	
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	**10,000** 3/	**10,000**	**-**	**-**	
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**300,000**	**300,000**	**-**	**250,000**	
ASSET CONCESSIONS (TITLE X)	**-**	**20,000**	**20,000**	**20,000**	
SUBTOTAL, INDEFINITE BUDGET AUTHORITY	**416,219**	**370,623**	**90,256**	**351,274**	
REIMBURSABLE					
SALARIES AND EXPENSES	**11,406**	**14,210**	**-**	**13,469**	
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	**345,000**	**345,000**	**-**	**345,000**	4/
WORKING CAPITAL FUND	**319,793**	**319,793**	**419,973**	**-**	5/
TRANSPORTATION SAFETY INSTITUTE	**20,000**	**20,000**	**-**	**20,000**	4/
SUBTOTAL, REIMBURSABLE	**696,199**	**699,003**	**419,973**	**378,469**	
ALLOCATION					
BUREAU OF TRANSPORTATION STATISTICS	**26,000**	**26,000**	**-**	**26,250**	
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	**77,500**	**80,000**	**-**	**80,500**	
SUBTOTAL, ALLOCATION	**103,500**	**106,000**	**-**	**106,750**	
BIL SUPPLEMENTAL ADVANCE APPROPRIATIONS					
NATIONAL INFRASTRUCTURE INVESTMENTS (MULTIMODAL INFRASTRUCTURE INVESTMENTS	**-**	**2,500,000**	**-**	**2,500,000**	
NATIONAL INFRASTRUCTURE INVESTMENTS (LOCAL AND REGIONAL PROJECT ASSISTANCE)	-	1,500,000	-	1,500,000	
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	-	1,000,000	-	1,000,000	
NATIONAL CULVERT REMOVAL, REPLACEMENT, RESTORATION	**-**	**200,000**	**-**	**200,000**	
STRENGTHENING MOBILITY & REVOLUTIONIZING TRANSPORTATION	**-**	**100,000**	**-**	**100,000**	
SAFE STREETS AND ROADS FOR ALL	**-**	**1,000,000**	**-**	**1,000,000**	
SUBTOTAL, BIL SUPPLEMENTAL ADANCE APPROPRIATION	**-**	**3,800,000**	**-**	**3,800,000**	
GRAND TOTAL	**5,659,280**	**6,524,964**	**1,957,696**	**6,975,270**	

1/ Pursuant to PL 117-2 American Rescue Plan Act of 2021
2/ Estimated Fee Collections.
3/ Pursuant to PL 116-260 FY 2021 Omnibus and COVID Relief and Response Act, Division M, Title IV, (4) Up to $5,000,000 shall be available and transferred to ''Office of the Secretary, Salaries and Expenses'' to carry out the Small Community Air Service Development Program
4/ Estimated Customer Agreements
5/ No limitation is proposed.

EXHIBIT II-2
FY 2023 TOTAL BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT
OFFICE OF THE SECRETARY OF TRANSPORTATION

($000)

ACCOUNTS	M/D	FY 2021 ENACTED	FY 2022 CR (with IIJA Oblim)	FY 2022 ENACTED	FY 2023 PRES. BUDGET	
APPROPRIATION/OBLIGATION LIMITATION						
SALARIES AND EXPENSES	D	126,174	126,174	141,500	184,419	
FINANCIAL MANAGEMENT CAPITAL	D	2,000	2,000	5,000	5,000	
OFFICE OF CIVIL RIGHTS	D	9,600	9,600	11,564	20,555	
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	D	4,714	4,714	4,977	7,094	
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	D	9,350	9,350	29,863	19,648	
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT		8,350	8,350	27,863	12,512	
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER		1,000	1,000	2,000	7,136	
NATIONAL INFRASTRUCTURE INVESTMENTS (MULTIMODAL INFRASTRUCTURE INVESTMEN	D	1,000,000	1,000,000	775,000	1,500,000	
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	D	5,000	5,000	13,800	3,850	
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU		5,000	5,000	3,800	3,850	
RRIF CREDIT SUBSIDY - AUTHORIZATION		-	-	10,000	-	
CYBER SECURITY INITIATIVES	D	22,000	22,000	39,400	48,100	
RESEARCH AND TECHNOLOGY	D	22,800	22,800	51,363	48,147	
RESEARCH AND TECHNOLOGY		22,800	22,800	51,363	44,903	
ADVANCED RESEARCH PROJECTS - INFRASTRUCTURE		-	-	-	3,244	
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	D	141,724	247,700	350,000	368,727	
TRANSPORTATION DEMONSTRATION PROGRAM	D	100,000	100,000	-	-	
THRIVING COMMUNITIES	D	-	-	25,000	110,737	
ELECTRIC VEHICLE FLEET	D	-	-	-	16,000	
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM	D	3,000,000	-	-	-	
JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING	D	-	-	-	4,500	
OFFICE OF MULTIMODAL FREIGHT INFRASTRUCTURE AND POLICY	D	-	-	-	2,000	
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION		4,443,362	1,549,338	1,447,467	2,338,777	
INDEFINITE BUDGET AUTHORITY						
ESSENTIAL AIR SERVICE	M	106,219	40,623	70,256	81,274	
ESSENTIAL AIR SERVICE		82,887	40,623	70,256	81,274	1/
COVID-19 EMERGENCY RELIEF		23,332	-	-	-	
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	D	10,000 2/	10,000	-	-	
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	M	266,700	300,000	-	250,000	
ASSET CONCESSIONS (TITLE X)		-	20,000	20,000	20,000	
SUBTOTAL, INDEFINITE BUDGET AUTHORITY		382,919	370,623	90,256	351,274	
REIMBURSABLE						
SALARIES AND EXPENSES	D	11,406	14,210	-	13,469	
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	D	345,000	345,000	-	345,000	3/
WORKING CAPITAL FUND	D	319,793	319,793	419,973	-	4/
TRANSPORTATION SAFETY INSTITUTE	D	20,000	20,000	-	20,000	3/
SUBTOTAL, REIMBURSABLE		696,199	699,003	419,973	378,469	
ALLOCATION						
BUREAU OF TRANSPORTATION STATISTICS	M	26,000	26,000	-	26,250	
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	M	77,500	80,000	-	80,500	
SUBTOTAL, ALLOCATION		103,500	106,000	-	106,750	
BIL SUPPLEMENTAL ADVANCE APPROPRIATIONS						
NATIONAL INFRASTRUCTURE INVESTMENTS (MULTIMODAL INFRASTRUCTURE INVESTMENTS		-	2,500,000	-	2,500,000	
NATIONAL INFRASTRUCTURE INVESTMENTS (LOCAL AND REGIONAL PROJECT ASSISTANCE)		-	1,500,000	-	1,500,000	
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)		-	1,000,000	-	1,000,000	
NATIONAL CULVERT REMOVAL, REPLACEMENT, RESTORATION		-	200,000	-	200,000	
STRENGTHENING MOBILITY & REVOLUTIONIZING TRANSPORTATION		-	100,000	-	100,000	
SAFE STREETS AND ROADS FOR ALL		-	1,000,000	-	1,000,000	
SUBTOTAL, BIL SUPPLEMENTAL ADANCE APPROPRIATION		-	3,800,000	-	3,800,000	
GRAND TOTAL		5,625,980	6,524,964	1,957,696	6,975,270	

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

EXHIBIT II - 3
FY 2023 BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATIONAL GOALS
Appropriations, Obligation Limitation, and Exempt Obligations
OFFICE OF THE SECRETARY
($000)

	SAFETY	ECONOMIC STRENGTH	EQUITY	CLIMATE & SUSTAINABILITY	TRANSFORMATION	ORGANIZATIONAL EXELLENCE	TOTAL
ACCOUNT/ PROGRAM	**1,575,712**	**1,358,883**	**1,390,586**	**688,300**	**876,694**	**248,603**	**6,138,777**
SALARIES AND EXPENSES	-	-	5,676	1,400	-	177,343	184,419
FINANCIAL MANAGEMENT CAPITAL	-	-	-	-	-	5,000	5,000
OFFICE OF CIVIL RIGHTS	-	-	17,820	-	-	2,735	20,555
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	-	3,192	1,930	-	-	1,972	7,094
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	2,287	2,287	1,100	9,400	2,287	2,287	19,648
NATIONAL INFRASTRUCTURE INVESTMENTS	333,333	333,333	500,000	-	333,333	-	1,500,000
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	925	-	1,000	1,000	-	925	3,850
CYBER SECURITY INITIATIVES	-	-	-	-	-	48,100	48,100
RESEARCH AND TECHNOLOGY	21,666	3,666	5,000	3,000	11,074	3,741	48,147
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	-	234,167	134,560	-	-	-	368,727
THRIVING COMMUNITIES	-	44,737	66,000	-	-	-	110,737
ELECTRIC VEHICLE FLEET	-	-	-	16,000	-	-	16,000
JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING	-	-	-	-	-	4,500	4,500
OFFICE OF MULTIMODAL FREIGHT INFRASTRUCTURE AND POLICY	-	-	-	-	-	2,000	2,000
IIJA Supplemental Advance Appropriations	1,217,500	737,500	657,500	657,500	530,000	-	3,800,000
STRENGTHENING MOBILITY & REVOLUTIONIZING TRANSPORTATION	17,500	17,500	17,500	17,500	30,000	-	100,000
NATIONAL INFRASTRUCTURE INVESTMENTS	500,000	500,000	500,000	500,000	500,000	-	2,500,000
NATIONAL INFRASTRUCTURE INVESTMENTS (LOCAL AND REGIONAL PROJECT ASSISTANCE)	300,000	300,000	300,000	300,000	300,000	-	1,500,000
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	200,000	200,000	200,000	200,000	200,000		1,000,000
NATIONAL CULVERT REMOVAL, REPLACEMENT, RESTORATION		120,000	40,000	40,000			200,000
SAFE STREETS AND ROADS FOR ALL	700,000	100,000	100,000	100,000	-		1,000,000
GRAND TOTAL	**1,575,712**	**1,358,883**	**1,390,586**	**688,300**	**876,694**	**248,603**	**6,138,777**

EXHIBIT II - 4
FY 2023 OUTLAYS
OFFICE OF THE SECRETARY OF TRANSPORTATION

($000)

ACCOUNTS	M/D	FY 2021 ENACTED	FY 2022 CR (with IIJA Oblim)	FY 2023 PRES. BUDGET
APPROPRIATION/OBLIGATION LIMITATION				
SALARIES AND EXPENSES	**D**	**104,000**	**158,000**	**174,000**
FINANCIAL MANAGEMENT CAPITAL	**D**	**2,000**	**2,000**	**3,000**
OFFICE OF CIVIL RIGHTS	**D**	**9,000**	**12,000**	**18,000**
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	**D**	**5,000**	**5,000**	**6,000**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	**D**	**18,000**	**9,000**	**14,000**
NATIONAL INFRASTRUCTURE INVESTMENTS (MULTIMODAL INFRASTRUCTURE INVESTMENTS)	**D**	**703,000**	**1,157,000**	**1,201,000**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU		**1,063,000**	**758,000**	**47,000**
National Surface Transportation & Innovative Finance Bureau (General Fund)	D	-	5,000	4,000
TIFIA Highway Trust Fund Program Account (Obligation Limitation)	D	1,063,000	753,000	43,000
CYBER SECURITY INITIATIVES	**D**	**12,000**	**19,000**	**26,000**
RESEARCH AND TECHNOLOGY	**D**	**14,000**	**21,000**	**32,000**
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	**D**	**143,000**	**169,000**	**320,000**
TRANSPORTATION DEMONSTRATION PROGRAM	**D**	**-**	**8,000**	**28,000**
THRIVING COMMUNITIES	**D**	**-**	**-**	**-**
ELECTRIC VEHICLE FLEET	**D**	**-**	**-**	**11,000**
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM	**D**	**188,000**	**515,000**	**12,000**
JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING	**D**	**-**	**-**	**4**
OFFICE OF MULTIMODAL FREIGHT INFRASTRUCTURE AND POLICY	**D**	**-**	**25,000**	**30,000**
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION		**2,261,000**	**2,858,000**	**1,922,004**
INDEFINITE BUDGET AUTHORITY				
ESSENTIAL AIR SERVICE	**M**	**198,000**	**47,000**	**110,000**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU		**453,000**	**207,000**	**-**
TIFIA General Fund Program Account	M	4,000	1,000	-
Railroad Rehabilitation and Improvement Program Account	M	69,000	-	-
TIFIA Upward Reestimates (General Fund)	M	380,000	206,000	-
ASSET CONCESSIONS (TITLE X)		**-**	**18,000**	**20,000**
SUBTOTAL, INDEFINITE BUDGET AUTHORITY		**651,000**	**272,000**	**130,000**
REIMBURSABLE				
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	**D**	**21,000**	**(207,000)**	**5,000**
WORKING CAPITAL FUND	**D**	**(2,000)**	**13,000**	**(11,000)**
TRANSPORTATION SAFETY INSTITUTE	**D**	**-**	**-**	**-**
SUBTOTAL, REIMBURSABLE		**19,000**	**(194,000)**	**(6,000)**
ALLOCATION				
BUREAU OF TRANSPORTATION STATISTICS	**M**	**-**	**-**	**-**
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	**M**	**-**	**-**	**-**
SUBTOTAL, ALLOCATION		**-**	**-**	**-**
BIL SUPPLEMENTAL ADVANCE APPROPRIATIONS				
NATIONAL INFRASTRUCTURE INVESTMENTS (MULTIMODAL INFRASTRUCTURE INVESTMENTS)		**-**	**-**	**74,000**
NATIONAL INFRASTRUCTURE INVESTMENTS (LOCAL AND REGIONAL PROJECT ASSISTANCE)		-	-	44,000
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)		-	-	30,000
NATIONAL CULVERT REMOVAL, REPLACEMENT, RESTORATION		**-**	**-**	**6,000**
STRENGTHENING MOBILITY & REVOLUTIONIZING TRANSPORTATION		**-**	**-**	**9,000**
SAFE STREETS AND ROADS FOR ALL		**-**	**10,000**	**220,000**
SUBTOTAL, BIL SUPPLEMENTAL ADANCE APPROPRIATION		**-**	**10,000**	**309,000**
GRAND TOTAL		**2,931,000**	**2,946,000**	**2,355,004**

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

SALARIES AND EXPENSES

($000)

			Baseline Changes										
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Pres. Budget
PERSONNEL RESOURCES													
Direct FTPs	478	478	-	-	-	-	-	-	-	47	525	62	587
Direct FTEs	397	452	-	22	-	-	-	-	-	34	508	35	543
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	82,818.046	82,818.046	618.104	3,075.000	3,167.785	(370.474)	-	(100.930)	156.667	10,941.380	100,366.353	5,605.362	105,971.715
Travel	1,343.095	1,343.095	-	-	-	-	-	-	-	129.700	1,599.405	(0.258)	1,598.894
Transportation	2.999	2.999	-	-	-	-	-	-	-	0.091	3.089	-	3.089
GSA Rent	10,848.080	10,848.080	-	-	-	-	612.190	-	-	(2,424.918)	9,035.352	-	9,035.352
Communication & Utilities	0.853	0.853	-	-	-	-	-	-	-	0.026	0.879	-	0.879
Charges-Rental-Furniture	8.919	8.919	-	-	-	-	-	-	-	0.269	9.189	-	9.189
Printing	137.424	137.424	-	-	-	-	-	-	-	4.151	141.575	-	141.575
Working Capital Fund	20,813.771	20,813.771	-	-	-	-	-	2,923.624	-	2,716.665	26,247.263	-	26,247.263
Contractual Services	10,005.327	10,005.327	-	-	-	-	-	-	-	7,239.654	17,259.458	19,746.347	37,005.805
Supplies and Materials	156.589	156.589	-	-	-	-	-	-	-	27.430	188.946	-	188.946
Equipment	39.112	39.112	-	-	-	-	-	-	-	1.181	40.293	3,000.000	3,040.293
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**126,174.215**	**126,174.215**	**618.104**	**3,075.000**	**3,167.785**	**(370.474)**	**612.190**	**2,822.694**	**156.667**	**18,635.629**	**154,891.802**	**28,351.451**	**183,243.000**
PROGRAM EXPENSES													
DOT Internship Program	-	-	-	-	-	-	-	-	-	-	-	1,176.000	1,176.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,176.000**	**1,176.000**
TOTAL	**126,174.215**	**126,174.215**	**618.104**	**3,075.000**	**3,167.785**	**(370.474)**	**612.190**	**2,822.694**	**156.667**	**18,635.629**	**154,891.802**	**29,527.451**	**184,419.000**

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

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

FINANCIAL MANAGEMENT CAPITAL

($000)

			Baseline Changes										
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Pres. Budget
PERSONNEL RESOURCES													
Direct FTPs	-	-	-	-	-	-	-	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	-	-
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
PROGRAM EXPENSES													
Financial Management Capital	2,000.000	2,000.000	-	-	-	-	-	-	-	3,000.000	5,000.000	-	5,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**2,000.000**	**2,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**3,000.000**	**5,000.000**	**-**	**5,000.000**
TOTAL	**2,000.000**	**2,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**3,000.000**	**5,000.000**	**-**	**5,000.000**

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

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

OFFICE OF CIVIL RIGHTS

($000)

			Baseline Changes										
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Pres. Budget
PERSONNEL RESOURCES													
Direct FTPs	52	52	-	-	-	-	-	-	-	6	58	12	70
Direct FTEs	31	45	-	3	-	-	-	-	-	7	55	6	61
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	7,443.973	7,443.973	61.101	450.000	313.129	(36.863)	-	(14.037)	-	1,636.782	9,846.436	1,050.000	10,896.436
Travel	50.249	50.249	-	-	-	-	-	-	-	-	50.249	-	50.249
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	30.509	30.509	-	-	-	-	-	-	-	0.921	31.430	-	31.430
Printing	11.260	11.260	-	-	-	-	-	-	-	0.340	11.600	-	11.600
Working Capital Fund	1,126.476	1,126.476	-	-	-	-	-	100.586	-	0.764	1,352.786	-	1,352.786
Contractual Services	884.444	884.444	-	-	-	-	-	-	-	1,440.673	2,207.806	5,950.000	8,157.806
Supplies and Materials	53.088	53.088	-	-	-	-	-	-	-	1.603	54.691	-	54.691
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**9,600.000**	**9,600.000**	**61.101**	**450.000**	**313.129**	**(36.863)**	**-**	**86.549**	**-**	**3,081.084**	**13,555.000**	**7,000.000**	**20,555.000**
PROGRAM EXPENSES													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
TOTAL	**9,600.000**	**9,600.000**	**61.101**	**450.000**	**313.129**	**(36.863)**	**-**	**86.549**	**-**	**3,081.084**	**13,555.000**	**7,000.000**	**20,555.000**

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

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

SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH

($000)

			Baseline Changes										
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Pres. Budget
PERSONNEL RESOURCES													
Direct FTPs	13	13	-	-	-	-	-	-	-	-	13	1	14
Direct FTEs	10	13	-	-	-	-	-	-	-	-	13	1	14
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	1,714.424	1,714.424	11.751	-	60.237	(6.795)	-	(8.154)	-	43.302	1,811.836	169.000	1,980.836
Travel	19.776	19.776	-	-	-	-	-	-	-	-	19.776	-	19.776
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	0.534	0.534	-	-	-	-	-	-	-	0.016	0.550	-	0.550
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	3.361	3.361	-	-	-	-	-	-	-	0.102	3.463	-	3.463
Working Capital Fund	422.884	422.884	-	-	-	-	-	85.520	-	0.520	388.059	-	388.059
Contractual Services	742.248	742.248	-	-	-	-	-	-	-	(242.735)	623.307	1,292.683	1,441.990
Supplies and Materials	22.617	22.617	-	-	-	-	-	-	-	0.683	23.300	-	23.300
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**2,925.845**	**2,925.845**	**11.751**	**-**	**60.237**	**(6.795)**	**-**	**77.366**	**-**	**(198.113)**	**2,870.292**	**1,461.683**	**3,857.975**
PROGRAM EXPENSES													
Cooperative Agreements	1,788.155	1,788.155	-	-	-	-	-	-	-	473.870	2,262.025	500.000	3,236.025
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**1,788.155**	**1,788.155**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**473.870**	**2,262.025**	**500.000**	**3,236.025**
TOTAL	**4,714.000**	**4,714.000**	**11.751**	**-**	**60.237**	**(6.795)**	**-**	**77.366**	**-**	**275.757**	**5,132.317**	**1,961.683**	**7,094.000**

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

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

TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT

($000)

			Baseline Changes										
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Pres. Budget
PERSONNEL RESOURCES													
Direct FTPs	40	40	-	-	-	-	-	-	-	4	44	12	56
Direct FTEs	37	39	-	2	-	-	-	-	-	3	44	6	50
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	7,958.071	7,958.071	59.636	300.000	305.641	(35.323)	-	(13.878)	-	866.724	9,440.814	1,000.000	10,440.814
Travel	175.241	175.241	-	-	-	-	-	-	-	-	175.241	-	175.241
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	877.377	877.377	-	-	-	-	-	178.849	-	34.144	1,176.293	-	1,176.293
Contractual Services	314.071	314.071	-	-	-	-	-	-	-	2,601.361	2,829.564	5,000.000	7,829.564
Supplies and Materials	25.241	25.241	-	-	-	-	-	-	-	0.762	26.003	-	26.003
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**9,350.001**	**9,350.001**	**59.636**	**300.000**	**305.641**	**(35.323)**	**-**	**164.971**	**-**	**3,502.991**	**13,647.916**	**6,000.000**	**19,647.916**
PROGRAM EXPENSES													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
TOTAL	**9,350.001**	**9,350.001**	**59.636**	**300.000**	**305.641**	**(35.323)**	**-**	**164.971**	**-**	**3,502.991**	**13,647.916**	**6,000.000**	**19,647.916**

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

EXHIBIT II-5

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

NATIONAL INFRASTRUCTURE INVESTMENTS

($000)

			Baseline Changes										
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Pres. Budget
PERSONNEL RESOURCES													
Direct FTPs	7	7	-	-	-	-	-	-	-	-	7	-	7
Direct FTEs	6	7	-	-	-	-	-	-	-	-	7	-	7
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	6,042.440	6,042.440	42.530	-	217.999	(23.967)	-	(2.592)	-	146.128	6,422.647	-	6,422.647
Travel	808.000	808.000	-	-	-	-	-	-	-	(519.597)	288.403	-	288.403
Transportation	0.408	0.408	-	-	-	-	-	-	-	0.012	0.420	-	0.420
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	10.711	10.711	-	-	-	-	-	-	-	0.323	11.034	-	11.034
Working Capital Fund	429.258	429.258	-	-	-	-	-	115.044	-	599.327	797.896	-	797.896
Contractual Services	12,687.761	12,687.761	-	-	-	-	-	-	-	(575.854)	12,457.531	-	12,457.531
Supplies and Materials	21.422	21.422	-	-	-	-	-	-	-	0.647	22.069	-	22.069
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**20,000.000**	**20,000.000**	**42.530**	**-**	**217.999**	**(23.967)**	**-**	**112.452**	**-**	**(349.014)**	**20,000.000**	**-**	**20,000.000**
PROGRAM EXPENSES													
NII Infrastructure Grants	980,000.000	980,000.000	-	-	-	-	-	-	-	-	980,000.000	500,000.000	1,480,000.000
NII Infrastructure Project Assistance - Supplemental Advance Appropriation	-	1,000,000.000	-	-	-	-	-	-	-	-	1,000,000.000	-	1,000,000.000
Local and Regional Project Assistance Grants - Supplemental Advance Appropriation	-	1,500,000.000	-	-	-	-	-	-	-	-	1,500,000.000	-	1,500,000.000
Program Subtotal	**980,000.000**	**3,480,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**3,480,000.000**	**500,000.000**	**3,980,000.000**
TOTAL	**1,000,000.000**	**3,500,000.000**	**42.530**	**-**	**217.999**	**(23.967)**	**-**	**112.452**	**-**	**(349.014)**	**3,500,000.000**	**500,000.000**	**4,000,000.000**

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

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

NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU

($000)

			Baseline Changes										
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Pres. Budget
PERSONNEL RESOURCES													
Direct FTPs	16	16	-	-	-	-	-	-	-	-	16	3	19
Direct FTEs	11	16	-	-	-	-	-	-	-	-	16	-	16
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	2,707.317	2,707.317	18.805	-	96.386	(10.838)	-	(31.423)	-	(174.786)	2,640.073	-	2,640.073
Travel	75.000	75.000	-	-	-	-	-	-	-	-	75.000	-	75.000
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	723.839	723.839	-	-	-	-	-	209.121	-	369.574	1,134.255	-	1,134.255
Contractual Services	1,483.845	1,483.845	-	-	-	-	-	-	-	(1,617.511)	-	-	-
Supplies and Materials	9.999	9.999	-	-	-	-	-	-	-	(9.327)	0.672	-	0.672
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**5,000.000**	**5,000.000**	**18.805**	**-**	**96.386**	**(10.838)**	**-**	**177.698**	**-**	**(1,432.050)**	**3,850.000**	**-**	**3,850.000**
PROGRAM EXPENSES													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
TOTAL	**5,000.000**	**5,000.000**	**18.805**	**-**	**96.386**	**(10.838)**	**-**	**177.698**	**-**	**(1,432.050)**	**3,850.000**	**-**	**3,850.000**

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

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

CYBER SECURITY INITIATIVES

($000)

			Baseline Changes										
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Pres. Budget
PERSONNEL RESOURCES													
Direct FTPs	-	-	-	-	-	-	-	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	2,735.714	2,735.714	-	-	-	-	-	-	-	-	2,735.714	-	2,735.714
Contractual Services	7,129.956	7,129.956	-	-	-	-	-	-	-	17,766.829	24,896.785	7,966.714	32,863.499
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	12,134.330	12,134.330	-	-	-	-	-	-	-	366.456	12,500.787	-	12,500.787
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**22,000.000**	**22,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**18,133.286**	**40,133.286**	**7,966.714**	**48,100.000**
PROGRAM EXPENSES													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
TOTAL	**22,000.000**	**22,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**18,133.286**	**40,133.286**	**7,966.714**	**48,100.000**

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

EXHIBIT II-5

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

RESEARCH AND TECHNOLOGY

($000)

			Baseline Changes										
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Pres. Budget
PERSONNEL RESOURCES													
Direct FTPs	36	36	-	-	-	-	-	-	-	12	48	17	65
Direct FTEs	23	29	-	3	-	-	-	-	-	9	41	14	55
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	3,945.573	3,945.573	39.285	450.000	201.300	(24.461)	-	-	-	1,924.764	6,536.461	3,221.000	9,757.461
Travel	95.000	95.000	-	-	-	-	-	-	-	-	95.000	75.000	170.000
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	202.000	202.000	-	-	-	-	850.000	-	-	-	1,052.000	-	1,052.000
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	1.020	1.020	-	-	-	-	-	-	-	0.031	1.051	-	1.051
Working Capital Fund	1,022.330	1,022.330	-	-	-	-	-	431.787	-	394.454	1,848.571	-	1,848.571
Contractual Services	931.917	931.917	-	-	-	-	-	-	-	28.430	960.348	250.000	1,210.348
Supplies and Materials	15.150	15.150	-	-	-	-	-	-	-	0.458	15.608	25.000	40.608
Equipment	102.010	102.010	-	-	-	-	-	-	-	3.081	105.091	-	105.091
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**6,315.000**	**6,315.000**	**39.285**	**450.000**	**201.300**	**(24.461)**	**850.000**	**431.787**	**-**	**2,351.218**	**10,614.129**	**3,571.000**	**14,185.129**
PROGRAM EXPENSES													
Research and Technology Programs	11,485.000	11,485.000	-	-	-	-	-	-	-	(7,267.000)	4,218.000	1,500.000	5,718.000
Emergency Planning Transportation Data Initiative	1,000.000	1,000.000	-	-	-	-	-	-	-	(1,000.000)	-	-	-
Transportation Resiliency Study	1,000.000	1,000.000	-	-	-	-	-	-	-	(1,000.000)	-	-	-
Highly Automated Systems Safety Center Of Excellence	3,000.000	3,000.000	-	-	-	-	-	-	-	2,000.000	5,000.000	-	5,000.000
Implementation of Recommendations from the GPS Backup and Complementary PNT Demonstration Report	-	-	-	-	-	-	-	-	-	10,000.000	10,000.000	(10,000.000)	-
Equity Data and Analysis Sharing Platform	-	-	-	-	-	-	-	-	-	3,500.000	3,500.000	(3,500.000)	-
Climate Change Innovation	-	-	-	-	-	-	-	-	-	5,000.000	5,000.000	-	5,000.000
EO 13905 Implementation and Signal Authentication	-	-	-	-	-	-	-	-	-	3,500.000	3,500.000	1,500.000	5,000.000
GNSS Interference Detection Capability	-	-	-	-	-	-	-	-	-	3,500.000	3,500.000	(3,500.000)	-
Advanced Research Projects - Infrastructure	-	-	-	-	-	-	-	-	-	-	-	3,244.000	3,244.000
Departmental Office of Evaluation Research	-	-	-	-	-	-	-	-	-	-	-	4,000.000	4,000.000
Transportation Vulnerability and Resiliency Data Program	-	-	-	-	-	-	-	-	-	-	-	3,000.000	3,000.000
Development of the Transportation Cost Burden and Other Access Measures	-	-	-	-	-	-	-	-	-	-	-	3,000.000	3,000.000
Program Subtotal	**16,485.000**	**16,485.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**18,233.000**	**34,718.000**	**(756.000)**	**33,962.000**
TOTAL	**22,800.000**	**22,800.000**	**39.285**	**450.000**	**201.300**	**(24.461)**	**850.000**	**431.787**	**-**	**20,584.218**	**45,332.129**	**2,815.000**	**48,147.129**

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

PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)

($000)

			Baseline Changes											
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Redirection of Resources	FY 2023 Pres. Budget
PERSONNEL RESOURCES														
Direct FTPs	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES														
ADMINISTRATIVE EXPENSES														
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
PROGRAM EXPENSES														
Essential Air Service	141,724.000	247,700.000	-	-	-	-	-	-	-	-	247,700.000	121,027.000	-	368,727.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**141,724.000**	**247,700.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**247,700.000**	**121,027.000**	**-**	**368,727.000**
TOTAL	**141,724.000**	**247,700.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**247,700.000**	**121,027.000**	**-**	**368,727.000**

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

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

THRIVING COMMUNITIES

($000)

			Baseline Changes										
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Pres. Budget
PERSONNEL RESOURCES													
Direct FTPs	-	-	-	-	-	-	-	-	-	5	5	3	8
Direct FTEs	-	-	-	2	-	-	-	-	-	3	5	2	7
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	-	-	4.287	300.000	21.931	(3.574)	-	-	-	625.000	947.644	230.856	1,178.500
Travel	-	-	-	-	-	-	-	-	-	200.000	200.000	-	200.000
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	9,333.000	9,333.000	-	9,333.000
Supplies and Materials	-	-	-	-	-	-	-	-	-	25.500	25.500	-	25.500
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**-**	**-**	**4.287**	**300.000**	**21.931**	**(3.574)**	**-**	**-**	**-**	**10,183.500**	**10,506.144**	**230.856**	**10,737.000**
PROGRAM EXPENSES													
Thriving Communities	-	-	-	-	-	-	-	-	-	100,000.000	100,000.000	-	100,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**100,000.000**	**100,000.000**	**-**	**100,000.000**
TOTAL	**-**	**-**	**4.287**	**300.000**	**21.931**	**(3.574)**	**-**	**-**	**-**	**110,183.500**	**110,506.144**	**230.856**	**110,737.000**

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

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

ELECTRIC VEHICLE FLEET

($000)

			Baseline Changes											
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Redirection of Resources	FY 2023 Pres. Budget
PERSONNEL RESOURCES														
Direct FTPs	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES														
ADMINISTRATIVE EXPENSES														
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
PROGRAM EXPENSES														
Electric Vehicle Fleet	-	-	-	-	-	-	-	-	-	11,000.000	11,000.000	5,000.000	-	16,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**11,000.000**	**11,000.000**	**5,000.000**	**-**	**16,000.000**
TOTAL	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**11,000.000**	**11,000.000**	**5,000.000**	**-**	**16,000.000**

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

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

JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING

($000)

			Baseline Changes										
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Pres. Budget
PERSONNEL RESOURCES													
Direct FTPs	-	-	-	-	-	-	-	-	-	-	-	-	-
Direct FTEs	-	-	-	-	-	-	-	-	-	-	-	-	-
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	4,500.000	4,500.000
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**4,500.000**	**4,500.000**
PROGRAM EXPENSES													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
TOTAL	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**4,500.000**	**4,500.000**

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

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

OFFICE OF MULTIMODAL FREIGHT INFRASTRUCTURE AND POLICY

($000)

			Baseline Changes										
	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2023 Pay Raises	Adjustment to Compensable Days (260 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base	FY 2023 Baseline Estimate	Program Increases or Decreases	FY 2023 Pres. Budget
PERSONNEL RESOURCES													
Direct FTPs	-	26	-	-	-	-	-	-	-	-	26	26	52
Direct FTEs	-	13	-	13	-	-	-	-	-	-	26	14	40
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	-	-	-	-	-	-	-	-	-	-	-	-	-
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
PROGRAM EXPENSES													
Office of Multimodal Freight Infrastructure and Policy	-	2,000.000	-	-	-	-	-	-	-	-	2,000.000	-	2,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	**-**	**2,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**2,000.000**	**-**	**2,000.000**
TOTAL	**-**	**2,000.000**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**2,000.000**	**-**	**2,000.000**

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

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

($000)

ACCOUNTS	M/D	FY 2021 ENACTED	FY 2022 CR (with IIJA Oblim)	FY 2023 PRES. BUDGET
APPROPRIATION/OBLIGATION LIMITATION				
SALARIES AND EXPENSES	**D**	**21,170**	**21,170**	**30,107**
FINANCIAL MANAGEMENT CAPITAL	**D**	**-**	**-**	**-**
OFFICE OF CIVIL RIGHTS	**D**	**1,159**	**1,159**	**1,365**
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	**D**	**438**	**438**	**393**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	**D**	**905**	**905**	**1,192**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT		739	739	927
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER		166	166	265
NATIONAL INFRASTRUCTURE INVESTMENTS	**D**	**437**	**437**	**802**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**D**	**724**	**724**	**1,143**
RESEARCH AND TECHNOLOGY	**D**	**1,042**	**1,042**	**1,871**
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	**D**	**-**	**-**	**-**
TRANSPORTATION DEMONSTRATION PROGRAM	**D**	**-**	**-**	**-**
THRIVING COMMUNITIES	**D**	**-**	**-**	**-**
ELECTRIC VEHICLE FLEET	**D**	**-**	**-**	**-**
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM	**D**	**-**	**-**	**-**
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION		**25,875**	**25,875**	**36,873**
INDEFINITE BUDGET AUTHORITY				
ESSENTIAL AIR SERVICE	**M**	**424**	**424**	**574**
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	**M**	**-**	**-**	**-**
SUBTOTAL, TRANSFER		**424**	**424**	**574**
REIMBURSABLE				
SALARIES AND EXPENSES		**709**	**709**	**829**
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	**D**	**15,501**	**15,501**	**15,327**
WORKING CAPITAL FUND	**D**	**-**	**-**	**-**
TRANSPORTATION SAFETY INSTITUTE	**D**	**131**	**131**	**233**
SUBTOTAL, REIMBURSABLE		**16,341**	**16,341**	**16,389**
ALLOCATION				
BUREAU OF TRANSPORTATION STATISTICS	**M**	**5,477**	**5,477**	**5,737**
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	**M**	**170**	**170**	**312**
SUBTOTAL, ALLOCATION		**5,647**	**5,647**	**6,049**
GRAND TOTAL		**48,287**	**48,287**	**59,885**

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

ACCOUNTS	FY 2021 ENACTED	FY 2022 CR (with IIJA Oblim)	FY 2023 PRES. BUDGET
APPROPRIATION/OBLIGATION LIMITATION			
SALARIES AND EXPENSES	**397**	**452**	**543**
FINANCIAL MANAGEMENT CAPITAL	-	-	-
OFFICE OF CIVIL RIGHTS	**31**	**45**	**61**
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	**10**	**13**	**14**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	**37**	**39**	**50**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	31	32	37
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER	6	7	13
NATIONAL INFRASTRUCTURE INVESTMENTS	**6**	**7**	**7**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**11**	**16**	**16**
CYBER SECURITY INITIATIVES	-	-	-
RESEARCH AND TECHNOLOGY	**23**	**29**	**55**
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	-	-	-
TRANSPORTATION DEMONSTRATION PROGRAM	-	-	-
THRIVING COMMUNITIES	-	-	**7**
ELECTRIC VEHICLE FLEET	-	-	-
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM	-	-	-
SAFE STREETS AND ROADS FOR ALL	-	**3**	**10**
OFFICE OF MULTIMODAL FREIGHT INFRASTRUCTURE AND POLICY	-	**13**	**40**
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	**515**	**617**	**803**
INDEFINITE BUDGET AUTHORITY			
ESSENTIAL AIR SERVICE	**12**	**14**	**14**
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	**5**	**5**	**5**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**23**	**23**	**33**
SUBTOTAL, TRANSFER	**40**	**42**	**52**
REIMBURSABLE			
SALARIES AND EXPENSES	**25**	**31**	**32**
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	**545**	**570**	**570**
WORKING CAPITAL FUND	**255**	**291**	**299**
TRANSPORTATION SAFETY INSTITUTE	**32**	**32**	**32**
SUBTOTAL, REIMBURSABLE	**857**	**924**	**933**
ALLOCATION			
BUREAU OF TRANSPORTATION STATISTICS (ALLOCATION)	**49**	**55**	**55**
BUREAU OF TRANSPORTATION STATISTICS (REIMBURSABLE)	**12**	**20**	**20**
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	**5**	**5**	**5**
SUBTOTAL, ALLOCATION	**66**	**80**	**80**
GRAND TOTAL	**1,478**	**1,663**	**1,868**

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

ACCOUNTS	FY 2021 ENACTED	FY 2022 CR (with IIJA Oblim)	FY 2023 PRES. BUDGET
APPROPRIATION/OBLIGATION LIMITATION			
SALARIES AND EXPENSES	**478**	**478**	**587**
FINANCIAL MANAGEMENT CAPITAL	**-**	**-**	**-**
OFFICE OF CIVIL RIGHTS	**52**	**52**	**70**
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	**13**	**13**	**14**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	**40**	**40**	**56**
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	33	33	37
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER	7	7	19
NATIONAL INFRASTRUCTURE INVESTMENTS	**7**	**7**	**7**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**16**	**16**	**19**
CYBER SECURITY INITIATIVES	**-**	**-**	**-**
RESEARCH AND TECHNOLOGY	**36**	**36**	**65**
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	**-**	**-**	**-**
TRANSPORTATION DEMONSTRATION PROGRAM	**-**	**-**	**-**
THRIVING COMMUNITIES	**-**	**-**	**8**
ELECTRIC VEHICLE FLEET	**-**	**-**	**-**
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM	**-**	**-**	**-**
SAFE STREETS AND ROADS FOR ALL	**-**	**5**	**15**
OFFICE OF MULTIMODAL FREIGHT INFRASTRUCTURE AND POLICY	**-**	**26**	**52**
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	**642**	**673**	**893**
INDEFINITE BUDGET AUTHORITY			
ESSENTIAL AIR SERVICE	**14**	**14**	**14**
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	**6**	**6**	**5**
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	**28**	**28**	**35**
SUBTOTAL, TRANSFER	**48**	**48**	**54**
REIMBURSABLE			
SALARIES AND EXPENSES	**32**	**33**	**33**
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	**633**	**633**	**633**
WORKING CAPITAL FUND	**297**	**297**	**311**
TRANSPORTATION SAFETY INSTITUTE	**35**	**35**	**35**
SUBTOTAL, REIMBURSABLE	**997**	**998**	**1,012**
ALLOCATION			
BUREAU OF TRANSPORTATION STATISTICS (ALLOCATION)	**60**	**60**	**65**
BUREAU OF TRANSPORTATION STATISTICS (REIMBURSABLE)	**20**	**20**	**20**
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	**5**	**5**	**5**
SUBTOTAL, ALLOCATION	**85**	**85**	**90**
GRAND TOTAL	**1,772**	**1,804**	**2,049**

SECTION 3: BUDGET REQUESTS BY ACCOUNT

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

NOTE: The President's FY 2023 budget was built upon the assumption of an annualized FY 2022 Continuing Resolution.

ADMINISTRATIVE PROVISIONS

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

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

Sec. 102. The Secretary shall post on the web site of the Department of Transportation a schedule of all meetings of the Council on Credit and Finance, including the agenda for each meeting, and require the Council on Credit and Finance to record the decisions and actions of each meeting.

Sec. 102 Explanation
Section 102 retains the provision that the Secretary post on the DOT Web site a schedule of all meeting of the Council on Credit and Finance, including the agenda for each meeting.

Sec. 103. In addition to authority provided by section 327 of title 49, United States Code, the Department's Working Capital Fund is authorized to provide partial or full payments in advance and accept subsequent reimbursements fromall Federal agencies from available funds for transit benefit distribution servicesthat are necessary to carry out the Federal transit pass transportation fringe benefit program under Executive Order No. 13150 and section 3049 of SAFETEA- LU (5 U.S.C. 7905 note): *Provided*, That the Department shall maintain a reason-able operating reserve in the Working Capital Fund, to be expended in advance to provide uninterrupted transit benefits to Government employees: *Provided further*, That such reserve shall not exceed 1 month of benefits payable and maybe used only for the purpose of providing for the continuation of transit benefits:*Provided further*, That the Working Capital Fund shall be fully reimbursed by each customer agency from available funds for the actual cost of the transit benefit.

Sec. 103 Explanation
Section 103 retains the provision that provides authority for the Working Capital Fund (WCF) to provide advance payment to carry out the Federal transit pass transportation

fringe benefit program, both within the Department, and to other Federal agencies, and provides explicit authority for the WCF to provide transit benefit services to non-DOT agencies. Such authority would be used instead of the Economy Act (31 U.S.C. 1535). The language provides flexibility and continuity to the WCF in providing transit benefits and will enable real-time reconciliation of payments from Federal customer agencies by streamlining the current funding process.

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

Since the roll-out of the debit card in 2012-14, excess transit benefits that are not used by employees remain on debit cards at the end of the month are subsequently refunded/swept back to DOT's Federal depository without a need for a participant to take action. Previously with paper vouchers, each participant was required to manually return the unused vouchers to their agency. The automatic return of excess benefit funding is one positive aspect of using an electronic means to deliver the transit subsidy and enables TRANServe to clearly and timely identify excess funding amounts much earlier. Such amounts previously would have been subject to fraud, waste and abuse.

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

Sec. 104. Receipts collected in the Department's Working Capital Fund, as authorized by section 327 of title 49, United States Code, for unused transit and van pool benefits, in an amount not to exceed 10 percent of fiscal year [2021] 2022 collections, shall be available until expended in the Department's Working Capital Fund to provide contractual services in support of section 199A of this Act: *Provided,* That obligations in fiscal year [2022] 2023 of such collections shall not exceed $1,000,000.

Sec. 104 Explanation

Section 104 retains the provision to allow the Department to use certain recoveries from the transit benefit program to improve the administration of that program. Sec. 189 of this Act explicitly designates the Department of Transportation as the Government-wide executive agency for the Federal transportation transit benefit program. The Department

of Transportation designation as the Government-wide executive agent enables the Department to lead more effectively the effort against benefit subsidy fraud and abuse.

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

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

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

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

Sec. 106. In addition to authority provided by section 327 of title 49, United States Code, the Department's Administrative Working Capital Fund is hereby authorized to transfer information technology equipment, software, and systems from Departmental sources or other entities and collect and maintain a reserve at rates which will return full cost of transferred assets.

Sec. 106 Explanation
Section 106 retains the provision to grant the Administrative Working Capital Fund the authority to transfer equipment into the WCF and collect replacement reserve for the equipment equal to the useful life and estimated replacement cost of the equipment. This authority provides flexibility to accelerate the Share Services consolidation of IT throughout the department regardless of the age of assets being transferred into the WCF.

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

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

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

Sec. 108 Explanation
Section 108 repeals the National Timing Resilience and Security Act (NTRSA) which was enacted as Section 514 of the Frank LoBiondo Coast Guard Authorization Act of 2018 (P.L. 115-282) and codified in 49 U.S.C. Section 312 – Alternative Timing System. NTRSA directs DOT to establish certain technology services related to Global Positioning System (GPS) resilience in a manner that runs counter to national interests as well as more recently established Administration policy. Informed by recent federal analyses, reports, and technology demonstrations, DOT finds that: 1) no single solution for the provision of back-up or complementary positioning, navigation and/or timing (PNT) services can meet the diversity of critical infrastructure application requirements, and 2) it would be inefficient, anti-competitive, and potentially harmful to the existing market for back-up/complementary PNT services for the Federal Government to procure or otherwise fund a specific solution for non-federal users. Rather than building or otherwise procuring a new system, DOT in partnership with the Department of Homeland Security is better positioned to enable and encourage the owners and operators of critical infrastructure to be responsible users of PNT. Therefore, under the Office of the Assistant Secretary for Research and Technology (OST-R), DOT proposes to repeal NTRSA and also requests $17 million in investments intended to support a more resilient civil GPS and to enable more responsible PNT usage.

Sec. 109. *(a) Amounts made available to the Secretary of Transportation or the Department of Transportations Operating Administrations in this Act for the costs of award, administration, or oversight of financial assistance under the programs identified in subsection (c) may be transferred to the account identified in section 801 of division J of Public Law 117–58, to remain available until expended, for the necessary expenses of award, administration, or oversight of any financial assistance programs in the Department of Transportation. (b) Amounts transferred under the authority in this section are available in addition to amounts otherwise available for such purpose. (c) The programs from which funds made available under this Act may be*

transferred under subsection (a) are:(1) the national infrastructure project assistance program under section 6701 of title 49, United States Code;(2) the local and regional project assistance program under section 6702 of title 49, United states Code;(3) any other financial assistance program that is funded under this act and administered from the Office of the Secretary.

Sec. 109 Explanation

This will allow OST to pool the grant administration dollars from grant programs appropriated to OST. This allows OST to pool the funds into the same account identified in Section 801 of BIL, but the purpose of these pooled dollars is only for grants administration and oversight.

***Sec. 110**. Sec. 801 of division J of Public Law 117–58 is amended to read as follows: "Sec. 801. (a) Amounts made available to the Secretary of Transportation or the Department of Transportation's Operating Administrations in this title in this Act and in section 117 of title 23, United States Code, for fiscal years 2022 through 2026 for the costs of award, administration, or oversight of financial assistance under the programs administered by the Office of the Secretary may be transferred to an Operational Support account, to remain available until expended, for necessary expenses of (1) coordinating the implementation of any division of this Act, or (2) the award, administration, or oversight of any financial assistance programs funded under this title in this Act or divisions A, B, C, or G of this Act: Provided, That amounts transferred pursuant to this subsection are available in addition to amounts otherwise available for such purposes: Provided further, That one-half of one percent of the amounts transferred pursuant to this subsection in each of fiscal years 2022 through 2026 shall be transferred to the Office of Inspector General of the Department of Transportation for oversight of funding provided to the Department of Transportation in this title in this Act: Provided further, That the amount provided by this section is designated by the Congress as being for an emergency requirement pursuant to section 4112(a) of H. Con. Res. 71 (115th Congress), the concurrent resolution on the budget for fiscal year 2018, and to section 251(b) of the Balanced Budget and Emergency Deficit Control Act of 1985. (b) In addition to programs identified in section 118(d) of title 49, United States Code, the Office of the Secretary shall administer, with support from the Department's Operating Administrations, the following financial assistance programs—(1) the national infrastructure projects program under section 6701 of title 49, United States Code; (2) the local and regional projects program under section 6702 of title 49, United States Code; (3) the strengthening mobility and revolutionizing transportation grant program under section 25005 of division B of this Act; (4) the nationally significant freight and highways projects under section 117 of title 23, United States Code; (5) the national culvert removal, replacement, and restoration grant program under section 6703 of title 49, United States Code; and (6) other discretionary financial assistance programs that the Secretary determines should be administered by the Office of the Secretary, subject to prior notification of the House and Senate Committees on Appropriations."*

Sec. 110 Explanation

To support the administration and oversight of BIL programs, multiple OST offices (Budget, General Counsel, Administration, etc.) will need additional resources. BIL provides sizeable administrative and oversight resources for the new OST Multimodal Freight Office. However, these funds are limited to the administration and oversight of

just discretionary grant programs in IIJA Divisions A (Federal-aid Highways) and J (supplemental appropriations) and may create pick-and-stick issues with program-specific administrative funds. OST is seeking language to expand the availability of this funding so that it applies to the implementation of all BIL programs and clearly supplements program-specific administrative funds.

GENERAL PROVISIONS—DEPARTMENT OF TRANSPORTATION

NOTE: The President's FY 2023 budget was built upon the assumption of an annualized FY 2022 Continuing Resolution.

SEC. 190. (a) During the current fiscal year, applicable appropriations to the Department of Transportation shall be available for maintenance and operation of aircraft; hire of passenger motor vehicles and aircraft; purchase of liability insurance for motor vehicles operating in foreign countries on official department business; and uniforms or allowances therefor, as authorized by sections 5901 and 5902 of title 5, United States Code.

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

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

Sec. 190 Explanation

Section 190 retains the provision that allows the Department of Transportation to use funds for aircraft (including unmanned aircraft), motor vehicles, liability insurance, uniforms, or allowances, as authorized by law.

SEC. 191. Appropriations contained in this Act for the Department of Transportation shall be available for services as authorized by section 3109 of title 5, United States Code, but at rates for individuals not to exceed the per diem rate equivalent to the rate for an Executive Level IV.

Sec. 191 Explanation

Section 191 retains the provision that limits appropriations for services authorized by 5 U.S.C. 3109, relating to the employment of experts and consultants, to the rate for an Executive Level IV.

SEC. 192. (a) No recipient of amounts made available by this Act shall disseminate personal information (as defined in section 2725(3) of title 18, United States Code) obtained by a State department of motor vehicles in connection with a motor vehicle record as defined in section 2725(1) of title 18, United States Code, except as provided in section 2721 of title 18, United States Code, for a use permitted under section 2721 of title 18, United States Code.

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

Sec. 192 Explanation

Section 192 retains the provision that prohibits recipients of funds made available in this Act from releasing certain personal information and photographs from a driver's license or motor vehicle record, without express consent of the person to whom such information pertains; and prohibits the withholding of funds provided in this Act for any grantee if a State is in noncompliance with this provision.

SEC. 193. None of the funds made available by this Act shall be available for salaries and expenses of more than 125 political and Presidential appointees in the Department of Transportation: *Provided,* That none of the personnel covered by this provision may be assigned on temporary detail outside the Department of Transportation

Sec. 193 Explanation
Section 193 retains the provision limiting the number of political appointees that may be employed by the Department at any given time and prohibiting temporary details of those appointees outside the Department.

SEC. 194. Funds received by the Federal Highway Administration and Federal Railroad Administration from States, counties, municipalities, other public authorities, and private sources for expenses incurred for training may be credited respectively to the Federal Highway Administration's "Federal-Aid Highways" account and to the Federal Railroad Administration's "Safety and Operations" account, except for State rail safety inspectors participating in training pursuant to section 20105 of title 49, United States Code.

Sec. 194 Explanation
Section 194 retains the provision that permits funds received by specified DOT agencies from States or other private or public sources for expenses incurred for training to be credited to certain specified agency accounts.

SEC. 195. None of the funds made available by this Act to the Department of Transportation may be used to make a loan, loan guarantee, line of credit, letter of intent, federally funded cooperative agreement, full funding grant agreement, or discretionary grant unless the Secretary of Transportation notifies the House and Senate Committees on Appropriations not less than 3 full business days before any project competitively selected to receive any discretionary grant award, letter of intent, loan commitment, loan guarantee commitment, line of credit commitment, federally funded cooperative agreement, or full funding grant agreement is announced by the Department or its operating administrations: *Provided,* That the Secretary of Transportation shall provide the House and Senate Committees on Appropriations with a comprehensive list of all such loans, loan guarantees, lines of credit, letters of intent, federally funded cooperative agreements, full funding grant agreements, and discretionary grants prior to the notification required under the previous proviso: *Provided further,* That the Secretary gives concurrent notification to the House and Senate Committees on Appropriations for any "quick release" of funds from the emergency relief program: *Provided further,* That no notification shall involve funds that are not available for obligation.

Sec. 195 Explanation
Section 195 retains the provision which prohibits funds from being used to make a grant unless the Secretary of Transportation notifies the House and Senate Committees on Appropriations no less than three days in advance of any discretionary grant award, letter of intent, or full funding grant agreement.

SEC. 196. Rebates, refunds, incentive payments, minor fees, and other funds received by the Department of Transportation from travel management centers, charge card programs, the subleasing of building space, and miscellaneous sources are to be credited to appropriations of the Department of Transportation and allocated to elements of the Department of Transportation using fair and equitable criteria and such funds shall be available until expended..

Sec. 196 Explanation
Section 196 retains the provision that allows funds received from rebates, refunds, and similar sources to be credited to appropriations of the Department of Transportation.

~~**SEC. 197.** Amounts made available by this Act or any prior Act that the Secretary determines represent improper payments by the Department of Transportation to a third-party contractor under a financial assistance award, which are recovered pursuant to law, shall be available—~~

~~(1) to reimburse the actual expenses incurred by the Department of Transportation in recovering improper payments: *Provided,* That amounts made available by this Act shall be available until expended; and~~
~~(2) to pay contractors for services provided in recovering improper payments or contractor support in the implementation of the Payment Integrity Information Act of 2019 (Public Law 116–117): *Provided,* That amounts in excess of that required for paragraphs (1) and (2)—~~
~~(A) shall be credited to and merged with the appropriation from which the improper payments were made, and shall be available for the purposes and period for which such appropriations are available: *Provided further,* That where specific project or accounting information associated with the improper payment or payments is not readily available, the Secretary may credit the amounts to an appropriate account as offsetting collections and such amounts shall be available for the purposes and period associated with the account so credited: *Provided further,* that amounts credited to programs under this subparagraph shall not be subject to any limitation on obligations in this or any other Act; or~~
~~(B) if no such appropriation remains available, shall be deposited in the Treasury as miscellaneous receipts: *Provided further,* That prior to depositing such recovery in the Treasury, the Secretary shall notify the House and Senate Committees on Appropriations of the amount and reasons for such transfer: *Provided further,* That for purposes of this section, the term "improper payment" has the same meaning as that provided in section 3351(4) of title 31, United States Code.~~

Sec. 197 Deletion Explanation

This provision was originally designed to provide DOT flexibility to leverage the dollars recovered through improper payments. Based on updates to Improper Payments legislation and OMB A-123 Appendix C, this provision is now unnecessary. DOT proposes removing this provision and will follow existing governmentwide guidance as well as continuing to support the OIG funding through its direct appropriations.

SEC. ~~198~~ [197]. Notwithstanding any other provision of law, if any funds provided by or limited by this Act are subject to a reprogramming action that requires notice to be provided to the House and Senate Committees on Appropriations, transmission of such reprogramming notice shall be provided solely to the House and Senate Committees on Appropriations: *Provided,* That the Secretary of Transportation may provide notice to other congressional committees of the action of the House and Senate Committees on Appropriations on such reprogramming.

Sec. 197 Explanation
Section 197 retains the provision that allows the Secretary to provide a reprogramming notice to other Congressional Committees.

SEC. ~~199~~ [198]. Funds appropriated by this Act to the operating administrations may be obligated for the Office of the Secretary for the costs related to assessments or reimbursable agreements only when such amounts are for the costs of goods and services that are purchased to provide a direct benefit to the applicable operating administration or administrations.

Sec. 198 Explanation
Section 198 retains the provision that allows the Office of the Secretary of Transportation to assess or enter into reimbursable agreements with the modal administrations only to the degree that such amounts are for the costs of goods and services that are purchased to provide a direct benefit to the applicable modal administration or administrations.

SEC. ~~200~~ [199]. The Secretary of Transportation is authorized to carry out a program that establishes uniform standards for developing and supporting agency transit pass and transit benefits authorized under section 7905 of title 5, United States Code, including distribution of transit benefits by various paper and electronic media

Sec. 199 Explanation
Section 199 retains the provision that explicitly designates the Department of Transportation as the Government-wide executive agency for the Federal transportation transit benefit program.

SEC. ~~201~~ [200]. The Department of Transportation may use funds provided by this Act, or any other Act, to assist a contract under title 49 U.S.C. or title 23 U.S.C. utilizing geographic, economic, or any other hiring preference not otherwise authorized by law, or to amend a rule, regulation, policy or other measure that forbids a recipient of a Federal Highway Administration or Federal Transit Administration grant from imposing such hiring preference on a contract or

construction project with which the Department of Transportation is assisting, only if the grant recipient certifies the following:
(1) that except with respect to apprentices or trainees, a pool of readily available but unemployed individuals possessing the knowledge, skill, and ability to perform the work that the contract requires resides in the jurisdiction;

(2) that the grant recipient will include appropriate provisions in its bid document ensuring that the contractor does not displace any of its existing employees in order to satisfy such hiring preference; and

(3) that any increase in the cost of labor, training, or delays resulting from the use of such hiring preference does not delay or displace any transportation project in the applicable Statewide Transportation Improvement Program or Transportation Improvement Program.

Sec. 200 Explanation
Section 200 retains the provision to allow for local hiring for projects carried out through FHWA and FTA grant awards.

SEC. ~~202~~ [201]. The Secretary of Transportation shall coordinate with the Secretary of Homeland Security to ensure that best practices for Industrial Control Systems Procurement are up-to-date and shall ensure that systems procured with funds provided under this title were procured using such practices.

Sec. 201 Explanation
Sec. 201 retains the provision that would continue coordination with DHS on cybersecurity procurements.

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

Sec. 203 Deletion Explanation
Sec. 203 may be deleted as the program is expected to have minimal future obligations and can accommodate administrative expenses within the current set aside funding.

GENERAL PROVISIONS—THIS ACT

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

Sec 401 Explanation
Section 401 retains the provision prohibiting the use of funds for pay and other expenses provided in the appropriation act for compensating non-Federal parties intervening in regulatory or adjudicatory proceedings funded by the act.

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

Sec 402 Explanation
Section 402 continues the prohibition on obligations beyond the current fiscal year and transfers of funds to other appropriations unless expressly provided in the appropriations act.

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

Sec 403 Explanation
Section 403 continues the limitation on expenditures for consulting service through procurement contracts where such expenditures are a matter of public record and available for public inspection.

SEC 404. Except as otherwise provided in this Act, none of the funds provided in this Act, provided by previous appropriations Acts to the agencies or entities funded in this Act that remain available for obligation or expenditure in fiscal year ~~2022~~ [2023], or provided from any accounts in the Treasury derived by the collection of fees and available to the agencies funded by this Act, shall be available for obligation or expenditure through a reprogramming of funds that—

(1) creates a new program;
(2) eliminates a program, project, or activity;
(3) increases funds or personnel for any program, project, or activity for which funds have been denied or restricted by the Congress;
(4) proposes to use funds directed for a specific activity in an appropriations Act for a different purpose;

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

Sec. 404 Explanation
Section 404 retains Congressional reprogramming guidelines and continues the provision that each Department provide a report to the Committees on Appropriations that establishes the baseline for application of reprogramming and transfer authorities for the current fiscal year not later than 60 days after enactment.

SEC. 405. Except as otherwise specifically provided by law, not to exceed 50 percent of unobligated balances remaining available at the end of fiscal year ~~2022~~ [2023] from appropriations made available for salaries and expenses for fiscal year ~~2022~~ [2023] in this Act, shall remain available through September 30, ~~2023~~ [2024], for each such account for the purposes authorized: *Provided,* That a notification shall be submitted to the House and Senate Committees on Appropriations prior to the expenditure of such funds: *Provided further,* That these requests shall be made in compliance with reprogramming guidelines under section ~~405~~[404] of this Act.

Sec. 405 Explanation
Section 405 continues the provision providing that 50 percent of unobligated balances of appropriations made available for salaries and expenses are available for certain purposes.

SEC. 406. No funds in this Act may be used to support any Federal, State, or local projects that seek to use the power of eminent domain, unless eminent domain is employed only for a public use: *Provided,* That for purposes of this section, public use shall not be construed to include economic development that primarily benefits private entities: *Provided further,* That any use of funds for mass transit, railroad, airport, seaport or highway projects, as well as utility projects which benefit or serve the general public (including energy-related, communication-re- lated, water-related and wastewater-related infrastructure), other structures designated for use by the general public or which have other common-carrier or public-utility functions that serve the general public and are subject to regulation and oversight by the government, and projects for the removal of an immediate threat to public health and safety or brownfields as defined in the Small Business Liability Relief and Brownfields Revitalization Act (Public Law 107–118) shall be considered a public use for purposes of eminent domain.

Sec. 406 Explanation
Section 406 continues the provision prohibiting the use of funds for eminent domain unless such taking is employed for public use.

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SEC. 407. No funds appropriated pursuant to this Act may be expended by an entity unless the entity agrees that in expending the assistance the entity will comply with sections 2 through 4 of the Act of March 3, 1933 (41 U.S.C. 8301–8305, popularly known as the "Buy American Act").

Sec. 407 Explanation
Section 407 continues the prohibition of the availability of funds to any person or entity that does not comply with the Buy American Act.

SEC. 408. No funds appropriated or otherwise made available under this Act shall be made available to any person or entity that has been convicted of violating the Buy American Act (41 U.S.C. 8301–8305).

Sec. 408 Explanation
Section 408 continues the prohibition of the availability of funds to any person or entity that has been convicted of violating the Buy American Act.

SEC. 409. None of the funds made available in this Act may be used for first-class airline accommodations in contravention of sections 301–10.122 and 301–10.123 of title 41, Code of Federal Regulations.

Sec. 409 Explanation
Section 409 continues the prohibition of the use of funds for the purchase of first-class airline accommodations.

SEC 410. (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography.

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

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

SEC. 411 (a) None of the funds made available in this Act may be used to deny an Inspector General funded under this Act timely access to any records, documents, or other materials available to the department or agency over which that Inspector General has responsibilities under the Inspector General Act of 1978 (5 U.S.C. App.), or to prevent or impede that Inspector General's access to such re- cords, documents, or other materials, under any provision of law, except a provision of law that expressly refers to the Inspector General and expressly limits the Inspector General's right of access.
(b) A department or agency covered by this section shall provide its Inspector General with access to all such records, documents, and other materials in a timely manner.
(c) Each Inspector General shall ensure compliance with statutory limitations on disclosure relevant to the information provided by the establishment over which that Inspector General has responsibilities under the Inspector General Act of 1978 (5 U.S.C. App.).
(d) Each Inspector General covered by this section shall report to the Committees on Appropriations of the House of Representatives and the Senate within 5 calendar days any failures to comply with this requirement.

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

SEC 412. None of the funds appropriated or otherwise made available by this Act may be used to pay award or incentive fees for contractors whose performance has been judged to be below satisfactory, behind schedule, over budget, or has failed to meet the basic requirements of a contract, unless the Agency determines that any such deviations are due to unforeseeable events, government-driven scope changes, or are not significant within the overall scope of the project and/or program unless such awards or incentive fees are consistent with 16.401(e)(2) of the Federal Acquisition Regulations.

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

APPROPRIATION/ OBLIGATION LIMITATION ACCOUNTS

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	82,818	82,818	105,972
Travel	1,343	1,343	1,599
Other Costs	42,013	42,013	75,672
Programs	-	-	1,176
TOTAL	126,174	126,174	184,419
STAFFING			
Direct FTPs	478	478	587
Direct FTEs	397	452	543

Appropriations Language

SALARIES AND EXPENSE

For necessary expenses of the Office of the Secretary, $184,419,000, to remain available until September 30, 2024: Provided, That not to exceed $70,000 shall be for allocation within the Department for official reception and representation expenses as the Secretary may determine: Provided further, That notwithstanding any other provision of law, there may be credited to this appropriation up to $2,500,000 in funds received in user fees.

Note.—A full-year 2022 appropriation for this account was not enacted at the time the Budget was prepared; therefore, the Budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of Public Law 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

Program and Performance Statement

The Office of the Secretary is responsible for the overall planning, coordination, and administration of the Department's programs. Funding supports the Secretary, Deputy Secretary, Under Secretary for Policy, Secretarial Officers, and their immediate staffs, who provide Federal transportation policy development and guidance, institutional and public liaison activities. It also funds Departmental legal, procurement, budget and finance, human resources, and other administrative functions.

Detailed Justification for the Immediate Office of the Secretary

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

The Immediate Office of the Secretary (OST) provides leadership for the Department and develops and implements the Department's vision, mission, and the priorities of the Administration. The Office is responsible for overall planning, direction, and control of the Department's agenda.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; and (3) inflation and other adjustments to base.

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

The Immediate Office of the Secretary of Transportation (OST) provides the necessary executive leadership essential to meet the challenges faced by the American public in the transportation sector and sets and implement the agenda of the Administration. This request will enable the Department to continue to respond quickly and efficiently to the transportation needs of the American public and to advance key priorities of: safety; economic strength and modernization; equity and economic inclusion; climate and sustainability; and organizational excellence.

Detailed Justification for the Office of the Deputy Secretary

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

The Office of the Deputy Secretary assists the Secretary in the overall planning, direction and control of the Department's agenda. The Deputy Secretary functions as the Chief Operating Officer of the Department with responsibility for the Department's administrative and management needs, as well as policy priorities as designated by the Secretary. Among other responsibilities, the Deputy Secretary serves as Chair of the Executive Policy Council, which directs implementation of the Bipartisan Infrastructure Law.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; and (3) inflation and other adjustments to base.

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

The Office of the Deputy Secretary assists the Secretary in the overall planning, direction and control of the Department's agenda. This request will enable the Department to continue to respond quickly and efficiently to the transportation needs of the American public and to advance key priorities of: safety; equitable economic strength and modernizing core assets; equity and economic inclusion; climate and sustainability; and organizational excellence.

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

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

The **Under Secretary of Transportation for Policy (S-3)** serves as the principal policy advisor to the Secretary and provides leadership in the development and implementation of transportation policies for the Department, directs cross-modal initiatives, leads in the efficient development of intermodal transportation solutions, manages statutory programs that are designated by Congress for the Secretary to administer, and oversees activities related to infrastructure and infrastructure deployment. S-3 provides the foundation for the Department's efforts to increase the productivity and competitiveness of American workers and businesses in the global economy. All of these functions require expertise in program management, economic analysis, strategic planning, policy coordination and development, and technical matters involving aviation and surface modes. The Under Secretary oversees the Assistant Secretary for Transportation Policy (OST-P), the Assistant Secretary for Aviation and International Affairs (OST- X), the Assistant Secretary for Research and Technology (OST-R), and the National Surface Transportation and Innovative Finance Bureau (OST-Z).

