

U.S. Department of
Transportation

**BUDGET
ESTIMATES
FISCAL YEAR 2024**

**OFFICE OF
THE SECRETARY
OF TRANSPORTATION**

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

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**DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY**

FY 2024 CONGRESSIONAL JUSTIFICATION

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

**DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY**

FY 2024 CONGRESSIONAL JUSTIFICATION

ACRONYM REFERENCE SHEET

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OFFICE OF CIVIL RIGHTS	OCR
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TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	TPRD
NATIONAL INFRASTRUCTURE INVESTMENTS	NII
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	NSTIFB
CYBER SECURITY INITIATIVES	CSI
RESEARCH AND TECHNOLOGY	RT
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	PAC
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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, equity and accessibility, and economic viability.

OST is responsible for the selection, award, and oversight of billions of dollars of multimodal infrastructure funding under the Rebuilding American Infrastructure with Sustainability and Equity (RAISE) grants and the Infrastructure for Rebuilding America (INFRA) discretionary grant program. The Bipartisan Infrastructure Law (BIL) provided additional dollars to the RAISE program and expanded the program to larger projects with a national reach. BIL also created three new grant programs that focus on culvert replacement, advanced smart city or community technologies (Strengthening Mobility and Revolutionizing Transportation (SMART)), and preventing death and serious injury on roads and streets, commonly referred to as “Vision Zero” or “Toward Zero Deaths” (Safe Streets and Roads for All). 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 in 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 safety issues, economic recovery, racial justice, and climate change. More specifically, OST assists in identifying regulations that impede the Department’s ability to confront these problems and, in their place, assists in developing appropriate and effective regulatory solutions. Other critical OST activities include supporting commercial flight access for rural communities and ensuring fairness to airline travelers.

The FY 2024 Budget includes **\$2.3 billion** for the Office of the Secretary, in addition to **\$3.8 billion in** advance appropriations provided by the Bipartisan Infrastructure Law (BIL), for total budgetary resources of **\$6.1 billion**. This request includes funding to establish the National Freight Logistics Optimization Works (FLOW) System; to provide continued technical assistance and to support the Interagency Network under the Thriving Communities Program; to support the Advanced Research Projects Agency – Infrastructure to coordinate DOT’s advanced research programs and accelerate the transformative transportation goals of BIL; and to modernize OST applications to enhance stability and usability, improve customer experiences, and address critical security vulnerabilities. The OST Modernization Initiatives Request includes **\$27.7 million** for 11 systems to gather requirements, begin modernization to address cyber security vulnerabilities, improve business processes, and stand up a new system.

Key Components of the Request

Salaries and Expenses (S&E): \$220.4 million is requested to support the overall planning, coordination, and administration of the Department’s programs. The Budget Request includes 29 new positions to support critical investments that advance the Department and Administration

goals and BIL implementation. This request will also support IT related needs, increased cost of living expenses, retirement costs, and other critical investments.

This request also includes funding for the National Freight Logistics Optimization Works (FLOW) System and the newly established Office of Multimodal Freight Infrastructure and Policy (OMFIP).

Requested increases in this account include:

- **Undersecretary of Transportation for Policy: \$9.6 million** is requested to support **eight new positions and to manage the implementation of the FLOW system**. Three newly requested positions will focus on regulatory analysis, international aviation policy analysis, and a regional transportation attaché for the Office of International Aviation; three positions will be focused on international transportation and trade; one position to design and implement key activities in support of the FY 2022-26 DOT Strategic Plan; and one position for policy research and analysis to aid in the design and implementation of equity and Justice40 activities.
- **Office of the Chief Information Officer: \$5.1 million** for OST IT application modernization to fund updates and enhancements to high-priority information systems and websites to improve the digital experience for customers to deliver excellent, equitable, and secure Federal services and customer experience. Within this amount, **\$1.1 million** is requested for the Technology Transformation Services program.
- **Chief Financial Officer: \$495,000** is requested for **four new positions** to enhance and expand support of Departmental data analytics and reporting to monitor, report, and execute BIL funding.
- **General Counsel: \$4.6 million** is requested for **eight new positions** to support the Office of Aviation Consumer Protection (OACP) and to update IT systems. Airline passengers over the last few years have dealt with unprecedented and extensive flight cancellations, delays, hundreds of millions of dollars' worth of unlawfully withheld refunds, and other challenges since the beginning of the pandemic. In calendar year 2020, OACP received a record of more than 100,000 complaints, up 568 percent from approximately 15,000 complaints received in 2019. While travelers and OACP had hoped that the historic surge of complaints from cancellations, disruptions, and poor service would revert to lower historic levels, calendar year 2022, and December 2022 in particular, have made clear that consumer concern regarding poor airline service remains elevated at levels well above pre-pandemic levels. These newly added positions and the modernization of the Aviation Consumer Complaint System (CCA) will dramatically help the American people in receiving the proper restitution with all of the flight challenges. In addition, the request will provide funding for the New Environment for Information and Leadership Rulemaking (NEIL Rule) System. This system will enable the Department to initiate, manage, and track the progress of rulemakings efficiently and accurately, meet the regulatory priorities of the Administration, and provide timely information to Departmental leaders, Congress, the public, interest groups, and others.

- **Assistant Secretary for Governmental Affairs: \$2.8 million** is requested for two new positions to focus on Congressional and intergovernmental matters, and to modernize the Grants Notification System (GNS), which streamlines the process of making grant announcements.
- **Assistant Secretary for Administration: \$8.6 million** is requested for:
 - **\$524,000** for **five new positions** to support financial assistance policy and oversight functions, which will be transitioned to its own organizational unit within this office to comply with GAO’s recommendation for greater documentation and oversight of discretionary grant programs and to ensure the organizational unit is properly managed and staffed.
 - **\$1.9 million** to modernize the Presidential Review System in compliance with 49 U.S. Code Section 41307.
 - **\$6.2 million** is requested to meet the needs of our workforce and maximize DOT’s existing building square footage while meeting the directives of the Office of Management and Budget’s Memorandum M-22-14. This request supports establishing a singular DOT-wide reservation system to allow for a more mobile workforce and efficient use of space as well as a build-out of employee personal storage space to optimize workspace for a hybrid work schedule.

Financial Management Capital (FMC): \$5.0 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. This funding will improve DOT’s currently limited financial data analytics capacity.

Office of Civil Rights: \$28.6 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 and the 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: \$7.3 million is requested 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: \$25.0 million is requested for research activities and studies to support the Secretary’s formulation of National transportation policies and advance emerging transportation technologies. Of this funding, the Interagency Infrastructure Permitting Improvement Center will receive **\$8.6 million** to fund **19 positions** and continue to streamline the permitting review processes.

National Infrastructure Investments: \$1.2 billion is requested for the **National Infrastructure Project Assistance** (Sec. 6701) discretionary grant program (also known as the MEGA program). This program provides 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.

Build America Bureau: \$10.6 million is requested to provide assistance and communicate best practices, financing, and funding opportunities to entities eligible under DOT infrastructure finance programs. This request also supports the creation of the Office of Technical Assistance for Thriving Communities, which will provide the overall strategy, management, operations, and performance oversight, and coordinates the suite of place-based technical assistance provided by the Build America Bureau.

Research and Technology (R&T): \$66.5 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. R&T ensures that the Department's strategic R&T priorities are implemented and leads a range of cross-modal initiatives. Included in the request:

- \$5 million for the Highly Automated Systems Safety Center of Excellence
- \$5 million for the Climate Change Center
- \$5 million for Position and Navigation Timing (PNT) activities
- \$19 million for Advanced Research Projects Agency - Infrastructure

Cyber Security Initiatives: \$49.0 million to continue enhancements and investment in DOT cybersecurity capabilities, expand cybersecurity and privacy risk management capabilities, and integrate DOT's Zero Trust Architecture implementation.

Essential Air Service & Payments to Air Carriers: \$503.0 million to ensure that eligible small communities retain a link to the national air transportation system, funded from \$154.4 million of mandatory overflight fees collected by the Federal Aviation Administration and \$348.6 million in discretionary appropriations.

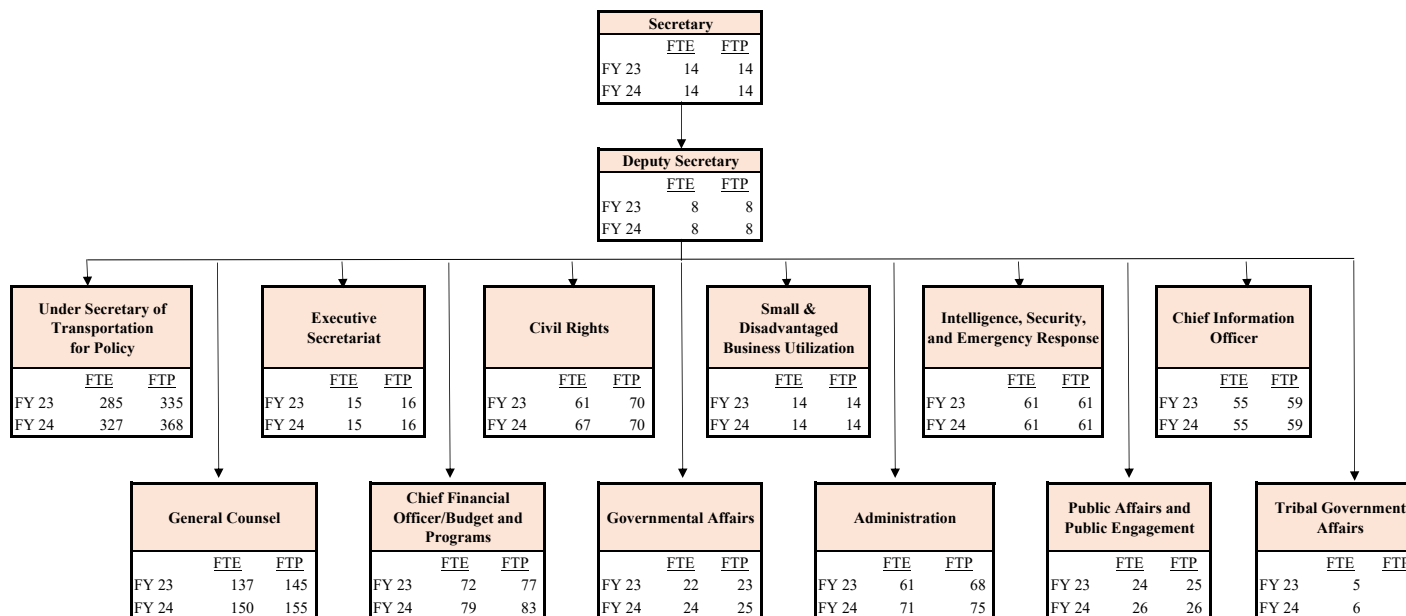
Thriving Communities: \$100.0 million to provide technical assistance, capacity building, and other assistance to help disadvantaged communities advance transformative, equitable, and climate-friendly infrastructure projects that will support equitable economic growth, reduce transportation cost burden, improve public health and mobility, and increase 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: \$26.0 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.

Working Capital Fund: As in previous years, the FY 2024 Budget proposes no limitation for the Working Capital Fund. **\$764.2 million is estimated** to cover increased costs that are shifting

to the working capital fund from the Operating Administrations associated with building delegation responsibilities and the ongoing transition of IT shared services.

Exhibit I
U.S. Department of Transportation
Office of the Secretary
Direct Full-Time Equivalents (FTE) / Full-Time Positions (FTP)
FYs 2023 and 2024



SECTION 2: BUDGET SUMMARY TABLES

EXHIBIT II-1
FY 2024 BUDGET AUTHORITY
OFFICE OF THE SECRETARY OF TRANSPORTATION

(\$000)

ACCOUNTS	FY 2022 ENACTED	FY 2023 ENACTED	FY 2024 REQUEST
BUDGET AUTHORITY			
SALARIES AND EXPENSES	141,500	171,014	220,406
FINANCIAL MANAGEMENT CAPITAL	5,000	5,000	5,000
OFFICE OF CIVIL RIGHTS	11,564	14,800	28,595
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	4,977	5,132	7,314
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	29,863	36,543	25,017
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	27,863	31,107	16,464
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER	2,000	5,436	8,553
NATIONAL INFRASTRUCTURE INVESTMENTS	775,000	800,000	1,220,000
NATIONAL INFRASTRUCTURE INVESTMENTS (MULTIMODAL INFRASTRUCTURE INVESTMENTS)	775,000	800,000	-
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	-	-	1,220,000
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	13,800	8,850	7,624
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	3,800	8,850	10,550
RRIF CREDIT SUBSIDY - AUTHORIZATION	10,000	-	(2,926)
CYBER SECURITY INITIATIVES	39,400	48,100	49,000
RESEARCH AND TECHNOLOGY	51,363	48,996	66,500
RESEARCH AND TECHNOLOGY	51,363	45,772	47,500
ADVANCED RESEARCH PROJECTS AGENCY - INFRASTRUCTURE	-	3,224	19,000
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	350,000	354,827	348,554
THRIVING COMMUNITIES	25,000	25,000	100,000
ELECTRIC VEHICLE FLEET	-	-	26,000
JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING	-	4,500	-
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	1,447,467	1,522,762	2,104,010
INDEFINITE BUDGET AUTHORITY			
ESSENTIAL AIR SERVICE	90,887	134,132	154,411
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	10,000	10,000	-
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	250,000	250,000	250,000
TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT PROGRAM	250,000	250,000	250,000
ASSET CONCESSIONS (TITLE X)	20,000	20,000	20,000
SUBTOTAL, INDEFINITE BUDGET AUTHORITY	370,887	414,132	424,411
REIMBURSABLE			
SALARIES AND EXPENSES	14,210	13,674	20,481
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	345,000	345,000	345,000
WORKING CAPITAL FUND	419,973	505,285	-
TRANSPORTATION SAFETY INSTITUTE	20,000	20,000	20,000
SUBTOTAL, REIMBURSABLE	799,183	883,959	385,481

1/

2/

3/

2/

ACCOUNTS ALLOCATION	FY 2022 ENACTED	FY 2023 ENACTED	FY 2024 REQUEST
BUREAU OF TRANSPORTATION STATISTICS	26,000	26,250	26,500
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	80,000	80,500	81,000
SUBTOTAL, ALLOCATION	106,000	106,750	107,500
BIL SUPPLEMENTAL ADVANCE APPROPRIATIONS			
NATIONAL INFRASTRUCTURE INVESTMENTS	2,500,000	2,500,000	2,500,000
NATIONAL INFRASTRUCTURE INVESTMENTS (LOCAL AND REGIONAL PROJECT ASSISTANCE)	1,500,000	1,500,000	1,500,000
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	1,000,000	1,000,000	1,000,000
NATIONAL CULVERT REMOVAL, REPLACEMENT, AND RESTORATION GRANTS PROGRAM (BIL SUPPLEMENTAL)	200,000	200,000	200,000
STRENGTHENING MOBILITY & REVOLUTIONIZING TRANSPORTATION (BIL SUPPLEMENTAL)	100,000	100,000	100,000
SAFE STREETS AND ROADS FOR ALL (BIL SUPPLEMENTAL)	1,000,000	1,000,000	1,000,000
SUBTOTAL, BIL SUPPLEMENTAL ADVANCE APPROPRIATION	3,800,000	3,800,000	3,800,000
GRAND TOTAL	6,523,536	6,727,603	6,821,401

1/ Estimated Fee Collections.
2/ Estimated Customer Agreements
3/ No limitation is proposed.

EXHIBIT II-2
FY 2024 TOTAL BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT
OFFICE OF THE SECRETARY OF TRANSPORTATION
(\$000)

ACCOUNTS	FY 2022 ENACTED	FY 2023 ENACTED	FY 2024 REQUEST
APPROPRIATION/OBLIGATION LIMITATION			
SALARIES AND EXPENSES	141,500	171,014	220,406
FINANCIAL MANAGEMENT CAPITAL	5,000	5,000	5,000
OFFICE OF CIVIL RIGHTS	11,564	14,800	28,595
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	4,977	5,132	7,314
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	29,863	36,543	25,017
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	27,863	31,107	16,464
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NATIONAL INFRASTRUCTURE INVESTMENTS	775,000	800,000	1,220,000
NATIONAL INFRASTRUCTURE INVESTMENTS (MULTIMODAL INFRASTRUCTURE INVESTMENTS)	775,000	800,000	-
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	-	-	1,220,000
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	13,800	8,850	7,624
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	3,800	8,850	10,550
RRIF CREDIT SUBSIDY - AUTHORIZATION	10,000	-	(2,926)
CYBER SECURITY INITIATIVES	39,400	48,100	49,000
RESEARCH AND TECHNOLOGY	51,363	48,996	66,500
RESEARCH AND TECHNOLOGY	51,363	45,772	47,500
ADVANCED RESEARCH PROJECTS AGENCY - INFRASTRUCTURE	-	3,224	19,000
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	350,000	354,827	348,554
THRIVING COMMUNITIES	25,000	25,000	100,000
ELECTRIC VEHICLE FLEET	-	-	26,000
JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING	-	4,500	-
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	1,447,467	1,522,762	2,104,010
INDEFINITE BUDGET AUTHORITY			
ESSENTIAL AIR SERVICE	90,887	134,132	154,411
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	10,000	10,000	-
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	250,000	250,000	250,000
TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT PROGRAM	250,000	250,000	250,000
ASSET CONCESSIONS (TITLE X)	20,000	20,000	20,000
SUBTOTAL, INDEFINITE BUDGET AUTHORITY	370,887	414,132	424,411
REIMBURSABLE			
SALARIES AND EXPENSES	14,210	13,674	20,481
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	345,000	345,000	345,000
WORKING CAPITAL FUND	419,973	505,285	-
TRANSPORTATION SAFETY INSTITUTE	20,000	20,000	20,000
SUBTOTAL, REIMBURSABLE	799,183	883,959	385,481

1/

2/

3/

2/

ACCOUNTS	FY 2022	FY 2023	FY 2024
ALLOCATION	ENACTED	ENACTED	REQUEST
BUREAU OF TRANSPORTATION STATISTICS	26,000	26,250	26,500
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	80,000	80,500	81,000
SUBTOTAL, ALLOCATION	106,000	106,750	107,500
BIL SUPPLEMENTAL ADVANCE APPROPRIATIONS			
NATIONAL INFRASTRUCTURE INVESTMENTS	2,500,000	2,500,000	2,500,000
NATIONAL INFRASTRUCTURE INVESTMENTS (LOCAL AND REGIONAL PROJECT ASSISTANCE)	1,500,000	1,500,000	1,500,000
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	1,000,000	1,000,000	1,000,000
NATIONAL CULVERT REMOVAL, REPLACEMENT, AND RESTORATION GRANTS PROGRAM (BIL SUPPLEMENTAL)	200,000	200,000	200,000
STRENGTHENING MOBILITY & REVOLUTIONIZING TRANSPORTATION (BIL SUPPLEMENTAL)	100,000	100,000	100,000
SAFE STREETS AND ROADS FOR ALL (BIL SUPPLEMENTAL)	1,000,000	1,000,000	1,000,000
SUBTOTAL, BIL SUPPLEMENTAL ADVANCE APPROPRIATION	3,800,000	3,800,000	3,800,000
GRAND TOTAL	6,523,536	6,727,603	6,821,401

1/ Estimated Fee Collections.
2/ Estimated Customer Agreements
3/ No limitation is proposed.

EXHIBIT II - 3
FY 2024 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 EXCELLENCE	TOTAL
ACCOUNT/ PROGRAM							
APPROPRIATION/OBLIGATION LIMITATION							
SALARIES AND EXPENSES	-	-	5,676	1,400	-	213,330	220,406
FINANCIAL MANAGEMENT CAPITAL	-	-	-	-	-	5,000	5,000
OFFICE OF CIVIL RIGHTS	-	-	21,446	-	-	7,149	28,595
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	-	3,291	3,291	-	-	731	7,314
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	5,003	5,003	5,003	5,003	5,003	-	25,017
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	3,293	3,293	3,293	3,293	3,293	-	16,464
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER	1,711	1,711	1,711	1,711	1,711	-	8,553
NATIONAL INFRASTRUCTURE INVESTMENTS	305,000	305,000	305,000	-	305,000	-	1,220,000
NATIONAL INFRASTRUCTURE INVESTMENTS (MULTIMODAL INFRASTRUCTURE INVESTMENTS)	-	-	-	-	-	-	-
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	305,000	305,000	305,000	-	305,000	-	1,220,000
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	1,906	-	1,906	1,906	-	1,906	7,624
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	2,638	-	2,638	2,638	-	2,638	10,550
RRIF CREDIT SUBSIDY - AUTHORIZATION	(732)	-	(732)	(732)	-	(732)	(2,926)
CYBER SECURITY INITIATIVES	-	-	-	-	-	49,000	49,000
RESEARCH AND TECHNOLOGY	22,980	1,900	3,490	7,190	20,990	9,950	66,500
RESEARCH AND TECHNOLOGY	15,000	950	1,400	5,100	16,050	9,000	47,500
ADVANCED RESEARCH PROJECTS AGENCY - INFRASTRUCTURE	7,980	950	2,090	2,090	4,940	950	19,000
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	-	209,132	139,422	-	-	-	348,554
THRIVING COMMUNITIES	-	40,000	60,000	-	-	-	100,000
ELECTRIC VEHICLE FLEET	-	-	-	26,000	-	-	26,000
APPROPRIATION/OBLIGATION LIMITATION	334,889	564,327	545,235	41,499	330,993	287,066	2,104,010
INDEFINITE BUDGET AUTHORITY							
ESSENTIAL AIR SERVICE		91,146	60,764			2,500	154,411
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	-	80,000	80,000	-	80,000	10,000	250,000
TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT PROGRAM		80,000	80,000	-	80,000	10,000	250,000
ASSET CONCESSIONS (TITLE X)	-	8,000	12,000	-	-	-	20,000
INDEFINITE BUDGET AUTHORITY	-	179,146	152,764	-	80,000	12,500	424,411
BIL SUPPLEMENTAL ADVANCE APPROPRIATIONS							
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, AND RESTORATION GRANTS PROGRAM (BIL SUPPLEMENTAL)	-	120,000	40,000	40,000	-	-	200,000
STRENGTHENING MOBILITY & REVOLUTIONIZING TRANSPORTATION (BIL SUPPLEMENTAL)	17,500	17,500	17,500	17,500	30,000	-	100,000
SAFE STREETS AND ROADS FOR ALL (BIL SUPPLEMENTAL)	700,000	100,000	100,000	100,000	-	-	1,000,000
BIL SUPPLEMENTAL ADVANCE APPROPRIATIONS	1,217,500	737,500	657,500	657,500	530,000	-	3,800,000
GRAND TOTAL	1,552,389	1,480,973	1,355,499	698,999	940,993	299,566	6,328,421

EXHIBIT II-4
FY 2024 OUTLAYS
OFFICE OF THE SECRETARY OF TRANSPORTATION
(\$000)

ACCOUNTS	FY 2022 ENACTED	FY 2023 ENACTED	FY 2024 REQUEST
APPROPRIATION/OBLIGATION LIMITATION			
SALARIES AND EXPENSES	126,000	210,000	222,000
FINANCIAL MANAGEMENT CAPITAL	2,000	5,000	5,000
OFFICE OF CIVIL RIGHTS	9,000	14,000	29,000
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	4,000	8,000	6,000
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	14,000	22,000	34,000
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	14,000	22,000	34,000
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER	-	-	-
NATIONAL INFRASTRUCTURE INVESTMENTS	854,000	1,111,000	1,209,000
NATIONAL INFRASTRUCTURE INVESTMENTS (MULTIMODAL INFRASTRUCTURE INVESTMENTS)	854,000	1,111,000	-
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	-	-	1,209,000
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	440,000	27,000	48,000
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	1,000	9,000	12,000
RAILROAD REHABILITATION AND IMPROVEMENT FINANCING PROGRAM	1,000	-	-
TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT PROGRAM	438,000	18,000	36,000
CYBER SECURITY INITIATIVES	25,000	45,000	48,000
RESEARCH AND TECHNOLOGY	25,000	38,000	47,000
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	298,000	337,000	351,000
THRIVING COMMUNITIES	-	2,000	7,000
ELECTRIC VEHICLE FLEET	-	-	18,000
AVIATION MANUFACTURING JOBS PROTECTION PROGRAM	302,000	224,000	14,000
TRANSPORTATION DEMONSTRATION PROGRAM	-	20,000	26,000
JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING	-	-	-
OPERATIONAL SUPPORT	(7,000)	64,000	88,000
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	2,092,000	2,127,000	2,152,000
INDEFINITE BUDGET AUTHORITY			
ESSENTIAL AIR SERVICE	51,000	98,000	146,000
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	206,000	309,000	-
TIFIA UPWARD REESTIMATE	206,000	263,000	-
RRIF PROGRAM ACCOUNT	-	46,000	-
ASSET CONCESSIONS (TITLE X)	-	2,000	4,000
SUBTOTAL, INDEFINITE BUDGET AUTHORITY	257,000	409,000	150,000
REIMBURSABLE			
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	(80,000)	4,000	-
WORKING CAPITAL FUND	(25,000)	(11,000)	125,000
TRANSPORTATION SAFETY INSTITUTE	-	-	-
SUBTOTAL, REIMBURSABLE	(105,000)	(7,000)	125,000
ALLOCATION			
BUREAU OF TRANSPORTATION STATISTICS	-	-	-
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	-	-	-
SUBTOTAL, ALLOCATION	-	-	-

ACCOUNTS	FY 2022 ENACTED	FY 2023 ENACTED	FY 2024 REQUEST
BIL SUPPLEMENTAL ADVANCE APPROPRIATIONS			
NATIONAL INFRASTRUCTURE INVESTMENTS	-	-	74,000
NATIONAL INFRASTRUCTURE INVESTMENTS (LOCAL AND REGIONAL PROJECT ASSISTANCE)	-	-	74,000
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	-	-	-
NATIONAL CULVERT REMOVAL, REPLACEMENT, AND RESTORATION GRANTS PROGRAM (BIL SUPPLEMENTAL)	-	3,000	30,000
STRENGTHENING MOBILITY & REVOLUTIONIZING TRANSPORTATION (BIL SUPPLEMENTAL)	-	5,000	23,000
SAFE STREETS AND ROADS FOR ALL (BIL SUPPLEMENTAL)	-	10,000	147,000
SUBTOTAL, BIL SUPPLEMENTAL ADVANCE APPROPRIATION	-	18,000	274,000
GRAND TOTAL	2,244,000	2,547,000	2,701,000