The **Office of the Assistant Secretary for Transportation Policy** (OST-P) is responsible for the leadership and development of policy for the Department, recommending transportation policy initiatives to the Secretary, Deputy Secretary, and Under Secretary for Policy. The Office coordinates intermodal initiatives and processes that may impact multiple agencies within the Department, such as proposed reauthorization language. The Office leads the Department's innovation portfolio and coordinates responses to cross-modal safety issues while leading initiatives to improve safety through a systemic approach to identify, mitigate, and eliminate risk with improved data collection and analysis, stakeholder collaboration, performance-based safety standards, and other measures. The Office also supports the Department's activities under Executive Orders (EO), including EO 13985, "Advancing Racial Equity and Support for Underserved Communities Through the Federal Government, and EO 14008, "Tackling the Climate Crisis at Home and Abroad", including efforts to develop racial equity and climate action plans and to implement the Justice40 initiative. The Office also leads the Department's activities to support domestic manufacturing and supply chain resilience under EO 14005, "Ensuring the Future Is Made in All of America by All of America's Workers" and EO 14017, "America's Supply Chains." The Office coordinates multimodal freight policy across the Department, including the development of the National Freight Strategic Plan. It develops and implements policies related to the National Environmental Policy Act, interagency infrastructure permitting, and climate change mitigation and adaptation. The Office also acts as the Department lead in areas of regulatory impact analysis.

The **Office of the Assistant Secretary for Aviation and International Affairs** (OST-X) is responsible for the analysis, development, articulation, and review of policies, programs, and plans for economic issues in domestic aviation and international transportation. The Office negotiates bilateral and multilateral aviation agreements, provides Departmental leadership on international multimodal transportation policies, participates in international diplomatic dialogues and protocol activities, and administers programs to address competition, licensing of carriers, and access to the national transportation system. The Office directly contributes to advancing America's economic growth and competitiveness domestically and internationally through efficient and flexible

transportation, as well as more cohesive national aviation policies. OST-X also represents the Department on several interagency processes and works with other Departmental offices to support implementation of Executive Orders and Administration priorities, including EO 14008 on Tackling the Climate Crisis at Home and Abroad, EO 14027 Establishment of the Climate Change Support Office, EO 14017 on America's Supply Chains, EO 13998 on Promoting COVID-19 Safety in Domestic and International Travel, and EO 13981 Protecting the United States from Certain Unmanned Aircraft.

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

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

The Bureau, DOT's high impact service provider (HISP), is joining agencies across the Federal government to upgrade customer experiences (CX), using leading practices and human-centered service delivery. HISPs commit to upgrade CX, consistent with the 21st Century Integrated Digital Experience Act (P.L. 115-336) and President Biden's executive order 14058, Transforming Federal Customer Experience and Service Delivery To Rebuild Trust in Government. Designated entities undertake activities according to OMB Circular A-11 Section 280, including focused improvement efforts, customer feedback collections, and public reporting.

The Department is establishing a new **Office of Multimodal Freight Infrastructure and Policy** office that the Bipartisan Infrastructure Law (BIL) created. This office develops and manages the National Freight Strategic Plan and the National Multimodal Freight Network and oversees the development and updating of the State freight plans. As part of this mission, this office provides guidance and best practices relating to State freight plans. This office plans to assist States in the establishment of State freight advisory committees and multi-State freight mobility compacts. This office will provide relevant national data to the Bureau of Transportation Statistics regarding freight

data and planning within the United States. This office also administers the Infrastructure for Rebuilding America (INFRA) discretionary grant program.

FY 2022 Anticipated Accomplishments:

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

- The Office will advance the Department's human trafficking initiative working with transportation stakeholders across all modes of transportation to ensure they are equipped with guidance, training and best practices to help stop this crime. The Office will also implement the lead an ICAO working group on combatting human trafficking and conduct an Asian-Pacific Economic Cooperation (APEC) workshops on human trafficking.

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

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

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

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

- The Office will begin to fulfill the goals of the Administration's Executive Order on *Advancing Racial Equity and Support for Underserved Communities Through the Federal Government* (EO 13985) to deliver meaningful and measurable benefits to disadvantaged and underserved communities. This includes developing methodologies for equity screenings in policies and programs implemented Department-wide and delivering approaches across the Operating Administrations in the development, delivery and implementation of the agency's Equity Action Plan (i.e., DOT Order on Equity).

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested and (4) inflation and other adjustments to base.

The request includes **3 FTPs;** as well as funding that will enable OST to fill current vacancies.

- **1 FTP** will be located within OST Office of International Aviation and will oversee transportation economic research. This is, in effect, an economist will support aviation and competition policy, particularly the nexus between competition and environmental policies, which is a unique competency of the Office

- **2 FTPs** will be located within OST's Office of Policy. These positions will oversee policy priorities in safety, strategic planning implementation, as well as transportation equity.

- OST will fill 6 to 7 long term vacancies in the Policy and Aviation and International Affairs Offices and repurpose several existing positions to meet current requirements. These are positions located within both the Policy and International Aviation offices that have been vacant for years, but the agency has been unable to fill due to lack of funding availability. Two of these existing positions will be repurposed to establish a new Regional Transportation Attachés Program. This program will build on-the-ground presence and strategic engagements with foreign counterparts regarding U.S. transportation-related: climate policies, safety standards and regulations, emerging technologies, critical infrastructure development, technical assistance, alternatives to malign influences, such as China's Belt and Road initiative and increasing influence and economic international aviation economic policymaking, export promotion, market access, and commercial challenges/advocacy.

In addition, **$3.25 million** and **7 FTPs** are requested for Equity programs will support the launch of a National Equity Accelerator, development and use of methodologies to estimate the benefits of DOT programs to disadvantaged communities, related technical assistance, research, and engagement activities, and overall management of the Department's equity work in coordination with the Departmental Office of Civil Rights.

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

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

In addition, S-3 aims to foster an environment that allows for the deployment of innovative technologies throughout transportation sectors, such as the safe testing and deployment of Automated Vehicles (AV) and Unmanned Aircraft Systems (UAS) in the U.S. transportation system.

The Office also engages in economic oversight and facilitation of international trade for U.S. aviation and surface transportation companies, negotiating new air service agreements, making grants, administering regulatory proceedings, reviewing competition matters, and engaging in

structured regulatory cooperation with foreign counterparts. In engaging with our global trading partners, the Office is supporting increased international market access for America's products and services by eliminating transportation and international trade barriers, and advance transportation safety, climate, and equity objectives in bilateral and multilateral organizations.

The Office also provides benefits to the public by improving the environmental review process to ensure that impacts of transportation projects are considered and addressed, particularly with respect to disadvantaged communities. The Office will also develop strategies to reduce greenhouse gas emissions and establish resilience strategies to protect the American public from the worst impacts of climate change.

Detailed Justification for the Office of the Executive Secretariat

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

The Office of the Executive Secretariat manages and coordinates the flow of materials that require the review, approval, and signature of the Secretary, Deputy Secretary, and Chief of Staff. This includes the editing and vetting of decision memos, briefing memos, correspondence, congressional reports, travel requests, Federal advisory committee management oversight, and directives management. The Office of the Executive Secretariat also provides administrative management services to the Secretary and Deputy Secretary's offices which includes budget and human resource management.

FY 2022 Anticipated Accomplishments:

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

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; and (3) inflation and other adjustments to base.

The request also includes an increase for **1 FTP** to serve as a Briefing Book Manager. This position will oversee and manage the daily briefing book for the Secretary and support the Deputy Secretary's daily briefing book. This position will work closely with the Director of the Executive Secretariat, Secretary and Deputy Secretary's scheduling teams, as well as senior leadership across the Department, to ensure that comprehensive briefing memos are prepared in a timely manner, reviewed by senior leadership in the Secretary or Deputy Secretary's office, and shared with the Secretary or Deputy Secretary prior to their scheduled meetings and trips. This position is critical to ensuring that the Secretary and Deputy Secretary are able to efficiently and effectively use the time they spend engaging with the public and transportation stakeholders.

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

The Office of the Executive Secretariat ensures the timely response to Secretarial inquiries from the general public (and Congress on their behalf) regarding transportation-related issues and maintains clear record of decisions made by the Secretary and Deputy Secretary. The Office of the Executive Secretariat ensures that the Secretary and Deputy Secretary have the information they need to make clear decisions and successfully engage with the public through their travel and meetings.

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

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

The Office of Intelligence, Security, and Emergency Response supports the following functions:

- All-threats and all-hazards incident preparedness, response, and recovery situational awareness through domestic and international event and incident monitoring, and reporting, and decision support product development
- Continuity of Operations and Continuity of Government (COOP/COG)
- All source intelligence monitoring, analysis, and production
- Coordination and collaboration with intelligence community and law enforcement partners
- National security policy and preparedness
- Protection of the Secretary
- Liaison between, and coordinate with, internal DOT and external Federal, State, and local governments and private sector entities to develop policies for the protection and restoration of the Nation's transportation systems and infrastructure

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

Intelligence: The Office oversees DOT's intelligence monitoring and production enterprise. This function is critical to identifying on-going or potential threats to the transportation sector from foreign and domestic extremists. The Office contributes to the development of policies, strategies, and plans to detect, deter, and defeat transnational threats to the safety and security of the transportation sector and assists DOT senior leaders in preparing and conducting engagement with other U.S. senior officials and international partners on national security issues.

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

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

Protection of the Secretary: The Office is solely responsible for the safety and security of the Secretary while at their residence or traveling domestically and internationally. Responsibilities include, but are not limited to, operations to coordinate manpower and logistics with state and local law enforcement, and protective advances to conduct site and venue assessments for the development of plans to ensure the safety and security of the Secretary.

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

As part of the FY 2023 request, the Office proposes to restructure the 12 Regional Emergency Transportation Representatives (RETREPs) that support this program and currently report to various Operating Administrations, as reimbursable employees reporting directly to the Office of Intelligence, Security, and Emergency Response. At this time, the restructuring does not include Federal Aviation Administration (FAA) RETREPs. The FAA RETREPs and the Office of Intelligence, Security, and Emergency Response are working to determine the best structure for these RETREPs. The RETREPs are located in 10 Regional Offices throughout the country, with 2 RETREPs in Region 9 and 10 due to the size of the regions. The restructure will:

- Streamline reporting before, during, and after a response to facilitate and enhance DOT's response and recovery efficiency and effectiveness
- Align response and recovery responsibilities with the lead organization in DOT (Office of Intelligence, Security & Emergency Response)
- Provide better oversight and a professional development path for the RETREPs

DOT and the Department of Homeland Security (DHS) are co-Sector Risk Management Agencies (co-SRMAs) for the Transportation Systems critical infrastructure sector. DOT delegates its responsibilities to the Office. The co-SRMAs serve as the day-to-day Federal interface for prioritization, collaboration, and coordination of sector-specific activities, working with critical infrastructure owners and operators, as well as multi-level government partners, to advance a national unity of effort to strengthen and maintain secure, functioning, and resilient critical infrastructure. The co-SRMAs also leverage their expertise to steer or support incident management responsibilities consistent with statutory authority and other appropriate policies, directives, or regulations.

Preparing for the future by engaging with new technologies to ensure safety without hampering innovative emerging technologies: The Office continually explores emerging technologies to enhance efficiency and effectiveness in the execution of its roles and responsibilities in support of the Secretary and the Department. The Office procures social and traditional media monitoring technology to provide enhanced situational awareness to facilitate timely response and recovery decisions as well as enhanced coordination between Federal, State, local, tribal, and territorial governments and private sector partners.

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

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

FY 2022 Anticipated Accomplishments:

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

- Provide for the safety of the Secretary
- Increase coordination and collaboration with Intelligence Community partners to support evolving information needs and to enhance overall quality and value added of DOT intelligence products
- Make intelligence products available to a broader DOT audience through development and production of relevant intelligence products
- Ensure stakeholders are familiar with all aspects of the DOT Headquarters COOP/COG Plans
- Establish greater accountability of personnel that will fulfill Secretarial successor roles and responsibilities
- Develop and/or refine out of area successor support plans, roles, and responsibilities
- Integrate biodefense and emergent health threats into DOT and interagency resilience policies and plans to ensure an efficient and effective response
- Build resilience into the Department's response and recovery posture to better prepare for more frequent and destructive disasters
- Facilitate communication between DOT and appropriate Department of Defense (DOD) major commands ensuring harmonization between policy formulation and support to national security initiatives
- Reestablish connections with state, commonwealth, and territory emergency management partners, following a year of limited travel due to COVID restrictions
- Strengthen relationships with devolution site partners, emergency coordinators and RETREPs through familiarization and training

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

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; and (3) inflation and other adjustments to base.

In addition, the Office is requesting **$3 million** to replace outdated information technology (IT) systems in the Transportation Operations Center. Existing IT systems hamper DOT's timely situational awareness as they are at their end of life and unsupported. The IT replacement will:

- Partner with DOT CIO to upgrade mission critical IT systems to address interoperability with other government IT systems
- Ensure upgraded IT systems support remote workers
- Allow for faster connectivity with other Operations Centers, interagency partners, and DOT's Operating Administrations
- Improve efficiency of DOT's response and recovery functions by increasing workflow during high demand situations

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

The FY 2023 budget request supports resource needs required to:

- Provide national security policy engagement to facilitate preparedness, mitigate the consequences of transportation sector emergencies, and support response and recovery activities
- Coordinate with and support government partners and private sector entities to restore transportation systems and infrastructure operations after all-hazards incidents
- Support a 24/7 operations center to serve as DOT's focal point for facilitating timely situational awareness and decision support related to potential or existing all-threats and all-hazard incidents and events
- Improve communication, collaboration, and cooperation between DOT and DOD commands to facilitate more efficient and effective movement of DOD resources around the world to address national security concerns as well as response and recovery efforts
- Enhance senior leader situational awareness of known and developing transnational threats to U.S. transportation systems and infrastructure through better use of classified information systems
- Prepare a flexible, scalable, and adaptable Emergency Response Team, ready to carry out the Department's National Response and National Disaster Recovery Framework responsibilities

Detailed Justification for the Office of the Chief Information Officer

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

The Office of the Chief Information Officer (OCIO) provides leadership and direction on all matters associated with the Department's IT portfolio. The OCIO is the principal information technology (IT) advisor to the Secretary and DOT Operating Administrations on matters involving IT including: portfolio management, IT infrastructure and operations, cybersecurity, information assurance (i.e., Cybersecurity, Privacy, and records management), IT innovation and emerging technologies, enterprise data management, and applications and digital solutions. Under the Federal Information Technology Acquisition Reform Act (FITARA), the DOT CIO is responsible for all IT planning, budgeting, acquisition, implementation and operations in the Department. Under the Foundations for Evidence-Based Policymaking Act and the Geospatial Data Act, the DOT CIO is responsible lifecycle data management and coordinating across the agency to ensure data are well managed to support the Department's mission and operations. The OCIO focuses on ensuring IT projects and investments are planned, administered, completed, and delivered in a standardized manner across the Department.

The OCIO has responsibility for planning and oversight of IT staffing, and management and delivery of IT and innovative solutions across the Department, including ensuring the delivery of IT solutions to support the Infrastructure Investment and Jobs Act. The OCIO leverages IT authorities to lead in the innovative application of data and technology to achieve safety outcomes and improve the condition of the nation's infrastructure. The Office monitors and advises on digital transformation in the transportation sector, generally; and advises the Secretary and the Operating Administrations (OAs) on fostering innovation in the transportation system.

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

The Shared Services initiative will address the evolving and increasing complexity of IT infrastructure and services, direct efforts to identify and eliminate duplicative spending, and strengthen accountability for programming and performance of IT expenditures. The OCIO must create and maintain an agile, reliable, innovative, and scalable IT environment and deliver business services that implement best practices, achieves efficiencies, and reduce risk while aligning requests with the mission priorities of DOT stakeholders. In FY 2023, OCIO will continue building on the multi-year commodity IT consolidation success to improve delivery of services and reduce future maintenance costs.

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

- The CIO drives the use of technology to accelerate the DOT mission resulting in innovative solutions for the Department to increase Cybersecurity, leverage effective shared services, harness the power of data as a strategic asset to support the decision-making and operations, reduce duplication, increase efficiencies, and enable Operating Administrations to focus on their missions.

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

- Intermodal data-driven decision making – The OCIO oversees Department data decision-making bodies, enforces policies, and ensures compliance with standards to improve data quality and utility. OCIO is working to build insights and visualizations to drive evidence-based policy and decision making. As the Department continues to grow its data, it needs to organize, share, and analyze data through enterprise data management, reporting, visualization, and advanced analytics such as machine learning and artificial intelligence to discover patterns and other useful information consistent with the requirements of the Foundations for Evidence-Based Policymaking Act (P.L. 115-435) and the Geospatial Data Act (P.L. 115-254).

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

- Technology Modernization and Enterprise Service Delivery – OCIO provides leadership for the digitization and modernization of Departmental IT by managing the roadmap for systems modernization that addresses known weaknesses in Cybersecurity, reduces unnecessary duplication in systems capabilities, retires out-of-date systems, and focuses new investments on modern technology solutions that can transform how DOT interacts with its customers and stakeholders. OCIO provides a secure and modern network infrastructure and enterprise IT services to enable programs to focus on the mission.

- IT Innovation – OCIO drives the Department's implementation of modern technology to support the mission. OCIO is also working to implement modern approaches to technology, such as artificial intelligence and robotic process automation (RPA).

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

- IT Governance, Risk, and Compliance – OCIO works with the Office of the Assistant Secretary for Budget and Programs/Chief Financial Officer, the Office of the Senior Procurement Executive, and the Operating Administrations to ensure that the Department effectively and efficiently procures and provides lifecycle management and oversight of its IT investments and enterprise IT risk management.

FY 2022 Anticipated Accomplishments:

In FY 2022, the OCIO will make progress in following key areas:

- Continuing to consolidate the delivery of commodity information technology services and developing innovative solutions at DOT as part of the consolidated enterprise delivery of shared services;

- Driving implementation of the Department's IT Cybersecurity Policy and supporting guidance;

- Ensuring consistent implementation of IT Contingency Planning training and guidance for the IT community and DOT information system owners;

- Continued application of an IT supply chain risk management guidance and processes;

- Maturing a Privacy Risk Management automation capability;

- Continuing to manage Department-wide IT contract vehicles to ensure greater consistency of technical solutions, provide more competition for modern technical solutions and reduce administrative burden;

- Improving the management of software and managing enterprise agreements; and

- Continuing to modernize the DOT information technology network and infrastructure.

- Implementing a DOT data governance board, supporting implementation of the Department's Learning Agenda, maturing the DOT data inventory, and piloting data skills development programs.

- In support of grants management, the CIO will serve as the Executive Co-Chair on the Department's Grants System Steering Committee (GSSC) and provide strategic advice to the council on technology strategies for both new and existing grant programs. The GSSC was established with the goal of improving the grants management experience at DOT and providing related high-quality data during BIL implementation, continuously improve and advance business practices, and services through technology and related systems to deliver the most effective grants life cycle management to DOT customers. The OCIO will also recommend the technical solutions to meet the grants management requirements and act as the final authority for IT spend approval under the Federal Information Technology

Acquisition Reform Act (FITARA).

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested and (4) inflation and other adjustments to base.

The FY 2023 budget request also includes an increase of **$11.5 million**, which includes resources that will support the increased Working Capital Fund (WCF) costs related to the assets procured in response to the SolarWinds attack, as well as adding the Shared Service consolidation (SSC) line of service. The SSC covers the cost increases associated with the consolidation of all of the Department of Transportation (DOT) Information Technology (IT) into the WCF, excluding the Federal Aviation Administration (FAA).

- Of the total request, $5 million will provide contract support for the implementation of anticipated requirements of the Bipartisan Infrastructure Law (BIL), such as oversight on systems upgrade, preparing shared services to meet increased workload, cybersecurity and compliance activities for systems required for implementation.

- $6.5 million is requested to facilitate electronic records management and increase access to DOT data assets while strengthening data infrastructure.

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

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

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

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

Detailed Justification for the Office of Public Affairs

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

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

The Office of Public Affairs makes information available to the public regarding the Department's efforts to enhance safety, equity, fight climate change, improve the Nation's economy and advance innovation and promulgate regulation in the service of those goals. The Office will use public announcements, press releases, events, videos, new/social media, internal communications, the internet and other means to share with the public information about developments that affect them.

FY 2022 Anticipated Accomplishments:

The Office will continue to ensure the public and other stakeholders have access to up-to-date information about Department of Transportation (DOT) issues, including announcement of grant awards, information about public safety issues, and Departmental events. The volume of this work has increased significantly under Bipartisan Infrastructure Law (BIL) with new programs and policies that Congress has established to modernize and upgrade America's infrastructure.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested and (4) inflation and other adjustments to base.

The request includes funding for **3 FTPs** to support the Secretary in communicating with the American public through social media and news media placements. The new positions will ensure that the information and messages communicated across our social media platforms are accurate, timely and reflect the priorities of DOT leadership and the Administration. They also will support the Department's communications regarding the historic investment made under the Bipartisan Infrastructure Law. These positions will also help their cohorts across DOT modes, sharing best practices in content creation, platforms and analytics to help foster learning and continuous improvement.

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

The Office of Public Affairs is the link to the public's right to know. The Office prepares responses to inquiries on developing issues and events and presents information to the public on Administration initiatives and policy positions. The Office reaches out to inform the public in a variety of ways, including through public announcements and speeches, responding to the news media, by press release and through social media.

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

Detailed Justification for the Office of Public Engagement

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

The Department's Public Engagement efforts have historically been included in the Office of Policy and was elevated to the Office of the Secretary with the 2022 Appropriations bill. As transportation programs continue to grow in size and focus, establishing this function as a separate organization will help ensure the public and all interested stakeholders have a clear primary point of contact in the Department regarding inquires, providing feedback, and identifying opportunities for engagement with the Department and its programs. The Office of Public Engagement will also develop the external engagement strategy for and help execute events with external stakeholders to improve the public's understanding of transportation programs and the ways they can help improve local communities across the Nation.

FY 2022 Anticipated Accomplishments:

- The Office will continue to create and coordinate opportunities for direct dialogue between the Administration and the American public — with a special focus on incorporating and empowering diverse voices to inform and improve the work of the Department.

- The Office will continue to represent the Department to external stakeholders across the private sector, advocacy organizations, disadvantaged communities, and elected and government entities and individuals to deepen engagement and understanding of critical Administration and Department initiatives.

- The Office will work to bring new voices into the policy making process — including through the execution of listening sessions and other opportunities for broad public engagement on issues including infrastructure, safety, climate, the economy, innovation, and equity — and help translate transportation issues that impact communities and external stakeholders into action by the appropriate DOT Office or Administration.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested and (4) inflation and other adjustments to base.

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

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

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

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

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

The Office provides **Departmental budget leadership** for the OAs and the Office of the Secretary (OST)**,** and is responsible for: preparation, review, and presentation of Department budget estimates; being a liaison with the Office of Management and Budget (OMB) and Congressional Appropriations Committees; guidance and review of Departmental financial plans, apportionments, reapportionments, and reprogrammings; program and systems evaluation and analysis; program evaluation criteria; program resource plans; analysis and review of legislative proposals and one-time reports and studies required by Congress. The Office develops with the OAs the Department's performance measures, and tracks actual outcomes against those measures, pursuant to the Government Performance and Results Act (GPRA) Modernization Act of 2010. In addition, it leads the Department's implementation of the Evidence-Based Policymaking Act of 2018 (Evidence Act).

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

Additionally, the Office develops DOT-wide financial management policy, and provides strategic direction for DOT financial operations. The Office serves as the system owner of Delphi, DOT's core financial management system and PRISM (DOT's procurement management system to monitor, test and implement cybersecurity plans and to respond to cyber incidents). The Office provides management direction and oversight to the Delphi program and the Enterprise Services Center (ESC). ESC operates as a division of the Department of Transportation located at the Federal Aviation Administration's Mike Monroney Aeronautical Center in Oklahoma City, Oklahoma. ESC operates Delphi, PRISM, provides a range of accounting services and also provides financial management information system services to

DOT and seven other governmental agencies. Along with Delphi, and PRISM, the Office serves as the system owner of CASTLE, the DOT-wide Consolidated Automated System for Time and Labor Entry. The Office also establishes Departmental travel policy and guidance, maintains DOT's Travel Credit Card Program, and oversees the travel management contract services throughout DOT.

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

The OST Office of the Chief Financial Officer (OST-CFO) is responsible for the **budget formulation, budget execution, and financial management for the OST offices and programs**. The Office formulates and justifies the budget requests for OST offices and programs as an operating administration to the Departmental Budget Office, OMB, and Congress and executes enacted appropriations. It works directly with OMB and Congressional Appropriations Committees to provide the appropriate budget technical assistance. It also performs the full-range of financial management functions for the OST offices and programs at an operating administration level, including: financial statement review; preparation and/or review of all deliverables for the annual financial audit; accounts payable and accounts receivable oversight; cash management; working with OAs to provide financial reporting oversight, consultation, and authoritative recommendations and opinions on complex OA financial reporting issues and questions, reimbursable agreement monitoring and reconciliation; and oversight of the integrity of all transactions in the accounting system. The Office also manages OST's FMFIA and A-123 Enterprise Risk Management and Internal Control program, develops performance measures, and tracks actual outcomes against those measures.

FY 2022 Anticipated Accomplishments:

- The Office will provide an effective presentation of a sound budget for OST and the Department; foster effective use of resources – such as grant and formula dollars, as well as investments in innovation and research, and integration of the Administration's priorities.

- The Office will continue to provide accurate and reliable financial information and build on its record of clean annual financial audits by overseeing and enforcing financial controls.

- The Office will continue to function as an oversight and consultatory body to the DOT OAs. This includes working with the OAs to ensure they are able to bring difficult and complex financial reporting issues to the office and be provided with opinions, recommendations, or authoritative determinations to resolve noted issues and maintain compliance with Generally Accepted Accounting Principles. The Office will continue to increase oversight of the Department's Emergency relief funding (including COVID-19) and enhance the reporting capabilities of the Department's travel management system.

- The Office will release the department's annual Performance Plan in support of the Department's new Strategic Plan , and ensure a system of on-going reporting and tracking of the related performance goals including the Bipartisan Infrastructure Law key results and agency priority goals.

- The Office will release a DOT Learning Agenda and Capacity Assessment as required by the Evidence Act.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested and (4) inflation and other adjustments to base.

In addition, the request also includes funding for **17 FTPs**, at a cost of **$3.3 million t**o support growing requirements for implementation of the Bipartisan Infrastructure Law and other Administration priority initiatives to include identifying challenges, opportunities, and risk management as it pertains to core performance, budget and financial management disciplines

The positions are as follows:

- **5 FTPs for the Departmental Budget Office.**

    - Two budget analysts are needed to manage DOT's growing portfolio of programs. These analysts perform a wide range of duties including analyzing modal budget, program, and management issues, analyzing legislation and responding to Congressional technical assistance requests, and supporting the development of the President's budget, among others. The workload on this team has increased significantly in the last year, which is expected to continue during the implementation of IIJA.
    - One budget analyst is needed to help manage budget execution functions. Budget analysts in DOT's Departmental Budget Office direct numerous technical exercises and collect and organize data from across the Department. DOT's recent growth has increased the scope and complexity of these projects. Also, stakeholders' interest in accessing DOT budget information is increasing. This analyst will support DOT's work to to make DOT budget information more available and transparent.
    - Two program analysts are needed to support the expanded requirements of the Department's program performance and evaluation functions driven by the Foundations for Evidence-Based Policymaking Act of 2018 (Evidence Act), which the Office of Budget and Programs is responsible for implementing in coordination with the Department's Chief Data Officer in Office of the CIO and the Chief Statistical Officer located in the Bureau of Transportation Statistics. The Evidence Act requires a systematic,

evidence-building plan for identifying and addressing the highest priority strategic and operational questions facing the Department. The plan, known as a Learning Agenda, is developed in consultation with stakeholders and the public, and includes: 1) Priority questions to be answered to support policy- and decision-making; 2) Activities that the Department will engage in to address priority questions; 3) Potential data, tools, methods, and analytic approaches to be used to answer priority questions; and 4) Anticipated Department-specific challenges and proposed solutions to developing evidence to support leadership priorities. In addition to this Learning Agenda, DOT must develop an Annual Evaluation Plan describing the significant program evaluation activities the Department plans to undertake in the following year, including the key questions to be asked for each significant evaluation study and the associated information collections needed. The Department will undertake this activity in light of the identified gaps from the capacity assessment, produced every four years to assess the coverage, quality, methods, effectiveness, and independence of DOT's evaluation, research, and analysis efforts.

- **5 FTPs** will support the OST CFO to provide oversight of three new OST Offices and seven new programs that are being requested in this budget or were created by the enactment of the Bipartisan Infrastructure Law (BIL). These changes and programs have tripled the dollar amounts managed by the OST CFO, increased the technical oversight responsibilities, and requires the OST CFO to build out it capabilities and expand its support to the offices and programs. These positions will support the newly created offices and programs in budget formulation, budget execution, financial management, and accounting.

- **4 FTPs** will support DOT-wide financial management policy and oversight of the BIL. These positions will ensure the Department can monitor, report on and execute these funds; provide ongoing analysis of the financial implementation of BIL; and expand the enterprise risk management framework, including proper internal controls, to manage program and financial risks of these new programs. In addition to financial management policy oversight, these positions will ensure the Department is continually monitoring cyber threats and oversee threat detection, evaluation, and remediation activities of DOT owned financial management systems. These additional positions will be used to improve the grants management experience at DOT and provide related high-quality data during BIL implementation.

- **1 FTP** will support oversight of the Department's Innovative Finance/Credit Programs. This position is vital to ensure that the proper oversight and existing requirements of the growing finance and credit programs are being met.

- **2 FTPs** will work to improve the Department's budget analytics capability. Leveraging the FY 2022 investment in Financial Management Capital, these

positions will improve the Office of Budget and Program's ability to deliver accurate and comprehensive budget and program data for senior leadership decision-making. The positions will apply modern analytic techniques and tools to improve analysis of Department-wide budget execution and financial management trends in conjunction with operational improvement as well as develop more sophisticated approaches for targeting investment to meet the Departments policy goals.

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

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

Detailed Justification for the Office of the General Counsel

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

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

The Office plays a crucial role in facilitating the Department's robust response to the urgent challenges facing the Nation, including rebuilding its infrastructure, economic recovery, inequity, environmental justice, and climate change as well as in all areas of the Department's activities. More specifically, the Office assists in establishing and implementing the largest investment in infrastructure in a generation with more than 20 new grant programs and extensive increase to other programs providing Federal-financial assistance to States, local, and Tribal governments as well as other loan programs. As the Nation ramps up necessary investment in its crumbling infrastructure, the Office provides the necessary legal support services to ensure successful investment, including loan, grant and loan guaranty programs; permitting, environmental review and planning; civil rights and environmental justice; contracting, oversight, and dispute resolution. The Office also assists in identifying and overcoming statutory and regulatory challenges that frustrate the Department's ability to confront these problems and, in their place, assists in developing appropriate and effective statutory and regulatory solutions, along with litigation, procurement, and other strategies. The Office coordinates DOT's regulatory actions, legislative efforts, and litigation operational, and international legal matters. The Office of the General Counsel carries out aviation consumer protection activities and promotes and facilitates collaborative problem solving through the use of alternative dispute resolution (ADR) within the Department.

The Office provides legal advice, counsel, and representation in the following areas: appropriations, fiscal law and financial management; acquisitions and financial assistance; credit assistance; real property, facilities, and asset management; intellectual property; employee ethical conduct and political activities; Federal labor, equal employment opportunity, disability and civil rights law; environmental law; the Freedom of Information Act (FOIA) and privacy law; Congressional and other oversight of DOT; cybersecurity; competition law; and security and emergency response.

The Office provides legal services in support of aviation economic matters, including review of airport competition plans, and aviation economic licensing rules and orders. It also provides representation in front of critical bodies like the Surface Transportation Board to provide DOT's perspective on rail competition and access to passenger railroads. Likewise, it provides legal support for matters related to maritime law and Native American sovereignty and jurisdiction.

The Office provides legal counsel and support on complex matters involving surface transportation project finance and public-private partnerships, Federal and State law and contractual interpretation concerning project finance and public-private partnerships; provides legal advice on DOT's Transportation Infrastructure Finance and Innovation Act and Railroad Rehabilitation and Improvement Financing multibillion dollar Private Activity Bonds Program and DOT's Nationally Significant Freight and Highway Projects Grants Program (INFRA).

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

The Office provides advice and legal counsel regarding actual or anticipated litigation in which DOT or one of its Operating Administrations (OA) is or might become a party or has an interest. The Office oversees all Supreme Court cases and significant appellate cases involving the Department and coordinates Department of Justice representation in such matters, supervises the preparation of all filings before independent regulatory agencies on DOT's behalf, and provides legal advice concerning litigation risk, and pre- and post-litigation policy decisions. The Office is also involved, through the filing of amicus briefs or statements of interest, in cases between private parties that implicate DOT statutes, regulations, or policies. The Office also provides advice and guidance on enforcement policy and case-specific matters.

The Office provides support to the Department's legislative activities. It ensures that DOT's legislative materials submitted to Congress adhere to Administration policy. This Office is responsible for assembling legislation proposals, ensuring they meet budgetary and other requirements within DOT, obtaining clearance by the Office of Management and Budget (OMB) and other affected agencies, and preparing the transmittal package for the Secretary. The Office provides comparable support for the preparation of testimony, views and letters, and draft Executive Orders, Presidential Memoranda and Proclamations.

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

The Office provides legal advice on emergency response, security, resilience and related services to ensure safety and continuity of operations for the transportation system in the face of increasing risks of disruption. This includes legal analysis to increase resilience of and response to cyberattacks like the attack on the Colonial Pipeline, pandemic and other health emergencies, hurricanes, terrorism, electric grid loss, wildfires, explosions, and catastrophic failure of infrastructure.

The Office leads the Department's activities implementing aviation consumer protection laws, including laws prohibiting discrimination by airlines in air travel on the basis of disability, race, color, national origin, religion, sex, and ancestry and laws prohibiting unfair and deceptive practices and unfair methods of competition. The Office also: (1) assists, educates, and protects aviation consumers by, among other things, reviewing and responding to consumer complaints about air travel, publishing the Department's monthly Air Travel Consumer Report, and ensuring

the Department's website contains clear, useful information about the rights of air travelers; (2) monitors compliance, conducts investigations, and enforces as appropriate for violations of aviation consumer protection, civil rights, and licensing requirements against airlines and ticket agents; and (3) assesses the need for and drafts aviation consumer protection and civil rights regulations.

The Office provides innovative approaches to problem-solving that control the cost of conflict and produce quicker, more durable outcomes. It facilitates early and direct interaction among parties by providing mediation, facilitation, and ombudsman services and provides training on dispute resolution and conflict management.

FY 2022 Anticipated Accomplishments:

The Office will provide legal support for the implementation of the Bipartisan Infrastructure Law (BIL) and President Biden's Executive Orders on a broad range of issues, including building back better infrastructure and economic relief, diversity and equity, Title VI and environmental justice, and Buy America. The Office will provide legal sufficiency reviews on more than 100 acquisition related documents and assist in the review and evaluation of more than 1,000 financial assistance applications and more than 100 financial assistance agreements. The Office also will review more than 125 public financial disclosure statements and 200 confidential financial disclosure statements as well as provide an annual ethics training program to more than 325 reporting individuals.

- The Office will process more than 300 international work items, including safety, security, science and technology agreements, code share and other aviation licensing applications, administrative adjudication of requests for antitrust immunity, and approximately 20 rounds of international negotiations.

- The Office will provide legal advice and support in over 100 new judicial cases; prepare 15 to 20 regulatory filings for proceedings before various independent regulatory agencies and participate in two to four hearings before such agencies; and provide advice to the OAs on numerous significant enforcement matters.

- The Office will coordinate Departmental and Administration-wide clearance of approximately 20 items of Congressional testimony by DOT witnesses, and follow-up transcript review and responses to Questions for the Record and conduct Department-wide clearance of approximately 700 policy documents (circulated by the Office of Management and Budget). The Office will provide drafting and technical assistance on fiscal and bill provisions in Congress in support of the Administration's relief, recovery and reauthorization priorities, including provisions on economic recovery, investment, climate, equity, and other matters.

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

- The Office will process hundreds of FOIA requests and appeals and continue to reduce DOT's FOIA backlog, targeting a ten percent reduction in pending requests.

- The Office will provide legal support for emergency response activities, including regular emergency preparedness exercises and 8-10 annual activations of the U.S. Government's Emergency Support Function No. 1 (Transportation), led by DOT.

- The Office will review for legal sufficiency approximately 25 grant agreements under the Small Community Air Service Development Program (SCASDP) and address legal issues as they arise from the administration of about 100 active SCASDP grants. The Office will handle between 150 and 250 items involving carrier economic authority received by DOT and approximately 50 major environmental documents.

- The Office will review aviation consumer complaints within two days of receipt by DOT; investigate civil rights complaints (disability and other discrimination) in a timely manner; and conduct investigations of U.S. and foreign air carriers regarding compliance with consumer protection and civil rights requirements. In addition, the Office will assess existing aviation consumer protection and civil rights regulations to determine whether they should be repealed, replaced, suspended, modified, or enhanced and provide air travelers with useful information on a broad range of issues affecting air travelers.

- The Office will review approximately 15 new loan applications and negotiate new loan agreements and review and resolve approximately 60 ongoing project issues, which will involve loan modifications and other legal actions.

- The Office will provide coaching and mediation of more than 25 two-party cases and at least two large group interventions and provide conflict management-related training as requested.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested and (4) inflation and other adjustments to base.

In addition, the FY 2023 request also includes **14 FTPs** at a cost of **$1.4 million**. The additional positions requested include a regulatory economist, a cybersecurity and emergency preparedness attorney, a Tribal law attorney, oversight attorneys, FOIA specialists, attorneys to address new programs providing new Federal financial assistance for infrastructure, and attorneys to address aviation economic and other issues. These positions are required to support the Department's efforts to enhance economic recovery, provide regulatory relief during emergencies and impose regulatory requirements to minimize cyber attacks, better protect consumers and improve competition and market entry, and ensure responsiveness to congressional oversight and investigations.

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

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

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

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

- Provide legal support for the resilience and preparation for cybersecurity, climate, security and other risks, as well as support in managing emergency response such as the Colonial Pipeline spill, hurricanes, pandemic response, or deSoto bridge closure.

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

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

- Conducting investigations of U.S. and foreign air carriers regarding compliance with aviation consumer protection and civil rights requirements.

- Continuing to implement a 10 percent reduction in DOT's FOIA backlog.

- Providing advice and legal counsel regarding actual or anticipated litigation and administrative proceedings in which DOT or one of its OA is or might become a party or has an interest.

- Coordinating the drafting of statutory changes to transportation statutes to effectuate the President's priorities for economic recovery, program transformation and equity, and climate change.

- Providing legal support for and facilitation of DOT's international programs.

- Providing legal support on a broad range of operational issues related to DOT's programs and strategic objectives.

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

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

The Office of Governmental Affairs advises the Secretary and senior leadership in the Department on congressional, intergovernmental, and Tribal matters and serves as the liaison between the Department of Transportation (DOT) and Congress and State, local, and tribal governmental entities. The Office works with other offices within the Department to ensure that legislative mandates are fully implemented by the Department. It also works with the White House, other Federal agencies, and Congress to fulfill the Secretary's and Administration's legislative priorities. This includes, among other things, working with Congress on Departmental priorities and working on significant legislation. In addition, the Office works with the Operating Administrations (OAs) to coordinate Congressional outreach activities related to Secretarial initiatives and programs. The Office also works with Presidential nominees for the Department who require confirmation by the Senate through the confirmation process.

FY 2022 Anticipated Accomplishments:

- The Office ensures that critical Congressional concerns are promptly addressed. These actions include but are not limited to responding to technical assistance for all types of transportation-related legislation, educating key Members on USDOT initiatives and fostering and promoting essential relationships between the Secretary and Members of Congress on a variety of transportation initiatives. The Office travels with the Secretary and other senior officials within DOT for mission-essential trips that may involve meetings with congressional, intergovernmental, and Tribal officials.

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

- The Office will also proactively convey core Departmental values and advocate on behalf of Departmental objectives to organizations related to governmental constituencies at the state and local levels.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested and (4) inflation and other adjustments to base.

Additionally, the budget requests **2 FTPs** for building out a professional government affairs team that will focus on congressional and intergovernmental matters.

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

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

Detailed Justification for the Office of Tribal Government Affairs

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

The Office of Tribal Government Affairs is a new Office directed by the Bipartisan Infrastructure Law that advises the Secretary and senior leadership in the Department on all Tribal matters and serves as the liaison between the Department of Transportation (DOT) and tribal governmental entities. The Office works with other offices within the Department to ensure that legislative mandates specific to Tribes are fully implemented by the Department. It also works with the White House, other Federal agencies, and Congress to fulfill the Secretary's and Administration's Tribal priorities.

This includes, among other things, working with Congress on Departmental priorities and working on significant legislation. In addition, the Office works with the Operating Administrations (OAs) to coordinate all Tribal outreach activities related to Secretarial initiatives and programs. The Office also works with Presidential nominees for the Department who require confirmation by the Senate through the confirmation process. The Office also provides Tribal specific testimony to congress as requested.

The Office of Tribal Government Affairs also oversees all Tribal engagement on behalf of the Secretary. This includes Tribal consultations for Department policy, project-level engagement from both Tribes and OAs, implementation of relevant Executive Orders, assisting OAs when needed, and responding to requests for trainings and technical assistance. The Office will also oversee the implementation of Tribal Transportation Self-Governance legislation and authorities within the DOT pursuant to 23 USC 207 and selected provisions of the Indian Self-Determination and Education Assistance Act (Public Law 93-638) and the implementation of Public Law 102-477 (Indian Employment, Training, and Related Services Demonstration Act of 1992). The Office of Tribal Governmental Affair's Tribal Transportation Self-Governance Program (TTSGP) serves as a national program providing information, technical assistance, and policy coordination in support of DOT's Tribal self-governance activities.

The Office of Tribal Government Affairs will act as the Agency Lead Negotiators (ALNs) to represent the Department during negotiations with eligible Tribes in the TTSGP. The ALNs will provide Tribes with self-governance information, assist Tribes in self-governance planning, support TTSGP technical assistance with the OAs, coordinate meetings between the Tribe and DOT during the negotiation process, and coordinate DOT's response to Tribal questions.

FY 2022 Anticipated Accomplishments:

The first TTSGP compact is planned to be awarded and the Office Tribal Government Affairs is in negotiations with its second compact. The Office is building out the capacity to take on the responsibilities of Public Law 477 and the Tribal consultation plan and policy will be published. Additionally, a Tribal consultation plan and policy for Native Hawaiian organizations is being created. Multiple consultations and listening sessions regarding Tribal opportunities under the Bipartisan Infrastructure Law (BIL) will take place.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested and (4) inflation and other adjustments to base.

Additionally, the budget requests **5 FTPs** for building out a professional Tribal government affairs team.

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

The Office of Tribal Government Affairs works with the White House, other Federal Agencies and Congress to fulfill the Secretary's and Administration's legislative priorities that will strengthen Tribal economies, improve infrastructure, advance equity, and combat climate change. The Office is a cornerstone to ensuring the Department's cohesive approach to a strong government-to-government relationship on behalf of American public with the 574 sovereign Federally Recognized Tribes. The Office will promote and support the Department and the OAs in complying with the Federal government's treaties, relevant MOU's & MOA's and laws specific to Indian tribes and in carrying out the Federal trust responsibility to Indian tribes.

Detailed Justification for the Office of the Assistant Secretary for Administration

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

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

In addition, the Assistant Secretary serves as the Chief Human Capital Officer (CHCO), the Deputy Chief Acquisition Officer, and the Chief Sustainability Officer (CSO). As CHCO, the Office is responsible for developing, coordinating and implementing Department-wide policy and programs with oversight in all areas of human capital management, including: employment and staffing, recruitment, human resource (HR) systems, compensation, benefits, executive and political resources, succession planning, labor and employee relations, workforce quality (e.g., work-life and special programs, disability resources support, drug testing), workforce development and learning, competency management, performance management, and diversity in accordance with applicable laws, regulations, and best business practices. The CHCO or Deputy CHCO also represents the Department of Transportation (DOT) on interagency committees and task forces in areas related to Departmental HR management and liaises with other agencies, including the White House, Congress, the Office of Management and Budget, and the Office of Personnel Management. As the CSO, the Assistant Secretary leads the Department's implementation of Executive Order 14008 and the Department's Sustainability Plan. The CSO also leads the Department's energy and resources efficiency initiatives, including implementation of energy and environmental laws and executive orders.

As Deputy Chief Acquisition Officer, the Office formulates Departmental policy, controls, and standards to implement new and innovative legislation and federal policy (e.g. serves as Senior Accountable Official for implementation of Category Management and as co-Program Management Improvement Officer responsible for implementation of the Program Management Improvement and Accountability Act (PMIAA, 2016). The Assistant Secretary also has delegated authority to ensure that procurement and financial assistance programs are in accord with applicable laws, regulations, and best business practices and to exercise procurement authority on behalf of the Office of the Secretary. As the Chief Sustainability Officer, the Assistant Secretary leads the Department's energy and resources efficiency initiatives, including implementation of energy and environmental laws, Executive Orders (EO) 13990 and 14008, and the comprehensive DOT Sustainability Plan (the Plan). Further, the Office provides policy and oversight to ensure compliance with applicable laws, promote standards, and gain efficiencies across the Department's real and personal property assets.

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

FY 2022 Anticipated Accomplishments:

The Departmental Office of Human Resources will:

- Implement a new remote work policy that takes a holistic and innovative look at the workplace to create more opportunities for Operating Administrations and employees to maximize flexible work arrangements. Using the best practices from the maximum telework posture during the pandemic, establish Departmental guidelines, templates, and interagency workgroups to address the myriad of challenges and opportunities in changing the way DOT employees work.

- Establish a Talent Team, as required in the President's FY22 budget, to support the sustained focus on hiring, including new assessment tools and initiatives to ensure a diverse applicant pool, and improved internship and hiring experience.

- Re-energize the Diversity and Inclusion program within DOT, including the establishment of a D&I council to share best practices throughout the Department, support the employee resource groups, and ensure diversity and inclusion are integrated with human resource priorities.

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

- Leverage Acquisition as a catalyst to modernize acquisition and procurement processes, integrate innovative acquisition practices, address acquisition workforce needs, and implement agile eBusiness technology solutions in support of reducing new vendor barriers to entry, building a more diverse business base, and furthering domestic market and capabilities.

- Manage Departmental procurement and financial assistance award reporting, ensuring compliance with OMB and **Data Act** requirements and leveraging best practices robust data management strategies, processes, and tools to ensure DOT's acquisition and financial assistance award data are reliable, accurate, current, and complete; to include **Federal Integrated Acquisition Environment and System for Award Management**, **DP2**, and **eGovernment initiatives.**

- Continue to strengthen the Department's culture supporting Executive Orders on Economic Relief, Social Equity, Buy America, Buy American, Climate and Sustainability by integrating awareness and training for DOT Acquisition Workforce members, and targeted oversight for existing and new DOT procurements.

The Energy and Resource Efficiency Program continues to improve the Department's climate change resiliency and sustainability through the implementation of strategic plans, tactical guidance documents and performance monitoring which supports the Administration's climate and resiliency priorities. Additionally:

- Ensure the resiliency of DOT mission critical buildings and operational assets to climate change impact by implementing environmentally sustainable practices and reducing pollution, energy footprint and other adverse environmental effects.
- Update policies and using dashboards, data reports and scorecards to monitor resiliency and sustainability performance to establish a culture of accountability across all levels of DOT.

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

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; and (3) inflation and other adjustments to base.

The Office of Administration is requesting **$2.65 million** in contract support funding to: develop space utilization recommendations to include data-driven guidance for workplace space optimization in a hybrid workforce; fully implement the Program Management Improvement Act to achieve small business goals, spend smarter, buy made in America services, provide credible past performance data, and better manage Procurement Administrative Lead times that will help provide predictability to the front-end of the contracting process; invest in eGovernment tools such as electronic contract files and oversight of the implementation of the Unique Entity Identifier that will open up government opportunities for individuals, organizations, and various academic and nonprofit entities to participate more fully in the transportation arena; implement a Program Management Training Academy to improve the Program and Project Management and oversight for the billions of dollars in Federal-directed contacts as well as financial assistance and grants; and for business support and to adopt data analytics to streamline the acquisition process and use data in decision making and centralized procurement reporting.

An additional **$1.3 million** and **13 FTPs** are being requested; 2 FTPs for Departmental oversight and accountability responsibilities; 2 FTPs for a Diversity and Inclusion Program Manager and an Industrial Organizational Psychologist; 2 FTPs are requested for the DOT HR Talent Team to support new tools and initiatives to focus on ensuring a diverse applicant pool and improved internship and hiring experience; 2 FTPs are requested to serve as key management single audit liaisons to support the Single Audit Program Manager and Accountable Official; 4 FTPs will support the Program Management Improvement and Accountability Act, three for the Grants/Financial Assistance community and one for the Contracting/Acquisitions community; and 1 FTP to support the environmental sustainability office to meet new statutory requirements such as the Energy Act of 2020.

An additional, **$1.3 million** is requested to implement the recommendations outlined in DOT's Diversity, Equity, Inclusion and Accessibility Strategic Plan. The support includes developing guidance and resource materials for hiring and other outreach efforts, disability services, dashboard development, competency gap assessment to promote pay equity, and new initiatives such as expanding employment opportunities for formerly incarcerated individuals, and centralized virtual accessibility services for external meetings.

An additional, **$1.2 million** is requested to support a DOT Secretary and President Management Fellows Internship Program that will focus on diversity, equity, and inclusion and prepare the Department for the next generation of employees.

The funding requested also includes additional funding in the base to support OST payments to the WCF and GSA rental expenses for all OST Offices. Of which, a total of $612 thousand of the rental increase is due to normal rent escalation and an increase of space to support the Administrative Law Judges.

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

The Office of the Senior Procurement Executive (OSPE) serves as a focal point for accountability as it relates to OA procurement performance and departmental guidance on grants, cooperative agreements, loans, and other transactions. Programs such as procurement management reviews (PMRs) and improving federal program management are key to achieving efficiencies and delivering value to the traveling public. The department's efforts to move common requirements into a managed spend status will result in fiscal and programmatic efficiencies. Procurement and financial assistance oversight and improved program management serve as enforcement tools that allow the OSPE to measure OA efforts and will result in savings to the Department.

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

DOHRM will continue efforts in ensuring the traveling public remains safe through workforce and strategic planning which emphasizes the recruitment, hiring, and retention of employees in mission critical occupations, such as engineers, analysts, and safety inspectors; and new emerging occupational areas, including cybersecurity, data scientists, and positions focused on automated technologies. DOHRM will also continue to ensure the drug and alcohol testing program for DOT are performed at least annually. These efforts are integral to maintain the public's access to safe, reliable transportation. DOHRM will remain engaged in several Office of Personnel Management initiatives to enhance workforce planning and development within DOT and across the federal government. Some of these initiatives include hiring process and labor relations teams, performance management and recognition workgroups, the PMIAA work group, Cybersecurity Workforce Act Group, and Talent Team initiative. These efforts contribute to the increased effectiveness and efficiency in providing HR support throughout the Department and as well as government-wide efforts.

The Office of the Assistant Secretary will implement targeted initiatives in the areas of building energy and vehicle fleet management. The Energy and Resource Efficiency Program will lead

engagement with each Operating Administration to achieve reductions in GHG emissions, energy, water use and to reduce costs through operational efficiencies across the Department's 30 million square feet of building assets. These initiatives are aligned with goals of EO 14008 and will enhance the Department's operational resilience to climate change, reduce GHG emissions and strengthen the agency's ability to carry out its mission.

The Office will continue to provide policy and oversight across the Department's 6,000 vehicles, with a continued focus toward 'right sizing' the fleet. Departmental fleet policy will be updated to reflect process improvements and procedures to better evaluate and document the business purpose and need for Operating Administration vehicles. This careful stewardship and evaluation of building energy and vehicle utilization will optimize DOT's ability to focus resources toward critical mission requirements that impact citizens daily.

The Office will research, analyze, and draft security policy to ensure DOT compliance with government regulations and standards in the areas of safety, security, and protection of DOT personnel, information, facilities, and other assets. The Office will continue its focus on the implementation of the Controlled Unclassified Information (CUI) order as required by EO 13556 and 32 CFR 2002. The Office will continue to participate in multiple policy boards, advisory committees, and implementation working groups. These actions will help assure the American Public that DOT personnel, property, and information is protected from external and internal threats.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 CR (with IIJA Oblim)	**$126,174**	**478**	**452**
Adjustments to Base			
Annualization of Prior Pay Raises	$618	0	0
Annualization of Positions Previously Requested	$3,075	0	22
FY 2023 Pay Raises	$3,168	0	0
Compensable Day(s) Change	-$370	0	0
GSA Rent	$612	0	0
Working Capital Fund Changes	$2,823	0	0
FERS Changes	$157	0	0
Award Changes	$82	0	0
Inflation and Other Adjustments to Base	$18,553	47	34
Subtotal Adjustments to Base	$28,718	47	56
FY 2023 Baseline Estimate	**$154,892**	**525**	**508**
Program Changes (+/-):	$29,527	62	35
FY 2023 Pres. Budget	**$184,419**	**587**	**543**

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	2,000	2,000	5,000
TOTAL	2,000	2,000	5,000
STAFFING			
Direct FTPs	0	0	0
Direct FTEs	0	0	0

Appropriations Language

FINANCIAL MANAGEMENT CAPITAL

For necessary expenses for upgrading and enhancing the Department of Transportation's financial systems and re-engineering business processes, $5,000,000, to remain available through September 30, 2024.
Note.—A full-year 2022 appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of P.L. 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

Program and Performance Statement

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

Detailed Justification for Financial Management Capital

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

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

In addition to complying with government-wide reporting requirements, many FMC initiatives will better position DOT and its customers to improve oversight over federal funds and comply with Federal laws, regulations and standards, including:

- Digital Accountability and Transparency Act (DATA Act);
- Federal Financial Management Improvement Act;
- Federal Managers' Financial Integrity Act;
- Federal Information Security Management Act;
- Foundations for Evidence-Based Policymaking Act of 2018 ("Evidence Act")
- Office of Management and Budget, Treasury, and other government-wide requirements; and
- Government Accountability Office standards for internal controls in the Federal Government.

The FMC budget will support the continued execution of requirements related to DATA Act compliance, full implementation of G-Invoicing, investments in process improvements and technology to support risk mitigation and continuing the implementation of DOT's modern financial data analytic architecture. The data analytic architecture enhances DOT's capabilities to collect, govern, integrate, and share financial data across multiple technologies and platforms. In addition, these funds will be used to support other critical changes to DOT practices, including system upgrades, to address any changing requirements in the area of financial management, including implementation of the Bipartisan Infrastructure Law (BIL).

FY 2022 Anticipated Accomplishments:

- DOT will continue to evaluate process and system changes and develop a change management strategy to accomplish department-wide implementation of G-Invoicing. This change management strategy will include significant business process re-engineering efforts as well as end user training for full adoption of the G-Invoicing system and additional vendor integration solutions.

- DOT will complete data quality improvements through an assessment of existing business processes to identify opportunities to reduce reporting inconsistencies and provide greater transparency. In addition, DOT will assess financial assistant award descriptions and implement procedures to achieve improved quality.

- DOT will implement a modern financial data analytic architecture to continuously monitor the full lifecycle of funds distribution and provide additional financial assurances when encountering a national crisis or significant increase in Departmental funding. In addition, the analytical tools will aid in risk-based decision making, accurately monitor and report on risks, funds status, and include the flow of funds to program recipients.

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

FY 2023 funding will allow for continued enhancements to existing systems, and improved data quality and standardization in accordance with evolving DATA Act requirements and the President's Management Agenda priorities. Maintaining alignment with these important initiatives provides a more accurate picture for the American public to see how the DOT is spending their tax funds via www.usaspending.gov.

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

The Office of Budget and Programs is continuing to transform its business operations to leverage financial data analytics to deliver accurate data for senior leadership decision making and to maintain compliant financial reporting. Mitigating risk related to providing assurances over operations and financial reporting through investments in process improvements and technology to maintain strong financial management and internal controls across DOT continue to be high priorities along with transparent, accurate, and timely financial reporting; best shared practices; and continued focus on bolstering financial data analytics skills of DOT core workforce in Budget, Accounting, Systems, and Financial Management.

Implementation of BIL will require the Department to make information technology improvements and deliver an enterprise-wide reporting capability that will facilitate DOT oversight and fiduciary monitoring of the resources provided in this legislation. This capability will assist the Department in delivering consistent financial reporting and analysis across the funding lifecycle, reducing reliance on manual processes and ad hoc data requests. The capability will also support DOT's internal controls and continue maturation of our enterprise risk management capabilities.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 CR (with IIJA Oblim)	**$2,000**	**0**	**0**
Adjustments to Base			
Annualization of Prior Pay Raises	$0	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2023 Pay Raises	$0	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Award Changes	$0	0	0
Inflation and Other Adjustments to Base	$3,000	0	0
Subtotal Adjustments to Base	$3,000	0	0
FY 2023 Baseline Estimate	**$5,000**	**0**	**0**
Program Changes (+/-):	$0	0	0
FY 2023 Pres. Budget	**$5,000**	**0**	**0**

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	7,444	7,444	10,896
Travel	50	50	50
Other Costs	2,106	2,106	9,608
Programs	-	-	-
TOTAL	9,600	9,600	20,555
STAFFING			
Direct FTPs	52	52	70
Direct FTEs	31	45	61

Appropriations Language

OFFICE OF CIVIL RIGHTS

For necessary expenses of the Office of Civil Rights, $20,555,000, to remain available until September 30, 2024.

Note.—A full-year 2022 appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of P.L. 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

Program and Performance Statement

The Departmental Office of Civil Rights (DOCR) plays a central leadership role in ensuring that the Department fulfills its goals of advancing equity and opportunity for all individuals and communities throughout its internal and external programs. DOCR provides oversight, guidance, and expertise on civil rights policy, programming, and enforcement for the Office of the Secretary, the Deputy Secretary, and Departmental Executives Management on measures designed to promote equity, diversity, and inclusion in its activities and its workforce.

Detailed Justification for the Office of Civil Rights

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

The Departmental Office of Civil Rights (DOCR) plays a central leadership role in ensuring the Department of Transportation (DOT) fulfills its goals of advancing equity and opportunity for all individuals and communities throughout its internal and external programs. DOCR provides oversight, guidance, and expertise on civil rights policy, programming, and enforcement for the Office of the Secretary (OST) and its Operating Administrations (OAs). DOCR is responsible for advising the Secretary, the Deputy Secretary, and Departmental Executive Management on measures designed to promote equity, diversity, and inclusion in its outward facing activities and in its workforce. Statutes DOCR enforces include: Titles VI and VII of the Civil Rights Act of 1964, as amended; Sections 501 and 504 of the Rehabilitation Act of 1973, as amended; Title II of the Americans with Disabilities Act (ADA) of 1990; the Equal Pay Act of 1963; the Age Discrimination in Employment Act of 1967; and the Genetic Information Nondiscrimination Act of 2008.

DOCR establishes agency-wide priorities to focus OA efforts and resources at the national level to achieve proactive compliance with laws and regulations that prohibit discrimination in Federally operated and assisted transportation programs. DOCR provides transportation equity and access oversight on investigations and compliance reviews and provides technical assistance to recipients to achieve voluntary compliance with applicable statutes that prohibit discrimination by recipients of Federal funding. DOCR also conducts extensive outreach to civil rights stakeholders throughout the country to ensure that communities impacted by transportation infrastructure decisions have meaningful engagement in the decision-making process and that DOT recipients understand and implement all civil rights requirements correctly and in a fair and equitable manner.

DOCR is the lead office for the Department's Disadvantaged Business Enterprise (DBE) Program, DOT's largest initiative for ensuring that women- and minority- owned small businesses can participate fully in selected DOT funded contracting activities. DOCR establishes priorities to focus OA efforts and resources to address national or regional DBE requirements and challenges. DOCR advises other OST and OA offices, congressional staff, State and Local governments, and constituents on DBE program compliance matters; provides authoritative interpretations of DBE regulations; and drafts clarifying policies, guidance, and regulations. DOCR also adjudicates appeals filed by applicant firms that were certified or denied DBE or Airport Concessions DBE (ACDBE) certification, and engages in internal and external policy development, communication, and outreach for the DBE program.

DOCR also conducts Equal Employment Opportunity (EEO) investigations, oversees the OAs' EEO counseling and alternative dispute resolution programs, issues final agency decisions on EEO complaints, ensures compliance with all Equal Employment Opportunity Commission regulations and orders, and leads the Department in its efforts toward becoming a model EEO workplace.

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

FY 2022 Anticipated Accomplishments:

- Lead and direct implementation of Department-wide policy and program initiatives undertaken as part of the DOT Equity Task Force established pursuant to the Executive Orders on Racial Equity; Gender Identity and Sexual Orientation; Gender Equity and Equality; Diversity, Equity, Inclusion and Accessibility in the Federal Workforce; and Historically Black Colleges or Universities (HBCUs).

- Continue implementation of the Departmental Orders on Title VI and Environmental Justice through oversight and technical assistance ensuring that projects and activities financed by DOT successfully provide equal access regardless of race, color, or national origin.

- Oversee implementation of the Departmental Reasonable Accommodation Order and provide technical assistance to OAs. Implement reasonable accommodation procedures for the Office of the Secretary. Socialize and encourage use of opportunities to improve the recruitment, hiring, and professional development of persons with disabilities at DOT.

- Conduct initial program evaluations of OA external civil rights programs to ensure a Department-wide consistent and proactive approach to compliance that includes meaningful stakeholder engagement with communities that need enhanced equity and

access attention in terms of transportation planning and delivery of transportation projects. Develop external civil rights-related toolkits, trainings, and other supportive documents to internal and external stakeholders.

- Develop updated guidelines on meaningful public engagement, launch community of practice to support implementation.

- Conduct assessments of DOT workforce participation and applicant data for people of color at DOT and offer recommendations for improvement. Provide recommended enhancements to DOT and OA recruitment programs and policies and implement new recruitment programs to conduct focused outreach to women and people of color; partner with DOHR to address recruitment, hiring and retention of women, Hispanic, Asian American Pacific Islander and persons with disabilities.

- Lead newly established DOT Gender Justice team to develop DOT gender justice strategy and action plan to advance the National Strategy for Gender Equity and Equality.

- Update DOCR's website to be more transparent, accurate, and publicly useful.

- Create DOT Civil Rights data dashboard that displays quantifiable information and statistics required for Leadership to make informed business decisions.

- Lead DOT coordination and implementation of HBCU PARTNERS Act requirements, including DOT HBCU Action Plan.

- Obtain DOT Secretarial and General Services Administration approval to reestablish the DOT Advisory Committee on Transportation Equity. Select and appoint committee membership and launch the inaugural meeting.

- Enhance and increase performance capabilities to effectively process EEO complaints and issue final agency decisions in accordance with regulatory timeframes. Upgrade DOCR EEO tracking system, which supports DOT's model EEO program efforts and supports production of the Annual Federal Equal Employment Opportunity Statistical Report (Form 462).

- Launch new on-line DBE training developed in coordination with the National Highway Training Institute and the Federal Highway Administration, deploying a certificate-based platform that will properly train certification application review staff.

- Complete final rule based on FY 2022 notice of proposed rulemaking for DBE and ACDBE program (RIN 2105-AE98) that will recraft core firm eligibility provisions; incorporate procedural flexibilities; add new program elements to foster greater usage; update personal net worth standards; add new data collection metrics; modernize counting of the supply transactions; and correct technical errors.

- Help OAs fulfill anticipated equity directives contained in the surface reauthorization efforts and administrative priorities, including, but not limited to building and implementing a DBE program or comparable small business assistance initiative for recipients of funds administered by the Federal Railroad Administration (FRA).

- Perform trend analyses using information submitted by the OAs and recipients to tabulate DBE participation rates; assess whether recipients reach their DBE participation requirements; and gauge the number of DBE certifications across the country.

- Deploy improved public-facing ineligibility database of DBE and ACDBE denial and decertification actions by state agencies and, if applicable DOCR appeal decisions; database will assist recipients who need to search and rely on DOCR's decisions as an official form of DOT guidance.

- Conduct community of practice training events in conjunction with the OAs on issues critical to IIJA implementation; including proper DBE goal setting and commercially useful function analysis.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested; and (4) inflation and other adjustments to base.

In addition, $7 million and 12 FTPs are requested to implement the Diversity, Equity, Inclusion and Accessibility (DEIA) Executive Order requirements and to fund positions dedicated to the following initiatives:

- Expand the role of DOT's Advisory Committee on Transportation Equity by increasing the number of stakeholder committee meetings and designing and implementing a Transportation equity tour that provides new and more extensive public engagement opportunities.
- Establish equity program processes, practices, reporting, oversight and compliance requirements; establish program performance metrics.

- Conduct public engagement and empowerment activities, including preparing toolkits, developing and deploying training, and establishing translation, interpretation and accessibility tools and support.
- Establish an Economic Justice strategy that includes enhanced support for DBE implementation, outreach and technical assistance.
- Implement civil rights compliance and enforcement requirements for Titles VI and VII, ADA, and the Rehabilitation Act.
- Launch DEIA strategy with proactive EEO activities.

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

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

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 CR (with IIJA Oblim)	**$9,600**	**52**	**45**
Adjustments to Base			
Annualization of Prior Pay Raises	$61	0	0
Annualization of Positions Previously Requested	$450	0	3
FY 2023 Pay Raises	$313	0	0
Compensable Day(s) Change	-$37	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$87	0	0
FERS Changes	$0	0	0
Award Changes	$3	0	0
Inflation and Other Adjustments to Base	$3,078	6	7
Subtotal Adjustments to Base	$3,955	6	10
FY 2023 Baseline Estimate	**$13,555**	**58**	**55**
Program Changes (+/-):	$7,000	12	6
FY 2023 Pres. Budget	**$20,555**	**70**	**61**

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	1,714	1,714	1,981
Travel	20	20	20
Other Costs	1,192	1,192	1,857
Programs	1,788	1,788	3,236
TOTAL	4,714	4,714	7,094
STAFFING			
Direct FTPs	13	13	14
Direct FTEs	10	13	14

Appropriations Language

SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH

For necessary expenses for small and disadvantaged business utilization and outreach activities, $7,094,000, to remain available until September 30, 2024: Provided, That notwithstanding section 332 of title 49, United States Code, such amounts may be used for business opportunities related to any mode of transportation: Provided further, That appropriations made available under this heading shall be available for any purpose consistent with prior year appropriations that were made available under the heading "Office of the Secretary—Minority Business Resource Center Program".

Note.—A full-year 2022 appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of P.L. 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

Program and Performance Statement

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

Detailed Justification for the Small and Disadvantaged Business Utilization and Outreach Program

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

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

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

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

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

The SBTRCs help prepare small businesses to compete for transportation-related contracts and help the Department implement its Bonding Education Program (BEP). The BEP assists small businesses in obtaining bonds or increasing their existing bonding levels that can help them qualify to participate on transportation projects. The FY 2023 budget will utilize the requested funds to continue the program at the current level of support provided to stakeholders assisted by the SBTRC program and fully fund existing SBTRCs.

OSDBU administers the Women In Transportation Initiative (WITI) via our SBTRCs. Paid Internships are utilized to increase the participation of women in the transportation industry and prepare young women to become our nation's future leaders by creating ladders of opportunity and small businesses' economic competitiveness through careers, internships, strategic partnership, and education.

FY 2022 Anticipated Accomplishments:

In FY 2022, OSDBU will continue to focus on effective outreach activities to increase small business participation in DOT procurements. Specifically, OSDBU will:

- Support the Department's effort to implement Executive Order 13985 on advancing Racial Equity and support for underserved communities through the federal government;
- Sponsor DOT events to ensure that small and minority owned businesses are prepared to compete and perform for DOT contracts and subcontracts;
- Utilize web-based training and information sessions to provide valuable information and options to small businesses during and after the pandemic response;
- Host and collaborate with other federal agencies in outreach activities to enhance the capacity of Historically Black Colleges and Universities (HBCU) and Minority Serving Institutions to compete and perform in DOT contract opportunities;
- Promote and market the Small Business Innovation Research (SBIR) program in DOT sponsored events to assist Operating Administrations increase small business awareness and participation in the program;
- Promote and develop small business subcontractors by providing developmental assistance designed to help these businesses succeed on bidding for infrastructure projects;
- Maintain the DOT Procurement Opportunity Forecast to assist small businesses market their products and services to the Department;
- Sponsor Surety Bonding webinars that will provide small businesses in attendance information on the importance of securing bonding, DOT's Bonding Education Program, and how entrepreneurs can access our program and other federal resources;
- Host Capital Access webinars that will provide small businesses information on raising the capital needed to participate on projects and grow their business
- Promote the inclusion of women in transportation careers and entrepreneurship opportunities through the Women In Transportation Initiative

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the out-year effects of the 2022 proposed 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; and (3)

annualization of positions previously requested; and (4) inflation and other adjustments to base.

The FY 2023 budget request includes an additional $1.9 million and 1 FTP. Of this amount, $1.5 million is for technical assistance associated with meeting equity goals in DOT small business awards by increasing technical assistance to small and minority businesses in underserved communities. The additional funds will increase in cooperative agreements.

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

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

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 CR (with IIJA Oblim)	**$4,714**	**13**	**13**
Adjustments to Base			
Annualization of Prior Pay Raises	$12	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2023 Pay Raises	$60	0	0
Compensable Day(s) Change	-$7	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$77	0	0
FERS Changes	$0	0	0
Award Changes	$1	0	0
Inflation and Other Adjustments to Base	$275	0	0
Subtotal Adjustments to Base	$418	0	0
FY 2023 Baseline Estimate	**$5,132**	**13**	**13**
Program Changes (+/-):	$1,962	1	1
FY 2023 Pres. Budget	**$7,094**	**14**	**14**

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

	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
TPR&D FUNDING LEVELS			
Personnel Compensation and Benefits	7,312	7,312	8,747
Travel	150	150	150
Other Costs	888	888	3,615
Programs	-	-	-
Subtotal, TPR&D	8,350	8,350	12,512
IIPIC FUNDING LEVELS			
Personnel Compensation and Benefits	646	646	1,694
Travel	25	25	25
Other Costs	328	328	5,417
Programs	-	-	-
Subtotal, IIPIC	1,000	1,000	7,136
GRAND TOTAL	9,350	9,350	19,648
TPR&D STAFFING			
Direct FTPs	33	33	37
Direct FTEs	31	32	37
IIPIC STAFFING			
Direct FTPs	7	7	19
Direct FTEs	6	7	13
TOTAL STAFFING			
Direct FTPs	40	40	56
Direct FTEs	37	39	50

Appropriations Language

TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT

(INCLUDING TRANSFER OF FUNDS)

For necessary expenses for conducting transportation planning, research, systems development, development activities, and making grants, $19,648,000, to remain available until expended: Provided, That of such amount, not less than $7,136,000 shall be for necessary expenses of the Interagency Infrastructure Permitting Improvement Center (IIPIC): Provided further, That there may be transferred to this appropriation, to remain available until expended, amounts transferred from other Federal agencies for expenses incurred under this heading for IIPIC activities not related to transportation infrastructure: Provided further, That the tools and analysis developed by the IIPIC shall be available to other Federal agencies for the permitting and review of major infrastructure projects not related to transportation only to the extent that other Federal agencies provide funding to the Department in accordance with the preceding proviso.

Note.—A full-year 2022 appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of P.L. 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

Program and Performance Statement

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

Detailed Justification for Transportation Planning, Research and Development

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

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

The TPR&D programs coordinate national, international, and multimodal transportation issues, analyze safety data and the value of transportation safety improvements, and study how to increase the economic efficiency, competitiveness, and impact of transportation. In addition, TPR&D supports regulatory modernization associated with environmental review and permitting, enables the safe testing and deployment of automated vehicles (AV) in our Nation's transportation systems, and works to advance innovation, including non-traditional and emerging transportation (NETT) technologies.

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

Resources in this appropriation support the following cross-modal programs and policy priorities:

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

IIPIC collects and reports data for projects published on the Permitting Dashboard in accordance with the Fixing America's Surface Transportation (FAST) Act and reporting standards issued by the Office of the Secretary (OST) that establish metrics for permitting and environmental review of infrastructure projects tracked on the Permitting Dashboard. Additionally, IIPIC is continuing to develop new policy and technology improvements to enhance synchronized/coordinated environmental review and permitting among agencies, promote shared National Environmental Policy Act documents to satisfy all environmental reviews and permits, and provide easily accessible project information to inform and engage the public. This includes identifying additional best practices associated with early and equitable stakeholder engagement as well as facilitating advanced planning for mitigation of project impacts, including reduction of greenhouse gas emissions and use of landscape or watershed-level approaches to achieve improved environmental and community outcomes. The Program requires continued funding to support future activities to implement reforms to improve interagency coordination and track priority projects, It also develops and promotes tools and best practices to ensure that the burdens or negative impacts of transportation infrastructure are not disproportionately born by disadvantaged communities. This includes

funds necessary to maintain, operate, and enhance the Permitting Dashboard. Funding for the IIPIC and the Permitting Dashboard will enable the continuation of work to ensure a more equitable and transparent infrastructure permitting and review process.

Climate Change Center

In direct support of the research, data and analysis, and evidence-building efforts required to inform decisions and to meet DOT goals in response to the Climate Crisis, and to support the goals of Executive Order (EO) 14008, "Tackling the Climate Crisis at Home and Abroad", DOT has reinstituted and expanded the work of the DOT Climate Change Center. The Center has established a cross-modal coordination capacity to address policy and research objectives related to climate change. The Center:

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

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

National Roadway Safety

Roadway deaths account for more than 90 percent of all transportation-related fatalities and have been above 35,000 annually since 2015. Traffic fatalities are the biggest transportation safety issue facing this Administration, and the status quo is unlikely to yield significant progress. In January 2022, the Department released the National Roadway Safety Strategy (NRSS), which is a roadmap for addressing the national crisis in roadway fatalities and serious injuries. The funds would support safety policy development and coordination of the specific Departmental actions identified in the NRSS that cross Operating Administration program areas, allow a robust engagement with external stakeholders through a coordinated Call to Action directed at the roadway community, enhance OST's ability to successfully implement legislation and regulations focused on safety, and perform safety analyses that further policy development in cross-cutting roadway safety issues of interest to the Administration and Congress. The outcome would be a strengthened, coordinated effort that will improve the Department's ability to have a concerted, well-supported effort that will change the status quo for advancing national roadway safety.

Pedestrian, Bicyclist, and Micromobility

More and more Americans are using multiple forms of transportation such as walking, biking, and other small, low-speed devices such as scooters to address their travel needs. Pedestrian, bicyclist, and micromobility policy activities and program areas are distributed throughout the Department, yet there is no dedicated funding source that holistically advances national policy development and coordination for these alternative modes of transportation. This would provide funds to advance pedestrian, bicyclist, micromobility policy and program activities and applied research that cut across the authorities and programs of the Operating Administrations. The funding will enhance OST's ability to leverage walking, biking, and micromobility policy activities to support our Departmental objectives related to safety, planning, equity, climate change, and technological innovation.

Technology and Innovation

Due to advancements in artificial intelligence, compute capabilities, sensing systems, connectivity and other core fundamental technologies, DOT has been increasingly approached by innovators where it is not feasible for DOT to accurately assess their technology readiness level (TRL), quantitatively assessing their safety claims, and assess its interoperability within the transportation system. The Virtual Open Innovation Collaborative Environment for Safety (VOICES) platform, seeded by DOT, has the potential to enable the future of transportation by allowing high-definition virtual testing of concept vehicles and guidance systems that provides confidence in how these systems will work in the real world. Its greatest capability however, is to combine multiple modes of transportation and industry participants in the same virtual environment while protecting the intellectual property of each participant so that the federal, state and local observers are able to learn how systems will interoperate in given environments and conditions that must be addressed by policy and regulation.

Racial Equity and Justice40

Equitable access to transportation is a civil right. It touches every part of American lives and makes the American Dream possible: getting people and goods to where they need to be, directly and indirectly creating good-paying jobs, providing access to jobs, education and healthcare, and helping improve quality of life. The Department stresses a holistic approach and framework to addressing equity and systemic barriers to receiving benefits and opportunities. Department is implementing the Executive Order on Advancing Racial Equity and Support for Underserved Communities Through the Federal Government (EO 13985), as well as areas of the Justice40 initiative (i.e., climate justice and economic justice) to deliver meaningful and measurable benefits to disadvantaged and underserved communities.

International Affairs

The U.S. Department of Transportation is integral in advancing domestic and international climate ambitions as set out in: A) the U.S. renewed membership in the United Nations Framework Convention for Climate Change (known as the Paris Agreement), B) the Biden Administration's international climate agenda set forth at the Leaders' Summit on Climate, and

C) EO 14008: Tackling the Climate Crisis at Home and Abroad and EO 14027: Establishment of the Climate Change Support Office. DOT is mandated to incorporate climate into our Department's international strategy. The Office of International Transportation and Trade will develop multimodal international climate policies, strategies, programs, technical assistance, and interagency partnerships to reduce transport emissions and foster the decarbonization of the global transportation sector. The Department aims to regain its global leadership role in bilateral and multilateral fora, including ICAO, IMO, OECD/International Transportation Forum (ITF), G7, G20, and the UN World Forum for the Harmonization of Vehicle Regulations (WP.29).

The Department's international climate strategy includes the development of a compendium. The program funding will support the collection of information and data analysis of: (1) Country-level transportation emission inventories, using data at the modal level; (2) Country-level, modally disaggregated transportation Nationally Determined Contributions (NDCs); and (3) Multilateral, regional and national standards supported by the U.S. that promote ambition and integrity in mitigating transportation sector emissions; and (4) DOT and USG mitigation capabilities and expertise in the transportation sector, cross-tabulated with opportunities for American jobs.

The Safe Skies for Africa (SSFA) Program supports the Biden-Harris Prosper Africa Build Together Campaign by showcasing American leadership in aviation management and technologies. It creates an important air safety, security, climate and environment policy dialogue between the United States and African countries through USG technical assistance, capacity building, and export of U.S. goods and services to counter other nations' influence. SSFA program funding will target African states and regional economic communities of interest to the U.S government and private sector, and work with them to foster and sustain internationally compliant aviation operations (namely ICAO standards). The program will advance Departmental safety, climate, and economic strategic objectives, and the overall USG priority of increasing market access for the aviation sector. State Department, NSC, OMB and other Departments and Agencies are fully supportive of DOT's SSFA program and engagement in Africa.

Aviation Data Research, Integration, and Analytics to Support Competition and Regional Connectivity:

The Office of Aviation Analysis engages in research, integration, analysis, and presentation of aviation industry data to support existing programs and economic policy matters, including antitrust immunity cases, joint venture reviews, state of the airline industry updates for senior officials. The focus of the Office's efforts will be in three areas: (1) Ongoing MITRE FFRDC contract work for econometrics; (2) SABRE aviation data tools, and (3) Aviation data modernization technical implementation funding, working with OST-R's Office of Airline Information. This funding supports ongoing work that is the architecture of the Department's analytical function for competitive, labor, environmental, and aviation industry commercial issues.

FY 2022 Anticipated Accomplishments:

In FY 2022, DOT will continue to collaborate with State and local entities – with a particular focus on jurisdictions with lower analytic capacity – to enhance safety analysis through the development of tools that identify, quantify, and/or further explain safety risk. OST is working in close collaboration with the Federal Highway Administration (FHWA) and the National Highway Traffic Safety Administration (NHTSA) to ensure the work performed complements rather than duplicates their existing program activities. The outcome will be the transfer of safety data tools and knowledge so that State and local jurisdictions have the information they need to make safety decisions, and the DOT Safety Data Initiative (SDI) will leverage the convening power of OST to scale and disseminate best practices. Additionally, OST's launch of the NRSS will provide specific actions to carry out across the Department over the next 3 years, and initiate dialogue with external stakeholders a framework for roadway safety with the goal of eliminating deaths and serious injuries on our nation's public roadways.

These safety investments in applied policy research using new methods and new data sources will catalyze an elevated safety message from the Department. Research questions developed through an analytic agenda setting will be used to incorporate new data sources to explore solutions to pressing potential safety focus areas such as intersections, precursors to crashes, non-motorized safety, and non-fatal injury crashes. An ancillary benefit will be the identification of opportunity areas to improve data governance, data quality, and data standards, as well as the intersectionality with cybersecurity that impacts transportation safety.

Based on DOT's innovation principles and upcoming innovation priorities and activities, the Department will continue actions to further enable the safe testing and integration of AVs into our Nation's transportation systems aligned with congressional mandates and the Administration's innovation agenda. In FY 2022, The Department expects to continue to collect data from the Automated Driving System Demonstration Grant award winners that can be used for research purposes to better inform Departmental analysis.

In FY 2022, the Department will use the appropriated funds to the NETT Council to implement holistic issues that touch on multi modal-innovation, including non-traditional and emerging transportation technologies and projects. The NETT Council, or subsequent DOT body, will ensure the Department's innovation initiatives considers key factors, such as interoperability, cyber security, privacy to address policy, security, and economic concerns shared by the Department and industry. The Department will consider any significant public comments and incorporate congressional mandates to inform the future work and direction of the NETT Council to support the Administration's priorities.

In FY 2022, the Department will have initiated additional enhancements to the permitting dashboard. These include expansion of Geo-spatial visualization capabilities to support project management and tracking, and to improve project transparency. Additional enhancements include the development of an updated user interface, additional development of real-time reporting on performance metrics, in addition to the on-going synchronization with other Federal agency systems to streamline reporting. Work in line with the administration's initiatives and policies related to Climate Change and Environmental Justice will also occur.

In FY 2022, the Department will complete a study of the resilience and capacity of supply chains for the American transportation industrial base, including the role of freight transportation and logistics in ensuring the Nation's supply chain competitiveness. The Department's will also continue to strengthen its implementation of Made in America laws to maximize the use of domestic products in Federally-assisted transportation infrastructure projects and initiate the development of tools to analyze the impact of transportation investment on the economy and the workforce.

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

In FY 2022, the Department will expand tools and methods to measure greenhouse gas emissions at project and regional levels. These tools and methods will grow beyond existing tools to capture upstream and downstream emissions.

The Department will also undertake research on strategies to reduce greenhouse gas emissions from transportation sources. This includes a partnership with the Department of Energy to develop a transportation decarbonization blueprint ("glidepath" to net-zero) for transportation sources of greenhouse gas emissions. This will include research on the viability of alternative fuels and effective strategies for electrification of vehicle fleets.

The Department will also build on its research to develop resilient infrastructure. In FY 2022, the Department expects to have prepared a draft of guidance and technical assistance supporting climate resilience and the Federal Flood Risk Management Standard that is set forth under Executive Order 13690, which was re-issued in FY 2021. The Department also plans to initiate the development of a data set and a screening tool that would enable DOT project sponsors to identify disproportionate risks of climate change that could impact low income and disadvantaged communities.

In FY 2022, the Department expects to increase its proactive engagement by DOT leadership of India's Minister of Civil Aviation to facilitate a closer working relationship between the two agencies. Demand for nonstop travel between the United States and India has grown in recent years and is expected to surge as international air travel rebounds in the coming years. U.S. passenger carriers project a 200% increase in services by 2022, including nonstop flights to four Indian gateways. India's aviation market is already the 7th largest in the world and is projected to grow to 520 million travelers per year by 2037. Considering this growth, there is significant potential to leverage India's growing importance in the sector as an aviation leader, both regionally and from a global perspective, and particularly in countering Chinese influence. The Department will be seeking to play an active and key role with the Indians as part of this process.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested; and (4) inflation and other adjustments to base.

In addition to baseline adjustments, the request includes an additional $6 million and **12 FTPs** for the following initiatives:

Advancing Transportation Safety Policy and Economic Research:

The request includes **$200 thousand** to fund transportation economic research. Building on prior efforts in the OST and the DOT OAs, this funding will be devoted to exploring methods to better quantify benefits that may not be fully captured in traditional benefit-cost analysis, including benefits to non-highway users; improvements in the quality of transportation services and facilities; and externalities associated with transportation investment.

The request also includes funding to support a reinvigorated, coordinated effort to advance national roadway safety programs, projects, and policies. Our top priority is to make sure America has the safest transportation system. The United States has one of the highest traffic fatality rates in the industrialized world, double the rate in Canada and quadruple that in Europe – across cities, suburbs, and rural areas. These efforts will galvanize the Department and our external stakeholder community to build momentum to implement the Administration's ambitious road safety posture.

Additionally, the request includes funds to design and implement key activities in support of the FY 2022-26 DOT Strategic Plan. The Department requires independent technical research, policy design, and implementation support to bolster DOT's policy analysis, approach and outcomes. The funds will enable OST to develop policy initiatives and perform critical analyses to support the Administration's priorities.

This request includes **$200 thousand** to continue funding the MITRE operated Center for Advanced Aviation System Development (CAASD) Federally Funded Research and Development Center (FFRDC) econometric study to evaluate fare and non-fare impacts of various international aviation competition policies with a focus on antitrust immunity and joint venture effects on passengers. The results will benefit the competitive dynamics of the international airline market by providing the Department with valuable insights into the results of policy decisions being made on an ongoing basis.

This request includes **$100 thousand** for continued access to third-party analytical tools and data used to evaluate international market dynamics. These third-party tools enable accurate evaluation of metrics important to the Office's mission of ensuring a healthy and competitive aviation industry. The SABRE aviation data analytical tools provide a comprehensive view of all international markets and pricing where this data is unavailable from data collected by the Department. Other analytical modules provide sophisticated estimation of flight and network revenue impacts to proposed network changes such as those that occur during airline mergers or

antitrust immunity arrangements. The tools also contain an airline schedule data module that has proven invaluable for providing real time policy responses such as those required during the COVID-19 pandemic.

Aviation and International Affairs:

Requests **$500 thousand** to advance aviation economic research and strategic international priorities in the Arctic, Africa, India, and multilateral engagement.

Arctic Engagement Program

Support workshops and engagement that would lead an effort to identify challenges facing Arctic transportation infrastructure, its resilience, and ability to serve economies and communities. Outcomes include enhanced cooperation in support of the development of green transportation infrastructure, engineering and technical standards, and resilient and adaptive approaches to address impacts of climate change for Arctic and Northern communities. These engagements would include discussions with Arctic States, including Greenland, as well as third parties to identify ways to be a preferred partner for development in the region as well as a resource for capacity building and technology transfer.

Safe Skies for Africa Program (SSFA)

Support the Biden-Harris Prosper Africa Build Together Campaign by showcasing American leadership in aviation management and technologies. It creates an important air safety, security, climate and environment policy dialogue between the United States and African countries through USG technical assistance, capacity building, and export of U.S. goods and services to counter other nations' influence. SSFA program funding will target African states and regional economic communities of interest to the U.S government and private sector, and work with them to foster and sustain internationally compliant aviation operations (namely ICAO standards). The program will advance Departmental safety, climate, and economic strategic objectives, and the overall USG priority of increasing market access for the aviation sector. State Department, NSC, OMB and other Departments and Agencies are fully supportive of DOT's SSFA program and engagement in Africa.

U.S.-India Aviation Relationship

Support the advancement of the U.S.-India aviation relationship. Demand for nonstop travel between the United States and India has grown in recent years and is expected to surge as international air travel rebounds in the coming years. Given India's tendency to implement problematic policies and regulations that undermine our Open Skies relationship – and its own aviation growth – DOT leadership will proactively engage India's Minister of Civil Aviation to facilitate a closer working relationship between the two agencies. The Department will establish a formal dialogue to develop a greater understanding of Indian regulatory practices, create an avenue to better address U.S. carrier operational issues in India, and encourage India to enact green aviation policies. The Assistant Secretary for Aviation and International Affairs would

lead the dialogue, which would entail one high-level meeting annually and other meetings often held on the margins of other events. High-level dialogues with other foreign partners have historically facilitated more efficient resolution of bilateral issues and will advance Departmental safety, climate, and economic strategic objectives, and the overall USG priority of increasing market access for the aviation sector.

Multilateral Engagement

Support the Office of the Secretary (OST) to bolster its engagement within the International Civil Aviation Organization (ICAO), Asia Pacific Economic Cooperation (APEC), the Association of Southeast the future of international liberalization and climate as priority areas for engagement. 1 FTP (requested with SE funding) would represent the Department at ICAO on key economic policy issues that are increasingly addressed at ICAO alongside the organization's historical focus on safety and security matters. An OST representative with an understanding of the nexus between economic aviation policy and climate issues would add unique and much-needed perspective to USG policy positions at ICAO.

Interagency Infrastructure Permitting Improvement Program:

The Infrastructure Permitting Improvement Program requests an additional **$5 million**, a portion of which will support **12 FTPs** for significant new activities and program responsibilities that require further improvement to the permitting dashboard, additional staff resources to implement new program and project responsibilities, and funding to support new subject area priorities such as climate change, electric vehicles, equity, and environmental justice. These activities and responsibilities will necessitate a substantial increase in funding from prior years and include:

- **$1.5 million and 3 FTPs** to expand the capability of the Permitting Dashboard by adding a new GIS capacity to increase technical and visualization capabilities for environment and permitting reviews. This new capacity would improve visualization of project impacts, enhance decision-making abilities and make project decisions more transparent. In addition to existing capabilities that support project management and tracking, it would also allow for the integration of real-time reporting on performance metrics. These metrics would include impacts and benefits to disadvantaged and environmental justice communities. It would also include climate change metrics such as emissions of greenhouse gases and resiliency of project infrastructure to climate change and extreme weather events. It would also enhance efficiencies by adding synchronization with other federal agency tools. This new technology and the supporting staff resources will provide additional transparency and accountability in support of EO 13990 and 14008, by providing enhanced capabilities to identify impacts on environmental justice communities and to address climate change mitigation and resilience.

- **$1.8 million and 5 FTPs** to pilot a new permitting improvement coordination program for priority projects that support the administration's priorities identified above. Under

this program, a liaison would be assigned to priority projects to make the environmental review process more efficient and effective. Priority projects would include projects that provide benefits to or reduce historic impacts on disadvantaged communities, or projects that would reduce greenhouse gas emissions. The liaison would enhance coordination, resolve conflicts and trouble shoot issues that otherwise might cause delays. They would also ensure that environmental justice communities are heard and that mitigation measures to reduce greenhouse gas emissions are fully explored. This program would help advance Administration priorities as set forth in Executive Orders 14008 and 13990. The requested positions will provide direct support and tools, including developing and conducting training; creating shared databases; conducting research on cross-cutting environmental issues; to fund environmental field assessments; to evaluate related grant proposals; and to pay for travel to project locations. These liaisons would facilitate the environmental reviews for three projects on average.

- **$1.7 million and 4 FTPs** to implement new program area responsibilities, including an expanding role in addressing climate change. This would cover responsibilities associated with reducing greenhouse gas emissions to meet the Administration's goal of net-zero carbon emissions by 2050 and promoting a transition to electric vehicles in support of this goal. It would also include responsibilities to work with the Operating Administrations to incorporate climate resilience into transportation projects and plans. Finally, it would include providing support for the activities of the DOT Climate Change Center. These new climate change responsibilities would require support from an additional **4 FTPs**, and approximately $1.14 million in research and contract support to develop climate change policies and a strategic plan using the best available information. The four new positions would include a director of the Climate Change Center, and experts on modeling greenhouse gas emissions; engineering analysis of resilience measures; planning and land use strategies to reduce greenhouse gas emissions; and electric vehicle technology and charging infrastructure. These positions would be primarily responsible for establishing Department climate change policy; coordinating with the General Counsel's office in drafting legislation and regulations; developing guidance and best practices; and conducting outreach with community and transportation stakeholders. Their role would be to provide support to senior leadership in the Office of Policy on complex policy issues related to climate change.

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

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

- Providing enhanced analysis of the benefits and costs of proposed infrastructure investments to improve the allocation of scarce funding resources to their most valuable uses;

- Ensuring the efficient operation of the Nation's transportation and logistics system to support the movement of workers and goods and ensure the resiliency of our

industrial supply chains;

- Improving the surface transportation community's ability to save lives by implementing the National Roadway Safety Strategy, converting information into useful tools through data integration, and using advanced analytics;

- Implementing strategies, based on data, to work with transportation stakeholders to further understand "investment benefits" that can be targeted for disadvantaged and underserved communities;

- Ensuring fair and efficient air service to the American public by providing oversight over proposed airline partnerships, airline mergers and acquisitions;

- Maintaining dialogue with foreign countries regarding aviation competition matters and assuring the fairness of competition between domestic and international air carriers;

- Identifying international best practices that will increase efficiency or reduce costs to improve safety, build infrastructure, identify new technology or reduce regulatory burden;

- Ensuring regulatory and standards compatibility with U.S. trading partners to ensure that U.S. firms are not locked out of foreign markets by regulatory barriers;

- Identifying aspects of the U.S. transportation system that might be enhanced to increase international exports and provide economic benefits;

- Expanding engagement with foreign governments to assess the weaknesses and vulnerabilities in the global transportation supply chain, critical infrastructure, and their impacts on our U.S. economic security.

- Developing a compendium to support the collection of information and data analysis of: (1) Country-level transportation emission inventories, using data at the modal level; (2) Country-level, modally disaggregated transportation Nationally Determined Contributions (NDCs); and (3) Multilateral, regional, and national standards and policies supported by the U.S. that promote ambition and integrity in mitigating transportation sector emissions; and (4) DOT and USG mitigation capabilities and expertise in the transportation sector, cross-tabulated with opportunities for American jobs;

- Developing and implement a comprehensive Arctic strategy that (1) promotes U.S. interests, including sustainable trade and economic growth in the region, (2) ensures DOT has a seat at the table in broader interagency policy making on Arctic issues, especially in implanting the U.S. National Strategy for the Arctic Region and climate agenda, (3) advances Departmental and U.S. policy priorities at key international meetings, and (4) positions the DOT as a trusted partner in

the region; and

- Prioritizing strategic engagement with India, ameliorating U.S. carrier operational issues in India, and encouraging India to enact green aviation policies through a high-level dialogue.

- Ensuring transparency and equity in environmental reviews and decision making for transportation projects funded or approved by the Department of Transportation.

- Identifying strategies consistent with the best science to achieve a viable path forward to net-zero carbon emissions by 2050, in line with the U.S. commitment under the Paris Agreement and the Administration's goals.

- Protecting transportation infrastructure from the impacts of climate change by promoting the creation of resilient transportation systems and protecting the traveling public by ensuring adequate adaptation and redundancy to allow for safe travel even during natural disasters or other emergencies.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 CR (with IIJA Oblim)	**$9,350**	**40**	**39**
Adjustments to Base			
Annualization of Prior Pay Raises	$60	0	0
Annualization of Positions Previously Requested	$300	0	2
FY 2023 Pay Raises	$306	0	0
Compensable Day(s) Change	-$35	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$165	0	0
FERS Changes	$0	0	0
Award Changes	$3	0	0
Inflation and Other Adjustments to Base	$3,500	4	3
Subtotal Adjustments to Base	$4,298	4	5
FY 2023 Baseline Estimate	**$13,648**	**44**	**44**
Program Changes (+/-):	$6,000	12	6
FY 2023 Pres. Budget	**$19,648**	**56**	**50**

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	6,042	6,042	6,423
Travel	808	808	288
Other Costs	13,150	13,150	13,289
Programs	980,000	980,000	1,480,000
NII Infrastructure Project Assistance - Supplemental Advance Appropriation	-	1,000,000	1,000,000
Local and Regional Project Assistance Grants - Supplemental Advance Appropriation	-	1,500,000	1,500,000
TOTAL	1,000,000	3,500,000	4,000,000
STAFFING			
Direct FTPs	7	7	7
Direct FTEs	6	7	7

APPROPRIATIONS LANGUAGE

NATIONAL INFRASTRUCTURE INVESTMENTS

(INCLUDING TRANSFER OF FUNDS)

For necessary expenses to carry out sections 6701 and 6702 of title 49, United States Code, $1,500,000,000 to remain available until expended: Provided, That the Secretary shall apply to projects under this heading the Federal requirements that the Secretary determines are appropriate based on the purpose of the program established under those sections and the Federal requirements applicable to comparable projects supported by other Department of Transportation financial assistance programs, including domestic preference requirements, contracting opportunities for small and disadvantaged businesses, and labor practices: Provided further, That the Secretary may retain up to 2 percent of the amounts made available under this heading, and may transfer portions of such amounts to the Administrators of the Federal Aviation Administration, the Federal Highway Administration, the Federal Transit Administration, the Federal Railroad Administration and the Maritime Administration to fund the award and oversight of grants and credit assistance made under the National Infrastructure Investments program.

Note.—A full-year 2022 appropriation for this account was not enacted at the time the Budget was prepared; therefore, the Budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of Public Law 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

NATIONAL INFRASTRUCTURE INVESTMENTS

[For an additional amount for "National Infrastructure Investments", $12,500,000,000, to remain available until expended, for necessary expenses to carry out chapter 67 of title 49, United States Code, of which $5,000,000,000 shall be to carry out section 6701 of such title and $7,500,000,000 shall be to carry out section 6702 of such title: *Provided*, That, of the amount made available under this heading in this Act to carry out section 6701 of title 49, United States Code, $1,000,000,000, to remain available until expended, shall be made available for fiscal year 2022, $1,000,000,000, to remain available until expended, shall be made available for fiscal year 2023, $1,000,000,000, to remain available until expended, shall be made available for fiscal year 2024, $1,000,000,000, to remain available until expended, shall be made available for fiscal year 2025, and $1,000,000,000, to remain available until expended, shall be made available for fiscal year 2026: *Provided further*, That, of the amount made available under this heading in this Act to carry out section 6702 of title 49, United States Code, $1,500,000,000, to remain available until September 30, 2026, shall be made available for fiscal year 2022, $1,500,000,000, to remain until September 30, 2027, shall be made available for fiscal year 2023, $1,500,000,000, to remain available until September 30, 2028, shall be made available for fiscal year 2024, $1,500,000,000, to remain available until September 30, 2029, shall be made available for fiscal year 2025, and $1,500,000,000, to remain available September 30, 2030, shall be made available for fiscal year 2026: *Provided further*, That such amount is designated by the Congress as being for an emergency requirement pursuant to section 4112(a) of H. Con. Res. 71 (115th Congress), the concurrent resolution on the budget for fiscal year 2018, and pursuant to section 251(b) of the Balanced Budget and Emergency Deficit Control Act of 1985.] *(Infrastructure Investments and Jobs Appropriations Act.)*

Program and Performance Statement

The National Infrastructure Investments grant programs provide awards on a competitive basis for surface transportation infrastructure projects. Under this heading the Local and Regional Project Assistance program, known as the Rebuilding American Infrastructure with Sustainability and Equity program, authorized under 49 U.S.C. 6702, provides competitive grants for highway, transit, rail, and other projects that will have a significant local or regional impact and improve transportation infrastructure. Also under this heading the National Infrastructure Project Assistance program, authorized under 49 U.S.C. 6701, provides competitive grants for largescale highway, transit, intercity passenger rail, freight, and other projects likely to generate national or regional benefits.

Detailed Justification for the National Infrastructure Investments Grant Programs

What is this program and what does this funding level support?

Consistent with the Bipartisan Infrastructure Law (BIL), this submission supports both the local and regional infrastructure improvements program (Sec 6702) delivered through the Rebuilding American Infrastructure with Sustainability and Equity (RAISE) discretionary grant program as well as the new National Infrastructure Project Assistance (Sec 6701) discretionary grant program known as the Mega grants program that funds large scale projects. Together, these programs provide a unique opportunity for DOT to invest in the Nation's surface transportation infrastructure, including roads and highways, public transportation facilities, freight and passenger rail, and port infrastructure. These national, regional, and local infrastructure grant programs align with the Department's goals on creating good paying jobs, improving safety, applying transformative technology, addressing climate change, and advancing racial equity.

Since 2009, DOT has received more than 9,700 grant applications requesting more than $175 billion from all 50 States, Puerto Rico, Guam, American Samoa, the District of Columbia, the Northern Mariana Islands, and the Virgin Islands for the RAISE program alone. Between 2009 and 2021, the RAISE program has provided a combined $9.9 billion to 770 projects in all 50 states, the District of Columbia, Puerto Rico, Guam, and the Virgin Islands. The overwhelming number of applications demonstrates the public's demand for improved infrastructure across the entire surface transportation system and provides an alternative to the traditional framework for infrastructure investment. RAISE grants help DOT fund projects in rail, transit, roads, and ports throughout the entire Nation – improving safety, state of good repair, economic competitiveness, quality of life, environmental sustainability, innovation, partnership, as well as mobility and community connectivity. The addition of the large-scale Mega grants program will allow for or accelerate the completion of mega-projects that are too large or complex to be delivered by existing programs.

RAISE grants do not focus on particular levels of government or project type, but on impactful local and regional outcomes. Among the outcomes, RAISE grants and the new Mega Program support projects that consider climate change and environmental justice in their planning and are designed with specific elements to address climate change impacts. These grants also seek to invest in projects that either proactively address racial equity and barriers to opportunity or redress prior inequities and barriers to opportunity.

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

FY 2022 Anticipated Accomplishments:

In FY 2022, OST will:

- Continue to execute RAISE grant agreements to fully obligate $882.1 million granted to 56 FY 2019 recipients, $986 million granted to 68 FY 2020 recipients; and $983 million granted to 90 FY 2021 recipients;
- Oversee implementation of projects previously obligated under the program, including closeout and performance monitoring for an increasing number of completed projects;
- Execute all funding including soliciting applications and implementing a competitive selection process for FY 2022 grants by the statutory deadline; and
- Implement streamlined application submission processes to ease burdens and reduce the costs for applicants.
- Develop and implement the new Mega grants program to address mega infrastructure projects that are too large to be efficiently delivered by existing DOT grant programs.

Funding Changes:

The FY 2023 budget request, which is consistent with the Bipartisan Infrastructure Law (BIL), reflects $1.5 billion for projects eligible under either the new Mega grants program or the RAISE grants program, giving DOT the increased flexibility to support the most meritorious projects based on applications submitted. The request also reflects the BIL-provided advance appropriation of $1.5 billion for RAISE and $1 billion for Mega. Additionally, this submission includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; and (3) inflation and other adjustments to base.

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

The request of $1.5 billion to support projects eligible under either the RAISE or Mega grants programs will strengthen the ability of the Department to award these funds to projects that align best with the programs' evaluation criteria. Under this proposal, the Department would solicit applications for both programs and have greater flexibility to support the most meritorious projects compared to if a discrete amount of funds were provided to each program. This request would not impact administration of advance appropriations for Mega and RAISE.

The Department's projections for the number of applications submitted and amount of funding requested for the RAISE program has a certain degree of uncertainty due to the increased attention and interest generated by passage of the BIL. The Department has also conducted additional targeted outreach to a broader group of stakeholders and potential first-time applicants.

The new and highly anticipated National Infrastructure Project Assistance program has no past precedent to use as a baseline for projecting the number of applicants and the amount of funding to be requested. The program's megaproject distinction, in that 50 percent of each funding round must go to projects over $500 million in total project costs, creates an acute amount of uncertainty especially when it comes to the amount of funding requested. This large size in project costs naturally limits the potential number of projects that might be eligible for submission, but the amount of Federal funding needed for these projects and that which will be requested could be substantial in size compared to any past rounds of discretionary grant funding conducted out of the Office of the Secretary.

With this uncertainty, the ability to be flexible in allocating the budget request between NII and the National Infrastructure Project Assistance programs allows the Department the ability to be more responsive to applicants with meritorious projects with the potential for oversubscription in one or both programs.

National Infrastructure Investments grants, however, assist local sponsors in obtaining support for innovative projects designed to move people and goods, regardless of transportation mode or jurisdictions involved. Some examples of the diverse portfolio of funded projects include: replacement of a dirt road with a bridge in a rural county to address flooding that isolated communities; a city's multi-modal path connecting employment centers, universities, parks, and housing; regional transit centers and electric bus facilities; project components with innovative safety technology including fiber and communication infrastructure for dynamic message signs and weather warning systems; highway caps and urban connectors; new marine terminals; and freight rail rehabilitation projects.

National Infrastructure Investments grants enable DOT to examine a broad array of projects on their merits to help ensure projects create good paying jobs, improve safety, apply transformative technology, address climate change, and advance racial equity so that taxpayers receive the highest value for every dollar invested. Also, consistent with the BIL, the program will allow funding of tribal roads maintained by the Bureau of Indian Affairs. By challenging potential grantees to present their strongest plans, DOT receives requests with lower project costs and strongly articulated cases for project benefits. Upon award, DOT attaches a funding deadline, thereby incentivizing grantees' timely and cost-effective project delivery. Once awarded, grantees must leverage performance measurements and outcome tracking to demonstrate to the taxpayer the attainment of proposed benefits and is used to inform best practices for future rounds and projects.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 Enacted	**$3,500,000**	**7**	**7**
Adjustments to Base			
Annualization of Prior Pay Raises	$43	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2023 Pay Raises	$218	0	0
Compensable Day(s) Change	-$24	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$112	0	0
FERS Changes	$0	0	0
Award Changes	$3	0	0
Inflation and Other Adjustments to Base	-$352	0	0
Subtotal Adjustments to Base	$0	0	0
FY 2023 Baseline Estimate	**$3,500,000**	**7**	**7**
Program Changes (+/-):	$500,000	0	0
FY 2023 Pres. Budget	**$4,000,000**	**7**	**7**

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	2,707	2,707	2,640
Travel	75	75	75
Other Costs	2,218	2,218	1,135
Programs	-	-	-
TOTAL	5,000	5,000	3,850

STAFFING			
Direct FTPs	16	16	19
Direct FTEs	11	16	16

Appropriations Language

NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU

For necessary expenses of the National Surface Transportation and Innovative Finance Bureau as authorized by 49 U.S.C. 116, $3,850,000, to remain available until expended: Provided, That the Secretary may collect and spend fees, as authorized by title 23, United States Code, to cover the costs of services of expert firms, including counsel, in the field of municipal and project finance to assist in the underwriting and servicing of Federal credit instruments and all or a portion of the costs to the Federal Government of servicing such credit instruments: Provided further, That such fees are available until expended to pay for such costs: Provided further, That such amounts are in addition to other amounts made available for such purposes and are not subject to any obligation limitation or the limitation on administrative expenses under section 608 of title 23, United States Code.

Note.—A full-year 2022 appropriation for this account was not enacted at the time the Budget was prepared; therefore, the Budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of Public Law 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

Program and Performance Statement

This appropriation supports the administrative expenses of the National Surface Transportation and Innovative Finance Bureau (known as the Build America Bureau). The Bureau fulfills a number of responsibilities, including providing assistance and communicating best practices and financing and funding opportunities to entities eligible under DOT infrastructure finance programs; administering the application process for DOT infrastructure finance programs, private activity bonds under 26 U.S.C. 142(m), and the Rural and Tribal Assistance Pilot Program; reducing uncertainty and delays related to environmental reviews and permitting, as well as project delivery and procurement risks, and costs for projects financed by the DOT infrastructure finance programs; increasing transparency and the public availability of information regarding projects financed by DOT infrastructure finance programs; and promoting best practices in procurement. The fees in this account cover the costs of services of expert firms in the field of municipal and project finance to assist in the underwriting and servicing of Federal credit instruments.

Detailed Justification for the National Surface Transportation and Innovative Finance Bureau

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

The National Surface Transportation and Innovative Finance Bureau (Bureau) facilitates targeted Federal investments in infrastructure by streamlining the Department of Transportation's (DOT) innovative finance programs. The Bureau provides technical assistance and facilitates innovative best practices focused on expediency in procurement, environmental review, permitting, project delivery, and monitoring. The Bureau provides expert advice on project finance policy issues that require expertise in innovative finance initiatives, public-private partnerships (P3s), concession agreements, and accelerating large transportation projects. The Bureau directly supports efforts to rebuild and modernize the Nation's transportation infrastructure by leveraging State, local, and private funds.

The Bureau is managed by an Executive Director. The Council on Credit and Finance (the CCF) reviews innovative finance applications and makes recommendations to the Secretary regarding their approval, and reviews previously approved projects on a regular basis. There are three core components of the Bureau:

- An Outreach and Project Development Office that educates project sponsor on how they can best combine DOT credit, funding programs, and innovative project delivery approaches such as P3s, and then offers project-specific technical assistance to support informed pursuit of the relevant opportunities.
- A Credit Programs Office that provides financing for eligible projects seeking assistance under the Transportation Infrastructure Finance and Innovation Act (TIFIA) program, Railroad Rehabilitation and Improvement Financing (RRIF) program, and/or the Private Activity Bonds (PABs) program, and includes a Credit Underwriting Team, a Risk Management Team, and a Portfolio Management Team; and
- The Infrastructure For Rebuilding America (INFRA) Grants Office, which will provide guidance on the INFRA application process and will administer the application process for INFRA grants.

Combined, the Bureau currently manages a TIFIA and RRIF loan portfolio of over $30 billion, and has supported over $140 billion in overall project costs, including over 40 projects that are still under construction, and expects to close at least $5 billion to $10 billion in project loans annually going forward.

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

- Provide one-stop technical assistance to help project sponsors navigate the regulatory and financing process more efficiently;

- Develop new products and services to expand utilization of DOT credit programs to rural and non-traditional borrowers, such as underserved communities and States that have not historically sought DOT financial assistance;

- Provide long-term loans with attractive rates and terms that are a critical component of many large transportation infrastructure project financings, including most P3s;

- Provide assistance and communicate best practices as well as financing and funding opportunities to entities eligible under DOT infrastructure finance programs;

- Develop and promote best practices for innovative financing and P3s, which aligns infrastructure development with entities best suited to provide sustained and efficient investment;

- Implement strategies to expedite access to financing and funding for critical infrastructure projects;

- Increase transparency and the public availability of information regarding projects financed by the Department's infrastructure finance programs; and

- Promote best practices in procurement for projects financed by the Department's infrastructure finance programs by developing benchmarks related to procurement.

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

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

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

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

- Supporting rural infrastructure projects that promote safety, climate change and racial equity goals

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

FY 2022 Anticipated Accomplishments:

- Based on its active pipeline, the Bureau expects to close 15-20 TIFIA loans for nearly $11 billion and 3-4 RRIF loans totaling $600 Million supporting infrastructure investment projects from around the country in various stages of the Bureau's creditworthiness review process. Like the Bureau's current portfolio, the pipeline of projects includes a diverse mix of rural and urban projects, P3s and public projects, as well as projects in States using TIFIA and RRIF for the first time.

- The Bureau expects to hire a permanent Risk Management Team lead to enhance monitoring of the Bureau's expanding portfolio risk and strategically manage risk of its credit programs, especially existing loans in the portfolio. This unit will consolidate risk management efforts and expand existing tasks to cover macro and micro risks similar to functions carried out by commercial banks.

- The Bureau continues to work on establishing the first round of Regional Infrastructure Accelerators to begin this demonstration/pilot program aimed at helping speed the development of projects eligible for Bureau credit.

- The Bureau is finalizing plans that will better focus activities on expanding the Bureau's portfolio asset classes such as Transit oriented development, airport, port, rail, fleet electrification, electric car charging station, the adoption of transformative technology, and loans to state infrastructure banks (SIB) for rural and underserved communities.

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

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

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

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

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

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested; and (4) inflation and other adjustments to base.

In addition, the FY 2023 request includes **3 FTPs** with no additional funding to support the ongoing administration the application process for several DOT finance programs.

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

The Bureau provides financing that is important for the modernization of the nation's transportation infrastructure. The Bureau provides efficient processing of private, State and local requests for DOT financing assistance, which leverages State, local, and private funds; accelerates national infrastructure construction; and increases the number of infrastructure projects that are built. The INFRA program supports a merit-based approach to provide grant funding to nationally and regionally significant infrastructure projects that support the movement of freight and people across the nation.

The Bureau's customer-focused approach to infrastructure financing and funding supports responsible stewardship of taxpayer funds. The Bureau advances the development and streamlined delivery of projects in the highway, rail, transit and port sectors, which, along with Transit Oriented Development, significantly increase national economic development. It can also help deliver transformative projects in a timely manner by educating project sponsors on how they can take advantage of Bureau's credit programs to finance their transformative projects at low interest rate and flexible terms and condition. For example, a bundle of electric charging stations or electric buses can be delivered by a loan through Bureau and paid for over time to create economy of scale efficiency and save on cost escalation.

The Bureau is developing products and strategies aimed at improving access to DOT credit programs for rural and underserved communities, smaller borrowers, more diverse project types and new States/municipalities to increase the depth of the loan portfolio. In addition, the ROUTES initiative helps these less experienced applicants navigate grant and credit opportunities throughout the Department and identify which funding opportunities best meet their needs.

The Bureau is currently working on developing standard operating procedures that will help to expedite the review and approval of critical infrastructure projects that support economic vitality, address climate change and environmental justice, promote racial equity, leverage federal funding, increase innovation and the adoption of transformative technology, and incentivize performance and accountability. The Bureau's infrastructure finance expertise drives the formulation and promotion of new and innovative strategies to address the nation's critical infrastructure needs, including promotion of programs and projects that attract private sector capital through P3s.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 Enacted	**$5,000**	**16**	**16**
Adjustments to Base			
Annualization of Prior Pay Raises	$19	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2023 Pay Raises	$96	0	0
Compensable Day(s) Change	-$11	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$178	0	0
FERS Changes	$0	0	0
Award Changes	$1	0	0
Inflation and Other Adjustments to Base	-$1,433	0	0
Subtotal Adjustments to Base	-$1,150	0	0
FY 2023 Baseline Estimate	**$3,850**	**16**	**16**
Program Changes (+/-):	$0	3	0
FY 2023 Pres. Budget	**$3,850**	**19**	**16**

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	22,000	22,000	48,100
Programs	-	-	-
TOTAL	22,000	22,000	48,100
STAFFING			
Direct FTPs	0	0	0
Direct FTEs	0	0	0

Appropriations Language

CYBER SECURITY INITIATIVES

For necessary expenses for cyber security initiatives, including necessary upgrades to network and information technology infrastructure, improvement of identity management and authentication capabilities, securing and protecting data, implementation of Federal cyber security initiatives, implementation of enhanced security controls on agency computers and mobile devices, and related purposes, $48,100,000, to remain available until September 30, 2024.

Note.—A full-year 2022 appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of P.L. 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

Program and Performance Statement

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

Detailed Justification for Cyber Security Initiatives

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

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

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

For the DOT enterprise, the FY 2023 request supports hardware, software, services, and continued operation and enhancement of the DOT Continuous Diagnostics and Mitigation (CDM) program, capabilities aligned to the Cyber Security Framework (CSF), integration of privacy and transportation sector cybersecurity-focused initiatives in support of DOT's mission-oriented cybersecurity, privacy, and information protection responsibilities, and cybersecurity support and services provided to DOT business and mission stakeholders. The funding will extend and enhance implementation of core identity and attribute-based access control services for agency systems, configuration of DOT's modernized network for operational and security automation, and implementation of "zero trust" capabilities. A portion of the funds will be used for continued maintenance and operation of software, hardware, and services acquired in FYs 2013-2022 until those expenses can be transitioned to the Working Capital Fund (WCF).

The Cyber Security Initiative investment supports Federal cybersecurity priorities and objectives, which include targeted investment in people, processes, and technologies at strategic, operational, and tactical levels for improved effectiveness of the Department's integrated Cybersecurity and Privacy Risk Management programs, reduction of agency cybersecurity and privacy risks, and maturation of DOT's implementation of the NIST CSF. It also funds hardware, software, maintenance, services, and contract labor in support of the Department's implementation and operation of CDM capabilities including: hardware asset management; software asset management; vulnerability management; security settings management; and core credential and privilege management capabilities and enhancements to credential, privilege, and access management capabilities to better protect Departmental mission and business systems.

FY 2022 Anticipated Accomplishments:

The FY 2022 funds will support actions required by Executive Order 14028, *Improving the Nation's Cybersecurity*, and the Federal Zero Trust Strategy including creating DOT's zero trust architecture, adoption of multi-factor authentication and data encryption for data at rest and in transit, expansion of visibility and logging, deployment of endpoint detection and protection capabilities, and enhancements to enterprise cloud systems security.

DOT will improve cybersecurity and privacy risk management capabilities, address open audit recommendations, and continue to remediate gaps and vulnerabilities associated with the Administration priorities and evolving cybersecurity threats. DOT will continue to utilize the CSI appropriation to acquire and deploy tools, services, and capabilities to improve DOT's practices and compliance with federal requirements.

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

DOT's strategy is to evaluate investments made under the CSI appropriation and identify, where supportable, opportunities to transfer those that have achieved full maturity and operational capability to the Department's working capital fund. Once transferred ongoing operations and maintenance, and eventual replacement, will be distributed among DOT customers using the transferred services and capabilities, and funded from their Component-specific appropriations according to applicable cost models.

Funding Changes:

The Department of Transportation (DOT) Office of the Chief Information Officer (OCIO) is requesting an $7.9 million increase above the FY 2022 request for FY 2023.

- $600 thousand for expansion of capability for DOT vulnerability disclosure program (VDP) to cover public-facing websites / applications and use of a DHS/CISA VDP shared-service.
- $1.2 million for expansion of and support to cyber security and privacy risk management automation capabilities.
- $600 thousand for expansion of usage of federal multifactor authentication shared services.
- $5.5 million for necessary enhancements to support maturation of DOT SOC capabilities.

To improve the Department's Cybersecurity posture, this request will continue enhancements and investment in DOT Cybersecurity capabilities, expand cybersecurity and privacy risk management capabilities, integrate DOT's Zero Trust Architecture implementation and upgrade the FAA security operations (SOC) capabilities.

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

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

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 CR (with IIJA Oblim)	**$22,000**	**0**	**0**
Adjustments to Base			
Annualization of Prior Pay Raises	$0	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2023 Pay Raises	$0	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Award Changes	$0	0	0
Inflation and Other Adjustments to Base	$18,133	0	0
Subtotal Adjustments to Base	$18,133	0	0
FY 2023 Baseline Estimate	**$40,133**	**0**	**0**
Program Changes (+/-):	$7,967	0	0
FY 2023 Pres. Budget	**$48,100**	**0**	**0**

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	3,946	3,946	9,757
Travel	95	95	170
Other Costs	2,274	2,274	4,258
Programs	16,485	16,485	33,962
TOTAL	22,800	22,800	48,147
STAFFING			
Direct FTPs	36	36	65
Direct FTEs	23	29	55

Appropriations Language

Federal Funds

RESEARCH AND TECHNOLOGY

For necessary expenses related to the Office of the Assistant Secretary for Research and Technology, $48,147,000, of which $33,718,000 shall remain available until expended: Provided, That there may be credited to this appropriation, to be available until expended, funds received from States, counties, municipalities, other public authorities, and private sources for expenses incurred for training: Provided further, That any reference in law, regulation, judicial proceedings, or elsewhere to the Research and Innovative Technology Administration shall continue to be deemed to be a reference to the Office of the Assistant Secretary for Research and Technology of the Department of Transportation.

Note.—A full-year 2022 appropriation for this account was not enacted at the time the Budget was prepared; therefore, the Budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of Public Law 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

Program and Performance Statement

This appropriation is responsible for coordinating, facilitating, reviewing and ensuring the non-duplication of the Department of Transportation's (DOT) research, development, and technology portfolio, as well as enhancing the data collection and statistical analysis programs to support datadriven decision-making and evidence building. The Office of the Assistant Secretary for Research and Technology is also responsible for civil Positioning, Navigation, and Timing (PNT) and DOT Spectrum Management, the Highly Automated Systems Safety Center of Excellence, and the Climate Change Center. This appropriation oversees and provides direction to the following programs and activities:

The Bureau of Transportation Statistics (BTS) manages and shares statistical knowledge and information on the Nation's transportation systems, including statistics on freight movement, geospatial transportation information, and transportation economics. BTS is funded by an allocation from the Federal Highway Administration's Federal-Aid Highways account.

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

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

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

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

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

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

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

- Advances climate and equity innovation, technology development, and breakthrough knowledge.
- Conducts oversight of the OA research portfolios on behalf of DOT leadership.
- Conducts research and facilitates multi-modal research collaboration.
- Fosters T2 through partnerships within the Department and with external private sector and university partners.
- Provides useful statistics and analyses to decision-makers as they establish policy and address policy-related issues.

OST-R's programs are measured by their ability to provide high-quality cross-modal results in strategic research planning, program management, and program support services. The requested funding will allow the Research Coordination Program to continue its Congressionally-mandated mission of coordinating the Department's research portfolio across the OAs, providing oversight and review of the Department's research investments, actively pursuing T2 agreements and activities, and engaging in research collaborations with other Federal agencies in support of Secretarial priorities. The funding also enables OST-R to examine issues in transportation at the cross-modal level.

An OST-R portfolio focused on cross-cutting, cross-modal research benefits DOT leadership and the entire Department. Policymaking demands credible estimates of the value and public benefits of transportation investments. Analysis of partnerships to adopt new technologies

require estimates of how such adoption will ripple through supply chains, as well as consideration of how new technologies will address the climate crisis and the mobility and accessibility needs of underserved populations.

This program manages and conducts Congressionally-mandated strategic planning, coordination, facilitation, and review processes for all Departmental research, development and technology activities (49 USC Chapter 65); and coordinates research and engineering work on cross-modal topics including multi-modal automation; connected and automated vehicles; positioning, navigation, and timing; and radiofrequency spectrum management to ensure collaborative, non-duplicative efforts on research that benefits all modes.

R&T programs identify synergies, gaps and opportunities to apply research cross-modally, which prevents the duplication of research efforts and waste of Federal resources. R&T is DOT's primary representative and facilitator of T2, maximizing the impact of Federal research investments by accelerating the deployment of new technologies and practices. This program also awards research funding to small businesses to enhance their potential for product commercialization.

The Research and Technology (R&T) Appropriation supports the following programs:

The Research, Development and Technology (RD&T) Coordination Program works to optimize the effective use of Department-wide research resources, ensuring that the Department's research activities are coordinated with the wider transportation research community, increasing collaboration, eliminating potentially duplicative research activities, and improving the return on research investment through incorporation of research results in practice. Specific duties include:

- Executing Department-wide research planning.
- Providing oversight of Department-wide research and development (R&D) budget development and execution.
- Aligning Departmental research with policy objectives and Secretarial priorities, increasing collaboration, eliminating any wasteful or duplicative research spending, and improving the return on investment through incorporation of research results.
- Evaluating progress on the Secretary's innovation priority objectives by collecting and tracking Department-wide research performance measures.
- Identifying and leading cross-modal research initiatives in partnership with DOT OAs, industry and academia.
- Identifying and implementing best practices in innovation development and deployment across the Department's OAs.
- Ensuring transparency of and public access to the Department's research portfolio and products, and to the datasets generated by that research.

The RD&T Coordination Program includes the Department's **Technology Transfer (T2) Program** activities, focused on leveraging the Department's research products to facilitate commercialization and subsequent "real world" benefits. The program works with the OAs and external stakeholders to assist them in understanding and implementing best practices in research product development and deployment, and in building technology transfer mechanisms into research planning early in the process.

In FY 2023, the T2 Program intends to expand its activities to ensure that the significant increases in research investment that began in FY 2022 are fully leveraged through the demonstration and deployment of the resulting products and technologies. The program expansion will also allow more intensive engagement with public and private sector deployers of research products, resulting in public-private partnerships that further accelerate "real world" technology deployment. These increased responsibilities will require increased funding and an additional FTE to provide a dedicated T2 Program Manager.

The RD&T Coordination program works in partnership with the OAs to provide the **DOT Research Hub,** a web-based, publicly-available centralized repository of project records from DOT-sponsored research, development, and technology projects. The DOT Research Hub is designed to track the lifecycle of DOT research projects through outputs, outcomes, and "real world" impacts, providing the ability to demonstrate and evaluate the value of the Department's research investment to the nation's transportation system. This critical information is used as the basis for OST-R's research coordination and collaboration mission and to help to meet the Department's obligations for public access to federally funded research products. The Research Hub, in addition to a Performance Management Data System (PMDS), allows OST-R to track and coordinate the Department's research portfolio at the project level. These initiatives fulfill the requirement for a "consolidated research database" at 49 USC 6502 and supports the needs of federal-wide Public Access and Open Science mandates.

The RD&T Coordination Program manages a series of **Topical Research Working Groups (TRWGs)** to enhance DOT-wide research coordination and collaboration. In 2018, OST-R identified twelve multimodal topic areas that span the Department's research portfolio. TRWGs are composed of representatives from the OAs and OST offices conducting research activities within each area. The working groups generally meet monthly and have been successful in raising awareness of and exchanging information on research activities underway across DOT, raising awareness of the wider transportation research field outside DOT within each topical area, assisting in the elimination of duplicative research efforts across DOT, and identifying cross-modal research needs and collaboration opportunities.

The Cross-Modal Research Priorities (CMRP) Program works with Federal and non-Federal stakeholders to advance the development and deployment of cross-modal Departmental/ Administration research and technology priorities. This program focuses on providing the means to address research priorities that span multiple modes and/or require intensive coordination with other Federal and non-Federal partners. The CMRP program ensures the cost-effective

leveraging of complementary research efforts underway outside the Department and ensures the elimination of duplicative research efforts. The program has expanded its portfolio in recent years to include cross-modal projects assigned to the Department in areas such as infrastructure resilience and shared mobility research for disadvantaged groups. This significant portfolio expansion requires additional funding to manage and execute.

Positioning, Navigation and Timing (PNT) and Spectrum Management – DOT leads the Federal role coordinating civil sector PNT requirements and represents the civil (non-defense) Departments and Agencies in the development, acquisition, management, and operations of the Global Positioning System (GPS). The Secretary of Transportation is assigned this role by Space Policy Directive (SPD-7, "U.S. Space-Based Positioning, Navigation, and Timing Policy"), and the program includes all civil Federal, State, local and Tribal government needs for services of GPS and its augmentations, as well as all private sector GPS uses and requirements.

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

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

DOT serves as the lead Federal agency in discussions with DoD regarding all GPS civil services and signals. To ensure that GPS modernization capabilities meet civil needs and standards, DOT will continue implementing the Civil Signal Monitoring System (CSMS), building on development efforts conducted in FY 2022. The CSMS will observe and report to both the military GPS operators and to civilian global navigation satellite system (GNSS) stakeholder agencies that rely upon GNSS signals.

DOT also will utilize spectrum monitoring techniques to detect and report harmful interference caused by authorized operations by Ligado in the adjacent radiofrequency band to GPS, as well as analyze and report results to civilian stakeholders from a real-time GNSS interference detection capability initiated in FY 2022.

From a transportation perspective, the goal of EO 13905, "Strengthening National Resilience Through Responsible Use of PNT Services", is for the Transportation Systems Sector to sustain operations in the absence, disruption, or manipulation of space-based PNT and/or develop

methods that do not require space-based PNT. DOT has several initiatives focused on implementation of EO 13905 to promote the responsible use of PNT by owners and operators of safety-critical transportation applications.

Highly Automated Systems Safety Center of Excellence (HASS COE) – In support of U.S. global leadership on emerging technologies and innovation, funding is included for the continuation of the HASS COE. Established by the FY 2020 Appropriations Act, the HASS COE has been created within OST-R to ensure U.S. DOT has the expertise and capacity to review, assess, and validate the safety of highly automated systems across all modes of transportation. The Department needs to acquire and develop the dedicated workforce necessary to serve as a center of expertise in automation technologies, as automation is developed, validated and deployed across the transportation system. Safely applying automation to achieve national priorities in safety, equity, climate, and future-proofing infrastructure investments requires supporting the safe deployment of highly automated systems across all modes of transportation – not only in automated light-duty vehicles, but fulfilling the safety, equity, job creation and climate protection promises of automation while mitigating the inherent risks and disbenefits in trucking, rail, shipping and ports, and aviation.

Climate Change Center - In direct support of the research, data and analysis, and evidence-building efforts required to inform decisions and to meet DOT goals in response to the climate crisis, and to support the goals of EO 14008, "Tackling the Climate Crisis at Home and Abroad", this funding is to continue reinstituting and expanding the statutorily-authorized Climate Change Center. The Center consists of representatives of all DOT Operating Administrations and other relevant DOT offices and is co-led by the Office of the Assistant Secretary for Transportation Policy and the Office of the Assistant Secretary for Research and Technology. Its activities are overseen by a Climate Council composed of senior DOT leadership. The Center is establishing a cross-modal coordination capacity and a Department-wide research program, centered around climate equity, to:

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

FY 2022 Anticipated Accomplishments:

- Conduct the annual review, approval, and Secretarial certification to Congress of DOT's Annual Modal Research Plans (AMRPs).

- Conduct the FY 2023 Research Review and Approval Process (RRAP).
- Conduct a series of Biannual Research Reviews to monitor progress made by the OAs towards prior year objectives and to discuss plans for the coming fiscal year.
- Maintain the Department-wide Performance Management Data System (PMDS) to more effectively coordinate and review DOT's research portfolio through the RRAP; and to communicate with OST leadership on DOT RD&T activities.
- Plan for a streamlined Technology Transfer program to ensure that the significant increases in research investment that began in FY 2022 are leveraged through the demonstration and deployment of the resulting products and technologies.
- Lead collaborative efforts within the Department in response to mandates from the Lab to Market Cross-Agency Priority Goal (chaired by Office of Science and Technology Policy and National Institute of Standards and Technology), Federal Laboratory Consortium, and Interagency Working Group for Technology Transfer.
- Further expand the DOT Climate Change Center with additional funding to help ensure the Administration meets its goal of mitigating the impacts of the transportation sector on greenhouse gas emissions and reversing the environmental damage caused by fossil fuel use in transportation to date.
- Develop a new *DOT RD&T Strategic Plan* to align with the FY22-26 *DOT Strategic Plan* (49 USC 6503).
- Conduct a pilot program in conjunction with the Maritime Administration focused on evaluation of GPS jamming and spoofing in the maritime environment and applicable mitigation techniques as required by Executive Order 13905.
- Publish the 2021 *Federal Radionavigation Plan*.
- Evaluate and test innovative radiofrequency spectrum technologies to ensure transportation safety, while improving spectrum sharing and efficiency.
- Evaluate spectrum monitoring techniques that could be utilized to detect harmful interference caused by authorized operations by Ligado in the adjacent radiofrequency band to GPS, and implement a real-time GNSS performance monitoring and interference detection capability.
- Execute EO 13905 Vulnerability Assessment and Testing to support PNT Profile development and implementation of the *National PNT R&D Plan* objectives.
- Research GPS Signal Authentication techniques in conjunction with DoD and DHS.
- Implement the recommendations from the *GPS Backup and Complementary PNT Demonstration Report.*
- Implement the DOT Strategic Spectrum Plan to evaluate and conduct testing of innovative technologies to ensure transportation safety, while improving spectrum sharing and efficiency.
- Hire the requisite HASS COE staff in accordance with the HASS COE Staffing Plan to Congress as submitted.
- Develop a Transportation Automation Workforce Plan to lift the intellectual capital and knowledge base in transportation automation technologies across DOT, and across the

transportation sector.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested; and (4) inflation and other adjustments to base.

The FY 2023 budget request of $48.147 million for OST-R includes support for programmatic oversight and direction for OST-R new and existing programs (17 FTP). This increased funding includes $5 million and 11 positions for PNT & Spectrum Management and UTC program costs to support administration, coordination, and outreach in the General Fund (S&E) Salaries and Expenses Account. Other changes are as follows:

The **RD&T Program** intends to expand its coordination, communication, and collaboration activities to include more intensive engagement with national and international transportation research stakeholders, to accelerate transportation innovation. OST-R requests an increase of **$1.7 million.** These resources will ensure that the research activities funded by the Department are in full alignment with national and international research efforts, such that the Department's own diverse research investments add value, incorporate best practices, and do not duplicate non-DOT research activities in significant aspects. This expansion in scope will require increased funding and a new program manager to develop a more comprehensive technology transfer program.

Advanced Research Projects Development (ARPD) – This is a new effort to support the planning and development of an Advanced Research Projects Agency - Infrastructure (ARPA-I; 49 USC 119and an Open Research Initiative (49 USC 5506) in the Department of Transportation. This Advanced Research Projects Development effort will accelerate the transformative transportation goals of the Bipartisan Infrastructure Law (BIL) (as authorized by BIL sec. 25012/25013) and coordinate DOT's advanced research programs. OST-R requests **$3.244 million**. Establishing this new effort will allow OST-R to coordinate with other OST-R programs, the OAs, and broader multimodal transportation communities to identify and/or collaborate on opportunities for advancing and deploying research and technology products that will result in transforming the transportation systems and the ways transportation is used. An executive senior RD&T leader will work with OST-R leadership to establish this effort, develop a staffing plan, and outline a short- and long-term plans and activities. This effort's objectives are to position advanced research activities to address a range of key priorities:

- A vision for a forward-looking and future-proofed national transportation system, linking freight and passengers across existing and emerging modes.
- Reduced greenhouse gases and particulate emissions.
- Improved efficiency and security of freight supply chains.

- Improved transportation services to underserved communities.
- Delivery of transformative transportation infrastructure technologies and materials, including demonstration of new modes of transportation, with an emphasis on technology transfer and commercialization.
- Aim that the United States wins the 21st century by strengthening and maintaining technological leadership in developing and deploying advanced transportation infrastructure technologies and materials.

EO 13905 Implementation and Signal Authentication – Requests an increase of **$1.5 million ($5 million)** to continue to build upon the FY 2022 research efforts that developed and validated requirements for a data and signal authentication capability for civil GPS. Continue to coordinate with DHS in the development and review of the PNT Profiles. DOT will leverage ongoing in-band and out-of-band signal authentication research efforts to implement GPS signal and data authentication capabilities for homeland security and public safety purposes, as required by Space Policy Directive (SPD) -7. It is imperative for transportation safety applications using GPS to ensure that the signals are a legitimate transmission from the GPS satellites, through signal and data authentication.

Transportation Vulnerability and Resilience Data Program – Requests $3 million to establish a new program to measure the vulnerability of the transportation system to direct and indirect disruptions caused by extreme weather and other unexpected events (*e.g.*, Colonial pipeline cyber-attack, pandemic like COVID-19, other supply chain disruptions) and the ability of the national transportation system to recover from those disruptions. Direct disruptions include impacts -- abrupt and/or continuing -- to transportation and transportation-related infrastructure and services and the projected consequences to users. The indirect disruptions include cascading impacts due to the transportation system's interdependencies with other critical infrastructure sectors. Building on resiliency metrics recommended by the Transportation Research Board, this data program will provide evidence for understanding the resilience of the transportation system; for guiding the development of national policies to improve the readiness, resiliency, and performance of the transportation system across all modes; and for supporting and advancing the DOT Learning Agenda as required by the Foundations for Evidence-Based Policymaking Act ("Evidence Act").