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)

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
	524	582	-	-	-	-	-	-	-	-	582	29	611
Direct FTPs	394	537	-	23	-	-	-	-	-	-	560	16	576
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	92,239.064	103,415.398	1,183.454	4,200.000	4,075.806	416.853	-	(67.321)	-	-	113,224.191	2,709.000	115,933.191
Travel	1,439.705	1,578.607	-	-	-	-	-	-	-	-	1,578.607	-	1,578.607
Transportation	3.029	3.089	-	-	-	-	-	-	-	0.062	3.151	-	3.151
GSA Rent	8,423.162	8,423.162	-	-	-	-	(8,423.162)	-	-	-	-	-	-
Communication & Utilities	4.503	4.593	-	-	-	-	-	-	-	0.092	4.685	-	4.685
Charges-Rental-Furniture	5.367	5.474	-	-	-	-	-	-	-	0.109	5.583	-	5.583
Printing	138.901	141.679	-	-	-	-	-	-	-	2.834	144.512	-	144.512
Working Capital Fund	23,115.322	26,248.266	-	-	-	-	-	15,412.023	-	-	41,660.288	-	41,660.288
Contractual Services	15,915.213	29,739.873	-	-	-	-	-	-	-	1,118.037	30,857.910	9,066.659	39,924.569
Supplies and Materials	175.939	237.268	-	-	-	-	-	-	-	4.741	242.009	-	242.009
Equipment	39.795	40.591	-	-	-	-	-	-	-	0.812	41.402	13,278.000	13,319.402
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	141,500.000	169,838.000	1,183.454	4,200.000	4,075.806	416.853	(8,423.162)	15,344.702	-	1,126.687	187,762.341	25,053.659	212,816.000
PROGRAM EXPENSES													
DOT Internship Program	-	1,176.000	-	-	-	-	-	-	-	-	1,176.000	-	1,176.000
FLOW	-	-	-	-	-	-	-	-	-	-	-	5,300.000	5,300.000
Tech Transformation Reimb Program	-	-	-	-	-	-	-	-	-	-	-	1,114.000	1,114.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	1,176.000	-	-	-	-	-	-	-	-	1,176.000	6,414.000	7,590.000
TOTAL	141,500.000	171,014.000	1,183.454	4,200.000	4,075.806	416.853	(8,423.162)	15,344.702	-	1,126.687	188,938.341	31,467.659	220,406.000

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)

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
Direct FTPs	-	-											-
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	5,000.000	5,000.000	-	-	-	-	-	-	-	-	5,000.000	-	5,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	5,000.000	5,000.000	-	-	-	-	-	-	-	-	5,000.000	-	5,000.000
TOTAL	5,000.000	5,000.000									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)

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
Direct FTPs	58 32	70 61											70 67
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	9,073.106	11,489.751	132.894	1,050.000	457.769	48.555	-	(3.192)	-	-	13,175.777	-	13,175.777
Travel	50.249	50.249	-	-	-	-	-	-	-	-	50.249	-	50.249
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	30.814	31.430	-	-	-	-	-	-	-	0.629	32.059	-	32.059
Printing	11.373	11.600	-	-	-	-	-	-	-	0.232	11.832	-	11.832
Working Capital Fund	1,252.200	1,352.478	-	-	-	-	-	1,704.117	-	-	3,056.595	-	3,056.595
Contractual Services	1,092.639	1,809.799	-	-	-	-	-	-	-	36.196	1,845.995	4,173.707	6,019.702
Supplies and Materials	53.619	54.691	-	-	-	-	-	-	-	1.094	55.785	-	55.785
Equipment	-	-	-	-	-	-	-	-	-	-	-	6,193.000	6,193.000
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	11,564.000	14,800.000	132.894	1,050.000	457.769	48.555	-	1,700.924	-	38.150	18,228.293	10,366.707	28,595.000
PROGRAM EXPENSES													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL	11,564.000	14,800.000	132.894	1,050.000	457.769	48.555	-	1,700.924	-	38.150	18,228.293	10,366.707	28,595.000

Notes:

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

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

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
Direct FTPs	13 9	14 14											14 14
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	1,754,797	1,980,836	22,748	-	78,328	7,676	-	(1,238)	-	-	2,088,350	399,000	2,487,350
Travel	19,776	19,776	-	-	-	-	-	-	-	-	19,776	-	19,776
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	0,539	0,550	-	-	-	-	-	-	-	0,011	0,561	-	0,561
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	3,395	3,463	-	-	-	-	-	-	-	0,069	3,532	-	3,532
Working Capital Fund	302,539	387,910	-	-	-	-	-	81,102	-	-	469,012	-	469,012
Contractual Services	611,086	442,139	-	-	-	-	-	-	-	8,843	450,982	1,245,995	1,696,977
Supplies and Materials	22,844	23,300	-	-	-	-	-	-	-	0,466	23,766	-	23,766
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	2,714,975	2,857,975	22,748	-	78,328	7,676	-	79,864	-	9,389	3,055,980	1,644,995	4,700,975
PROGRAM EXPENSES													
Cooperative Agreements	2,262,025	2,274,025	-	-	-	-	-	-	-	-	2,274,025	339,000	2,613,025
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	2,262,025	2,274,025	-	-	-	-	-	-	-	-	2,274,025	339,000	2,613,025
TOTAL	4,977,000	5,132,000	22,748		78,328	7,676		79,864		9,389	5,330,005	1,983,995	7,314,000

Notes:

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

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

(\$000)

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
	44	56	-	-	-	-	-	-	-	-	56	4	60
Direct FTPs	35	50	-	6	-	-	-	-	-	-	56	2	58
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	8,824,739	10,422,598	115,671	1,000,000	398,466	44,208	-	(4,045)	-	-	11,976,898	500,000	12,476,898
Travel	175,241	175,241	-	-	-	-	-	-	-	-	175,241	-	175,241
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	997,444	1,175,941	-	-	-	-	-	306,242	-	-	1,482,183	-	1,482,183
Contractual Services	2,774,083	6,829,218	-	-	-	-	-	-	-	136,584	6,965,802	3,890,353	10,856,155
Supplies and Materials	25,493	26,003	-	-	-	-	-	-	-	0,520	26,523	-	26,523
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	12,797,000	18,629,000	115,671	1,000,000	398,466	44,208	-	302,197	-	137,104	20,626,647	4,390,353	25,017,000
PROGRAM EXPENSES													
Autonomous Vehicles	10,000,000	-	-	-	-	-	-	-	-	-	-	-	-
Congressional Directives	7,066,000	12,914,000	-	-	-	-	-	-	-	-	12,914,000	(12,914,000)	-
Concrete Research	-	5,000,000	-	-	-	-	-	-	-	-	5,000,000	(5,000,000)	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	17,066,000	17,914,000	-	-	-	-	-	-	-	-	17,914,000	(17,914,000)	-
TOTAL	29,863,000	36,543,000	115,671	1,000,000	398,466	44,208	-	302,197	-	137,104	38,540,647	(13,523,647)	25,017,000

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 INFRASTRUCTURE INVESTMENTS

(\$000)

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
Direct FTPs	7	7	-	-	-	-	-	-	-	-	7	-	7
Direct FTEs	5	7	-	-	-	-	-	-	-	-	7	-	7
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	6,188,677	6,422,647	75,423	-	259,716	24,896	-	(1,204)	-	-	6,781,477	-	6,781,477
Travel	808,000	808,000	-	-	-	-	-	-	-	-	808,000	-	808,000
Transportation	0.412	0.420	-	-	-	-	-	-	-	0.008	0.429	-	0.429
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	10,818	11,034	-	-	-	-	-	-	-	0.221	11,255	-	11,255
Working Capital Fund	682,852	797,815	-	-	-	-	-	216,690	-	-	1,014,505	-	1,014,505
Contractual Services	7,787,605	7,938,015	-	-	-	-	-	-	-	7,823,808	15,761,823	-	15,761,823
Supplies and Materials	21,636	22,069	-	-	-	-	-	-	-	0.441	22,510	-	22,510
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	15,500,000	16,000,000	75,423	-	259,716	24,896	-	215,486	-	7,824,479	24,400,000	-	24,400,000
PROGRAM EXPENSES													
NII Infrastructure Grants	759,500,000	784,000,000	-	-	-	-	-	-	-	-	784,000,000	411,600,000	1,195,600,000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	759,500,000	784,000,000	-	-	-	-	-	-	-	-	784,000,000	411,600,000	1,195,600,000
TOTAL	775,000,000	800,000,000	75,423	-	259,716	24,896	-	215,486	-	7,824,479	808,400,000	411,600,000	1,220,000,000

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)

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
Direct FTPs	16 14	27 23											27 27
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	2,799,207	3,795,337	43,843	800,000	151,098	17,775	-	(2,212)	-	-	4,805,841	-	4,805,841
Travel	75,000	275,000	-	-	-	-	-	-	-	-	275,000	-	275,000
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	925,134	1,133,783	-	-	-	-	-	(375,132)	-	-	758,651	-	758,651
Contractual Services	-	3,619,198	-	-	-	-	-	-	-	72,384	3,691,582	991,710	4,683,292
Supplies and Materials	0,659	26,682	-	-	-	-	-	-	-	0,534	27,216	-	27,216
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	3,800,000	8,850,000	43,843	800,000	151,098	17,775	-	(377,344)	-	72,918	9,558,290	991,710	10,550,000
PROGRAM EXPENSES													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL	3,800,000	8,850,000	43,843	800,000	151,098	17,775		(377,344)		72,918	9,558,290	991,710	10,550,000

Notes:

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

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

CYBER SECURITY INITIATIVES

(\$000)

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
Direct FTPs	-	-											-
	-	-											-
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	-	-	-	-	-	4,678.713	-	-	7,414.427	-	7,414.427
Contractual Services	24,408.613	32,863.499	-	-	-	-	-	-	-	2,953.435	35,816.934	-	35,816.934
Supplies and Materials	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment	12,255.673	12,500.787	-	-	-	-	-	-	-	(6,732.147)	5,768.640	-	5,768.640
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	39,400.000	48,100.000	-	-	-	-	-	4,678.713	-	(3,778.712)	49,000.000	-	49,000.000
PROGRAM EXPENSES													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL	39,400.000	48,100.000						4,678.713		(3,778.712)	49,000.000		49,000.000

Notes:

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

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

RESEARCH AND TECHNOLOGY

(\$000)

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
Direct FTPs	48	65	-	-	-	-	-	-	-	-	65	12	77
	26	55	-	3	-	-	-	-	-	-	58	6	64
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	5,870.337	7,026.332	79.656	334.030	274.345	28.506	-	(0.453)	-	-	7,742.417	1,522.000	9,264.416
Travel	95.000	170.000	-	-	-	-	-	-	-	-	170.000	-	170.000
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	202.000	1,052.000	-	-	-	-	-	-	-	-	1,052.000	-	1,052.000
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	1.030	1,051	-	-	-	-	-	-	-	0.021	1,072	-	1,072
Working Capital Fund	1,416.784	1,848.571	-	-	-	-	-	2,151.464	-	-	4,000.035	-	4,000.035
Contractual Services	941.517	1,210.348	-	-	-	-	-	-	-	1,905.517	3,115.864	-	3,115.864
Supplies and Materials	15.302	40.608	-	-	-	-	-	-	-	0.812	41.420	-	41.420
Equipment	103.030	105.091	-	-	-	-	-	-	-	2.102	107.193	-	107.193
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	8,645.000	11,454.000	79.656	334.030	274.345	28.506	-	2,151.011	-	1,908.452	16,230.000	1,522.000	17,752.000
PROGRAM EXPENSES													
Research and Technology Priorities	4,218.000	5,718.000	-	-	-	-	-	-	-	-	5,718.000	9,030.000	14,748.000
Highly Automated Systems Safety Center Of Excellence	5,000.000	5,000.000	-	-	-	-	-	-	-	-	5,000.000	-	5,000.000
Climate Change Center	5,000.000	-	-	-	-	-	-	-	-	-	-	5,000.000	5,000.000
Bridge Clearinghouse	5,000.000	-	-	-	-	-	-	-	-	-	-	-	-
Position and Navigation Timing (PNT)	15,000.000	15,000.000	-	-	-	-	-	-	-	-	15,000.000	(10,000.000)	5,000.000
Global Navigation Satellite Systems (GNSS)	7,000.000	5,000.000	-	-	-	-	-	-	-	-	5,000.000	(5,000.000)	-
National Academy of Sciences, Engineering, and Medicine Study	1,500.000	-	-	-	-	-	-	-	-	-	-	-	-
Advanced Research Projects Agency - Infrastructure	-	3,224.000	-	-	-	-	-	-	-	-	3,224.000	15,776.000	19,000.000
Transportation Vulnerability and Resiliency Data Program	-	3,000.000	-	-	-	-	-	-	-	-	3,000.000	(3,000.000)	-
Interdisciplinary Transportation Law and Policy	-	600.000	-	-	-	-	-	-	-	-	600.000	(600.000)	-
Program Subtotal	42,718.000	37,542.000	-	-	-	-	-	-	-	-	37,542.000	11,206.000	48,748.000
TOTAL	51,363.000	48,996.000	79.656	334.030	274.345	28.506	-	2,151.011	-	1,908.452	53,772.000	12,728.000	66,500.000

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
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)
 (\$000)

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
Direct FTPs	-	-											-
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	350,000.000	354,827.000	-	-	-	-	-	-	-	-	354,827.000	(6,273.000)	348,554.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	350,000.000	354,827.000	-	-	-	-	-	-	-	-	354,827.000	(6,273.000)	348,554.000
TOTAL	350,000.000	354,827.000									354,827.000	(6,273.000)	348,554.000

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)

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
Direct FTPs	5	-											-
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	625,000	-	-	125,000	0.019	0.479	-	-	-	-	125,498	(125,498)	0.000
Travel	200,000	-	-	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-	-	-
Communication & Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-
Charges-Rental-Furniture	-	-	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-	-	-
Working Capital Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Contractual Services	9,150,000	9,150,000	-	-	-	-	-	-	-	183,000	9,333,000	-	9,333,000
Supplies and Materials	25,000	25,000	-	-	-	-	-	-	-	0.500	25,500	-	25,500
Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Subtotal	10,000,000	9,175,000	-	125,000	0.019	0.479	-	-	-	183,500	9,483,998	(125,498)	9,358,500
PROGRAM EXPENSES													
Thriving Communities	15,000,000	15,825,000	-	-	-	-	-	-	-	-	15,825,000	74,816,500	90,641,500
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	15,000,000	15,825,000	-	-	-	-	-	-	-	-	15,825,000	74,816,500	90,641,500
TOTAL	25,000,000	25,000,000		125,000	0.019	0.479				183,500	25,308,998	74,691,002	100,000,000

Notes:

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

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

ELECTRIC VEHICLE FLEET

(\$000)

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
Direct FTPs	-	-											-
	-	-											-
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	-	-	-	-	-	-	-	-	-	-	-	26,000.000	26,000.000
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	-	-	-	-	-	-	-	-	-	-	26,000.000	26,000.000
TOTAL												26,000.000	26,000.000

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

OPERATIONAL SUPPORT

(\$000)

	FY 2022 Enacted	FY 2023 Enacted	Baseline Changes								FY 2024 Baseline Estimate	Program Increases or Decreases	FY 2024 Request
			Annualization of Prior Pay Raises	Annualization of Positions Previously Requested	FY 2024 Pay Raises	Adjustment to Compensable Days (261 Days)	GSA Rent	WCF Increase or Decrease	FERS Increase	Inflation and Other Adjustments to Base			
PERSONNEL RESOURCES													
Direct FTPs	26 14	47 37											62 52
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													
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
None	-	-	-	-	-	-	-	-	-	-	-	-	-
Program Subtotal	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL													

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	FY 2022 ENACTED	FY 2023 ENACTED	FY 2024 REQUEST
APPROPRIATION/OBLIGATION LIMITATION			
SALARIES AND EXPENSES	27,181	30,107	46,552
FINANCIAL MANAGEMENT CAPITAL	-	-	-
OFFICE OF CIVIL RIGHTS	1,278	1,365	3,067
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	315	393	473
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	1,027	1,192	1,495
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	850	927	999
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER	177	265	496
NATIONAL INFRASTRUCTURE INVESTMENTS	690	802	1,018
NATIONAL INFRASTRUCTURE INVESTMENTS (LOCAL AND REGIONAL PROJECT ASSISTANCE)	690	802	-
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	-	-	1,018
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	964	1,143	766
CYBER SECURITY INITIATIVES	-	-	-
RESEARCH AND TECHNOLOGY	1,438	1,871	4,023
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	-	-	-
THRIVING COMMUNITIES	-	-	-
ELECTRIC VEHICLE FLEET	-	-	-
JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING	-	-	-
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	32,893	36,873	57,394
INDEFINITE BUDGET AUTHORITY			
ESSENTIAL AIR SERVICE	523	574	722
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	-	-	-
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	-	-	-
ASSET CONCESSIONS (TITLE X)	-	-	-
SUBTOTAL, INDEFINITE BUDGET AUTHORITY	523	574	722
REIMBURSABLE			
SALARIES AND EXPENSES	784	829	1,221
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	15,510	15,327	15,211
WORKING CAPITAL FUND	-	-	-
TRANSPORTATION SAFETY INSTITUTE	157	233	399
SUBTOTAL, REIMBURSABLE	16,450	16,389	16,831
ALLOCATION			
BUREAU OF TRANSPORTATION STATISTICS	5,797	5,737	7,883
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	170	312	435
SUBTOTAL, ALLOCATION	5,967	6,049	8,319
BIL SUPPLEMENTAL ADVANCE APPROPRIATIONS			
NATIONAL INFRASTRUCTURE INVESTMENTS	-	-	-
NATIONAL INFRASTRUCTURE INVESTMENTS (LOCAL AND REGIONAL PROJECT ASSISTANCE)	-	-	-
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	-	-	-
NATIONAL CULVERT REMOVAL, REPLACEMENT, AND RESTORATION GRANTS PROGRAM (BIL SUPPLEMENTAL)	-	-	-
STRENGTHENING MOBILITY & REVOLUTIONIZING TRANSPORTATION (BIL SUPPLEMENTAL)	-	-	-
SAFE STREETS AND ROADS FOR ALL (BIL SUPPLEMENTAL)	-	-	-
SUBTOTAL, BIL SUPPLEMENTAL ADVANCE APPROPRIATION	-	-	-
GRAND TOTAL	55,833	59,885	83,265

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

ACCOUNTS	FY 2022 ENACTED	FY 2023 ENACTED	FY 2024 REQUEST
APPROPRIATION/OBLIGATION LIMITATION			
SALARIES AND EXPENSES	394	537	576
FINANCIAL MANAGEMENT CAPITAL	-	-	-
OFFICE OF CIVIL RIGHTS	32	61	67
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	9	14	14
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	35	50	58
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	28	37	39
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER	7	13	19
NATIONAL INFRASTRUCTURE INVESTMENTS	5	7	7
NATIONAL INFRASTRUCTURE INVESTMENTS (LOCAL AND REGIONAL PROJECT ASSISTANCE)	5	7	-
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	-	-	7
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	14	23	27
CYBER SECURITY INITIATIVES	-	-	-
RESEARCH AND TECHNOLOGY	26	55	64
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	-	-	-
THRIVING COMMUNITIES	-	-	-
ELECTRIC VEHICLE FLEET	-	-	-
JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING	-	-	-
OPERATIONAL SUPPORT	14	37	52
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	529	784	865
INDEFINITE BUDGET AUTHORITY			
ESSENTIAL AIR SERVICE	13	14	14
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	5	5	5
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	24	33	35
TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT PROGRAM	24	33	35
ASSET CONCESSIONS (TITLE X)	-	-	-
SUBTOTAL, INDEFINITE BUDGET AUTHORITY	42	52	54
REIMBURSABLE			
SALARIES AND EXPENSES	25	32	32
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	555	570	570
WORKING CAPITAL FUND	258	299	315
TRANSPORTATION SAFETY INSTITUTE	39	39	39
SUBTOTAL, REIMBURSABLE	877	940	956
ALLOCATION			
BUREAU OF TRANSPORTATION STATISTICS (ALLOCATION)	48	55	55
BUREAU OF TRANSPORTATION STATISTICS (REIMBURSABLE)	11	20	20
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	5	5	5
SUBTOTAL, ALLOCATION	64	80	80
GRAND TOTAL	1,512	1,856	1,955

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

ACCOUNTS	FY 2022 ENACTED	FY 2023 ENACTED	FY 2024 REQUEST
APPROPRIATION/OBLIGATION LIMITATION			
SALARIES AND EXPENSES	524	582	611
FINANCIAL MANAGEMENT CAPITAL	-	-	-
OFFICE OF CIVIL RIGHTS	58	70	70
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	13	14	14
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	44	56	60
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	37	37	41
INTERAGENCY INFRASTRUCTURE PERMITTING IMPROVEMENT CENTER	7	19	19
NATIONAL INFRASTRUCTURE INVESTMENTS	7	7	7
NATIONAL INFRASTRUCTURE INVESTMENTS (LOCAL AND REGIONAL PROJECT ASSISTANCE)	7	7	-
NATIONAL INFRASTRUCTURE INVESTMENTS (NATIONAL INFRASTRUCTURE PROJECT ASSISTANCE)	-	-	7
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	16	27	27
CYBER SECURITY INITIATIVES	-	-	-
RESEARCH AND TECHNOLOGY	48	65	77
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	-	-	-
THRIVING COMMUNITIES	5	-	-
ELECTRIC VEHICLE FLEET	-	-	-
JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING	-	-	-
OPERATIONAL SUPPORT	26	47	62
SUBTOTAL, APPROPRIATION/OBLIGATION LIMITATION	741	868	928
INDEFINITE BUDGET AUTHORITY			
ESSENTIAL AIR SERVICE	14	14	14
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM	6	5	5
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	31	35	35
TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT PROGRAM	31	35	35
ASSET CONCESSIONS (TITLE X)	-	-	-
SUBTOTAL, INDEFINITE BUDGET AUTHORITY	51	54	54
REIMBURSABLE			
SALARIES AND EXPENSES	33	33	33
JOHN A. VOLPE TRANSPORTATION SYSTEM CENTER WORKING CAPITAL FUND	633	633	633
WORKING CAPITAL FUND	297	311	327
TRANSPORTATION SAFETY INSTITUTE	35	35	35
SUBTOTAL, REIMBURSABLE	998	1,012	1,028
ALLOCATION			
BUREAU OF TRANSPORTATION STATISTICS (ALLOCATION)	65	65	65
BUREAU OF TRANSPORTATION STATISTICS (REIMBURSABLE)	20	20	20
UNIVERSITY TRANSPORTATION CENTERS PROGRAM	5	5	5
SUBTOTAL, ALLOCATION	90	90	90
GRAND TOTAL	1,880	2,024	2,100

SECTION 3:
BUDGET
REQUESTS BY
ACCOUNT

ADMINISTRATIVE PROVISIONS
(INCLUDING CANCELLATION AND TRANSFER OF FUNDS)

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 in Public Law 117-328 that the Secretary post on the DOT Web site a schedule of all meeting of the Council on Credit and Finance, including the agenda for each meeting.

SEC. 103. In addition to authority provided by section 327 of title 49, United States Code, the Department's Working Capital Fund is authorized to provide partial or full payments in advance and accept subsequent reimbursements from all Federal agencies from available funds for transit benefit distribution services that 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 reasonable operating reserve in the Working Capital Fund, to be expended in advance to provide uninterrupted transit benefits to Government employees: *Provided further*, That such reserve shall not exceed 1 month of benefits payable and may be used only for the purpose of providing for the continuation of transit benefits: *Provided further*, That the Working Capital Fund 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 proposed language provides flexibility and continuity to the WCF in providing transit benefits and will enable real-time reconciliation of payments from Federal customer agencies by streamlining the current funding process.

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

Since the roll-out of the debit card in 2012-2014, 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 2023 collections, shall be available until expended in the Department's Working Capital Fund to provide contractual services in support of section [199A]199 of this Act: *Provided*, That obligations in fiscal year [2023]2024 of such collections shall not exceed \$1,000,000.

Sec. 104 Explanation

Section 104 allows the Department to use unused transit and van pools benefits 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. This will also all 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 title 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 is retains the provision to grant the Working Capital Fund (WCF) 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 removes the provision now that the Bureau has transitioned into the Office of the Secretary and has improved transparency on processes.

[SEC. 108. For an additional amount 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.]

Sec. 108 Explanation

Section 108 removes the provision of this one-time appropriation.

[SEC. 109.] (a) The remaining unobligated balances, as of September 30, 2023, from amounts made available in section 157(a) of the Continuing Appropriations Act, 2023 (division A of Public Law 117-180) are hereby permanently rescinded, and an amount of additional new budget authority equivalent to the amount rescinded is hereby appropriated on September 30, 2023, to remain available until September 20, 2024, and shall be available, without additional competition, for completing the funding of awards made pursuant to the fiscal year 2020 national infrastructure investments program, in addition to other funds as may be available for such purposes.

(b) The remaining unavailable unobligated balances, as of September 30, 2023, from amounts made available in section 157(b) of the Continuing Appropriations Act, 2023 (division A of Public Law 117-180) are hereby permanently rescinded is hereby appropriated on September 30, 2023, to remain available until September 30, 2024, and shall be available, without additional competition, for completing the funding of awards made pursuant to the fiscal year 2019 national infrastructure investments program, in addition to other funds as may be available for such programs.]

Sec. 109 Explanation

Section 109 removes the provision from the prior fiscal year to extend the period of availability.

SEC. [109A]107. (a) Amounts made available to the Secretary of Transportation or the Department of Transportation's operating administrations in this Act [or in Public Law 117-103] 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 [or in Public Law 117-103] may be transferred under subsection (a) [is the local and regional project assistance program under section 6702 of title 49, United States Code.] 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) the university transportation centers program under section 5505 of title 49, United States Code;
- (4) any other financial assistance program that is funded under this act and administered from the Office of the Secretary.

Sec. 107 Explanation

Section 107 allows 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 the Bipartisan Infrastructure Law, but the purpose of these pooled dollars is only for grants administration and oversight.

[**SEC. 109B.** Of the amounts made available under the heading “National Infrastructure Investments:, not less than \$1,000,000 and not greater than \$25,000,000 shall be available to complete port infrastructure projects that received awards from the national infrastructure investments program under title I of division G of the Consolidated Appropriations Act, 2019 (Public Law 116-6) or rail infrastructure projects that received awards from the national infrastructure investments program under title I of division L of the Consolidated Appropriations Act, 2018 (Public Law 115-141): *Provided*, That an award funded under this section may allow the total award to a recipient to be greater than \$25,000,000: *Provided further*, That sponsors of projects eligible for funds made available under this section shall provide sufficient written justification describing, at a minimum, the current project costs estimate, why the project cannot be completed with the obligated grant amount, and any other relevant information, as determined by the Secretary: *Provided further*, That the allocation under the preceding proviso will be for the amounts necessary to cover increases to eligible project costs since the grant was obligated, based on the information provided: *Provided further*, That section 200.204 of title 2, Code of Federal Regulations, shall not apply to amounts made available under this section: *Provided further*, That the amounts made available under this section shall not be part of the Federal share of total project costs and shall be up to 100 percent: *Provided further*, That section 6702 (c)(3) of title 49, United States Code, shall not apply to amounts made available under this section: *Provided further*, That section 6702(f) of title 49, United States Code, shall not apply to amounts made available under this section, the Secretary may award to rail infrastructure projects only amounts that the Secretary determines are not needed to complete port infrastructure projects.]

Sec. 109B Explanation

Section 109B removes the provision from the prior fiscal year to make available funding for rail and port projects.

SEC. 108. *The Secretary may transfer amounts awarded to a Tribe under a funding agreement entered under part 29 of title 49, Code of Federal Regulations, from the Department’s Operating Administrations to the Office of the Tribal Government Affairs: Provided, That any amounts retroceded or reassumed under that part may be transferred back to the appropriate Operating Administration.*

Sec. 108 Explanation

Section 108 allows the Office of Tribal Government Affairs to financially manage all DOT Tribal Transportation Self-Governance Program funding compacts. Currently, funding for these compacts are across DOT and each individual operating administration awards their own agreement to get to a single self-governance compact. 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.

NTSRA 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. *Of the unobligated balances of funds made available for “Railroad Rehabilitation and Improvement Financing Program” in section 109 of division L of Public Law 117-103 \$2,926,000 is hereby permanently cancelled.*

Sec. 109 Explanation

Section 109 proposes to rescind the funding that is in excess of carrying out the purpose of section 109 of division L of Public Law 117-103.

SEC. 110. *Section 312 of title 49, United States Code, is repealed.*

Sec. 110 Explanation

Section 110 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. NTSRA directs DOT to establish certain technology services related to Global Positioning System (GPS) resilience in a manner that runs counter to national interests as well as more recently established Administration policy. Informed by recent federal analyses, reports, and technology demonstrations, DOT finds that: 1) no single solution for the provision of back-up or complementary positioning, navigation and/or timing (PNT) services can meet the diversity of critical infrastructure application requirements, and 2) it would be inefficient, anti-competitive, and potentially harmful to the existing market for back-up/complementary PNT services for the Federal Government to procure or otherwise fund a specific solution for non-federal users. Rather than building or otherwise procuring a new system, DOT in partnership with the Department of Homeland Security is better positioned to enable and encourage the owners and operators of critical infrastructure to be responsible users of PNT. Therefore, under the Office of the Assistant Secretary for Research and Technology (OST-R), DOT proposes to repeal NTRSA and also requests \$17 million in investments intended to support a more resilient civil GPS and to enable more responsible PNT usage.

GENERAL PROVISIONS—DEPARTMENT OF TRANSPORTATION

SEC. [180] 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. [181] 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. [182] 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. [183] 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. [184] 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. [185] 195. None of the funds made available by this Act or in title VIII of division J of Public Law 117–58 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 preceding 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. The provision was modified in FY 2022 to include funds from Division J of the IIJA.

SEC. [186]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 organizational units 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. [187]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[, and such reprogramming action shall be approved or denied solely by the House and Senate Committees on Appropriations: *Provided*, That the Secretary of Transportation may provide notice to other congressional committees of the action of the House and Senate Committees on Appropriations on such reprogramming but not sooner than 30 days after the date on which the reprogramming action has been approved or denied by the House and Senate Committees on Appropriations].

Sec. 197 Explanation

Section 197 is modified to state that reprogramming notices sent by the Secretary shall be provided solely to the House and Senate Committees on Appropriations, and removes prior language regarding approval, denial, and transmission to other congressional committees.

SEC. [188] 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. [189] 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. [190] 200. The Department of Transportation may use funds provided by this Act, or any other Act, to assist a contract under title 49 or 23 of the United States Code 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. [191] 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.

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 (a)] None of the funds made available in this Act may be obligated or expended for any employee training that

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

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

Sec 404 Deletion Explanation

Section 404 is proposed for deletion because agencies subject to this Act are already subject to government-wide guidelines for conducting training of employees that should prevent such training as identified in Section 404 from being developed.

SEC [405] 404. Except as otherwise provided in this Act, none of the funds provided in *titles I or III* of this Act, provided by previous appropriations Acts to the agencies or entities funded in *titles I or III* of this Act that remain available for obligation or expenditure in fiscal year [2023] 2024, 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 [by either the House or Senate Committees on Appropriations] *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 [approval] *notice* is [received from] *transmitted* to the House and Senate Committees on Appropriations:

Provided, That not later than 60 days after the date of enactment of this Act, each agency funded by this Act shall submit a report to the Committees on Appropriations of the Senate and of the House of Representatives to establish the baseline for application of reprogramming and transfer authorities for the current fiscal year: *Provided further*, That the report shall include—

- (A) a table for each appropriation with a separate column to display the prior year enacted level, the President's budget request, adjustments made by Congress, adjustments due to enacted rescissions, if appropriate, and the fiscal year enacted level
- (B) a delineation in the table for each appropriation and its respective prior year enacted level by object class and program, project, and activity as detailed in this Act, the table accompanying the explanatory statement 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 detailed, and shall apply to all items for which a dollar amount is specified and to all programs for which new budget (obligational) authority is provided, as

well as to discretionary grants and discretionary grant allocations; and
(C) an identification of items of special congressional interest.

Sec. 404 Explanation

Section 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. [406] 405. Except as otherwise specifically provided by law, not to exceed 50 percent of unobligated balances remaining available at the end of fiscal year [2023] 2024 from appropriations made available for salaries and expenses for fiscal year [2023] 2024 in this Act, shall remain available through September 30, [2024] 2025, for each such account for the purposes authorized: *Provided*, That a [request] *notification* shall be submitted to the House and Senate Committees on Appropriations [for approval] prior to the expenditure of such funds: *Provided further*, That these requests shall be made in compliance with reprogramming guidelines under section [405] 404 of this Act.

Sec. 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. [407] 406. No funds in this Act may be used to support any Federal, State, or local projects that seek to use the power of eminent domain, unless eminent domain is employed only for a public use: *Provided*, That for purposes of this section, public use shall not be construed to include economic development that primarily benefits private entities: *Provided further*, That any use of funds for mass transit, railroad, airport, seaport or highway projects, as well as utility projects which benefit or serve the general public (including energy-related, communication-related, water-related and wastewater-related infrastructure), other structures designated for use by the general public or which have other common-carrier or public-utility functions that serve the general public and are subject to regulation and oversight by the government, and projects for the removal of an immediate threat to public health and safety or brownfields as defined in the Small Business Liability Relief and Brownfields Revitalization Act (Public Law 107–118) shall be considered a public use for purposes of eminent domain.

Sec. 406 Explanation

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

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

Sec. 408 Deletion Explanation

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

SEC. [409] 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. [410] 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. [411] 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. 412. None of the funds made available in this Act may be used to send or otherwise pay for the attendance of more than 50 employees of a single agency or department of the United States Government, who are stationed in the United States, at any single international conference unless the relevant Secretary reports to the House and Senate Committees on Appropriations at least 5 days in advance that such attendance is important to the national interest: *Provided*, That for purposes of this section the term "international conference" shall mean a conference occurring outside of the United States attended by representatives of the United States Government and of foreign governments, international organizations, or nongovernmental organizations.]

Sec. 412 Deletion Explanation

Section 412, which prohibits more than 50 people from attending an international conference unless a report is provided at least 5 days in advance, is proposed for deletion as it potentially may restrict the ability of the agency to attend diplomatic conferences.

[SEC. 413. None of the funds appropriated or otherwise made available under this Act may be used by the Surface Transportation Board to charge or collect any filing fee for rate or practice complaints filed with the Board in an amount in excess of the amount authorized for district court civil suit filing fees under section 1914 of title 28, United States Code.]

Sec. 413 Deletion Explanation

Section 413 is proposed for deletion because it is specific to the Surface Transportation Board

SEC [414] 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. [415] 411 (a) None of the funds made available in this Act may be used to deny an Inspector General funded under this Act timely access to any records, documents, or other materials available to the department or agency over which that Inspector General has responsibilities under the Inspector General Act of 1978 (5 U.S.C. App.), or to prevent or impede that Inspector General's access to such records, documents, or other materials, under any provision of law, except a provision of law that expressly refers to the Inspector General and expressly limits the Inspector General's right of access.

(b) A department or agency covered by this section shall provide its Inspector General with access to all such records, documents, and other materials in a timely manner.

(c) Each Inspector General shall ensure compliance with statutory limitations on disclosure relevant to the information provided by the establishment over which that Inspector General has responsibilities under the Inspector General Act of 1978 (5 U.S.C. App.).

(d) Each Inspector General covered by this section shall report to the Committees on Appropriations of the House of Representatives and the Senate within 5 calendar days any failures to comply with this requirement.

Sec. 411 Explanation

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

SEC [416] 412. None of the funds appropriated or otherwise made available by this Act may be used to pay award or incentive fees for contractors whose performance has been judged to be below satisfactory, behind schedule, over budget, or has failed to meet the basic requirements of a contract, unless the Agency determines that any such deviations are due to unforeseeable events, government-driven scope changes, or are not significant within the overall scope of the

project and/or program unless such awards or incentive fees are consistent with 16.401(e)(2) of the Federal Acquisition Regulations.

Sec. 412 Explanation

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

[SEC 417. No part of any appropriation contained in this Act shall be available to pay the salary for any person filling a position, other than a temporary position, formerly held by an employee who has left to enter the Armed Forces of the United States and has satisfactorily completed his or her period of active military or naval service, and has within 90 days after his or her release from such service or from hospitalization continuing after discharge for a period of not more than 1 year, made application for restoration to his or her former position and has been certified by the Office of Personnel Management as still qualified to perform the duties of his or her former position and has not been restored thereto.]

Sec. 417 Deletion Explanation

Section 417 is proposed for deletion as the language overlaps and potentially conflicts with similar protections already conferred under Uniformed Services Employment and Reemployment Rights Act (USERRA) in Title 38. Section 417 would treat the employees of agencies under the THUD appropriations bill differently than the rest of the Federal employees covered by USERRA.

[SEC. 418. (a) None of the funds made available by this Act may be used to approve a new foreign air carrier permit under sections 41301 through 41305 of title 49, United States Code, or exemption application under section 40109 of that title of an air carrier already holding an air operators certificate issued by a country that is party to the U.S.-E.U.-Iceland-Norway Air Transport Agreement where such approval would contravene United States law or Article 17 bis of the U.S.- E.U.-Iceland-Norway Air Transport Agreement

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

Sec. 418 Deletion Explanation

Section 418 is proposed for deletion because it requires the Department to comply with Federal Law and the U.S-E.U.-Iceland-Norway Air Transport Agreement if it grants a permit or an exemption to a foreign air carrier, and is therefore redundant.

[SEC 419. None of the funds made available by this Act to the Department of Transportation may be used in contravention of section 306108 of title 54, United States Code.]

Sec. 419 Deletion Explanation

Section 419 would turn any violation of 54 U.S.C. 306108 into an Antideficiency Act violation, DOT requests removal consistent with prior years as this would be redundant with current law requirements

[SEC. 420. (a) Funds previously made available in chapter 9 of title X of the Disaster Relief Appropriations Act, 2013 (Public Law 113–2, division A; 127 Stat. 36) under the heading "Department of Housing and Urban Development—Community Planning and Development—Community Development Fund" that were available for obligation through fiscal year 2017 are to remain available until expended for the liquidation of valid obligations incurred in fiscal years 2013 through 2017.

(b) Amounts repurposed pursuant to this section that were previously designated by the Congress as an emergency requirement pursuant to the Balanced Budget and Emergency Deficit Control Act of 1985 or a concurrent resolution on the budget are designated as an emergency requirement pursuant to section 4001(a)(1) of S. Con. Res. 14 (117th Congress), the concurrent resolution on the budget for fiscal year 2022, and section 1(e) of H. Res. 1151 (117th Congress) as engrossed in the House of Representatives on June 8, 2022.]

Sec. 420 Deletion Explanation

Section 420 is specific to Department of Housing and Urban Development, and therefore not included in DOT's President's Budget submission

[SEC. 421. In the table of projects in the explanatory statement referenced in section 417 of the Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2022 (division L of Public Law 117–103)—

- (1) the item relating to "Greensboro Judy Center Early Learning Hub Facility" is deemed to be amended by striking "Greensboro Judy Center Early Learning Hub Facility" and inserting "Building maintenance for Greensboro Judy Center Early Learning Hub Facility";
- (2) the item relating to "Constructing commercial kitchen to increase access to healthy food" is deemed to be amended by striking recipient "Cross Street Partners" and inserting "The Good Stuff";
- (3) the item relating to "Covenant House PA Transition Housing" is deemed to be amended by striking recipient "Covenant House Pennsylvania" and inserting "Covenant House Pennsylvania Under 21";
- (4) the item relating to "Long Island Greenway" is deemed to be amended by striking "Long Island Greenway" and inserting "For the planning and design of the Long Island Greenway";
- (5) the item relating to "Acquisition of property for permanent Veterans' homeless shelter" is deemed to be amended by striking "Acquisition of property for permanent Veterans' homeless shelter" and inserting "Acquisition or rehabilitation of property for permanent veterans' homeless shelter";
- (6) the item relating to "Gourdy Ampitheater Project" is deemed to be amended by striking "Gourdy Ampitheater Project" and inserting "Goudy Park";
- (7) the item relating to "Community Bike Works: Easton" is deemed to be amended by striking "Easton" and inserting "Easton and Allentown";

(8) the item relating to "Barrington Town Offices and Emergency Operations Center Construction" is deemed to be amended by striking "Barrington Town]

Sec. 421 Deletion Explanation

Section 421 is specific to Department of Housing and Urban Development, and therefore not included in DOT's President's Budget submission

[**SEC. 422.** None of the funds made available to the Department of Housing and Urban Development in this or prior Acts may be used to issue a solicitation or accept bids on any solicitation that is substantially equivalent to the draft solicitation entitled "Housing Assistance Payments (HAP) Contract Support Services (HAPSS)" posted to www.Sam.gov on July 27, 2022.]

Sec. 422 Deletion Explanation

Section 421 is specific to Department of Housing and Urban Development, and therefore not included in DOT's President's Budget submission

[**SEC. 423.** Section 1105(e)(5)(C)(i) of the Intermodal Surface Transportation Efficiency Act of 1991 (Public Law 102–240; 109 Stat. 598; 133 Stat. 3018) is amended by striking the seventh, eighth, and ninth sentences.]

Sec. 423 Deletion Explanation

Section 423 made a technical correction to a highway designation, and does not need to be repeated in future appropriations Acts.

APPROPRIATION/
OBLIGATION
LIMITATION
ACCOUNTS

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	92,239	103,415	115,933
Travel	1,440	1,579	1,579
Other Costs	47,821	64,844	95,304
Programs	-	1,176	7,590
TOTAL	141,500	171,014	220,406

STAFFING

Direct FTPs	524	582	611
Direct FTEs	394	537	576

Appropriations Language**SALARIES AND EXPENSES**

For necessary expenses of the Office of the Secretary, [\$171,014,000] \$220,406,000, to remain available until September 30, 2025: Provided, That of [the sums appropriated under this heading—]

[(1) \$3,569,000 shall be available for the immediate Office of the Secretary;]

[(2) \$1,277,000 shall be available for the immediate Office of the Deputy Secretary;]

[(3) \$28,089,000 shall be available for the Office of the General Counsel;]

[(4) \$17,469,000 shall be available for the Office of the Under Secretary of Transportation for Policy, of which \$2,000,000 is for the Office for Multimodal Freight Infrastructure and Policy;]

[(5) \$21,026,000 shall be available for the Office of the Assistant Secretary for Budget and Programs;]

[(6) \$3,968,000 shall be available for the Office of the Assistant Secretary for Governmental Affairs;]

[(7) \$41,399,000 shall be available for the Office of the Assistant Secretary for Administration;]

[(8) \$5,727,000 shall be available for the Office of Public Affairs and Public Engagement;]

[(9) \$2,312,000 shall be available for the Office of the Executive Secretariat;]

[(10) \$15,533,000 shall be available for the Office of Intelligence, Security, and Emergency Response;]

[(11) \$29,195,000 shall be available for the Office of the Chief Information Officer; and]

[(12) \$1,450,000 shall be available for the Office of Tribal Government Affairs: Provided further, That the Secretary of Transportation (referred to in this title as the "Secretary") is authorized to transfer funds appropriated for any office of the Office of the Secretary to any other office of the Office of the Secretary: Provided further, That no appropriation for any office shall be increased or decreased by more than 7 percent by all such transfers: Provided further, That notice of any change in funding greater than 7 percent shall be submitted for approval to the House and Senate Committees on Appropriations:] such amount, not less than \$19,400,000 shall be for necessary expenses for information technology development, modernization, and enhancement not otherwise provided for: Provided further, That not to exceed \$70,000 shall be for allocation within the Department for official reception and representation expenses as the Secretary may determine: Provided further, That notwithstanding any other provision of law, there may be credited to this appropriation up to \$2,500,000 in funds received in user fees. (Department of Transportation Appropriations Act, 2023.)

Program and Performance Statement

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

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 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; 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 implements 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 global competitiveness; equity; climate and sustainability; transformation 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 directs the implementation of the Bipartisan Infrastructure Law and the Inflation Reduction Act.

Funding Changes:

The FY 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; 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 of Transportation (OST) assists the Secretary in providing the necessary executive leadership essential to meet the challenges faced by the American public in the transportation sector and assists with implementing 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 global competitiveness; equity; climate and sustainability; transformation 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. The Office provides the foundation for the Department's efforts to increase the productivity and competitiveness of American workers and businesses in the global economy. 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 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 the implementation of EOs 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 co-hosts 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. Policymaking requires 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 upgrading CX, consistent with the 21st Century Integrated Digital Experience Act (P.L. 115-336) and the Administration's EO 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.

In addition, the Bureau provides the overall strategy, management, operations, and performance oversight of the Thriving Communities Program and coordinates the suite of place-based technical assistance.

The **Office of Multimodal Freight Infrastructure and Policy** (Freight 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 2023 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 and competition, public and intergovernmental outreach, freight policy, public-private partnerships, equity, and international transportation policy.
- The Office will advance the Department's human trafficking initiative by 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 lead an International Civil Aviation Organization (ICAO) working group on combatting human trafficking and conduct 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 implementing the transportation provisions of trade agreements, such as the U.S. Mexico Canada Trade Agreement (USMCA).
- Considering numerous worldwide restrictions because 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 expeditiously review applications for new airline licenses and authorities, with the goal of addressing ownership and control issues and promoting new entry in the airline industry.
- 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 fulfill the goals of the Administration's Executive Order on *Advancing Racial Equity and Support for Underserved Communities Through the Federal Government* (EO 13985) and DOT's Equity Action Plan to deliver meaningful and measurable benefits to disadvantaged and underserved communities.

- The Office will oversee the development and updating of State freight plans in accordance with the new requirements established under the BIL, including analyzing and disseminating best practices relating to those plans.
- Assist states in the establishment of state freight advisory committees and multi-state freight mobility compacts.
- Administer multimodal freight grant programs, including establishing procedures for analyzing and evaluating applications for grants under those programs.
- Establish the National Multimodal Freight Network and develop procedures to allow states to propose additions in accordance with the new requirements under the BIL.
- Provide input to the Bureau of Transportation Statistics regarding freight data and planning tools.

Funding Changes:

The FY 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

In addition, the FY 2024 request includes an increase of **\$9.6 million** to fund the following priorities:

Freight Logistics Optimization Works (FLOW) Program

\$5.3 million is requested for positions and contracting support. This program is a first-of-its-kind effort led by the Freight Office to advance supply chain resiliency across the Nation, following two years of challenging supply chain disruptions. The effort is a partnership of the Freight Office, the Bureau of Transportation Statistics (BTS), which serves as the independent data steward, and the various industry participants including port authorities, motor carriers, ocean carriers, rail carriers, and warehousing companies.

Through FLOW, the Department serves as an independent steward for data sharing to improve the resiliency of the Nation's logistics industry, which represents 8% of national GDP, or \$1.85 trillion annually. FLOW participants exchange information on incoming cargo demand and available asset supply to facilitate transparency and ease supply chain congestion, speed up the movement of goods, and ultimately cut costs for American consumers. This funding will support the Department to scale the current FLOW pilot to a national program, building on the successes of the pilot.

Through the FLOW pilot, the Department is serving as an independent steward of supply chain data across a largely privately-operated enterprise that spans shipping lines, ports, terminal operators, truckers, railroads, warehouses, and beneficial cargo owners. By providing a shared view of the national logistics system, including both supply and demand assets, participants can better understand supply chain capacity nationally. Deeper transparency across supply chain networks will make our supply chain more robust and help it to adapt when faced with anomalies.

Legislative Implementation Plan (LIP) system

\$1.9 million will be used to modernize the Legislative Implementation Plan (LIP) system an internal DOT information technology system. (?). OST developed the Legislative Implementation Plan (LIP) system to assign responsibilities and deadlines across the Department for new legislative requirements. The system (a) contains detailed requirements found within each new, significant, public law that impacts the Department (other than appropriation acts), (b) permits the assignment of "primary" and "coordination" roles in fulfillment of the requirements, (c) sets a deadline for interim and final actions, and (d) tracks progress in fulfilling the requirements on schedule. LIP is a web-enabled Intranet application that permits users across the Department to enter, review, and approve information about each statutory provision task by task.

\$795 thousand for the Department's Strategic Plan Activities. The Department requires 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 that may cross one or more of the DOT strategic goals as outlined in the *FY 2022-2026 DOT Strategic Plan*: Safety, Economic Strength and Global, Competitiveness, Equity, Climate and Sustainability, Transformation and Organizational Excellence

\$1 million for Equity and Justice⁴⁰ work across the Department. The Department's Equity Action Plan features work the Department will undertake across four focus areas – wealth creation, power of community, interventions, and expanding access – to expand access and opportunity to all communities while focusing on underserved, overburdened, and disadvantaged communities. This additional funding will provide contract support in policy research and implementation activities tied to the above focus areas.

\$600 thousand for 8 new positions:

• **Office of International Aviation:**

- **1 position** to support the Chief of Foreign Air Carrier Licensing and Chief of U.S. Carrier Licensing in the Office of International Aviation. This analyst will analyze and prepare responses to increasingly complex regulatory cases, including requests by U.S. airlines to serve foreign markets and foreign air carrier applications for operating authority, as well as orders responding to unfair treatment of U.S. carriers abroad. The analyst will also implement the public charter rules for U.S. and foreign operators.
- **1 position** for the Office of International Aviation to bolster multilateral engagement to reclaim U.S. leadership in international air transportation policy, with the future of international liberalization and climate as priority areas for engagement. This analyst will support the development of a next iteration of the Department's Open Skies policy.
- **1 position** for regional transportation attaché positions based in: 1) Montreal to serve as the OST representative at the US Mission to the International Civil Aviation Organization (ICAO) on all economic and climate policy matters; 2) Asia, supporting international transportation policy initiatives and will build on-the-ground presence and strategic engagements with foreign counterparts in Asia 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.

- **Office of International Transportation and Trade**

- **1 position** to implement U.S. priorities related to port and maritime decarbonization and other objectives with foreign counterparts, in international fora [International Maritime Organization (IMO)], and with other key stakeholders. This position will support the implementation of the USG Green Shipping Corridors strategy, Arctic engagement, and technical assistance programs related to alternative fuels, electrification, and strengthening supply chains.
- **1 position** to advance diversified, secure, transparent, and sustainable transportation supply chains across the globe in support of U.S. competitiveness, promote U.S. standards, and provide technical assistance with bilateral counterparts and multilateral fora such as G7, G20, and the United Nations.
- **1 position** focusing on: 1) Africa and the Middle East supporting implementation of U.S. objectives related to Prosper Africa, safety, climate, economic competitiveness, and aviation (e.g. Safe Skies for Africa), surface and intermodal transportation with bilateral and multilateral counterparts related to climate (multimodal decarbonization and adaptation), economic competitiveness (trade and advocacy), and foreign policy (connectivity, good governance, standards, good regulatory practices) through technical assistance and cooperation programs; 2) South Central Asia supporting implementation of U.S. objectives related to the Association of Southeast Asian Nations (ASEAN), Indo-Pacific Strategy, US-Mekong Partnership, Smart Cities Partnership, counter China. Priorities include for surface and intermodal transportation with bilateral and multilateral counterparts related to climate (multimodal decarbonization and adaptation), economic competitiveness (trade and advocacy), and foreign policy (connectivity, good governance, standards, good regulatory practices) through technical assistance and cooperation programs; 3) Pacific Rim supporting implementation of U.S. objectives related to the Asia-Pacific Economic Cooperation (APEC), for which the U.S. is hosting the annual forum in 2023, and the Quad Shipping Task Force. Priorities include surface and intermodal transportation with bilateral and multilateral counterparts related to climate (multimodal decarbonization and adaptation), economic competitiveness (trade and advocacy), and foreign policy (connectivity, good governance, standards, good regulatory practices) through technical assistance and cooperation programs.

- **Office of Policy**

- **1 position** to design and implement key activities in support of the FY 2022-26 DOT Strategic Plan.
- **1 position** to perform policy research and analyses that will target the Department's specific needs to aid in the design and implementation of equity and Justice40 activities aligned with the Department's Equity Action Plan and Justice40 report.