Departmental Office of Evaluation Research Program - Requests $4 million to implement evaluation research and collect equity-related data to support Administration Priority Goals**. $3 million** will support the Bureau of Transportation Statistics (BTS) to collect small-area, equity-related data and develop/estimate outcome measures for use in the DOT Learning Agenda; and **$1 million** for BTS to complete the data collection of its National Transit Geospatial Database. The office will become the principal user of the Equity Data and Analysis Sharing Platform planned for development in FY 2022 by populating the Platform with equity-related data and estimated outcome measures. BTS will solicit input from modal and methodological experts to support the Office of Evaluation Research to coordinate and conduct evaluation research in

DOT. The Office of Evaluation Research will also conduct studies necessary to link program outputs and performance measures by the program offices with measures of conditions provided by BTS and its partners in the Federal Statistical System.

The program plans to advance the DOT Learning Agenda by guiding evaluation research and data development as required by the Evidence Act, developing the Equity Data and Analysis Sharing Platform, and building up the National Transit Geospatial Database to include intercity, small urban, and rural transit services.

The Evidence Act requires establishment of an annual evaluation plan, also known as a Learning Agenda, that describes "key questions for each significant evaluation study that the agency plans to begin in the next fiscal year [and] key information collections or acquisitions the agency plans to begin in the next fiscal year." Key questions for evaluation study in DOT involve the policy pillars of equity, climate change, economic recovery, and safety that are articulated in the Department's strategic plan. Of these pillars, equity is least studied by DOT and has the largest data gaps.

Development of the Transportation Cost Burden and Other Access Measures - Requests **$3 million** to complete the Equity Action Plan action items under core area of Expanding Access. This request includes efforts to better understand equity as it relates to the transportation cost burden, multimodal access to key resources, and other equity considerations. The funding will allow BTS to improve data, conduct research, and develop methodology to estimate the direct and indirect impacts of transportation programs to all, including underserved population and households.

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

OST-R drives the Department-wide research coordination, technology transfer and innovation functions. The R&T mission is to coordinate, collaborate, and maximize the effectiveness of the DOT research portfolio as well as to enhance the data collection and statistical analysis programs supporting data-driven decision-making across the Department. R&T underpins this mission by collaborating across the Department and with partners from other Federal agencies, State and local governments, Tribal governments, industry, universities, stakeholder organizations, transportation professionals, system operators and international partners. R&T's coordination efforts optimize and ensure the effective use of limited research resources, eliminate potentially redundant or duplicative research, and allow the Nation's transportation research enterprise to move forward coherently to develop evidence supporting policy decisions and effective program implementation.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 CR (with IIJA Oblim)	**$22,800**	**36**	**29**
Adjustments to Base			
Annualization of Prior Pay Raises	$39	0	0
Annualization of Positions Previously Requested	$450	0	3
FY 2023 Pay Raises	$201	0	0
Compensable Day(s) Change	-$24	0	0
GSA Rent	$850	0	0
Working Capital Fund Changes	$432	0	0
FERS Changes	$0	0	0
Award Changes	$1	0	0
Inflation and Other Adjustments to Base	$20,583	12	9
Subtotal Adjustments to Base	$22,532	12	12
FY 2023 Baseline Estimate	**$45,332**	**48**	**41**
Program Changes (+/-):	$2,815	17	14
FY 2023 Pres. Budget	**$48,147**	**65**	**55**

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	141,724	247,700	368,727
TOTAL	141,724	247,700	368,727
STAFFING			
Direct FTPs	0	0	0
Direct FTEs	0	0	0

Appropriations Language

PAYMENTS TO AIR CARRIERS

(AIRPORT AND AIRWAY TRUST FUND)

In addition to funds made available from any other source to carry out the essential air service program under sections 41731 through 41742 of title 49, United States Code, $368,727,000, to be derived from the Airport and Airway Trust Fund, to remain available until expended: Provided, That in determining between or among carriers competing to provide service to a community, the Secretary may consider the relative subsidy requirements of the carriers: Provided further, That basic essential air service minimum requirements shall not include the 15-passenger capacity requirement under section 41732(b)(3) of title 49, United States Code: Provided further, That amounts authorized to be distributed for the essential air service program under section 41742(b) of title 49, United States Code, shall be made available immediately from amounts otherwise provided to the Administrator of the Federal Aviation Administration: Provided further, That the Administrator may reimburse such amounts from fees credited to the account established under section 45303 of title 49, United States Code.

Note.—A full-year 2022 appropriation for this account was not enacted at the time the Budget was prepared; therefore, the Budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of Public Law 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

Program and Performance Statement

Through 1997, the Essential Air Service (EAS) program was funded from the Airport and Airway Trust Fund. Starting in 1998, the Federal Aviation Administration reauthorization funded it as a mandatory program supported by overflight fees under the EAS and Rural Airport Improvement Fund. In addition to mandatory funding supported by overflight fees, direct appropriations from the Airport and Airway Trust Fund to Payments to Air Carriers have been enacted every year beginning in 2002 to meet the needs of the Essential Air Service program.

Detailed Justification for Payments to Air Carriers

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

The Essential Air Service (EAS) program ensures that eligible small communities retain a link to the National Air Transportation System. The EAS program is funded by two sources – the Payments to Air Carriers (PAC) appropriation and Overflight Fees collected by the Federal Aviation Administration (FAA). The FAA charges these fees to operators of aircraft that fly in U.S.-controlled airspace, but neither take off nor land in the United States.

The President's FY 2023 Budget request proposes an overall program funding level at $450 million, with the breakdown between PAC and EAS dependent on FAA-estimates for Overflight Fees:

PAC Appropriation	$368,727,000
EAS (Overflight Fees)	$81,273,901
TOTAL EAS Program	**$450,000,901**

EAS was established at the time the Airline Deregulation Act (Act) passed in 1978. Under the Act, eligible communities would continue to receive scheduled service to a hub airport - by Federally subsidized flights if necessary, for 10 years. The program was later extended for another 10 years, then the sunset date was lifted, making the program permanent, subject to appropriations. The mandatory component of EAS was made permanent in 1996 and the discretionary PAC component of EAS is authorized through 2023. Currently, 170 communities across the country, including 59 in Alaska, receive subsidized scheduled air service.

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

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

Year	# of Communities	Budget ($ millions)	Average Subsidy per Community ($ millions)
2009	153	138.4	.90
2010	159	200.0	1.26
2011	155	199.7	1.29
2012	163	215.5	1.32
2013	160	255.0	1.59
2014	160	268.0	1.68
2015	169	263.0	1.56
2016	177	278.0	1.57
2017	177	254.0	1.44
2018	173	286.0	1.65
2019	170	325.0	1.91
2020	170	313.0	1.91
2021	172	330.0	1.92
2022	170	366.1	2.13

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

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

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

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

FY 2022 Anticipated Accomplishments:

In FY 2022, the EAS program will:

- Provide uninterrupted service to approximately 170 communities;
- Continue to focus on cost-control through selection of best value awards, air carrier and community support;
- Assess the impact of the COVID-19 pandemic, including on air service to EAS communities;
- Continue outreach with stakeholders, including all EAS communities, Alaska Air Carriers Association, and hub airports, and;
- Begin measuring compliance with the eligibility criteria that Congress previously suspended for FY 2020 and FY2021, as noted above.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; and (3) annualization of positions previously requested; and (4) inflation and other adjustments to base.

The FY 2023 budget request for the Payments to Air Carriers account includes an increase of $121 million.

Subsidy increases have persisted in the program over the past year, and the Department expects these increases to continue into FY 2023. For example, in the first quarter of calendar year 2022, SkyWest Airlines filed notices with the Department to terminate its EAS obligations at 31 communities, over 60 percent of the communities where the carrier provides EAS. Due to the current operating environment for air carriers, the Department expects to see few competitive proposals to replace this service and will likely need to increase subsidy to accommodate a new carrier.

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

Eligible communities will continue to receive subsidized scheduled air service. The table on the following pages shows all subsidized EAS communities as of April 1, 2022, at annual subsidy rates as awarded by the Department, assuming 100 percent completion by air carriers.

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

**EAS communities with annual subsidies at 100% completion,
as of April 1, 2022 (five percent escalation applied for FY 2023 request)**

State	EAS Community	Annual Subsidy
AK	Adak	$1,974,961
AK	Adak (freighter)	$333,067
AK	Akhiok	$246,420
AK	Akutan (fixed-wing)	$1,115,862
AK	Akutan (helicopter)	$959,952
AK	Amook Bay	$39,451
AK	Angoon	$396,267
AK	Atka	$1,470,419
AK	Central	$176,180
AK	Chignik	$418,158
AK	Chignik Lake	$418,158
AK	Chisana	$110,658
AK	Circle	$176,180
AK	Cordova	$2,229,277
AK	Cordova (freighter)	$50,663
AK	Diomede	$676,112
AK	Egegik	$194,329
AK	Ekwok	$86,622
AK	Elfin Cove	$100,420
AK	Excursion Inlet	$41,820
AK	False Pass	$257,026
AK	Gulkana	$269,100
AK	Gustavus	$208,318
AK	Healy Lake	$148,747
AK	Hydaburg	$411,688
AK	Igiugig	$213,526
AK	Kake	$260,316
AK	Karluk	$216,769
AK	King Cove	$687,819
AK	Kitoi Bay	$39,451
AK	Lake Minchumina	$149,520
AK	Lazy Bay/Alitak	$39,451
AK	Levelock	$168,669
AK	Manley Hot Springs	$45,594
AK	May Creek	$146,202

AK	McCarthy	$146,202
AK	McGrath	$350,827
AK	Metlakatla	$420,000
AK	Minto	$45,594
AK	Moser Bay	$39,451
AK	Nikolski	$463,193
AK	Olga Bay	$39,451
AK	Pelican	$376,457
AK	Perryville	$829,064
AK	Petersburg	$2,290,654
AK	Petersburg (freighter)	$259,469
AK	Pilot Point	$201,940
AK	Port Alexander	$134,316
AK	Port Bailey	$39,451
AK	Port Heiden	$337,696
AK	Port Williams	$39,451
AK	Seal Bay	$39,451
AK	South Naknek	$174,504
AK	St. George	$1,248,368
AK	St. Paul Island	$2,793,642
AK	Skwentna	$58,800
AK	Tatitlek	$196,739
AK	Tenakee	$181,048
AK	Twin Hills	$249,829
AK	Uganik	$39,451
AK	Ugashik	$201,940
AK	West Point	$39,451
AK	Wrangell	$2,290,654
AK	Wrangell (freighter)	$272,890
AK	Yakutat	$4,095,598
AK	Yakutat (freighter)	$48,677
AK	Zachar Bay	$39,451
AL	Muscle Shoals	$3,142,099
AR	El Dorado	$2,847,069
AR	Harrison	$3,159,142
AR	Hot Springs	$2,971,726
AR	Jonesboro	$2,375,496
AZ	Page	$4,618,870
AZ	Prescott	$3,438,323
AZ	Show Low	$1,865,215
CA	Crescent City	$3,817,895

CA	El Centro	$2,666,597
CA	Merced	$3,805,731
CO	Alamosa	$3,755,972
CO	Cortez	$4,130,301
CO	Pueblo	$2,983,569
GA	Macon	$4,922,378
HI	Hana	$180,457
HI	Kalaupapa	$1,572,518
HI	Kamuela	$838,637
IA	Burlington	$2,711,203
IA	Fort Dodge	$3,359,624
IA	Mason City	$3,287,875
IA	Sioux City	$962,957
IA	Waterloo	$4,228,625
IL	Decatur	$3,867,508
IL	Marion	$3,368,242
IL	Quincy	$3,593,178
KS	Dodge City	$4,085,964
KS	Garden City	$827,213
KS	Hays	$3,902,770
KS	Liberal	$4,100,855
KS	Salina	$3,583,169
KY	Owensboro	$2,235,318
KY	Paducah	$3,445,587
ME	Augusta	$2,376,270
ME	Bar Harbor	$3,787,467
ME	Presque Isle	$11,650,866
ME	Rockland	$2,700,871
MI	Alpena	$4,008,561
MI	Escanaba	$3,383,862
MI	Hancock/Houghton	$2,436,575
MI	Iron Mountain	$4,110,884
MI	Ironwood	$3,641,729
MI	Manistee	$4,107,072
MI	Muskegon	$3,508,978
MI	Pellston	$2,504,439
MI	Sault Ste. Marie	$3,638,087
MN	Bemidji	$2,017,055
MN	Brainerd	$2,173,941
MN	Hibbing	$4,125,370
MN	International Falls	$3,605,218

MN	Thief River Falls	$6,215,953
MO	Cape Girardeau	$3,790,077
MO	Fort Leonard Wood	$3,640,931
MO	Joplin	$1,319,713
MO	Kirksville	$2,532,002
MS	Greenville	$3,080,296
MS	Hattiesburg/Laurel	$3,909,489
MS	Meridian	$3,559,520
MS	Tupelo	$4,082,006
MT	Butte	$1,057,622
MT	Glasgow	$2,454,274
MT	Glendive	$2,651,167
MT	Havre	$2,611,472
MT	Sidney	$4,846,405
MT	West Yellowstone	$1,582,311
MT	Wolf Point	$2,639,673
ND	Devils Lake	$4,658,808
ND	Dickinson	$3,194,188
ND	Jamestown	$3,301,711
NE	Alliance	$2,567,423
NE	Chadron	$2,918,377
NE	Grand Island	$1,078,406
NE	Kearney	$3,898,140
NE	McCook	$2,744,935
NE	North Platte	$3,663,588
NE	Scottsbluff	$3,202,542
NH	Lebanon	$4,261,411
NM	Carlsbad	$3,670,055
NM	Clovis	$4,713,103
NM	Silver City	$4,929,274
NY	Massena	$3,728,269
NY	Ogdensburg	$5,079,453
NY	Plattsburgh	$3,578,717
NY	Saranac Lake	$2,768,560
NY	Watertown (NY)	$4,986,014
OR	Pendleton	$2,880,520
PA	Altoona	$3,128,424
PA	Bradford	$2,797,338
PA	DuBois	$3,394,127
PA	Johnstown	$3,706,413
PA	Lancaster	$3,070,230

PR	Mayaguez	$1,832,942
SD	Aberdeen	$3,472,139
SD	Pierre	$2,533,773
SD	Watertown (SD)	$2,533,773
TN	Jackson	$2,127,794
TX	Victoria	$3,489,213
UT	Cedar City	$2,697,986
UT	Moab	$3,167,324
UT	Vernal	$3,259,308
VA	Staunton	$3,505,491
VT	Rutland	$2,093,141
WI	Eau Claire	$2,612,587
WI	Rhinelander	$2,723,437
WV	Beckley	$2,969,366
WV	Clarksburg	$3,246,336
WV	Lewisburg (Greenbrier)	$4,068,251
WV	Morgantown	$3,353,693
WV	Parkersburg	$2,241,302
WY	Cody	$1,068,180
WY	Laramie	$2,373,966

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 CR (with IIJA Oblim)	**$247,700**	**0**	**0**
Adjustments to Base			
Annualization of Prior Pay Raises	$0	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2023 Pay Raises	$0	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Award Changes	$0	0	0
Inflation and Other Adjustments to Base	$0	0	0
Subtotal Adjustments to Base	$0	0	0
FY 2023 Baseline Estimate	**$247,700**	**0**	**0**
Program Changes (+/-):	$121,027	0	0
FY 2023 Pres. Budget	**$368,727**	**0**	**0**

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	-	-	1,178
Travel	-	-	200
Other Costs	-	-	9,359
Programs	-	-	100,000
TOTAL	-	-	110,737
STAFFING			
Direct FTPs	0	0	8
Direct FTEs	0	0	7

Appropriations Language

THRIVING COMMUNITIES

(INCLUDING TRANSFER OF FUNDS)

For necessary expenses to provide technical assistance and capacity building to improve equity and foster thriving communities through transportation infrastructure improvements, $110,737,000, to remain available until September 30, 2025: Provided, That the Secretary may enter into cooperative agreements to provide such technical assistance and capacity building: Provided further, That the Secretary may transfer amounts made available under this heading among the Office of the Secretary and the operating administrations of the Department.

Note.—A full-year 2022 appropriation for this account was not enacted at the time the Budget was prepared; therefore, the Budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of Public Law 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

Program and Performance Statement

The Thriving Communities program will advance transformative investment in underserved and overburdened communities by providing technical assistance using a coordinated place-based approach that strengthens local capacity to develop and execute infrastructure projects.

Detailed Justification for Thriving Communities Program

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

Building on the efforts of FY 2022 Thriving Communities initiative, the Thriving Communities Initiative will continue to provide technical assistance, capacity building and other assistance and institutionalize the Department's equity-centered programs and initiatives by creating a new Office for Thriving Communities to help disadvantaged communities effectively advance and successfully deliver transformative, equitable and climate-friendly infrastructure projects and that would support equitable economic growth, reduce transportation cost-burden, improved public health and mobility and increased access to economic opportunity.

While the Bipartisan Infrastructure Law (BIL) provides for investments in infrastructure, clean energy, affordable housing, and jobs, it must be supplemented with a bottom-up approach that leverages the knowledge and experience of local community residents, elected officials, and community leaders as agents of change.

The Thriving Communities Initiative continues to provide in-depth, hands-on technical assistance throughout the full project life cycle, resulting in an accelerated project plans and effective project implementation. The purpose is to advance community-driven, transformative investments in underserved and overburdened communities using a coordinated place-based approach that strengthens local capacity to develop and execute infrastructure projects from cradle-to-grave. DOT, in partnership with HUD and other federal agencies, will work to coordinate and align federal investments and policies to support local communities in advancing transformative, equitable and climate-friendly infrastructure projects that support equitable economic growth, reduce transportation cost-burden, improve public health and mobility and increase access to economic opportunity to help communities thrive.

The Thriving Communities Initiative will also partner with state and local government entities, industry experts, philanthropic organizations, anchor institutions, non-profits and the private sector entities to provide on-the-ground integrated and coordinated technical assistance, research and capacity building, while helping local communities improve their access to federal assistance, including navigating federal, state and local planning processes, and effective project execution which includes procurement, oversight and overall project management.

Program Structure. Within DOT, the Thriving Communities Initiative will operate as three primary components:

- **The Office of Thriving Communities Initiative:** The Office of Thriving Communities will provide the overall strategy, management, operations, and performance oversight of the Thriving Communities Initiative. Per Public Law 117-103 the office may also leverage funds made available to develop and disseminate best practices, research, modeling, and cost-benefit analysis methodologies to aide technical assistance recipients in the development of applications for financial assistance programs under titles 23, 46,

and 49, United States Code. This office will also coordinate inter- and intra-agency technical assistance efforts through a national information and outreach center, and with grant programs within DOT and other federal agencies to provide an integrated grantee experience. The office will leverage Cooperative Agreements and Interagency Community Empowerment Team to deliver technical assistance.

- **Cooperative Agreements:** Through existing authorities ***the PMO will leverage cooperative agreements with*** philanthropic entities, non-profit organizations, other Federal agencies, state or local governments and their agencies, Indian Tribes, or other technical assistance providers, to provide technical assistance, planning, and capacity building to state, local, or Tribal governments, United States territories, metropolitan planning organizations, transit agencies, or other political subdivisions of state or local governments. The cooperative agreements will facilitate the planning and development of transportation and community revitalization activities supported by the Department of Transportation under titles 23, 46, and 49, United States Code, that increase mobility, reduce pollution from transportation sources, expand affordable transportation options, facilitate efficient land use, preserve or expand jobs, improve housing conditions, enhance connections to health care, education, and food security, or improve health outcomes
- **Interagency Community Empowerment Teams:** Place-based interagency teams with a combination of federal, state and local knowledge in the areas of community outreach and planning, civil rights, grants requirements, and project delivery experience will work with underserved communities to assist in project development, planning, public outreach, financing, and delivery of game-changing infrastructure projects. Furthermore, these teams will work to align federal agency efforts on-the-ground. The physical operations for these teams will adopt a regional hub and spoke model, operating out of federal regional offices and existing hubs embedded into the community, such as community centers and colleges, town halls, churches, and drop-in centers.

FY 2022 Anticipated Accomplishments:

The Thriving Communities Initiative will facilitate the planning and development of transportation and community revitalization activities supported by the Department of Transportation under titles 23, 46, and 49, United States Code, that increase mobility, reduce pollution from transportation sources, expand affordable transportation options, facilitate efficient land use, preserve or expand jobs, improve housing conditions, enhance connections to health care, education, and food security, or improve health outcomes. In addition to transportation and community revitalization outcomes, the Office of Thriving Communities will also support and build local capacity to improve project acceleration, access to and management of federal funding, workforce development and community and stakeholder engagement. DOT anticipates leveraging best practices in project delivery by creating a Project Delivery Center of Excellence that would be applicable to and leveraged by all of DOT project partners.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested; and (4) inflation and other adjustments to base.

The FY 2023 budget requests **$110.7 million** and **8 FTPs**; $100 million of this amount will provide funding for direct technical assistance to communities by leveraging a combination of cooperative agreements and local place based interagency community empowerment teams. The FTPs and remaining $10 million will be used to manage the PMO.

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

The Office of Thriving Communities will provide substantial impacts in recipient communities by coordinating federal resources and policies and by strengthening each community's capacity to effectively access federal financial assistance, plan and deliver large-scale transformational infrastructure projects that meet local needs, increase economic viability, reduce transportation cost burden, improve access to opportunity, including the number of good paying jobs and business opportunities, and foster strategic alliances by creating mutually beneficial public, private, and philanthropic entity partnerships. Additionally, this initiative may reduce the number of disadvantaged and overburdened communities in the United States

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 CR (with IIJA Oblim)	**$0**	**0**	**0**
Adjustments to Base			
Annualization of Prior Pay Raises	$4	0	0
Annualization of Positions Previously Requested	$300	0	2
FY 2023 Pay Raises	$22	0	0
Compensable Day(s) Change	-$4	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Award Changes	$0	0	0
Inflation and Other Adjustments to Base	$110,184	5	3
Subtotal Adjustments to Base	$110,506	5	5
FY 2023 Baseline Estimate	**$110,506**	**5**	**5**
Program Changes (+/-):	$231	3	2
FY 2023 Pres. Budget	**$110,737**	**8**	**7**

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	-	-	16,000
TOTAL	-	-	16,000
STAFFING			
Direct FTPs	0	0	0
Direct FTEs	0	0	0

Appropriations Language

ELECTRIC VEHICLE FLEET

(INCLUDING TRANSFER OF FUNDS)

For necessary expenses for the Department's transition to the General Services Administration's leased vehicle fleet, and for the purchase of zero emission passenger motor vehicles and supporting charging or fueling infrastructure, $16,000,000, to remain available until expended: Provided, That such amounts are in addition to any other amounts available for such purposes: Provided further, That amounts made available under this heading may be transferred to other accounts of the Department of Transportation for the purposes of this heading.

Note.—A full-year 2022 appropriation for this account was not enacted at the time the Budget was prepared; therefore, the Budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of Public Law 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

Program and Performance Statement

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

Detailed Justification for Electric Vehicle Fleet

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

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

The ZEV acquisitions will be used to replace DOT's conventional fuel vehicle fleet. To ensure effective and efficient deployment of ZEVs, DOT will undertake preparation and planning for arriving ZEVs at its facilities, properly prioritizing transition to ZEVs where it is simplest and allow time for additional planning where mission demands pose a challenge to transitioning based on current technologies. Integral to this preparation is growth in the number of agency-accessible charging stations.

The Agency is coordinating all of these efforts to meet or exceed the ZEV-related goals set forth in the comprehensive plan developed pursuant to Executive Order (EO) 14057, Section 204. Funds for these DOT ZEV activities are part of the President's Budget for ZEVs and charging infrastructure that is contained within the individual budgets of 18 Federal agencies, including ZEV Federal fleet dedicated funds at the General Services Administration. This investment will be complemented by Department of Energy funding to provide technical assistance to agencies through the Federal Energy Management Program as the DOT builds and grows its ZEV infrastructure. This investment serves as a down payment to support a multiyear, whole-of-government transformation to convert the Federal motor vehicle fleet to ZEVs and thereby reduce carbon emissions.

FY 2022 Anticipated Accomplishments:

This is a new FY 2023 funding request.

Funding changes:

This is a new FY 2023 funding request.

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

The FY 2023 budget request will replace 1366 sedans and light duty gas vehicles and provide funding for charging stations as a significant step towards eliminating tailpipe emissions of

greenhouse gases (GHG) from the DOT fleet and aligning the DOT's fleet operations with the goal of achieving a fully ZEV federal fleet. This action is important because tailpipe emissions are currently the leading source of GHG emissions that threaten the planet and harm U.S. communities.

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

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 CR (with IIJA Oblim)	**$0**	**0**	**0**
Adjustments to Base			
Annualization of Prior Pay Raises	$0	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2023 Pay Raises	$0	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Award Changes	$0	0	0
Inflation and Other Adjustments to Base	$11,000	0	0
Subtotal Adjustments to Base	$11,000	0	0
FY 2023 Baseline Estimate	**$11,000**	**0**	**0**
Program Changes (+/-):	$5,000	0	0
FY 2023 Pres. Budget	**$16,000**	**0**	**0**

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	4,500
Programs	-	-	-
TOTAL	-	-	4,500
STAFFING			
Direct FTPs	0	0	0
Direct FTEs	0	0	0

Appropriations Language

JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER NEW BUILDING

For necessary expenses of the Volpe National Transportation Systems Center, as authorized in section 328 of title 49, United States Code, $4,500,000, to remain available until expended.

Program and Performance Statement

The Working Capital Fund finances multidisciplinary research, evaluation, analytical, and related activities undertaken at the Volpe Transportation Systems Center (Volpe Center) in Cambridge, MA. The fund is financed through negotiated agreements with other offices within the Office of the Secretary, Departmental operating administrations, other governmental elements, and non-governmental entities using the Center's capabilities. These agreements also define the activities undertaken at the Volpe Center.

Detailed Justification for the

John A. Volpe Transportation Center Exchange Building

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

The U.S. Department of Transportation (DOT) John A. Volpe National Transportation Systems Center (Volpe Center) has partnered with the General Services Administration (GSA) to utilize GSA's authority to implement a "Property Exchange Transaction". GSA awarded a contract to a private partner to exchange underutilized federal land and facilities on DOT'S 14-acre campus in Cambridge, Massachusetts for the design and construction of a new, state-of-the-art, turn-key facility for U.S. DOT to house the Volpe Center, DOT modal administration offices and a small number of other Federal agencies.

To successfully relocate to the new facility, Volpe requires limited funding associated with the physical breakdown and re-establishment of laboratory equipment and change management activities including employee communications. This funding request includes dollars for federal salaries solely related to the move effort to not charge theses costs to the customer agencies. The majority of costs associated with the move and occupancy are funded via the exchange agreement GSA entered into with the private sector partner.

Funding Changes:

The FY 2023 budget requests $4.5 million which will fund the following requirements with some flexibility to support unforeseen needs:

Facility Operations Preparation and Transition:

To ensure a successful relocation to the new building this funding will support operation preparation and transition to the new facility. Costs for preparing for operation of the new facility includes labor management negotiations on new facility policies and practices; development and implementation of an overall change management team and plan, employee engagement strategies, and coordination and facilitation of a move and transition of operations to new facility. Successful transition requires employee site tours, orientation on building operations including facilities service locations, emergency evacuation routes and set up of information technology connections, employees' offices, joint use spaces, resources rooms, and overall establishment of new DOT facility.

Preparation and Transition of Technical Laboratories:

The Volpe Center houses multiple specialized facilities that are critical to the mission support provided to sponsoring agencies. Preparation of Volpe Center systems and laboratories for move to new DOT facility is vital to ensure minimal impact on operations and sponsored work that is the base of Volpe Center funding. It is not the intention of Volpe Center to seek relocation costs from its sponsors and is seeking funding to cover the costs associated with a smooth and efficient relocation of technical systems and laboratories. These costs include preparing, connecting, assembling, testing and restoring information systems, operations, simulators and other

technologies for mission critical projects. Such projects include Next Generation Air Transportation System, Transportation Human Factors, Maritime Safety and Security Information System (MSSIS) and similar project specific networks and areas that require detailed coordination.

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

The current U.S. DOT Volpe Center was designed and constructed more than 50 years ago and was originally planned to house the NASA Electronics Research Center (ERC). Once the ERC mission moved to Texas, the campus sat vacant until the establishment of the U.S. DOT National Transportation Research Center (NTRC) (later named for DOT Secretary John A. Volpe). After establishment of the NTRC, the buildings needed to be modified from NASA requirements to DOT requirements to perform the transportation research work that would occur over the next 50 years.

The design and construction of a new DOT facility, that is purpose-built for DOT research for the next 50-100 years in exchange for under-utilized federal land in Kendall Square Cambridge, will allow for improved research capabilities in a state-of-the-art, highly sustainable facility. The facility will also increase the overall physical facility efficiency both energy and water efficiency, but also reduces the footprint from a multitude of buildings to a single building that reflect 2022 standards and the rightsized office configuration.

This new facility will permit and aid the Volpe Center in to accomplishing its mission and will operate much more efficiently and economically than the current multiple-building campus.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 CR (with IIJA Oblim)	**$0**	**0**	**0**
Adjustments to Base			
Annualization of Prior Pay Raises	$0	0	0
Annualization of Positions Previously Requested	$0	0	0
FY 2023 Pay Raises	$0	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Award Changes	$0	0	0
Inflation and Other Adjustments to Base	$0	0	0
Subtotal Adjustments to Base	$0	0	0
FY 2023 Baseline Estimate	**$0**	**0**	**0**
Program Changes (+/-):	$4,500	0	0
FY 2023 Pres. Budget	**$4,500**	**0**	**0**

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
OFFICE OF MULTIMODAL FREIGHT INFRASTRUCTURE AND POLICY
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Office of Multimodal Freight Infrastructure and Policy	-	2,000	2,000
TOTAL	-	2,000	2,000

STAFFING			
Direct FTPs	0	26	52
Direct FTEs	0	13	40

Appropriations Language

OFFICE OF MULTIMODAL FREIGHT INFRASTRUCTURE AND POLICY

For necessary expenses for the Office of Multimodal Freight Infrastructure and Policy, as authorized by section 118 of title 49, United States Code, $2,000,000, to remain available until expended: Provided, That such amounts may be transferred to and merged with appropriations made available under the heading "Office of the Secretary—Salaries and Expenses": Provided further, That upon a determination that that all or part of the funds transferredfrom this appropriation are no longer necessary for the purposes for which they were initially transferred, such amounts may be transferred back to this appropriation.

Program and Performance Statement

The Office of Multimodal Freight Infrastructure and Policy (MFIP) is authorized under 49 U.S.C. 118. MFIP administers and oversees certain multimodal freight grant programs, carries out national multimodal freight policy, promotes and facilitates the sharing of information between the private and public sectors with respect to freight issues, conducts and coordinates research on improving multimodal freight mobility, assists cities and States in developing freight mobility and supply chain expertise, and coordinates with other Federal departments and agencies to support the seamless movement of freight across and within different modes of transportation.

Justification for the Office of Multimodal Freight Infrastructure and Policy

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

The Bipartisan Infrastructure Law (BIL), calls for the Department to establish a new Office of Multimodal Freight Infrastructure and Policy (Office) to administer and oversee multimodal freight grant programs and perform data collection, information sharing, and national freight planning to maximize the safe and efficient multi-modal movement of goods to support US economic competitive goals. The Office will promote and facilitate the sharing of information between the private and public sectors with respect to freight issues as well as conduct necessary research on improving multimodal freight mobility. The Office will oversee and coordinate the freight research activities of the various agencies within the Department. The Office will assist cities and States in developing freight mobility and supply chain expertise and liaise and coordinate with other Federal departments and agencies to support seamless movement of freight across and within different modes of transportation.

The Office will develop and manage the National Freight Strategic Plan and the National Multimodal Freight Network and oversee the development and updating of the State freight plans. As part of this mission, the Office will provide guidance and best practices relating to State freight plans. The Office will also assist States in the establishment of State freight advisory committees and multi-State freight mobility compacts. The Office will provide relevant national data to the Bureau of Transportation Statistics regarding freight data and planning within the United States. The office will also administer multimodal freight grant programs, including the Infrastructure for Rebuilding America (INFRA) discretionary grant program, and oversee the procedures for analyzing and evaluating grant applications.

The newly established Office will be headed by an Assistant Secretary for Multimodal Freight Infrastructure and Policy and will be responsible for managing and overseeing the activities, decisions, operation, and personnel of the Office and coordinate with the modal administrations of the Department to encourage multimodal collaboration. The Department will also undertake a process to carefully develop and implement plans to consolidate various Offices, personnel, programs, and resources within the DOT Operating Administrations and Office of the Secretary within the newly established Freight Office in order to minimize the duplication of efforts and effectively fulfill the mission of this office.

Funding Changes:

The FY 2023 budget request, which is consistent with the Bipartisan Infrastructure Law (BIL), reflects $2 million in funding and 5 FTPs to provide oversight and execution for freight policy projects eligible under the multi-modal grants program as part of the BIL, giving DOT the increased flexibility to support the most meritorious projects based on applications submitted.

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

The new Office will carrying out the national multimodal freight policy described in chapter 701 of title 49, United States Code, by implementing policies, and identifying infrastructure improvements and operational innovations that contribute to the economic competitiveness of the United States by increasing productivity, particularly for domestic industries and businesses that create high-value jobs; improving the safety, security, efficiency, and resiliency of multimodal freight transportation; increasing the ability of States to address multimodal freight connectivity; and reducing the adverse environmental impacts of freight movement. The Office will pursue these goals in a manner that is not burdensome to State and local governments.

Funding provided through the multimodal freight grant programs administered and overseen by the Office will support billions of dollars in infrastructure improvements that improve the resilience of the Nation's supply chains by moving goods more efficiently and effectively, while also addressing critical goals of reducing the impacts of freight movement on climate and addressing social equity goals.

By promoting and facilitating the sharing of information between the private and public sectors with respect to freight issues and conducting research on improving multimodal freight mobility and overseeing the freight research activities of the various agencies within the Department, as well assisting cities and States in developing freight mobility and supply chain expertise, the Office will ensure that innovative practices and strategies in this area are widely disseminated and adopted.

EXHIBIT III-1a
OFFICE OF THE SECRETARY OF TRANSPORTATION
OFFICE OF MULTIMODAL FREIGHT INFRASTRUCTURE AND POLICY
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS

ITEM	AMOUNT	FTPs	FTEs
FY 2022 CR (with IIJA Oblim)	**$2,000**	**26**	**13**
Adjustments to Base			
Annualization of Prior Pay Raises	$0	0	0
Annualization of Positions Previously Requested	$0	0	13
FY 2023 Pay Raises	$0	0	0
Compensable Day(s) Change	$0	0	0
GSA Rent	$0	0	0
Working Capital Fund Changes	$0	0	0
FERS Changes	$0	0	0
Award Changes	$0	0	0
Inflation and Other Adjustments to Base	$0	0	0
Subtotal Adjustments to Base	$0	0	13
FY 2023 Baseline Estimate	**$2,000**	**26**	**26**
Program Changes (+/-):	$0	26	14
FY 2023 Pres. Budget	**$2,000**	**52**	**40**

INDEFINITE BUDGET AUTHORITY ACCOUNTS

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	2,269	2,343	2,423
Travel	7	7	7
Other Costs	1,155	1,365	1,408
Programs	79,456	36,908	77,435
TOTAL	82,887	40,623	81,274

STAFFING			
Direct FTPs	14	14	14
Direct FTEs	12	14	14

Program and Performance Statement

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

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	8,441	8,441	9,509
Travel	-	-	-
Other Costs	-	-	491
Programs	258,259	258,259	240,000
TOTAL	266,700	266,700	250,000
STAFFING			
Direct FTPs	28	28	35
Direct FTEs	23	23	33

TIFIA Highway Trust Fund Program Account

The Office of the Secretary of Transportation (OST) received appropriations totaling $1.127 million for the Transportation Investment Generating Economic Recovery (TIGER) discretionary grants as part of the 2010 and 2011 Department of Transportation (DOT) appropriations acts. The appropriations authorized DOT to pay subsidy and administrative costs, not to exceed $300 million, of projects eligible for Federal credit assistance under Chapter 6 of Title 23 United States Code. In 2012, $45 million was provided for TIGER discretionary grants as part of the 2012 DOT appropriation act to pay subsidy and administrative costs under the Transportation Infrastructure Finance and Innovation Act program.

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

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

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

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

In accordance with the FAST Act, the Department formally established the National Surface Transportation and Innovative Finance Bureau as the new "Build America Bureau" (the Bureau) in July 2016. The Bureau is responsible for overseeing the development and providing financing for a wide range of qualified transportation infrastructure projects in the United States, including toll roads, bridges, public transit systems, intercity passenger rail, freight rail, multi- modal terminals and Transit Oriented Development (TOD) projects. The Bureau also promotes the use of public-private partnerships (P3s) by developing and sharing expertise with stakeholders interested in possible P3 arrangements to facilitate project development, construction, operations, and financing in appropriate situations.

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

The TIFIA program has played a significant role in delivering infrastructure projects. Since its inception, the TIFIA Program has financed 83 projects across the United States, including five intermodal projects, 55 highway projects, and 23 transit projects. Currently, the TIFIA program's portfolio represents over $122 billion in infrastructure investment spread across the country. Under MAP-21 and the FAST Act, the TIFIA program has dramatically increased its investment and expanded its portfolio into new states and municipalities; the portfolio now includes 23 states, the District of Columbia, and Puerto Rico.

The TIFIA program is designed to leverage substantial private co-investment by providing supplemental and subordinate capital to projects. The program maximizes Federal resources to deliver large infrastructure investments. Each dollar of TIFIA funding authority can provide approximately $35 in credit assistance. Given statutory changes in the TIFIA credit program under the FAST Act, and the need to calculate credit subsidies on a project-by-project basis, actual lending capacity could vary. On average, TIFIA has supported total infrastructure investment of three to four times the amount of total credit assistance it has made available.

The TIFIA program stimulates transportation infrastructure investments that would be temporarily or permanently delayed without TIFIA financing. The program leverages Federal resources to accelerate project delivery and facilitate private participation in transportation infrastructure projects. Since the beginning of FY 2016, the Department has closed 33 loans and extended $12 billion in credit support. The TIFIA program places emphasis on projects that aligned with the President's focus on providing good-paying jobs, while tackling the challenge of climate change and enhancing racial equity.

FY 2022 Anticipated Accomplishments:

- The Bureau currently has a pipeline of projects in various stages of project development and credit review process, which could add more than $40-$50 billion in infrastructure investment when constructed. Most of this pipeline will be ready for loan closing in FY 2022 and FY 2023.
- The Bureau anticipates closing 12 new loans in FY 2022 totaling approximately $6 billion in value. That is likely to exceed the Bureau's anticipated loan closing in FY 2021 (8 loans totaling approximately $3.5 billion).
- The Bureau also anticipates refinancing four to five loans with a total value of over $5 billion in support of entities that have been impacted by COVID-19.
- The Rural Projects Initiative (RPI) represents a targeted and significant easing of the barriers to participation in the TIFIA program for the underserved communities and undersubscribed rural loans. The Bureau will expand RPI projects to more states in FY 2022.
- The Bureau will continue to reach out to the underserved communities and States historically under-represented in the applicants for TIFIA products, mainly using virtual meetings, webinars and training sessions. The new enhanced outreach will center around education to State and local jurisdictions on how the TIFIA program works and how loan products may be a viable option for infrastructure needs. The Bureau will also increase the level of technical assistance related to innovative project financing and delivery options.
- The Bureau will continue to work on to strengthen the risk management team that will monitor market risks and strategically manages risk of its credit programs, especially existing loans in the portfolio (totaling more than $26 billion). This unit will consolidate risk management efforts and expand existing tasks to cover macro and micro risks similar to functions carried out by commercial banks.

- The Bureau will finalize plans that will better focus activities on expanding the Bureau's portfolio asset classes in areas that are better aligned with new policies such as Transit

oriented development, rail, fleet electrification, electric car charging station, the adoption of transformative technology, and loans to state infrastructure banks (SIBs) for rural and underserved community projects.

Funding Changes:

The FY 2023 budget request includes changes to fund: (1) the 2022 out-year effects of the 2.7 percent pay raise; (2) a proposed 4.6 percent pay raise in 2023; (3) annualization of positions previously requested; and (4) inflation and other adjustments to base.

In addition, the FY 2023 request includes **4 FTPs**, at a cost of $470 thousand which will allow the Bureau to dedicate staff to the Administration's goal of improving transportation equity, expand the Bureau's project pipeline, and provide additional technical assistance to non-traditional stakeholders.

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

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

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

Stimulating Significant Economic Benefits Including Job Creation: TIFIA credit assistance provides improved access to capital markets, flexible repayment terms, and more favorable interest rates than can be found in private capital markets for similar instruments. In this way, the TIFIA Program can help accelerate delivery of qualified projects that otherwise might be delayed or deferred because of size, complexity, or uncertainty over the timing of revenues. It can also help deliver transformative projects in a timely manner by financing them at low interest rate and flexible terms and condition. For example, a bundle of electric charging stations or electric buses

can be delivered by a TIFIA financing and paid for over time to create economy of scale efficiency and save on cost escalation.

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

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

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
ASSET CONCESSIONS (TITLE X)
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	-	20,000	20,000
TOTAL	-	20,000	20,000
STAFFING			
Direct FTPs	0	0	0
Direct FTEs	0	0	0

Program and Performance Statement

The Asset Concessions and Innovative Finance Assistance program facilitates access to expert services for, and provides grants to State, local, and Tribal governments and other entities to enhance their technical capacity to evaluate public-private partnerships in which the private sector partner could assume a greater role in project planning, development, financing, construction, maintenance and operation, including by assisting eligible entities in entering into asset concessions.

Justification for Asset Concessions and Innovative Finance Assistance Grants

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

The Bipartisan Infrastructure Law (BIL), calls for the Department to establish a new program to provide access to expert services for and to provide grants to eligible entities to enhance their technical capacity to identify, evaluate, and develop asset concessions and innovative financing approaches.

This grant program will be located within the Build America Bureau in the Office of the Under Secretary of Transportation. Under this program, eligible public entities, including States, Tribal governments, an agency or instrumentality of a State, Tribal government, units of local governments, or special purpose districts or public authorities can apply for grants to evaluate innovative financing approaches such as public-private partnerships in which the private sector partner could assume a greater role in project planning, development, financing, construction, maintenance and operation by assisting eligible entities in entering into asset concessions and/or identifying innovative financing solutions. Grants can be in either of two forms:

- Technical Assistance Grants, in which recipients may use amounts made available by the Bureau to build organizational capability of the entity to develop, review or enter into an asset concession, or;
- For more efficiency and accuracy, the Bureau can retain the services of qualified and experienced advisory firms to provide the recipient direct project level planning and financial analysis assistance.

This funding, in either of the above forms, can be used for identifying appropriate assets or projects for asset concessions or innovative financing opportunities, conducting analysis, including value-for-money, evaluating options for structure and use of asset concession payments, project planning, feasibility studies, revenue forecasting, cost-benefit and other early development activities and analysis.

The Build America Bureau will solicit application via a Notice of Funding Opportunity (NOFO) and will recommend grant recipients to the Secretary based on criteria set forth in the NOFO. The Bureau will conduct a competitive procurement to hire highly qualified and experienced advisory firms. The Bureau will provide the services of an appropriate expert firm(s), depending on the specific needs of the selected grant applicants or provide direct funding if they already have advisors. The Bureau will administer and oversee the grant program and track and report program performance metrics, as appropriate.

FY 2022 Anticipated Accomplishments:

- In FY22 with the funding provided in this request, the Build America Bureau will establish the new program and issue a NOFO with a goal to have the first awards announced in FY 2023.

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

Many public project transportation project sponsors lack the resources and capacity to identify and screen assets that have potential for innovative financing solutions. Conducting pre-procurement analysis to identify the optimal means of project procurement, finance and delivery, requires special skillsets and resources that many public entities, especially those in smaller, underserved, and rural jurisdications, don't have. Therefore, it leads to good projects and innovative solutions that either never get off the drawing board, or are delivered inefficiently or ineffectively.

This grant program will aid public project owners, particularly those who have not used innovating financing structures, in identifying the optimal means of project delivery, between traditional procurements, public-private partnerships, and other innovative means of project finance and delivery, which will result in more informaed decisions, better allocation of risks, improved efficiency, lower lifecycle cost and faster project delivery for those projects that can benefit from these techniques.

In addition, by capturing best practices identified and proven through this program, the Bureau can ensure that project sponsers nationwide have access to this information as they contemplate their own project procurement, finance and delivery options. These best practices can be disseminated by the Bureau through direct technical assistance activities, the new Regional Infrastructure Accelerators and the Build America Center, a partnership between DOT and the University of Maryland Transportation Institute.

REIMBURSABLE ACCOUNTS

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 Enacted	FY 2023 Pres. Budget
Personnel Compensation and Benefits	91,720	91,720	92,903
Travel	4,040	4,040	4,040
Other Costs	249,240	249,240	248,057
Programs	-	-	-
TOTAL	345,000	345,000	345,000
STAFFING			
Direct FTPs	633	633	633
Direct FTEs	545	570	570

Program and Performance Statement

The Working Capital Fund finances multidisciplinary research, evaluation, analytical and related activities undertaken at the Volpe Transportation Systems Center (Volpe Center) in Cambridge, MA. The fund is financed through negotiated agreements with other offices within the Office of the Secretary, Departmental operating administrations, other governmental elements, and non-governmental entities using the Center's capabilities. These agreements also define the activities undertaken at the Volpe Center.

Detailed Justification for the John A. Volpe Transportation Center Working Capital Fund

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

The Department of Transportation (DOT) established the John A. Volpe National Transportation Systems Center (Volpe Center) to provide multidisciplinary, multimodal transportation expertise on behalf of DOT Operating Administrations (OAs), the Office of the Secretary (OST), and external organizations.

For 50 years, the Volpe Center's extensive cross-modal partnerships have led to innovative solutions that advance national and global transportation systems for the public good. As a leader in transportation systems, analysis, and innovation, the Volpe Center is flexible and responsive to the needs and strategic goals and priorities of the DOT.

Volpe Center programs are funded through its Working Capital Fund (WCF) on a full cost-reimbursable basis. The Volpe Center WCF is authorized under 49 U.S.C. 328 to provide research, development, testing, evaluation, analysis, and related activities for the Department, other Federal agencies, State and local governments, other public authorities, private organizations, and foreign countries. The Volpe Center receives no direct appropriations, and is 100 percent funded by sponsored projects paid through interagency and/or reimbursable agreements.

The Volpe Center provides a historical perspective and institutional memory that is valuable to DOT and to the broader transportation community. The Volpe Center works to seek synergies across projects and to transfer best practices, lessons learned, findings, and technologies across DOT and beyond. By partnering with key administration and DOT leaders, the Center maintains a central, crosscutting role in the Department and with other key stakeholders, adding value through technical excellence, innovation, and a commitment to public service.

The Volpe Center's multidisciplinary staff of over 500 federal employees work across all modes of transportation, and collaborate with Federal, State and local agencies, academia, and industry. Half of the Volpe Center's federal staff have advanced degrees. The Volpe Center workforce represents an elite corps of experts and principal technical advisors representing an expansive variety of disciplines ranging from engineering to the physical and social sciences. The technical experts of the Volpe Center anticipate and address challenges and have a sustained impact on advancing national transportation goals.

The Volpe Center provides leadership to advise, facilitate and manage a wide range of high profile, complex, and often rapid-response Departmental, agency, and priority initiatives of the Secretary. Through extensive outreach and coordination, the Volpe Center supports the Department's efforts to expand its understanding of current, emerging and future issues.

FY 2022 Anticipated Accomplishments:

In FY 2022, the Volpe Center will pursue:

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

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

The Volpe Center has had a sustained impact on advancing National transportation goals and its work aligns with the safety, infrastructure and innovation goals of the Department and the OAs.

The Volpe Center delivers key technical support to the OST, DOT OAs, and its customer organizations in several key areas, including:

- Improving transportation safety;
- Integrating advanced technology and engineering into the transportation system;
- Solving complex transportation challenges through a systems approach and sharing expertise, insights and results across the modes;
- Informing transportation policy, programs and decision making;

- Using data to generate new insights and to inform data-driven decisions; and

- Accelerating the adoption of emerging technologies and best practices through outreach, capacity building technology transfer, and demonstration projects.

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

	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
FUNDING LEVELS			
WCF DOT Activities	243,638	243,638	435,440
WCF Shared Services	152,838	152,838	69,845
WCF Non-DOT Activities	306,609	306,609	258,940
TOTAL	703,085	703,085	764,225
STAFFING			
Reimbursable FTPs	297	297	311
Reimbursable FTEs	255	291	299

Appropriations Language

Note.—A full-year 2022 appropriation for this account was not enacted at the time the Budget was prepared; therefore, the Budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of Public Law 117–43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.

Program and Performance Statement

The Working Capital Fund finances common administrative services and other services that are centrally performed in the interest of economy and efficiency. The fund is financed through agreements with the Department of Transportation Operating Administrations (OAs) and other customers. In FY 2023, the Working Capital Fund will likely obligate nearly $746 million across the Department, including $72 million to continue the Department's implementation of a shared services environment for commodity information technology (IT) and administrative investments. The IT shared services initiative will modernize IT across the Department and improve mission delivery by consolidating separate, overlapping, and duplicative processes and functions. In FY 2023, the Department will continue consolidating commodity IT services across OAs. As a key part of this effort, the Office of the Chief Information Officer will focus on investment-level commodity IT as well as IT Security and Compliance activities. Utilizing shared services will enable the Department to improve cybersecurity, increase efficiencies, and improve transparency in IT spending.

Detailed Justification for Working Capital Fund

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

The Working Capital Fund (WCF) is a fee-for-service operation that normally receives no direct appropriation; its costs are paid by its customers. In FY 2023, the WCF estimates $764.22 million in obligations, 311 positions, and 299 FTEs, including $69.84 million to continue the Department's move towards implementing Shared Services.

FY 2023 Working Capital Fund Summary (000s)	
DOT WCF Activities	
Administration	**$230,862**
Information Technology	**$204,578**
Sub Total	**$435,440**
DOT Shared Services	
Administration	**$3,071**
Information Technology	**$66,774**
Sub Total	**$69,845**
Non-DOT Activities	**$258,940**
TOTAL	**$764,225**

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

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

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

- Providing best value to the government through compliance with OMB and Congressional directives to consolidate and deliver services more efficiently; and

- Consolidating OAs' infrastructures into a single Departmental infrastructure to improve service delivery, increase security, and reduce costs.

The two OST offices providing WCF services are:

- The **Office of the Assistant Secretary for Administration** (OASA) prioritizes and deploys resources to provide the financial management for the WCF and Departmental services in Human Resources, security, acquisition and Federal acquisitions reporting systems, information services, transportation and facilities, and space management. In addition, the OASA manages the transit benefit program for approximately 130 agencies Nationwide.

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

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

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WCF Services in FY 2023

The following section outlines the activities planned with the resources requested in FY 2023. The section is grouped by the three main programmatic areas: DOT Activities; Shared Services; and Non-DOT Activities.

~ WCF Services in FY 2023: DOT Activities ~

FY 2023 DOT Activities (000s)	
Administration	$230,862
Information Technology	$204,578
Total	$435,440

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

OFFICE OF ADMINISTRATION: Administration Activities $230.862 million

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

Acquisitions & Procurement Operations $9.777 million

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

Building Security $19.493 million

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

Disability Resource Center $3.825 million

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

population of staff with adjustments made to exclude certain position series with stringent medical requirements.

DOT Cross Functional Activities **$3.001 million**

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

DOT Property & Space Management **$6.533 million**

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

E-Gov Initiatives **$4.593 million**

The 24 E-Gov Initiatives serve citizens, businesses, and Federal and state government employees by delivering high quality services. This business line consolidates over 115 separate DOT interagency agreements into 8 E-Gov Initiative agreements.

Emergency Response Programs **$1.803 million**

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

Financial Management, Accounting & Administration **$15.076 million**

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

Headquarters Services Management **$4.947 million**

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

HQ Facility Operations & Management **$88.299 million**

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

houses the Secretary of Transportation, seven Operating Administrations, and over 5,500 federal employees and contractors. This requests include $57.747 million to consolidate the 11 individual modal and OST Offices occupancy agreements into one overarching DOT HQs occupancy agreement in FY2023.

Human Resource Systems **$22.289 million**

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

Human Resource Services **$21.749 million**

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

DOT's Automated Staffing Services Executive Agent (EA) housed within the FHWA and with payments centralized through the WCF, is expanding its service offering to provide centralized classification and personnel action processing for all DOT operating administration.

The Departmental Leadership and Supervisory training Center of Excellence is transferring into the WCF in FY2022. The Federal Transit Administration (FTA) has been designated as the single center of excellence to provide high quality training opportunities to the operating administration for Departmental Leadership and Supervisory Training.

The expanded DOT Automated Staffing Services along with the FTA Leadership and Supervisory Training Centers of Excellence will be billed through the WCF to Departmental Operating Administrations.

Information & Records Management **$7.772 million**

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

Security Operations **$8.798 million**

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

Substance Abuse Awareness & Testing **$3.154 million**

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

DOT Transit Benefit Program **$7.686 million**

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

Unemployment Compensation **$2.067 million**

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

CHIEF INFORMATION OFFICER: Information Technology Activities $204.578 million

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

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

Business Management and IT Administration **$12.406 million**

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

Campus Area Network (CAN) **$28.408 million**

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

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

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

Cybersecurity As a Service (CAS) **$10.066 million**

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

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

support required enterprise information sharing and reporting to the Office of Inspector General, DHS, and the Office of Management and Budget.

Desktop Services **$46.103 million**

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

Enterprise Dashboard **$0.315 million**

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

Enterprise Licenses **$6.490 million**

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

Server and Messaging Services **$70.404 million**

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

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

Voice, Cable & Wireless **$30.386 million**

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

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~ WCF Services in FY 2023: Shared Services Activities ~

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

OFFICE OF ADMINISTRATION: Administration Shared Services - $3.071 million

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

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

CHIEF INFORMATION OFFICER:
Information Technology Shared Services – $66.774 million

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

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

Currently, the technical architecture at DOT is inconsistent, with many outdated, insecure, or non-standard solutions. Decentralized IT has inhibited consistent interpretation and application of cybersecurity, privacy, and other policies, resulting in unnecessarily duplicative and inconsistent applications and practices. Modern, efficient, and secure technologies are not being utilized consistently. For example, data requests, which are an important aspect of the

Department's ability to make decisions and ensure the safety of the public, require significant effort to standardize and quality check.

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

In FY 2023, OCIO will continue to focus on investment-level commodity IT Spend. As OCIO and the modes have worked together to schedule consolidation activities, DOT has identified additional commodity IT spending, including security needs associated with commodity IT. The estimates include the remaining activities from the original commodity IT consolidation, and adds the supplementary commodity IT not previously identified.

- IT Security: IT Security and Compliance activities, particularly authorization to operate (ATO) services, not previously defined as Commodity functions. DOT spend in this area is not currently included in the FY 2021 limitation. It is essential that IT security is managed centrally to ensure consistency of risk management across DOT's systems and applications.
- Investment-level Commodity IT Spend: OAs often excluded commodity IT items supporting program offices from the original IT commodity template, including web hosting or cloud services. OCIO has expanded its IT commodity service offerings and gained more insight into OA IT spend since the data was first gathered in 2017. This spend is not programmatic and should be consolidated as part of the Commodity IT phase.

FY 2023 Commodity IT Shared Services Spending Request (000s)	
Campus Area Network	$0
Circuit Connections	
Cybersecurity as a Service	$9.726
* Security Operations Center Services * Vulnerability Tracking & Remediation * Website Vulnerability Tracking * Weakness Identification, Tracking & Remediation * Incident Management for Commodity IT * PIV Card Infrastructure & Credentialing, Authentication & Access Control Services * System Contingency Planning & Testing * Security Planning, Authorization & Assessment * Security Awareness & Training * Continuous Monitoring Tool & Licensing, Departmental Governance * Risk & Compliance Tool (CSAM), Management & Support * Vulnerability Identification, and System Security Operation Policy & Guidance	
Desktop Services	$5.176
Desktop Support, Field Support, Anti-virus protection	
Directory & Messaging Services	$0
Active Directory Services and Email Services	
Network Engineering	$4.059
Network Hardware & Software, Networking Hardware & Software Support, and Secure Remote Access	
Server Operations (on premise and cloud)	$18.405
* **Common Server Services:** Server Administration, Server Hardware & Software, Server Hardware & Software Support, Patch Management, Disaster Recovery, Storage and Hosting * **Collaboration Services:** Microsoft SharePoint and Microsoft Teams * **Data Services:** Enterprise Data Tools (Tableau, Cloudera, Socrata), Secure Data Platforms, and Data Dashboards * **Enterprise Solutions:** Transportation.gov Website, Enterprise Web Platform and Security, Electronic Document Management System, Oracle Licenses, and Geospatial Licensing & Support (ESRI)	
Voice Cable & Wireless	$29.408
Telephone & Voicemail Services, Video Teleconferencing, and Wireless Services	
Total	**$66.774**

Commodity IT Shared Services Personnel

In support of the movement of commodity IT into the WCF, an additional 49 FTP are required in direct correlation to the workload associated with commodity IT. The 49 FTP are required to manage help desk support, phone system management, circuit updates, server management, SharePoint and website support, commodity IT project management, and cybersecurity-associated tasks. A significant portion of Common Operating Environment (COE) Services that require federal and contract labor support were transitioned into the WCF in FY2020 and continue to transition in FY2021.

Nine of the 49 positions have been filled as of January 2022. The remaining unfilled positions will be advertised and open to internal DOT candidates. Staff who do not apply or are not selected will remain in his or her operating administration. Positions not filled with internal candidates will be posted on US Jobs until all positions have been filled.

~ WCF Services in FY 2023: Non-DOT Activities ~

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

OFFICE OF ADMINISTRATION: Administration Activities $258.940 million

Administrative Services $4.699 million

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

Employee Fitness Center Fees $0.196 million

Fees collected from DOT employee for DOT Fitness Center membership.

Non-DOT Transit Benefits & Parking $253.987 million

The TRANServe Program Office is a Federal Government shared services provider for transit benefits to 132 Federal agencies with approximately 150,000 participants. TRANServe provides this fringe benefit in accordance with the Internal Revenue Code section 132(f). This program receives funding under two different authorities in performing its various roles in support of DOT and Non-DOT agencies:

- Non-DOT WCF under Section 103 of the Further Consolidated Appropriations Act, 2020 (Div. H, Pub. L. 116-94); and

- Employee Parking Deposits for parking spaces to DOT employees under GSA Federal Management Regulation.

The Parking Management Program sells, issues, and administers weather-secure parking spaces in the DOT headquarters building. In addition, the program provides oversight to FAA for the management of their parking fees. The Parking Office collects money from the sale of parking permits for the regular monthly parking, temporary parking, and FAA parking.

Purchase Card Program **$0.059 million**

This program receives funds from purchase card rebates to oversee the Departmental purchase card program. This program provides mandatory training to all OAs (including FAA) and maintains support systems throughout the Department for ensuring compliance with the Government Purchase Card (GPC) laws and regulations.

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Changes in the FY 2023 Request

The following section outlines the changes in resources planned in FY 2023. The section is grouped by the three main programmatic areas: DOT Activities; Shared Services; and Non-DOT Activities.

~ Changes in the FY 2023 Request: DOT Activities ~

DOT Activities $109.657 million: Changes to the Lines of Business below make up the net change from FY 2022 requested levels:

OFFICE OF ADMINISTRATION: Administration Activities - $65.905 million

- Acquisition and Procurement Operations is increasing by $1.378 million which reflects $1.01 million increase for the additional support needed for IT ACE efforts; $0.292 for two additional FTP needed for Purchase Card Oversight and the Chief of Contracting Office, and $0.076 in small contract and COLA increases.

- Building Security is increasing by $1.047 million due to wage increases associated with the armed Protective Security Officer contract, and for updates to the camera system, perimeter security, the physical access control system, and an outdated security console at the FAA headquarters facilities.

- DOT Cross Functional Activities has an increase of $1.210 million primarily due to the new REALMS Rulemaking System, and an increase to the Westlaw/Nexis/Lexis Pass-through previously provided through interagency agreements.

- DOT Property & Space Management has an increase of $2.459 million for implementation of the DOT-wide Enterprise Asset Personal Property System of Record.

- E-Gov Initiatives have decreased by $0.456 million. The Integrated Acquisition Environment increase in FY 2022 was a one-time increase due to a delay in transition from the DUNS number to the new unique entity identifier.

- Financial Management, Accounting and Administration has an increase of $1.898 million estimated FY23 COLA increase, additional Federal Executive Boards, and refinement of estimates.

- HQ Facility Operations and Management has an increase of $57.800 million which is driven by the consolidation of modal rent occupancy agreements into one DOT Headquarters rent agreement within the WCF.

- HR Services is increasing by $1.609 million for additional FTE needed in HR Operations, added DOT Executive Coaching Services, and contract escalation over various business lines.

- Transit Benefits and Parking has a decrease of $1.543 million due to refined estimates of program usage.

- Several WCF Business lines had small changes with a net increase of $0.503 million.

CHIEF INFORMATION OFFICER: Information Technology Activities - $43.752 million

- Business Management and IT Administration is increasing by $3.857 million due to the cost of capital improvements, such as the ITMS upgrade, and the full annual cost of transitioned personnel.

- Campus Area Network is increasing by $5.784 million due to $2.962 million increase for maintenance of capital assets, $2.0 million in additional modal capital asset purchases that will be transferred into the fund, and $0.822 million for increased contract costs and annualization of contract estimates for customers.

- Cybersecurity as a Service is increasing by $1.182 million due to increased contract and Interagency Agreement estimates.

- Desktop Services is increasing by $16.419 million. This is due to the DOT Bipartisan Infrastructure Law IT impact of $14.533 million. $1.886 million is due to changes in contract estimates, and the filling of vacant positions.

- Server & Messaging Services is increasing by $18.567 million due to a $5.642 million transition of the FMCSA NATTS Shared Services contract into the COE, and $12.925 million related to capital assets purchases that includes $7.68 million in additional funding for COE capital asset replacements and $5.245 million modal capital asset purchases that will transition into the fund.

- Voice, Cable and Wireless business line is decreasing by $2.375 million due to a planned reduction in expanded circuit bandwidth for data traffic.

- Other net increases of $0.318 million for Information Technology Activities have been incorporated in and are reflected in the revenue estimates to the WCF customers.

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~ Changes in the FY 2023 Request: Shared Services ~

Shared Services – (-$23.545) million: There is a decrease for the WCF Administration and IT Shared Services. WCF Administration Shared Services decreased by $0.629 million and Commodity IT refinements results in a decrease of $22.916 million. Changes to the Shared Services below make up the net change.

OFFICE OF ADMINISTRATION: Administration Activities - $(-0.629) million

Implementation of the Enterprise Personal Property System.

CHIEF INFORMATION OFFICER: Information Technology Activities – (-$22.916) million

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

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~ Changes in the FY 2023 Request: Non-DOT Activities ~

Non-DOT Activities – (-$47.395) million: Changes to the Non-DOT Activities below make up the net change.

A decrease of $47.298 million in Transit Benefits and Parking is the result of changes in the enrolled customer base and projected utilization of Fare Media. The WCF business lines with NON-DOT Activities decreased in the amount of $0.097 million due to minor changes in customer demand across multiple business lines.

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<u>Anticipated FY 2022 Accomplishments</u>:

OFFICE OF ADMINISTRATION: The Office of the Assistant Secretary for Administration is committed to developing and supporting the mission of the Department through fair, equitable and collaborative approaches, which allows the WCF to continue to provide superior administrative services. The OASA will continue to focus on supporting the existing pilot

activities and business process standardization and will review strategies on how to best measure and evaluate the impact of DOT's consolidation efforts through the use of business intelligence capabilities such as: data analytics, performance metrics and dashboards.

Specific program activities will include:

- Continue to provide security upgrades to the FOB-10A Orville Wright Building (FAA) that will enhance Lenel alarm system coverage for building perimeter entrances at 10A and expand the Bosch Closed-Circuit Television (CCTV) system coverage to include the FAA Administrator's Suite and the Washington Operations Center Complex (WOCC), which are critical areas within the building. The CCTV security features are based on recommendations in the Intelligence Community Directive 705 (ICD 705), Technical Specifications for Sensitive Compartmented Information Facilities (SCIF), to have cameras outside perimeter entrances of SCIFs, such as the WOCC.

- Begin upgrading the DSX Physical Access Control System (PACS) at FOB-10A to integrate with the Lenel PACS at the Southeast Federal Center Headquarters Building, as the DSX system is outdated, at end of life and not compliant with Homeland Security Presidential Directive 12 (HSPD-12) or OMB M-11-11 requirements. Once the DSX PACS panels are replaced with Lenel PACS panels, the existing card readers, doors and contacts will also be upgraded.

- Continue to strengthen the Department's culture of Acquisition Excellence in supporting Executive Orders on Economic Relief, Social Equity, Buy America, Buy American, Climate, and Sustainability by integrating awareness and training for OST Acquisition Workforce members, achieving bold goals for small business utilization, and targeted oversight for existing and new OST procurements.

- GSA approved DOT's request for delegation of building O&M services: The government's purchase of DOT Headquarters in March 2020 provided an opportunity for the Department to assume a more active role in managing the building. Delegation enable's DOT to directly manage all building activities and costs associated with cleaning, operations, maintenance, and space assignments. DOT now has full authority to manage building operations and maintenance (O&M). Instead of sending O&M funds to GSA which has been the case since the building became operational in 2007, the funds will be actively managed by the WCF to cover building O&M costs that include the facilities service contract, utilities, water & sewage, and FTE to provide facilities oversight.

CHIEF INFORMATION OFFICER: In FY 2022, OCIO will continue to modernize the Department's information technology (IT) infrastructure and improve cybersecurity posture through the *DestinationsDIGITAL* initiative. The OCIO is committed to securely delivering the highest quality IT services to customers, including telecommunications, messaging, directory services, a fully-consolidated DOT headquarters network, service desk, and related services. Operating Administrations (OA) will continue to contract with the OCIO for these services and reimburse the WCF for the cost of the services.

Continuing to consolidate commodity IT services in FY 2022 will:

- Improve the cybersecurity posture of tools, technology, and activities associated with common services;
- Create IT operating efficiencies by streamlining contractor staff;
- Reduce the number of IT contract actions by centralizing service and contract management;
- Provide a standardized environment for service delivery that reduces the Department's Cybersecurity risk exposure;
- Improve user experience through increased service reliability;
- Leverage economies of scale to reduce unit costs and/or expand support coverage; and
- Implement recruitment strategies to fill Shared Service vacancies.

In FY 2022, OCIO anticipates continuing the transition of commodity IT, including associated security needs, into the WCF. By the end of FY 2022, we anticipate that data circuits and recently identified support and software license contracts will be transitioned to WCF/enterprise vehicles. These efforts will enable the OAs to free up resources from duplicative IT functions and concentrate on mission critical systems.

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

The WCF will continue to provide efficient administrative services in the acquisitions, human resources, information technologies, facilities, print management and physical security arenas.

DOT utilizes a shared services vision for the Department that delivers mission enabling IT services that improve the cybersecurity posture of the Department, creates greater efficiency for IT operations, and presents a strategic advantage to the mission accomplishment of the Department.

Explanation of Funding Changes for the Working Capital Fund (DOT Activities and Shared Services Activities) (000s)		
FY 2022 Request		**$419.173**
FY 2023 Program Changes		**$86.113**
Description	**Explanation**	**(+/-)**
Assistant Secretary for Administration		
Acquisition & Procurement Operations	$1.01 million increase for the additional support needed for IT ACE efforts; $0.292 for two additional FTE needed for Purchase Card Oversight and the Chief of Contracting Office; and $0.076 in small contract increases	$1.378
Security Operations	New Guard Contract with Adjusted DOL Labor rates - and new security equipment	$1.047
DOT Cross Functional Activities	Pass-through added for Westlaw/Lexis/Nexis during FY2021 and Rulemaking System being added in FY2023	$1.210
DOT Property & Space Management	Implementation of Enterprise-wide Personal Property System	$2.459
E-Gov Initiatives	Removes FY2022 one-time increase due to a delay in transition from the DUNS number to the new unique entity identifier	($0.456)
Financial Mgmt, Accounting, & Administration	Increase in COLA estimate, Federal Executive Boards addition, and refinement of estimates	$1.898
HQ Facility Operations & Management	Consolidation of 11 DOT modal occupancy agreements into one WCF agreement	$57.800
Human Resource Services	Additional DOT Executive Coaching Services, three additional FTE, and contract escalation over various business lines	$1.609
Transit Benefits & Parking	Refined estimates of program usage	($1.543)
Shared Services	Refined estimates for admin shared services	($0.629)
Other	Changes in customer demand and refined user estimates	$0.503
Assistant Secretary for Administration Sub Total:		*$65.276*
Chief Information Officer		
Business Management & IT Administration	$3.033 million for capital improvement upgrades and $0.824 million for updated contract and personnel costs	$3.857
Campus Area Network (CAN)	Replacement of Capitalized Equipment and the transition of Modal Capitalized Equipment into the fund	$5.784
Cybersecurity as a Service	Contract and IAA reductions	$1.182
Desktop Services	$14.533 million for BIL requirements. $1.886 million for changes in contract estimates and staffing vacant positions	$16.419
Enterprise Dashboard	Updated contract estimates	($0.047)
Enterprise Licenses	Changes in customer demand and increased license costs	$0.365
Server & Messaging Services	FMSCA contract transition into the COE $5.642 million Funding for capital asset replacements $7.68 million Modal capital asset $5.245 million	$18.567
Voice, Cable & Wireless	Reduction in IT Bandwidth	($2.375)
Shared Services	Refinements of Commodity IT not previously identified	($22.916)
Chief Information Office Sub Total:		*$20.837*
Total FY 2023 Request		**$505.285**

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

Operating Administration	FY 2023 Request Admin	Admin SS	OCIO	OCIO SSC	Total
OST	$ 18,226	$ -	$ 18,179	$ -	$ 36,405
FAA	45,742	0	14,924	0	$ 60,667
FHWA	16,297	0	40,473	4,142	$ 60,912
FRA	5,683	0	12,582	5,204	$ 23,468
NHTSA	8,442	0	23,066	2,106	$ 33,613
FTA	5,861	0	8,505	1,024	$ 15,389
GLS	494	0	1,068	0	$ 1,563
VOLPE	1,032	0	3,855	10,440	$ 15,327
MARAD	6,190	0	13,663	2,640	$ 22,493
OIG	3,751	0	2,554	2	$ 6,307
FMCSA	8,900	0	26,308	545	$ 35,753
OST-R	3,945	0	4,205	2	$ 8,153
PHMSA	5,286	0	10,332	1,138	$ 16,756
DOT Unspecified	80,858	3,071	6,529	39,531	$ 129,989
BIL Unspecified	1,050		14,534		$ 15,584
SUBTOTAL	$ 211,757	$ 3,071	$ 200,777	$ 66,774	$ 482,379
Other Expenses					
Capital Assets	$ 0	$ 0	$ 17,104	$ 0	$ 17,104
Depreciation	0	0	(10,150)	0	(10,150)
Net NON-DOT Intrafund Costs	8,469	0	0	0	8,469
Net WCF Intra Fund Costs	10,636	0	(3,152)	0	7,484
TOTAL	**$ 230,862**	**$ 3,071**	**$ 204,578**	**$ 66,774**	**$ 505,285**

Legend:
SSC: Shared Services Commodity

Crosswalk of DOT Operating Costs/Expenses

The WCF is a fee-for-service operation which receives no direct appropriations. Instead, the WCF is a self-sustaining reimbursable fund. During the budget formulation stage, the WCF provides to its customers operating cost estimates they will need to contribute to the WCF. These estimates are based on historical data and projected on-demand service levels. The preceding chart is a summary of the DOT operating cost estimates to our customers based on full cost recovery. These operating costs represent the costs provided to each Operating Administration during the fiscal year.
To crosswalk the DOT customer operating costs to DOT obligations, it is necessary to account for items that are (a) at the time of budget formulation were not directly attributable to a specific customer or (b) not directly collected as operating costs.

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

The DOT unspecified amounts in FY 2023 relate to an increase in COLA estimates, expanded Center of Excellence services provided by FHWA and FTA and Shared Services consolidations that will vary greatly across the WCF customer base. Additionally, the FY 2023 unspecified includes on-demand services such as facility services and personnel services which are subject to fluctuation in customer demand.

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 Enacted	FY 2023 Pres. Budget
Personnel Compensation and Benefits	5,000	5,000	5,350
Travel	2,000	2,000	2,020
Other Costs	13,000	13,000	12,630
Programs	-	-	-
TOTAL	20,000	20,000	20,000
STAFFING			
Direct FTPs	35	35	35
Direct FTEs	32	32	32

Detailed Justification for the Transportation Safety Institute

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

The Transportation Safety Institute (TSI) provides transportation safety and security training to Federal, State and local governments, the private sector, and foreign transportation professionals on a cost-recovery ("fee-for-service") basis. This program supports the Department's Safety Strategic Goal by reducing transportation-related deaths and injuries. Through high quality instruction, TSI provides valuable assistance to meeting the Department's safety goals and creates a safer transportation system for the traveling public.

Since 1971, TSI has trained more than 1,000,000 transportation professionals on a reimbursable basis. Many clients represent repeat business, and TSI training is in demand domestically and internationally. Education and training are key factors in improved transportation safety and TSI continues to enhance its safety training services to accommodate changing needs and growing demands.

TSI's training operations program is organized into four training divisions with expertise in specific transportation safety and security topics.

Aviation Safety was designated by Congress in 1963 as the National Aircraft Accident Investigation School. TSI provides aviation safety and aircraft accident investigation training within its Aviation Safety Professional Certificate Training Program under two distinct tracks: Basic and Advanced Aviation Safety Investigator and Basic and Advanced Aviation Safety Officer. TSI provides critical aviation safety training to Federal, State, and municipal agencies, international government, and private industry.

The Division specializes in basic and advanced training courses in Aircraft and Rotorcraft Accident Investigation, and Safety Management Systems (SMS). The Aviation Safety Division provides training and technical assistance to the Interagency Committee on Aviation Policy (ICAP), Customs and Border Protection (CBP), and the Army and Air Force National Guard. TSI has successfully deployed Unmanned Aerial Systems (UAS) in support of Federal Aviation Administration (FAA) and National Transportation Safety Board (NTSB) accident investigations to enhance aircraft accident investigation training.

Transit Safety and Security provides legislatively required and voluntary safety training to the transit industry including public, private, and government professionals. The Division specializes in the development and delivery of safety and security training in the areas of SMS, system safety engineering principles, hazard management, collision/accident investigation, crime prevention, security, substance abuse compliance and program management, and emergency management. The Division provides the training for the Federal Transit Administration (FTA) Transit Safety and Security Professional (TSSP) Program.

Multi-Modal Safety provides a variety of transportation safety-related courses specializing in hazardous materials, pipeline safety and motor carrier safety compliance for Federal, State, and private industry audiences. This division develops and delivers safety courses in the areas of explosives, infectious substances, packaging, cylinders, radioactive materials, pipeline transport of both liquids and gases, and commercial motor vehicle inspections. Through continued partnership with the FAA Office of Security and Hazardous Materials Safety, this division has significantly increased the number of students trained. In addition, the number of courses conducted for Department of Defense's (DOD) Foreign Military Sales (FMS) has increased over 100% the past two years due to new DOD requirements that all FMS recipients take training provided by the TSI Multi-Modal division.

Highway Traffic Safety is responsible for the training of Federal, State, and local highway safety professionals and law enforcement in the development, administration, and evaluation of highway traffic safety programs. Specifically, the courses are an integral component of the National Highway Traffic Safety Administration's (NHTSA) core competencies for employee development in highway safety program development, data analysis and evaluation, managing NHTSA grant funds, occupant protection, impaired driving, and speed management. The division revises and/or develops all curriculum every two years for drug and alcohol enforcement, occupant protection and safety counter measures, impaired driving, pedestrian/bicycle safety and highway safety program/grant management. NHTSA and TSI developed the Highway Traffic Safety Professional Certificate Series for employee and stakeholder professional development. NHTSA and TSI also deliver crash investigation training that support the Crash Investigation Sampling System (CISS), Fatality Analysis Reporting System (FARS), and Special Crash Investigation (SCI).

FY 2022 Anticipated Accomplishments:

- Expand development of virtual live, micro-learning, and e-learning training opportunities for transportation professionals in all modes of transportation: motor carrier, hazardous materials, transit, highway traffic safety, and aviation
- Expand our training products and services to the Aviation Industry, Motor Carrier Industry, and the Department of Defense
- Promote safer global transportation systems by serving domestic and international audiences

Funding Changes:

TSI receives no direct appropriations. TSI receives funding on a cost-recovery basis ("fee-for-service") from Federal, State and local government, the private sector, and foreign transportation stakeholders

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

Through high-quality instruction, TSI provides valuable assistance to the Department and other stakeholders and creates a safer transportation system for the traveling public. TSI has hundreds of subject matter experts currently working for numerous companies that help support our safety training in all transportation modes. This support enables a cost savings to our customers. TSI will continue to enhance its safety training services to accommodate changing needs and growing demands.

ALLOCATION ACCOUNTS

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 Enacted	FY 2023 Pres. Budget
Personnel Compensation and Benefits	11,961	11,961	12,551
Travel	130	130	130
Other Costs	8,828	8,828	8,488
Programs	5,081	5,081	5,081
TOTAL	26,000	26,000	26,250
STAFFING			
Allocation FTPs	60	65	65
Allocation FTEs	49	55	55
Reimbursable FTPs	20	20	20
Reimbursable FTEs	12	20	20

Detailed Justification for the Bureau of Transportation Statistics

What is this program and what does this funding level support?

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

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

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

FY 2022 Anticipated Accomplishments:

- Transformed the agency to collect rapid indicator on COVID-19 impacts on transportation on daily/weekly basis. Continued to monitor more than 40 indicators.

- Led Equity Data and Assessment task to achieve the Department Priority Goals on equity.

- Convened and led Interagency Working Group on Supply Chain Disruption Data Analytics. Weekly supply chain indicators are provided to the National Economics Council to develop resilient, diverse, and secure supply chains to ensure our economic prosperity and national security.

- Led the Department's equity assessment on data and methods. The assessment results will contribute to the Department's reports to OMB and help shape in the development of the Department's equity action plan.

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

- Initiated data collection for the 2022 Commodity Flow Survey to provide post-pandemic benchmarks for the Freight Analysis Framework to support the Department's National Freight Policy and National Freight Strategic Plan, along with a suite of other analyses, both planned and in response to policymaker needs.

- Reinstated the more than 20 year Vehicle Inventory and Use Survey.

- Established with the Office of the Chief Information Officer a DOT Data Council as part of implementation of the Evidence Act.

- Initiated plan to measure Effects of Transportation System on Economic Competitiveness: Develop and initiate implementation of a plan to collect data and publish on the effects of the transportation system, including advanced technologies and automation, on global and domestic economic competitiveness [IIJA Sec. 25004(b)(3)]. These data include research and development investment levels by government and industry, technology deployment, capacity of U.S. transportation to reach foreign markets, international market penetration of U.S. transportation technology, and related factors. These data will provide essential inputs to portions of the Departmental Learning Agenda related to technology development and to the support of international trade and transportation. The learning agenda is required by the Evidence Act.

- Freight and Supply Chain Benchmark Statistics Series: Support the Executive Order on American's Supply Chains (EO 14017) and meet data requirements of DOT multimodal freight policy and programs [IIJA Secs. 21101 – 21107] by expanding BTS freight data programs to produce key benchmark statistics on freight and supply chains on a timely basis. The benchmark statistics will include the geographic extent and diversity of existing supply chains for key industries, resiliency of existing supply chains to surges in demand and disruptions to physical infrastructure, cost of freight movement, and the throughput of physical bottlenecks in the freight transportation system. Of these statistics,

transportation costs will require extensive data collection and analysis since public sources of freight cost data have not been updated significantly since the deregulation of freight carriers in the 1980s. Freight cost data are essential to understanding the potential contribution of transportation to overall inflation.

- Data and Analysis Tools for Local Decision Making: Develop and implement a workplan for providing data and analysis tools to support State, local, and Tribal decision-making [IIJA Sec. 25003]. This work will include:
    - performing outreach to planning and infrastructure decision-making officials in state, local, and tribal governments,
    - summarizing data and analysis needs based on outreach results,
    - identifying existing data that need to be updated,
    - designing data collection programs to fill data gaps,
    - reviewing existing analysis tools,
    - developing and submitting to the Secretary a work plan for updating existing data and analysis tools and for developing any additional data and analysis tools needed to assist local communities with making infrastructure investment decisions of local government, and
    - initiating high-priority components of the plan that are direct extensions of existing nationwide data programs.

Funding Changes:

BTS program funding is authorized in the Infrastructure Investment and Jobs Act (IIJA) (P.L. 117-58; Sec. 11101(c)(1)(F)).

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

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

Key benefits include, but are not limited to:

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

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

critical to targeted infrastructure and operational investments to support the future efficient movement of goods.

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

- Transportation's key role in the economy is highlighted by BTS statistics such as the Transportation Services Index and Transportation Satellite Accounts. Through these time series indicators, policy makers, investors and planners can understand transportation-based economic trends and the depth of reliance of major economic sectors on transportation.

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

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

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

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

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

FUNDING LEVELS	FY 2021 Enacted	FY 2022 Enacted	FY 2023 Pres. Budget
Personnel Compensation and Benefits	876	888	779
Travel	100	100	100
Other Costs	187	187	329
Programs	76,337	78,826	79,293
TOTAL	77,500	80,000	80,500
STAFFING			
Allocation FTPs	5	5	5
Allocation FTEs	5	5	5

Detailed Justification for the University Transportation Centers Program

What is this program and what does this funding level support?

The **University Transportation Centers (UTC)** program's mission is to advance transportation expertise and technology in the many disciplines that comprise transportation through education, research, and technology transfer at university-based consortia. The UTC program provides a critical transportation knowledge base outside of the Department and addresses critical workforce needs for the next generation of transportation professionals across all modes. UTCs are selected based on a rigorous competition which includes research, education and technology transfer activities to address research priorities identified in the legislation.

The UTC Program provides unique benefits to the Department, State departments of transportation, transit agencies, and other transportation providers: a source of independent transportation researchers at leading universities and a steady stream of highly educated professionals in key transportation disciplines such as civil, environmental, mechanical and electrical engineering, urban planning, construction management, computer science, business, psychology, logistics, and others. To achieve the Department's vision of a truly multimodal integrated system, the Department encourages UTCs to cut across these disciplines and span all modes of transportation, enabling improvements to the Nation's entire surface transportation system, inclusive of rail, maritime, highway, pipelines, and transit.

The Program executes nationwide competitions to solicit proposals for transportation research, education and workforce development from institutions of higher education. The authorization of such activities results from legislative authority. The need for innovation in the industry has resulted periodic provision of additional funding from appropriation bills. These 'out-of-cycle' funding competitions are also executed and managed by the Program.

Through the competitively-selected UTCs, OST-R supports and strengthens our nation's transportation intellectual and academic capital that is of vital importance to innovation and to the transformation of the Nation's surface transportation systems.

Current research within the UTC program ranges from applied to advanced, and is becoming increasingly multimodal. In order to develop the multimodal transportation system of future generations, advanced research must be carried out in the present. Universities are one of the greatest research assets this country holds, and this type of multimodal advanced research belongs at universities—particularly universities well-experienced in and capable of performing advanced transportation research. The universities in the UTC program are such universities.

FY 2022 Anticipated Accomplishments:

The UTC Program plans the following activities for FY 2022:

- The formulation, development and announcement of a UTC competitive solicitation for three types of UTCs (National, Regional and Tier 1 centers) as authorized in the Infrastructure Investment and Jobs Act, based on proven industry and best-practice

models.

- The development, completion and submission of the Annual UTC Report to Congress. This report: highlights examples of ongoing or recently completed UTC research projects by each Center; outlines the technology transfer planning and reporting requirements to guide and strengthen the UTCs technology transfer activities; summarizes UTC program-wide performance indicators measuring productivity at individual Centers; and identifies research repositories used to disseminate results of UTC research.

- The provision and administration of continued funding for FY 2022 to qualified UTCs to conduct research and education programs. This effort ensures the timely obligation of funds to the various UTC entities.

- Publication and delivery of technical presentations at National and regional technical conferences.

- Conduct of technical seminars, webinars and workshops for transportation professionals.

- Development of new/improved guidelines on planning, operations, design or maintenance issues.

- Training of highly qualified university graduates specializing in the transportation sector.

- Development of new technologies for application to transportation systems.

- National outreach activities to disseminate research findings to transportation professionals across the nation.

Funding Changes:

UTC program funding is authorized in the Infrastructure Investment and Jobs Act (IIJA) (P.L. 117-58; Sec. 11101(c)(1)(E)). This funding includes an administrative set-aside of 1.5% percent designated by 49 USC 5505(d)(3) to support oversight activities. In addition, the IIJA (P.L. 117-58; Division J, Title VIII) **includes a supplemental advanced appropriation of $19 million to be appropriated each year for five years,** in addition to amounts made available under Sec. 11101.

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

Funding the UTC program will result in a safer, equitable and a more technologically advanced surface transportation system. The research conducted by these Centers will ultimately save lives and reduce injuries. The monetary savings to the public comes through the increased safety

of the system, but it also comes through reduced congestion, more resilient infrastructure, and cleaner communities with increased equitable access to multiple modes of transportation.

This program prepares the next generation of transportation leaders and experts to deal with not only the problems of today, but also with the advanced technologies of tomorrow, replacing an aging workforce that is not as well-versed in the newer technologies that can be applied to transportation.

IIJA SUPPLEMENTAL ADVANCE APPROPRIATIONS

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
NATIONAL CULVERT REMOVAL, REPLACEMENT, RESTORATION
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2021 Enacted	FY 2022 Continuing Resolution	FY 2023 Request
National Culvert Removal, Replacement, Restoration - Advance Appropriation	-	200,000	200,000
TOTAL	-	200,000	200,000

STAFFING			
Direct FTPs	0	0	0
Direct FTEs	0	0	0

Appropriations Language

NATIONAL CULVERT REMOVAL, REPLACEMENT, AND RESTORATION GRANTS

[For an additional amount for "National Culvert Removal, Replacement, and Restoration Grants", $1,000,000,000, to remain available until expended, as authorized by section 6203 of title 49, United States Code: *Provided*, That $200,000,000, to remain available until expended, shall be made available for fiscal year 2022, $200,000,000, to remain available until expended, shall be made available for fiscal year 2023, $200,000,000, to remain available until expended, shall be made available for fiscal year 2024, $200,000,000, to remain available until expended, shall be made available for fiscal year 2025, and $200,000,000, to remain available until expended, shall be made available for fiscal year 2026: *Provided further*, That such amount is designated by the Congress as being for an emergency requirement pursuant to section 4112(a) of H. Con. Res. 71 (115th Congress), the concurrent resolution on the budget for fiscal year 2018, and to section 251(b) of the Balanced Budget and Emergency Deficit Control Act of 1985.] *(Infrastructure Investments and Jobs Appropriations Act.)*

Program and Performance Statement

The National Culvert Removal, Replacement, and Restoration Grant Program provides competitive grants to States, local governments, and Tribal governments for projects for the replacement, removal, and repair of culverts or weirs that meaningfully improve or restore fish passage for anadromous fish.

Detailed Justification for
National Culvert Removal, Replacement, and Restoration Grant Program

What is this program and what does this funding level support?

The National Culvert Removal, Replacement, and Restoration Grant Program (culverts grant program) provides grants to States, local governments, and Tribal organizations to address anadromous fish passage (e.g., aquatic organism passage), as well as certain freshwater impacts to marine fish and shellfish species. The new competitive grant program also prioritizes projects that would have a meaningful impact on imperiled and climate-resilient anadromous fish stocks.

Waterway crossings, including bridges and culverts, represent a key element in our overall transportation system. Drainage structures such as culverts that facilitate the flow of water near highway infrastructure can become impediments to healthy aquatic ecosystems because they may result in barriers that can restrict or even prevent the movement (or passage) of fish and other aquatic organisms consideration for road and stream crossings. Beyond often resulting in constriction of the natural stream channel, common physical characteristics that may act as barriers include high water velocity, shallow water depth, turbulence within the culvert, and accumulation of debris. Sediment deposition and erosion at the culvert may also create a barrier to passage.[1] The size, slope, and shape of a culvert can also determine the structure's effectiveness, especially during extreme weather events such as major floods.[2]

The $200 million included in the Bipartisan Infrastructure Law (BIL) for 2023 for the culverts grant program supports the replacement, removal, and repair of culverts or weirs that would improve or restore passage for anadromous fish, as well as infrastructure investments to facilitate fish passage around or over the weir and weir improvements.

FY22 Anticipated Accomplishments

By the end of FY22, funding will be released as a Notice of Funding Opportunity. Review of applications will be underway. The Department anticipates making awards to local, regional, and Tribal governments to execute specific projects for replacement, removal, and repair of culverts or weirs that would improve or restore passage for anadromous fish, as well as infrastructure investments to facilitate fish passage around or over the weir and weir improvements. The funding will also be used for contracting with experts and hiring staff to help administer and effectively manage the program, conducting peer exchanges, developing training, and formulating case studies and pilots to identify best practices and enhancement of potential co-benefits, including climate resilience.

[1] https://www.fhwa.dot.gov/publications/research/infrastructure/structures/bridge/14064/14064.pdf
[2] https://www.fhwa.dot.gov/publications/publicroads/05sep/07.cfm

Funding Changes:

The National Culvert Removal, Replacement, and Restoration Grants program is included in the Bipartisan Infrastructure Law (Public Law 117-58, Division J, Title VIII) includes a supplemental advance appropriation of $200 million to be appropriated each year for five years.

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

As increasing human population leads to an expansion of our infrastructure, the role of roads in natural habitat loss, decline and fragmentation is the subject of increased concern. Specifically, the long-term ecological effects of roads can include habitat loss and fragmentation that changes the species composition of natural communities by contributing to population isolation, decline and extirpation (local extinction).

River and stream corridors provide vital habitat for a wide range of animal species, many of which depend on the ability to move freely throughout their ecosystem in order to complete their life cycles. The importance of human transportation has led to roads that extend through much of the country, inevitably crossing over streams and rivers. Historically, the design of structures to convey water under a road did not consider aquatic or terrestrial animal movement, causing fragmentation of many riverine systems. Recognition of the need to restore habitat connectivity has added ecological considerations to the design and retrofit of road stream crossings.

The $200 million in 2023 funding provided by BIL-advance appropriations will provide resources to State, local and Tribal communities to make priority investments in culverts and weirs to conserve anadromous fish and other aquatic organisms. The objective is to help to restore access to migration and spawning habitat for anadromous fish and other aquatic and terrestrial species while improving functionality. For the first time, the bill creates a new culvert removal and habitat restoration grant program that prioritizes anadromous species such as salmon and will reconstitute access to spawning habitat. This will enable serious investments in some of the current challenges to the recovery of endangered and threatened salmonids and other anadromous and resident species. Additionally, the funding will enable transportation systems and entities to support treaty and other obligations with Tribal Governments.

This program is necessary to provide funding to States, local governments, and Tribes to establish or improve anadromous fish passage as well as provide funding for certain freshwater impacts to marine fish and shellfish species. Through consultation with the Undersecretary of Commerce for Oceans and Atmosphere and Director of the U.S. Fish and Wildlife Service, and coordination with the Office of Management and Budget, it will prioritize projects that would have a meaningful impact on declining stocks. It will also help develop the needed expertise to

identify best practices and strategies to reduce the harm of roadways on aquatic organisms, and to enhance co-benefits, including water management and climate resilience. In alignment/conjunction with similar AOP aspects of the BIL, this program will empower local communities to take significant action to improve the interaction of roads with aquatic organisms and recover declining fish stocks.

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
STRENGTHENING MOBILITY & REVOLUTIONIZING TRANSPORTATION
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Smart Grants - Advance Appropriation	-	100,000	100,000
TOTAL	-	100,000	100,000

STAFFING			
Direct FTPs	0	0	0
Direct FTEs	0	0	0

Appropriations Language

STRENGTHENING MOBILITY AND REVOLUTIONIZING TRANSPORTATION GRANT PROGRAM

[For an additional amount for "Strengthening Mobility and Revolutionizing Transportation Grant Program", $500,000,000, to remain available until expended, as authorized by section 25005 of division B of this Act: *Provided* , That $100,000,000, to remain available until expended, shall be made available for fiscal year 2022, $100,000,000, to remain available until expended, shall be made available for fiscal year 2023, $100,000,000, to remain available until expended, shall be made available for fiscal year 2024, $100,000,000, to remain available until expended, shall be made available for fiscal year 2025, and $100,000,000, to remain available until expended, shall be made available for fiscal year 2026: *Provided further* , That such amount is designated by the Congress as being for an emergency
requirement pursuant to section 4112(a) of H. Con. Res. 71 (115th Congress), the concurrent resolution on the budget for fiscal year 2018, and to section 251(b) of the Balanced Budget and Emergency Deficit Control Act of 1985.] *(Infrastructure Investments and Jobs Appropriations Act.)*

Program and Performance Statement

The Strengthening Mobility and Revolutionizing Transportation (SMART) Grant Program will harness technology, analytics, and innovation to improve transportation safety and efficiency. The SMART program aims to achieve safety, climate, and equity goals by supporting demonstration projects focused on advanced smart city or community technologies and systems in a variety of communities.

Detail Justification for the Strengthening Mobility and Revolutionizing Transportation Grant Program

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

The Strengthening Mobility and Revolutionizing Transportation (SMART) Grant Program will harness technology, analytics, and innovation to improve transportation efficiency and achieve safety, climate, and equity goals by supporting demonstration projects focused on advanced smart city or community technologies and systems in a variety of communities.

- Transportation efficiency priorities include reduced congestion and increased reliability of facilities and systems.
- Safety priorities include safety for pedestrians and cyclists, investment in vehicle-to-everything technology, and improved emergency response.
- Climate priorities include improved energy efficiency, reduced emissions, and increased resiliency of transportation systems.
- Equity priorities include transportation investment for improved reliability and access to jobs, education, and services, and expanded access and reduced cost for underserved and disadvantaged populations.

The program supports State, local, and Tribal governments and enables planning, coordination, and deployment of technology approaches that address these urgent priorities. Those technologies include coordinated automation, connected vehicles, intelligent sensor-based infrastructure, systems integration, commerce delivery and logistics, leveraging use of innovative aviation technology, smart grid, and smart technology traffic signals.

In addressing complex issues, the program supports teams consisting of one or more eligible entity(ies) (State, local, Tribal government) alongside partners from the private sector, academia, think tanks and nonprofit organizations, and community organizations. The program is structured to support a broad and diverse set of projects and facilitate sharing of best-practices. The program will thereby address key priorities for communities while also proving technologies in complex environments, leading to technology transfer and commercialization, enhanced economic growth, and positioning the United States to lead in the global industry of Smart Cities[1] technology.

FY 2022 Anticipated Accomplishments:

The SMART Grants Program plans the following activities for FY 2022:

- Establish the SMART Grants program within the Office of the Secretary, supported by

[1] Smart cities and communities use advanced information and communications technologies to find new ways to solve problems like potholes and pollution, traffic and parking, public health and safety, and equity and public engagement. These bold new solutions have the potential to change the face of transportation by closing the gap between rich and poor, capturing the needs of young and old, and bridging the digital divide through smart design so that the future of transportation meets the needs of all. Smart cities create an intelligent, integrated information network by applying sensors and wireless communications technologies to infrastructure, vehicles, wearables, and any number of physical devices. They use this network to receive, analyze, and share data to make better decisions and provide more responsive, efficient, data-driven services. (https://its.dot.gov/smartcities/SmartCities.pdf).

hiring subject matter experts and coordinated by representatives from the Office of the Assistant Secretary for Policy and the Office of the Assistant Secretary for Research and Technology.

- The development of a new grant program targeting state, local, and tribal governments and their partners.
- External engagement with State, local, and Tribal elected leadership and transportation systems leadership to encourage participation in the SMART Grant program.
- Engagement with key industries that would likely participate in SMART Grant proposals, including automotive, broadband, construction, data systems, mapping, sensing, and traffic signalization industries.
- Engagement with academic partners that would likely participate in SMART Grant proposals, including University Transportation Centers and stakeholders of the Transportation Research Board.
- Engagement with key partners on SMART Grant proposals, including non-profit organizations and think tanks specializing in transportation and smart cities technology issues, along with advocacy and community organizations representing beneficiaries and end users of such technologies.
- Engagement with federal agencies with interests in transportation and connectivity technologies, including the Department of Energy, Department of Commerce, and the National Science Foundation.
- Participation in national conferences to promote the SMART Grant program
- Offer technical assistance to proposing teams whose proposals are not selected for funding.

Funding Changes:

The SMART Grants program is authorized in the Bipartisan Infrastructure Law (BIL) (P.L. 117-58; Sec. 25005). In addition, the BIL (P.L. 117-58; Division J, Title VIII) **includes a supplemental advanced appropriation of $100 million to be appropriated each year for five years**, in addition to any amounts made available under Section 25005.

What benefits will be provided to the American Public through this request?

Funding the SMART Grant program will result in a safer, more efficient, climate-friendly, and equitable transportation system. It creates a framework, through program design, partnerships, and technical assistance, that ensures technology approaches are addressing urgent priorities in communities. It positions technologies to be proven in complex environments, solving immediate issues while cultivating ideas, technologies, and companies that will lead the global Smart Cities industry, creating jobs and economic growth.

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
SAFE STREETS AND ROADS FOR ALL
Appropriations, Obligation Limitations, and Exempt Obligations
($000)

FUNDING LEVELS	FY 2021 Enacted	FY 2022 CR (with IIJA Oblim)	FY 2023 Pres. Budget
Safe Streets and Roads for All - Advance Appropriation	-	1,000,000	1,000,000
TOTAL	-	1,000,000	1,000,000

STAFFING			
Direct FTPs	0	5	15
Direct FTEs	0	3	10

Appropriations Language

SAFE STREETS AND ROADS FOR ALL GRANTS

[For an additional amount for "Safe Streets and Roads for All Grants", $5,000,000,000, to remain available until expended, for competitive grants, as authorized under section 24112 of division B of this Act: *Provided* , That $1,000,000,000, to remain available until expended, shall be made available for fiscal year 2022, $1,000,000,000, to remain available until expended, shall be made available for fiscal year 2023, $1,000,000,000, to remain available until expended, shall be made available for fiscal year 2024, $1,000,000,000, to remain available until expended, shall be made available for fiscal year 2025, and $1,000,000,000, to remain available until expended, shall be made available for fiscal year 2026: *Provided further* , That the Secretary shall issue a notice of funding opportunity not later than 180 days after each date upon which funds are made available under the preceding proviso: *Provided further* , That the Secretary shall make awards not later than 270 days after issuing the notices of funding opportunity required under the preceding proviso: *Provided further* , That such amount is designated by the Congress as being for an emergency requirement pursuant to section 4112(a) of H. Con. Res. 71 (115th Congress), the concurrent resolution on the budget for fiscal year 2018, and to section 251(b) of the Balanced Budget and Emergency Deficit Control Act of 1985.] *(Infrastructure Investments and Jobs Appropriations Act.)*

Program and Performance Statement

The Safe Streets and Roads for All grant program provides grants, on a competitive basis, to regional, local, and Tribal governments to prevent transportation-related fatalities and serious injuries on our Nations roadways. This program funds the development of comprehensive safety action plans to support Vision Zero or Toward Zero Deaths. The funding also allows recipients to conduct planning, design, and development activities for projects and strategies or to carry out projects and strategies identified in a comprehensive safety action plan.

Detailed Justification for the Safe Streets and Roads for All Grant Program

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

The Safe Streets and Roads for All (Safe Streets) competitive grant program creates a new source of funding to support investments to prevent transportation-related fatalities and serious injuries on our Nation's roadways. The program would provide awards to local governments and tribes to develop a comprehensive safety action plan, commonly referred to as Vision Zero or Toward Zero Deaths. The program also allows recipients to conduct planning, design, and development activities for projects and strategies – or to carry out projects and strategies – identified in a comprehensive safety action plan.

The $1 billion Safe Streets program will fund the creation of comprehensive safety action plans that could aim to measure the goal and timeline for eliminating fatalities and serious injuries; location and severity of crashes; or data driven approaches to identifying projects or strategies. This program also seeks to adopt innovative technologies or strategies to promote safety and address safety concerns.

The Department strives to significantly reduce or eliminate transportation-related fatalities and serious injuries involving various road users, including pedestrians, bicyclists, public transportation users, motorists, and commercial operators. The Safe Streets program will enable DOT to also ensure equitable investment in the safety needs of underserved communities aligned with the Administration's priorities.

FY 2022 Anticipated Accomplishments:

- DOT will release a Notice of Funding Opportunity for the $1 billion Safe Streets program. Review of applications will be underway.

- The Department anticipates making awards to local, regional, and Tribal governments to develop roadway safety action plans and to execute specific projects and strategies.

Funding Changes:

The Safe Streets and Roads for All Grants program is included in the Bipartisan Infrastructure Law (BIL) (Public Law 117-58; Sec. 24112). The BIL (Public Law 117-58, Division J, Title VIII) also includes a supplemental advance appropriation of $1 billion to be appropriated each year for five years, in addition to the amounts made available under Section 24112.

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

Right now, we face a crisis on our roadways. Almost 95 percent of our Nation's transportation deaths occur on America's streets, roads, and highways, and they are on the rise. An estimated 38,680 people died in motor vehicle crashes in 2020. In the first half of 2021, an estimated 20,160 people died, up 18.4 percent compared to the first six months of 2020. To address this crisis, in January 2022, the Secretary released the Department's National Roadway Safety Strategy (NRSS). A committed action in the NRSS is to leverage this program for safety funding.

The $1 billion in funding will allow communities with control over many important aspects of roadway safety – the design and maintenance of roads, promoting safe driver behaviors, etc. – to take meaningful steps to prevent these deaths from occurring. The direct funding for regional and local governments specifically for safety purposes makes the program unique, and without the funding the Department's ability to empower local communities to take significant action to improve safety would be diminished.

SECTION 4: RESEARCH, DEVELOPMENT, AND TECHNOLOGY

EXHIBIT IV-1
DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY OF TRANSPORTATION
FY 2023 RESEARCH, DEVELOPMENT & TECHNOLOGY BUDGET REQUEST BY GOAL
BUDGET AUTHORITY
(in thousands of dollars)

Budget Account	FY 2021 Enacted	FY 2022 Continuing Resolution	FY 2023 Request	Applied	Tech Transfer	Facilities	Experimental Development	Major Equipment, R&D Equipment
A. Transportation Planning, Research & Development (TPR&D)	**9,350**	**9,350**	**19,648**	**19,648**	**-**	**-**	**-**	**-**
B. Research & Development (R&D)	**22,800**	**22,800**	**48,147**	**40,847**	**1,800**	**-**	**5,500**	**-**
Research & Technology Programs	7,715	7,715	5,718	5,418	300	-	-	-
Resilent Infrasturcture	1,000	1,000	-					
Recycle Plastics	800	800	-					
Emergency Planning Data Initiative	1,000	1,000	-					
Shared Mobility Use	2,970	2,970	-					
Advanced Research Projects Program for Infrastructure (ARPP-I)	-	-	3,000				3000	
GPS Backup/Complementary PNT Technologies	-	-	5,000	4,000	500		500	
Highly Automated Systems Safety Center of Excellence (HASS-COE)	3,000	3,000	5,000	4,000			1,000	
Climate Change Center	-	-	5,000	3,000	1000		1,000	
Transportation Vulnerability and Resilience Data Program	-	-	3,000	3,000				
Development of the Transportation Cost Burden and Other Access Measures			3,000	3,000				
Departmental Office of Evaluation Research	-	-	4,000	4,000				
Competitive University Transportation Center (UTC) Consortia (FHWA)	[77,500]	[80,000]	[80,500]	80,500]				
Administrative Costs								
Research & Technology Programs	6,315	6,315	14,429	14,429				
Total	**32,150**	**32,150**	**67,795**	**60,495**	**1,800**	**-**	**5,500**	**-**

EXHIBIT IV-2
DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY OF TRANSPORTATION
FY 2023 RD&T PROGRAM FUNDING BY DOT STRATEGIC GOAL
BUDGET AUTHORITY
(in thousands of dollars)

ACCOUNT/PROGRAM	DOT STRATEGIC GOALS						
	FY 2023 REQUEST	SAFETY	ECONOMIC GROWTH	EQUITY	CLIMATE & SUSTAINABILITY	TRANSFORMATION	ORGANIZATIONAL EXCELLENCE
A. Transportation Planning, Research & Development (TPR&D)	**19,648**	**2,287**	**2,287**	**1,100**	**9,400**	**2,287**	**2,287**
Research and Technology	**48,147**	**15,309**	**500**	**3,500**	**5,750**	**13,429**	**9,659**
Research & Technology Salaries and Expenses	14,429	2,619		-	-	3,951	7,859
Research & Technology Programs	5,718	1,410		-	-	4,308	
Advanced Research Projects Program for Infrastructure (ARPP-I)	3,000					3,000	
EO 13905 Implementation/GPS Signal Authentication	5,000	5,000					
Highly Automated Systems Safety Center of Excellence (HASS COE)	5,000	1,280				1,920	1,800
Climate Change Center	5,000				5,000		
Transportation Vulnerability and Resilience Data Program	3,000	3,000					
Development of the Transportation Cost Burden and Other Access Measures	3,000			3,000			
Departmental Office of Evaluation Research	4,000	2,000	500	500	750	250	
Vehicle Electronics and Cybersecurity							
Alternative Fuel Vehicle Safety							
Vehicle Research & Test Center							
TOTAL	**67,795**	**17,596**	**2,787**	**4,600**	**15,150**	**15,716**	**11,946**

FY 2023 RESEARCH DEVELOPMENT & TECHNOLOGY PROGRAM SUMMARY

The following summarizes the Research, Development & Technology (RD&T) activities within the Office of the Secretary (OST) planned in FY 2023. Within OST, the two offices with the overarching RD&T activities are within the Office of the Under Secretary of Transportation for Policy: Transportation Planning, Research and Development (TPR&D) and the Office of the Assistant Secretary for Research and Technology (OST-R). The information below is a compilation of the TPR&D and OST-R detailed justifications with some additional information highlighting the specific work in these areas.

Transportation Planning, Research and Development

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

The TPR&D programs coordinate national, international, and multimodal transportation issues, analyze safety data and the value of transportation safety improvements, and study how to increase the economic efficiency, competitiveness, and impact of transportation. In addition, TPR&D supports regulatory modernization associated with environmental review and permitting, enables the safe testing and deployment of automated vehicles (AV) in our Nation's transportation systems, and works to advance innovation, including non-traditional and emerging transportation (NETT) technologies.

TPR&D research, analysis, and project development serve a variety of functions, including providing data and assessment tools necessary to determine how key programs and transportation communities are performing and supporting Departmental priorities to advance the economic competitiveness of U.S. companies, particularly post COVID-19 pandemic.

Resources in this appropriation support the following cross-modal programs and policy priorities:

<u>Interagency Infrastructure Permitting Improvement Center (IIPIC) and On-line Permitting Dashboard</u>

IIPIC collects and reports data for projects published on the Permitting Dashboard in accordance with the Fixing America's Surface Transportation (FAST) Act and reporting standards issued by the Office of the Secretary (OST) that establish metrics for permitting and environmental review of infrastructure projects tracked on the Permitting Dashboard. Additionally, IIPIC is continuing to develop new policy and technology improvements to enhance synchronized/coordinated environmental review and permitting among agencies, promote shared National Environmental Policy Act documents to satisfy all environmental reviews and permits, and provide easily accessible project information to inform and engage

the public . This includes identifying additional best practices associated with early and equitable stakeholder engagement as well as facilitating advanced planning for mitigation of project impacts, including reduction of greenhouse gas emissions and use of landscape or watershed-level approaches to achieve improved environmental and community outcomes. The Program requires continued funding to support future activities to implement reforms to improve interagency coordination and track priority projects, It also develops and promotes tools and best practices to ensure that the burdens or negative impacts of transportation infrastructure are not disproportionately born by disadvantaged communities. This includes funds necessary to maintain, operate, and enhance the Permitting Dashboard. Funding for the IIPIC and the Permitting Dashboard will enable the continuation of work to ensure a more equitable and transparent infrastructure permitting and review process.

Climate Change Center

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

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

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

National Roadway Safety

Roadway deaths account for more than 90 percent of all transportation-related fatalities, and have been above 35,000 since 2015. Traffic fatalities are the biggest safety issue facing this Administration, and the status quo is unlikely to yield significant progress. The funds would support safety policy development and coordination that cross Operating Administration program areas and authorities, allow a robust engagement with external stakeholders, enhance OST's ability to successfully implement legislation and regulations focused on safety, and perform safety analyses that further policy development in cross-cutting roadway safety issues of interest to the Administration and Congress. The outcome would be a strengthened, coordinated effort that will improve the Department's ability to have a concerted, well-supported effort that will change the

status quo for advancing national roadway safety.

Pedestrian, Bicyclist, and Micromobility

More and more Americans are using multiple forms of transportation such as walking, biking, and other small, low-speed devices such as scooters to address their travel needs. Pedestrian, bicyclist, and micromobility policy activities and program areas are distributed throughout the Department, yet there is no dedicated funding source that holistically advances national policy development and coordination for these alternative modes of transportation. This would provide funds to advance pedestrian, bicyclist, micromobility policy and program activities and applied research that cut across the authorities and programs of the Operating Administrations. The funding will enhance OST's ability to leverage walking, biking, and micromobility policy activities to support our Departmental objectives related to safety, planning, equity, climate change, and technological innovation.

Technology and Innovation

Due to advancements in artificial intelligence, computing capabilities, sensing systems, connectivity and other core fundamental technologies, DOT has been increasingly approached by innovators where it is not feasible for DOT to accurately assess their technology readiness level (TRL), quantitatively assess their safety claims, and assess its interoperability within the transportation system. The Virtual Open Innovation Collaborative Environment for Safety (VOICES) platform, seeded by DOT, has the potential to enable the future of transportation by allowing high-definition virtual testing of concept vehicles and guidance systems that provides confidence in how these systems will work in the real world. Its greatest capability however, is to combine multiple modes of transportation and industry participants in the same virtual environment while protecting the intellectual property of each participant so that the federal, state and local observers are able to learn how systems will interoperate in given environments and conditions that must be addressed by policy and regulation.

Racial Equity and Justice40

Equitable access to transportation is a civil right. It touches every part of American lives and makes the American Dream possible: getting people and goods to where they need to be, directly and indirectly creating good-paying jobs, providing access to jobs, education and healthcare, and helping improve quality of life. The Department stresses a holistic approach and framework to addressing equity and systemic barriers to receiving benefits and opportunities. Department is implementing the Executive Order on Advancing Racial Equity and Support for Underserved Communities Through the Federal Government (EO 13985), as well as areas of the Justice40 initiative (i.e., climate justice and economic justice) to deliver meaningful and measurable benefits to disadvantaged and underserved communities.

International Affairs

The U.S. Department of Transportation is integral in advancing domestic and international climate ambitions as set out in: A) the U.S. renewed membership in the United Nations Framework

Convention for Climate Change (known as the Paris Agreement), B) the Biden Administration's international climate agenda set forth at the Leaders' Summit on Climate, and C) EO 14008: Tackling the Climate Crisis at Home and Abroad and EO 14027: Establishment of the Climate Change Support Office. DOT is mandated to incorporate climate into our Department's international strategy. The Office of International Transportation and Trade will develop multimodal international climate policies, strategies, programs, technical assistance, and interagency partnerships to reduce transport emissions and foster the decarbonization of the global transportation sector. The Department aims to regain its global leadership role in bilateral and multilateral fora, including ICAO, IMO, OECD/International Transportation Forum (ITF), G7, G20, and the UN World Forum for the Harmonization of Vehicle Regulations (WP.29).

The Department's international climate strategy includes the development of a compendium. The program funding will support the collection of information and data analysis of: (1) Country-level transportation emission inventories, using data at the modal level; (2) Country-level, modally disaggregated transportation Nationally Determined Contributions (NDCs); and (3) Multilateral, regional and national standards supported by the U.S. that promote ambition and integrity in mitigating transportation sector emissions; and (4) DOT and USG mitigation capabilities and expertise in the transportation sector, cross-tabulated with opportunities for American jobs.

The Safe Skies for Africa (SSFA) Program supports the Biden-Harris Prosper Africa Build Together Campaign by showcasing American leadership in aviation management and technologies. It creates an important air safety, security, climate and environment policy dialogue between the United States and African countries through USG technical assistance, capacity building, and export of U.S. goods and services to counter other nations' influence. SSFA program funding will target African states and regional economic communities of interest to the U.S government and private sector, and work with them to foster and sustain internationally compliant aviation operations (namely ICAO standards). The program will advance Departmental safety, climate, and economic strategic objectives, and the overall USG priority of increasing market access for the aviation sector. State Department, NSC, OMB and other Departments and Agencies are fully supportive of DOT's SSFA program and engagement in Africa.

Aviation Data Research, Integration, and Analytics to Support Competition and Regional Connectivity: The Office of Aviation Analysis engages in research, integration, analysis, and presentation of aviation industry data to support existing programs and economic policy matters, including antitrust immunity cases, joint venture reviews, state of the airline industry updates for senior officials. The focus of the Office's efforts will be in three areas: (1) Ongoing MITRE FFRDC contract work for econometrics; (2) SABRE aviation data tools, and (3) Aviation data modernization technical implementation funding, working with OST-R's Office of Airline Information. This funding supports ongoing work that is the architecture of the Department's analytical function for competitive, labor, environmental, and aviation industry commercial issues.

Office of the Assistant Secretary for Research and Technology

RD&T Coordination Program

The RD&T Coordination program does not fund research activities, but rather focuses on coordinating the Department's research portfolio to eliminate potentially duplicative research activities, optimizing the effective use of Department-wide research resources, and ensuring that the Department's research activities are coordinated with the wider transportation research community. Specific duties include: strategic research planning; review of Department-wide research budgets and modal funding plans; aligning Departmental research with policy objectives; implementing best practices in innovation development and deployment across the Department's Operating Administrations (OA); and working with the OAs to ensure transparency and public access to the Department's research portfolio and its products.

Partners include DOT OAs and Secretarial Offices, other Federal departments and agencies, and State and local planning entities, including DOTs. Other partners include the Transportation Research Board (TRB), TRB Cooperative Research Programs, the Association of State Highway and Transportation Officials (AASHTO), academic institutions, and transit authorities. OST-R also partners with the private sector including the owners and operators of transportation infrastructure, and international entities such as the European Commission and the International Transport Forum.

In FY 2023, the RD&T Coordination Program intends to expand its coordination, communication, and collaboration activities to include more intensive engagement with national and international transportation research stakeholders, to accelerate transportation innovation. This will ensure that the research activities funded by the Department are in full alignment with national and international research efforts, such that the Department's own diverse research investments add value, incorporate best practices, and do not duplicate non-DOT research activities in significant aspects. This expansion in scope will require increased funding.

Examples of the programmatic activities include:

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

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

Public Access to Federally Funded Research:
OST-R works in partnership with the OAs to provide information on the Department's research, development and technology projects and their products. This critical information is used as the basis for OST-R's research coordination and collaboration mission. The PMDS built capabilities through the use of natural language processing tools to accelerate research reviews and enable cross-agency identification of synergies and tracking. PMDS helps ensure the continued collection of up-to-date project information by developing updated tools and processes and by coordinating across all OAs.

The PMDS and Research Hub work together to ensure RD&T portfolio transparency, track progress towards research coordination, meet the statutory mandate for a Consolidated Research Database and support the requirements of federal-wide Public Access and Open Science mandates. The Research Hub database consists of a web-based, publicly available centralized repository of RD&T project records obtained from each OA. These two systems databases support research coordination by providing project-level access to the Department's extensive RD&T portfolio, leveraging opportunities for cross-agency and external collaboration. These two systems are being integrated into one database to develop reports on pertinent research topics, and to continue to identify gaps and potential duplication in ongoing research activities across the Department.

Technology Transfer (T2):
T2 activities focus on leveraging the Department's research products to facilitate commercialization and subsequent "real world" benefits. The program works with the OAs to assist them in understanding and implementing best practices in research product development and deployment and in building technology transfer mechanisms into research planning early in the process. The program supports OST-R's overall RD&T coordination mission.

In FY 2023, the T2 Program intends to expand its activities to ensure that the significant increases in research investment that began in FY 2022 are leveraged through the demonstration and deployment of the resulting products and technologies. The program expansion will also allow more intensive engagement with public and private sector deployers of research products, resulting in public-private partnerships that further accelerate "real world" technology deployment. These increased responsibilities will require increased funding and an additional FTE to provide a dedicated T2 Program Manager.

Topical Research Working Groups:
To enhance DOT-wide research coordination and collaboration, in 2018 OST-R identified twelve multimodal topic areas that span the Department's research portfolio, including "Mobility Innovation", "Environmental Stewardship", "Emerging/Enabling Technologies", and "State of Good Repair". Topical Research Working Groups (TRWGs) are established in each topical research area, composed of representatives from the OAs and OST offices conducting research activities within each area. Each working group is assigned to an OA or OST office with a chair designated from that agency to lead the working group. The working groups generally meet monthly and have been successful in raising awareness and exchanging information on research activities underway across DOT, raising awareness of the wider transportation research field outside DOT within each topical area, assisting in the elimination of duplicative research efforts across DOT, and identifying cross-modal research needs and collaboration opportunities.

DOT Climate Change Center:
RD&T Coordination successfully led re-institution of the Department's statutorily authorized by 49 U.S.C. 102 (g), "Office of Climate Change and Environment," multi-modal Center for Climate Change in FY 2021, in partnership with the Office of the Assistant Secretary for Transportation Policy. The Center ensures cross-modal coordination and collaboration in climate change mitigation and adaptation/resilience, and tracks climate change activities across the Department through OA and OST representation on the Center's steering group. It will promote innovation and research; establish an information infrastructure; ensure consideration of equity issues related to climate change, and integrate climate policies across the Department.

In direct support of the research, data and analysis, and evidence-building efforts required to inform decisions and to meet DOT goals in response to the Climate Crisis, and to support the goals of EO 14008, "Tackling the Climate Crisis at Home and Abroad", DOT requests funding to continue expanding the statutorily-authorized Climate Change Center in FY 2023.

FY 2022 Anticipated Accomplishments from the Climate Center program include:

- Coordinating the development of all OA Annual Modal Research Plans (AMRPs);
- Conducting the annual review, approval, and Secretarial certification to Congress of DOT's Annual Modal Research Plans (AMRPs);
- Conducting the FY 2022 Research Review and Approval Process (RRAP);
- Conducting a series of Biannual Research Reviews to monitor progress made by the modal administrations towards prior year objectives and to discuss plans for the coming fiscal year;
- Inproving the Department-wide PMDS to more effectively coordinate and review DOT's research portfolio through its RRAP; and communicate with OST leadership on Department-wide RD&T activities;
- Providing training in processes and best practices for facilitating technology transfer;
- Leading collaborative efforts within the Department in response to mandates from Lab to Market Cross-Agency Priority Goal (chaired by Office of Science and Technology Policy and National Institute of Standards and Technology), Federal Laboratory Consortium, and Interagency Working Group for Technology Transfer;
- Expanding the DOT Climate Change Center with additional FTEs to run a climate office to guide and support the Center with independent funding for cross-modal projects initiated through the Center.
- Developing a new DOT RD&T Strategic Plan to align with the *FY22-26 DOT Strategic Plan*.

Cross-Modal Research Priorities (CMRP) Program

OST-R works with Federal and non-Federal stakeholders to advance the development and deployment of cross-modal Secretarial research priorities. This program focuses on providing a means to address research priorities that span multiple modes and/or require intensive

coordination with other Federal and non-Federal partners. This program ensures the cost-effective leveraging of complementary research efforts underway outside the Department, and ensures the elimination of duplicative research efforts. Example priority areas include infrastructure resilience and disaster recovery, racial equity and climate change.

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

In FY 2023 the CMRP program will continue to work on high-priority cross-modal topic areas that address Secretarial priority areas. It is anticipated that the program will continue to focus on high priority cross-modal research areas that include:

- Working with State and local partners to test disaster recovery decision-making tools for use in the aftermath of regional-scale natural and man-made disasters.

- Research needs for transportation system resilience.

- Funding cross-modal research in other high priority areas such as climate change and racial equity.

The program has expanded its portfolio in recent years to include cross-modal projects assigned to the Department in areas such as infrastructure resilience and shared mobility research for disadvantaged groups. This significant portfolio expansion requires additional funding to execute, which is requested in FY 2023.

FY 2022 Anticipated Accomplishments from the CMRP program include:

- Completing a project on "Resilient Infrastructure" to expand technical assistance and training to help state DOTs, local governments, and Tribal governments incorporate reliable indicators of vulnerability and actionable mitigation measures in all phases of transportation planning and asset management, being conducted by the National Academies of Sciences, Engineering, and Medicine (assigned in FY 2022).

- Completing the Tools to Augment Transportation Infrastructure Resilience and Disaster Recovery project (Phase 3) that focuses on piloting the resilience tools with State and local transportation agencies.

- Initiating a "Shared-use Mobility" project to increase mobility options for disadvantaged groups, particularly in rural areas (assigned in FY 2021).

- Approaching completion of a "Recycled Plastic Materials in Transportation" project, being conducted by the National Academies of Sciences, Engineering, and Medicine (assigned in FY 2021).

Positioning, Navigation, and Timing & Spectrum Management

OST-R coordinates Federal civil agency positioning, navigation, and timing (PNT) requirements, evaluation of technologies, and architecture development to enhance PNT resiliency; to ensure protection of the Global Positioning System (GPS) and other PNT and spectrum-based safety-of-life transportation capabilities from harmful interference; and to assess availability of radiofrequency spectrum to meet future transportation needs. These objectives support the Secretary's priorities for safety, as well as preparing for the future by engaging with new technologies to ensure safety and resiliency without hampering innovative emerging technologies.

Focus areas for the PNT & Spectrum Management program in FY 2023 include identification and evaluation of transformative radiofrequency spectrum technologies to ensure safety for automated vehicles, as well as innovations to improve spectrum sharing and efficiency.

Research in FY 2023 also will address PNT capability gaps such as interference to GPS and the need for PNT resiliency, including cyber resiliency; interference detection; GPS signal and data authentication; and implementation of the Complementary PNT demonstration recommendations.

FY 2022Anticipated Accomplishments from the PNT & Spectrum Management program include:

- Evaluation and testing of innovative technologies to ensure transportation safety, while improving spectrum sharing and efficiency;
- Evaluation of spectrum monitoring techniques that could be utilized to detect harmful interference caused by authorized operations by Ligado in the adjacent radiofrequency band to GPS, and implementation of a real-time GNSS interference detection capability;
- Execution of EO 13905 Vulnerability Assessment and Testing to support PNT Profile development and implementation of the National R&D Plan for PNT Resilience objectives;
- GPS Signal Authentication research in conjunction with DoD and DHS; and
- Implementation of recommendations from the GPS Backup and Complementary PNT Demonstration Report.

Highly Automated Systems Safety Center of Excellence

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

The HASS COE shall—

- Serve as a central location within the Department of Transportation for expertise in automation and human factors, computer science, data science, artificial intelligence, machine learning, sensors, cybersecurity, and other technologies involving automated systems;

- Collaborate with and provide support on highly automated systems to all DOT Operating Administrations (OAs); and

- Have a workforce composed of DOT, including direct hires and term employees or detailees from the OAs and other Federal agencies.

Employees of the HASS COE, in conjunction with the relevant DOT OAs, shall review, assess, and validate the safety of highly automated systems to ensure their safety.

FY 2022 Anticipated Accomplishments from the HASS COE include:

- Coordinating across DOT OAs and the stakeholder community to identify the major research and technology areas involved in transportation automation;

- Coordinating with OST-M to map occupational codes and skillsets to the major research and technology areas involved in transportation automation;

- Coordinating with the USDOT Operating Administrations to identify the primary skillset, expertise and knowledge gaps existing across the transportation modes;

- Implementing the HASS COE Staffing Plan as submitted to Congress by requesting and justifying Full Time Equivalent (FTE) billets to staff the office;

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

- Developing a HASS COE Strategic Narrative, Goals and Objectives;

- Developing a HASS COE Stakeholder Engagement Plan to identify the stakeholder community across USDOT, Other Government Agencies, industry and academia, and to establish the strategy to engage with each component of the stakeholder community; and

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

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

SECTION 5: INFORMATION TECHNOLOGY BUDGET NARRATIVE

INFORMATION TECHNOLOGY
DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY (OST)
BUDGET AUTHORITY

($000)

Budget Account	FY 2021 Enacted	FY 2022 President's Budget	FY 2023 Request
Cyber			
Commodity IT SS WCF	$2.852	$3.450	$3.350
Modal IT	$12.148	$35.950	$36.650
Cyber Total	**$15.000**	**$39.400**	**$40.000**
Salaries and Expenses (S&E)			
Commodity IT SS WCF	$11.908	$12.030	$14.829
DOT Agency WCF Contribution Passthrough	$20.335	$22.831	$23.049
Non-CIO IT WCF	$9.119	$10.893	$9.981
Modal IT	$25.290	$30.946	$29.865
Salaries and Expenses Total	**$66.652**	**$76.700**	**$77.723**
Office of Research and Technology (OST-R)			
Commodity IT SS WCF	$3.495	$3.562	$4.207
Modal IT	$1.344	$1.369	$0.873
OST-R Total	**$4.839**	**$4.932**	**$5.080**
Volpe			
Commodity IT SS WCF	$15.170	$14.295	$14.295
Modal IT	$6.211	$7.086	$7.086
Volpe Total	**$21.381**	**$21.381**	**$21.381**
Total	**$107.872**	**$142.413**	**$144.184**

The Office of the Secretary (OST) is requesting **$144.184 million** in FY 2023 for information technologies (IT) that support the full spectrum of OST programs as well as the Department's initiative to transform and consolidate the management of certain IT solutions centrally by the Office of the Chief Information Officer (OCIO).

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

OCIO will continue to provide all modes Commodity IT Shared Services in FY 2023 to achieve economies of scale and increase consistency of cybersecurity protections across the Department. Commodity IT Shared Services include IT functions and activities dedicated to basic support services, including network operations, end-user computing, telecommunications services, and server operations.

- OST requests **$3.350 million** from the Cyber Appropriation Account, **$14.688 million** from the Salaries and Expenses (S&E) Appropriation Account, **$4.207 million** from the Office of Research and Technology (OST-R) Appropriation

Account, and **$14.295 million** from the Volpe Appropriation Account for Commodity IT Shared Services. OST's share was based on actual commodity IT consumption in prior years as well as planned future consumption. OCIO, in collaboration with OST, assumed a one-to-one cost estimate to transition all commodity IT to OCIO. OST will only be charged for services rendered.

- **Non-CIO IT Working Capital Fund** – OST requests total of **$9.981 million** from the S&E budget account. Non-CIO IT WCF services and systems include, but is not limited to, the Workers Compensation Information System, the Personnel Security Enterprise System (PSES), and the Human Resources (HR) & Payroll Services. The Office of the Assistant Secretary for Administration (OST-M) contributes majority of the total Non-CIO IT WCF for OST.

- **DOT Agency WCF Contribution Passthrough** – OST requests **$23.049 million** for DOT's contribution to the inter-agency agreement systems, such as Budget Formulation and Execution, e-Rulemaking, and e-Travel Fee for Service shared by multiple Federal Agencies.

Modal IT

The following major mission-critical IT systems will be maintained by OST in FY 2023. This list is only a subset of all IT systems that support OST and are reported in CIMS.

- **DOT IT Security and Compliance Program** – OST requests **$40 million** in the Cyber Appropriation account DME and O&M. DOT-wide IT Security and Compliance Support. The CIO is committed to providing Department-wide protection of information and IT infrastructure assets against the risk of loss, misuse, disclosure, or damage due to security vulnerabilities. This funding supports cyber security initiatives, including necessary upgrades to network and IT infrastructure, enhancement of identity management and authentication capabilities, securing and protecting data, testing and assessment of IT against business, security, and other requirements, implementation of Federal cyber security initiatives and implementation of enhanced security controls on agency computers and mobile devices.

- **Delphi** – OST requests **$1.910 million** in the Salaries and Expenses (S&E) account development, modernization, and enhancement (DME) and operation and maintenance (O&M). Delphi is the Department's financial management and data repository system that provides its users with the ability to search, browse, maintain, share, classify, register and standardize financially administered items through a web-based application. It includes a real-time invoicing tool that improves efficiency and data transparency by reducing the time between invoice submission and payment. Delphi also provides grant recipients with accurate invoice status reporting capabilities.

- **Consolidated Automated System for Time and Labor Entry (CASTLE)** – OST requests **$0.148 million** in the Salaries and Expenses (S&E) account DME and O&M. CASTLE records DOT's employee Time and Attendance (T&A).

- **Enterprise Service Center (ESC) Procurement Information System for Management (PRISM)** – OST requests **$1.251 million** in the Salaries and Expenses (S&E) account DME and O&M. ESC PRISM supports multiple purchasing sites, electronic routing and approval, requisitioning, electronic notifications, contract management, and post award processing and closeout.

- **Other IT maintenance and support contributions staying within OST** – OST requests **$14.203 million** in the Salary and Expense DME and O&M of these systems to provide IT program and project management, strategic planning, and other technology in alignment of OST OCIO's mission. They include, but is not limited to direct CIO support and administration, Amazon Web Services support, Section 508 compliance, Aviation Decisions Data Systems, Grants Notification system, and Airline Performance and Economic Information System.

FY 2023 Budget

Department of Transportation (DOT) Information Technology Budget Summary

(Budget Authority in Thousands)

Operating Administration (OA)	FY 2021 Enacted	FY 2022 President's Budget	FY 2023 Request
Federal Aviation Administration (FAA)	$3,158,329	$3,151,915	$3,259,150
Federal Highway Administration (FHWA)	$113,117	$111,386	$112,440
Federal Motor Carrier Safety Administration (FMCSA)	$80,677	$42,323	$64,200
Federal Railroad Administration (FRA)	$39,385	$33,124	$33,883
Federal Transit Administration (FTA)	$36,030	$32,807	$33,829
Maritime Administration (MARAD)	$39,326	$29,383	$28,872
National Highway Traffic Safety Administration (NHTSA)	$58,956	$63,678	$TBD
Office of Inspector General (OIG)	$9,607	$11,175	$12,379
Office of the Secretary (OST)	$107,872	$142,413	$144,184
Pipeline and Hazardous Materials Safety Administration (PHMSA)	$29,239	$25,424	$26,339
Great Lakes St. Lawrence Seaway Development Corporation (GLS)	$2,263	$2,533	$2,500
DOT Total	**$3,674,801**	**$3,646,161**	**$3,717,776**

Amount labeled "TBD" are pending enactment of the Infrastructure, Investment and Jobs Act.

	FY 2021 Enacted	FY 2022 President's Budget	FY 2023 Request
Commodity IT SS WCF Subtotal	$190,059	$185,098	$208,705
Programmatic IT Subtotal	$3,484,743	$3,461,063	$3,534,242
DOT Total	**$3,674,802**	**$3,646,161**	**$3,717,776**

Note: Totals may not add due to rounding.

The Department of Transportation (DOT) is requesting $3.717 billion in FY 2023 for information technology (IT) that supports its diverse customers while addressing DOT's expanding and evolving mission and business needs. All of DOT and Operating Administration (OA) systems, support, and services contribute to the core values of the shared service transformation and are constantly being evaluated and enhanced. Additional detail on OA programmatic spending can be found in individual Section 5s.

SECTION 6: TEN-YEAR HISTORY TABLE

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

	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2020 Actual	FY 2021 Enacted	FY 2022 Continuing Resolution	FY 2023 Pres. Budget
SALARIES AND EXPENSES	107,000	105,000	108,750	114,000	112,813	113,910	115,490	126,174	143,030	184,419
ARRA - National Surface Transportation System	0	0	0	0						
FINANCIAL MANAGEMENT CAPITAL	7,000	5,000	5,000	4,000	6,000	2,000	2,000	2,000	5,000	5,000
OFFICE OF CIVIL RIGHTS	9,551	9,600	9,678	9,751	9,500	9,470	9,470	9,600	12,628	20,555
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	3,088	3,099	3,084	4,646	4,646	3,488	4,646	4,714	4,977	7,094 [1/]
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	7,000	6,000	8,500	12,000	14,000	7,879	10,879	9,350	12,797	19,648
TPR&D Cancellation of Unobligated Balances	-2,750	0	0	0	0	0	0	0	0	0
NATIONAL INFRASTRUCTURE INVESTMENTS	600,000	500,000	500,000	500,000	1,500,000	900,000	1,000,000	1,000,000	1,000,000	1,500,000
INFRASTRUCTURE FOR REBUILDING AMERICA	0	0	0	0	0	0	0	0	0	0
MINORITY BUSINESS RESOURCE CENTER	925	925	933	941	500	500	0	0	0	0
CYBER SECURITY INITIATIVES	4,455	5,000	8,000	15,000	15,000	15,000	15,000	22,000	39,400	48,100
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	0	0	0	3,000	3,000	5,000	5,000	5,000	3,800	3,850
RESEARCH AND TECHNOLOGY	14,765	13,000	13,000	13,000	23,465	8,471	21,000	22,800	39,400	48,147
ESSENTIAL AIR SERVICE	[118,906]	[110,164]	[105,653]	[121,801]	[133,742]	[145,437]	[114,869]	[82,887]	[40,623]	[51,640] [2/]
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	149,000	155,000	175,000	150,000	155,000	175,000	162,000	141,724	247,700	368,727

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

[2/] Overflight fees collected by FAA.