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

The 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 the Office, 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 the Office.

In addition, the Office fosters an environment that allows for the development of DOT safety policies and 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 advancing 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 the 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.

Funding provided to the Freight Office will support the administration of billions of dollars in multimodal freight grant programs 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. The Freight Office will also promote and facilitate sharing of information between the private and public sectors to ensure innovative practices and strategies are widely disseminated and adopted in the areas of conducting research on improving multimodal freight mobility and overseeing the freight research activities of the various agencies within the Department; thereby, assisting cities and States in developing freight mobility and supply chain expertise.

FLOW will support American businesses and consumers throughout the supply chain and improve accuracy of information from end-to-end for a more resilient supply chain. The recent supply chain disruptions have raised national awareness of the need for the ability to improve operations use through improved information exchange. Better cooperation on foundational freight data exchange means supply chain stakeholders can make better informed decisions that will reduce shipping costs and times, cut costs for consumers, and create a stronger and more resilient economy. Currently, the lack of transparency across supply chain networks makes our supply chain brittle and unable to adapt when faced with an anomaly.

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 2023 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 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; 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 Executive Secretariat ensures the timely response to Secretarial inquiries from the public (and Congress on their behalf) regarding transportation-related issues and maintains a 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:

- Situational awareness of all-threats, all-hazards incident preparedness, response, and recovery through domestic and international event and incident monitoring, 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 the 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 Nation's transportation systems and infrastructure. These functions facilitate timely situational awareness of all-threats, all-hazards preparedness, mitigation, response, and recovery. They enable the Secretary and DOT senior leadership to (1) identify risks to the transportation systems and (2) implement policies, strategies, and plans that eliminate, minimize, or mitigate risks.

Intelligence: The Office oversees DOT's intelligence monitoring and production enterprise. This function is critical to identifying ongoing or potential threats to the transportation systems from foreign and domestic actors. The Office contributes to the development of policies, strategies, and plans to detect, deter, prevent, and counter transnational threats to transportation systems and to assist DOT senior leaders' engagement with other government and private sector officials on national security issues. The Office also 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 or private sector proprietary technologies.

National security policy and preparedness: The Office represents DOT at interagency engagements relating to national security topics, e.g., critical infrastructure, continuity of operations and government (COOP/COG), cybersecurity, exercises, and public health. The Office coordinates with government and private sector entities on plans to manage risks. The Office engages with the White House's National Security Council and National Economic Council staff, and interagency partners and advises DOT senior leadership on recommendations and courses of action to formulate national security preparedness and response policy and plans that guide intra- and interagency coordination, prioritize, and address DOT equities, and carry out the authorities delegated to the Secretary for Defense Production Act activities for civil transportation. Additionally, the Office guides collaborative efforts to strengthen transportation systems' critical infrastructure resilience

against disruption from cyber and other attacks, which reflects the Critical Infrastructure Cybersecurity strategic objective under DOT's Safety strategic goal.

Protection of the Secretary: The Office is solely responsible for the safety and security of the Secretary, to include during domestic and international travel. Responsibilities include, but are not limited to, operations to coordinate personnel logistics with federal, state, and local law enforcement and to conduct site assessments, that facilitate the development of security plans.

Lead DOT's all-threats, all-hazards events and incidents support and recovery efforts: In accordance with the National Response Framework, the Office leads Emergency Support Function #1 –Transportation in support of federally declared emergencies to prevent, protect against, mitigate, respond to, and recover from all-threats and all-hazards events and incidents. The Office's efforts to improve incident and emergency response addresses DOT's System Reliability and Connectivity strategic objective under the Economic Strength and Global Competitiveness strategic goal, as well as the Infrastructure Resilience strategic objective under the Climate and Sustainability strategic goal. These efforts enable the restoration of safe movement of people, goods, and services.

Improve the resilience of at-risk infrastructure: DOT and the Department of Homeland Security are co-Sector Risk Management Agencies (co-SRMAs) for the Transportation Systems critical infrastructure sector. DOT delegates its responsibilities to this office. The co-SRMAs serve as the federal interface for prioritization, collaboration, and coordination of sector-specific activities, working with critical infrastructure owners and operators, as well as government partners, to enable unity of effort to strengthen and maintain secure, functioning, and resilient critical infrastructure. The co-SRMAs also leverage their expertise to support incident management responsibilities consistent with authorities and policies, directives, or regulations.

Support adoption and implementation of new technologies and innovative practices: The Office addresses DOT's Transformation strategic goal by continually exploring emerging technologies to enhance efficiency and effectiveness in executing its roles and responsibilities in support of the Secretary and Department. The Office utilizes social and traditional media monitoring to enhance situational awareness, facilitate timely response and recovery decisions, and strengthen coordination with government and private sector partners.

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

FY 2023 Anticipated Accomplishments:

To advance DOT's mission, the Office will:

- Provide for the safety and security of the Secretary
- Increase collaboration with Intelligence Community partners to support evolving information needs and enhance the quality and value of DOT intelligence products
- Ensure relevant stakeholders are familiar with DOT Headquarters COOP/COG plans
- Develop and refine out-of-area successor support plans, roles, and responsibilities

- Keep accountability of personnel that fulfill Secretarial successor 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 DOT's response and recovery posture to better prepare for more frequent and destructive disasters
- Facilitate communication between DOT and the Department of Defense (DOD), ensuring harmonization between policy formulation and support to national security initiatives
- Lead an adaptable Emergency Response Team to fulfill DOT's National Response Framework and National Disaster Recovery Framework responsibilities
- Reestablish connections with multi-level governmental emergency management partners, following years of limited travel due to COVID restrictions
- Improve response and recovery efficiency and effectiveness through restructuring of the National Transportation Response and Recovery Program

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 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; 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 FY 2024 Budget Request supports resource needs required to:

- Provide national security policy engagement to facilitate preparedness, mitigate the impacts of transportation systems incidents, and support response and recovery activities
- Coordinate with multi-level governments and private sector entities to support transportation systems recovery operations after all-hazards events and incidents
- Collaborate with DOD commands to facilitate more effective global movement of DOD resources to address national security concerns and response and recovery efforts
- Enhance senior leader situational awareness of known and developing transnational threats to transportation systems through better use of classified information
- Coordinate between DOT operating administrations and interagency partners to support equitable recovery through the recovery support functions
- Maintain an emergency response team, trained and ready to provide the Nation with alternative solutions to transportation system disruptions

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 Department of Transportation's (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 for 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 Bipartisan Infrastructure Law. 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 (a) technology solutions that accelerate the DOT mission and (b) 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 2024, 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 following¹:

- The CIO drives the use of technology to accelerate the DOT mission resulting in innovative solutions for the Department to increase Cybersecurity, leverage effective shared services, harness the power of data as a strategic asset to support 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 2023 Anticipated Accomplishments:

In FY 2023, the OCIO will make progress in the 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 reduction of risks and vulnerabilities in Departmental IT systems;
- Ensuring consistent implementation of IT Contingency Planning training and guidance for the IT community and DOT information system owners;
- Continuing application of an IT supply chain risk management guidance and processes;
- Integrating and enhancing enterprise cybersecurity, privacy, and IT risk management capabilities;
- Continuing to manage Department-wide IT contract vehicles to ensure greater consistency of technical solutions, providing more competition for modern technical solutions and reducing administrative burden;
- Improving the management of software and managing enterprise agreements;
- Continuing to modernize the DOT information technology network and infrastructure;
- Maturing the DOT data governance board, ongoing support to implementation of the Department's Learning Agenda, maintaining the DOT data inventory, and scaling data skills development programs;
- In support of grants management, serving as the Executive Co-Chair on the Department's Grants System Steering Committee (GSSC) and providing 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 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

The FY 2024 Request includes an increase of **\$4 million** for OST IT application modernization to fund updates and enhancements to high priority information systems and websites to improve the digital experience for customers to align with the 21st Century Integrated Digital Experience Act (IDEA) (Public Law 115-336) and the President’s Management Agenda priority to deliver excellent, equitable, and secure federal services and customer experience. This effort will support the Bureau as the High Impact Service Provider (HISP) for Customer Experience (CX) initiative within the Department.

In addition, **\$1 million** is requested to support the General Services Administration (GSA) Technology Transformation Services reimbursable program to align with the recently authorized section 753 of the Division E - Financial Services and General Government Appropriations Act, 2023. This increase reflects the transition of shared services such as GSA’s Federal Risk and Authorization Management Program (FedRAMP) currently funded by GSA appropriations to an agency contribution model where agencies will reimburse GSA’s costs for operating the program.

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 2023 Anticipated Accomplishments:

In FY 2022 this Office supported the Secretary in preparing for and conducting over 200 speeches, over 450 interviews with media, and helped prepare for press events on nearly 60 trips. This Office prepared hundreds of social media posts and scores of videos and graphics for social media. In calendar year 2023 this Office helped draft, review, and clear over 300 press releases from OST and the modal administrations, ensuring accuracy and clarity. We are on pace to do a similar amount of work in FY 2023.

Funding Changes:

The FY 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

In addition, this request includes **\$100 thousand** in funding for **1 position** for a Web Content Writer who will support building out a professional Public Affairs team.

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, publishing press releases, and postings on 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 was historically 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 and focus, establishing this function as a separate organization ensured the public and all interested stakeholders have a clear primary point of contact in the Department regarding inquiries, providing feedback, and identifying opportunities for engagement with the Department and its programs. The Office of Public Engagement also has primary responsibility for developing the external engagement strategy, supporting the Secretary's vision for engaging and consulting with the American public, and helping 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 2023 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 continue 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 other parts of the Administration.
- The Office will continue to play a lead role in staffing key public events with the Secretary and Deputy Secretary; leading, planning, and staffing major external stakeholder meetings; and serving as the primary liaison and DOT representative for a wide array of events and meetings with individuals and organizations interested in the work of the Department and the Administration, traveling to destinations nationally and internationally as necessary and appropriate.
- The Office will continue to work closely with the Ports and Supply Chain Envoys and the Freight Office to communicate and engage stakeholders on key Administration initiatives to strengthen the nation's goods movement chain.

- The Office will add additional career positions to build institutional knowledge, ensure efficient work processes and internal infrastructure, and maintain strong relationships with DOT stakeholders — both external entities and across the DOT offices and Operating Administrations.
- The Office will add a full-time position to lead outreach to the philanthropic community to encourage investments that amplify and leverage the impact of DOT grant awards and programs to expand benefits to communities and the American public.

Funding Changes:

The FY 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

In addition, this request includes **\$175 thousand** for contract services to expand its outreach to the philanthropic community with a special focus on improving technical assistance efforts and capacity building to support non-traditional grant applicants and ensure access for disadvantaged communities.

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; and 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: the preparation, review, and presentation of Department budget estimates; being a liaison with the Office of Management and Budget (OMB) and Congressional Appropriations Committees; providing guidance and review of Departmental financial plans, apportionments, reappropriations, and reprogrammings; conducting program and systems evaluation and analysis; developing program evaluation criteria; developing program resource plans; and providing an analysis and review of legislative proposals and one-time reports and studies required by Congress.

The Office provides **Departmental program performance, evaluation, and risk management leadership** for the OAs and the OST. 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) and has the Management's Responsibility for Enterprise Risk Management across DOT.

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 Internal Controls, 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 of 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 provides financial management information system services to DOT and seven other governmental agencies.

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 overseeing and coordinating all the credit reform requirements with OMB. The Assistant Secretary for Budget and Programs and CFO serves as the Vice Chair of the Department's Council on Credit and Finance.

The Office also has the responsibility as the Office of the Secretary Chief Financial Officer (OST-CFO) for the **budget formulation, budget execution, and financial management of 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 OST offices to provide financial reporting oversight, consultation, and authoritative recommendations and opinions on complex OST financial reporting issues and questions, reimbursable agreement monitoring and reconciliation; and oversight of the integrity of all transactions in the accounting system. Along with the OST offices and programs, the OST-CFO provides all the financial management functions for the Volpe National Transportation Systems Center Working Capital Fund. 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 2023 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 consultative body to the DOT OAs. This includes working with the OAs to ensure they can 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 its oversight of the Department's Emergency relief funding (including COVID-19), the Bipartisan Infrastructure Law, and the Inflation Reduction Act, with leading the Department's implementation of Statement of Federal Financial Accounting Standards (SFFAS) 54, *Leases*.
- The Office will release the Department's annual Performance Plan in support of the Department's Strategic Plan and ensure a system of ongoing reporting and tracking of the related performance goals including the Bipartisan Infrastructure Law key results and agency priority goals.
- The Office will release the department's annual Evaluation Plan, reflecting collaboration between the Department's Evaluation Officer, Chief Data Officer, and Statistical Official, and in accordance with the Foundations for Evidence-Based Policymaking Act of 2018. The expanded Evaluation Plan will explore the effectiveness of several programs and activities, including a number funded under the Bipartisan Infrastructure Law. In addition, the department will advance the goals of the DOT Learning Agenda and Capacity Assessment.

Funding Changes:

The FY 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

In addition, the FY 2024 Request includes an increase of **\$485 thousand** and **4 positions**, to continue the build out of the data analytics and financial management teams that will support DOT's performance management and financial oversight efforts, and the OST-CFOs reporting needs. These positions will mature the data visualization strategy across DOT's financial management community and strengthen financial management by ensuring data standardization and quality.

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 repairing, rebuilding, and modernizing its infrastructure, with a particular focus on climate change mitigation, resilience, equity, and safety for all users. As the Department continues with its core safety responsibilities and makes transformative investments that will modernize our infrastructure to deliver cleaner, safer, and more equitable transportation systems, the Office provides the necessary legal support services. The Office also assists in identifying and overcoming statutory and regulatory challenges that frustrate the Department's ability to confront these problems and assists in developing appropriate and effective statutory and regulatory solutions. The Office coordinates DOT's legislative efforts, litigation, and international legal matters. The Office of the General Counsel carries out aviation consumer protection activities and promotes and facilitates collaborative problem solving using alternative dispute resolution (ADR).

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, the Railroad Rehabilitation and Improvement Financing Program, the multibillion dollar Private Activity Bonds Program, and additional programs include: DOT's Nationally Significant Freight and Highway Projects Grants Program (INFRA), Reconnecting Communities, and Rebuilding American Infrastructure with Sustainability and Equity (RAISE).

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 enforcement 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, letters, 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 and regulatory effects 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 security and 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 based on 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 2023 Anticipated Accomplishments:

- The Office will continue to provide legal support for the implementation of the Bipartisan Infrastructure Law (BIL) and the Administration's Executive Orders on a broad range of issues, including building infrastructure and economic relief, diversity and equity, Title VI, environmental justice, and Buy America. The Office will provide legal sufficiency reviews on approximately 100 acquisition-related documents and assist in the review and evaluation of approximately 1,000 financial assistance applications, approximately 50 notices of funding opportunity, and approximately 150 financial assistance agreements. The Office also will review approximately 125 public financial disclosure reports and approximately 200 confidential financial disclosure reports as well as provide an annual ethics training program to approximately 325 reporting individuals and approximately 50 training sessions (new employee ethics orientation and annual training).
- The Office anticipates reviewing 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 anticipates processing approximately 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, including the drafting of briefs and memoranda, the briefing of DOT leadership, and the coordination of discovery, in approximately 100 new and ongoing judicial cases and matters, including rulemakings, in which litigation is anticipated; support the Department's implementation of Executive Orders, including those addressing regulatory, racial equity, and environmental issues; 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 draft proposed legislative text for the reauthorization of federal aviation programs.

- 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, enhancing economic strength and global competitiveness, and promoting equity while ensuring that America's transportation system remains safe, modern, and efficient.
- 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 Secretary's Emergency Response Team to support DOT's responsibilities as Emergency Support Function No. 1 (Transportation) within the National Response Framework.
- 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 100 and 200 items involving carrier economic authority received by DOT and approximately 50 major environmental documents.
- The Office will review aviation consumer complaints; investigate civil rights complaints (disability and other discrimination); and conduct investigations of U.S. and foreign air carriers regarding compliance with consumer protection and civil rights requirements. In addition, the Office will assess existing aviation consumer protection and civil rights regulations to determine whether they should be repealed, replaced, suspended, modified, or enhanced and provide air travelers with useful information on a broad range of issues affecting air travelers. The Office will engage in at least three rulemakings with the goal of reducing inequity, protecting consumers from unfair or deceptive business practices, and increasing competition.
- The Office will provide coaching and mediation of approximately 60 two-party cases and at least two large group interventions and provide conflict management-related training as requested.

Funding Changes:

The FY 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

Office of Aviation Consumer Protection (OACP)

Airline passengers over the last few years have dealt with unprecedented and extensive flight cancellations, delays, hundreds of millions of dollars of unlawfully withheld refunds, and other challenges since the beginning of the pandemic. OACP in calendar year 2020, due to COVID-19, OACP received more than 100,000 complaints, which is the highest number on record and up 568 percent from the approximately 15,000 received in 2019. While travelers and OACP had hoped and expected that the historic surge of complaints from cancellations, disruptions, and poor service would revert to lower historic levels, calendar year 2022, and December 2022 in particular, have made clear that consumer concern regarding poor airline service remains elevated at levels well above pre-pandemic levels.

\$1.96 million is requested to drive down the backlog of complaints, continue to improve business processes and strengthen OACP in responding to complaints. The **\$1.96 million** consists of **\$800 thousand** for **8 positions** and **\$896 thousand** for contract support and licensing needs.

In addition, the FY 2024 Request includes an increase of **\$2.87 million** to modernize the following information technology (IT) systems:

- Aviation Consumer Complaint System (CCA) - To migrate the legacy CCA database to a secure, efficient, and modernized platform. The legacy CCA system requires significant manual effort to process consumer complaints and custom development for any new functions, whereas a modern system based on current database technology would provide tools and capabilities to streamline day-to-day.
- New Environment for Information and Leadership on Rulemaking (NEIL Rule) - DOT typically has approximately 300 rulemakings in its regulatory portfolio at any given time. The ability to initiate, manage, and track the progress of these rulemakings efficiently and accurately is critical to meeting the regulatory priorities of the Administration and providing timely information to Departmental leaders, Congress, the public, interest groups, and others. The Department has relied on the Rulemaking Management System (RMS) as its primary information technology tool. RMS has had minor technical upgrades, but feedback from users across the Department still identified many drawbacks. Rather than piecemeal inadequate changes and continue using an antiquated system, the Department has implemented NEIL Rules. NEIL Rules brings the Department's massive rulemaking portfolio under a modern management tool and will enable the Department to be a better steward of resources by eliminating inefficiencies and empowering the Department's regulatory community to draft high-quality rulemakings that timely address Administration priorities.

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:

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- Providing legal support for billions of dollars of federal financial assistance in transportation infrastructure projects that directly benefit the US. economy.
- Providing legal support for the implementation of the Bipartisan Infrastructure Law and the Administration'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, 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 and intergovernmental 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.

FY 2023 Anticipated Accomplishments:

- The Office ensures that critical congressional, state, and local 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 and state/local officials on USDOT initiatives and fostering and promoting essential relationships between the Secretary and Members of Congress and state/local officials 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 and intergovernmental officials.
- The Office will provide responsive and timely assistance in several key areas, with the Office's core constituencies, which include Members of Congress, 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, including the Federal Aviation Administration's and the Pipeline and Hazardous Material Safety Administration's reauthorizations.
- The Office will also provide timely, and in accordance with statutory timelines, notifications of all grants and funding opportunities to our committees of jurisdiction.

Funding Changes:

The FY 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

\$100 thousand for 1 position is requested to continue to build out a professional government affairs team that will focus on congressional and intergovernmental matters.

\$2.7 million is requested to modernize the Grants Notification System (GNS). This system was developed to streamline the process of making grant announcements. GNS is a web-enabled Intranet application built on twenty-year-old code that permits users to enter, review and approve the release of grant-announcement information. It stores information on a single website designed to easily generate and quickly process grant-record listings online. Once grant information has been loaded into the GNS system by each originating office and is ready for release, GNS allows a user to send out notifications via email to Departmental staff, Congressional committees, and to individual Members of Congress. Email notifications will inform the recipient of actual grant award specifics. GNS also features several account management tools, so that grant making agencies (the originating offices) can administer their own users. DOT manages the GNS as a web-enabled intranet application that permits users to enter, review and approve the release of grant-announcement information. It stores information on a single website designed to easily generate and quickly process grant-record listings online. Once grant information has been loaded into the GNS system by each originating office and is ready for release. The modernization will ensure a migration to a low code solution that will provide evolving reporting and transparency needs. It will also provide data in a modern open format consistent with long-standing Executive Branch policy with the latest cyber security, privacy, records management, and data requirements.

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 an office directed by the Bipartisan Infrastructure Law (BIL) that advises the Secretary and senior leadership in the Department on all tribal matters and serves as the liaison between the Department 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.

The Office of Tribal Government Affairs works with Congress on Departmental priorities and 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 Affairs'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 Office will need to build out the capacity to carry out the responsibilities of the TTSGP regarding the timely review of the financial and programmatic capabilities of Tribes that request entry into the program. 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.

The Office will also build out capacity to carry out the responsibilities of the 477 Program regarding the eligibility of Department and OA programs that can be integrated into a tribe's 477 plan. The 477 Program provides funding for job training, workforce development, and other economic development purposes into a single plan, with a single reporting requirement, administered by the Department of the Interior. Congress enacted this program in 1992 and expanded it to include twelve federal agencies in 2017. Those agencies include the Departments of the Interior,

Transportation, Labor, Education, Health and Human Services, Agriculture, Commerce, Energy, Homeland Security, Housing and Urban Development, Veterans Affairs, and Justice.

FY 2023 Anticipated Accomplishments:

- The first TTSGP compact and funding agreement with a tribe are planned to be executed soon.
- The Office of Tribal Government Affairs is currently reviewing the eligibility of a second tribe that has requested participation in the TTSGP.
- The Office will soon commence action to develop and implement a new consultation policy for Native Hawaiian organizations.
- The Office is currently carrying out the process for the approval and implementation of an update to the Department's tribal consultation policy and plan.
- The Office will also take the lead in conducting multiple consultations and listening sessions with tribes and tribal organizations regarding opportunities under the Bipartisan Infrastructure Law.
- The Office will develop and enact the deliverable projects that positively impact Indian Country for the Department via the White House Council on Native American Affairs (WHCNA).

Funding Changes:

The FY 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

\$100 thousand and 1 position is requested for a Tribal Specialist to buildout the Tribal Government 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, Congress, and other federal agencies to fulfill the Secretary's and Administration's legislative priorities that will strengthen tribal economies, improve infrastructure, advance equity, combat climate change, and protect health and safety in tribal communities. The Office is a cornerstone to ensuring the Department's cohesive approach to a strong government-to-government relationship on behalf of the American public with the 574 sovereign federally recognized tribes and advancing the federal policy of self-determination for Indian tribes. The Office will further promote and support the Department and the OAs in complying with the federal government's treaties, the trust responsibilities, laws specific to Indian tribes, including Native Hawaiian organizations, and applicable interagency agreements.

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; and 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 and workforce 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 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 in coordination with the Department's Deputy Assistant Secretary for Climate Policy, the Department's implementation of Executive Order (EO) 13990, 14008, and 14057. The CSO also leads the Department's energy and resources efficiency initiatives, including the implementation of greenhouse gas, energy, and environmental protection activities.

The Deputy Chief Acquisition Officer, formulates Departmental policy, controls, and standards to implement new and innovative legislation and federal policy, e.g., serves as Senior Accountable Official for the implementation of Category Management and as co-Program Management Improvement Officer responsible for the 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 the 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 (1) ensure compliance with applicable laws, promote standards, and (2) 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 2023 Anticipated Accomplishments:

The Departmental Office of Human Resources will:

- Promote and assist the Operating Administrations in the continued recruitment and hiring of a skilled workforce to meet the BIL goals through the strategic use of hiring flexibilities such as direct hire authority, dual compensation waivers, recruitment incentives, and targeted outreach efforts.
- Expand the hiring of interns and entry-level recruitment, including outreach to colleges and universities with diverse populations, including historically black colleges and universities (HBCUs), Hispanic Serving Institutes (HSIs), and other organizations serving diverse populations.
- Implement the human capital actions outlined in the DOT Diversity, Equity, Inclusion and Accessibility (DEIA) Strategic Plan, including the emphasis of DEIA in supervisory and management training, outreach to underserved communities, and analysis of the diversity of applicant pool with an emphasis on increasing the gender and diversity of those pools.
- Continue to expand on Future of Work arrangements, with an emphasis on evaluating the impact of flexible work arrangements, such as increased remote and telework, and the impact on space and IT solutions.

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

- Leverage acquisition as a catalyst to modernize acquisition and procurement processes, integrate innovative acquisition practices, promote advanced acquisition planning to DOT program offices, 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

as well as supporting inclusion of Americans with disabilities 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 assessing impacts and identifying and implementing adaptation and mitigation initiatives.
- Decrease greenhouse gas emissions and accelerate decarbonization activities while increasing consumption of carbon pollution-free electricity in DOT buildings.
- Use the power of procurement to advance climate-ready supplies and services.

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 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

In addition, the FY 2024 request includes **\$8.6 million** to fund the following:

\$524 thousand and 5 positions will build out and strengthen the Office of Financial Assistance Policy and Oversight. The five requested positions will support the Government Accountability Office's (GAO) longstanding, high priority recommendation on the need for greater documentation and oversight of discretionary grant programs in the Office of the Secretary and across DOT. The Financial Assistance Policy, Oversight, and Reporting functions need to be adequately resourced and properly managed to ensure the ability to carry out duties effectively and efficiently as DOT executes a historical grants portfolio of more than \$110 billion.

Additionally, the Office will fill a current acquisition policy gap by effectively bringing about changes to achieve significant and sustained improvements in organizational performance. In general, this includes examining policy issues and strategic planning with a long-term perspective, determining objectives and setting priorities. Specifically, this includes developing, authoring, and promulgating DOT policy (including Financial Assistance Policy Letters – FAPLs and the Guide to Financial Assistance – GFA) to implement Executive Orders and OMB actions/directions. The Office will serve as a single point of contact to outside agencies for data calls and reporting within the financial assistance policy/oversight/workforce areas; and works with OAs and OST offices to expeditiously complete needed products.