SECTION 7: OIG AND GAO REPORT

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2021

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
1	GAO	OST	10/3/2008	GAO-09-56	Highway Safety: Foresight Issues Challenge DOT's Efforts to Assess and Respond to New Technology-Based Trends	In order to improve the information available to the Congress for reauthorization, analyze and report on trends currently anticipated to affect highway safety through 2020 and beyond in a systematic fashion--including information on high-clockspeed trends, discussion of evidence about these and other individual trends, their implications and potential interactions, and DOT responses.	1/31/2022	N/A	N/A
2	GAO	OST	10/3/2008	GAO-09-56	Highway Safety: Foresight Issues Challenge DOT's Efforts to Assess and Respond to New Technology-Based Trends	Evaluate whether or not new approaches to data collection are needed to better track new trends related to highway safety.	1/31/2022	N/A	N/A
3	GAO	OST	10/3/2008	GAO-09-56	Highway Safety: Foresight Issues Challenge DOT's Efforts to Assess and Respond to New Technology-Based Trends	In order to develop an approach to decision making and the development of evidence on high-clockspeed trends highway safety that are characterized by uncertainty, consider and evaluate practices and principles for making decisions under conditions of uncertainty and for using data in such decision making and, on that basis, develop an approach to guide decision making on high-clockspeed trends that, although somewhat uncertain, may affect highway safety.	1/31/2022	N/A	N/A
4	GAO	OST	10/3/2008	GAO-09-56	Highway Safety: Foresight Issues Challenge DOT's Efforts to Assess and Respond to New Technology-Based Trends	In order to improve the information available to the Congress for reauthorization, determine, in consultation with relevant congressional committees, schedules for periodic reporting that will be sufficiently frequent to update the Congress on fast-changing trends.	1/31/2022	N/A	N/A
5	OIG	FHWA	2/5/2009	ZA2009033	Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	Recover the unallowed excecutive compensation costs and other unallowable expenses identified in this audit - $2.8 million in unallowable executive compensation and $1.6 million in other unallowable indirect charges.	12/31/2021	N/A	N/A
6	OIG	FHWA	2/5/2009	ZA2009033	Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	By implementing the recommendations in this report, FHWA could put approximately $30.2 million in future Federal-aid funds to better use.	12/31/2021	N/A	N/A
7	OIG	OST	11/15/2010	FI2011022	Timely Actions Needed to Improve DOT's Cybersecurity	Identify and implement automated tools to better track contractors and training requirements.	3/1/2022	N/A	N/A
8	GAO	FHWA	9/7/2011	GAO-11-703	On-the-Job Training: Federal Highway Administration Needs to Strengthen Program Assessment	To establish accountability for meeting the programs' goal of increasing the participation of traditionally underrepresented groups in the highway construction workforce, create and implement an oversight mechanism that (1) holds states accountable for meeting federal training criteria and (2) clearly stipulates how FHWA will assess state program effectiveness, including what type of program achievement data states are to submit and how such data will be used. This oversight mechanism should include assessing the effectiveness of its division offices in overseeing state activities.	10/1/2021	N/A	N/A
9	OIG	OST	11/14/2011	FI2012007	FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	In conjunction with OA CIOs, create, complete or test contingency plans for deficient systems.	9/30/2021	N/A	N/A
10	OIG	OST	11/14/2011	FI2012007	FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	Enhance existing policy to address security awareness training for non-computer users, address security costs as part of capital planning, correct the definition of "government system", and address the identification, monitoring, tracking and validation of users and equipment that remotely access DOT networks and applications.	9/30/2021	N/A	N/A
11	OIG	FAA	12/20/2011	AV2012027	New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	Develop a standardized procedure for air carriers to report failures of pilot proficiency checks, as well as remedial and recurrent flight training to FAA, and require inspectors to monitor trends and target surveillance to highest risk areas.	10/30/2021	N/A	N/A
12	GAO	PHMSA	3/22/2012	GAO-12-388	Pipeline Safety:Collecting Data and Sharing Information on Federally Unregulated Gathering Pipelines Could Help Enhance Safety	To enhance the safety of unregulated onshore hazardous liquid and gas gathering pipelines, collect data from operators of federally unregulated onshore hazardous liquid and gas gathering pipelines, subsequent to an analysis of the benefits and industry burdens associated with such data collection. Data collected should be comparable to what POHMSA collects annually from operators of regulated gathering pipelines (e.g., fatalities, injuries, property damage, location, mileage, size, operating pressure, maintenance history, and the causes of incidents and consequences).	12/31/2021	N/A	N/A
13	OIG	FHWA	4/5/2012	ZA2012084	Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	Mandate the confidentiality of potential and actual bidders' names and engineer's estimates, as currently recommended in FHWA's competitive bidding and contract award guidance.	11/30/2021	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2021

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
14	OIG	FHWA	4/5/2012	ZA2012084	Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	Implement policies and procedures for ensuring that each State DOT establishes and uses a written, FHWA-approved plan for evaluating competition. These plans should address: assessing bidder interest levels, evaluating and documenting decisions on bids that vary significantly from the engineer's estimate, conducting and documenting bid analysis, identifying and mitigating perceived barriers to increasing competition, and adequately documenting final award decisions.	11/30/2021	N/A	N/A
15	OIG	FHWA	4/5/2012	ZA2012084	Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	Develop and implement effective performance measures and metrics to assess and trend State DOT contract award practices, document concerns, and share best practices with other State DOTs.	11/30/2021	N/A	N/A
16	OIG	FHWA	4/5/2012	ZA2012084	Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	Establish standard FHWA Division Office requirements for performing and documenting oversight of State contracting activity, including stewardship agreement requirements for (a) FHWA approval of procurement policies and procedures and (b) FHWA verification that State DOTs have determined a potential winning bidder's status on the Excluded Parties Listing System list prior to contract award.	11/30/2021	N/A	N/A
17	OIG	PHMSA	6/18/2012	AV2012140	Hazardous Liquid Pipeline Operators' Integrity Management Programs Need More Rigorous PHMSA Oversight	Create a database of pipeline physical characteristics, accidents, and inspections—including geographic location—of individual pipeline units in order to identify and monitor at-risk pipelines.	1/1/2024	N/A	N/A
18	GAO	FAA	9/12/2012	GAO-12-890	Airport Noise Grants: FAA Needs to Better Ensure Project Eligibility and Improve Strategic Goal and Performance Measures	To better ensure that federal investments effectively address the remaining airport noise problem and to more fully demonstrate the results of AIP noise grants,establish a strategic noise reduction goal that aligns with the nature and extent of airport noise and targets the agency's noise grant program.	12/31/2021	N/A	N/A
19	GAO	FAA	9/12/2012	GAO-12-890	Airport Noise Grants: FAA Needs to Better Ensure Project Eligibility and Improve Strategic Goal and Performance Measures	To better ensure that federal investments effectively address the remaining airport noise problem and to more fully demonstrate the results of AIP noise grants, establish performance measures to assess progress toward this goal that better demonstrate the results of the program and provide Congress and FAA's program managers with information to gauge progress and make programmatic decisions.	12/31/2021	N/A	N/A
20	GAO	OST	9/13/2012	GAO-12-902	Slot-Controlled Airports: FAA's Rules Could Be Improved to Enhance Competition and Use of Available Capacity	To help maximize the use of available capacity at slot-controlled airports, enhance competition through greater airline access to slots, and enhance transparency of slot information, apply slot rules to individual slots, as opposed to pools of slots within a slot period.	12/31/2021	N/A	N/A
21	GAO	OST	9/13/2012	GAO-12-902	Slot-Controlled Airports: FAA's Rules Could Be Improved to Enhance Competition and Use of Available Capacity	With respect to possible future regulatory action, consider requiring airlines to schedule a certain percentage, or all, of their slot allocations, similar to practices maintained elsewhere in the world.	12/31/2021	N/A	N/A
22	GAO	FAA	10/4/2012	GAO-13-36	General Aviation Safety: Additional FAA Efforts Could Help Identify and Mitigate Safety Risks	To enhance FA's efforts to improve general aviation safety, improve measures of general aviation activity by requiring the collection of the number of hours that general aviation aircraft fly over a period of time (flight hours). FAA should explore ways to do this that minimize the impact on the general aviation community, such as by collecting the data at regular events (e.g., during registration renewals or at annual maintenance inspections) that are already required.	N/A	Partial Concur	DOT did not agree to fully implement GAO's recommendation. FAA does not plan to collect General Aviation (GA) flight hour data during registration renewals or annual maintenance inspections because this would require rulemaking and could have a significant economic and paperwork impact on the GA industry.
23	GAO	FAA	10/4/2012	GAO-13-36	General Aviation Safety: Additional FAA Efforts Could Help Identify and Mitigate Safety Risks	To enhance FAA's efforts to improve general aviation safety, and to ensue that ongoing safety issues are addressed, set specific general aviation safety improvement goals--such as targets for fatal accident reductions--for individual industry segments using a datadriven, risk management approach.	N/A	Partial Concur	DOT did not agree to fully implement GAO's recommendation. FAA determined that developing credible metrics was not feasible using the General Aviation Activity Survey.
24	GAO	FAA	10/4/2012	GAO-13-36	General Aviation Safety: Additional FAA Efforts Could Help Identify and Mitigate Safety Risks	To enhance FAA's efforts to improve general aviation safety, and to determine whether the programs and activities underlying the 5-year strategy are successful and if additional actions are needed, develop performance measures for each significant program and activity underlying the 5-year strategy.	N/A	Impasse	GAO disagreed that the Agency's corrective actions fully implement the recommendation.
25	GAO	FHWA	12/13/2012	GAO-13-77	Highway Trust Fund: Pilot Program Could Help Determine the Viability of Mileage Fees for Certain Vehicles	To ensure that up-to-date data are available on the road damages imposed by all vehicle types compared with the revenues each contributes to the National Highway Trust Fund, revise and publish the agency's Highway Cost Allocation Study and update it periodically as warranted.	N/A	Partial Concur	DOT did not agree to fully implement GAO's recommendation. Due to resources, FHWA will only conduct a cost allocation study if mandated.

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2021

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
26	OIG	FAA	6/20/2013	AV2013099	FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	Conduct and document a variance analysis of each model's results and assess staffing at field offices where the on-board staffing level varies widely from the current model projection to verify if immediate staffing action is needed in the interest of safety.	9/30/2021	N/A	N/A
27	OIG	FAA	6/27/2013	FI2013101	FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	Implement the provisions of the Intelligence Reform and Terrorism Prevention Act's for pilot certifications.	10/29/2021	N/A	N/A
28	OIG	FHWA	7/12/2013	SA2013111	Cheyenne River Sioux Tribe, South Dakota	Ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	5/1/2022	N/A	N/A
29	OIG	FAA	8/27/2013	AV2013120	FAAs Controller Scheduling Practices Can Impact Human Fatigue Controller Performance and Agency Costs	Identify the terminal air traffic facilities that do not meet the established minimum criteria for midnight shift operations, and (a) evaluate the safety risks and benefits of reducing their hours of operation, and (b) develop milestones for implementation of the reduction of operating hours at the selected facilities and report the status and justification for each selected facility to the OIG in 180 days.	2/28/2022	N/A	N/A
30	OIG	FAA	8/27/2013	AV2013121	FAA is Making Progress But Improvements in Its Air Traffic Controller Facility Training Are Still Needed	Organize FAA controller training data into a single source that allows for detailed analysis of all training records for each controller.	12/31/2021	N/A	N/A
31	OIG	OST	11/22/2013	FI2014006	FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	Obtain and review plans from FMCSA, MARAD, OST, and RITA to authorize systems with expired accreditations. Perform security reviews of unauthorized systems to determine if the enterprise is exposed to unacceptable risk.	9/30/2021	N/A	N/A
32	OIG	OST	11/22/2013	FI2014006	FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	Obtain a schedule and action plan for OAs to develop procedures for comprehensive cloud computing agreements to include security controls roles and responsibilities. Report to OA management any delays in completing the procedures.	9/30/2021	N/A	N/A
33	OIG	OST	11/22/2013	FI2014006	FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	Obtain and review existing cloud computing agreements to assess compliance with agency policy, including security requirements. Report exceptions to OA management.	10/1/2021	N/A	N/A
34	GAO	FMCSA	2/3/2014	GAO-14-114	Federal Motor Carrier Safety: Modifying the Compliance, Safety, Accountability Program Would Improve the Ability to Identify High Risk Carriers	To improve the CSA program,, revise the SMS methodology to better account for limitations in drawing comparisons of safety performance information across carriers; in doing so, the Secretary of Transportation should direct the FMCSA Administrator to conduct a formal analysis that specifically identifies: (1) limitations in the data used to calculate SMS scores including variability in the carrier population and the quality and quantity of data available for carrier safety performance assessments, and (2) limitations in the resulting SMS scores including their precision, confidence, and reliability for the purposes for which they are used.	12/31/2021	N/A	N/A
35	GAO	OST	5/22/2014	GAO-14-413	Federal Software Licenses: Better Management Needed to Achieve Significant Savings Government-Wide	To ensure the effective management of software licenses, develop an agency-wide comprehensive policy for the management of software licenses that addresses the weaknesses we identified.	4/1/2022	N/A	N/A
36	OIG	FAA	6/5/2014	FI2014052	Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System (FOUO)	Prioritize and remediate all TFMS scheduled POAMs.	12/31/2021	N/A	N/A
37	OIG	FAA	7/9/2014	AV2014062	FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	Require controllers to maintain their own time-on-position records by signing in and out in Cru-X/ART.	12/31/2021	N/A	N/A
38	OIG	FHWA	8/1/2014	SA2014081	Government of the United States Virgin Islands	Ensure the Government of the U.S. Virgin Islands complies with Cash Management Requirements.	10/1/2021	N/A	N/A
39	OIG	FHWA	9/17/2014	SA2014123	United States Virgin Island	Ensure the USVI complies with Cash Management Requirements.	10/1/2021	N/A	N/A
40	OIG	OST	10/28/2014	AV2015001	Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	Define comfortable cabin temperature and include the requirement in DOT regulations. In the interim, issue guidance to the industry that defines comfortable cabin temperature.	1/31/2022	N/A	N/A
41	OIG	OST	11/14/2014	FI2015009	FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	Work with the components to develop a plan to complete annual SAT training within plan milestones and improve tracking. Assess training periodically to determine if the component will meet SAT training plan.	3/1/2022	N/A	N/A
42	OIG	OST	11/14/2014	FI2015009	FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	Work with components to develop or revise their plans to effectively transition the remaining information systems to required PIV login. Create a POA&M with planned completion dates to monitor and track progress.	12/31/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
43	GAO	FTA	12/10/2014	GAO-15-158	TRANSPORTATION FOR OLDER ADULTS: Measuring Results Could Help Determine If Coordination Efforts Improve Mobility	To promote and enhance federal, state, and local coordination activities, convene a meeting of the member agencies of the Coordinating Council and define and report on desired outcomes and collect related data to track and measure progress in achieving results, including the extent of coordination efforts that are under way, such as improved services for older adults. This effort could be conducted as a part of the Coordinating Council's process to update its strategic plan, which we have also recommended in a concurrent report.	Recommendation Pending GAO Closure	N/A	N/A
44	GAO	OST	5/21/2015	GAO-15-431	Telecommunications: Agencies Need Better Controls to Achieve Significant Savings on Mobile Devices and Services	To help the department effectively manage spending on mobile devices and services, ensure procedures to monitor and control spending are established department-wide. Specifically, ensure that (1) procedures include assessing devices for zero, under, and over usage; (2) personnel with authority and responsibility for performing the procedures are identified; and (3) the specific steps to be taken to perform the process are documented.	12/31/2021	N/A	N/A
45	OIG	OST	6/16/2015	FI2015047	DOT Lacks an Effective Process For Its Transition to Cloud Computing	Establish FedRAMP compliance guidelines and oversight for the Department, and ensure that each Operating Administration put plans in place to meet FedRAMP requirements.	10/1/2021	N/A	N/A
46	OIG	FAA	9/29/2015	AV2015112	FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	Identify and implement changes needed to improve annual contingency training exercises to simulate more realistic scenarios.	12/31/2021	N/A	N/A
47	OIG	FAA	10/15/2015	AV2016001	FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	Develop and implement system-based evaluation criteria and risk-based tools to aid ODA team members in targeting their oversight.	3/31/2023	N/A	N/A
48	OIG	OST	11/5/2015	FI2016001	FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	Ensure that the OCIO revises the Departmental policy to document its practice of prohibiting user-based waivers or exclusions for PIV required use for network and system access.	2/1/2022	N/A	N/A
49	OIG	OST	11/5/2015	FI2016001	FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	Work with the OAs to develop a formal transition plan to the proposed ISCM target architecture that includes but is not limited to: (1) continuously assessing security controls; (2) reviewing system configuration settings; and (3) assessing timely remediation of security weaknesses. During the transition period, establish processes and practices for effectively collecting, validating, and reporting ISCM data.	4/1/2022	N/A	N/A
50	OIG	OST	11/5/2015	FI2016001	FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	Work with FAA to improve its assessment process to meet DOT Cybersecurity Compendium and Security Authorization & Continuous Monitoring Performance Guide. DOT CIO in conjunction with the FAA CIO review the FAA quality assurance process to ensure all security documents are reviewed and updated to reflect the system controls, vulnerabilities, and that the current risks are clearly presented to the authorizing officials.	3/1/2022	N/A	N/A
51	OIG	OST	11/5/2015	FI2016001	FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	Work with the OAs to ensure they update open POA&Ms with the required data fields.	10/15/2021	N/A	N/A
52	OIG	MARAD	12/10/2015	ST2016011	Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	Update existing MAOs in accordance with established timelines.	1/31/2021	N/A	N/A
53	GAO	OST	12/16/2015	GAO-16-127	Air Travel and Communicable Diseases: Comprehensive Federal Plan Needed for U.S. Aviation System's Preparedness	To help improve the U.S. aviation sector's preparedness for future communicable disease threats from abroad, work with relevant stakeholders, such as the Department of Health and Human Services, to develop a national aviation-preparedness plan for communicable disease outbreaks. Such a plan could establish a mechanism for coordination between the aviation and public health sectors and provides clear and transparent planning assumptions for a variety of types and levels of communicable disease threats.	N/A	Impasse	HHS has overall responsibility for communicable disease response, and DHS has the lead in preparedness planning for all sectors, including transportation. DOT supports the development of a national public health preparedness plan in a manner consistent with Presidential Policy Directive 8. We are ready to support the inclusion of aviation equities in such a plan.
54	OIG	FAA	2/4/2016	FI2016019	Security Controls over FAA's Large TRACON Facilities (SSI)	Conduct annual contingency plan exercises for large TRACONs using a formally agreed upon alternate processing site to familiarize TRACON personnel with the alternate facility's available resources and equipment, and evaluate the site's capabilities to support contingency operations using explicit test objectives and success criteria.	12/31/2021	N/A	N/A
55	OIG	OST	3/8/2016	SA2016028	North Coast Railroad Authority, Ukiah, CA	Ensure the Authority complies with the Reporting Requirements.	10/1/2021	N/A	N/A

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56	OIG	FHWA	3/16/2016	SA2016051	Joint Programs of the Shoshone and Arapaho Tribes of the Wind River Reservation, Fort Washakie, WY	Ensure the Shoshone and Arapaho Tribes comply with the Special Tests and Provisions Requirements.	2/1/2022	N/A	N/A
57	OIG	FHWA	3/16/2016	SA2016053	Nanwalek IRA Council, Nanwalek, AK	Ensure the Council complies with the Allowable Costs/Cost Principles Requirements.	2/1/2022	N/A	N/A
58	OIG	FHWA	3/16/2016	SA2016053	Nanwalek IRA Council, Nanwalek, AK	Recover $255,941 from the Council, if applicable.	2/1/2022	N/A	N/A
59	OIG	OST	3/22/2016	FI2016056	The Volpe Center's Information Technology Infrastructure is at Risk for Compromise (FOUO)	Install a network-based intrusion detection and prevention solution to complement the current host-based systems, enabling more comprehensive and accurate detection and prevention of malicious activity on the network, including traffic coming from trusted connections.	1/7/2022	N/A	N/A
60	OIG	FAA	5/31/2016	AV2016067	FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	Develop a process to ensure the Office of Airports reports its Aircraft Rescue and Fire Fighting enforcement actions to FAA's Enforcement Information System database according to FAA Order 2150.3B.	3/31/2022	N/A	N/A
61	GAO	FHWA	6/8/2016	GAO-16-575	Highway Safety: More Robust DOT Oversight of Guardrails and Other Roadside Hardware Could Further Enhance Safety	To promote the transition to improved crash test standards, to strengthen FHWA's oversight of the roadside safety hardware's crash-testing process, and to make ore information available to states and industry on how roadside safety hardware performs in actual conditions, support additional research and disseminate results on roadside safety hardware's in-service performance, either as part of future phases of FHWA's current pilot study on guardrail end terminals' performance or as part of FHWA's broader research portfolio.	N/A	Impasse	GAO disagreed with the Agency's corrective action. FHWA conducted a pilot which established model protocols for States to conduct their own in-service performance evaluations. However making any kind of statistically valid performance assessment on a particular device would require 5-6 years of data.
62	GAO	FHWA	6/8/2016	GAO-16-575	Highway Safety: More Robust DOT Oversight of Guardrails and Other Roadside Hardware Could Further Enhance Safety	To promote the transition to improve crash test standards, to strengthen FHWA's oversight of the roadside safety hardware's crash-testing process, and to make more information available to states and industry on how roadside safety hardware performs in actual conditions, provide additional guidance to crash test labs and accreditation bodies to ensure that labs have a clear separation between device development and testing in cases where lab employees test devices that were developed within their parent organization.	12/31/2021	N/A	N/A
63	GAO	FHWA	6/8/2016	GAO-16-575	Highway Safety: More Robust DOT Oversight of Guardrails and Other Roadside Hardware Could Further Enhance Safety	To promote the transition to improved crash-test standards, to strengthen FHWA's oversight of the roadside safety hardware's crash-testing process, and to make more information available to states and industry on how roadside safety hardware performs in actual conditions, develop a process for third-party verification of results from crash-test labs.	4/29/2022	N/A	N/A
64	GAO	FAA	7/28/2016	GAO-16-679	Aviation Safety: FAA's Risk-Based Oversight for Repair Stations Could Benefit from Additional Airline Data and Performance Metrics	Develop and implement a process in Flight Standards for incorporating into SAS the volume of critical maintenance that each U.S. airline contracts to repair stations.	12/31/2022	N/A	N/A
65	OIG	OST	8/5/2016	SA2016087	North Coast Railroad Authority, Ukiah, CA	Ensure the Authority Complies with Reporting Requirements.	10/1/2021	N/A	N/A
66	OIG	OST	8/5/2016	SA2016087	North Coast Railroad Authority, Ukiah, CA	Ensure the Authority complies with Fixed Charge Coverage Ratio Requirements.	10/1/2021	N/A	N/A
67	OIG	FAA	8/25/2016	AV2016094	FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	Establish and document a process with clear roles and responsibilities for identifying and prioritizing long-term R&D for air traffic management and related efforts.	12/31/2021	N/A	N/A
68	OIG	FAA	8/25/2016	AV2016094	FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	Link the long-term vision for NextGen, once completed, with current R&D efforts to identify any additional R&D that may be required.	12/31/2021	N/A	N/A
69	OIG	FAA	8/25/2016	AV2016094	FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	Have SPC's six high-priority NextGen capabilities validated by an external entity, such as the REDAC to ensure that they are on the critical path for NextGen development, as well as ensure that there are not other areas that warrant additional attention.	12/31/2021	N/A	N/A
70	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Obtain a legal determination from the Office of the Secretary to permit SPES projects and similar funding agreements and establish internal controls to ensure compliance with Federal requirements. Implementing this recommendation could put the $1.1 billion in PE funds to better use.	12/30/2021	N/A	N/A
71	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Develop performance measures that track compliance with the 10-year limit and report progress.	12/30/2021	N/A	N/A
72	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	For the $143 million in PE projects questioned in this report without adequate justification for time extensions or avoided repayments, obtain from the States appropriate support or repayment of PE expenditures as required.	12/30/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
73	GAO	OST	8/26/2016	GAO-16-686	FEDERAL CHIEF INFORMATION SECURITY OFFICERS: Opportunities Exist to Improve Roles and Address Challenges to Authority	To ensure that the role of the CISO is defined in department policy in accordance with FISMA 2014, define the CISO's role in department policy for ensuring that subordinate security plans are documented for the department's information systems.	12/31/2021	N/A	N/A
74	GAO	OST	8/26/2016	GAO-16-686	FEDERAL CHIEF INFORMATION SECURITY OFFICERS: Opportunities Exist to Improve Roles and Address Challenges to Authority	To ensure that the role of the CISO is defined in department policy in accordance with FISMA 2014, define the CISO's role in department policy for ensuring that security controls are tested periodically.	11/1/2021	N/A	N/A
75	OIG	OST	9/8/2016	FI2016097	DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	Revise Department-wide policies and procedures to clarify how to accurately identify and report conferences and conference-related activities and require Operating Administrations to review their policies and procedures and revise as needed to align with the Department.	10/1/2021	N/A	N/A
76	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Enforce DOT's current policy for incident monitoring to ensure the Cyber Security Management Center's access to FAA's NAS systems and departmental cloud systems, or update the policy to reflect the unique reporting structures between DOT and FAA.	2/1/2022	N/A	N/A
77	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Establish policy and controls for the use of maintenance data terminals to reduce the incidence of malware on these terminals	3/1/2022	N/A	N/A
78	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Implement a ranking method for incidents.	9/30/2021	N/A	N/A
79	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Require OAs to provide their network maps to the Cyber Security Management Center.	3/1/2022	N/A	N/A
80	OIG	FAA	11/10/2016	AV2017009	Total Costs, Schedules, and Benefits of FAA's NextGen Transformational Programs Remain Uncertain	Develop and implement Agency-wide guidance for a uniform approach to segmentation that provides a common format to aid the management of multiple, complex, and interrelated programs needed to achieve NextGen capabilities for transforming the NAS.	N/A	Unresolved	DOT did not agree with the recommendation. FAA NextGen Transformational Program investments are made in accordance with OMB Circular A-11 and provide a business case that demonstrates to the Agency, OMB, and Congress, that disciplines of good project management are being employed to define and manage the cost, schedule and performance goals of the project and that it is worthy of public investment.
81	OIG	FAA	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Take action to work with FAA, FHWA, FMCSA, FTA, MARAD, NHTSA, and OST to develop risk acceptance memos for the expired systems identified in this report.	5/2/2021	N/A	N/A
82	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Take action to work with all OAs to complete expired authorizations and reinforce or strengthen policy requiring systems be reauthorized prior to their expiration dates.	10/15/2021	N/A	N/A
83	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Take action to work with all OAs to perform a thorough CSAM quality review to ensure system documentation matches what is entered into CSAM. At a minimum, the review should verify that: (1) system authorization dates in CSAM match what is approved by the authorizing official; (2) POAMs are created and reported once a security weakness is found; and (3) authorizing officials are provided accurate documentation on all risks accepted.	10/15/2021	N/A	N/A
84	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	The Deputy Secretary, or his designee, take action to work with OST COE, FTA, and FAA, the common control providers, to report and update risk acceptance for shared controls that are not implemented in DOT's Repository (e.g., CSAM) per FISMA, OMB, and DOT requirements.	12/31/2021	N/A	N/A
85	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Take action to work with FAA and require them to review CSAM POA&M entries, and identify and correct cases where multiple weaknesses were entered as one.	9/30/2021	N/A	N/A
86	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Perform a review of CSAM POA&Ms and assess if the entries are compliant with DOT policy. For deficient data, require OAs to provide a corrective action plan.	9/30/2021	N/A	N/A

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87	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	The Deputy Secretary, or his designee, take action to identify and document OST COE compensating controls when used to address security weaknesses in CSAM and system authorizations.	10/31/2021	N/A	N/A
88	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	The Deputy Secretary, or his designee, take action to report/update OST COE security weaknesses found during vulnerability assessments in DOT's Repository (e.g., CSAM) per FISMA, OMB, and DOT requirements.	9/30/2021	N/A	N/A
89	GAO	OST	11/30/2016	GAO-17-8	IT Workforce: Key Practices Help Ensure Strong Integrated Program Teams; Selected Departments Need to Assess Skill Gaps	To facilitate the analysis of gaps between the current skills and future needs, the development of strategies for filling the gaps, and succession planning, address the shortfalls in IT workforce planning noted in this report, including the following actions: (1) establish a time frame for when the department is to finalize its draft workforce planning process and maintain that process; (2) develop staffing requirements for all positions; (3) assess competency and staffing needs regularly for all positions; (4) assess gaps in staffing for all components of the workforce; (5) develop strategies and plans to address gaps in competencies and staffing; (6) implement activities that address gaps, including an IT acquisition cadre, cross-functional training of acquisition and program personnel, a career path for program managers, and use of special hiring authorities, if justified and cost-effective;e (7) monitor the department's progress in addressing competency and staffing gaps; and (8) report to department leadership on progress in addressing competency and staffing gaps.	12/31/2021	N/A	N/A
90	GAO	OST	12/14/2016	GAO-17-20	DOT Discretionary Grants: Problems with Hurricane Sandy Transit Grant Selection Process Highlight the Need for Additional Accountability	Given DOT's new discretionary grant programs and similar challenges we have found with previous DOT programs, issue a directive that governs department-wide and modal administration discretionary grant programs. Such a directive should include requirements to: (1) develop a plan for evaluating project proposals in advance of issuing a notice of funding availability that defines the stages of the process, including how the process will be overseen to ensure a consistent review of applications; (2) document key decisions, including the reason for any rating changes and the officials responsible for those changes, and how high-level concerns raised during the process were addressed; and (3) align stated program purpose and policy priorities with the evaluation and selection process.	12/31/2021	N/A	N/A
91	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Establish a process and requirement to validate airspace divestment plans annually to ensure the plans can be executed and technical requirements are up-to-date based on current technology.	12/31/2021	N/A	N/A
92	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Develop airspace divestment plans for oceanic airspace, and develop and implement the technical requirements needed to support all new plans.	12/31/2021	N/A	N/A
93	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Establish a process for developing baseline contingency metrics, analyzing contingency trends and root causes, and annually disseminating the results to Air Traffic Organization personnel.	2/28/2022	N/A	N/A
94	OIG	FHWA	3/6/2017	ST2017029	Vulnerabilities Exist In Implementing Initiatives Under MAP-21 Subtitle C To Accelerate Project Delivery	Establish target completion dates for the remaining planned actions for MAP-21 Subtitle C provisions that are in progress.	1/1/2022	N/A	N/A
95	GAO	FAA	3/23/2017	GAO-17-366	Commercial Space Launch Insurance: Weakness in FAA's Insurance Calculation May Expose the Federal Government to Excess Risk	To help ensure that the government is not exposed to more liability risk than intended, prioritize the development of a plan to address the identified weakness in the cost-of-casualty amount, including setting time frames for action, and update the amount based on current information.	12/31/2023	N/A	N/A
96	OIG	FHWA	3/28/2017	SA2017038	Report on Single Audit of the Government of the U.S. Virgin Islands, Charlotte Amalie, VI	Ensure that the Government complies with the Equipment and Real Property Management Requirements.	12/1/2021	N/A	N/A
97	GAO	FAA	4/24/2017	GAO-17-372	Aviation Research and Development: FAA Could Improve How It Develops Its Portfolio and Reports Its Activities	To help FAA better manage and oversee its portfolio of R&D activities, take a more strategic approach to identifying research priorities across the agency, including developing guidance to identify long-term priorities and emerging issue areas, as part of FAA's portfolio development process.	Recommendation Pending GAO Closure	N/A	N/A

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98	GAO	FAA	4/24/2017	GAO-17-372	Aviation Research and Development: FAA Could Improve How It Develops Its Portfolio and Reports Its Activities	To help FAA better manage and oversee its portfolio of R&D activities, develop guidance to ensure that future National Aviation Research Plans (NARP) and R&D Annual Reviews meet statutory requirements to the extent practicable, including (a) The NARP lists activities that are carried under cooperative agreements. (b) The NARP describes the rationale for the prioritized research programs. (c) The NARP identifies how resources were allocated for long-term and near-term research. (d) The NARP identifies REDAC recommendations that are accepted, not accepted, and the reasons for non-acceptance. (e) The NARP provides a detailed description of technology transfer to government, industry, and academia. (f) The Annual Review describes new technologies developed and the dissemination of research results to the private sector. (g) The Annual Review allows a comparison to the NARP. (h) The Annual Review is prepared and presented in accordance with agency performance reporting requirements.	Recommendation Pending GAO Closure	N/A	N/A
99	OIG	FHWA	4/27/2017	SA2017044	Report on the Single Audit of the Hopi Tribe, Kykotsmovi, AZ	Ensure the Tribe complies with Procurement, Suspension and Debarment Requirements.	10/1/2021	N/A	N/A
100	OIG	FHWA	4/27/2017	SA2017044	Report on the Single Audit of the Hopi Tribe, Kykotsmovi, AZ	Recover $25,646 from the Tribe, if applicable.	10/1/2021	N/A	N/A
101	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Modify periodic training provided to FAA inspectors to include information on the importance of verifying check pilot qualifications prior to approval.	10/31/2021	N/A	N/A
102	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Develop and implement guidance requiring inspectors, or their designees, to verify that check pilots have met training requirements prior to performing recurrent observations.	3/31/2022	N/A	N/A
103	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Modify requirements within the risk-based oversight tool (SAS) for inspectors to ensure a sufficient number of check pilot records are evaluated to assess the accuracy of air carrier training.	9/30/2022	N/A	N/A
104	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Clarify surveillance requirements and the inspectors' role overseeing check pilots under AQP.	10/31/2021	N/A	N/A
105	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Develop and implement a training program on how to approve and oversee check pilots under AQPs for inspectors assigned to carriers using those programs.	9/30/2021	N/A	N/A
106	OIG	FAA	5/31/2017	FI2017051	FAA's Security Controls Are Insufficient for Its En Route Automation Modernization Program (SSI)	Implement the required baseline for ERAM's Oracle components, including updating unsupported software, removing unnecessary ports and services in order to limit vulnerabilities, and mitigating the adverse effects of most types of intrusion attempts.	12/31/2022	N/A	N/A
107	OIG	FAA	5/31/2017	FI2017051	FAA's Security Controls Are Insufficient for Its En Route Automation Modernization Program (SSI)	Implement a process to verify that ERAM POA&Ms are updated quarterly per DOT policy and remediate the 13 ERAM security weaknesses that did not meet their scheduled completion dates to ensure that the confidentiality, integrity, and availability of the system are not at risk.	12/31/2022	N/A	N/A
108	OIG	FTA	6/6/2017	SA2017052	Report on the Single Audit of the City of Tracy, Tracy, CA	Recovers $147,515 from the City, if applicable.	9/30/2021	N/A	N/A
109	OIG	FTA	6/6/2017	SA2017058	Report on Single Audit of the San Francisco Municipal Transportation Agency, San Francisco, CA	Recovers $9,189 from the Agency, if applicable.	9/30/2021	N/A	N/A
110	GAO	OST	7/27/2017	GAO-17-637	Air Ambulance: Data Collection and Transparency Needed to Enhance DOT Oversight	To increase transparency and obtain information to better inform decisions on whether to investigate potentially unfair or deceptive practices in the air ambulance industry, assess available federal and industry data and determine what further information could assist in the evaluation of future complaints or concerns regarding unfair or deceptive practices.	12/31/2022	N/A	N/A
111	GAO	OST	7/27/2017	GAO-17-637	Air Ambulance: Data Collection and Transparency Needed to Enhance DOT Oversight	To increase transparency and obtain information to better inform decision on whether to investigate potentially unfair or deceptive practices in the air ambulance industry, consider consumer disclosure requirements for air ambulance providers, which could include information such as established prices charged, business model and entity that establishes prices, and extent of contracting with insurance.	12/31/2022	N/A	N/A
112	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Implement the DOT Enterprise Program Management Review Framework and procedures for maintaining support documentation that complies with OMB design and planning requirements to justify its IT investments, including the Virtual Desktop Infrastructure and the Continuous Monitoring Software, and require the use of planning tools such as cost-benefit analyses to monitor the costs, schedule, and performance goals.	10/1/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
113	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Develop and implement a process specifying how OCIO prioritizes its cybersecurity IT investments, and follow through on its plan to develop separate plans that include which cybersecurity projects it plans to focus on to address near-term threats, important tactical cybersecurity goals, and remediation challenges.	10/1/2021	N/A	N/A
114	OIG	FHWA	8/9/2017	SA2017073	Report on Single Audit of the State of Tennessee, Nashville, TN	Ensures that the State complies with procurement and suspension and debarment requirements.	10/1/2021	N/A	N/A
115	OIG	FHWA	8/9/2017	SA2017073	Report on Single Audit of the State of Tennessee, Nashville, TN	Recovers $466,262 from the State, if applicable.	10/1/2021	N/A	N/A
116	OIG	FHWA	8/9/2017	SA2017073	Report on Single Audit of the State of Tennessee, Nashville, TN	Ensures that the State complies with special tests and provisions requirements.	10/1/2021	N/A	N/A
117	OIG	FTA	8/9/2017	SA2017071	Report on Single Audit of the Yuma County Intergovernmental Public Transportation Authority, Yuma, AZ	Ensures that the County complies with Allowable Costs/Costs Principles requirements.	9/30/2021	N/A	N/A
118	OIG	FTA	8/9/2017	SA2017071	Report on Single Audit of the Yuma County Intergovernmental Public Transportation Authority, Yuma, AZ	Recovers $171,265 from the County, if applicable.	9/30/2021	N/A	N/A
119	GAO	OST	8/15/2017	GAO-17-448	Data Center Optimization: Agencies Need to Address Challenges and Improve Progress to Achieve Cost Savings Goal	Take action to, within existing OMB reporting mechanisms, complete a plan describing how the agency will achieve OMB's requirement to implement automated monitoring tools at all agency-owned data centers by the end of fiscal year 2018.	Recommendation Pending GAO Closure	N/A	N/A
120	OIG	FAA	9/11/2017	SA2017090	Report on Single Audit of the Arapahoe County Public Airport Authority, Englewood, CO	Ensures that the Authority complies with special tests and provisions-revenue diversion requirements.	9/30/2021	N/A	N/A
121	OIG	FAA	9/11/2017	SA2017090	Report on Single Audit of the Arapahoe County Public Airport Authority, Englewood, CO	Recovers $1,611,898 from the Authority, if applicable.	9/30/2021	N/A	N/A
122	OIG	FHWA	9/11/2017	SA2017083	Report on Single Audit of the Government of Guam, Hagatna, GU	Ensures that the Government of Guam complies with equipment and real property management requirements.	10/1/2021	N/A	N/A
123	OIG	FHWA	9/11/2017	SA2017091	Report on Single Audit of the Government of the U.S. Virgin Islands, Charlotte Amalie, VI	Ensures that the Government complies with equipment and real property management requirements.	12/1/2021	N/A	N/A
124	OIG	FHWA	9/11/2017	SA2017095	Report on Single Audit of the Turtle Mountain Band Of Chippewa Indians, Belcourt, ND	Ensures that the Tribe complies with activities allowed or unallowed and allowable costs/cost principles requirements.	5/1/2022	N/A	N/A
125	OIG	FHWA	9/11/2017	SA2017095	Report on Single Audit of the Turtle Mountain Band Of Chippewa Indians, Belcourt, ND	Determine an amount of questioned costs and recover from the Tribe, if applicable.	5/1/2022	N/A	N/A
126	OIG	FTA	9/11/2017	SA2017076	Report on Single Audit of the State of Nebraska, Lincoln, NE	Ensures that the State complies with subrecipient monitoring requirements.	8/30/2022	N/A	N/A
127	OIG	FTA	9/11/2017	SA2017076	Report on Single Audit of the State of Nebraska, Lincoln, NE	Recovers $438,118 from the State, if applicable.	7/1/2021	N/A	N/A
128	OIG	FTA	9/11/2017	SA2017081	Report on Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensures that the Authority complies with equipment and real property management requirements.	7/1/2021	N/A	N/A
129	OIG	FTA	9/11/2017	SA2017082	Report on Single Audit of the Puerto Rico Metropolitan Bus Authority, San Juan, PR	Ensures that the Authority complies with equipment and real property management requirements.	8/31/2022	N/A	N/A
130	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures, including a standard identification method, for tracking other transaction agreements (OTA).	12/31/2021	N/A	N/A
131	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies to report OTA awards that involve Federal funds to USASpending.gov.	12/31/2021	N/A	N/A
132	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures to ensure that OTAs are awarded and administered by properly authorized (warranted) officials, including: a. Creating and regularly maintaining a comprehensive list of awarding officials, the various types of agreements (e.g., contract, grant, OTA, reimbursable agreement, interagency agreement) they are authorized to sign, dollar limits (if any), and the dates the authority began and ended when applicable; b. Clarifying the Acquisition Management System to specify when it is appropriate to use an OTA that is also an interagency agreement or reimbursable agreement, and to specify what warrant authorities are required for officials signing these agreements.	12/31/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
133	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures to standardize and enforce provisions of Tower Operating Agreement OTAs as a condition of providing air traffic control services, including: a. A procedure to provide for periodic inspections of the tower environment to detect problems that have an impact on FAA contract controllers and respond to them; b. Requiring all airport sponsors to sign Tower Operating Agreements.	12/31/2021	N/A	N/A
134	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Renegotiate tower leases requiring rent payments to airport sponsors to secure no-cost leases. Implementation of this recommendation could put $2.2 million in Federal funds to better use.	12/31/2021	N/A	N/A
135	OIG	OST	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Update the Financial Assistance Guidance Manual and other policies to reflect current authorities and oversight needs for OTAs, and clarify which provisions of the manual and other policies apply to these agreements.	6/30/2021	N/A	N/A
136	OIG	OST	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Resolve, with the assistance of legal counsel, whether FAA is required to follow the Department's Financial Assistance Guidance Manual and other policies for OTAs.	6/30/2021	N/A	N/A
137	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Verify the completeness of DOT's inventory of current telecommunications assets and services and establishes a process for ongoing maintenance of the inventory.	12/31/2021	N/A	N/A
138	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Identify the agency's future telecommunications needs, areas for optimization, and costs and benefits of new technology; and complete efforts to align DOT's approach with its long-term plans and enterprise architecture.	12/31/2021	N/A	N/A
139	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Identify roles and responsibilities related to the management of assets and human capital and legal expertise for the transition; develop a transition communications plan; and fully use configuration and change-management processes in DOT's transition.	12/31/2021	N/A	N/A
140	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Identify the resources needed for the full transition, justify requests for transition resources, identify staff resources needed for the full transition, and fully analyze training needs for staff assisting with the transition.	12/31/2021	N/A	N/A
141	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Fully demonstrate that DOT's transition goals and measures align with its mission; completely identify transition risks related to information security, critical systems, and continuity of operations; and fully identify mission-critical priorities in the transition timeline.	12/31/2021	N/A	N/A
142	OIG	OST	9/26/2017	ZA2017106	OSDBU Lacks Effective Processes for Establishing, Overseeing, and Managing Its Small Business Resource Centers	Recover the $69,312.00 in improper payments for unallowable labor charges	12/31/2024	N/A	N/A
143	GAO	FAA	10/26/2017	GAO-18-72	Federal Facility Security: Selected Agencies Should Improve Methods for Assessing and Monitoring Risk	To improve agencies' physical security programs' alignment with the ISC *Risk Management Process for Federal Facilities and Standard for Internal Control in the Federal Government* for information and monitoring, develop a plan that provides sufficient details on the activities needed and time frames within the date when FAA will implement an improved methodology.	6/30/2022	N/A	N/A
144	GAO	FAA	10/26/2017	GAO-18-72	Federal Facility Security: Selected Agencies Should Improve Methods for Assessing and Monitoring Risk	To improve agencies' physical security programs' alignment with the ISC *Risk Management Process for federal Facilities and Standards for Internal Control in the Federal Government* for information and monitoring, update FAA's policy to require the use of a methodology that fully aligns with the ISC's Risk Management Process for Federal Facilities for assessing all undesirable events, considering all three factors of risk, and documenting all deviations from the standard countermeasures.	6/30/2022	N/A	N/A
145	GAO	FAA	10/26/2017	GAO-18-72	Federal Facility Security: Selected Agencies Should Improve Methods for Assessing and Monitoring Risk	To improve agencies' physical security programs' alignment with the ISC *Risk Management Process for Federal Facilities and Standards for Internal Control in the Federal Government* for information and monitoring, update FAA's policy to include ongoing monitoring of physical security information.	6/30/2022	N/A	N/A
146	GAO	OST	11/2/2017	GAO-18-38	Discretionary Transportation Grants: DOT Should Take Actions to Improve the Selection of Freight and Highway Projects	Develop an evaluation plan for the Infrastructure for Rebuilding America (INFRA) program in advance of issuing the notice of funding opportunity and ensure the program's evaluation plan clearly defines how all review teams should apply criteria, assess applications, and assign ratings to ensure that all applications are consistently reviewed.	Recommendation Pending GAO Closure	N/A	N/A
147	GAO	OST	11/2/2017	GAO-18-38	Discretionary Transportation Grants: DOT Should Take Actions to Improve the Selection of Freight and Highway Projects	Ensure all program applicants be notified in writing of the outcomes of the application selection process. For unsuccessful applicants, the notification should include a brief explanation of the decision.	Recommendation Pending GAO Closure	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
148	GAO	OST	11/2/2017	GAO-18-38	Discretionary Transportation Grants: DOT Should Take Actions to Improve the Selection of Freight and Highway Projects	Require INFRA program teams document their decision-making rationale throughout all levels of review in the application selection process.	Recommendation Pending GAO Closure	N/A	N/A
149	GAO	OST	11/30/2017	GAO-18-132	Automated Vehicles: Comprehensive Plan Could Help DOT Address Challenges	Develop and implement a comprehensive plan to better manage departmental initiatives related to automated vehicles. This plan should include leading principles such as goals, priorities, steps to achieve results, milestones, and performance measures to track progress.	12/1/2021	N/A	N/A
150	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Revise the Safety Assurance System (SAS) risk-assessment tool to include weighted factors for each organizational risk evaluated by inspectors.	12/31/2021	N/A	N/A
151	OIG	OST	12/20/2017	QC2018013	Quality Control Review For DOT's Implementation of Enterprise Architecture	KPMG recommends OST direct the OCIO to work with OAs' CIOs to conduct the required annual assessment of the DOT's and OA's EA programs against the GAO's EA Management Maturity Model.	10/1/2021	N/A	N/A
152	OIG	FHWA	1/10/2018	ST2018014	FHWA Lacks Detailed Guidance on Infrastructure Resilience for Emergency Relief Projects and a Process To Track Related Improvements	Revise the Emergency Relief Manual to include a definition of resilience improvement and identify procedures States should use to incorporate resilience into ERP-funded projects.	3/1/2022	N/A	N/A
153	OIG	FHWA	1/10/2018	ST2018014	FHWA Lacks Detailed Guidance on Infrastructure Resilience for Emergency Relief Projects and a Process To Track Related Improvements	Develop and implement a process to track the consideration of resilience improvements for emergency relief projects and their associated costs.	7/1/2022	N/A	N/A
154	GAO	OST	1/10/2018	GAO-18-42	Information Technology: Agencies Need to Involve Chief Information Officers in Reviewing Billions of Dollars in Acquisitions	Ensure that IT acquisition plans or strategies are reviewed and approved according to OMB's guidance.	12/31/2021	N/A	N/A
155	GAO	FAA	1/16/2018	GAO-18-57	Commercial Space Launch Insurance: FAA Needs to Fully Address Mandated Requirements	Fulfill the CSLCA mandate to include ensuring a balance of risk between the federal government and launch companies as part of FAA's MPL methodology evaluation by reexamining the current probability thresholds.	1/31/2022	N/A	N/A
156	GAO	FAA	1/16/2018	GAO-18-57	Commercial Space Launch Insurance: FAA Needs to Fully Address Mandated Requirements	Fulfill the CSLCA mandate to analyze the cost impact of implementing its revised MPL methodology by evaluating the impact on the direct costs of launch companies and the federal government.	1/31/2022	N/A	N/A
157	GAO	FAA	1/16/2018	GAO-18-57	Commercial Space Launch Insurance: FAA Needs to Fully Address Mandated Requirements	Fulfill the CSLCA mandate to evaluate its MPL methodology in consultation with the commercial space sector and insurance providers by consulting with those entities on the cost impact of its revised MPL methodology, including an updated cost-of-casualty amount, on the launch industry and the federal government.	1/31/2022	N/A	N/A
158	GAO	FAA	1/16/2018	GAO-18-57	Commercial Space Launch Insurance: FAA Needs to Fully Address Mandated Requirements	Establish an estimated completion date for developing and implementing a plan to establish guidance on the most appropriate MPL methodologies and tools to use for each launch.	1/31/2022	N/A	N/A
159	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that FAA System Owner of System #2 ensure the system Privacy Plan includes all requirements established by the DOT Chief Privacy Officer in the privacy threshold assessment (PTA) and the adjudication statement is implemented.	11/1/2021	N/A	N/A
160	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that FAA System Owner of System #5 ensure that the encryption protections for data at rest and during transit are implemented in accordance with the DOT Privacy Risk Management Policy.	11/1/2021	N/A	N/A
161	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that FAA System Owner of System #5 confirm that the session time-out functionality has been implemented.	11/1/2021	N/A	N/A
162	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that FAA System Owner of System #8 ensure that the encryption protections for data at rest are implemented in accordance with the DOT Privacy Risk Management Policy.	1/7/2022	N/A	N/A
163	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that FAA System Owner of System #9 Ensure the Privacy Plan including all requirements established by the DOT Chief Privacy Officer in the PTA adjudication statement is implemented.	1/7/2022	N/A	N/A
164	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	KPMG recommends that FAA System Owner of System #9 implement memoranda of understanding or similar agreements for internal sharing of PII.	11/1/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
165	GAO	FAA	1/18/2018	GAO-18-177	Homeland Defense: Urgent Need for DOD and FAA to Address Risks and Improve Planning for Technology That Tracks Military Aircraft	Address ADS-B Out security concerns by approving one or more solutions that address ADS-B Out -related security risks or incorporating mitigations for security risks into the existing draft memorandum of agreement. These approved solutions should address operations, physical, cyber-attack, and electronic warfare security risks; and risks associated with divesting secondary-surveillance radars. The solution or mitigations should be approved as soon as possible in order to allow sufficient time for implementation.	12/31/2021	N/A	N/A
166	OIG	FAA	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Verify that FAA's criteria regarding designation and definition of contractor systems conforms to DOT guidance, and that systems are correctly classified.	9/30/2021	N/A	N/A
167	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	For the COE and FAA, update procedures and practices for monitoring and authorizing common security controls to (a) require supporting documentation for controls continual assessments, (b) complete reauthorization assessments for the controls, (c) finalize guidance for customers' use of controls, and (d) establish communication protocols between authorizing officials and common control providers regarding control status and risks.	9/1/2021	N/A	N/A
168	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Implement controls to continuously monitor and work with components to ensure network administrators are informed and action is taken to disable system accounts when users no longer require access or have been inactive beyond established thresholds.	3/1/2022	N/A	N/A
169	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Complete PIV enablement and requirements for remaining information systems, except those that are subject to exclusions that are documented and approved.	12/31/2021	N/A	N/A
170	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Take action to fully implement mandatory use of PIV cards for VDI access.	12/31/2021	N/A	N/A
171	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Implement processes verifying that personnel performing certain security related roles receive specialized training needed to meet OCIO guidance.	9/30/2021	N/A	N/A
172	GAO	FHWA	1/30/2018	GAO-18-222	Highway and Transit Projects: Evaluation Guidance Needed for States with National Environmental Policy Act Authority	Offer and provide guidance or technical assistance to NEPA assignment states on developing evaluation methodologies, including baseline time frames and timeliness measures.	N/A	Impasse	FHWA agreed to clarify environmental review start times to provide more consistent information for tracking project review time frames; however, FHWA agreed to offer and provide guidance or technical assistance on evaluation methodologies only if requested by NEPA assignment states to comply with Congressional intent.
173	OIG	FAA	1/31/2018	AV2018020	FAA Completed STARS at Large TRACONs, but Challenges in Delivering NextGen Capabilities Remain	Resolve the electrical configuration issue of the STARS rack assemblies at each of the 11 TRACONs by either: (a) obtaining approval for the configuration from a nationally recognized testing laboratory or (b) assessing and documenting risks posed by the STARS rack assemblies installed at each of the 11 facilities and FAA's acceptance of that risk on air traffic operations.	8/31/2021	N/A	N/A
174	OIG	FMCSA	1/31/2018	ST2018019	Estimates Show Commercial Driver Detention Increases Crash Risks and Costs, but Current Data Limit Further Analysis	Collaborate with industry stakeholders to develop and implement a plan to collect and analyze reliable, accurate, and representative data on the frequency and severity of driver detention times.	12/30/2021	N/A	N/A
175	GAO	NHTSA	1/31/2018	GAO-18-252	Next Generation 911: National 911 Program Could Strengthen Efforts to Assist States	Regarding the National 911 Program, determine roles and responsibilities of federal agencies participating in the National NG911 Roadmap initiative in order to carry out the national-level tasks over which each agency has jurisdiction.	9/30/2022	N/A	N/A
176	GAO	NHTSA	1/31/2018	GAO-18-252	Next Generation 911: National 911 Program Could Strengthen Efforts to Assist States	Regarding the National 911 Program, develop an implementation plan to support the completion of the National NG911 Roadmap's national-level tasks.	9/30/2022	N/A	N/A
177	GAO	OST	2/15/2018	GAO-18-211	Critical Infrastructure Protection: Additional Actions Are Essential for Assessing Cybersecurity Framework Adoption	In cooperation with the Secretary of Homeland Security, take steps to consult with respective sector partner(s), such as the SCC, DHS and NIST, as appropriate, to develop methods for determining the level and type of framework adoption by entities across their respective sector	10/1/2022	N/A	N/A

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178	OIG	FAA	3/6/2018	AV2018030	FAA Needs to Strengthen Its Management Controls Over the Use and Oversight of NextGen Developmental Funding	Develop and implement a quality control checklist with criteria for determining when the use of incremental funding prior to PLA approval is permissible.	N/A	Unresolved	DOT did not agree with the recommendation. Project Level Agreements (PLAs) do not obligate funding so contract funding principles do not apply to these vehicles.
179	OIG	FAA	3/6/2018	AV2018030	FAA Needs to Strengthen Its Management Controls Over the Use and Oversight of NextGen Developmental Funding	Develop and implement a control for enforcing the PMA limits on the assessment of program management fees for various administrative and contract support specified in the Agency's standard operating procedures.	N/A	Unresolved	DOT did not agree with the recommendation. FAA does not believe that an additional control on Program Management Assessment limits is required due to the fact that all financial management actions are currently handled within existing regulatory constraints.
180	OIG	FAA	3/6/2018	AV2018030	FAA Needs to Strengthen Its Management Controls Over the Use and Oversight of NextGen Developmental Funding	Establish and implement a mechanism for providing oversight of developmental funding, to include records of decision regarding selecting, justifying, and measuring the outcomes of PLAs to ensure FAA is funding the highest priority work.	N/A	Unresolved	DOT did not agree with the recommendation. FAA's capital budgeting process already documents all records of decision related the agency's budget allocation process. The FAA's budget development process develops agency priorities and ensures that all funding requests are in alignment with these priorities.
181	OIG	FTA	3/19/2018	SA2018035	Report on Single Audit of the Washington Metropolitan Area Transit Authority, Washington, DC	We recommend FTA recovers $76,572 from the Authority, if applicable.	10/31/2020	N/A	N/A
182	OIG	FAA	4/30/2018	SA2018051	Report on Single Audit of the Valley County, Glasgow, MT	Ensures that the County complies with the equipment and real property requirements.	9/30/2022	N/A	N/A
183	OIG	FTA	4/30/2018	SA2018045	Report on Single Audit of the Orange County Transportation Authority, Orange, CA	Ensures that the Authority complies with the procurement and suspension and debarment requirements.	9/30/2021	N/A	N/A
184	OIG	FTA	4/30/2018	SA2018045	Report on Single Audit of the Orange County Transportation Authority, Orange, CA	Ensures that the Authority complies with the subrecipient monitoring requirements.	9/30/2021	N/A	N/A
185	GAO	FTA	5/31/2018	GAO-18-462	Capital Investment Grants Program: FTA Should Address Several Statutory Provisions	Initiate a rulemaking regarding the evaluation and rating process for Core Capacity Improvement projects, consistent with statutory provisions.	6/30/2023	N/A	N/A
186	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Review and update the Facility, Service, and Equipment Profile policy to require user training and recurring data-validation reviews at the Support Center and national levels at defined intervals prior to running the staffing model.	5/2/2022	N/A	N/A
187	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Develop and implement a process to reduce and standardize codes in the Labor Distribution Reporting (LDR) system to improve accounting for direct maintenance workload.	12/31/2021	N/A	N/A
188	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Determine if the newly standardized LDR data are reliable for direct maintenance workloads in the Technical Operations Staffing Model, and if so, develop and implement an action plan with milestones to replace the workload assessments with LDR data.	12/30/2022	N/A	N/A
189	OIG	FAA	7/10/2018	AV2018060	FAA Has Not Fully Addressed Safety Concerns Regarding the American Airlines Flight Test Program	Modify the existing tool used to evaluate the objectivity of inspectors to incorporate risk factors such as non-routine operations and the length of time inspectors oversee the same air carrier.	12/31/2021	N/A	N/A
190	GAO	OST	7/11/2018	GAO-18-381	Paperwork Reduction Act: Agencies Could Better Leverage Review Processes and Public Outreach to Improve Burden Estimates	Review the policies, procedures, and related control activities to ensure that the agency's Paperwork Reduction Act review process is operating effectively.	9/30/2021	N/A	N/A
191	GAO	OST	7/11/2018	GAO-18-381	Paperwork Reduction Act: Agencies Could Better Leverage Review Processes and Public Outreach to Improve Burden Estimates	Leverage existing consultation with stakeholders and the public to explicitly seek input on the estimated burden on the imposed by information collections.	9/30/2021	N/A	N/A
192	GAO	OST	8/2/2018	GAO-18-93	Federal Chief Information Officers: Critical Actions Needed to Address Shortcomings and Challenges in Implementing Responsibilities	Ensure that the Department's IT management policies address the role of the CIO for key responsibilities in the five areas we identified.	12/31/2021	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2021

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
193	OIG	FHWA	8/15/2018	SA2018069	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensures that the Authority complies with the matching requirements.	5/1/2022	N/A	N/A
194	OIG	FTA	8/15/2018	SA2018067	Report on a Single Audit of the San Francisco Municipal Transportation Agency, San Francisco, CA	Ensures that the Agency complies with the procurement and suspension and debarment requirements.	9/30/2021	N/A	N/A
195	OIG	FTA	8/15/2018	SA2018067	Report on a Single Audit of the San Francisco Municipal Transportation Agency, San Francisco, CA	Recovers $214,494 from the Agency, if applicable.	9/30/2021	N/A	N/A
196	OIG	OST	8/15/2018	SA2018068	Report on a Single Audit of the North Coast Railroad Authority, Ukiah, CA	Ensures that the Authority complies with the reporting requirements.	10/1/2021	N/A	N/A
197	OIG	FHWA	8/22/2018	SA2018074	Report on a Single Audit of the Government of Guam, Hagatna, GU	Ensures that Guam complies with the equipment and real property management requirements.	10/1/2021	N/A	N/A
198	OIG	FTA	8/22/2018	SA2018073	Report on Single Audit of the State of Nebraska, Lincoln, NE	Ensures that the State complies with the subrecipient monitoring requirements.	8/30/2022	N/A	N/A
199	OIG	FTA	8/22/2018	SA2018073	Report on Single Audit of the State of Nebraska, Lincoln, NE	We recommend FTA recovers $99,226 from the State, if applicable.	7/1/2021	N/A	N/A
200	OIG	OST	8/22/2018	ST2018076	DOT Operating Administrations Can Better Enable Referral of Potentially Criminal Activity to OIG	Require that Operating Administrations align any criminal referral procedures with updated DOT Orders.	12/1/2021	N/A	N/A
201	OIG	FHWA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Ensures that the State complies with the subrecipient monitoring requirements.	8/1/2021	N/A	N/A
202	OIG	FHWA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Ensures that the State complies with the special tests and provisions requirements.	9/1/2022	N/A	N/A
203	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensures that the Tribe complies with the cash management requirements.	6/1/2022	N/A	N/A
204	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Recovers $3,077,574 from the Tribe, if applicable.	6/1/2022	N/A	N/A
205	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensures that the Tribe complies with the activities allowed/allowable costs and cost principles requirements.	6/1/2022	N/A	N/A
206	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Recovers $22,691 from the Tribe, if applicable.	6/1/2022	N/A	N/A
207	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensures that the Tribe complies with the equipment and real property requirements.	6/1/2022	N/A	N/A
208	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensures that the Tribe complies with the period of performance requirements.	6/1/2022	N/A	N/A
209	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensures that the Tribe complies with the special tests and provisions requirements.	6/1/2022	N/A	N/A
210	OIG	FTA	9/10/2018	SA2018078	Report on Single Audit of the Capital Area Transportation Authority, Lansing, MI	We recommend FTA recovers $30,641 from the Authority, if applicable.	4/30/2020	N/A	N/A
211	OIG	FTA	9/10/2018	SA2018080	Report on a Single Audit of the City and County of Honolulu, HI	Recovers $24,080,771 from the City and County, if applicable.	12/31/2021	N/A	N/A
212	OIG	FTA	9/10/2018	SA2018080	Report on a Single Audit of the City and County of Honolulu, HI	Ensures that the City and County complies with the reporting requirements.	9/30/2021	N/A	N/A
213	OIG	FTA	9/10/2018	SA2018082	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensures that the Authority complies with the equipment and real property management requirements.	8/31/2022	N/A	N/A
214	OIG	FTA	9/10/2018	SA2018083	Report on a Single Audit of the City of Union City, Union City, CA	Recovers $2,780,059 from the City, if applicable.	10/31/2021	N/A	N/A
215	OIG	OST	9/10/2018	SA2018082	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensures that the Authority complies with the equipment and real property management requirements.	7/1/2021	N/A	N/A
216	OIG	OST	9/10/2018	SA2018084	Report on a Single Audit of the City of Atlanta, Atlanta, GA	Ensures that the City complies with reporting requirements.	8/1/2021	N/A	N/A
217	OIG	OST	9/10/2018	SA2018084	Report on a Single Audit of the City of Atlanta, Atlanta, GA	Ensures that the City complies with subrecipient monitoring requirements.	8/1/2021	N/A	N/A
218	OIG	FHWA	9/11/2018	SA2018094	Report on a Single Audit of the Commonwealth of the Northern Mariana Islands, Saipan, MP	Ensures that the Commonwealth complies with the equipment and real property management requirements.	10/1/2021	N/A	N/A
219	OIG	FTA	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Recovers $9,377 from the University, if applicable.	10/31/2020	N/A	N/A
220	OIG	OST	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Recovers $8,954 from the University, if applicable.	5/1/2021	N/A	N/A
221	OIG	FAA	9/12/2018	SA2018096	Report on a Single Audit of the Territory of American Samoa, Pago Pago, AS	Ensures that the Territory complies with the special tests and provisions requirements.	7/31/2022	N/A	N/A
222	OIG	FRA	9/12/2018	SA2018098	Report on a Single Audit of the National Railroad Passenger Corporations & Subsidiaries (AMTRAK), Washington, DC	Ensures that AMTRAK complies with the equipment and real property management requirements.	7/30/2022	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
223	GAO	FHWA	11/8/2018	GAO-19-80	Grade-Crossing Safety: DOT Should Evaluate Whether Program Provides States Flexibility to Address Ongoing Challenges	Work with FRA to evaluate the Section 130 Program's requirements to determine whether they allow states sufficient flexibility to adequately address current and emerging grade-crossing safety issues and whether statutory changes to the program are necessary to improve its effectiveness.	12/31/2021	N/A	N/A
224	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Establish performance measures for each of the Office of the Secretary objectives for its five key airline-compliance activities.	12/31/2021	N/A	N/A
225	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Capture feedback directly from airline passengers or identify other mechanisms to capture passengers' perspectives to inform DOT's education efforts.	12/31/2021	N/A	N/A
226	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Develop performance measures for DOT's efforts to educate airline passengers.	12/31/2021	N/A	N/A
227	OIG	FAA	11/27/2018	AV2019013	FAA Remains Several Years Away From A Standardized Controller Scheduling Tool	Develop an implementation plan for deploying a scheduling system for controllers that includes schedule milestones, system requirements, risk assessment and mitigation, and funding requirements.	3/31/2022	N/A	N/A
228	OIG	FAA	11/27/2018	AV2019013	FAA Remains Several Years Away From A Standardized Controller Scheduling Tool	Assess and quantify the expected benefits of a customized controller scheduling tool.	6/30/2022	N/A	N/A
229	OIG	FAA	12/4/2018	FI2019014	DOT has not met federal targets for implementing components of its information security continuous monitoring program	To improve the accuracy and completeness of the data FAA uses to report on its CAP goal metrics, the Federal Aviation Administrator needs to implement procedures that: define the requirements for selecting the operating systems to be monitored; criteria for determining which tools should be used to collect data for the CAP goal metrics; and verify the accuracy and completeness of the CAP goal metrics.	9/30/2022	N/A	N/A
230	OIG	FAA	12/4/2018	FI2019014	DOT has not met federal targets for implementing components of its information security continuous monitoring program	To improve the accuracy and completeness of the data FAA uses to report on its CAP goal metrics, the Federal Aviation Administrator needs to develop and implement controls for verifying, validating, and retainingdata used to report on CAP performance-based goal metrics.	11/30/2021	N/A	N/A
231	OIG	OST	12/4/2018	FI2019014	DOT has not met federal targets for implementing components of its information security continuous monitoring program	To improve the DOT's information security continuous monitoring program, DOT Chief Information Officer needs to update the department's federal information security modernization act standard operating procedures to include steps for verifying the accuracyand completeness of the Federal Aviation Administration's (FAA) CrossAgency Priority (CAP) goal metrics.	3/1/2022	N/A	N/A
232	OIG	FAA	12/18/2018	AV2019015	Most Public Agencies Comply With Passenger Facility Charge Program Requirements, But FAA Can Improve the Use of Its Oversight Tools	Develop and implement procedures to ensure PFC expenditures at the Gary, IN, airport are independently audited, including the $18.3 million identified in our report.	1/31/2022	N/A	N/A
233	OIG	FHWA	2/13/2019	SA2019017	Report on a Single Audit of the Kiowa Tribe of Oklahoma, Carnegie, OK	Ensures that the Tribe complies with the procurement and suspension and debarment requirements.	10/1/2021	N/A	N/A
234	OIG	FHWA	2/13/2019	SA2019017	Report on a Single Audit of the Kiowa Tribe of Oklahoma, Carnegie, OK	We recommend that FHWA recovers $1,531,442 from the Tribe, if applicable.	10/1/2021	N/A	N/A
235	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Require FHWA Headquarters and Division Offices to follow established procedures for reviewing and approving initial financial plans to ensure they include an assessment of the appropriateness of a P3 for project delivery.	11/1/2021	N/A	N/A
236	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Revise and issue guidance to communicate to FHWA staff and stakeholders the processes FHWA will use to take Federal stewardship considerations into account in approving P3 projects. This guidance should address FHWA's role, if any, in the assessment of traffic and revenue assumptions.	10/31/2021	N/A	N/A
237	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Develop and issue Agencywide guidance identifying risks specific to P3 projects that Division Offices should consider in their risk assessments of State and local transportation agencies' Federal-aid construction programs.	10/31/2021	N/A	N/A
238	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Consult with the Build America Bureau to define FHWA's and the Bureau's roles and responsibilities during the Operations and Maintenance phase for P3 projects.	10/31/2021	N/A	N/A
239	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Develop and issue guidance to internal and external stakeholders communicating the processes FHWA will use to oversee P3 projects, including during the Operations and Maintenance phase for P3 projects that remain funded by Federal loans.	10/31/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
240	GAO	OST	3/7/2019	GAO-19-161	Automated Trucking: Federal Agencies Should Take Additional Steps to Prepare for Portential Workforce Effects	Collaborate with the Secretary of Labor to continue to convene key groups of stakeholders to gather information on potential workforce changes that may result from automated trucking as the technology evolves, including analyzing needed skills and identifying any information or data gaps, to allow the agencies to fully consider how to respond to any changes. These stakeholders could include, for example, representatives of other relevant federal agencies, technology developers, the trucking industry, organizations that represent truck drivers, truck driver training schools, state workforce agencies, and local workforce development boards.	Recommendation Pending GAO Closure	N/A	N/A
241	GAO	OST	3/7/2019	GAO-19-161	Automated Trucking: Federal Agencies Should Take Steps to Prepare for Potential Workforce Effects	Consult with the Secretary of Labor to further analyze the potential effects of automated trucking technology on drivers to inform potential workforce-related regulatory changes, such as the requirements to obtain a commercial driver's license or hours of service requirements (e.g., the maximum hours commercial truck drivers are permitted to work). This could include leveraging the analysis described by the Explanatory Statement accompanying the Consolidated Appropriations Act, 2018 once it is complete, as well as information the department obtains from stakeholders as the technology evolves.	Recommendation Pending GAO Closure	N/A	N/A
242	GAO	OST	3/11/2019	GAO-19-279	Surface Transportation: Action Needed to Guide Implementation of Build America Bureau and Improve Application Process	Ensure that the Build America Bureau develop and adopt a public statement that outlines DOT's and the Bureau's policy goals and appetite for risk for the TIFIA and RRIF financing programs.	12/31/2021	N/A	N/A
243	GAO	OST	3/11/2019	GAO-19-279	Surface Transportation: Action needed to Guide Implementation of Build America Bureau and Improve Application Process	Ensure that the Build America Bureau develop a detailed implementation plan that sets goals and a timeline for the Bureau's continued efforts, fills vacancies in the Bureau, and prioritizes and sequences work to carry out the multiple responsibilities given to the Bureau in the FAST Act.	12/31/2021	N/A	N/A
244	OIG	FHWA	3/13/2019	ST2019020	FHWA Lacks Adequate Oversight and Guidance for Engineer's Estimates	Update FHWA's Guidelines on Preparing Engineer's Estimate, Bid Reviews, and Evaluation (2004 Guidance) to include: a. Estimating guidance for more recent project delivery methods, such as design-build and construction manager/general contractor and, b. Guidelines to account for contingencies and inflation when developing Engineer's Estimates.	11/1/2021	N/A	N/A
245	OIG	FHWA	3/13/2019	ST2019020	FHWA Lacks Adequate Oversight and Guidance for Engineer's Estimates	Assess the validity and applicability of the threshold in FHWA's 2004 Guidance that is used to measure the accuracy of Engineer's Estimates.	11/1/2021	N/A	N/A
246	OIG	FHWA	3/13/2019	ST2019020	FHWA Lacks Adequate Oversight and Guidance for Engineer's Estimates	Develop and implement an oversight process for Engineer's Estimates that assesses whether States are following FHWA's guidance and thresholds.	11/1/2021	N/A	N/A
247	GAO	FMCSA	3/14/2019	GAO-19-264	Truck Underride Guards: Improved Data Collection, Inspections, and Research Needed	Revise Appendix G of the agency's regulations to require that rear guards are inspected during commercial vehicle annual inspections.	12/31/2021	N/A	N/A
248	GAO	FTA	3/14/2019	GAO-19-290	Transit Workforce Development: Improved Strategic Planning Practices Could Enhance FTA Efforts	Determine, in collaboration with transit stakeholders, whether additional transit workforce data are needed to identify potential future occupational shortages in the transit industry and whether the benefits of this collection would outweigh the cost of gathering it.	1/31/2022	N/A	N/A
249	GAO	FTA	3/14/2019	GAO-19-290	Transit Workforce Development: Improved Strategic Planning Practices Could Enhance FTA Efforts	Develop and document a strategy that outlines how FTA will help address future transit workforce needs.	10/1/2022	N/A	N/A
250	GAO	FTA	3/14/2019	GAO-19-290	Transit Workforce Development: Improved Strategic Planning Practices Could Enhance FTA Efforts	Develop and document clearly defined performance goals and measures for its transit workforce development efforts.	10/1/2022	N/A	N/A
251	GAO	NHTSA	3/14/2019	GAO-19-264	Truck Underride Guards: Improved Data Collection, Inspections, and Research Needed	Recommend to the expert panel of the Model Minimum Uniform Crash Criteria to update the Criteria to provide a standardized definition of underride crashes and to include underride as a recommended data field.	9/23/2022	N/A	N/A
252	GAO	NHTSA	3/14/2019	GAO-19-264	Truck Underride Guards: Improved Data Collection, Inspections, and Research Needed	Provide information to state and local police departments on how to identify and record underride crashes.	12/21/2021	N/A	N/A
253	GAO	FHWA	3/20/2019	GAO-19-22	Tribal Consultation: Additional Federal Actions Needed for Infrastructure Projects	Document in the agency's tribal consultation policy how agency officials are to communicate with tribes about how tribal input from consultation was considered in agency decisions on infrastructure projects.	6/1/2022	N/A	N/A
254	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Develop policy and procedures to verify and validate the accuracy and completeness of the Department's key FISMA information repository and tool, currently the Cyber Security Assessment and Management tool (CSAM).	12/1/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
255	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Direct OCIO to follow policy and conduct annual cybersecurity performance analysis reviews of OAs' cybersecurity programs, and submit reports to OAs with recommendations to address cybersecurity weaknesses.	10/1/2021	N/A	N/A
256	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Develop a process and policy where applicable to ensure the Department develops and maintain a comprehensive and accurate inventory of cloud systems, contractor systems, and websites that the public can access.	10/1/2021	N/A	N/A
257	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Direct OST to prioritize and resolve COE security weaknesses identified by assessor, and develop POA&Ms that realistically reflect resources and timeframes for completions of these actions.	12/1/2021	N/A	N/A
258	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Direct OST to establish MOUs that delineate the responsibilities for COE common controls with each of the following OAs: FHWA, FMCSA, FRA, FTA, OIG, MARAD, SLSDC, and NHTSA.	4/1/2022	N/A	N/A
259	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Direct OAs (FAA, FHWA, FMCSA, FRA, FTA, OST, PHMSA, MARAD, and NHTSA) with weaknesses in data protection and privacy to update the status and develop POA&Ms to address the weaknesses.	3/1/2022	N/A	N/A
260	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Update specialized training guidance in DOT Cybersecurity Action Memos policy and DOT Cybersecurity Compendium policy to clearly define requirements.	5/31/2022	N/A	N/A
261	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Enhance security awareness training policy to define processes to tailor this training to DOT's unique environment and use feedback to enhance its program.	3/1/2022	N/A	N/A
262	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Develop and define a taxonomy that describes the content of the hardware and software inventory and the process to assemble, verify and maintain adequate support for the inventory data as well as the related information reported to OMB and other external parties.	9/1/2021	N/A	N/A
263	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Develop a process to define its performance measures—that consider DOT's business environment—to assess the effectiveness of DOT's information security program, including its ISCM program.	5/2/2022	N/A	N/A
264	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Using NIST guidance, test and authorize CDM applications (such as BigFix) that have been placed into operation on DOT's networks without proper security control assessments.	3/1/2022	N/A	N/A
265	OIG	OST	3/20/2019	FI2019023	FISMA 2018: DOT's Information Security Program and Practices	Provide enterprise wide specialized training on contingency planning and testing on a periodic basis to appropriate security officials and stakeholders. Training should reinforce crucial role contingency planning and testing plays in an effective information security program.	12/31/2021	N/A	N/A
266	GAO	OST	3/20/2019	GAO-19-22	Tribal Consultation: Additional Federal Actions Needed for Infrastructure Projects	Document in the agency's tribal consultation policy how agency officials are to communicate with tribes about how tribal input from consultation was considered in agency decisions on infrastructure projects.	11/30/2021	N/A	N/A
267	OIG	FTA	3/25/2019	SA2019026	Report on a Single Audit of the City of Columbus, Columbus, IN (2016)	Recover $83,547 from the City, if applicable.	10/31/2020	N/A	N/A
268	OIG	FTA	3/25/2019	SA2019026	Report on a Single Audit of the City of Columbus, Columbus, IN (2016)	Recover $30,335 from the City, if applicable.	10/31/2020	N/A	N/A
269	OIG	FTA	3/25/2019	SA2019026	Report on a Single Audit of the City of Columbus, Columbus, IN (2016)	Recover $13,465 from the City, if applicable.	10/31/2020	N/A	N/A
270	OIG	FTA	3/25/2019	SA2019027	Report on a Single Audit of the City of Columbus, Columbus, IN (2017)	Recover $41,733 from the City, if applicable.	10/31/2020	N/A	N/A
271	OIG	FTA	3/25/2019	SA2019027	Report on a Single Audit of the City of Columbus, Columbus, IN (2017)	Recover $107,181 from the City, if applicable.	10/31/2020	N/A	N/A
272	OIG	FTA	3/25/2019	SA2019027	Report on a Single Audit of the City of Columbus, Columbus, IN (2017)	Recover $8,067 from the City, if applicable.	10/31/2020	N/A	N/A
273	OIG	FTA	3/25/2019	SA2019028	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensures that the Authority complies with the equipment and real property management requirements.	8/31/2022	N/A	N/A
274	OIG	FHWA	3/26/2019	SA2019041	Report on a Single Audit of the State of West Virginia, Charleston, WV	Recovers $3,644,218 from the State, if applicable.	2/1/2022	N/A	N/A
275	OIG	FHWA	3/26/2019	SA2019041	Report on a Single Audit of the State of West Virginia, Charleston, WV	Recovers $2,877,461 from the State, if applicable.	12/1/2021	N/A	N/A
276	OIG	FTA	3/26/2019	SA2019035	Report on a Single Audit of the City of Phoenix, Phoenix, AZ	Ensures that the City complies with the subrecipient monitoring requirements.	9/30/2021	N/A	N/A
277	OIG	FTA	3/26/2019	SA2019038	Report on a Single Audit of the City of Long Beach, Long Beach, NY	Ensures that the City complies with the allowable costs/cost principles requirements.	10/31/2020	N/A	N/A
278	OIG	FTA	3/26/2019	SA2019038	Report on a Single Audit of the City of Long Beach, Long Beach, NY	Recovers $1,656 from the City, if applicable.	10/31/2020	N/A	N/A
279	GAO	OST	3/26/2019	GAO-19-172	Small Community Air Service Development	Clarify in the SCASDP evaluation plan how reviewers should assess a grant application's alignment with the priority and secondary selection criteria and assign the application rating categories.	Recommendation Pending GAO Closure	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
280	OIG	FTA	3/27/2019	SA2019043	Report on a Single Audit of the Southern California Regional Rail Authority, Los Angeles, CA	Ensures that the Authority complies with the equipment and real property management requirements.	9/30/2021	N/A	N/A
281	GAO	OST	4/4/2019	GAO-19-58	Cloud Computing: Agencies Have Increased Usage and Realized Benefits, but Cost and Savings Data Need to Be Better Tracked	Establish guidance on assessing new and existing IT investments for suitability for cloud computing services.	10/30/2021	N/A	N/A
282	GAO	OST	4/4/2019	GAO-19-58	Cloud Computing: Agencies Have Increased Usage and Realized Benefits, but Cost and Savings Data Need to Be Better Tracked	Complete an assessment of all IT investments for suitability for migration to a cloud computing service, in accordance with OMB guidance.	10/30/2021	N/A	N/A
283	GAO	OST	4/4/2019	GAO-19-58	Cloud Computing: Agencies Have Increased Usage and Realized Benefits, but Cost and Savings Data Need to Be Better Tracked	Establish a consistent and repeatable mechanism to track savings and cost avoidances from the migration and deployment of cloud services.	10/30/2021	N/A	N/A
284	GAO	OST	4/4/2019	GAO-19-265	Scientific Integrity Policies: Additional Actions Could Strengthen Integrity of Federal Research	Develop mechanisms to regularly monitor and evaluate implementation of the department's scientific integrity policy, including mechanisms to remediate identified deficiencies and make improvements where necessary.	5/1/2022	N/A	N/A
285	OIG	OST	4/9/2019	ZA2019049	Several Factors Limit DOT's Ability To Efficiently Utilize Its Office Space	Develop, document, and implement a supplemental guide to DOT's Office Space Design Standard Policy (Policy) to provide the Department and its Operating Administrations (OA) guidance for applying the Agency's utilization standard to existing office space—including those spaces that DOT continues to occupy under new agreements—and clarify those terms related to the application of the standard, as identified in this report—i.e., "new acquisitions," "office space renovations," "immediately retrofit," and "regularly review."	10/1/2021	N/A	N/A
286	OIG	OST	4/9/2019	ZA2019049	Several Factors Limit DOT's Ability To Efficiently Utilize Its Office Space	Develop, document, and implement an internal control process to apply when an OA is planning to acquire or continue to occupy an office space that exceeds the Agency's utilization standard. At a minimum, the process should require the OA to justify with documented evidence that it has implemented a different standard based on mission requirements or that applying the Department's standard will not be cost-effective or a best value option. Implementing this recommendation could potentially put $2.1 million in funds to better use by preventing DOT from paying for unneeded space that exceeds the Agency's utilization standard.	10/1/2021	N/A	N/A
287	OIG	OST	4/9/2019	ZA2019049	Several Factors Limit DOT's Ability To Efficiently Utilize Its Office Space	Develop, document, and implement a supplemental guide to DOT's Policy to provide OAs guidance on how to determine peak occupancy and accurately calculate the utilization rates for DOT office spaces in compliance with the methodology prescribed in the Policy.	10/1/2021	N/A	N/A
288	OIG	OST	4/9/2019	ZA2019049	Several Factors Limit DOT's Ability To Efficiently Utilize Its Office Space	Develop and implement a process for tracking DOT office spaces and their utilization rates. At a minimum, this process should include the ability to track staff counts and a requirement for the OAs to regularly maintain and report up-to-date data.	10/1/2021	N/A	N/A
289	OIG	OST	4/9/2019	ZA2019049	Several Factors Limit DOT's Ability To Efficiently Utilize Its Office Space	Develop, document, and implement departmentwide guidance on how all OAs are to conduct regular reviews of their office spaces to identify and execute cost-efficiency opportunities.	10/1/2021	N/A	N/A
290	GAO	OST	4/11/2019	GAO-19-241	Data Center Optimization: Additional Agency Actions Needed to Meet OMB Goals	Take action to meet the data center optimization metrics targets established under DCOI by OMB.	Recommendation Pending GAO Closure	N/A	N/A
291	OIG	OST	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Revise DOT financial assistance policies to specify what officials are authorized to approve justifications for awarding financial assistance without full and open competition.	12/1/2021	N/A	N/A
292	OIG	OST	5/1/2019	ZA2019051	Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Develop and issue guidance to OAs for clearly identifying awards as R&D.	12/31/2022	N/A	N/A
293	GAO	FAA	5/23/2019	GAO-19-437	Commercial Space Transportation: Improvements to FAA's Workforce Planning Needed to Prepare for the Industry's Anticipated Growth	Develop workload metrics that encompass the whole office and that would allow AST to determine an appropriate workforce size and composition.	12/31/2021	N/A	N/A
294	GAO	FAA	5/23/2019	GAO-19-437	Commercial Space Transportation: Improvements to FAA's Workforce Planning Needed to Prepare for the Industry's Anticipated Growth	Establish a timeline for finalizing workload projections that extend beyond the 2-year budget cycle and that include an approach for addressing uncertainty.	12/31/2021	N/A	N/A

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OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2021

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
295	GAO	FAA	5/23/2019	GAO-19-437	Commercial Space Transportation: Improvements Needed to FAA's Workforce Planning to Prepare for the Industry's Anticipated Growth	Develop and document a plan for periodically assessing whether staff possess the necessary skills and competencies to achieve programmatic goals, such as annually administering a skills assessment survey.	12/31/2021	N/A	N/A
296	OIG	FHWA	5/29/2019	ST2019053	Inadequate Data and Guidance Hinder FHWA Force Account Oversight	Develop and implement a process for periodically assessing force account risk. Based on the risk assessment, develop and implement procedures for overseeing compliance with Federal force account regulations.	12/30/2021	N/A	N/A
297	OIG	FHWA	5/29/2019	ST2019053	Inadequate Data and Guidance Hinder FHWA Force Account Oversight	Revise force account guidance for the States to clarify when cost-effectiveness determinations are required.	12/30/2021	N/A	N/A
298	OIG	FHWA	5/29/2019	ST2019053	Inadequate Data and Guidance Hinder FHWA Force Account Oversight	Develop an action plan to collect and review the cost-effectiveness determinations for the 18 projects related to the $22.3 million in unsupported costs. Recover funds associated with projects where force account was not the most cost-effective approach for executing that project.	12/30/2021	N/A	N/A
299	OIG	FHWA	5/29/2019	ST2019053	Inadequate Data and Guidance Hinder FHWA Force Account Oversight	Develop and implement a process for determining when force account can be used for work performed outside the Federal highway right-of-way without complying with Federal requirements.	12/30/2021	N/A	N/A
300	OIG	FAA	6/25/2019	AV2019055	FAA Needs To Adopt a Risk-Based, Data-Driven Scheduling Process To Improve the Effectiveness of Its Drug Abatement Inspection Program	Develop and implement a data-driven, risk-based inspection scheduling program in accordance with FAA's Safety Risk Management Policy. The program should include: a. Procedures for re-inspecting companies with identified non-compliances to ensure corrective actions have been implemented and are effective, and b. Procedures for selecting substitute companies in the event of inspection cancellations.	1/31/2023	N/A	N/A
301	OIG	FAA	6/25/2019	AV2019055	FAA Needs To Adopt a Risk-Based, Data-Driven Scheduling Process To Improve the Effectiveness of Its Drug Abatement Inspection Program	Develop and implement a process to coordinate and verify the accuracy of aviation company data, including coordinating with FAA Flight Standards, prior to finalizing the inspection schedule.	1/31/2023	N/A	N/A
302	GAO	OST	6/26/2019	GAO-19-541	Discretionary Transportation GrantA: Actions Needed to Improve Consistency and Transparency in DOT's Application Evaluations	Ensure that DOT, in its notice of funding opportunity and evaluation plan for each remaining INFRA-funding cycle, clarify the circumstances under which DOT may select applicants to receive requests for additional information.	Recommendation Pending GAO Closure	N/A	N/A
303	GAO	OST	6/26/2019	GAO-19-541	Discretionary Transportation Grants: Actions Needed to Improve Consistency and Transparency in DOt's Application Evaluations	Develop procedures for each remaining INFRA-funding cycle to ensure that when additional information is requested from an applicant, the specific rationale behind the request is documented (for example, to promote geographic diversity among projects), as well as to ensure that DOT documents the rationale if similar projects were not afforded an opportunity to provide additional information.	Recommendation Pending GAO Closure	N/A	N/A
304	GAO	OST	6/26/2019	GAO-19-541	Discretionary Transportation Grants: Actions Needed to Improve Consistency and Transparency in DOT's Application Evaluations	Ensure that DOT provides information to applicants in its notice of funding opportunity for each remaining INFRA-funding cycle regarding: (1) how scores on merit criteria are used, if at all, to determine whether projects advance to the Secretary for selection, and (2) how, if at all, DOT plans to use merit scores to determine which projects should receive an award.	Recommendation Pending GAO Closure	N/A	N/A
305	OIG	OST	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Update Volpe's procedures to require the use of risk-mitigation controls if the contractor's accounting system cannot be evaluated with current audit information prior to award of a cost-reimbursement contract, and document the contract file.	10/10/2021	N/A	N/A
306	OIG	OST	7/10/2019	ZA2019056	Opportunities Exist To Improve FRA and Volpe Acquisition and Use of Oversight Contractors	Obtain incurred cost audits for its Monitoring and Technical Assistance Contractor (MTAC) cost-reimbursable contracts or document the rationale for not obtaining these audits in the contract file.	10/10/2021	N/A	N/A
307	GAO	FTA	7/22/2019	GAO-19-562	Rail Transit: Federal Transit Administration Could Improve Information on Estimating Project Costs	Ensure that FTA's cost estimating information for project sponsors is consistent with all 12 steps found in GAO's *Cost Estimating and Assessment Guide* and needed for developing reliable cost estimates.	12/31/2022	N/A	N/A
308	OIG	MARAD	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Encrypt PII data on personal and network drives in accordance with DOT Chief Information Officer Departmental Privacy Risk Management Policy.	7/1/2021	N/A	N/A
309	OIG	MARAD	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Develop a plan and address all identified critical and high vulnerabilities on its servers that are older than July 5, 2017 (1 year prior to the ending of our scanning period).	7/1/2021	N/A	N/A
310	OIG	MARAD	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Develop a plan and address identified high and medium vulnerabilities on any remaining legacy websites and verify that new websites are being assessed for vulnerabilities.	5/1/2021	N/A	N/A
311	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Encrypt PII data on personal and network drives in accordance with DOT Chief Information Officer Departmental Privacy Risk Management Policy.	7/1/2021	N/A	N/A
312	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Examine service account permissions and remove unnecessary rights using the principle of least privilege so that service accounts have access to intended resources.	7/1/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
313	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Develop a plan and address identified critical and high vulnerabilities on MARAD workstations managed by OST that are older than June 19, 2017 (1 year prior to the ending of our scanning period).	7/1/2021	N/A	N/A
314	OIG	OST	7/24/2019	FI2019057	The Maritime Administration's Information Technology Infrastructure Is at Risk for Compromise (FOUO)	Implement a software solution that would assist in the detection of installed keyloggers and the prevention of keylogger installation and operation.	4/1/2022	N/A	N/A
315	GAO	OST	7/25/2019	GAO-19-384	Cybersecurity: Agencies Need to Fully Establish Risk Management Programs and Address Challenges	Fully develop a cybersecurity risk management strategy that includes the key elements identified in this report.	1/31/2022	N/A	N/A
316	GAO	OST	7/25/2019	GAO-19-384	Cybersecurity: Agencies Need to Fully Establish Risk Management Programs and Address Challenges	Update the Department's policies to require an organization-wide risk assessment.	1/1/2022	N/A	N/A
317	GAO	FAA	8/30/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	The Runway Safety Manager should develop a process to identify and remove duplicate excursion records.	9/30/2021	N/A	N/A
318	GAO	FAA	8/30/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	The Runway Safety Manager should take steps to analyze data on ramp area incidents in FAA's new surface safety metric.	9/30/2021	N/A	N/A
319	GAO	FAA	8/30/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	The Runway Safety Manager should establish a plan to assess the effectiveness of all of FAA's terminal area-safety efforts, including Airport Surface Detection Equipment, Model X (ASDE-X) and the Runway Safety Program.	9/30/2021	N/A	N/A
320	GAO	FAA	8/30/2019	GAO-19-639	Aviation Safety: Opportunities Exist for FAA to Improve Airport Terminal Area Safety Efforts	The Administrator of FAA should require Flight Standards to share the results of its investigations with the Runway Safety Group, in a timely manner.	9/30/2021	N/A	N/A
321	OIG	FHWA	9/10/2019	SA2019066	Report on a Single Audit of the State of Indiana, Indianapolis, IN	Ensures that the State complies with the special tests and provisions requirements.	9/1/2022	N/A	N/A
322	OIG	FHWA	9/10/2019	SA2019068	Report on a Single Audit of the Crooked Creek Traditional Council, Crooked Creek, AK	Ensures that the Council complies with the activities allowed or unallowed requirements.	10/1/2021	N/A	N/A
323	OIG	FHWA	9/10/2019	SA2019068	Report on a Single Audit of the Crooked Creek Traditional Council, Crooked Creek, AK	Recovers $194,821 from the Council, if applicable.	10/1/2021	N/A	N/A
324	OIG	FHWA	9/10/2019	SA2019069	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensures that the Authority complies with the matching requirements.	5/1/2022	N/A	N/A
325	OIG	FHWA	9/10/2019	SA2019071	Report on a Single Audit of the Association of Village Council Presidents, Bethel, AK	Ensures that the Council complies with the procurement and suspension and debarment requirements.	10/1/2021	N/A	N/A
326	OIG	FTA	9/10/2019	SA2019069	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensures that the Authority complies with the subrecipient monitoring requirements.	3/8/2020	N/A	N/A
327	OIG	NHTSA	9/10/2019	SA2019067	Report on a Single Audit of the State of Vermont, Montpelier, VT	Ensures that the State complies with the level of effort requirements.	11/1/2021	N/A	N/A
328	GAO	OST	9/16/2019	GAO-19-543	Environmental Justice: Federal Efforts Need Better Planning, Coordination, and Methods to Assess Progress	Issue a progress report on the department's environmental justice efforts each year.	12/31/2022	N/A	N/A
329	OIG	FHWA	9/17/2019	SA2019076	Report on a Single Audit of the Commonwealth of Pennsylvania, Harrisburg, PA	Ensures that the Commonwealth complies with the subrecipient monitoring requirements.	9/1/2021	N/A	N/A
330	OIG	FTA	9/17/2019	SA2019078	Report on a Single Audit of the Puerto Rico Metropolitan Bus Authority, San Juan, PR	Ensures that the Authority complies with the equipment and real property management requirements.	8/31/2022	N/A	N/A
331	OIG	OST	9/17/2019	SA2019077	Report on a Single Audit of the City of Birmingham, Birmingham, AL	Ensures the City complies with the procurement and suspension and debarment requirements.	7/1/2021	N/A	N/A
332	OIG	OST	9/17/2019	SA2019077	Report on a Single Audit of the City of Birmingham, Birmingham, AL	Recovers $381,190 from the City, if applicable.	7/1/2021	N/A	N/A
333	OIG	FTA	9/18/2019	SA2019079	Report on a Single Audit of the Los Angeles County Metropolitan Transportation Authority	Ensures that the Authority complies with the subrecipient monitoring requirements.	9/30/2021	N/A	N/A
334	OIG	FTA	9/18/2019	SA2019080	Report on a Single Audit of the State of Nebraska, Lincoln, Nebraska	Ensures the State complies with the allowable costs/cost principles and subrecipient monitoring requirements.	8/30/2022	N/A	N/A
335	OIG	FTA	9/18/2019	SA2019080	Report on a Single Audit of the State of Nebraska, Lincoln, Nebraska	Recovers $232,750 (2018-067) from the State, if applicable.	6/30/2021	N/A	N/A
336	OIG	FTA	9/18/2019	SA2019080	Report on a Single Audit of the State of Nebraska, Lincoln, Nebraska	Recovers $71,167 (2018-068) from the State, if applicable.	6/30/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
337	OIG	FMCSA	9/25/2019	ST2019084	FMCSA's Plan Addresses Recommendations on Prioritizing Safety Interventions but Lacks Implementation Details	For the fifth NAS recommendation, provide (a) cost estimates that account for staffing, enforcement, and data collection; and (b) benchmarks for completion.	4/15/2022	N/A	N/A
338	OIG	FMCSA	9/25/2019	ST2019084	FMCSA's Plan Addresses Recommendations on Prioritizing Safety Interventions but Lacks Implementation Details	For the fourth and sixth NAS recommendations, provide (a) cost estimates that account for staffing, enforcement, and data collection; (b) benchmarks for completion; and (c) potential programmatic reforms, revisions to regulations, or proposals for legislation.	4/15/2022	N/A	N/A
339	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Implement requirements for documenting the rationale for entering into intra-agency agreements (IAA) with the John A. Volpe National Transportation Systems Center (Volpe), including why the proposed agreement is in the OA's best interest.	11/30/2021	N/A	N/A
340	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Implement a process to ensure OAs' spend plans, or an alternative mechanism, include descriptions of current and planned Volpe IAA projects, as well as the projects' current and future funding needs.	12/31/2021	N/A	N/A
341	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Implement oversight procedures in compliance with section 1.4.3 of DOT Order 1200.9 to verify use of required forms and the inclusion of required elements when executing Volpe IAAs, including but not limited to buyer obligation numbers, lines of accounting to be charged, and Treasury Appropriation Fund Symbols.	11/30/2021	N/A	N/A
342	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Implement procedures to verify compliance with departmental requirements for conducting IAA financial completion processes and returning unused funds after the period of performance ends.	11/30/2021	N/A	N/A
343	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Comply with DOT Order 1200.9's financial completion and IAA closeout process requirements for the IAAs identified in table 3 of this report, and determine whether to close them and deobligate the appropriate portions of the $5,966,933 we identified. Implementing this recommendation across the 854 IAAs in our audit universe could potentially put up to $33.3 million in funds to better use.	11/30/2021	N/A	N/A
344	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Develop and implement procedures to communicate with and train relevant OA staff (e.g., Program Office, Acquisitions/Procurement Office, and Budget/Finance Office staff) about DOT's current IAA-related requirements and guidance.	11/30/2021	N/A	N/A
345	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Develop and implement procedures for reviewing current and future OA-issued IAA guidance to confirm alignment with DOT policy.	11/30/2021	N/A	N/A
346	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Develop and implement procedures to verify OA compliance with departmental requirements for financially managing IAAs with Volpe, including conducting and documenting monthly and quarterly reconciliations, and year-end reviews.	11/30/2021	N/A	N/A
347	OIG	OST	9/30/2019	ZA2019087	DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Develop and implement a mechanism for the OAs to document and share their performance evaluation data regarding Volpe IAAs.	12/31/2021	N/A	N/A
348	OIG	OST	10/16/2019	SA2020001	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending August 31, 2019	Determine the allowability of the questioned transactions and recover $1,005,222.00, if applicable.	10/1/2021	N/A	N/A
349	GAO	PHMSA	10/16/2019	GAO-20-167	Natural Gas Storage: Actions Needed to Assess Inspection Workload and Progress toward Safety Outcomes	The PHMSA Administrator should analyze the factors affecting states' participation in underground natural gas storage inspections and analyze its workforce needs on an ongoing basis to guide its budget requests.	Recommendation Pending GAO Closure	N/A	N/A
350	GAO	FHWA	10/17/2019	GAO-20-32	Highway Emergency Relief: Federal Highway Administration Should Enhance Accountability over Project Decisions	The Administrator of FHWA should require FHWA division offices to document the rationale for classifying projects as emergency repairs, such as a description of why an emergency repair is necessary and which alternative strategies or repairs were considered, and to more clearly define the circumstances under which projects are classified as emergency repairs, including what constitutes restoration of essential traffic.	10/1/2021	N/A	N/A
351	GAO	FHWA	10/17/2019	GAO-20-32	Highway Emergency Relief: Federal Highway Administration Should Enhance Accountability over Project Decisions	The Administrator of FHWA should identify a specific timeline for clarifying the policy on the acceptable time frames for accomplishing emergency repair projects undertaken under expedited contracting and environmental requirements, and require FHWA division offices to document the rationale for decisions to extend projects beyond these time frames.	10/1/2021	N/A	N/A
352	GAO	NHTSA	10/17/2019	GAO-20-53	Traffic Safety: Improved Reporting Could Clarify States' Achievement of Fatality and Injury Targets	The NHTSA Administrator should develop and implement a mechanism that communicates to Congress and other stakeholders whether states achieve their fatality and serious injury targets.	6/21/2022	N/A	N/A
353	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Perform a review of all Plans of Action and Milestone (POA&M) items closed during the audit period to include supporting documentation and re-approve their closure.	3/1/2022	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
354	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Revise current security weakness management policies and procedures (documenting within a revision history table) to require documented evidence such as calendar appointments, meeting minutes, etc. in support of POA&M closure decisions to be uploaded into CSAM.	10/1/2021	N/A	N/A
355	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the OA CIOs to review current assessment and authorization processes and implement a validation process to ensure updated security plans, ATOs and risk assessments are reviewed and updated to reflect all system (including privacy) controls, vulnerabilities, and that current risks are clearly presented to the authorizing officials.	9/1/2021	N/A	N/A
356	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the OA CIOs to develop mechanisms to ensure updated system security plans and assessments of security controls (that were previously assessed as not satisfied or partially satisfied) reflect current operational environments, including an accurate status of the implementation of system security controls, and all applicable security controls are properly evaluated.	12/15/2031	N/A	N/A
357	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Document OA subnets and OA responsibilities for devices and systems operating on the Common Operating Environment.	3/1/2022	N/A	N/A
358	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Document and implement network segmentation to reduce the attack surface or susceptibility of vulnerable and sensitive OA assets in the Common Operating Environment.	12/31/2021	N/A	N/A
359	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with OAs to remediate outstanding identity and access management weaknesses through implementation and closure of POA&Ms and control assessments to determine whether these risks were addressed.	7/1/2022	N/A	N/A
360	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Resolve any inconsistencies with respect to Departmental policies and procedures, which prescribe conflicting directions on whether DOT components are required to provide, develop and update incident response plans, documenting evidence of review and revisions within a history log.	12/1/2021	N/A	N/A
361	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Implement a process to ensure incident response plans are developed for all OAs and updated on at least an annual basis.	3/1/2022	N/A	N/A
362	OIG	OST	10/23/2019	QC2020002	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the OA CIOs to remediate identified weaknesses in contingency plans and BIAs, such as missing information, lack of timely review, and inadequate approvals, demonstrated by updated contingency plans and BIAs.	12/31/2021	N/A	N/A
363	OIG	OST	10/29/2019	QC2020004	Quality Control Review of the Independent Auditor's Review of DOT's DATA Act Implementation	Implement and document a formal quarterly review process to ensure that any non-fatal warnings at the Operating Administration level are investigated, and actions to address the warnings are clearly documented.	11/1/2021	N/A	N/A
364	OIG	OST	10/29/2019	QC2020004	Quality Control Review of the Independent Auditor's Review of DOT's DATA Act Implementation	Implement and document an internal oversight review process for financial assistance awards to ensure that controls are in place to verify recipients are registered in SAM at the time of financial assistance award.	12/1/2021	N/A	N/A
365	OIG	FTA	10/30/2019	ST2020005	FTA's Limited Oversight of Grantees' Compliance With Insurance Requirements Puts Federal Funds and Hurricane Sandy Insurance Proceeds at Risk	Assess the necessary data to affirm that Hurricane Sandy recovery grantees carried flood insurance that complied with the Flood Disaster Protection Act (FDPA). For any Hurricane Sandy recovery grantee that FTA determines had uninsured buildings, contents, or both that should have been insured in compliance with the FDPA, permanently reduce the grantee's total Hurricane Sandy damage assessment by the aggregate amount of the maximum available National Flood Insurance Program (NFIP) insurance or the amount of the Federal investment in the property prior to the storm (whichever is less).	10/31/2021	N/A	N/A
366	OIG	FTA	10/30/2019	ST2020005	FTA's Limited Oversight of Grantees' Compliance With Insurance Requirements Puts Federal Funds and Hurricane Sandy Insurance Proceeds at Risk	Develop and implement procedures within FTA's Triennial and State Management Reviews to assess the necessary data to affirm that each grantee undergoing a comprehensive review carries flood insurance that complies with the FDPA. FTA's suggested corrective actions for any grantee deficiency in this area should include, at a minimum, requiring the grantee to submit to FTA documentation showing proof of flood insurance in the aggregate amount of the maximum available NFIP insurance or the amount of the Federal investment (whichever is less) for all structures required to have it.	12/1/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
367	OIG	FTA	10/30/2019	ST2020005	FTA's Limited Oversight of Grantees' Compliance With Insurance Requirements Puts Federal Funds and Hurricane Sandy Insurance Proceeds at Risk	Require the Hurricane Sandy Recovery grantees to apply their insurance proceeds in accordance with the timeframe established in the revised ERP guidance and in support of the policy described in its ERP Final Rule. Implementation of this recommendation could put over $982.8 million in funds to better use. This is the amount of transit-related insurance proceeds that grantees have received but have not yet spent on eligible transit recovery projects.	12/31/2021	N/A	N/A
368	OIG	OST	11/4/2019	ZA2020006	Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Implement enhanced physical security controls for the Information Technology Shared Services (ITSS) asset room where Working Capital Fund (WCF)-funded laptops are stored.	2/1/2022	N/A	N/A
369	OIG	OST	11/4/2019	ZA2020006	Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Develop and implement supplemental guidance that defines responsibilities for the Office of Facilities, Information, and Asset Management (OFIAM) and ITSS with respect to receipt, inspection, and acceptance, and inventory management processes and procedures for WCF-purchased laptops.	3/1/2022	N/A	N/A
370	OIG	OST	11/4/2019	ZA2020006	Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Update DOT Order 4410.4 to include: a. Defining roles and responsibilities of DOT offices and personnel with respect to management of WCF laptop computers. b. Requiring hand receipts or a similar form whenever an accountable property asset (e.g., laptop) is assigned or unassigned to/from a user. c. Requiring record retention of records from hand receipts or a similar control with the appropriate property official. d. Establishing a timeframe for submitting Reports of Survey to OFIAM.	3/1/2022	N/A	N/A
371	OIG	OST	11/4/2019	ZA2020006	Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Establish a Board of Survey to review instances of lost or damaged WCF equipment as required by DOT Order 4410.4.	3/1/2022	N/A	N/A
372	OIG	OST	11/4/2019	ZA2020006	Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Develop and implement a process for verifying the timely and accurate entry of laptop computer data into OFIAM's official personal property system of record, to include establishing data entry timeframes, key fields (e.g., procurement and delivery dates), and quality control checks.	3/1/2022	N/A	N/A
373	OIG	OST	11/4/2019	ZA2020006	Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Develop and implement procedures for conducting the annual property inventory to include obtaining missing hand receipts or similar control and timely resolution of discrepancies for WCF laptops. Implementation of this recommendation could result in $2.9 million in funds put to better use.	3/1/2022	N/A	N/A
374	OIG	FAA	11/14/2019	QC2020009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that Management design and implement procedures to consistently perform and document the following, as required by existing internal policies: Database layer audit log reviews.	12/31/2021	N/A	N/A
375	OIG	FAA	11/14/2019	QC2020009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that Management design and implement procedures to consistently perform and document the following, as required by existing internal policies: Operating System layer log reviews.	12/31/2021	N/A	N/A
376	OIG	FAA	11/14/2019	QC2020009	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that Management design and implement procedures to consistently perform and document the following, as required by existing internal policies: Operating system administrative account access reviews.	12/31/2021	N/A	N/A
377	OIG	FAA	11/18/2019	QC2020011	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management design and implement procedures to consistently perform and document database layer audit log reviews as required by existing internal policies.	6/30/2021	N/A	N/A
378	OIG	FAA	11/18/2019	QC2020011	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management design and implement procedures to consistently perform and document operation system layer log reviews as required by existing internal policies.	6/30/2021	N/A	N/A
379	OIG	FAA	11/18/2019	QC2020011	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management design and implement procedures to consistently perform and document operating system administrative account access reviews as required by existing internal policies.	6/30/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
380	GAO	OST	11/21/2019	GAO-20-81	Federal Research: Additional Actions Needed to Improve Public Access to Research Results	The Secretary of Transportation should fully develop and implement a mechanism to ensure researcher compliance with the public access plan and associated requirements.	1/15/2022	N/A	N/A
381	OIG	FAA	12/11/2019	FI2020012	FAA Needs To Improve Oversight and Enhance Transparency in Its Franchise Fund	Develop and implement a process directing the Logistics Center to maintain detailed records of the age and costs of inventory items as a way to identify obsolete items and prevent unnecessary storage and maintenance costs or purchase of assets already on hand.	12/31/2023	N/A	N/A
382	GAO	FAA	12/17/2019	GAO-20-136	FAA Should Improve Drone-Related Cost Information and Consider Options to Recover Costs	The Administrator of the Federal Aviation Administration should develop and implement a process to ensure that information on UAS-related costs is complete and reliable as capabilities and related regulations evolve.	9/30/2021	N/A	N/A
383	GAO	FAA	12/17/2019	GAO-20-136	FAA Should Improve Drone-Related Cost Information and Consider Options to Recover Costs	The Administrator of the Federal Aviation Administration, as part of UAS integration-planning efforts, should use available guidance on effective fee design to incorporate steps that will inform future fee-design considerations. For example, FAA may choose to incorporate these additional steps into its annual UAS implementation plan so that—as existing activities are adapted for UAS users or new regulations, services, or systems are introduced—costs and fee design options are considered.	9/30/2021	N/A	N/A
384	OIG	FAA	12/19/2019	AV2020013	FAA Needs To Improve Its Oversight To Address Maintenance Issues Impacting Safety at Allegiant Air	Revise its inspector guidance to require inspectors to determine that corrective actions taken by air carriers are implemented and have addressed known discrepancies prior to closing compliance actions.	11/30/2021	N/A	N/A
385	OIG	FAA	12/19/2019	AV2020013	FAA Needs To Improve Its Oversight To Address Maintenance Issues Impacting Safety at Allegiant Air	Perform a comprehensive review of FAA's root cause analysis training to ensure it meets Agency expectations. Modify training, as appropriate, based on the review and require inspectors to complete the course(s) or offer inspectors access to industry-based training programs.	12/31/2022	N/A	N/A
386	GAO	FTA	1/7/2020	GAO-20-205	Public Transportation: Enhanced Federal Information Sharing on Coordination Could Improve Rural Transit Services	The Administrator of FTA should develop a communication plan that will effectively share information with state transportation agencies and rural and tribal transit providers on coordination opportunities and leading coordination practices in an accessible and informative way.	10/31/2021	N/A	N/A
387	OIG	OST	1/29/2020	SA2020016	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 4-Month Period Ending December 31, 2019	Determine the allowability of the questioned transactions and recover $1,135,453, if applicable.	10/1/2021	N/A	N/A
388	GAO	FAA	2/6/2020	GAO-20-206	Aviation Maintenance: Additional Coordination and Data Could Advance FAA Efforts to Promote a Robust, Diverse Workforce	The Administrator of FAA should direct the Aviation Workforce Steering Committee, as part of its ongoing efforts, to take steps to use existing FAA data and coordinate with other federal agencies to identify and gather the information it needs to measure progress and target resources toward its goal of promoting a robust, qualified, and diverse aviation maintenance workforce. For example, FAA could task a committee working group with developing and implementing ways to improve data sharing among federal agencies to inform decision-making on how to strengthen career pathways and better understand the supply and demand of certificated workers.	12/31/2022	N/A	N/A
389	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Ensure Southwest Airlines complies with regulatory requirements to provide accurate weight and balance information to pilots, or grant an exemption that justifies the non-compliance being in the public interest.	10/31/2021	N/A	N/A
390	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Train inspectors on FAA's process to provide feedback on designated airworthiness representatives when corrective actions are needed, and provide inspectors access to the system used to provide feedback.	12/31/2021	N/A	N/A
391	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Develop and implement a management control to ensure air carriers and inspectors do not use Safety Management Systems as a substitute for regulatory compliance.	12/31/2021	N/A	N/A
392	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Develop and implement guidance on how to evaluate air carrier safety risk assessments to ensure the carrier has performed a comprehensive analysis, identified root causes, and established appropriate corrective actions.	9/30/2021	N/A	N/A
393	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing Safety Risks	Develop and implement inspector guidance on how to evaluate air carrier safety culture and how it should be factored into oversight decisions.	6/30/2022	N/A	N/A
394	GAO	OST	2/25/2020	GAO-20-299	Critical Infrastructure Protection: Additional Actions Needed to Identify Framework Adoption and Resulting Improvements	The Secretary of Transportation, in coordination with the Secretary of Homeland Security, should take steps to consult with respective sector partner(s) such as the SCC and NIST, as appropriate, to collect and report sector-wide improvements from use of the framework across its critical infrastructure sector using existing initiatives.	10/1/2022	N/A	N/A

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395	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to verify that all independent government cost estimates (IGCE) are completed in compliance with Agency requirements prior to the award of a major program contract. Implementing this recommendation could put up to $4.9 billion in Federal funds to better use by improving FAA's ability to establish contract pricing that is fair, reasonable, and realistic.	12/31/2021	N/A	N/A
396	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to hold acquisition and program officials accountable for providing timely signatures on packages for any major program contract procurement action—such as increasing the ceiling or definitizing a contract line item number—to be submitted for Chief Financial Officer approval, per Agency requirements.	12/31/2021	N/A	N/A
397	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to ensure a sound rationale is documented to support each noncompetitive major program contract, per Agency requirements, before the award is made. Implementing this recommendation could put up to $17.3 million to better use by allowing FAA to realize the benefits of competition and make more efficient use of these Federal funds.	12/31/2021	N/A	N/A
398	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to verify compliance with Agency requirements for conflict of interest agreements to be completed by all officials involved in a major program contract source selection process before they perform any of their responsibilities.	12/31/2021	N/A	N/A
399	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to verify compliance with Agency requirements regarding completion and approval of source selection evaluation plans for major program contracts.	12/31/2021	N/A	N/A
400	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to verify compliance with Agency requirements to use code names in lieu of contractor names in all source selection and evaluation communication and documentation for major program contracts.	12/31/2021	N/A	N/A
401	OIG	FAA	3/9/2020	ZA2020020	FAA's Competitive Award Practices Expose Its Major Program Contracts to Cost and Performance Risks	Strengthen internal controls to verify compliance with Agency requirements for maintaining centralized files for major program contracts—including a complete record of the acquisition history and decisions—and for archiving and destroying documentation.	12/31/2021	N/A	N/A
402	OIG	FAA	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Implement procedures to ensure cardholders retain records in accordance with the National Archives and Records Administration's general records schedule.	10/31/2021	N/A	N/A
403	OIG	FAA	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Develop and implement a process to monitor purchase transactions that involve credits to ensure the follow-up is performed and credits are received timely.	10/31/2021	N/A	N/A
404	OIG	OST	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Implement procedures to ensure cardholders retain records in accordance with the National Archives and Records Administration's general records schedule.	12/1/2021	N/A	N/A
405	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should conduct and document a risk assessment that considers inherent and residual fraud and abuse risks that may enable criminal, national security, or safety risks.	12/31/2021	N/A	N/A
406	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should determine impact, likelihood, and risk tolerance as part of a risk assessment.	12/31/2021	N/A	N/A
407	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should develop a strategy that outlines specific actions to address analyzed risks, including periodic assessments to evaluate continuing effectiveness of the risk response.	12/31/2021	N/A	N/A
408	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should collect and record information on individual registrants, initially including name, address, date of birth, and driver's license or pilot's license, or both, with subsequent PII elements informed by the risk assessment, once completed.	12/31/2021	N/A	N/A
409	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should collect and record information on legal entities not traded publicly—on each individual and entity that owns more than 25 percent of the aircraft; for individuals: name, date of birth, physical address, and driver's license or pilot's license, or both; and for entities: name, physical address, state of residence, and taxpayer identification number.	12/31/2022	N/A	N/A
410	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should verify aircraft registration applicants' and dealers' eligibility and information.	10/31/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
411	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should increase aircraft registration and dealer fees to ensure the fees are sufficient to cover the costs of FAA efforts to collect and verify applicant information while keeping pace with inflation.	12/31/2022	N/A	N/A
412	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should ensure, as part of aircraft registry IT modernization, that information currently collected in ancillary files or in PDF format on (1) owners and related individuals and entities with potentially significant responsibilities for aircraft ownership (e.g., beneficial owners, trustors, trustees, beneficiaries, stockholders, directors, and managers) and (2) declarations of international operations is recorded in an electronic format that facilitates data analytics by FAA and its stakeholders.	12/31/2022	N/A	N/A
413	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should link information on owners and related individuals and entities with significant responsibilities for aircraft ownership through a common identifier.	12/31/2022	N/A	N/A
414	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should, as part of IT modernization, develop an approach to check OFAC sanctions data on owners and related individuals and entities with potentially significant responsibilities for aircraft ownership for coordination with OFAC and to flag sanctioned individuals and entities across aircraft registration and dealer systems.	12/31/2022	N/A	N/A
415	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should use data collected as part of IT modernization as well as current data sources to identify and analyze patterns of activity indicative of fraud or abuse, based on information from declarations of international operations, postal addresses, sanctions listings, and other sources, and information on dealers, noncitizen corporations, and individuals and entities with significant responsibilities for aircraft ownership.	12/31/2024	N/A	N/A
416	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should develop and implement risk-based mitigation actions to address potential fraud and abuse identified through data analyses.	12/31/2022	N/A	N/A
417	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA should develop mechanisms, including regulations if necessary, for dealer suspension and revocation.	10/31/2021	N/A	N/A
418	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA, in coordination with relevant law-enforcement agencies, should enhance coordination within the Aircraft Registry Task Force through collaborative mechanisms such as written agreements and use of liaison positions.	12/31/2022	N/A	N/A
419	GAO	FAA	3/25/2020	GAO-20-164	Aviation: FAA Needs to Better Prevent, Detect, and Respond to Fraud and Abuse Risks in Aircraft Registration	The Administrator of FAA, in coordination with relevant law-enforcement agencies, should develop a mechanism to provide declarations of international operations for law-enforcement purposes.	12/31/2022	N/A	N/A
420	OIG	FAA	4/8/2020	QC2020024	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management revise policies and procedures to ensure that the review of grant invoices includes the review and validation of compliance with terms and conditions per the applicable grant agreement.	11/30/2021	N/A	N/A
421	OIG	FAA	4/8/2020	QC2020024	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends that FAA management enforce the policy that monthly audits are conducted by ESC-EDC personnel, as required by TOPS policy, to ensure that the bi-weekly log reviews are completed as required. In addition, FAA should ensure that the required monthly audits are tracked via checklist and certified by ESC-EDC personnel who conducted the audit. If ESC-EDC personnel determine that the bi-weekly reviews have not been properly completed, the ESC-EDC personnel should follow-up with the DBA to ensure that incomplete reviews are remediated and future bi-weekly log reviews are completed timely, as required by TOPS policy.	12/31/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
422	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends FHWA management enforce the Manage Log Review Files SOP or similar procedure that requires the Windows System Administrator to review Grant Management Application/UPACS operating system logs on a daily basis and digitally certify the reviews on a weekly basis.	12/31/2021	N/A	N/A
423	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends FHWA management ensure that System Administrators (SA) or Database Administrators (DBA) review past Grant Management Application/UPACS operating system log records for completion. If SAs or DBAs determine that the Windows Weekly log records, are not completed as required, SAs and DBAs should follow-up with the Windows System Administrator to ensure that incomplete reviews are remediated and future weekly log reviews are completed timely.	12/31/2021	N/A	N/A
424	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends FHWA management enforce the Manage Log Review Files SOP or similar procedure that requires the System Administrators to review Grant Management Application/ UPACS logs on a daily basis and digitally certify the reviews on a weekly basis.	12/31/2021	N/A	N/A
425	OIG	FHWA	4/8/2020	QC2020025	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	KPMG recommends FHWA management ensure that System Administrators (SA) or Database Administrators (DBA) review past Grant Management Application/UPACS log records for completion. If SAs or DBAs determine that the UNIX/Oracle log records, are not completed as required, SAs and DBAs should follow-up with the UNIX/Oracle System Administrators to ensure that incomplete reviews are remediated and future weekly log reviews are completed timely.	12/31/2021	N/A	N/A
426	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Perform a comprehensive assessment of DroneZone and LAANC's security controls that at a minimum provides the correct implementation status for system specific, common, and hybrid controls, and issue a new Authorization to Operate decision for DroneZone and its interconnected system LAANC.	10/29/2021	N/A	N/A
427	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Update the security assessment documents for DroneZone and LAANC to reflect the results of all security controls (e.g., common, hybrid, and system-specific) for selection, implementation, and assessing, per DOT requirements.	10/29/2021	N/A	N/A
428	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Establish and implement controls for monitoring, updating, and remediating open security weaknesses as well as the accepted risk in DOT repository for managing security weaknesses, per the DOT Security Weakness Management Guide.	10/29/2021	N/A	N/A
429	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Develop Standard Operating Procedures for the use of common and hybrid controls to include at a minimum:a. System owners must review the cloud provider Control Implementation Summary report to verify and document what controls are the customer's versus the cloud provider's.b. System owners must review monthly cloud provider POA&Ms and develop a risk mitigation strategy or compensating controls to address any identified vulnerabilities that may impact its system cybersecurity posture.c. System owners must coordinate with FAA common/hybrid control providers to verify the controls' actual implementation status and document them accurately in the appropriate security document.	10/29/2021	N/A	N/A
430	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Develop and implement a process clearly defining how privacy controls are identified, assessed, and documented, and work with the departmental Chief Privacy Officer in developing and implementing the process.	10/29/2021	N/A	N/A
431	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Develop and implement a process for testing DroneZone information systems for contingency planning, to include business impact analysis continuity of operations plans, business continuity plans, disaster recovery plans, and Information System Contingency Planning (ISCP).	10/29/2021	N/A	N/A
432	OIG	FAA	4/15/2020	IT2020027	FAA Lacks Sufficient Security Controls and Contingency Planning for Its DroneZone System	Develop a process to annually document FAA security officials communicating all contingency planning development, planning, and recovery activities to all stakeholders and executive management prior to authorizing officials making risk-based decisions.	10/29/2021	N/A	N/A
433	GAO	NHTSA	4/23/2020	GAO-20-419	Pedestrian Safety: NHTSA Needs to Decide Whether to Include Pedestrian Safety Tests in Its New Car Assessment Program.	The NHTSA Administrator should make and communicate a decision about whether to include pedestrian safety tests in the New Car Assessment Program (NCAP).	12/31/2021	N/A	N/A
434	GAO	NHTSA	4/23/2020	GAO-20-419	Pedestrian Safety: NHTSA Needs to Decide Whether to Include Pedestrian Safety Tests in Its New Car Assessment Program.	NHTSA should document the process for making changes to NCAP.	12/31/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
435	OIG	OST	4/27/2020	FS2020029	DOT's Fiscal Year 2019 IPERA Compliance Review	Implement procedures to require Federal Highway Administration to review about $28,000 identified as improper payments and recover as appropriate.	10/1/2021	N/A	N/A
436	OIG	OST	4/27/2020	FS2020029	DOT's Fiscal Year 2019 IPERA Compliance Review	Implement procedures to require that Federal Highway Administration develop a process to:a. detect grantees that have not reduced improper payments for 3 consecutive fiscal years or over the 3-year risk assessment cycle, and b. review those grantees' root causes to implement robust/individual corrective actions. Implementation of this recommendation could put approximately $169 million in funds to better use.	10/1/2021	N/A	N/A
437	GAO	CMTS	4/29/2020	GAO-20-460	Maritime Infrastructure: A Strategic Approach and Interagency Leadership Could Improve Federal Efforts in the U.S. Arctic	The U.S. Committee on the Marine Transportation System should complete a government-wide assessment of the economic, environmental, and safety risks posed by gaps in maritime infrastructure in the U.S. Arctic to inform investment priorities and decisions.	12/31/2021	N/A	N/A
438	OIG	OST	5/4/2020	SA2020032	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending March 31 2020	Determine the allowability of the questioned transactions and recover $2,227,535, if applicable.	10/1/2021	N/A	N/A
439	OIG	FHWA	5/19/2020	ST2020035	Gaps in FHWA's Guidance and the Florida Division's Process for Risk-Based Project Involvement May Limit Their Effectiveness	Update and issue a procedure within the Florida Division for conducting and documenting complete project risk assessments in accordance with FHWA's national guidance.	12/31/2021	N/A	N/A
440	OIG	FHWA	5/19/2020	ST2020035	Gaps in FHWA's Guidance and the Florida Division's Process for Risk-Based Project Involvement May Limit Their Effectiveness	Update and issue a procedure within the Florida Division for documenting complete risk-based project oversight plans in accordance with FHWA's national guidance.	12/31/2021	N/A	N/A
441	OIG	FHWA	5/19/2020	ST2020035	Gaps in FHWA's Guidance and the Florida Division's Process for Risk-Based Project Involvement May Limit Their Effectiveness	Develop and implement a process to routinely monitor the implementation and evaluate the effectiveness of FHWA's risk-based project involvement.	12/31/2021	N/A	N/A
442	OIG	OST	5/27/2020	EC2020036	Changes in Airline Service Differ Significantly for Smaller Communities, but Limited Data on Ancillary Fees Hinders Further Analysis	The Bureau of Transportation Statistics issue a Reporting Directive clarifying that air carriers are to include booking fees, along with any/all fees required to board the aircraft, in the fare line item reported to the Office of Airline Information's Origin and Destination Survey.	12/1/2021	N/A	N/A
443	OIG	OST	5/27/2020	EC2020036	Changes in Airline Service Differ Significantly for Smaller Communities, but Limited Data on Ancillary Fees Hinders Further Analysis	The Office of Aviation Analysis develop a process to regularly collect, maintain, and use information from airlines' website disclosures of all fees charged for optional or ancillary services as a screening mechanism for significant changes in these fees. For each mainline carrier and posted fee, this information should include—but not necessarily be limited to—identification of the type of each service and its price (or price range).	4/1/2022	N/A	N/A
444	OIG	MARAD	7/8/2020	ST2020038	MARAD's Policy and Procedures for the Title XI Program's Application Review Process Do Not Ensure Full Compliance With Requirements	Update the 2012 policy manual to address all statutory and regulatory requirements.	9/30/2021	N/A	N/A
445	OIG	MARAD	7/8/2020	ST2020038	MARAD's Policy and Procedures for the Title XI Program's Application Review Process Do Not Ensure Full Compliance With Requirements	Develop and implement procedures that direct MARAD to obtain and document all application related materials required by statute and regulation.	11/3/2021	N/A	N/A
446	OIG	MARAD	7/8/2020	ST2020038	MARAD's Policy and Procedures for the Title XI Program's Application Review Process Do Not Ensure Full Compliance With Requirements	Develop and implement procedures that require program staff to adhere to MARAD's program policy and statutory and regulatory requirements.	11/3/2021	N/A	N/A
447	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Develop and implement a plan with a timeline that identifies when critical, high, and medium vulnerabilities in STARS will be mitigated and implemented at the 11 largest TRACON facilities and includes a patch management program to ensure that the security patches for all operating systems, software, and applications are up to date; and timeline when FAA will implement security-relevant software updates for critical, high, and medium vulnerabilities, in accordance with requirements.	6/30/2021	N/A	N/A
448	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Develop and implement a plan with a timeline that identifies a date when FAA will implement malicious code protection mechanisms for all Windows devices deployed in the system and other assets at the 11 largest TRACON facilities.	6/30/2021	N/A	N/A

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449	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Develop and implement a plan that defines how FAA will remediate weaknesses in STARS' ability to exchange data with or connect to systems outside the National Airspace System without using an approved secure communication network, and provide a timeline for the completion of corrective actions.	8/30/2022	N/A	N/A
450	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Implement the current plan with a timeline that defines when STARS system components will be hardened and configured to baseline requirements and to provide only the necessary protocols, ports, and services as defined in the System Security Plan.	6/30/2021	N/A	N/A
451	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Develop and implement a plan and timeline identifying when STARS non-industrial control system assets will be configured to enforce a limit of five consecutive invalid attempts within a 15-minute period.	6/30/2021	N/A	N/A
452	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Direct STARS officials to prioritize mitigation efforts to resolve the security weaknesses for the 27 security controls identified in this report; develop a Plan of Action and Milestones that realistically reflects resources and timeframes for the completion of these actions; and report on these actions in the Department's Cybersecurity Assessment and Management monitoring system.	6/30/2021	N/A	N/A
453	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Update the STARS incident response policy to include the missing elements from the National Institute of Standards and Technology.	2/28/2023	N/A	N/A
454	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Provide training on FAA's policies and procedures regarding separation of duties and the proper management of sensitive data and markings to system specialists and other appropriate security officials at the Northern California TRACON facility (NCT) on a periodic basis.	6/30/2021	N/A	N/A
455	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Develop and implement an internal control that ensures that Agency staff follow requirements for access control in accordance with the STARS Security Handbook.	6/30/2021	N/A	N/A
456	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Update the contingency plans for the Northern California, Atlanta, and Chicago TRACONs to include a formal and complete alternate processing site agreement and a signature page to confirm the plans have been reviewed and approved by an authorized official.	6/30/2022	N/A	N/A
457	OIG	FAA	7/15/2020	IT2020039	FAA Is Not Remediating STARS Security Weaknesses in a Timely Manner and Contingency Planning Is Insufficient (SSI)	Update the NCT contingency plan to describe the process for returning the affected airspace to a 90-percent capacity within 96 hours of an incident.	6/30/2022	N/A	N/A
458	GAO	FTA	7/16/2020	GAO-20-512	Capital Investment Grants Program: FTA Should Improve the Effectiveness and Transparency of Its Reviews	The FTA Administrator should take steps to provide information to Congress and sponsors to better clarify how FTA applies the methods and factors it considers when performing its review of sponsors' projects. Clarification could include how FTA uses documents, such as project roadmaps, to help sponsors advance through the development process; estimated time frames for reviewing submissions and responding to sponsors' requests; and how FTA considers geographic diversity of projects in its decision-making	N/A	Non-Concur	DOT did not agree with GAO's recommendation. FTA already provides ample information to both Congress and CIG project sponsors on how it applies the methods and factors used to perform CIG project reviews. FTA intends to continue its current practices described previously to GAO to share information with Congress and project sponsors.
459	GAO	FTA	7/16/2020	GAO-20-512	Capital Investment Grants Program: FTA Should Improve the Effectiveness and Transparency of Its Reviews	The FTA Administrator should take steps to review all agency guidance pertaining to the Capital Investment Grants program's development process and identify aspects that may be outdated or confusing for sponsors, and communicate to Congress and sponsors the steps needed to update FTA's guidance or otherwise provide sponsors with more current information on the Capital Investment Grants program. As part of FTA's efforts, FTA could obtain feedback from sponsors and the industry on these issues as appropriate.	6/30/2023	N/A	N/A

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460	GAO	FTA	7/16/2020	GAO-20-512	Capital Investment Grants Program: FTA Should Improve the Effectiveness and Transparency of Its Reviews	The FTA Administrator should take steps to ensure its staff communicates information, such as the reason why a project is not advancing, to sponsors in a timely manner and in writing upon the sponsor's request.	N/A	Non-Concur	DOT did not agree with GAO's recommendation. FTA already does what GAO is recommending. FTA regularly communicates with all CIG project sponsors, including holding regular and recurring conference calls and meetings, via email communications, and formal written letters explaining any advancement approvals or denials. FTA intends to continue its team approach to overseeing CIG projects, whereby FTA staff with expertise in various disciplines participate in the regular communications with project sponsors to provide guidance and clarity on FTA requirements and procedures.
461	OIG	FAA	7/29/2020	AV2020040	FAA Has Begun To Update ERAM but Faces Challenges Realizing Full Benefits for Airspace Users	Develop an action plan with schedule milestones for completing the assessment, test, and mitigation of the new security requirements for ERAM to successfully meet a high impact system categorization.	9/30/2021	N/A	N/A
462	OIG	OST	8/5/2020	SA2020041	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3 Month Period Ending June 30, 2020	Determine the allowability of the questioned transactions and recover $3,440,165, if applicable.	10/1/2021	N/A	N/A
463	GAO	PHMSA	8/6/2020	GAO-20-619	Natural Gas Exports: Updated Guidance and Regulations Could Improve Facility Permitting Processes	The Administrator of PHMSA should conduct a standards-specific review of regulations that incorporate standards and, if necessary, update the regulations or document its decision for not updating them.	Recommendation Pending GAO Closure	N/A	N/A
464	GAO	PHMSA	8/6/2020	GAO-20-619	Natural Gas Exports: Updated Guidance and Regulations Could Improve Facility Permitting Processes	The Administrator of PHMSA should establish a process to conduct a standards-specific review of regulations that incorporate standards every 3 to 5 years and to update the regulations, if necessary	Recommendation Pending GAO Closure	N/A	N/A
465	GAO	OST	8/10/2020	GAO-20-622	Transportation Research: Additional Actions Could Improve DOT's Internal Collaboration and Reliability of Information on Research Activities	The Assistant Secretary for Research and Technology should take steps, such as updating guidance or other written communication, to ensure that the topical-research working groups (1) define and monitor progress toward achieving long-term outcomes, and (2) regularly update and monitor their charters and other written agreements to reflect these outcomes, in line with leading practices	10/1/2021	N/A	N/A
466	GAO	OST	8/10/2020	GAO-20-622	Transportation Research: Additional Actions Could Improve DOT's Internal Collaboration and Reliability of Information on Research Activities	The Assistant Secretary for Research and Technology should take additional steps, such as providing more specific guidance or instructions to the modal administrations on the information that should be updated or required, to ensure that the information in the Research Hub is complete and accurate.	10/1/2021	N/A	N/A
467	GAO	FAA	8/18/2020	GAO-20-642	Aviation Safety: Actions Needed to Evaluate Changes to FAA's Enforcement Policy on Safety Standards	The FAA Administrator should assign authority to an office or other entity to oversee use of the Compliance Program across program offices.	12/31/2021	N/A	N/A
468	GAO	FAA	8/18/2020	GAO-20-642	Aviation Safety: Actions Needed to Evaluate Changes to FAA's Enforcement Policy on Safety Standards	The FAA Administrator should collect and analyze data to monitor use of the Compliance Program across all program offices.	9/30/2021	N/A	N/A
469	GAO	FAA	8/18/2020	GAO-20-642	Aviation Safety: Actions Needed to Evaluate Changes to FAA's Enforcement Policy on Safety Standards	The FAA Administrator should conduct an evaluation of the Compliance Program to assess the effectiveness of the program in meeting its goals.	12/31/2021	N/A	N/A
470	GAO	FAA	8/18/2020	GAO-20-598	Cybersecurity: DHS and Selected Agencies Need to Address Shortcomings in Implementation of Network Monitoring Program	The FAA Administrator should commit to a time frame to complete the agency's effort to associate hardware with its FISMA systems.	Recommendation Pending GAO Closure	N/A	N/A
471	GAO	FAA	8/18/2020	GAO-20-598	Cybersecurity: DHS and Selected Agencies Need to Address Shortcomings in Implementation of Network Monitoring Program	The FAA Administrator should document agency-specific variations from federal core configuration benchmarks for each operating system on its network.	8/31/2022	N/A	N/A