Other significant contributions and activities associated with the Office will include efficient, and customer-focused financial assistance mission support for the Office of the Secretary and Department-wide. The Office will also interpret, communicate, implement, and apply Federal Financial Assistance and DOT strategies, goals, objectives, policies and procedures, and oversight (excluding loans, bonds, insurance, and direct payments). Furthermore, the program will effectively bring about changes to achieve significant and sustained improvements in organizational performance. This includes examining policy issues and strategic planning with a long-term perspective, determining objectives, and setting priorities.

\$1.9 million is requested to modernize the Presidential Review System (PRS). PRS allows the coordination and review of White House Orders within the DOT, the Department of Defense, the Department of Homeland Security, the Department of Justice, the White House, the Office of Management and Budget, the State Department, and the Department of Treasury. Modernization is needed to improve compliance with title 49 U.S. Code § 41307 - Presidential review of actions about foreign air transportation and section 3 of Executive Order 12597- Establishing procedures for facilitating Presidential review of international aviation decisions by the Department of Transportation. Modernization will also improve communications and transparency with external Departments on DOT executive orders.

\$6.2 million supports the need for a Department-wide on-site Workspace Reservation System. This system will support the Department in a more mobile workforce and efficient use of space. It is anticipated that the reservation system will first support the Coleman-Mineta building, with the long-term goal of expanding the system to support the regional and field offices across the U.S. for maximum flexibility. The funding will also support the requirements to digitize all DOT building footprint layouts to reserve specific workstations, offices and conference rooms and allow for reporting on building usage. This funding will also support space changes as needed.

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

The Office of the Assistant Secretary for Administration will provide many benefits to the American public through its many oversight and policy-setting functions.

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. Oversight, such as procurement management reviews (PMRs) and improving federal program management, is 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 for 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 provide information about DOT's workforce and employment opportunities to the public.

As the work environment stabilizes after the end of maximum telework, and employees have adjusted to their new work schedules, a review of remote and hybrid work arrangements will be conducted by location to determine long term space usage and impact. In addition, how to best support remote workers and workers who telework most of the time will be evaluated to ensure that IT equipment is provided equitably and efficiently for Departmental employees, especially for new DOT employees.

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 is performed at least annually. These efforts are integral to maintaining 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 electrification, energy and water efficiency, and vehicle fleet management. The Energy and Resource Efficiency Program will lead engagement with each Operating Administration to (1) advance resiliency and carbon pollution-free electricity consumption while lowering GHG emissions, energy, and water use, and (2) reduce costs through operational efficiencies across the Department's 30 million square feet of building assets. These initiatives are aligned with the goals of EO 14008 and 14057 and will enhance the Department's operational resilience to climate change, increase consumption of carbon pollution-free electricity, reduce GHG emissions, achieve net-zero buildings, 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 to advance the transition to zero emission vehicles. By immediately prioritizing the transition of zero-emission vehicles (ZEVs), along with strategies to optimize fleet composition, and replace larger vehicles with smaller ones, the Department has built the platform to achieve 100 percent light duty vehicle acquisitions by 2027 and 100 percent zero-emission vehicle acquisitions by 2035. Additionally, DOT will continue to use iterative multi-year planning to reflect the latest key information regarding mission requirements, vehicle model availability, and relevant costs. This careful stewardship and evaluation of building energy and vehicle utilization will optimize DOT's ability to focus resources on key climate adaptation activities and critical mission requirements.

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

Section 3 – FY 2024 Budget Requests by Account

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 2023 Enacted	\$171,014	582	537
Adjustments to Base			
Annualization of Prior Pay Raises	\$1,183	0	0
Annualization of Positions Previously Requested	\$4,200	0	23
FY 2024 Pay Raises	\$4,076	0	0
Compensable Day(s) Change	\$417	0	0
GSA Rent	-\$8,423	0	0
Working Capital Fund Changes	\$15,345	0	0
FERS Changes	\$0	0	0
Award Changes	\$0	0	0
Inflation and Other Adjustments to Base	\$1,127	0	0
Subtotal Adjustments to Base	\$17,924	0	23
FY 2024 Baseline Estimate	\$188,938	582	560
Program Changes (+/-):	\$31,468	29	16
FY 2024 Request	\$220,406	611	576

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	5,000	5,000	5,000
TOTAL	5,000	5,000	5,000

<u>STAFFING</u>			
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] 2025.

Program and Performance Statement

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

Detailed Justification for Financial Management Capital

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

The Department of Transportation (DOT) has provided 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 access to financial management data to effectively make operational and strategic decisions – particularly as needs have increased with the passage of the Bipartisan Infrastructure Law (BIL). This funding will support increased reporting and tracking of programs with a focus on strategic goals (e.g., safety, economic strength and global competitiveness, equity, organizational excellence, etc.), ensuring that DOT's financial systems comply with key financial management initiatives. Activities are led by the Assistant Secretary for Budget and Programs and Chief Financial Officer 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 these strategic initiatives.

In addition to funding activities that support compliance 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, policy, procedural improvements, and technology to support risk mitigation; and 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 financial management, including the implementation of BIL.

FY 2023 Anticipated Accomplishments:

- DOT will complete the second phase of the G-Invoicing mandate, which includes the migration of existing intergovernmental transactions to the G-Invoicing solution. This phase will include significant coordination and reconciliation of transactions between

trading partners to ensure the accuracy and completeness of the data prior to migration.

- DOT will continue to assess data quality across financial, procurement, and financial assistance reporting to identify opportunities for improvements. In addition, DOT will continue to address the quality of financial assistance award descriptions and will implement procedures to measure the quality of sub-award reporting.
- DOT will continue to implement a modern financial data analytic architecture to continuously monitor the full lifecycle of funds distribution and provide additional financial assurances to support BIL oversight and national crises. This analytical tool enhances the monitoring and accuracy of reporting on risks, funds status, and flow of funds to BIL program recipients, which aids in risk-based decision making.

Funding Changes:

There are no funding changes proposed in the FY 2024 Budget Request.

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

This 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 the overall management of intergovernmental agreements. This standardization of processes across the entire federal government will improve efficiency within DOT, which will in turn reduce costs. It will also improve transparency to the American taxpayer (via www.usaspending.gov) as the public will be able to better track funds when they are used for multi-agency programs and shared services via these intragovernmental 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.

With the implementation of BIL, the Department continues to invest in and implement information technology improvements to deliver an enterprise-wide reporting capability that will facilitate DOT oversight and fiduciary monitoring of the resources provided in this legislation. This capability will continue to be refined to assist the Department in delivering consistent financial reporting and analysis across the funding lifecycle thereby reducing reliance on manual processes and ad hoc data requests through the standardization of data across DOT systems and continuous improvements to data quality. This capability will also support DOT's internal controls and continue the 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 2023 Enacted	\$5,000	0	0
Adjustments to Base			
Annualization of Prior Pay Raises	\$0	0	0
Annualization of Positions Previously Requested	\$0	0	0
FY 2024 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 2024 Baseline Estimate	\$5,000	0	0
Program Changes (+/-):	\$0	0	0
FY 2024 Request	\$5,000	0	0

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	9,073	11,490	13,176
Travel	50	50	50
Other Costs	2,441	3,260	15,369
Programs	-	-	-
TOTAL	11,564	14,800	28,595

STAFFING

Direct FTPs	58	70	70
Direct FTEs	32	61	67

Appropriations Language**OFFICE OF CIVIL RIGHTS**

For necessary expenses of the Office of Civil Rights, [\$14,800,000] \$28,595,000, to remain available until September 30, 2025.

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 and the Operating Administrations. DOCR is responsible for advising 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 that the Department of Transportation (DOT) fulfills its goals of advancing equity and opportunity for all individuals and communities throughout its internal and external programs. DOCR 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 its workforce. Statutes that DOCR enforces include Titles VI and VII of the Civil Rights Act of 1964, as amended; Sections 501 and 504 of the Rehabilitation Act of 1973, as amended; Title II of the Americans with Disabilities Act (ADA) of 1990; the Equal Pay Act of 1963; the Age Discrimination in Employment Act of 1967; and the Genetic Information Nondiscrimination Act of 2008.

DOCR establishes agency-wide priorities to focus OA efforts and resources at the national level to achieve proactive compliance with laws and regulations prohibiting discrimination in federally operated and assisted transportation programs. DOCR provides transportation equity and access oversight on investigations and compliance reviews and offers 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 fairly and equitably.

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 processes all formal complaints of discrimination filed DOT-wide by federal employees, former employees, and applicants. DOCR issues letters of acceptance and dismissal, conducts Equal Employment Opportunity (EEO) investigations, issues final agency decisions on EEO complaints, manages the agency-wide EEO complaints filing system (iComplaints), and prepares the annual EEOC Form 462 report on behalf of DOT. In addition,

DOCR oversees the OAs' EEO counseling and alternative dispute resolution programs; ensures compliance with all Equal Employment Opportunity Commission regulations, orders, and settlement agreements; and leads the Department 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 (6) work to minimize misunderstandings and/or misinterpretations of highly complex and sensitive issues.

FY 2023 Anticipated Accomplishments:

- Improve training and technical assistance available for DOT civil rights program staff.
- Strengthen civil rights compliance, technical assistance, and enforcement of funding recipients through the implementation of the Bipartisan Infrastructure Law (BIL).
- Complete a final rule based on an FY 2022 notice of proposed rulemaking for the DBE and ACDBE program (RIN 2105-AE98) in collaboration with OA and DOT partners.
- Strengthen strategic partnerships with DOT Office of Small and Disadvantage Business Utilization (OSDBU) and other federal partners.
- Improve data-driven DBE program evaluation by publishing a final rule that would (1) revise the Uniform Report to include additional data fields; (2) direct recipients to obtain a standardized set of bidders list data and enter it into a centralized database specified by DOT, and (3) expand data collection requirements for Moving Ahead for Progress in the 21st Century (MAP-21) data reports.
- Perform trend analyses using the information submitted by the OAs and recipients to tabulate DBE participation rates; assess whether recipients reach their DBE participation goals, and gauge the number of DBE certifications across the country.
- Continue providing oversight and technical assistance for the Departmental Orders on Title VI and Environmental Justice.
- Continue modernizing a Department-wide process for monitoring DOT funding recipient compliance and DOT investigative practices.
- Update and oversee the implementation of the DOT Language Access Plan.

- Enhance and increase performance capabilities to effectively process EEO complaints and issue final agency decisions under regulatory timeframes.
- Execute, monitor, mitigate, and communicate DOT Diversity, Equity, Inclusion, and Accessibility (DEIA) Strategic Plan.
- Lead and direct implementation of proactive EEO/DEIA activities to develop DOT as an “employer of choice” for diverse populations. This includes (1) performing trend analyses to identify and eliminate barriers to fair employment; (2) developing and distributing guidance on the inclusion of equity principles and goals in senior leadership performance standards; and (3) establishing and deploying civil rights and equity training strategy.
- Maintain partnerships throughout DOT and the OAs that foster a work environment free of harassing conduct.
- Implement reasonable accommodation procedures for the Office of the Secretary. Oversee the Departmental Reasonable Accommodation Orders and provide technical assistance to OAs.
- Upgrade DOCR’s electronic EEO tracking system, which supports DOT’s model EEO program efforts and supports the production of the Annual Federal Equal Employment Opportunity Statistical Report (Form 462).
- Lead and direct the implementation of Department-wide policy, program initiatives, and action plans undertaken as part of the DOT Equity Task Force established according 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).
- Lead DOT coordination and implementation of HBCU PARTNERS Act requirements, including DOT HBCU Action Plan.

Funding Changes:

The FY 2024 budget request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

In addition, the FY 2024 request includes an increase of **\$10.4 million** to modernize the Departmental Office of Civil Rights (DOCR) General Support System (GSS) and fund additional contract resources to meet civil rights mission deliverables required by the federal government.

\$6.2 million for the DOCR's GSS to aid civil rights practitioners with (1) processing employment discrimination complaints filed against DOT, (2) addressing DOT employee and contractor requests for reasonable accommodations, and (3) adjudicating appeals filed by denied or decertified DBEs. It also (1) generates data for analyses included in annual civil rights reports requested by Congress and/or required by statute or regulation, (2) tracks investigations and complaint resolution activities involving allegations of discrimination occurring within DOT, and (3) provides analytical data to DOT leadership and civil rights practitioners used for program planning, technical assistance, program evaluation, and process improvement. All applications comprised in this system are web-based, residing on a FedRamp certified cloud environment in a contractor-owned/managed data center in Ashburn, VA.

- **iComplaints:** This web-based application tracks informal and formal employment discrimination complaints filed by DOT's current employees, former employees, and applicants for DOT employment.
- It is accessible over a secure socket layer connection using security credentials maintained by the system. The application utilizes the Java 2 Enterprise Edition (J2EE) technology, in conjunction with SQL Server 2012, to process transactions from the Internet. The application uses Apache Web Server. It resides on a server farm managed by MicroPact Engineering located in Ashburn, VA.
- **EntelliTrak:** This application houses DOCR's DBE appeals tracker and the Department's external Title VI and Americans with Disabilities complaints alleging discrimination in connection with planning and/or implementation of transportation projects using federal funding. The web-based application is accessible over a secure socket layer connection using security credentials maintained by the system. The application utilizes the Java 2 Enterprise Edition (J2EE) technology, in conjunction with SQL Server 2012, to process transactions from the Internet. The application uses Apache Web Server. It resides on a server farm managed by MicroPact Engineering located in Ashburn, VA.

\$4.2 million for DOCR's contractual services to provide additional support needed for DOT civil rights mission deliverables granting opportunities required by the federal government to its employees, external partners, and stakeholders, ensuring equal opportunity and fairness for the traveling public.

- **Maintain Mission Critical Services:** The Department has several civil rights responsibilities and initiatives that will require additional contract resources and expertise to augment its current workforce capacity. In particular, need are the organization's increasing and time sensitive federally mandated internal EEO, disability, and anti-harassment programs, which have regulatory deadlines that – if not met – can result in liability for the Department. The Department also requires contractor expertise and augmentation to continue supporting the progress it is making to improve the DBE/ACDBE program as it reviews and adjudicates comments generated as a result of a

FY 2022 NPRM designed to modernize and reduce burdens for small disadvantaged businesses.

- **Training and Awareness:** The Department has a responsibility to proactively prevent discrimination by training its employees on their workplace rights, creating a harassment free workplace, and ensuring its recipients do not use federal funding to discriminate in the planning and implementation of transportation projects. These proactive efforts in the form of training, community engagement, and technical assistance are designed to educate employees, recipients, affected communities and other stakeholders to know their rights and opportunities. DOT has started - and must continue - its affirmative civil rights training and awareness campaign, which requires contractual funding to do so.
- **Data Analysis:** In addition to the data analysis described above for required analysis and reporting, the Department continues supporting various contract-driven analytical efforts that require funding to identify and resolve disparities in the DOT federal workforce and its transportation programs.
- **Cultivate Partnerships:** Contractual services are also required to facilitate a Federal Advisory Committee designated to provide advice and recommendations to the Secretary of Transportation on comprehensive, interdisciplinary issues impacting the future of the nation's transportation infrastructure. Support is also required to improve ongoing partnerships aimed at expanding the participation of HBCUs in federal agency activities and tracking their progress toward engagement-related goals.

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 rely on DOCR to provide guidance, toolkits, and training to assist its program managers in 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 2023 Enacted	\$14,800	70	61
Adjustments to Base			
Annualization of Prior Pay Raises	\$133	0	0
Annualization of Positions Previously Requested	\$1,050	0	6
FY 2024 Pay Raises	\$458	0	0
Compensable Day(s) Change	\$49	0	0
GSA Rent	\$0	0	0
Working Capital Fund Changes	\$1,701	0	0
FERS Changes	\$0	0	0
Award Changes	\$0	0	0
Inflation and Other Adjustments to Base	\$38	0	0
Subtotal Adjustments to Base	\$3,428	0	6
FY 2024 Baseline Estimate	\$18,228	70	67
Program Changes (+/-):	\$10,367	0	0
FY 2024 Request	\$28,595	70	67

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	1,755	1,981	2,487
Travel	20	20	20
Other Costs	940	857	2,194
Programs	2,262	2,274	2,613
TOTAL	4,977	5,132	7,314

STAFFING

Direct FTPs	13	14	14
Direct FTEs	9	14	14

Appropriations Language**SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH**

For necessary expenses for small and disadvantaged business utilization and outreach activities, [\$5,132,000] \$7,314,000, to remain available until September 30, [2024] 2025: 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".

Program and Performance Statement

The Office of Small and Disadvantaged Business Utilization ensures that: 1) the small and disadvantaged business policies and programs of the Secretary of Transportation are developed and implemented throughout DOT 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 DOT 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 the 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, requiring every federal agency to have an OSDBU and to implement legal requirements on behalf of small businesses.

OSDBU ensures that small businesses are provided maximum practicable opportunities to participate in the Agency's contracting process. OSDBU is responsible for ensuring that small businesses have an opportunity to fairly compete and perform in the agency's contracting and subcontracting opportunities. Additionally, 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, provide 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 to help them qualify to participate on transportation projects. The FY 2024 Budget Request fully funds the existing 11 SBTRC Programs at the FY 2023 enacted level of support provided to small business stakeholders.

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

FY 2023 Anticipated Accomplishments:

In FY 2023, 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: *Advancing Racial Equity and Support for Underserved Communities* through the federal government; including, but not limited to:
 1. Increase small and disadvantaged business (SDB) utilization to 20.5% by September 30, 2023.
 2. Implementation of a Business-to-Business forum providing direct access for small and disadvantaged businesses to USDOT direct and indirect procurement opportunities. The forum will provide a kick-off platform for the facilitation of Teaming Agreements as described in the EJW Strategies to Increase Small Business Utilization within DOT direct procurement.
 3. Establish a Memorandum of Understanding with federal partners such as/including the Small Business Administration (SBA), and the Minority Business Development Agency, and the U.S. Economic Development Agency to enhance technical assistance and capacity building activities. Collaborations include the facilitation and implementation of the Bond Surety Program, SSBIC resources, and technical trainings to enhance small business competitiveness in DOT contract opportunities.
- Sponsor DOT events to ensure that small and minority-owned businesses are prepared to compete and perform for DOT contracts and subcontracts.
- Host a series of Regional Small Business Contracting Symposiums in collaboration with the SBTRC network. These sessions will provide technical assistance and capacity building activities to assist small businesses in competing in direct and DOT funded projects, a Bipartisan Infrastructure Law crosswalk, and an opportunity for small businesses to connect with potential federal and state buyers through our Connections Marketplace platform.
- 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 in increasing small business awareness and participation in the program.
- Promote and develop small business subcontractors by providing developmental assistance designed to help these businesses succeed in bidding for infrastructure projects.

Section 3 – FY 2024 Budget Request by Account

- Expand marketing opportunities to small and disadvantaged businesses nationwide by implementing online National Vendor directory for Disadvantaged Business Enterprises (DBE) and Airport Concession Disadvantaged Business Enterprises (ACDBE).
- Enhance DOT Procurement Opportunity Forecast to assist small businesses with marketing their products and services to the Department, including FAA forecasted opportunities and Bipartisan Infrastructure Law direct contract opportunities.
- Provide technical assistance and training focusing on scopes of work that currently lack significant DBE utilization.
- Sponsor Surety Bonding webinars in collaboration with SBA's Bond Guarantee program office that will provide small businesses information on the importance of securing bonding, DOT's Bonding Education Program, and how entrepreneurs can access DOT and SBA resources.
- Host Capital Access webinars in collaboration with SBA investment and equity division that will provide small businesses information on accessing the capital needed to participate in DOT projects and grow their business.
- Promote the inclusion of women in transportation careers and entrepreneurship opportunities through the WITI and the Pathways to Entrepreneurship Program.

Funding Changes:

The FY 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

In addition, the FY 2024 Request includes an increase of **\$1.984 million** for:

- **\$1.026 million** to support OSDBU's contracting efforts to further develop a National Vendor Database and create a OSDBU Strategic Plan.
- **\$399 thousand** to hire **2 positions**, Subcontracting and DBE Program Analysts to assist with OSDBU oversight and compliance with federal acquisition regulations and DBE program requirements.
- **\$339 thousand** for the **11 SBTRC** programs to assist with covering salary and inflationary travel costs.
- **\$200 thousand** to acquire an enhanced Customer Relationship Management (CRM) system to better track SBTRC performance as part of our grants management oversight.
- **\$20 thousand** to increase the level of paid internships to increase the participation of

women in transportation industry careers.

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 2023 Enacted	\$5,132	14	14
Adjustments to Base			
Annualization of Prior Pay Raises	\$23	0	0
Annualization of Positions Previously Requested	\$0	0	0
FY 2024 Pay Raises	\$78	0	0
Compensable Day(s) Change	\$8	0	0
GSA Rent	\$0	0	0
Working Capital Fund Changes	\$80	0	0
FERS Changes	\$0	0	0
Award Changes	\$0	0	0
Inflation and Other Adjustments to Base	\$9	0	0
Subtotal Adjustments to Base	\$198	0	0
FY 2024 Baseline Estimate	\$5,330	14	14
Program Changes (+/-):	\$1,984	0	0
FY 2024 Request	\$7,314	14	14

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>TPR&D FUNDING LEVELS</u>			
Personnel Compensation and Benefits	8,150	8,728	9,686
Travel	150	150	150
Other Costs	2,497	4,315	6,628
Programs	17,066	17,914	-
Subtotal, TPR&D	27,863	31,107	16,464
<u>IIPIC FUNDING LEVELS</u>			
Personnel Compensation and Benefits	675	1,694	2,791
Travel	25	25	25
Other Costs	1,300	3,717	5,737
Programs	-	-	-
Subtotal, IIPIC	2,000	5,436	8,553
GRAND TOTAL	29,863	36,543	25,017

TPR&D STAFFING

Direct FTPs	37	37	41
Direct FTEs	28	37	39

IIPIC STAFFING

Direct FTPs	7	19	19
Direct FTEs	7	13	19

TOTAL STAFFING

Direct FTPs	44	56	60
Direct FTEs	35	50	58

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, [\$36,543,000] \$25,017,000, to remain available until expended: Provided, That of such amount, [\$5,436,000] not less than \$8,553,000 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[: Provided further, That of the amounts made available under this heading, \$12,914,000 shall be made available for the purposes, and in amounts, specified for Community Project Funding/Congressionally Directed Spending in the table entitled "Community Project Funding/Congressionally Directed Spending" included in the explanatory statement described in section 4 (in the matter preceding division A of this consolidated Act)].

Program and Performance Statement

This Program is tasked with 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. The Program 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 Program also oversees 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 the 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 in project delivery. The funding also supports activities to implement reforms to improve interagency coordination and track priority projects. This is done by developing tools and best practices to ensure that the burdens or negative impacts of transportation infrastructure are not disproportionately borne 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 to achieve more efficient and effective project delivery and advance Administration priorities including those associated with climate and equity.

Climate Change Center

In direct support of the research, data and analysis, and evidence-building efforts required to (a) inform decisions to meet DOT goals in response to the Climate Crisis, and (b) 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 and to effectively assess and address climate implications in project delivery. The Center:

- Develops department-wide policies and strategies to assess and reduce greenhouse gas emissions and make our transportation systems more resilient;
- takes action to measure and reduce transportation-related greenhouse gas emissions and mitigate the effects of climate change from transportation, including in Department transportation infrastructure project delivery, especially for the most vulnerable and historically disadvantaged populations;
- established cross-modal information infrastructure for climate and equity information, climate research literature, data, and analytical /project delivery tools; and
- creates a clearinghouse of solutions to reduce transportation-related greenhouse gas emissions and mitigate the effects of climate change in all programs and in project delivery.

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 will support safety policy implementation and coordination of the specific Departmental actions identified in the NRSS that cross Operating Administration program areas, allow for 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 enhance OST's ability perform safety analyses that further policy development in cross-cutting roadway safety issues of interest to the Administration and

Congress.¹ The TPR&D funds focused on safety activities will primarily be used to fund NRSS activities, including staff support for the implementation of the Call to Action and associated stakeholder engagement activities, further data visualization storytelling connected to roadway safety, as well as overall Departmental progress reporting. The outcome will be a strengthened safety posture 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 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 funding will provide resources to advance pedestrian, bicyclist, micromobility policy and program activities and applied research that cut across the Department. 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. Innovative technologies have the potential to provide safe, equitable and climate-friendly solutions 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. When researching new and innovative technologies to determine national policy direction, DOT will combine multiple modes of transportation and industry participants 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. DOT will also need to assess what, if any, national transportation policies need to be formulated to strengthen transportation system resilience to protect it from disruption from cyber and other attacks.

Equity

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. The 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

¹ See <https://www.transportation.gov/nrss/allies-in-action> and <https://www.transportation.gov/NRSS/SafetyProblem>.

the Justice40 initiative (i.e., climate justice and economic justice) to deliver meaningful and measurable benefits to disadvantaged and underserved communities.

Aviation and International Transportation Policies

The U.S. Department of Transportation is integral in advancing domestic and international climate ambition in accordance with: America's U.S. renewed engagement in the United Nations Framework Convention for Climate Change and the Paris Agreement; the Administration's international climate agenda set forth at the April 2021 Leaders' Summit on Climate; (C) EO 14008: *Tackling the Climate Crisis at Home and Abroad*; EO 14027: *Establishment of the Climate Change Support Office*; and the U.S. Aviation Climate Action Plan released at the 26th Conference of the Parties to the UN Framework Convention in Glasgow in 2021. DOT is mandated to incorporate climate into our international strategy. The Office of International Transportation and Trade develops 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 plays a leadership role in bilateral and multilateral fora, including the International Civil Aviation Organization (ICAO), the International Maritime Organization (IMO), the Organization for Economic Cooperation and Development (OECD)/International Transportation Forum (ITF), the G7, the 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); (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 U.S. Government (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 Administration 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 USG 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, National Security Council, Office of Management and Budget, 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, and state of the airline industry updates for senior officials. The focus of the Office's efforts will be in three areas: (1) ongoing Mitre contract work for econometrics; (2) SABRE aviation data tools, and (3) aviation data modernization technical implementation funding, working with the Office of the Secretary's Research Directorate 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 2023 Anticipated Accomplishments:

In FY 2023, DOT continues to collaborate with state and local entities – with a particular focus on underserved communities – to enhance safety analysis through the development of tools that identify, quantify, and/or further explain safety risks. 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 National Roadway Strategy (NRSS) provides specific actions the Department will carry out on 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 pedestrian and bicyclist safety, intersections, and precursors to 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 activities, the Department will continue actions to further enable the safe testing and integration of automated vehicles and drones into our Nation's transportation systems aligned with congressional mandates and the Administration's innovation agenda. In FY 2023, The Department expects to begin implementing recommendations from the new discretionary Transforming Transportation Advisory Committee set up to complement efforts of the NETT Council.