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472	GAO	FAA	8/18/2020	GAO-20-598	Cybersecurity: DHS and Selected Agencies Need to Address Shortcomings in Implementation of Network Monitoring Program	The FAA Administrator should configure its CDM tools to compare configuration settings against federal core benchmarks and agency-specific variations applicable to its environment.	12/31/2022	N/A	N/A
473	OIG	FAA	9/2/2020	AV2020044	FAA Issued New Medical Requirements for Small Aircraft Pilots but Lacks Procedures and Data To Oversee the Program	Conduct a risk assessment of the issues related to valid driver's licenses and use of State-licensed physicians noted in this report, and implement processes to mitigate any identified risks. Include the results of this risk-assessment in the required report on the safety impact of BasicMed to Congress.	3/31/2022	N/A	N/A
474	OIG	FAA	9/2/2020	AV2020044	FAA Issued New Medical Requirements for Small Aircraft Pilots but Lacks Procedures and Data To Oversee the Program	Develop and implement a process to collect pilot flight hours, or an alternative process that allows a meaningful assessment of the safety impact of pilots operating under BasicMed compared with pilots operating with a medical certificate.	3/31/2022	N/A	N/A
475	OIG	FAA	9/16/2020	AV2020045	FAA's Process for Updating Its Aircraft Evacuation Standards Lacks Data Collection and Analysis on Current Evacuation Risks	Develop and implement a systematic process to regularly collect and analyze data on emergency evacuations to determine whether evacuation standards need to be revised or updated based upon current risks.	12/31/2021	N/A	N/A
476	OIG	FAA	9/16/2020	AV2020045	FAA's Process for Updating Its Aircraft Evacuation Standards Lacks Data Collection and Analysis on Current Evacuation Risks	Develop a policy or procedures to maintain and analyze a record of critical data from aircraft manufacturers' evacuation demonstrations and analyses to identify risks and ensure data used in analyses and computer modeling are accurate and up to date.	10/31/2021	N/A	N/A
477	OIG	OST	9/22/2020	QC2020046	Quality Control Review of the Independent Auditor's Report on DOT's Enterprise Services Center (FOUO)	KPMG recommends to review user access and remove any responsibilities that are not consistent with the User Access Request form.	12/1/2021	N/A	N/A
478	OIG	OST	9/22/2020	QC2020046	Quality Control Review of the Independent Auditor's Report on DOT's Enterprise Services Center (FOUO)	KPMG recommends to validate that all requested access changes identified as part of the Delphi User Access review are processed as requested.	12/21/2021	N/A	N/A
479	GAO	FTA	9/30/2020	GAO-20-686	Transit Asset Management: FTA Should Clarify Performance Data and Develop a Plan to Guide Future Program Improvements	The FTA Administrator should include the known limitations and intended uses of its TAM performance data in its public reports such as its annual NTD summary and other reports for decision-makers. This action should include clarifying the context of state of good repair data in TAM reports in relation to similar data in DOT's *Condition and Performance Report* and how they differ.	Recommendation Pending GAO Closure	N/A	N/A
480	GAO	FTA	9/30/2020	GAO-20-686	Transit Asset Management: FTA Should Clarify Performance Data and Develop a Plan to Guide Future Program Improvements	The FTA Administrator should develop a plan for how FTA intends to analyze, implement, and communicate any identified TAM program improvements moving forward. The plan should describe how FTA intends to address: a) relying on a single performance measure per asset category, b) potential limited use of investment scenarios by transit agencies in making asset decisions, and c) shorter-term planning horizons than those used by other planning counterparts.	12/31/2021	N/A	N/A
481	OIG	OST	10/2/2020	IT2021001	DOT Is Making Progress Toward Fulfilling the Requirements of the Geospatial Data Act of 2018	Update the National Geospatial Data Asset (NGDA) Theme plan with the processes to identify, assess, and develop NGDA standards based on the Act.	9/30/2021	N/A	N/A
482	OIG	OST	10/2/2020	IT2021001	DOT Is Making Progress Toward Fulfilling the Requirements of the Geospatial Data Act of 2018	Develop and implement a process to track the financial resources necessary to manage the National Geospatial Data Asset (NGDA) Transportation data theme.	9/30/2021	N/A	N/A
483	OIG	OST	10/2/2020	IT2021001	DOT Is Making Progress Toward Fulfilling the Requirements of the Geospatial Data Act of 2018	Develop, publish and implement DOT's strategy for geospatial data-related activities as defined in its Geospatial Information System Strategic Plan.	9/30/2021	N/A	N/A
484	OIG	OST	10/2/2020	IT2021001	DOT Is Making Progress Toward Fulfilling the Requirements of the Geospatial Data Act of 2018	Work with Operating Administration (OA) records officers to verify that FAA, FTA, MARAD, NHTSA, OST, and PHMSA allocate appropriate resources to complete file plans and record schedules development activities through submission to the DOT Records Management Office.	9/30/2021	N/A	N/A
485	OIG	OST	10/2/2020	IT2021001	DOT Is Making Progress Toward Fulfilling the Requirements of the Geospatial Data Act of 2018	Track and monitor FRA's, MARAD's, NHTSA's and PHMSA's allocated resources to meet the responsibilities of effective geospatial data collection, production, and stewardship.	9/30/2021	N/A	N/A
486	OIG	OST	10/2/2020	IT2021001	DOT Is Making Progress Toward Fulfilling the Requirements of the Geospatial Data Act of 2018	Develop, disseminate, and implement a uniform process for all Operating Administrations to perform a quality review of geospatial data to verify compliance with Department of Transportation's (DOT) information quality guidelines. This process should include a method of ensuring recipients of DOT funds for geospatial data collection meet appropriate quality standards, as well as an assessment of stakeholder and peer reviews in order to validate the quality of all disseminated information.	9/30/2021	N/A	N/A
487	OIG	OST	10/2/2020	IT2021001	DOT Is Making Progress Toward Fulfilling the Requirements of the Geospatial Data Act of 2018	Update, disseminate and implement Department of Transportation's internal data inventory policy to address how the Operating Administrations should verify that geospatial data and metadata does not inappropriately disclose personally identified information to external parties and include guidelines on tracking and maintaining geospatial data asset inventory and validating that inventories are complete.	9/30/2021	N/A	N/A

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488	OIG	OST	10/2/2020	IT2021001	DOT Is Making Progress Toward Fulfilling the Requirements of the Geospatial Data Act of 2018	Develop a process to verify that the Operating Administrations are aware of and apply the Department of Transportation Privacy Risk Management Policy, requiring privacy risk management activities to be completed for geospatial information systems prior to next system reauthorization.	9/30/2021	N/A	N/A
489	OIG	OST	10/2/2020	IT2021001	DOT Is Making Progress Toward Fulfilling the Requirements of the Geospatial Data Act of 2018	Develop and implement a procedure that documents and tracks all responsibilities outlined in the Geospatial Policy on Reducing Duplication are implemented to include Department of Transportation and Operating Administrations' implementation of geospatial clearinghouse searches to validate no duplication of funds.	9/30/2021	N/A	N/A
490	OIG	OST	10/2/2020	IT2021001	DOT Is Making Progress Toward Fulfilling the Requirements of the Geospatial Data Act of 2018	Develop and maintain a process to verify that all geospatial metadata meets quality standards that strengthen the internal control process to improve the quality of metadata reported on DOT's enterprise data inventory.	9/30/2021	N/A	N/A
491	OIG	OST	10/2/2020	IT2021001	DOT Is Making Progress Toward Fulfilling the Requirements of the Geospatial Data Act of 2018	Establish, document and implement a process for ongoing monitoring of its strategy for advancing geospatial information and related geospatial data and activities appropriate to its mission in accordance with requirements of the Federal Internal Control Standards.	9/30/2021	N/A	N/A
492	OIG	OST	10/2/2020	IT2021001	DOT Is Making Progress Toward Fulfilling the Requirements of the Geospatial Data Act of 2018	Working with the Operating Administrations, require that all geospatial information systems maintain authorization status in accordance with departmental cybersecurity policies.	9/30/2021	N/A	N/A
493	GAO	FAA	10/9/2020	GAO-21-86	Aviation Cybersecurity: FAA Should Fully Implement Key Practices to Strengthen Its Oversight of Avionics Risks	The FAA Administrator should direct the Associate Administrator for Aviation Safety to conduct a risk assessment of avionics systems cybersecurity to identify the relative priority of avionics cybersecurity risks for its oversight program compared to other safety concerns and develop a plan to address those risks.	9/30/2022	N/A	N/A
494	GAO	FAA	10/9/2020	GAO-21-86	Aviation Cybersecurity: FAA Should Fully Implement Key Practices to Strengthen Its Oversight of Avionics Risks	The FAA Administrator should direct the Associate Administrator for Aviation Safety, based on the assessment of avionics cybersecurity risks, to identify staffing and training needs for agency inspectors specific to avionics cybersecurity, and develop and implement appropriate training to address identified needs.	3/31/2022	N/A	N/A
495	GAO	FAA	10/9/2020	GAO-21-86	Aviation Cybersecurity: FAA Should Fully Implement Key Practices to Strengthen Its Oversight of Avionics Risks	The FAA Administrator should direct the Associate Administrator for Aviation Safety, based on the assessment of avionics cybersecurity risks, to develop and implement guidance for avionics cybersecurity testing of new airplane designs that includes independent testing.	3/31/2022	N/A	N/A
496	GAO	FAA	10/9/2020	GAO-21-86	Aviation Cybersecurity: FAA Should Fully Implement Key Practices to Strengthen Its Oversight of Avionics Risks	The FAA Administrator should direct the Associate Administrator for Aviation Safety, based on the assessment of avionics cybersecurity risks, to review and consider revising its policies and procedures for monitoring the effectiveness of avionics cybersecurity controls in the deployed fleet to include developing procedures for safely conducting independent testing.	N/A	Non-Concur	DOT did not agree with GAO's recommendation. FAA believes it has sufficient controls in place that monitor the deployed fleet of electronic-enabled (e-enabled) aircraft that would be susceptible to intentional unauthorized electronic interaction. The FAA utilizes its Aircraft Network Security Program to conduct oversight and auditing of operators in possession of e-enabled aircraft. Any type of independent testing conducted on in-service fleets could result in potential corruption of airplane systems, jeopardizing safety rather than detecting cybersecurity safety issues. Should a cybersecurity safety issue occur or be deemed likely to occur, the FAA has a process in place to address and correct the safety issue.
497	GAO	FAA	10/9/2020	GAO-21-86	Aviation Cybersecurity: FAA Should Fully Implement Key Practices to Strengthen Its Oversight of Avionics Risks	The FAA Administrator should direct the Associate Administrator for Aviation Safety to develop a mechanism to ensure that avionics cybersecurity issues are appropriately tracked and resolved when coordinating among internal stakeholders.	9/30/2021	N/A	N/A
498	GAO	FAA	10/9/2020	GAO-21-86	Aviation Cybersecurity: FAA Should Fully Implement Key Practices to Strengthen Its Oversight of Avionics Risks	The FAA Administrator should direct the Associate Administrator for Aviation Safety, based on the assessment of avionics cybersecurity risks, to review and consider the extent to which oversight resources should be committed to avionics cybersecurity.	3/31/2022	N/A	N/A

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499	GAO	OST	10/13/2020	GAO-21-109	Aviation Consumer Protection: Increased Transparency Could Help Build Confidence in DOT's Enforcement Approach	The Assistant General Counsel should provide additional information on the process OACP uses to investigate potential consumer protection violations, to assess risk, and to pursue enforcement actions and establish a timeframe for doing so. Such transparency could be provided through the handbook that OACP is currently drafting or through other public means such as providing additional information on its website.	12/31/2021	N/A	N/A
500	GAO	OST	10/13/2020	GAO-21-109	Aviation Consumer Protection: Increased Transparency Could Help Build Confidence in DOT's Enforcement Approach	The Assistant General Counsel should take steps to provide transparency and clarity into the results of OACP's enforcement of consume including investigations that do not result in a consent order. Such information could be aggregated data about cases, investigations, or warning letters.	12/31/2021	N/A	N/A
501	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Require OST to either start utilizing the CSAM tool for its security control assessments or develop its own risk assessment policies and procedures as required by DOT's Cybersecurity Compendium.	10/1/2022	N/A	N/A
502	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with OAs to update privacy risk management procedures to ensure the completion, tracking, review, and approval of privacy plans and compliance documentation prior to system authorization or reauthorization. Components should engage the Departmental Chief Privacy Officer as appropriate.	10/1/2021	N/A	N/A
503	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the Departmental Chief Privacy Officer to establish processes and procedures to notify Component Privacy Officers of systems scheduled for reauthorization so that required privacy risk management plans may be completed as required by policy.	10/1/2022	N/A	N/A
504	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the Departmental Chief Privacy Officer to establish processes and procedures to determine Component compliance with Departmental policy requiring Privacy Risk Management plans be established prior to system authorization or reauthorization.	10/1/2022	N/A	N/A
505	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Coordinate with appropriate offices within the Office of Secretary to develop and implement a strategy and solution(s) to ensure that supervisors, contracting officers, and contracting officer representatives enforce personnel onboarding and off boarding procedures, completion of the DOT Rules of Behavior and other IT requirements prior to being granted access to DOT networks, systems, and information, or have existing access revoked upon separation, in accordance with DOT policy.	10/1/2022	N/A	N/A
506	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Strengthen its oversight of the configuration management processes performed by OAs to ensure configuration management plans are developed, kept up-to-date, and document requirements for each system.	10/1/2022	N/A	N/A
507	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the FAA CIO to complete the revision of FAA Order 1800.66, Configuration Management Policy.	10/1/2022	N/A	N/A
508	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with OAs to implement oversight to address configuration change weaknesses and to ensure configuration changes to the information systems are properly documented and tracked through implementation, and undergo a post-implementation review to verify procedures are followed.	10/1/2022	N/A	N/A
509	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Ensure that baseline configuration deviations are monitored and deviations are approved to ensure that baseline compliance reports demonstrate a consistent and accurate application of baseline standards.	10/1/2022	N/A	N/A
510	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Consolidate to the enterprise Tenable Nessus system to ensure accessibility of baseline compliance and/or vulnerability assessment capabilities.	10/1/2022	N/A	N/A
511	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Ensure that missing security patches are either applied in accordance with DOT policy or that vulnerable software is otherwise remediated on the affected endpoints. In addition, ensure that missing security patches attributable to specific mission/business requirements are identified, control weaknesses are appropriately documented in POA&Ms, and that the authorizing official is aware of and has accepted risk for the associated weaknesses.	10/1/2022	N/A	N/A
512	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Document and implement a process to identify software end of life dates and require the development of implementation plans to eliminate unsupported software.	10/1/2022	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
513	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with FAA to secure a reliable funding stream for background reinvestigations.	10/1/2022	N/A	N/A
514	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	DOT should devise strategies, consistent with Federal policies and guidance, to overcome the logistical challenges of fingerprinting during a pandemic or other events and circumstances which prevent the timely completion of background reinvestigations.	10/1/2022	N/A	N/A
515	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the FAA CIO to review all systems listed in Appendix B of the FAA Air Traffic Operations (ATO) Information Security Continuous Monitoring (ISCM) Plan for NAS and Mission Support (MS) Systems to ensure the FAA ISCM plan is complete and accurate, making updates as needed.	10/22/2022	N/A	N/A
516	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the OST IT Director to ensure an alternate processing site (including necessary agreements) is more clearly described within the contingency plan to permit the transfer and resumption of information system operations for essential missions/business functions consistent with recovery time objectives when the primary processing capabilities are unavailable, for those systems in accordance with the requirements of the Cybersecurity Compendium and NIST guidance.	10/1/2022	N/A	N/A
517	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the PHMSA CIO to ensure an alternate storage site (including necessary agreements) is described within contingency plans to permit the transfer and resumption of information system operations for essential missions/business functions consistent with recovery time objectives when the primary processing capabilities are unavailable, for those systems in accordance with the requirements of the Cybersecurity Compendium and NIST guidance.	10/1/2022	N/A	N/A
518	OIG	OST	10/23/2020	QC2021003	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Strengthen its oversight of the contingency planning processes performed by FMCSA, OST COE, OST VOLPE, FAA, FRA, and MARAD to ensure contingency planning documentation is developed, updated and tested in a timely manner, in accordance with policy.	10/1/2022	N/A	N/A
519	GAO	FAA	11/9/2020	GAO-21-94	Aviation Safety: FAA's Office of Aviation Safety Should Take Additional Actions to Ensure Its Workforce Has Needed Skills	The Associate Administrator for Aviation Safety should assess organization-wide gaps in identified critical competencies for the Office of Aviation Safety's inspector and engineer workforces on a recurring basis.	9/30/2022	N/A	N/A
520	GAO	FAA	11/9/2020	GAO-21-94	Aviation Safety: FAA's Office of Aviation Safety Should Take Additional Actions to Ensure Its Workforce Has Needed Skills	The Associate Administrator for Aviation Safety should assess training curricula for the Office of Aviation Safety's inspector and engineer workforces on a recurring basis to ensure that training courses as a whole align with critical competencies needed to address agency mission and goals.	6/30/2023	N/A	N/A
521	OIG	FAA	11/13/2020	QC2021007	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommended that FAA management design and implement procedures to consistently and timely perform and document audit log reviews as required by standards for effective internal control systems and/or internal policies.	9/30/2021	N/A	N/A
522	OIG	FAA	11/13/2020	QC2021007	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommended that FAA management design and Implement procedures to consistently and timely perform and document user account access reviews as required by standards for effective internal control systems and/or internal policies.	9/30/2021	N/A	N/A
523	OIG	FAA	11/13/2020	QC2021007	Quality Control Review of the Independent Auditor's Report on the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommended that FAA management implement component-specific system security plan requirements.	9/30/2021	N/A	N/A
524	GAO	FAA	11/16/2020	GAO-21-85	Aviation Certification: FAA Needs to Strengthen Its Design Review Process for Small Airplanes	The Executive Director of the Aircraft Certification Service should assess the resources needed to efficiently implement Amendment 64.	12/31/2021	N/A	N/A
525	GAO	FAA	11/16/2020	GAO-21-85	Aviation Certification: FAA Needs to Strengthen Its Design Review Process for Small Airplanes	The Executive Director of the Aircraft Certification Service should provide information to help staff link ASTM consensus standards to Amendment 64 regulations.	6/30/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
526	GAO	FAA	11/16/2020	GAO-21-85	Aviation Certification: FAA Needs to Strengthen Its Design Review Process for Small Airplanes	The Executive Director of the Aircraft Certification Service should develop procedures for staff's review of applicants' proposed means of compliance under Amendment 64, including how the means of compliance should be documented, what level of detail is needed, and who should be responsible for approving the proposed means of compliance in various scenarios.	12/31/2021	N/A	N/A
527	GAO	FAA	11/16/2020	GAO-21-85	Aviation Certification: FAA Needs to Strengthen Its Design Review Process for Small Airplanes	The Executive Director of the Aircraft Certification Service should provide information to staff to address their uncertainty regarding (1) the circumstances in which an issue paper is required, and (2) how to ensure staff's concerns are documented and resolved in situations in which staff are not to use an issue paper.	10/31/2021	N/A	N/A
528	GAO	FAA	11/16/2020	GAO-21-85	Aviation Certification: FAA Needs to Strengthen Its Design Review Process for Small Airplanes	The Executive Director of the Aircraft Certification Service should implement a strategy to regularly collect, address, and share information and guidance resulting from employees' feedback regarding implementation of Amendment 64.	12/31/2021	N/A	N/A
529	GAO	FAA	11/16/2020	GAO-21-85	Aviation Certification: FAA Needs to Strengthen Its Design Review Process for Small Airplanes	The Executive Director of the Aircraft Certification Service should implement a method to track Amendment 64 projects by certification basis.	9/30/2021	N/A	N/A
530	GAO	FAA	11/16/2020	GAO-21-85		The Executive Director of the Aircraft Certification Service should take steps to develop performance measures to evaluate the effects of Part 23 performance-based regulations on safety, regulatory cost burden, innovation, and technology adoption for small airplanes.	12/31/2021	N/A	N/A
531	OIG	OST	12/2/2020	SA2021009	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending September 30, 2020	We recommend that DOT determine the allowability of the questioned transactions and recover $25,838, if applicable.	8/15/2021	N/A	N/A
532	OIG	FAA	12/8/2020	AV2021010	Weaknesses in FAA's Supplemental Passenger Restraint System Authorization Process Hinder Improvements to Open-Door Helicopter Operations	Issue a Notice of Proposed Rulemaking and a final rule, if found to be in the public interest, that address operations using supplemental passenger restraint systems.	10/31/2021	N/A	N/A
533	OIG	FAA	12/8/2020	AV2021010	Weaknesses in FAA's Supplemental Passenger Restraint System Authorization Process Hinder Improvements to Open-Door Helicopter Operations	Require all supplemental passenger restraint system applications to be reviewed using a standardized evaluation checklist that defines which information must be included on the request form for authorization.	10/31/2021	N/A	N/A
534	OIG	FAA	12/8/2020	AV2021010	Weaknesses in FAA's Supplemental Passenger Restraint System Authorization Process Hinder Improvements to Open-Door Helicopter Operations	Define minimum certification standards that meet aviation-specific load factors for supplemental passenger restraint systems. On June 3, 2021, OST/FAA and OIG agreed to modify the recommendation to:Review and evaluate supplemental passenger restraint systems to ensure they meet industry standards.	2/1/2023	N/A	N/A
535	OIG	FAA	12/8/2020	AV2021010	Weaknesses in FAA's Supplemental Passenger Restraint System Authorization Process Hinder Improvements to Open-Door Helicopter Operations	Revise the supplemental passenger restraint system authorization procedures so applications are routed through local oversight offices to notify inspectors which operators are requesting and subsequently authorized for supplemental restraint use.	10/31/2021	N/A	N/A
536	OIG	FAA	12/8/2020	AV2021010	Weaknesses in FAA's Supplemental Passenger Restraint System Authorization Process Hinder Improvements to Open-Door Helicopter Operations	Develop and incorporate supplemental passenger restraint inspection criteria—such as frequency of inspections, review of harness authorization documentation, and maintenance of harnesses into inspector guidance for both Part 135 and Part 91 surveillance.	10/31/2021	N/A	N/A
537	OIG	OST	12/16/2020	FS2021011	DOT Needs to Strengthen Travel Card Program Internal Controls to Minimize Misuse	Notify all travel card program participants that advance written approval must be obtained prior to incurring any travel expenses.	12/31/2022	N/A	N/A
538	OIG	OST	12/16/2020	FS2021011	DOT Needs to Strengthen Travel Card Program Internal Controls to Minimize Misuse	Develop and implement a plan for Agency/Organization Program Coordinator to identify travel authorizations that were not submitted or approved prior to the incurrence of official travel-related expenses. The plan should include follow-up with cardholders and approvers on instances where noncompliance is identified.	12/31/2022	N/A	N/A
539	OIG	OST	12/16/2020	FS2021011	DOT Needs to Strengthen Travel Card Program Internal Controls to Minimize Misuse	Update DOT's travel card management policy, DOT Order 15006.b, and DOT travel card training to include guidance on how cardholders should recover travel card account overpayments.	12/31/2022	N/A	N/A
540	OIG	OST	12/16/2020	FS2021011	DOT Needs to Strengthen Travel Card Program Internal Controls to Minimize Misuse	Develop and implement a control that will allow the Department to identify questionable travel card transactions outside of the delinquency report review that is performed by the operating administrations.	12/31/2022	N/A	N/A
541	OIG	OST	12/16/2020	FS2021011	DOT Needs to Strengthen Travel Card Program Internal Controls to Minimize Misuse	Expand existing training for managers and Approving Officials to incorporate a proper voucher review.	12/31/2022	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
542	OIG	OST	12/16/2020	FS2021011	DOT Needs to Strengthen Travel Card Program Internal Controls to Minimize Misuse	Notify all travel cardholders that cash withdrawals must not occur more than 3 days prior to an authorized trip.	12/31/2022	N/A	N/A
543	OIG	OST	12/16/2020	FS2021011	DOT Needs to Strengthen Travel Card Program Internal Controls to Minimize Misuse	Strengthen current cash-advance controls to test cardholder compliance with cash advances and require follow-up with cardholders when instances are detected.	12/31/2022	N/A	N/A
544	OIG	OST	12/16/2020	FS2021011	DOT Needs to Strengthen Travel Card Program Internal Controls to Minimize Misuse	Design and implement a control to test that cardholders are using the travel card to pay only for official travel expenses as required. The control should include follow-up with cardholders when charges unrelated to official travel are detected.	12/31/2022	N/A	N/A
545	OIG	OST	12/16/2020	FS2021011	DOT Needs to Strengthen Travel Card Program Internal Controls to Minimize Misuse	Modify training materials to emphasize the required use of the travel card for all expenses related to official travel.	12/31/2022	N/A	N/A
546	OIG	OST	12/16/2020	FS2021011	DOT Needs to Strengthen Travel Card Program Internal Controls to Minimize Misuse	Develop and implement controls to require that refresher training is administered timely in electronic learning management system, and require that cardholders complete refresher training in a timely manner.	12/31/2022	N/A	N/A
547	OIG	OST	12/16/2020	FS2021011	DOT Needs to Strengthen Travel Card Program Internal Controls to Minimize Misuse	Modify the current travel card application process to include a manager certification as required by the DOT travel card management policy.	12/31/2022	N/A	N/A
548	GAO	OST	12/18/2020	GAO-21-197	Automated Technologies: DOT Should Take Steps to Ensure Its Workforce Has Skills Needed to Oversee Safety	The Director of DOT's Department of Human Resources should complete efforts to identify all cybersecurity occupations across the agency, and incorporate those related to overseeing the cybersecurity of automated technologies into its workforce planning efforts, such as the Workforce Transformation Chart.	1/1/2023	N/A	N/A
549	GAO	OST	12/18/2020	GAO-21-197	Automated Technologies: DOT Should Take Steps to Ensure Its Workforce Has Skills Needed to Oversee Safety	The Director of DOT's Department of Human Resources should assess skill gaps in key occupations that are involved in overseeing the safety of automated technologies.	1/1/2024	N/A	N/A
550	GAO	OST	12/18/2020	GAO-21-197	Automated Technologies: DOT Should Take Steps to Ensure Its Workforce Has Skills Needed to Oversee Safety	The Director of DOT's Department of Human Resources should collect and analyze information on the effectiveness of recruiting strategies, such as special payment authorities, in attracting staff to occupations that oversee the safety of automated technologies, and share effective strategies with modal administrations.	7/1/2022	N/A	N/A
551	GAO	OST	12/18/2020	GAO-21-197	Automated Technologies: DOT Should Take Steps to Ensure Its Workforce Has Skills Needed to Oversee Safety	The Director of DOT's Department of Human Resources should regularly measure the progress of strategies implemented to close skill gaps—such as on an annual basis—and ensure modal administrations offer training to close those gaps.	7/1/2023	N/A	N/A
552	GAO	FAA	12/22/2020	GAO-21-154	Commercial Space Transportation: FAA Should Examine a Range of Options to Support U.S. Launch Infrastructure	We recommend that the Associate Administrator for AST provide Congress the results of an examination of a range of options including funding and financing tools, as well as alternatives to making funding available to support space transportation infrastructure. This examination should include a discussion of trade-offs and whether and how, if at all, each approach would contribute to national policy goals.	12/31/2021	N/A	N/A
553	GAO	FAA	1/7/2021	GAO-21-200	Aircraft Noise: Better Information Sharing Could Improve Responses to Washington, D.C. Area Helicopter Noise Concerns	The Administrator of the FAA should direct the Office of Environment and Energy to develop a mechanism to exchange helicopter noise information with operators in the D.C. area.	12/21/2021	N/A	N/A
554	OIG	FMCSA	1/13/2021	ST2021013	FMCSA Has Not Fully Met Oversight Requirements as It Rebuilds the National Registry of Certified Medical Examiners	Develop a plan to allocate resources to the Medical Programs Division to fully implement requirements for medical examiner eligibility audits and random selection performance monitoring.	1/31/2022	N/A	N/A
555	OIG	FMCSA	1/13/2021	ST2021013	FMCSA Has Not Fully Met Oversight Requirements as It Rebuilds the National Registry of Certified Medical Examiners	Update Agency processes for conducting periodic medical examiner eligibility audits and random selection performance monitoring as needed to incorporate upgraded National Registry tools.	6/30/2023	N/A	N/A
556	OIG	FMCSA	1/13/2021	ST2021013	FMCSA Has Not Fully Met Oversight Requirements as It Rebuilds the National Registry of Certified Medical Examiners	Reinstate the conduct of eligibility audits and random selection performance monitoring of medical examiners.	6/30/2023	N/A	N/A
557	OIG	PHMSA	1/15/2021	ST2021012	PHMSA's Safety Culture Efforts	Describe the responsibilities and tasks necessary to develop and continuously promote a positive safety culture at PHMSA, such as a training plan on safety culture. Then clearly assign those responsibilities to leadership.	7/1/2022	N/A	N/A
558	OIG	PHMSA	1/15/2021	ST2021012	PHMSA's Safety Culture Efforts	Establish a method to track and monitor the status of initiatives related to safety culture.	7/1/2022	N/A	N/A
559	GAO	PHMSA	1/21/2021	GAO-21-12	Chemical Security: Overlapping Programs Could Better Collaborate to Share Information and Identify Potential Security Gaps	The Secretary of Transportation should direct its hazardous materials transportation program to collaborate with chemical safety and security partners and establish an iterative and ongoing process to identify the extent to which the facilities that it regulates are also covered by the CFATS program.	12/31/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
560	OIG	FAA	1/27/2021	QC2021014	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	Identify and resolve discrepancies between the FAA ISPP and Center for Internet Security Benchmarks specific to the procurement system's password configurations.	9/30/2021	N/A	N/A
561	OIG	FAA	1/27/2021	QC2021014	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	If changes are needed, update the procurement system's security documentation to reflect the databasepassword requirements.	9/30/2021	N/A	N/A
562	OIG	FAA	1/27/2021	QC2021014	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	Ensure that database password settings are in compliance with FAA ISPP.	9/30/2021	N/A	N/A
563	OIG	FAA	1/27/2021	QC2021014	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	Update application password settings to ensure compliance with the FAA ISPP.	9/30/2021	N/A	N/A
564	OIG	FAA	1/27/2021	QC2021014	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	Design and implement a process to ensure that the inventory application, database, and operating system changes are tested, documented, and approved prior to migration into production and update the change management ticketing system to capture required approvals and evidence of testing for application, database, or operating system changes, in accordance with FAA ISPP.	9/30/2021	N/A	N/A
565	OIG	FAA	1/27/2021	QC2021014	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	Configure the account lockout threshold for the Windows server accounts within the FAA.gov domain to comply with FAA policy and system requirements.	9/30/2021	N/A	N/A
566	OIG	FAA	1/27/2021	QC2021014	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	Ensure that existing procedures over the review of journal entries are performed, at an appropriate level of precision, to determine that all posted manual entries are complete, accurate, and adequately supported by documentation.	9/30/2021	N/A	N/A
567	OIG	FAA	1/27/2021	QC2021014	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	Update the Journal Voucher Processing standard operating procedures to explicitly document and define the responsibility of the control operator to annotate any variances identified in the JV control log reconciliation with the actions taken and resolution obtained.	10/1/2021	N/A	N/A
568	OIG	FAA	1/27/2021	QC2021014	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	Update the standard operating procedures to define the triggering events for which the serviceable unit cost should be revalued in accordance with applicable accounting standards.	9/30/2021	N/A	N/A
569	OIG	FAA	1/27/2021	QC2021014	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	Design and implement control activities to ensure that serviceable unit costs are only revalued as a result of valid triggering events which occur during the current period.	12/31/2021	N/A	N/A
570	OIG	FAA	1/27/2021	QC2021014	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	Develop policies and procedures to ensure that judgments that inform accounting estimates are based on the best available information at the time of calculating and recording the CARES Act grant accrual estimate in the financial statements.	9/30/2021	N/A	N/A
571	OIG	FAA	1/27/2021	QC2021014	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	Develop procedures to document the period in which user access is granted and terminated to support the operating effectiveness of the shared service center's user access controls.	9/30/2021	N/A	N/A
572	OIG	FHWA	1/27/2021	QC2021015	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommends that FHWA management update its security documentation and system security plan, in accordance with Department requirements, to capture any control deviations and compensating controls used in lieu of automatically disabling inactive accounts.	10/1/2021	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
573	OIG	FHWA	1/27/2021	QC2021015	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommends that FHWA and ESC management design and implement a control that is sufficiently precise to detect and correct UDO reconciliation discrepancies in the correct fiscal year in which they occur.	10/1/2021	N/A	N/A
574	OIG	FTA	1/27/2021	QC2021008	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommends that FTA management perform a documented risk assessment and develop a tailored grant accrual methodology for each new grant accrual category in which the expected costs incurred but not recorded may differ based on the characteristics of the grant funding. To the extent contradictory evidence or actual incurrence does not align with the initial assumptions developed, management should refine the methodology accordingly.	10/1/2021	N/A	N/A
575	OIG	FTA	1/27/2021	QC2021008	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommendeds that FTA management establish a documented review process to clearly demonstrate the historical disbursement days for all grant accrual categories have been reviewed prior to recording the grant accrual.	10/1/2021	N/A	N/A
576	OIG	FTA	1/27/2021	QC2021015	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommends that FTA management design and implement policies and procedures that establish a formal process to assess applicable third-party SOC reports that includes reviewing the SOC 1, 2, 3 reports, reviewing and comparing reporting updates year-over-year, and reviewing findings and their impact on the grants management system.	10/1/2021	N/A	N/A
577	OIG	FTA	1/27/2021	QC2021015	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommends that FTA management design and implement policies and procedures that establish a formal process to assess applicable third-party SOC reports that includes implementing the service organization's recommended complimentary user entity controls and monitoring these controls for proper implementation and operating effectiveness.	10/1/2021	N/A	N/A
578	OIG	OST	1/27/2021	QC2021008	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommends that DOT management design and implement procedures to consistently and timely perform and document audit log reviews as required by standards for effective internal control systems and/or internal policy.	10/1/2021	N/A	N/A
579	OIG	OST	1/27/2021	QC2021008	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommends that DOT management design and implement procedures to consistently and timely perform and document user account access reviews as required by standards for effective internal control systems and/or internal policy.	10/1/2021	N/A	N/A
580	OIG	OST	1/27/2021	QC2021008	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommends that management design and implement component-specific system security plan requirements in instances where plans for those areas not addressed in the Departmental system security plan.	10/1/2021	N/A	N/A
581	OIG	OST	1/27/2021	QC2021008	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommends that management design and implement procedures related to the retention of appropriate supporting evidence of internal controls including, but not limited to, access administration, access recertification, audit log review, and patch management.	10/1/2021	N/A	N/A
582	OIG	OST	1/27/2021	QC2021008	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommends that DOT management maintain a documentation trail which demonstrates completion of each step in the performance of their input validation control in accordance with the TIFIA Loan Subsidy Re-estimates standard operating procedures.	10/1/2021	N/A	N/A
583	OIG	OST	1/27/2021	QC2021015	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommends that ESC management should provide a training refresher to contracting program managers and access control officers related to the separation process for contractors.	10/1/2021	N/A	N/A
584	OIG	OST	1/27/2021	QC2021015	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2020 and 2019	KPMG recommends that ESC management update procedures surrounding management's review of journal entries at ESC to ensure that journal entries are reviewed at an appropriate level of precision to determine that all posted manual entries are complete, accurate, and adequately supported by documentation.	10/1/2021	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2021

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
585	GAO	FAA	1/28/2021	GAO-21-165	Unmanned Aircraft Systems: FAA Could Strengthen Its Implementation of a Drone Traffic Management System by Improving Communication and Measuring Performance	The Administrator of the Federal Aviation Administration should provide stakeholders with additional information on the timing and substance of future UTM testing and implementation efforts, using FAA's UTM website or other appropriate means.	3/31/2022	N/A	N/A
586	GAO	FAA	1/28/2021	GAO-21-165	Unmanned Aircraft Systems: FAA Could Strengthen Its Implementation of a Drone Traffic Management System by Improving Communication and Measuring Performance	The Administrator of the Federal Aviation Administration should develop performance goals and measures for its UTM implementation plan.	4/30/2022	N/A	N/A
587	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Revise FAA policy to include equitable review of projects funded by discretionary and entitlement funds, and perform regular formal assessments of Block Grant States' (BGS) adherence to Federal requirements for project selection.	12/31/2021	N/A	N/A
588	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Revise FAA's policy on documenting project-approval decisions to ensure that BGS adhere to project prioritization.	12/31/2021	N/A	N/A
589	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Revise and implement FAA's process for resolving instances of insufficient documentation as support for reimbursement to BGS.	12/31/2021	N/A	N/A
590	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Request supporting documentation for the transactions related to the $5.7 million in unsupported project costs we identified in Wisconsin, and collect all unsupported costs or identify FAA's rationale for accepting them.	10/31/2021	N/A	N/A
591	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Assess the claims related to the $12,835 in unsupported Cash Management Improvement Act reimbursements we identified in Michigan, and review similar transactions within the SBGP for unsupported costs. Develop an action plan to collect all unsupported costs or identify FAA's rationale for accepting them.	12/31/2021	N/A	N/A
592	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Develop and implement a procedure for monitoring BGS adherence to requirements for Airport Improvement Program (AIP) expenditures at regular and frequent intervals.	12/31/2021	N/A	N/A
593	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Revise guidance for all AIP stakeholders to reinforce the required sequence in which different types of AIP funds are to be expended.	12/31/2021	N/A	N/A
594	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Require Airport District Offices (ADO) and Regional Offices to comply with grant closeout requirements for BGS. Implementation of this recommendation could put $115.7 million in funds to better use.	12/31/2021	N/A	N/A
595	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Develop and implement a procedure to verify the accuracy of BGS data submissions. Implementation of this recommendation could put $5.7 million in funds to better use by improving FAA's grant management oversight.	12/31/2021	N/A	N/A
596	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Formalize and implement minimum training requirements for BGS officials, and give BGS access to all FAA-conducted, AIP-related online and in-person training.	12/31/2021	N/A	N/A
597	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Finalize the draft Memorandum of Agreement outlined in the SBGP Advisory Circular and implement it for all 10 current BGS and any future program entrants.	12/31/2021	N/A	N/A
598	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Finalize and implement an SBGP-wide audit plan in accordance with FAA's SBGP Advisory Circular, and include a requirement to document resolution of findings.	12/31/2021	N/A	N/A
599	OIG	FAA	2/10/2021	AV2021017	Gaps in FAA's Oversight of the AIP State Block Grant Program Contribute to Adherence Issues and Increase Risks	Ensure compliance or implementation of FAA's procedure to share resolutions of Single Audit Report recommendations with the ADOs and Regional Offices that oversee the BGS.	12/31/2021	N/A	N/A
600	OIG	OST	2/10/2021	SA2021018	SA2021018 Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending December 31, 2020	Determine the allowability of the questioned transactions and recover $5,130,999, if applicable.	12/1/2021	N/A	N/A
601	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Update the Changed Product Rule to address the integration of technological advances and exceptions.	12/31/2025	N/A	N/A
602	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Evaluate criteria for determining whether a system meets the definition of a "novel or unusual design feature," add specificity, and implement identified improvements.	12/31/2025	N/A	N/A
603	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Require applicants to submit failure probability analysis and key assumptions in certification deliverables.	5/31/2025	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
604	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Assess and update Advisory Circular 25.1309 guidance related to engineering assumptions regarding pilot actions, pilot reaction times, and failure mode testing.	12/31/2025	N/A	N/A
605	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Establish and implement processes for manufacturers to officially notify FAA certification engineers of any changes made to System Safety Assessments, including after FAA flight testing has begun.	12/31/2025	N/A	N/A
606	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Establish and implement communication and coordination procedures between Boeing and FAA, and within FAA among flight test, certification, and Flight Standards.	12/31/2023	N/A	N/A
607	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Establish and implement policies and procedures for the Aircraft Evaluation Group related to its role in the certification process that require, at a minimum: formal documentation of approvals; documentation of operational flight test parameters, procedures, and outcomes; expanded written guidance on the FSB process; and improved consistency of procedures between AEG offices.	12/31/2023	N/A	N/A
608	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Incorporate lessons learned from the Boeing 737 MAX accidents into the ODA oversight process guidance implementing a risk-based approach.	12/31/2022	N/A	N/A
609	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Clarify priorities, roles, and responsibilities for FAA engineers regarding oversight and certification work, including the timing of when oversight should be performed.	12/31/2022	N/A	N/A
610	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Perform a workforce assessment at FAA's Boeing Aviation Safety Oversight office to determine engineer resource and expertise needs, particularly in the areas of systems engineering, human factors, and software development, to both perform certification and oversight work, and take action as necessary.	12/31/2022	N/A	N/A
611	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Conduct an assessment to determine how frequently unit members serve as both the company engineer involved in a design as the applicant and also find compliance on FAA's behalf on that same design. Based on the results of this assessment, revise ODA guidance to strengthen controls in this area.	12/31/2023	N/A	N/A
612	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Revise ODA program requirements to ensure ODAs have internal controls in place and are organized in a way that prevents interference with ODA unit members.	5/31/2025	N/A	N/A
613	OIG	FAA	2/23/2021	AV2021020	Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8	Complete the ongoing rulemaking project that proposes requiring manufacturers to implement Safety Management Systems, including setting and publishing expected timeframes.	3/20/2024	N/A	N/A
614	GAO	MARAD	2/26/2021	GAO-21-125	Defense Transportation: DOD Can Better Leverage Existing Contested Mobility Studies and Improve Training	The Secretary of Transportation should ensure that the Maritime Administrator, in coordination with the Secretary of the Navy and the Commander of U.S. Transportation Command, updates surge-sealift crew training, as appropriate and feasible, to reflect the results of the training evaluation conducted by DOD.	12/31/2023	N/A	N/A
615	OIG	FAA	3/10/2021	AV2021022	FAA Has Made Progress in Implementing ASIAS, but Work Remains To Better Predict, Prioritize, and Community Safety Risks	Develop and implement models based on criteria to prioritize requests for ASIAS safety information across the ASIAS communities.	6/30/2022	N/A	N/A
616	OIG	FAA	3/10/2021	AV2021022	FAA Has Made Progress in Implementing ASIAS, but Work Remains To Better Predict, Prioritize, and Community Safety Risks	Disseminate ASIAS aggregated, confidential national-level metrics, such as known risk monitoring, on a regular basis to the Safety Analysis and Promotion Division and principal aviation safety inspectors.	10/31/2021	N/A	N/A
617	OIG	FAA	3/10/2021	AV2021022	FAA Has Made Progress in Implementing ASIAS, but Work Remains To Better Predict, Prioritize, and Community Safety Risks	Determine if the ASIAS non-confidential information is beneficial to Flight Standards inspectors, and if so, implement guidance to field-level personnel so that inspectors have an understanding of how, when, and why they should use the system.	3/31/2022	N/A	N/A
618	GAO	FAA	3/17/2021	GAO-21-254	Freedom of Information Act: Actions Needed to Improve Agency Compliance with Proactive Disclosure Requirements	The FAA Administrator should document proactive disclosure requirements and procedures to clearly establish roles and responsibilities for complying with the FOIA statute and DOT regulations.	9/30/2021	N/A	N/A
619	GAO	FAA	3/17/2021	GAO-21-254	Freedom of Information Act: Actions Needed to Improve Agency Compliance with Proactive Disclosure Requirements	The FAA Administrator should track the number of proactive disclosures for all required categories and report this information in DOT's Annual FOIA Report.	4/30/2023	N/A	N/A
620	GAO	OST	3/17/2021	GAO-21-296	Transportation Safety: DOT Has Taken Steps to Verify and Publicize Drug and Alcohol Testing Data but Should Do More	The Secretary of Transportation should direct the Administrators of FAA, FMCSA, FRA, FTA, and PHMSA to: (1) evaluate the different processes used by each modal administration to verify drug and alcohol testing data—including comparing data to records during inspections, checking data for errors manually or with software, and contacting employers that do not submit a report or submit an incomplete report—and (2) determine what, if any, additional steps should be taken to improve the reliability of the information.	6/30/2022	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
621	GAO	OST	3/17/2021	GAO-21-296	Transportation Safety: DOT Has Taken Steps to Verify and Publicize Drug and Alcohol Testing Data but Should Do More	The Director of ODAPC should disclose known limitations of drug and alcohol testing data on DOT's website, consistent with key actions for open government data.	12/31/2021	N/A	N/A
622	GAO	OST	3/17/2021	GAO-21-296	Transportation Safety: DOT Has Taken Steps to Verify and Publicize Drug and Alcohol Testing Data But Should Do More	The Director of ODAPC should reach out to potential users in the public to determine if there is a broader audience for the public data, consistent with key actions for open government data, and if a broader audience is identified, engage with users to evaluate the benefits and costs of adopting additional key actions for open government data and any other possible improvements to the website.	6/30/2022	N/A	N/A
623	OIG	FAA	3/30/2021	AV2021023	NextGen Benefits Have Not Kept Pace With Initial Projections, but Opportunities Remain To Improve Future Modernization Efforts	Publish metrics that measure performance of NextGen improvements across the NAS.	12/31/2021	N/A	N/A
624	OIG	FAA	3/30/2021	AV2021023	NextGen Benefits Have Not Kept Pace With Initial Projections, but Opportunities Remain To Improve Future Modernization Efforts	Develop and implement a process that incorporates interim adjusted benefit projections and interim implementation analyses to support prioritization of NextGen programs and deployment locations.	12/31/2021	N/A	N/A
625	OIG	FAA	3/30/2021	AV2021023	NextGen Benefits Have Not Kept Pace With Initial Projections, but Opportunities Remain To Improve Future Modernization Efforts	Update and provide stakeholders a risk adjusted NextGen benefit projection.	12/31/2021	N/A	N/A
626	OIG	OST	5/19/2021	AV2021024	DOT Appropriately Relied on Unsubsidized Carriers in Accordance With Its Policy but Conducted Limited Oversight of the Essential Air Service Communities They Serve	Conduct periodic reviews of the level of basic essential air service in accordance with Federal regulations.	12/31/2021	N/A	N/A
627	GAO	NHTSA	5/20/2021	GAO-21-405	Pedestrians and Cyclists: Better Information to States and Enhanced Performance Management Could Help DOT Improve Safety	. The NHTSA Administrator should take steps to collect information on the range of countermeasures implemented by states and analyze that information to help advance what is known about countermeasures' effectiveness and then share results with states.	12/31/2023	N/A	N/A
628	GAO	NHTSA	5/20/2021	GAO-21-405	Pedestrians and Cyclists: Better Information to States and Enhanced Performance Management Could Help DOT Improve Safety	The NHTSA Administrator should more fully use performance management practices to guide its pedestrian and cyclist safety activities, such as (1) by developing performance measures for NHTSA and the program offices responsible for implementing pedestrian and cyclist safety activities to demonstrate how these activities contribute to safety goals, and (2) by using performance information to make any necessary changes to advance pedestrian and cyclist safety efforts.	12/31/2023	N/A	N/A
629	OIG	OST	5/26/2021	SA2021025	SA2021025 Summary Report on Significant Single Audit Findings for the 3-Month Period Ending March 31, 2021	Determine the allowability of the questioned transactions and recover $8,008,786, if applicable.	3/1/2022	N/A	N/A
630	OIG	FAA	6/2/2021	ZA2021026	Gaps in Guidance, Training, and Oversight Impede FAA's Ability To Comply With Buy American Laws	Revise the Acquisition Management System (AMS) to include policy and guidance covering the BAA and BAP laws and requirements, specifically on the application of clauses, exceptions, and waivers, as well as when to obtain contractor certifications. Implementing this recommendation could put $127 million to better use by reducing the risk of FAA improperly procuring foreign-made supplies and products.	1/31/2022	N/A	N/A
631	OIG	FAA	6/2/2021	ZA2021026	Gaps in Guidance, Training, and Oversight Impede FAA's Ability To Comply With Buy American Laws	Develop and implement formal training that focuses on the application of FAA's BAA and BAP requirements, contract clauses, and waivers, as well as on obtaining and retaining required vendor certifications.	1/31/2022	N/A	N/A
632	OIG	FAA	6/2/2021	ZA2021026	Gaps in Guidance, Training, and Oversight Impede FAA's Ability To Comply With Buy American Laws	Revise AMS to include policy and guidance for FAA's Electronic Document Storage record-keeping system to include the retention of BAA and BAP documents in the official contract file.	1/31/2022	N/A	N/A
633	OIG	FAA	6/2/2021	ZA2021026	Gaps in Guidance, Training, and Oversight Impede FAA's Ability To Comply With Buy American Laws	Revise AMS to include guidance and procedures on how to monitor post-award compliance with the BAA requirements, including actions to take when acquisition clauses—such as vendor certification requirements—are incomplete or erroneously omitted.	1/31/2022	N/A	N/A
634	OIG	FAA	6/2/2021	ZA2021026	Gaps in Guidance, Training, and Oversight Impede FAA's Ability To Comply With Buy American Laws	Revise the National Acquisition Evaluation Program evaluation form and procedures to require evaluators to review and document Buy American compliance, e.g., by listing the categories of Buy American clauses as separate entries and including procedures that show evaluators how to test and document compliance.	9/30/2021	N/A	N/A
635	OIG	FAA	6/2/2021	ZA2021026	Gaps in Guidance, Training, and Oversight Impede FAA's Ability To Comply With Buy American Laws	Enhance existing quality control procedures to require acquisition personnel to enter FAA domestic content data (i.e., place of manufacture codes) accurately in the Federal Procurement Data System–Next Generation.	9/30/2021	N/A	N/A
636	OIG	FAA	6/2/2021	ZA2021026	Gaps in Guidance, Training, and Oversight Impede FAA's Ability To Comply With Buy American Laws	Develop and implement procedures for collecting, tracking, analyzing, and reporting on FAA's use of the BAP waivers and the BAA exceptions.	6/30/2022	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
637	OIG	FAA	6/2/2021	ZA2021026	Gaps in Guidance, Training, and Oversight Impede FAA's Ability To Comply With Buy American Laws	Develop and implement procedures to ensure FAA posts information on its existing use of BAP blanket waivers, as well as any newly executed waivers, for direct contracts on a public website.	6/30/2022	N/A	N/A
638	GAO	FHWA	6/20/2021	GAO-21-405	Pedestrians and Cyclists: Better Information to States and Enhanced Performance Management COuld Help DOT Improve Safety	The FHWA Administrator should more fully use performance management practices to guide its pedestrian and cyclist safety activities, such as (1) by developing performance measures for FHWA and the program offices responsible for implementing pedestrian and cyclist safety activities to demonstrate how these activities contribute to safety goals, and (2) by using performance information to make any necessary changes to advance pedestrian and cyclist safety efforts.	12/31/2023	N/A	N/A
639	OIG	FRA	6/30/2021	ST2021027	Fully Implementing a Grants Management Framework Will Enhance FRA's Amtrak Funding Oversight	Establish and implement measurable goals and metrics for assessing the effectiveness of the oversight program.	10/31/2022	N/A	N/A
640	OIG	FRA	6/30/2021	ST2021027	Fully Implementing a Grants Management Framework Will Enhance FRA's Amtrak Funding Oversight	Complete and implement procedures for systematically tracking issues identified through reviews of Amtrak's use of Federal funds and compliance with cooperative agreements.	4/30/2022	N/A	N/A
641	OIG	FRA	6/30/2021	ST2021027	Fully Implementing a Grants Management Framework Will Enhance FRA's Amtrak Funding Oversight	Finalize and implement procedures for taking action to address Amtrak's noncompliance with cooperative agreement terms and conditions.	12/31/2021	N/A	N/A
642	OIG	FRA	6/30/2021	ST2021027	Fully Implementing a Grants Management Framework Will Enhance FRA's Amtrak Funding Oversight	Implement the plan to complete information system improvements and centralize Amtrak oversight data in accordance with established milestones.	12/31/2021	N/A	N/A
643	OIG	MARAD	7/7/2021	ST2021028	MARAD Has Made Progress in Addressing NAPA Recommendations Related to Mission Focus, Program Alignment, and Ability To Meet Objectives	Develop a plan with milestones for completing the remaining eight applicable recommendations.	1/1/2022	N/A	N/A
644	OIG	MARAD	7/7/2021	ST2021028	MARAD Has Made Progress in Addressing NAPA Recommendations Related to Mission Focus, Program Alignment, and Ability To Meet Objectives	Track implementation of the plan with milestones.	1/1/2022	N/A	N/A
645	OIG	FAA	7/12/2021	FI2021029	FAA's Ability To Manage Its National Airspace System Inventory Is Limited by Several Gaps in Its Processes That Remain After Adoption of the Agency's Current Inventory Management System	Revise FAA's process for identifying excess, obsolete, or unserviceable inventory to include consideration for the quantity of repairable parts on hand, and the expected future demand for those parts.	9/30/2024	N/A	N/A
646	OIG	FAA	7/12/2021	FI2021029	FAA's Ability To Manage Its National Airspace System Inventory Is Limited by Several Gaps in Its Processes That Remain After Adoption of the Agency's Current Inventory Management System	Implement an oversight process for core due-ins that includes continuous tracking as well as following up on any core due-ins that are not returned within 30 days.	12/31/2021	N/A	N/A
647	OIG	FAA	7/12/2021	FI2021029	FAA's Ability To Manage Its National Airspace System Inventory Is Limited by Several Gaps in Its Processes That Remain After Adoption of the Agency's Current Inventory Management System	Evaluate and revise the Advance Due-In Report to maximize its effectiveness in accurately tracking actual due-ins from the field.	11/30/2021	N/A	N/A
648	OIG	FAA	7/12/2021	FI2021029	FAA's Ability To Manage Its National Airspace System Inventory Is Limited by Several Gaps in Its Processes That Remain After Adoption of the Agency's Current Inventory Management System	Research, identify, and account for the due-ins identified in the Advance Due-in Report and request that parts be returned. If unreturned, bill NAS customers accordingly. Implementation of this recommendation could put over $38 million in funds to better use.	N/A	Unresolved	DOT did not agree with the recommendation. FAA does not agree to bill NAS customers for all unreturned inventory.
649	OIG	FMCSA	7/14/2021	ST2021030	FMCSA Oversight of Commercial Drivers Disqualifications	Improve current requirements for States to record, track, and maintain paper-based convictions sent and received via mail by incorporating its standardized method for States to aggregate paper-based convictions to facilitate FMCSA's evaluation of State performance.	12/31/2023	N/A	N/A
650	OIG	FMCSA	7/14/2021	ST2021030	FMCSA Oversight of Commercial Drivers Disqualifications	Finalize and implement standardized operating procedures for conducting annual program reviews and for supervisory quality control reviews of completed annual program reviews.	3/31/2022	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
651	OIG	FMCSA	7/14/2021	ST2021030	FMCSA Oversight of Commercial Drivers Disqualifications	Modify the annual program review checklist to require reviewers to address key factors and determine whether: a. sampled out-of-State convictions were posted to driver records within the required 10 days; b. results from a review of in-State convictions and paper notifications of out-of-State convictions were documented; c. sample testing was conducted of the greater of 2 percent of electronic transactions in a month or a total of five transactions, in accordance with FMCSA's 2016 policy memorandum; d. States are sending convictions either electronically or via mail but not using both methods; e. States begin disqualification periods on or after the date the out-of-State conviction is received; and f. States that are offering administrative appeals for out-of-State disqualifications and permitting them to be overturned are identified.	3/31/2022	N/A	N/A
652	OIG	FMCSA	7/14/2021	ST2021030	FMCSA Oversight of Commercial Drivers Disqualifications	Finalize and implement a standard operating procedure for determining when a State is not making a good faith effort to timely mitigate compliance issues and when to impose sanctions on noncompliant States.	3/31/2022	N/A	N/A
653	OIG	FMCSA	7/14/2021	ST2021030	FMCSA Oversight of Commercial Drivers Disqualifications	Complete the Agency's review of the State Compliance Records Enterprise system and implement identified improvements for managing States' compliance issues.	12/31/2023	N/A	N/A
654	OIG	FMCSA	7/14/2021	ST2021030	FMCSA Oversight of Commercial Drivers Disqualifications	Develop and implement a process to segregate non-CDL holder convictions from all Commercial Driver's License Information System reports and workbooks utilized to evaluate State's compliance with CDL regulations.	12/31/2023	N/A	N/A
655	OIG	FMCSA	7/14/2021	ST2021030	FMCSA Oversight of Commercial Drivers Disqualifications	Develop and implement a plan for coordinating with the American Association of Motor Vehicle Administrators to mitigate risks when States transition to new software systems.	12/31/2023	N/A	N/A
656	OIG	FTA	7/21/2021	ST2021032	FTA Made Progress in Providing Hurricane Sandy Funds but Weaknesses in Tracking and Reporting Reduce Transparency Into Their Use	Establish and implement written policies and procedures to accurately communicate allocated amounts over time through FTA's documents, such as notices, memoranda, and letters; the grant management system; and external reports.	12/31/2021	N/A	N/A
657	OIG	FTA	7/21/2021	ST2021032	FTA Made Progress in Providing Hurricane Sandy Funds but Weaknesses in Tracking and Reporting Reduce Transparency Into Their Use	Complete the planned update to FTA's Assistance Listings internal guidance to include procedures to ensure the Agency complies with the Office of Management and Budget assistance listing requirements that are intended to make obligation information readily identifiable on USASpending.gov.	11/30/2021	N/A	N/A
658	OIG	FAA	8/2/2021	IT2021033	FAA Is Taking Steps To Properly Categorize High-Impact Information Systems, but Security Risks Remain Until High Security Controls Are Implemented (SSI)	Complete FAA's security categorization policies and procedures by updating FAA's Air Traffic Organization (ATO) Risk Management Framework Categorization Board Process, and/or develop new policies and procedures and require that they are consistent with Federal standards by providing details documenting FAA's process for:a. Mapping the impact definitions from Federal Information Processing Standards Publication 199 to existing FAA guidance, andb. Establishing standard objective impact thresholds based on FAA's mission.	12/31/2021	N/A	N/A
659	OIG	FAA	8/2/2021	IT2021033	FAA Is Taking Steps To Properly Categorize High-Impact Information Systems, but Security Risks Remain Until High Security Controls Are Implemented (SSI)	Update FAA's NAS Requirement Document 2013 (NAS RD-2013) to include all current ATO systems operating in the National Airspace System (NAS).a. Conduct an analysis of the 43 safety-critical or efficiency-critical systems that were included in NAS RD-2013 to determine if they should be re-categorized as high-impact systems.b. If they should be re-categorized, conduct a required gap analysis for high-impact systems including control selection, implementation, assessment and system authorization.	9/30/2022	N/A	N/A
660	OIG	FAA	8/2/2021	IT2021033	FAA Is Taking Steps To Properly Categorize High-Impact Information Systems, but Security Risks Remain Until High Security Controls Are Implemented (SSI)	Establish policies and procedures for a gap analysis process for ATO's high-impact systems based on steps in the National Institute of Standards and Technology's (NIST) SP 800-37r2 Risk Management Framework: categorize, select, implement, assess, authorize, and monitor.	12/31/2021	N/A	N/A
661	OIG	FAA	8/2/2021	IT2021033	FAA Is Taking Steps To Properly Categorize High-Impact Information Systems, but Security Risks Remain Until High Security Controls Are Implemented (SSI)	Complete gap analyses and associated tasks for the systems re-categorized as high-impact in accordance with the NIST Risk Management Framework, and document the results in System Characterization Documents, System Security Plans, and Security Assessment Reports (SAR), and record authorizing officials' signatures in Executive Summaries.a. For the SAR security documentation, include a justification for any high security control and/or security enhancement that is not included in the assessment.b. Upon completion of the gap analysis, specify the timeline for completing FAA's remediation implementation strategy for the Plans of Action and Milestones.	6/30/2022	N/A	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
662	OIG	FAA	8/2/2021	IT2021033	FAA Is Taking Steps To Properly Categorize High-Impact Information Systems, but Security Risks Remain Until High Security Controls Are Implemented (SSI)	Establish and implement a timeline with milestones for when FAA plans to fully implement its enterprise security initiatives designed to protect NAS assets.	12/31/2021	N/A	N/A
663	OIG	FAA	8/2/2021	IT2021033	FAA Is Taking Steps To Properly Categorize High-Impact Information Systems, but Security Risks Remain Until High Security Controls Are Implemented (SSI)	Establish and implement a timeline with milestones for when FAA plans to complete the selection, tailoring and implementation of all required high security controls in the NAS for the 45 re-categorized high-impact systems.	6/30/2022	N/A	N/A
664	OIG	FAA	8/11/2021	AV2021034	FAA Can Increase Its Inspector Staffing Model's Effectiveness by Implementing System Improvements and Maximizing Its Capabilities	Institute a process that compares the inspector staffing model estimates to actual staffing levels. The process should identify the reasons for the differences between the two figures, establish performance measures that help assess the accuracy of the model's results, and actions taken to improve future forecasting.	6/30/2023	N/A	N/A
665	OIG	FAA	8/11/2021	AV2021034	FAA Can Increase Its Inspector Staffing Model's Effectiveness by Implementing System Improvements and Maximizing Its Capabilities	Finalize the demand-driven metrics and determine how they will be used in conjunction with the inspector staffing model.	6/30/2022	N/A	N/A
666	OIG	FAA	8/11/2021	AV2021034	FAA Can Increase Its Inspector Staffing Model's Effectiveness by Implementing System Improvements and Maximizing Its Capabilities	Develop and implement a plan with milestones for completing the air carrier and general aviation staffing models, including information on how the Agency plans on using them in conjunction with the current staffing model, the process by which the business rules are updated, and the results of the most recent review of the business rules.	3/31/2022	N/A	N/A
667	OIG	FAA	8/11/2021	AV2021034	FAA Can Increase Its Inspector Staffing Model's Effectiveness by Implementing System Improvements and Maximizing Its Capabilities	Produce inspector staffing estimates and actual staffing levels at the functional and field office levels. Include these figures in the Agency's annual safety workforce plan.	3/30/2023	N/A	N/A
668	OIG	FAA	8/11/2021	AV2021034	FAA Can Increase Its Inspector Staffing Model's Effectiveness by Implementing System Improvements and Maximizing Its Capabilities	Reinstitute the process in which Flight Standards office managers review their staffing estimates.	3/31/2022	N/A	N/A
669	OIG	FAA	8/11/2021	AV2021034	FAA Can Increase Its Inspector Staffing Model's Effectiveness by Implementing System Improvements and Maximizing Its Capabilities	Track progress on implementing the Office Workload List, including milestones to show when the Agency anticipates using information from the system to assist with inspector staffing decisions.	6/30/2022	N/A	N/A
670	OIG	FAA	8/11/2021	AV2021034	FAA Can Increase Its Inspector Staffing Model's Effectiveness by Implementing System Improvements and Maximizing Its Capabilities	Update information regarding implementation of the Designee Management System, including milestones to show when FAA anticipates fully integrating individual designees into the system and how it intends to use the system's data to determine whether to adjust its inspector workforce staffing levels and responsibilities.	12/31/2022	N/A	N/A
671	OIG	FAA	8/18/2021	AV2021035	FAA's Approach for Establishing and Modifying Air Traffic Controller Staffing Levels Needs Improvement To Properly Identify Staffing Needs at Contract Towers	Analyze and document the justification for the FAA Contract Tower (FCT) Program's minimum staffing requirements.	4/30/2022	N/A	N/A
672	OIG	FAA	8/18/2021	AV2021035	FAA's Approach for Establishing and Modifying Air Traffic Controller Staffing Levels Needs Improvement To Properly Identify Staffing Needs at Contract Towers	Develop and implement an internal process to periodically review, and maintain supporting records for FCT controller staffing minimums.	4/30/2022	N/A	N/A
673	OIG	FAA	8/18/2021	AV2021035	FAA's Approach for Establishing and Modifying Air Traffic Controller Staffing Levels Needs Improvement To Properly Identify Staffing Needs at Contract Towers	Develop and implement an internal process—including roles and responsibilities, timeframes, and criteria—to ensure contract requirements are met, and overpayments made to contractors are recovered.	4/30/2022	N/A	N/A
674	OIG	FAA	8/18/2021	AV2021035	FAA's Approach for Establishing and Modifying Air Traffic Controller Staffing Levels Needs Improvement To Properly Identify Staffing Needs at Contract Towers	Recover overpayments to contractors, estimated minimum of $2.64 million and minimum of $2.5 million.	8/31/2022	N/A	N/A
675	OIG	OST	8/31/2021	SA2021036	SA2021036 Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending June 30, 2021	Coordinate with impacted OAs to develop a corrective action plan to resolve and close the findings highlighted in this report.	9/30/2021	N/A	N/A
676	OIG	OST	8/31/2021	SA2021036	SA2021036 Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending June 30, 2021	Determine the allowability of the questioned transactions and recover $32,153,264, if applicable.	5/1/2022	N/A	N/A

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OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2021

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation	Explanation for Non-Implementation
677	OIG	FAA	9/27/2021	ZA2021037	FAA Faces Challenges in Tracking Its Acquisition Workforce and Ensuring Compliance With Training, Certification, and Warrant Requirements	Establish and implement an effective process for: (i) identifying and tracking the Agency's acquisition workforce (such as Contracting Officers (COs), Contracting Officer's Representatives (CORs) and Program/Project Managers (P/PMs)) and (ii) collecting and maintaining their certifications and related training records. Data collected via this process and maintained in repositories should be complete, accurate, and readily accessible.	9/30/2022	N/A	N/A
678	OIG	FAA	9/27/2021	ZA2021037	FAA Faces Challenges in Tracking Its Acquisition Workforce and Ensuring Compliance With Training, Certification, and Warrant Requirements	Identify, remove, and/or rectify those COs, CORs, and P/PMs—currently assigned to a contract or program—that lack the required training orcertification to fulfill their designated role.	3/30/2022	N/A	N/A
679	OIG	FAA	9/27/2021	ZA2021037	FAA Faces Challenges in Tracking Its Acquisition Workforce and Ensuring Compliance With Training, Certification, and Warrant Requirements	Develop and implement training and guidance related to the Agency's replacement of FAITAS. This training and guidance should address acquisition certification requirements, documentation, and application processes under the new system.	3/30/2022	N/A	N/A
680	OIG	FAA	9/27/2021	ZA2021037	FAA Faces Challenges in Tracking Its Acquisition Workforce and Ensuring Compliance With Training, Certification, and Warrant Requirements	Implement performance and certification metrics for CORs and P/PMs.	9/30/2022	N/A	N/A
681	OIG	FAA	9/27/2021	ZA2021037	FAA Faces Challenges in Tracking Its Acquisition Workforce and Ensuring Compliance With Training, Certification, and Warrant Requirements	Revise AMS to reflect FAA's decision to delegate approval authority for COR certifications to the Acquisition Career Manager.	3/30/2022	N/A	N/A
682	OIG	FAA	9/27/2021	ZA2021037	FAA Faces Challenges in Tracking Its Acquisition Workforce and Ensuring Compliance With Training, Certification, and Warrant Requirements	Strengthen the process for nominating CORs to include completing, issuing, and storing COR Delegation Letters and Nomination Forms in the contract file.	3/30/2022	N/A	N/A
683	OIG	FAA	9/27/2021	ZA2021037	FAA Faces Challenges in Tracking Its Acquisition Workforce and Ensuring Compliance With Training, Certification, and Warrant Requirements	Strengthen quality assurance procedures to verify accuracy when identifying and reporting the acquisition P/PMs assigned to OMB Major Programs.	3/30/2022	N/A	N/A
684	OIG	FAA	9/27/2021	ZA2021037	FAA Faces Challenges in Tracking Its Acquisition Workforce and Ensuring Compliance With Training, Certification, and Warrant Requirements	Establish a timeline to implement and verify compliance with the requirement that all P/PMs assigned to OMB Major Programs obtain and maintain a FAC P/PM Information Technology Certification.	3/30/2022	N/A	N/A
685	OIG	OST	9/27/2021	QC2021038	QC2021038 Quality Control Review of the Independent Auditor's Report on DOT's Enterprise Services Center (SSI)	Enforce segregation of duties over the ESC security audit log review process to require that administrators do not review their own activity.	10/1/2021	N/A	N/A
686	OIG	OST	9/27/2021	QC2021038	QC2021038 Quality Control Review of the Independent Auditor's Report on DOT's Enterprise Services Center (SSI)	Fix the ESC server inventory list to ensure that all Linux production servers are correctly categorized.	10/1/2021	N/A	N/A
687	OIG	OST	9/27/2021	QC2021038	QC2021038 Quality Control Review of the Independent Auditor's Report on DOT's Enterprise Services Center (SSI)	Implement a quality assurance process to confirm that during the semi-annual review process, all servers and systems were included.	10/1/2021	N/A	N/A
688	OIG	OST	9/27/2021	QC2021038	QC2021038 Quality Control Review of the Independent Auditor's Report on DOT's Enterprise Services Center (SSI)	Implement a reconciliation between the Remedy ticketing system to the Delphi audit logs of customer additions and changes to confirm that all customer additions and changes are appropriately tracked and reviewed through a post-audit task to verify accuracy of the transaction entered.	10/1/2021	N/A	N/A