In FY 2023, the Department will implement NETT Council-sponsored activities that take a holistic approach on multi modal-innovation, including non-traditional and emerging transportation technologies and projects. The NETT Council will ensure the Department's innovation initiatives considers key factors, such as interoperability, cyber security, and privacy to address policy, security, and economic concerns shared by the Department, organized labor, and industry. The Department considered public comments and incorporated

congressional mandates to inform the future work and direction of the NETT Council to support the Administration's priorities.

The Department will complete implementation activities in support of the President's Executive Orders on equity, climate change (that includes the Justice40 initiative), and Made in America, among many others. 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 DOT Equity Action Plan (i.e., DOT Order on Equity), as well as establishing baseline metrics for Justice40 covered programs.

The Department will also conduct its 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.

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. In the aviation mode, the Department will fund a demonstration of a sustainable aviation fuel (SAF) prioritization tool using novel methods with potentially valuable uses for private industry and local communities.

The Department will also continue its economic research and quantitative analysis of airline industry trends, addressing competition, equity, and sustainability issues through cooperative extensions with MITRE and a global passenger demand tool offered by SABRE. These activities are necessary to support ongoing policies and decisions, and to support administration priorities.

Funding Changes:

The FY 2024 Budget Request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

In addition, the FY 2024 Budget Request includes an increase of **\$4.4 million** and **4 positions** for the following:

\$427 thousand for Research on the Fiscal Impacts of Transportation Investment.

Transportation investment plays a significant role in shaping the urban environment. By providing for the safe movement of people and goods across space, transportation systems have enabled the creation of the modern city, allowing commercial, residential, and industrial development to be tied together as a seamless whole. The location of key transportation facilities can significantly affect the relative accessibility of different land parcels across the region, while

also influencing their visual and environmental character. The proposed additional funding for Transportation Policy Research and Development would support this research, including both a survey of what is known and new research studies in this area. Ultimately, this research is aimed at helping state and local governments to have a richer understanding of how their transportation investment choices affect the public and thus lead to better, more-informed decision making.

Aviation and International Affairs

The **4 positions (\$500 thousand)** include two data scientists to focus on quantitative data analysis and research in the aviation industry and two economists. They would specialize in sustainability, addressing issues such as reporting by air carriers, unfair and deceptive practices in sustainability marketing, analysis of carbon footprints, SAF development and infrastructure, and emerging technologies such as hydrogen propulsion. Workforce development would be an additional focus.

Data Modernization Rulemaking. \$427 thousand for requirements and coding implementation required for the aviation data modernization (O&D) rulemaking implementation. Early in FY 2023, the Department will finalize an aviation data modernization rule that will require funding to implement IT upgrades and changes. The Department will need to develop procedures and programming to manage the transition between the old collection and the new collection and ensure that this process is made available to internal and external users of the data.

MITRE Econometric Studies. This request includes **\$627 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. Initial evidence from the MITRE work to date had shown a need for international alliance policy reevaluation. In addition, The MITRE work to date has been built to evaluate such international activity. Industry consolidation combined with the global pandemic has increased uncertainty for airline management and labor. Circumstances in today's market environment have produced a need to apply similar tools that have been built for the international market to the domestic market. This need must be met with enhancements to the model built to date. These enhancements will result in greater robustness and rigor in the study results which are needed to allow DOT the ability to evaluate consumer welfare impacts at a greater level of detail. The model will be enhanced to combine fare and non-fare effects and be built to enable application to the domestic market. The goal is to have tools in place to both simulate potential future domestic mergers effects and more importantly retrospectively evaluate current proposed mergers such as JetBlue and Spirit that is currently before the Department in addition to the ongoing international market work.

Sabre Analytical Tools and Data. \$277 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.

The following requests advance aviation and international transportation policies and strategic priorities.

Sustainable Aviation Fuel (SAF) Grand Challenge Implementation and Climate Data Analysis. \$677 thousand is in support of work under EO 14008, *Tackling the Climate Crisis at Home and Abroad*. The Office of the Assistant Secretary for Aviation and International affairs requests additional FY 2024 funding to perform a requirements analysis to collect climate data to further three related objectives: implementation of the SAF Grand Challenge (tracking emissions reductions rates and feedstock availability), transparency and fair dealing initiatives (SEC disclosures by airlines and advertising guidelines issued by DOT), and the Administration’s broader *Aviation Climate Action Plan* (tracking progress by carriers towards vision zero in 2050).

Momentum – Multimodal/Multi-Regional Technical Assistance. \$627 thousand is requested for Momentum, the Department’s global engagement program launched by the Secretary of Transportation in 2022. The program requires financial support to provide sustained international engagement in support of the Secretary’s launch. Momentum harnesses the Department’s broad array of technical assistance and transportation expertise and shares it with global audiences in support of U.S. policy objectives on safety, climate, connectivity, and countering maligned influences internationally. Funding would support three essential Momentum goals:

- **\$150 thousand** to support and develop a series of sectoral-focused toolkits and capacity building/training resources to promote U.S./DOT best practices. These toolkits and corresponding resources address seven key areas: infrastructure (project planning, financing best practices); climate (Green Shipping Corridors, embodied carbon, Arctic); safety (road, rail, aviation); border and trade facilitation (border planning); freight/ supply chain (green freight, cold chain); innovations (Smart Cities, ZEV, integrated mobility), and Standards and Good Regulatory Practices (international standards, UAS, ITS).
- **\$250 thousand** for five (5) in-person technical assistance visits to key partners in regional economic communities to deliver capacity building/training using the toolkits and resources. These visits also allow the Department to promote DOT Strategic goals and underscore Administration’s commitment to international engagement on – safety, global competitiveness, equity, climate and sustainability, and emerging technologies.
- **\$227 thousand** for technical assistance for developing countries to help them identify feedstocks and overcome barriers to investment in, and production of, SAF so wherever

U.S. airlines fly in the developing world they have the ability to refuel using SAF.

Global Climate Transport Compendium/Dashboard. \$202 thousand is requested to support the on-going collection/maintenance of information and data analysis of the Global Climate Transport Compendium and Dashboard. The dashboard is a repository of multimodal climate data to inform COP and other key climate strategies. The Dashboard includes: (1) country-level transportation emission data and strategies; (2) country-level, modally disaggregated transportation Nationally Determined Contributions (NDCs); (3) multilateral, regional and national policies, regulations, standards that promote ambition and integrity in mitigating transportation sector emissions; and (4) DOT and USG mitigation policies, capabilities and expertise in the transportation sector.

Annual Human Trafficking Impact Award. \$177 thousand is requested for the annual Combating Human Trafficking in Transportation Impact Award. This award raises awareness among transportation stakeholders about human trafficking and increases training and prevention to combat it. The award was a key recommendation by the Advisory Committee on Human Trafficking, which is responsible for a triannual report to Congress. Previously this award was funded within base resources resulting in the reduction of resources available for other priorities.

Safe Skies for Africa Program (SSFA). \$227 thousand increase is requested to allow for the provision of additional technical assistance and the development and implementation of new workshops, including those with a climate, or “clean skies,” focus. This supports the Biden-Harris Prosper Africa Build Together Campaign by showcasing American leadership in aviation management and technologies. SSFA 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 be used to conduct safety workshops and convene Ministerial level engagements, to 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).

U.S.-India Aviation Relationship. \$227 thousand is requested to 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 the 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 an annual high-level meeting 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.

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

This request provides enhanced analysis of the benefits and costs of proposed infrastructure investments to improve the allocation of scarce funding resources to their most valuable uses. It also ensures the efficient operation of the Nation's transportation and logistics system to support the movement of workers and goods and ensure the resiliency of the industrial supply chains. It improves the surface transportation community's ability to save lives by converting information into useful tools through data integration, and the use of advanced analytics. The request implements strategies, based on data, to work with transportation stakeholders to further understand investment benefits that can be targeted for disadvantaged and underserved communities. Ensures fair and efficient air service to the American public by providing oversight over proposed airline partnerships, airline mergers and acquisitions. It maintains dialogue with foreign countries regarding aviation competition matters and assuring the fairness of competition between domestic and international air carriers. It identifies international best practices that will increase efficiency or reduce costs to improve safety, build infrastructure, identify new technology or reduce regulatory burden. Ensures 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.

The request also identifies aspects of the U.S. transportation system that might be enhanced to increase international exports and provide economic benefits. It expands 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.

It develops 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); (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.

It also develops and implements 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.

It prioritizes 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. Ensures transparency and equity in environmental reviews and decision making for transportation projects funded or approved by the Department of Transportation. It identifies 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 President’s goals. TPRD is an especially useful account to address difficult-to-decarbonize transportation sectors such as aviation and maritime.

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 2023 Enacted	\$36,543	56	50
Adjustments to Base			
Annualization of Prior Pay Raises	\$116	0	0
Annualization of Positions Previously Requested	\$1,000	0	6
FY 2024 Pay Raises	\$398	0	0
Compensable Day(s) Change	\$44	0	0
GSA Rent	\$0	0	0
Working Capital Fund Changes	\$302	0	0
FERS Changes	\$0	0	0
Award Changes	\$0	0	0
Inflation and Other Adjustments to Base	\$137	0	0
Subtotal Adjustments to Base	\$1,998	0	6
FY 2024 Baseline Estimate	\$38,541	56	56
Program Changes (+/-):	-\$13,524	4	2
FY 2024 Request	\$25,017	60	58

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	6,189	6,423	6,781
Travel	808	808	808
Other Costs	8,503	8,769	16,811
Programs	759,500	784,000	1,195,600
TOTAL	775,000	800,000	1,220,000

STAFFING

Direct FTPs	7	7	7
Direct FTEs	5	7	7

Appropriations Language**NATIONAL INFRASTRUCTURE INVESTMENTS**

For necessary expenses to carry out a [local and regional] national infrastructure project assistance grant program under section [6702] 6701 of title 49, United States Code, [\$800,000,000] \$1,220,000,000, to remain available until expended: Provided, That section [6702(f)(2)] 6701(m)(2) of title 49, United States Code, shall not apply to amounts made available under this heading in this Act: [Provided further, That of amounts made available under this heading in this Act, not less than \$20,000,000 shall be awarded to projects in historically disadvantaged communities or areas of persistent poverty as defined under section 6702(a)(1) of title 49, United States Code: Provided further, That section 6702(g) of title 49, United States Code, shall not apply to amounts made available under this heading in this Act: Provided further, That of the amounts made available under this heading in this Act not less than 5 percent shall be made available for the planning, preparation, or design of eligible projects: Provided further, That grants awarded under this heading in this Act for eligible projects for planning, preparation, or design shall not be subject to a minimum grant size: Provided further, That in distributing amounts made available under this heading in this Act, the Secretary shall take such measures so as to ensure an equitable geographic distribution of funds, an appropriate balance in addressing the needs of urban and rural areas, including Tribal areas, and the investment in a variety of transportation modes: Provided further, That section 6702(c)(2)(C) of title 49, United States Code, shall not apply to amounts made available under this heading in this Act: Provided further, That a grant award under this heading in this Act shall be not greater than \$45,000,000: Provided further, That section 6702(c)(3) of title 49, United States Code, shall not apply to amounts made available under this heading in this Act: Provided further, That not more than 15 percent of the amounts made available under this heading in this Act may be awarded to projects in a single State: Provided further, That for amounts made available under this heading in this Act, the Secretary shall give priority to projects that require a contribution of Federal funds in order to complete an overall financing package: Provided further, That section 6702(f)(1) of title 49, United States Code, shall not apply to amounts made available under this heading in this Act: Provided further, That of the amounts awarded under this heading in this Act, not more than 50 percent shall be allocated for eligible projects located in rural areas and not more than 50 percent shall be allocated for eligible projects located in

Provided further, That for the purpose of determining if an award for planning, preparation, or design under this heading in this Act is an urban award, the project location is the location of the project being planned, prepared, or designed:]Provided further, That the Secretary may retain up to 2 percent of the amounts made available under this heading[in this Act], 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, and the Operational Support account to fund the award and oversight of grants and credit assistance made under the program authorized under section [6702] 6701 of title 49, United States Code[: Provided further, That for amounts made available under this heading in this Act, the Secretary shall consider and award projects based solely on the selection criteria as identified under section 6702(d)(3) and (d)(4) of title 49, United States Code]. (Department of Transportation Appropriations Act, 2023.)

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 National Infrastructure Project Assistance Program, authorized under 49 U.S.C. 6701, provides competitive grants for large-scale highway, transit, intercity passenger rail, freight, and other projects likely to generate national or regional benefits. Also 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.

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 the new National Infrastructure Project Assistance (Sec 6701) discretionary grant program known as the Mega grants program that funds large-scale projects. The Mega grant program presents a unique opportunity for DOT to invest in the Nation's surface transportation infrastructure, including roads and highways, freight and intercity passenger rail, port infrastructure, and related public transportation facilities. This national and regional infrastructure grant program aligns with the Department's strategic goals of improving safety, applying transformative technology, combating climate change and increasing sustainability, advancing equity, and enhancing our economic strength and global competitiveness.

Mega grants fund large projects, including multimodal investments that are often difficult to fund in other mode-specific transportation grant programs. It encourages innovation, cross-jurisdictional partnership, 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.

Demand for the first round of the Mega Grants competition was exceptional. The Department received 138 applications requesting more than \$30 billion in funding, far exceeding the \$1 billion appropriated for FY 2022. These applications included all eligible project types for the Mega program (highway, rail, ports, transit, etc.), and came from communities across the country. With an average award request of approximately \$220 million and average project size of \$650 million, there is a large unmet need for substantial federal discretionary grant investment in Mega projects. The need is particularly acute for the largest projects: projects with costs greater than \$500 million accounted for more than 60% of the funding requested.

The additional \$1.22 billion requested will help expand the size and number of awards to some of the most impactful projects in the country. The first round of Mega awards included nine projects of national and regional significance, including the replacement of the I-71/I-73 Brent Spence Bridge between Kentucky and Ohio, the rehabilitation of the Calcasieu River Bridge carrying I-10 in Louisiana, and the construction of Hudson Yard Concrete Casing in New York, an important first phase of the Hudson Tunnel Replacement project. Additional funding will allow the Department to advance similar projects across the country.

This request includes that 6701(m)(2) of title 49, United States Code not apply to the appropriated amounts. That provision requires the Department to reserve 50 percent of funding for projects with total project costs less than \$500,000,000. Not applying the provision gives the Department needed flexibility to allocate the appropriated funds to critical projects based on the strength of the application and benefits of a project. Projects with costs greater than \$500,000,000 collectively requested more than \$17 billion in funding from Mega in FY 2022, far exceeding the \$500 million available.

FY 2023 Anticipated Accomplishments:

In FY 2023, OST will:

- Evaluate and award a second round of Mega projects competing for the remaining approximately \$3.8 billion in funding made available by BIL.
- Initiate the oversight and administration of the nine projects selected to receive funding in the first Mega round, preparing them for obligation and eventual construction.
- Continue to provide technical assistance to Mega project sponsors seeking federal funding and financing from Departmental programs such as Mega, Infrastructure For Rebuilding America (INFRA), Federal Highway Administration (FHWA) Bridge Investment Program, Federal Railroad Administration's (FRA) Federal-State Partnership program, the Consolidated Rail Infrastructure and Safety Improvements (CRISI) program, the Port Infrastructure Development (PIDP) program, Transportation Infrastructure Finance and Innovation Act (TIFIA), Railroad Rehabilitation & Improvement Financing (RRIF), and others.

Funding Changes:

The FY 2024 budget request reflects \$1.22 billion for projects eligible under the Mega grants program.

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

The request of \$1.22 billion to support projects eligible under the Mega grants program will strengthen the ability of the Department to award funding to projects that align best with the programs' evaluation criteria.

The Mega program, with its set-aside for projects with more than \$500 million in costs, has also attracted numerous applications for funding for many of the nation's largest, most expensive infrastructure projects. Many of these project sponsors had previously ignored discretionary grant funding as a viable path due to limited award sizes.

National Infrastructure Investments grants assist project sponsors in obtaining support for innovative projects designed to move people and goods, regardless of transportation mode or jurisdictions involved. These projects will create good-paying jobs, grow the economy, strengthen supply chains, improve mobility for residents, and make our transportation systems safer for all users. Some examples of the portfolio of funded projects include critical bridge repair and replacement projects; transformative safety improvements on a major urban arterial, a key early phase in the replacement of our country's most significant intercity and regional passenger rail tunnel; and rural infrastructure investments aimed at expanding mobility and accessibility in rural areas.

National Infrastructure Investments grants enable DOT to examine a broad array of projects on their merits to help ensure that projects create good-paying jobs, improve safety, apply transformative technology, address climate change, and advance 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 the attainment of proposed benefits which 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 2023 Enacted	\$800,000	7	7
Adjustments to Base			
Annualization of Prior Pay Raises	\$75	0	0
Annualization of Positions Previously Requested	\$0	0	0
FY 2024 Pay Raises	\$260	0	0
Compensable Day(s) Change	\$25	0	0
GSA Rent	\$0	0	0
Working Capital Fund Changes	\$215	0	0
FERS Changes	\$0	0	0
Award Changes	\$0	0	0
Inflation and Other Adjustments to Base	\$7,824	0	0
Subtotal Adjustments to Base	\$8,400	0	0
FY 2024 Baseline Estimate	\$808,400	7	7
Program Changes (+/-):	\$411,600	0	0
FY 2024 Request	\$1,220,000	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)

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	2,799	3,795	4,806
Travel	75	275	275
Other Costs	926	4,780	5,469
Programs	-	-	-
TOTAL	3,800	8,850	10,550

STAFFING

Direct FTPs	16	27	27
Direct FTEs	14	23	27

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, [\$8,850,000] \$10,550,000, 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.

Program and Performance Statement

The National Surface Transportation and Innovative Finance Bureau, also known as the Build America Bureau, provides guidance, technical assistance and cooperative grants to project sponsors while also improving access to major Departmental credit and grant programs, including Transportation Infrastructure Finance and Innovation Act, Railroad Rehabilitation and Improvement Financing, Private Activity Bonds, Nationally Significant Multimodal Freight and Highway Projects, Thriving Communities Program.

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 (also known as the Build America Bureau or Bureau) advances investment in America's transportation infrastructure by lending federal funds to qualified borrowers; clearing roadblocks for creditworthy projects; encouraging best practices in project planning, financing, and delivery; and fully using available lending capacity while protecting taxpayer resources. The expertise across DOT offices and operating administrations serve as the point of coordination for states, municipalities, and other project sponsors seeking federal credit assistance, exploring public-private partnerships (P3s), or considering private activity bonds (PABs). The Bureau is DOT's focal point for the Transportation Infrastructure Finance and Innovation Act (TIFIA), Railroad Rehabilitation and Improvement Financing (RRIF) credit programs, and the PABs program. The Bureau directly supports efforts to rebuild and modernize the Nation's transportation infrastructure by leveraging state, local, and private funds.

A key focus of the 2024 Request for the Bureau is to support its efforts in providing technical assistance under the Thriving Communities (TC) program. The TC program ensures that disadvantaged communities adversely or disproportionately affected by environmental, climate, and human health policy outcomes have the technical tools and organizational capacity to compete for federal aid and deliver quality infrastructure projects that enable their communities and neighborhoods to thrive. The Bureau plays a critical role in the TC program, serving as the primary point of contact for communities seeking technical assistance under the program. The additional resources in 2024 will provide the necessary capacity to the Bureau to provide effective technical assistance to communities across the country.

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

- The Outreach and Project Development Office educates project sponsors on how to combine grants, loans, and private investment with innovative project delivery approaches to deliver transportation infrastructure. This Office also works with sponsors to determine their eligibility for Bureau credit assistance and promote compliance with applicable federal requirements, such as environmental review, prevailing wages, and Buy America.
- The Credit Programs Office analyzes the creditworthiness of potential borrowers and their ability to repay federal loans for their proposed projects. For creditworthy borrowers and projects, the Credit Programs Office provides financing under the TIFIA Program, RRIF Program, and PABs Program. This Office also disburses loan funds to reimburse borrowers' eligible costs, manages the loan repayment process, and continuously monitors project execution, and assesses borrower creditworthiness to identify and mitigate repayment risks.

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 under construction, and expects to close at least \$5 billion to \$10 billion annually in project loans going forward.

The Bureau fulfills responsibilities critical to financing and delivering transportation infrastructure, including:

- Technical assistance to help project sponsors navigate the regulatory and financing process more efficiently;
- New products and services to expand the 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;
- Long-term loans with attractive interest rates and terms that are critical components of many large transportation infrastructure project financings, including P3s;
- Best practices for innovative financing and P3s, which aligns infrastructure development with entities best suited to provide sustained and efficient investment;
- Strategies to expedite access to financing and delivery of critical infrastructure projects; and
- Increased transparency and public availability of information regarding projects financed by DOT's infrastructure credit assistance programs.

The Bureau provides the overall strategy, management, operations, and performance oversight of the Thriving Communities Initiative and coordinates the suite of place-based technical assistance. The Bureau also develops and disseminates best practices, research, modeling, and cost-benefit analysis methodologies to aid technical assistance recipients in the development of applications for financial assistance programs under Titles 23, 46, and 49, United States Code. They also coordinate inter- and intra-agency technical assistance efforts through DOT's Technical Assistance Resource Hub, and with grant programs within DOT and other federal agencies to provide an integrated grantee experience.

The Bureau also 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 the needs and benefits of rural transportation infrastructure projects; and
- 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. The Bureau and Office of the Under Secretary of Transportation for Policy staff are responsible for overseeing and conducting the activities of the ROUTES Initiative and supporting the Council and Management Team.

In addition, the Bureau has been designated as the High Impact Service Provider (HISP) for the Customer Experience (CX) initiative within the Department to support the Administration's Executive Order 14058. This order charges all government programs to continually improve their understanding of their customers, reduce administrative hurdles and paperwork burdens to minimize "time taxes," enhance transparency, create greater efficiencies across government, and redesign compliance-oriented processes to improve customer experience and more directly meet the needs of the people of the United States. This work supports the Office of the Management and Budget memo M-22-10 and sustained burden reductions efforts.

FY 2023 Anticipated Accomplishments:

- Based on its active pipeline, the Bureau expects to close 10 to 12 TIFIA loans for nearly \$6 billion and 2 to 3 RRIF loans totaling \$600 million, supporting infrastructure investment projects around the country. Like the Bureau's current portfolio, the pipeline of projects includes a mix of rural and urban projects, P3s, and public projects, and projects in states using TIFIA and RRIF for the first time.
- The Bureau will continue to strengthen the Risk Management Team to enhance monitoring of the Bureau's expanding portfolio and strategically manage the 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 like functions carried out by commercial banks.
- The Bureau will announce a third round of Regional Infrastructure Accelerators in this demonstration/pilot program aimed at helping speed the development of projects eligible for Bureau credit assistance.
- The Bureau will continue expanding the asset classes in its portfolio asset classes, such as transit-oriented development, airports, marine ports, rail, fleet electrification, electric car charging stations, adoption of transformative technology, and loans to state infrastructure banks (SIB) for rural and underserved community projects.

Funding Changes:

The FY 2024 budget request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

\$992 thousand will support the maturation of technical assistance (TA) within the Bureau through contractual services that will provide support in data analytics and create the needed processes to

track, evaluate, and analyze the range of TA products across the Department. This funding will create the framework for evaluating the impacts of the TA provided and begin to implement the framework developed.

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

The Bureau provides financing 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 also helps 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 rates and flexible terms and conditions. For example, a bundle of electric charging stations or electric buses can be delivered by a loan through the Bureau and paid for over time to create economies of scale.

The Bureau is developing products and strategies aimed at improving access to DOT credit programs for rural and underserved communities, smaller borrowers, 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 the promotion of programs and projects that attract private sector capital.

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 2023 Enacted	\$8,850	27	23
Adjustments to Base			
Annualization of Prior Pay Raises	\$44	0	0
Annualization of Positions Previously Requested	\$800	0	4
FY 2024 Pay Raises	\$151	0	0
Compensable Day(s) Change	\$18	0	0
GSA Rent	\$0	0	0
Working Capital Fund Changes	-\$377	0	0
FERS Changes	\$0	0	0
Award Changes	\$0	0	0
Inflation and Other Adjustments to Base	\$73	0	0
Subtotal Adjustments to Base	\$708	0	4
FY 2024 Baseline Estimate	\$9,558	27	27
Program Changes (+/-):	\$992	0	0
FY 2024 Request	\$10,550	27	27

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	39,400	48,100	49,000
Programs	-	-	-
TOTAL	39,400	48,100	49,000

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, [and]implementation of enhanced security controls on agency computers and mobile devices, [\$48,100,000] and related purposes, \$49,000,000, to remain available until September 30, [2024] 2025.

Program and Performance Statement

Cyber Security Initiatives supports 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. This includes necessary upgrades to the wide area network and informational technology infrastructure.

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's 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 2024 Budget 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 2013-2023 until those expenses can be transitioned to the Working Capital Fund (WCF).

The Cyber Security Initiative (CSI) 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 National Institute of Standards and Technology Cybersecurity Framework (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 2023 Anticipated Accomplishments:

- Create 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 as required by Executive Order 14028, *Improving the Nation's Cybersecurity*, and the Federal Zero Trust Strategy.
- 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 WCF. 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.
- 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 Federal Aviation Administration (FAA) security operations center (SOC) capabilities.

Funding Changes:

The FY 2024 Budget Request includes changes to fund: (1) 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 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 2023 Enacted	\$48,100	0	0
Adjustments to Base			
Annualization of Prior Pay Raises	\$0	0	0
Annualization of Positions Previously Requested	\$0	0	0
FY 2024 Pay Raises	\$0	0	0
Compensable Day(s) Change	\$0	0	0
GSA Rent	\$0	0	0
Working Capital Fund Changes	\$4,679	0	0
FERS Changes	\$0	0	0
Award Changes	\$0	0	0
Inflation and Other Adjustments to Base	-\$3,779	0	0
Subtotal Adjustments to Base	\$900	0	0
FY 2024 Baseline Estimate	\$49,000	0	0
Program Changes (+/-):	\$0	0	0
FY 2024 Request	\$49,000	0	0

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	5,870	7,026	9,264
Travel	95	170	170
Other Costs	2,680	4,258	8,318
Programs	42,718	37,542	48,748
TOTAL	51,363	48,996	66,500

STAFFING

Direct FTPs	48	65	77
Direct FTEs	26	55	64

Appropriations Language**RESEARCH AND TECHNOLOGY**

For necessary expenses related to the Office of the Assistant Secretary for Research and Technology, [\$48,996,000] \$66,500,000, of which [\$37,542,000] \$48,748,000 shall remain available until expended: Provided, That of such amounts that are available until expended, [\$3,224,000] \$19,000,000 shall be for necessary expenses of the Advanced Research Projects Agency—Infrastructure (ARPA-I) as authorized by section 119 of title 49, United States Code: Provided further, That there may be credited to this appropriation, to be available until expended, funds received from States, counties, municipalities, other public authorities, and private sources for expenses incurred for training: Provided further, That any reference in law, regulation, judicial proceedings, or elsewhere to the Research and Innovative Technology Administration shall continue to be deemed to be a reference to the Office of the Assistant Secretary for Research and Technology of the Department of Transportation.

Program and Performance Statement

This Office is responsible for coordinating, facilitating, reviewing and ensuring the non-duplication of DOT's research, development, and technology portfolio, as well as enhancing the data collection and statistical analysis programs to support data-driven 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 Office 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 university-based centers of excellence. The UTC Program is funded by 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-for-service basis.

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

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.

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 investments in transportation research, development, and technology (RD&T) activities across all Department of Transportation (DOT) Operating Administrations (OAs) and Secretarial Offices. OST-R ensures that the Department's priorities are implemented, that research is purpose-driven and non-duplicative, 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 through the Bureau of Transportation Statistics; the University Transportation Center (UTC) grants program; and the Highly Automated Systems Safety Center of Excellence (HASS COE); and oversees the work of related fee-for-service organizations – the Volpe National Transportation Systems Center and the Transportation Safety Institute. OST-R is also leading the planning and development of the Advanced Research Projects Agency – Infrastructure (ARPA-I), which was authorized in the Bipartisan Infrastructure Law (BIL).

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 scientific discovery applied to the movement of people and goods.
- Conducts oversight of the OA research portfolios on behalf of DOT leadership and the stakeholders of America's transportation system.
- Conducts multi-modal research and facilitates research collaboration.
- Fosters technology transfer and facilitates technology deployment through research programs, funding opportunities, and through partnerships within the Department and with the 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 deliver high-quality cross-modal results in strategic research planning, program management, and program support services. The requested funding will allow the RD&T 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, State, local and Tribal public agencies in support of Secretarial and Administration priorities to increase deployment of innovative technologies. The funding also enables OST-R to deploy technologies in support of cross-modal transformation at the system level.

An OST-R portfolio focused on cross-cutting, cross-modal research benefits DOT leadership, the entire Department, and the nation's transportation system. Policymaking demands credible estimates of the value and public benefits of transportation investments. Successful adoption of new technologies requires assessment of impacts on safety and on 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 Bureau of Transportation Statistics (BTS), in support of the Equity Strategic Goal, will develop estimates of transportation cost burden at the local level using existing data sources, and analyze the feasibility of potential new future data collections that could subsequently further enhance these transportation cost burden estimates. These efforts include researching and evaluating the current state of the practice in cost burden estimation and data availability and collection for cost burden estimation; developing and implementing new and enhanced methods and approaches to produce cost burden estimates at the local level; and analyzing and planning for potential new future data collections to enhance transportation cost burden measures. Throughout this process, BTS will systematically elicit input and feedback from a diverse set of experts and stakeholders.

OST-R 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. The Research and Technology (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. The R&T appropriation supports the following programs:

The Office of RD&T is responsible for leading implementation of the approximately \$1 billion Departmental RD&T Portfolio. This work is done through setting the strategic direction, developing long term and annual research and technology plans, stewarding the portfolio, coordinating amongst the OAs and OST offices on common themes, ensuring Scientific Integrity, and improving the performance of the RD&T portfolio for the Department of Transportation and its OAs to maximize the return on Federal research investments. It is also responsible for the development and delivery of multimodal, advanced, and transformative research, development, and technology transfer programs and activities aimed at positioning the transportation system to best serve the American public, grow the economy, and position the United States to win the 21st century. OST-R programs are as follows:

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 active performance management.

The program's coordination mission is supported by a RD&T Planning Team, composed of senior research and technology leaders across the OAs and chaired by the Director of the Office of RD&T. The RD&T Planning Team is assisted by a series of Topical Research Working Groups (TRWGs) to enhance DOT-wide research coordination and collaboration on common themes. TRWGs are composed of representatives from the OAs and OST offices conducting research activities within specified cross-modal research topic areas. The working groups have demonstrated success 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 program's specific duties include:

- Maintaining the Department's research coordination platforms including the RD&T Planning Team and the Topical Research Working Groups.
- Developing and executing Department-wide strategic research planning through the development and implementation of the DOT RD&T Five-Year Strategic Plan.
- Providing oversight and review of the Department's research portfolio through the DOT Research Review and Approval Process of the Annual Modal Research Plans.
- Aligning Departmental research with Administration priorities, policy objectives and Secretarial priorities, improving collaboration, avoiding duplicative research spending, and improving the return on investment through performance management.
- Identifying and leading cross-modal research initiatives in partnership with DOT OAs, industry, and academia.

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, deployment, 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 2024, the T2 Program intends to expand its activities to ensure that the significant increases in transportation research investment provided by the Bipartisan Infrastructure Law 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 and innovation deployment.

The **Cross-Modal Research Priorities (CMRP) Program** works with Federal and non-Federal stakeholders to advance the development and deployment of cross-modal Secretarial and 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.

The **Climate Change Center** consists of representatives of all DOT OAs 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. Extreme weather and other experienced threats have frequently impacted our transportation system and the U.S. economy, causing Federal, State, local, Tribal, and territorial governments and the transportation industry to be in constant state of reaction, recovery, and rebuilding. The Department intends to accelerate its resilience, mitigation, and adaption research to combat the constant challenge, yet real-time data and efficient planning and design tools for current events still present a research gap. As the Department's research prepares for future technology integration there is a need to deal with transitional period and behavioral impact. Climate Center research will accelerate and integrate needed technology for a faster and shortened transition to a cleaner, safe, efficient, and resilient transportation network system by:

- Understanding emergency response function processes to prepare and plan for disruptions and impact with a focus on a collective response.
- Developing real-time modeling tools to accelerate implementation by providing comprehensive decision-making tools to quickly respond to transportation disruptions.
- Increasing the implementation of innovative technology to accelerate the net zero goals and objectives.
- Researching travel behavior to understand its role in the transition and incorporate public engagement tools to accelerate the net zero goals.
- Continuing to evolve tools and methods to assess the risk and impact of multiple hazards, and to toughen the resilience of, and increase the service life of, transportation infrastructure.

The **Positioning, Navigation and Timing (PNT) and Spectrum Management Program** – DOT co-leads the Federal role with the Department of Defense (DOD) by coordinating civil sector PNT requirements and representing 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*).

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. FY 2024 projects will support implementation of SPD-7, as well as the goals of EO 13905, *Strengthening National Resilience Through Responsible Use of PNT Services*, which requires the owners and operators of critical infrastructure within the Transportation Systems Sector to sustain resilient PNT operations in the absence, disruption, or manipulation of space-based PNT and/or develop methods that do not require space-based PNT.

The **Highly Automated Systems Safety Center of Excellence (HASS COE)** will continue support of U.S. global leadership on emerging technologies and innovation, and funding is included for the maturation of the HASS COE. Established by the FY 2020 Appropriations Act, the HASS COE has been created within OST-R to ensure the Department has the expertise and

capacity to review, assess, and validate the safety of highly automated systems across all modes of transportation. The Department continues to work towards acquiring and developing the dedicated workforce, skills, and tools necessary to serve as a center of expertise in autonomous technologies, as automation is developed, validated, and deployed across the transportation system. Safely applying automation to achieve national priorities in safety, equity, climate, accessibility, 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.

The HASS COE is supporting the Office of the Under Secretary in coordination across all Automated Driving System (ADS) Demonstration Grants, and in the development and technology transfer of the Virtual Open Innovation Collaborative Environment for Safety (VOICES) program. The HASS COE is positioned to be the DOT convenor for automation research across all OAs and is currently leading multi-domain exploration and coordination with the National Aeronautics and Space Administration, Department of Defense, and DOT OAs in the integration of each agency's test, virtualization, and simulation assets to perform distributed research and testing of advanced multi-domain connected and automated system-of-system use cases. The HASS COE is leading the efforts to establish an associated MOU to integrate live and virtual test assets, leading to a national capability to perform more agile and capable research and testing of multimodal transportation concepts that will need to function as coordinated, automated systems within a multi-modal ecosystem in the future.

Advanced Research Projects Agency - Infrastructure (ARPA-I)

The Advanced Research Projects Agency - Infrastructure (ARPA-I) was authorized by the Bipartisan Infrastructure Law (BIL, Section 25012) and received initial appropriations in FY 2023. ARPA-I's mission is to catalyze the development of innovative technologies, systems, and capabilities that transform the nation's physical and digital transportation infrastructure to ensure American leadership. ARPA-I aims to build the future of transportation that is safe, secure, efficient, and resilient, while achieving net-zero emissions and increasing equity and access to mobility for all.

ARPA-I will ensure that the United States is a global leader in developing and deploying advanced transportation infrastructure technologies and solutions that can significantly enhance transportation safety and climate resilience, while increasing system efficiency and security, lowering the long-term costs of transportation infrastructure, reducing greenhouse gas emissions, and increasing equity and access to mobility. ARPA-I will fund new research and development (R&D) programs in areas in which industry entities are unlikely to carry out projects due to technical and financial uncertainty; and which reach across DOT modal Administrations, enabling system solutions which no one mode could achieve.

FY 2023 Anticipated Accomplishments:

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

- Conduct the FY 2024 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 following fiscal year.
- Continue to implement the new *DOT RD&T Strategic Plan*, published in 2023, and monitor progress made on the goals, priorities, and objectives.
- Address global research needs through partnerships with the European Commission, the International Transport Forum, and the Transportation Research Board.
- 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).
- Complete 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.
- Finalizing the “Shared-use Mobility” project to increase mobility options for disadvantaged groups, particularly in rural areas (assigned in FY 2021).
- Finalizing the “Recycled Plastic Materials in Transportation” project, being conducted by the National Academies of Sciences, Engineering, and Medicine in cooperation with the Environmental Protection Agency (assigned in FY 2021).
- Identify and conduct annual cross-modal research and technology priorities.
- Increase research, involvement, and support to continue resilience work and work with partners to improve and deploy tools for improved resilience of infrastructure.
- Identify and research and technology gaps necessary to move towards a multimodal transportation system, and those that span multiple and emerging modes.
- Develop a Criticality Index for the major transportation assets and build a roadmap to collect data for the resilience metrics.
- Continue Phase 2 of the program implementation roadmap to collect data and develop resilience metrics of the major transportation assets identified in the Criticality Index.
- Develop General Transit Feed Specification (GTFS) tools for use by transit agencies, targeted outreach to larger fixed route transit agencies, and initial technical assistance to smaller agencies that enable planned FY 2024 BTS efforts.
- Implement recommendations from the December 2022 GAO Report entitled “GPS Disruptions – DOT Could Improve Efforts to Identify Interference Incidents and Strengthen Resilience”.
- Implement a real-time GNSS performance monitoring and interference detection capability and ability to present information through a standard centralized common operational picture.
- Execute EO 13905 Vulnerability Assessment and Testing to support PNT Profile development and implementation of the *National PNT R&D Plan* objectives. Conduct requirements engineering efforts to address out-of-band data and in-band GPS Signal Authentication techniques in conjunction with DoD and DHS.
- Develop and execute a Complementary PNT Action Plan.
- Coordinate across DOT OAs and the stakeholder community to identify the major research and technology areas involved in transportation automation.

- Complete staffing the HASS COE with the FTEs and innovative staffing hires in accordance with the updated approved Staffing Plan and deliver automation expertise to the OAs as requested.
- Engage with stakeholders across DOT, other Government Agencies, industry, and academia, to be a wellspring of knowledge and learning in transportation learning.
- Support the University Transportation Centers Program, Positioning, Navigation and Timing Program, and OST-R Grant Programs with expertise in automation and cyber technology areas.
- Continue to establish ARPA-I by expanding core staff and developing its first externally funded program with four projects focused on Safety, to develop innovative solutions that address the persistent problem of roadway fatalities. Project teams funded will include academia, industry and innovators, in partnership with DOT OAs, state and local governments and other Federal agencies.

Funding Changes:

The FY 2024 budget request includes changes to fund: (1) the 2023 out-year effects of the 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

OST-R's FY 2024 budget request provides **\$1.5 million** for **12 positions** to support programmatic oversight and direction for OST-R new and existing programs. The R&T priorities will support the following new programs:

\$9 million:

- The **Development of Scientific Integrity Program (SIP)** to implement the Scientific Integrity framework developed by the White House/ Office of Scientific and Technology Policy (OSTP) to address the Presidential Memorandum on scientific integrity. The program will ensure the integrity of all aspects of scientific activities, including proposing, conducting, reviewing, managing, and communicating about science and scientific activities, and ensuring use of scientific results in decision making. In addition, this program establishes and monitors the expectations and procedures required to maintain scientific integrity. The senior scientist to be hired to manage SIP will also support the Assistant Secretary for Research and Technology in the role of Science Advisor to the Secretary.
- The **Technology Transfer (T2) Program** to expand the DOT technology transfer function and opportunities program. The program will serve as the clearinghouse for all DOT products, laboratories, and expertise developed by the Operating Administrations and Secretarial Offices and will build on prior T2 efforts by expanding and strengthening the Department's technology transfer activities. The new program will actively identify and deploy-to-practice promising and priority innovations, pursue T2 agreements, and collaborate with other Federal, State, local, Tribal, and territorial public agencies to increase domestic manufacturing and deployment of technologies and other innovations arising from DOT research. This expanded technology transfer program is intended to

direct deployment funding to American small and disadvantaged businesses to enhance their potential for domestic product commercialization.

\$19 million:

- The **Advanced Research Projects Agency – Infrastructure (ARPA-I)** will expand core staff and develop its first external funding program with four projects focused on Safety. This program will be aimed at developing new safety solutions to address the 43,000 annual roadway fatalities in the United States – solutions that reach beyond traditional infrastructure, vehicle, and pedestrian safety considerations, in order to find novel and innovative solutions to this persistent and unacceptable loss of life. Project teams funded will include academia, industry and innovators, in partnership with DOT OAs, state and local governments and other Federal agencies. ARPA-I will also develop initial plans for further programs in the areas of new materials and construction methods, digitalization, and freight and logistics optimization.
- The funding will also expand the Agency’s build out of the team consisting of fifteen members from the Director of ARPA-I (to be nominated by the President and confirmed by the Senate) to operations staff. It will also cover other business and operating costs that include project management and oversight costs, as well as contract expenses for communications, outreach and other business and operating functions, to support the operations.

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 in support of the Department’s Strategic Goals, with an emphasis on Transformation. 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, and enabling transformation in America’s transportation system. R&T underpins this mission by collaborating across the Department and with partners from other Federal agencies, State and local governments, Tribal and territorial 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, effective program implementation, and achievement of significant portions of the Department’s mission and strategic goals. Establishing the ARPA-I will strengthen the Department’s R&T mission and enhance innovation in the development of America’s physical and digital transportation infrastructure to help ensure the Nation’s leadership in developing the leading transportation systems of the 21st century.

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 2023 Enacted	\$48,996	65	55
Adjustments to Base			
Annualization of Prior Pay Raises	\$80	0	0
Annualization of Positions Previously Requested	\$334	0	3
FY 2024 Pay Raises	\$274	0	0
Compensable Day(s) Change	\$29	0	0
GSA Rent	\$0	0	0
Working Capital Fund Changes	\$2,151	0	0
FERS Changes	\$0	0	0
Award Changes	\$0	0	0
Inflation and Other Adjustments to Base	\$1,908	0	0
Subtotal Adjustments to Base	\$4,776	0	3
FY 2024 Baseline Estimate	\$53,772	65	58
Program Changes (+/-):	\$12,728	12	6
FY 2024 Request	\$66,500	141	64

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)

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	350,000	354,827	348,554
TOTAL	350,000	354,827	348,554

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, [\$354,827,000]\$348,554,000, 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[Provided further, That, notwithstanding section 41733 of title 49, United States Code, for fiscal year 2023, the requirements established under subparagraphs (B) and (C) of section 41731(a)(1) of title 49, United States Code, and the subsidy cap established by section 332 of the Department of Transportation and Related Agencies Appropriations Act, 2000, shall not apply to maintain eligibility under section 41731 of title 49, United States Code].

Program and Performance Statement

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

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 2024 Budget Request proposes an overall program funding level at \$502.965 million, with the breakdown between PAC and EAS dependent on FAA-estimates for Overflight Fees:

PAC Appropriation	\$348,554,000
EAS (Overflight Fees)	\$154,410,530
TOTAL EAS Program	\$502,964,530

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, 172 communities across the country, including 61 in Alaska, receive subsidized scheduled air service.

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

Year	# of Communities	Budget (\$ millions)	Average Subsidy per Community (\$ millions)
2019	170	325.0	1.91
2020	170	313.0	1.91
2021	172	330.0	1.92
2022	170	366.1	2.13
2023	172	368.7	2.43

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, P.L. 116-260, and for Fiscal Year 2022 by the Consolidated Appropriations Act, P.L. 117-103 Congress again suspended compliance with all three requirements for Fiscal Year 2023, by the Consolidated Appropriations Act, 2023, P.L. 117-328. Compliance with these eligibility requirements will resume at the beginning of Fiscal Year 2024.

The Program is frequently asked about program reform ideas and the Department has prepared potential reforms for the upcoming FAA Reauthorization. The proposed reforms will be shared at a future appropriate time.

FY 2024 Anticipated Accomplishments:

In FY 2024, the EAS program will:

- Provide uninterrupted service to approximately 172 communities;
- Continue to focus on cost control through the selection of best value awards, air carrier and community support;
- Assess the continued impact of the ongoing 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, FY 2021, FY 2022, and FY 2023 as noted above.

Funding Changes:

The FY 2024 Budget Request includes changes to fund: (1) annualizing the 2023 4.6 percent pay raise; (2) a proposed 5.2 percent pay raise in 2024; and (3) inflation and other adjustments to base.

In FY 2024, \$2 million will be allocated for the modernization of the Aviation Decisions Data System (ADDS) applications to enhance stability and usability, improve customer experiences, and address critical security vulnerabilities. The Resource Directorate, in conjunction with the Essential Air Service (EAS) and Domestic Analysis Division, Office of Aviation Analysis,

administers the Aviation Decisions Data System (ADDS) website. The website ensures that air carriers are paid for their subsidy claims in a timely manner, meeting the mandate for the Department to provide uninterrupted air service to eligible communities throughout the country to connect them to the national air transportation system. This involves a determination as to how many flights should be provided to the community, the type of aircraft to be used, the carrier that should provide the service, and the level of subsidy that the Federal Government will pay the air carrier providing the community's air service. ADDS is a web-enabled database system used to automate several aspects of the EAS-subsidy business process in order to improve overall ADDS case management, allow monitoring of the progress made on each case, and facilitate workload analysis and reporting.

In addition, the FY 2024 Request reflects an increase of \$14 million to meet the projected costs of the PAC/EAS Program. The estimated overflight fees are projected higher than previous years which is driving the overall PAC appropriation request lower than the previous year.

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

Eligible communities will continue to receive subsidized scheduled air service. The table on the following pages shows all subsidized EAS communities as of January 2023, at annual subsidy rates as awarded by the Department, assuming 100 percent completion by air carriers, with anticipated increases included.

In addition to the communities on the following pages, 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 January 1, 2023 with anticipated increases**

<u>State</u>	<u>EAS Community*</u>	<u>Annual Subsidy as of January 1, 2023</u>	<u>State</u>	<u>EAS Community*</u>	<u>Annual Subsidy as of January 1, 2023</u>
AK	Adak	\$1,880,915	AK	Lake Minchumina	\$170,880
AK	Adak (freighter)	\$317,206	AK	Lazy Bay/Alitak	\$38,901
AK	Akhiok	\$241,728	AK	Levelock	\$160,637
AK	Akutan (fixed-wing)	\$1,550,110	AK	Manley Hot Springs	\$50,746
AK	Akutan (helicopter)	\$1,040,113	AK	May Creek	\$173,111
AK	Amook Bay	\$38,901	AK	McCarthy	\$173,111
AK	Angoon	\$142,843	AK	McGrath	\$735,211
AK	Atka	\$1,544,518	AK	Metlakatla	\$539,418
AK	Central	\$167,790	AK	Minto	\$50,746
AK	Chignik	\$398,246	AK	Moser Bay	\$38,901
AK	Chignik Lake	\$398,246	AK	Nikolski	\$469,629
AK	Chisana	\$105,389	AK	Olga Bay	\$38,901
AK	Circle	\$167,790	AK	Pelican	\$578,820
AK	Cordova	\$4,453,949	AK	Perryville	\$789,584
AK	Cordova (freighter)	\$44,586	AK	Petersburg	\$2,548,507
AK	Diomedede	\$653,575	AK	Petersburg (freighter)	\$237,794
AK	Egegik	\$185,076	AK	Pilot Point	\$192,323
AK	Ekwok	\$82,497	AK	Port Alexander	\$131,118
AK	Elfin Cove	\$329,352	AK	Port Bailey	\$38,901
AK	Excursion Inlet	\$36,657	AK	Port Heiden	\$321,616
AK	False Pass	\$250,055	AK	Port Williams	\$38,901
AK	Gulkana	\$275,518	AK	Seal Bay	\$38,901
AK	Gustavus	\$417,709	AK	Skwentna	\$40,070
AK	Healy Lake	\$141,664	AK	South Naknek	\$166,194
AK	Hydaburg	\$392,083	AK	St. George	\$1,240,584
AK	Igiugig	\$203,358	AK	St. Paul Island	\$2,660,611
AK	Kake	\$449,818	AK	Tatitlek	\$187,370
AK	Karluk	\$394,221	AK	Tenakee	\$157,447
AK	King Cove	\$675,792	AK	Twin Hills	\$244,782
AK	Kitoi Bay	\$38,901	AK	Uganik	\$38,901
AK	Ugashik	\$192,323	KS	Dodge City	\$3,891,394
AK	West Point	\$38,901	KS	Garden City	\$1,233,055
AK	Wrangell	\$2,720,081	KS	Hays	\$3,716,923
AK	Wrangell (freighter)	\$257,610	KS	Liberal	\$3,905,576
AK	Yakutat	\$4,483,093	KS	Salina	\$3,412,542

Section 3 – FY 2024 Budget Requests by Account

AK	Yakutat (freighter)	\$42,838	KY	Owensboro	\$2,192,740
AK	Zachar Bay	\$38,901	KY	Paducah	\$5,610,762
AL	Muscle Shoals	\$2,992,475	ME	Augusta	\$3,115,108
AR	El Dorado	\$3,507,834	ME	Bar Harbor	\$3,715,325
AR	Harrison	\$3,847,324	ME	Presque Isle	\$11,096,063
AR	Hot Springs	\$2,980,818	ME	Rockland	\$3,405,645
AR	Jonesboro	\$2,262,378	MI	Alpena	\$5,556,256
AZ	Page	\$4,398,924	MI	Escanaba	\$3,222,726
AZ	Prescott	\$3,308,352	MI	Hancock/Houghton	\$6,849,997
AZ	Show Low	\$2,022,926	MI	Iron Mountain	\$3,915,128
CA	Crescent City	\$3,708,811	MI	Ironwood	\$3,537,680
CA	El Centro	\$2,965,415	MI	Manistee	\$4,381,771
CA	Merced	\$3,733,241	MI	Muskegon	\$3,978,578
CO	Alamosa	\$5,349,833	MI	Pellston	\$2,385,180
CO	Cortez	\$6,541,623	MI	Sault Ste. Marie	\$3,464,845
CO	Pueblo	\$3,037,652	MN	Bemidji	\$1,921,005
GA	Macon	\$4,687,979	MN	Brainerd	\$2,070,420
HI	Hana	\$171,864	MN	Hibbing	\$4,009,933
HI	Kalaupapa	\$1,497,636	MN	International Falls	\$3,433,541
HI	Kamuela	\$818,669	MN	Thief River Falls	\$5,919,955
IA	Burlington	\$3,517,323	MO	Cape Girardeau	\$5,541,245
IA	Fort Dodge	\$3,199,642	MO	Fort Leonard Wood	\$4,494,639
IA	Mason City	\$3,131,309	MO	Joplin	\$1,256,869
IA	Sioux City	\$917,102	MO	Kirksville	\$2,483,774
IA	Waterloo	\$4,027,262	MS	Greenville	\$3,006,956
IL	Decatur	\$3,683,341	MS	Hattiesburg/Laurel	\$3,723,322
IL	Marion	\$3,208,225	MS	Meridian	\$3,390,019
IL	Quincy	\$4,147,821	MS	Tupelo	\$3,887,625
MT	Butte	\$1,007,259	SD	Aberdeen	\$3,306,799
MT	Glasgow	\$2,407,526	SD	Pierre	\$5,862,708
MT	Glendive	\$2,600,668	SD	Watertown (SD)	\$6,458,695
MT	Havre	\$2,561,730	TN	Jackson	\$2,610,649
MT	Sidney	\$4,754,092	TX	Victoria	\$3,323,060
MT	West Yellowstone	\$1,506,963	UT	Cedar City	\$2,569,510
MT	Wolf Point	\$2,589,394	UT	Moab	\$3,016,499
ND	Devils Lake	\$4,436,960	UT	Vernal	\$3,104,102
ND	Dickinson	\$3,503,110	VA	Staunton	\$5,469,730
ND	Jamestown	\$3,144,487	VT	Rutland	\$1,993,468
NE	Alliance	\$3,460,533	WI	Eau Claire	\$6,460,988
NE	Chadron	\$3,613,295	WI	Rhineland	\$2,593,750
NE	Grand Island	\$5,050,000	WV	Beckley	\$2,827,968

Section 3 – FY 2024 Budget Requests by Account

NE	Kearney	\$7,706,303	WV	Clarksburg	\$5,567,524
NE	McCook	\$2,970,261	WV	Lewisburg (Greenbrier)	\$6,031,670
NE	North Platte	\$3,489,132	WV	Morgantown	\$3,355,688
NE	Scottsbluff	\$3,050,040	WV	Parkersburg	\$2,134,573
NH	Lebanon	\$5,388,373	WY	Cody	\$1,017,314
NM	Carlsbad	\$3,565,197	WY	Laramie	\$4,625,040
NM	Clovis	\$4,902,981			
NM	Silver City	\$4,929,311			
NY	Massena	\$5,431,185			
NY	Ogdensburg	\$4,931,190			
NY	Plattsburgh	\$4,187,568			
NY	Saranac Lake	\$2,636,724			
NY	Watertown (NY)	\$4,748,585			
OR	Pendleton	\$3,871,162			
PA	Altoona	\$4,280,002			
PA	Bradford	\$2,932,105			
PA	DuBois	\$3,396,147			
PA	Johnstown	\$3,529,918			
PA	Lancaster	\$2,997,129			
PR	Mayaguez	\$1,745,659			

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 2023 Enacted	\$354,827	0	0
Adjustments to Base			
Annualization of Prior Pay Raises	\$0	0	0
Annualization of Positions Previously Requested	\$0	0	0
FY 2024 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 2024 Baseline Estimate	\$354,827	0	0
Program Changes (+/-):	-\$6,273	0	0
FY 2024 Request	\$348,554	0	0

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	625	-	-
Travel	200	-	-
Other Costs	9,175	9,175	9,359
Programs	15,000	15,825	90,642
TOTAL	25,000	25,000	100,000

STAFFING

Direct FTPs	5	0	0
Direct FTEs	0	0	0

Appropriations Language**THRIVING COMMUNITIES**

For necessary expenses for a thriving communities program, [\$25,000,000] \$100,000,000, to remain available until September 30, [2025] 2026: Provided, That the Secretary of Transportation shall make such amounts available for technical assistance and cooperative agreements to develop and implement technical assistance, planning, and capacity building to improve and foster thriving communities through transportation improvements: Provided further, That the Secretary may enter into 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 such 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: Provided further, That to be eligible for a cooperative agreement under this heading, a recipient shall provide assistance to entities described in the preceding proviso on engaging in public planning processes with residents, local businesses, non-profit organizations, and to the extent practicable, philanthropic organizations, educational institutions, or other community stakeholders: Provided further, That such cooperative agreements shall facilitate the planning and development of transportation and community revitalization activities supported by the Department of Transportation under titles 23, 46, [and] or 49, United States Code, the Infrastructure Investment and Jobs Act (Public Law 117–58), or this Act 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: Provided further, That the Secretary may prioritize assistance provided with amounts made available under this heading to communities that have disproportionate rates of pollution and poor air quality, communities experiencing disproportionate effects (as defined by Executive Order No. 12898), areas of persistent poverty as defined in section 6702(a)(1) of title 49, United States Code, or historically disadvantaged communities: Provided further, That the preceding proviso shall not prevent the Secretary from providing assistance with amounts made available under this heading to entities described in the second proviso under this heading that request assistance through the thriving communities program:

Provided further, That planning and technical assistance made available under this heading may include pre-application assistance for capital projects eligible under titles 23, 46, [and] or 49, United States Code, the Infrastructure Investment and Jobs Act (Public Law 117–58), or this Act: Provided further, That the Secretary may retain amounts made available under this heading for the necessary administrative expenses of (1) developing and disseminating best practices, modeling, and cost-benefit analysis methodologies to assist entities described in the second proviso under this heading with applications for financial assistance programs under titles 23, 46, [and] or 49, United States Code, the Infrastructure Investment and Jobs Act (Public Law 117–58), or this Act and (2) award, administration, and oversight of cooperative agreements to carry out the provisions under this heading: Provided further, That such amounts and payments as may be necessary to carry out the thriving communities program may be transferred to appropriate accounts of other operating administrations within the Department of Transportation[: Provided further, That the Secretary shall notify the House and Senate Committees on Appropriations not later than 3 business days prior to a transfer carried out under the preceding proviso].

Program and Performance Statement

The Thriving Communities Program will advance transformative investment in underserved and overburdened communities by providing technical assistance using a coordinated placebased 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 from prior years, the Thriving Communities Program, within the Build America Bureau, will continue to provide technical assistance, capacity building, and other assistance to help disadvantaged urban, rural, and tribal communities effectively advance and successfully deliver transformative and climate-friendly infrastructure projects that will support equitable economic growth, reduce transportation cost-burdens, improve public health and mobility and increase access to economic opportunity.

Thriving Communities ensures that the federal investments in infrastructure, clean energy, and jobs funded through the Bipartisan Infrastructure Law (BIL) and Inflation Reduction Act are supplemented with a community-driven approach that leverages the knowledge and experience of local community residents, elected officials, and community leaders as agents of change. Many disadvantaged communities lack the resources to grow their own capacity to develop and deliver infrastructure projects. With additional capacity, disadvantaged communities will be better positioned to identify and advance infrastructure projects that meet critical community needs. The Thriving Communities Program provides technical assistance and capacity-building resources to enable disadvantaged communities to overcome these challenges to create and execute a pipeline of transformative projects.

Thriving Communities continues to provide in-depth, hands-on technical assistance throughout the full project life cycle, resulting in accelerated project plans and effective project implementation. Thriving Communities uses a coordinated place-based approach that strengthens the local capacity of disadvantaged communities to develop and execute infrastructure projects from concept to completion. DOT, in partnership with the Housing and Urban Development Agency and other federal agencies, will continue working to coordinate and align federal investments and policies to support local communities in advancing transformative, equitable, and climate-friendly infrastructure projects.

Thriving Communities partners with state and local government entities, industry experts, philanthropic organizations, anchor institutions, non-profits, and private sector entities to provide on-the-ground integrated and coordinated technical assistance, research, and capacity-building. These capacity-building partners are funded through the Thriving Communities Program to work with local communities to improve their ability to access 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, Thriving Communities will operate as follows:

- **Cooperative Agreements:** Through existing authorities the project management office 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.

- **Community Empowerment Teams:** Technical assistance for communities is delivered through national capacity builders providing in-depth support over a two-year period to selected communities and through regionally located Community Empowerment Teams available to provide more targeted interventions. These Teams bring a combination of 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 critical infrastructure projects. Community Empowerment Teams--composed of state or regional technical assistance partnerships including with state Departments of Transportation or Metropolitan Planning Organizations—will work directly with state, local, or tribal governments, United States territories, metropolitan planning organizations, transit agencies, or other political subdivisions of state or local governments. These teams will be supported through cooperative agreements from the Thriving Communities Program to offer new types of technical assistance targeted to supporting multiple communities within a specific geographic region

DOT Navigator: Utilizing web-based platforms and technologies, the DOT Navigator will provide information to help potential applicants and new grantees successfully navigate the federal grant application process and access technical assistance resources to support project development, design, and delivery of local infrastructure projects that align with the goals of Thriving Communities. Through existing authorities, the PMO will contract services to develop tools for the Navigator that make it easier for low-resource and disadvantaged communities to identify and respond to DOT funding opportunities such as digital tools to better match potential projects to funding opportunities and interactive maps.

Interagency Thriving Communities Network. Community Empowerment teams and Thriving Communities capacity-building providers will be supported by the interagency Thriving Communities Network to align federal agency efforts on the ground operating out of federal regional and division offices and existing hubs embedded into the community, such as community centers and colleges, town halls, churches, and drop-in centers.

FY 2023 Anticipated Accomplishments:

The DOT is planning on awarding three to six cooperative agreements in FY 2023 for national capacity builders and an additional three to six cooperative agreements for Community

Empowerment Teams. Each cooperative agreement will provide support to 10 to 15 communities (30-90 communities). Additional funds in FY24 will support proportionately more communities. Based on the Budget request, 120 to 350 communities could receive technical assistance support under the program.

The DOT Navigator launched in 2022, was further enhanced in FY 2023 to provide real-time, tailored technical assistance support to communities looking to access the Department’s existing technical assistance resources to enhance the ability to access and navigate DOT funding programs, training, technical assistance, best practices, and other resources that support the ability of communities to identify, plan, and deliver transformative projects.

In addition to transportation and community revitalization outcomes, the Bureau increased local capacity to improve project acceleration, access to and management of federal funding and innovative financing, workforce development, and community and stakeholder engagement. It also created a coordinated process for interested disadvantaged communities to apply for and receive technical assistance aligned with the goals of Thriving Communities and enhanced project delivery.

Funding Changes:

The FY 2024 Budget Request of \$75 million will allow the program to support more disadvantaged communities across the country.

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

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. Continued funding for Thriving Communities in FY 2024 will enable DOT to support up to 350 technical assistance recipients, including at least one recipient in each U.S. state and territory.

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 2023 Enacted	\$25,000	0	0
Adjustments to Base			
Annualization of Prior Pay Raises	\$0	0	0
Annualization of Positions Previously Requested	\$125	0	1
FY 2024 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	\$184	0	0
Subtotal Adjustments to Base	\$309	0	1
FY 2024 Baseline Estimate	\$25,309	0	1
Program Changes (+/-):	\$74,691	0	-1
FY 2024 Request	\$100,000	0	0

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	-	-	26,000
TOTAL	-	-	26,000

STAFFING

Direct FTPs	0	0	0
Direct FTEs	0	0	0

Appropriations Language**ELECTRIC VEHICLE FLEET**

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, \$26,000,000, 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.

Program and Performance Statement

The Administration's goal of transitioning to a fully Zero Emission Vehicle (ZEV) federal fleet is being executed by this Program. It oversees the acquisition and deployment of vehicles which are battery electric, plug-in electric hybrid, and hydrogen fuel cell vehicles. It will also ensure to acquire the necessary vehicle charging and refueling infrastructure. These acquisitions are a significant step towards eliminating tailpipe emissions of greenhouse gases (GHG) from DOT's fleet and aligning the 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?

Pursuant to the requirements in Executive Orders (EO) 14008 and 14057, the Department of Transportation (DOT) is continuing to transition conventional fuel vehicles to Zero Emission Vehicles (ZEV) in its federal fleet. The DOT budget supports funding for the acquisition of ZEVs (battery electric, plug-in electric hybrid, and hydrogen fuel cell vehicles) to support mission requirements while also funding the acquisition and installation of vehicle charging and refueling infrastructure. To ensure effective and efficient deployment of ZEVs, DOT will continue to use iterative multi-year planning to reflect the latest key information regarding mission requirements, vehicle model availability, and relevant costs. Additionally, the Department will continue to optimize fleet composition by acquisitioning more zero emission vehicles which will serve as a foundation to achieve the President's ZEV goal.

The Agency is coordinating these efforts to eliminate tailpipe emissions of Greenhouse Gases (GHG) from the DOT fleet and exceed the ZEV transition goals in EOs 14008 and 14057. Integral to this transition is the growth in the number of agency-accessible charging stations. Funding for these DOT ZEV activities are part of the President's Budget for ZEVs and charging infrastructure which is contained within the individual budgets of 24 federal agencies, including ZEV federal fleet dedicated funds at the General Services Administration (GSA). 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.

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

This Program will help significantly reduce tailpipe emissions of GHG from the DOT fleet in accordance with the EOs 14008 and 14057. More importantly, it will continue DOT's ability to achieve the President's goal of a fully ZEV federal fleet. This action is critical because tailpipe emissions are currently the leading source of GHG emissions that threaten the planet and harm U.S. communities. The FY 2024 Budget Request will support funding for the acquisition of 330 ZEVs to support mission requirements, while also funding the acquisition and installation of 474 vehicle charging and refueling infrastructure.

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 2023 Enacted	\$0	0	0
Adjustments to Base			
Annualization of Prior Pay Raises	\$0	0	0
Annualization of Positions Previously Requested	\$0	0	0
FY 2024 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 2024 Baseline Estimate	\$0	0	0
Program Changes (+/-):	\$26,000	0	0
FY 2024 Request	\$26,000	0	0

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	-	-	-
TOTAL	-	-	-

<u>STAFFING</u>			
Direct FTPs	26	47	62
Direct FTEs	14	37	52

Program and Performance Statement

The Operational Support Account provides funding for the coordination of the implementation of the Bipartisan Infrastructure Law and for the award, administration, or oversight of any financial assistance programs funded in the Bipartisan Infrastructure Law.

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

FUNDING LEVELS

ITEM	AMOUNT	FTP _s	FTE _s
FY 2023 Enacted	\$0	47	37
Adjustments to Base			
Annualization of Prior Pay Raises	\$0	0	0
Annualization of Positions Previously Requested	\$0	0	0
FY 2024 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 2024 Baseline Estimate	\$0	47	37
Program Changes (+/-):	\$0	15	15
FY 2024 Request	\$0	62	52

INDEFINITE
BUDGET
AUTHORITY
ACCOUNTS

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	2,343	2,423	2,556
Travel	7	7	7
Other Costs	1,365	1,440	3,641
Programs	87,172	130,262	148,207
TOTAL	90,887	134,132	154,411

STAFFING

Direct FTPs	14	14	14
Direct FTEs	13	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)

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	8,707	9,509	10,000
Travel	-	-	-
Other Costs	-	491	-
Programs	241,293	240,000	240,000
TOTAL	250,000	250,000	250,000
<u>STAFFING</u>			
Direct FTPs	31	35	35
Direct FTEs	24	33	35

Program and Performance Statement

This is the Program Account for the Transportation Infrastructure Finance and Innovation Act (TIFIA) Program that receives funding from the Highway Trust Fund. The TIFIA Program provides credit assistance for eligible transportation projects of regional and national significance.

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

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

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

Congress created the TIFIA program as part of its 1998 enactment of the Transportation Equity Act for the 21st Century (TEA-21, P.L. 105-78), as amended by the TEA-21 Restoration Act (Title IX, P.L. 105-206), further amended in 2005 by the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU, P.L. 109-59), amended and restated in 2012 by the Moving Ahead for Progress in the 21st Century Act (MAP-21, P.L. 112-141), amended in 2015 by the Fixing America's Surface Transportation (FAST) Act (P.L. 114-94), and most recently, as amended in 2021 by the Bipartisan Infrastructure Legislation (BIL) (P.L. 117-58).

The National Surface Transportation and Innovative Finance Bureau (also known as the Build America Bureau or Bureau) is responsible for overseeing the development and providing financing for 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 develops and shares expertise with stakeholders interested in possible public-private partnership (P3) arrangements to facilitate project development, construction, operations, and financing in appropriate situations.

In addition to direct funding for the TIFIA program, BIL 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 95 projects across the United States, including 5 intermodal projects, 63 highway projects, and 27 transit projects. Currently, the TIFIA Program's portfolio represents over \$131 billion in infrastructure investment across the country. The TIFIA Program has 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 leverages 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 BIL 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. During this Administration, the Department has closed 28 loans and extended \$12 billion in credit support. The TIFIA Program places emphasis on projects that align with the President's focus on providing good-paying jobs, while tackling the challenge of climate change and enhancing racial equity.

FY 2023 Anticipated Accomplishments:

- The Bureau currently has a pipeline of projects in project development and creditworthiness review, which could add more than \$40 billion in infrastructure investment when constructed. These projects will be ready for loan closing in FY 2023 and FY 2024.
- The Bureau anticipates closing 10 to 12 new loans in FY 2023, totaling approximately \$6 billion in value.
- The Rural Projects Initiative (RPI) represents a targeted and significant easing of the barriers to participation in the TIFIA program for underserved communities and undersubscribed rural loans. The Bureau will expand RPI projects to more states in FY 2023.
- The Bureau will continue to reach out to underserved communities, states, and tribal governments historically under-represented in applicants for TIFIA products, using virtual meetings, webinars, and training sessions. The new enhanced outreach will center around 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 strengthen the risk management team that will monitor market risks and strategically manage the 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 like functions carried out by commercial banks. The Bureau will expand its portfolio asset classes to align with new policies such as TOD, rail, fleet electrification, electric car charging station, adoption of transformative technology, and loans to state infrastructure banks (SIBs) for rural and underserved community projects.

Funding:

The TIFIA program funding is authorized in the Bipartisan Infrastructure Legislation (BIL) (P.L. 117-58; Sec. 11101(a)(2)) which provides \$250 million each year through fiscal year 2026.

The Federal Highway Administration has an administrative provision in the FY 2024 Budget that repurposes \$60 million of unobligated balances from the TIFIA program to fund the Active Transportation Infrastructure Investment program.

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 also facilitates projects that would otherwise be delayed or deferred due to a lack of funding. By stimulating investment in the country's transportation infrastructure, the TIFIA Program improves the economy through job creation, improved mobility, and enhanced transportation options via new eligibilities under BIL for TOD, helping American businesses improve productivity and competitiveness, and improving 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 under BIL 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 the 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 rates and flexible terms and conditions. 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 economies of scale.

Attracting Private Debt and Equity: In addition to stimulating new revenue streams, TIFIA credit assistance can help attract private debt and equity participation in transportation projects. One such example is Project NEXT, which closed in February 2022. This project involved the extension of the existing Capital Beltway managed lanes to provide additional capacity in the corridor in Northern Virginia under a P3 agreement with the Virginia Department of Transportation. The project's private sponsor contributed over \$260 million in equity, in addition to a \$212 million TIFIA loan approved to fund the project. The balance of project funding came from proceeds of PABs and a SIB loan.

Enhancing Economic Competitiveness: By facilitating projects that would have been delayed or deferred, the TIFIA Program will help modernize our transportation system, which advances

communities and helps American businesses compete and grow in the global economy. The TIFIA Program accelerates project delivery by stimulating new revenue streams for transportation projects and attracting private investment. Furthermore, TIFIA funding leverages limited federal funds, so that a relatively small federal commitment stimulates 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)

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	20,000	20,000	20,000
TOTAL	20,000	20,000	20,000

<u>STAFFING</u>			
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) directed the Department to establish a new program to provide expert services and grants to eligible entities to enhance their technical capacity to identify, evaluate, and develop asset concessions and innovative financing approaches to infrastructure development, delivery, operations, and maintenance. Under this program, eligible public entities, including states, tribal governments, agencies or instrumentalities of a state or tribal government, units of local governments, special purpose districts, or public authorities can apply for grants to evaluate innovative financing approaches, such as public-private partnerships in which a private sector partner assumes a greater role in project planning, development, financing, construction, maintenance, and operation.

Grants can be either:

- Funds recipients use to build their organizational capacity to develop, review, and enter into an asset concession, or
- Services of qualified and experienced advisory firms to provide the recipient project level planning and financial analysis assistance.

These grants in either form may 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, and cost-benefit and other early development activities and analysis.

This grant program is located within the Build America Bureau (Bureau) in the Office of the Under Secretary of Transportation. The Bureau is planning to solicit applications via a Notice of Funding Opportunity (NOFO) and will recommend grant recipients to the Secretary based on criteria in the NOFO. The Bureau is conducting a competitive procurement to hire qualified and experienced advisory firms. The Bureau is working to provide services of appropriate expert firms, depending on the needs of the selected grant recipients, or provide funding. The Bureau administers and oversees the Grant Program, tracking and reporting on program performance metrics.

FY 2023 Anticipated Accomplishments:

- In FY 2023, the Build America Bureau expects to announce the first round of grant awards and solicit the second round of grant applications.

Funding:

The Asset Concessions and Innovative Finance Grants Program is included in the Bipartisan Infrastructure Law (Public Law 117-58, Division G, Title X, Section 71001), which provides \$20 million each year through fiscal year 2026.

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

Many public transportation project sponsors lack the resources and capacity to identify and screen assets that have the potential for innovative financing solutions. Conducting pre-procurement analysis to identify the optimal means of project procurement, finance, and delivery requires skillsets and resources many public entities do not have, especially those in smaller, underserved, and rural jurisdictions. Consequently, good projects and innovative solutions do not get off the drawing board or are delivered inefficiently or ineffectively.

Asset Concessions will aid public asset owners, particularly those who have not used innovative financing structures, in identifying the optimal means of project delivery, among traditional procurements, public-private partnerships, and other innovative means, which will result in more informed decisions, better allocation of risks, improved efficiency, lower lifecycle costs, and faster project delivery.

In addition, the Bureau will capture and disseminate best practices identified and proven through this program to help inform project sponsors nationwide about their project, procurement, finance, and delivery options. The Bureau will disseminate these best practices through direct technical assistance, regional infrastructure accelerators, and the Build America Center, the 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)

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	92,903	92,903	92,903
Travel	4,040	4,040	4,040
Other Costs	248,057	248,057	248,057
Programs	-	-	-
TOTAL	345,000	345,000	345,000

<u>STAFFING</u>			
Direct FTPs	633	633	633
Direct FTEs	555	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, Operating Administrations, other governmental elements, and nongovernmental 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?

Within the Department of Transportation (DOT), the John A. Volpe National Transportation Systems Center (Volpe Center) was established 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 DOT, other federal agencies, state and local governments, other public authorities, private organizations, and foreign countries. The Volpe Center is mostly 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 DOT and with other key stakeholders, adding value through technical excellence, innovation, and a commitment to public service.

The Volpe Center's multidisciplinary staff of federal employees work across all modes of Etransportation 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, modal, 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 2023 Anticipated Accomplishments:

- Providing ongoing support to safety programs across the OAs, ranging from efforts to advance the safe integration of new entrants into the National Airspace System including Unmanned Aircraft Systems to improving rail safety by supporting the Federal Rail Administration's efforts to reduce highway-rail grade crossing and trespassing incidents to motor carrier safety and analysis.
- Working in support of the OAs and offices across DOT and other federal agencies to implement the provisions of the Bipartisan Infrastructure Legislation - a once-in-a-generation investment in our nation's infrastructure and competitiveness.
- Providing technical support to the Office of the Assistant Secretary for Research and Technology and its responsibilities under Executive Order (EO) 13905, *Strengthening National Resilience Through Responsible Use of Positioning, Navigation, and Timing (PNT) Services*. The EO requires development and implementation of a pilot program addressing vulnerabilities of PNT services for sector risk management agencies and a final report that provides recommendations for strengthening the maritime sector PNT services and lessons learned for future pilot programs.
- Performing Automated Vehicle Research in support of DOT and other federal organizations.
- Providing ongoing technical support to the Highly Automated Systems Safety Center of Excellence.

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

The Volpe Center has had a sustained impact on advancing National transportation goals and its work aligns with the 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

Section 3 – FY 2024 Budget Request by Account

- 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 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
WCF DOT Activities	243,638	435,440	501,920
WCF Shared Services	152,838	69,845	20,245
WCF Non-DOT Activities	306,609	258,940	224,070
TOTAL	703,085	764,225	746,235

STAFFING

Direct FTPs	297	311	327
Direct FTEs	258	299	315

Appropriations Language**WORKING CAPITAL FUND**

[For necessary expenses for operating costs and capital outlays of the Working Capital Fund, not to exceed \$505,285,000, shall be paid from appropriations made available to the Department of Transportation: Provided, That such services shall be provided on a competitive basis to entities within the Department of Transportation: Provided further, That the limitation in the preceding proviso on operating expenses shall not apply to entities external to the Department of Transportation or for funds provided in Public Law 117-58: Provided further, That no funds made available by this Act to an agency of the Department shall be transferred to the Working Capital Fund without majority approval of the Working Capital Fund Steering Committee and approval of the Secretary: Provided further, That no assessments may be levied against any program, budget activity, subactivity, or project funded by this Act unless notice of such assessments and the basis therefor are presented to the House and Senate Committees on Appropriations and are approved by such Committees.] (Department of Transportation Appropriations Act, 2023.)

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 Operating Administrations and other customers. In FY2024, the Working Capital Fund is projected to obligate nearly \$746 million across DOT, including \$20 million to continue the Department's implementation of a shared services environment for commodity information technology (IT) investments. The IT shared services initiative will modernize IT across DOT and improve mission delivery by consolidating separate, overlapping, and duplicative processes and functions. In FY2024, DOT will continue consolidating commodity IT services across Operating Administrations. 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 DOT 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 2024, the WCF estimates \$746.24 million in obligations, 327 positions, and 315 FTEs, including \$20.25 million to continue the Department's move towards implementing Shared Services.

FY 2024 Working Capital Fund Summary (000s)	
DOT WCF Activities	
Administration	\$229,014
Information Technology	\$272,906
Sub Total	\$501,920
DOT Shared Services	
Administration	\$0
Information Technology	\$20,245
Sub Total	\$20,245
Non-DOT Activities	\$224,070
TOTAL	\$746,235

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 Cyber Security Initiatives and other appropriations into the WCF;

- Providing the best value to the government through compliance with the Office of Management and Budget (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 information technology (IT) services to customers, including operating 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 them Department-wide.

WCF Services in FY 2024

The following section outlines the activities planned with the resources requested in FY 2024. The section is grouped by the three main programmatic areas: DOT Activities; Shared Services; and Non-DOT Activities.

WCF Services in FY 2024: DOT Activities

FY 2024 DOT Activities (000s)	
Administration	\$229,014
Information Technology	\$272,906
Total	\$501,920

Within DOT Activities, there are activities provided through the Office of Administration and the OCIO.

OFFICE OF ADMINISTRATION:**Administration Activities****\$229.014 million**

The OASA 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**\$9.993 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, Transportation Safety Institute, and the Surface Transportation Board which is independent of DOT; 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 is based on an allocation provided by the service provider, and no WCF Overhead is provided for this service.

Building Security**\$20.787 million**

The Building Security program provides security for the DOT Headquarters building, 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**\$3.969 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 **\$2.763 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 **\$6.140 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 **\$4.294 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 **\$1.855 million**

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

Financial Management, Accounting & Administration **\$13.353 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 **\$6.322 million**

This program manages multiple functions within DOT Headquarters, including the Events Center, Mail Management, Motor pool, and Fitness Center. The program coordinates concession activities such as the DOT cafeteria and works with General Services Administration (GSA) to coordinate facilities operated under the Randolph-Sheppard Act.

HQ Facility Operations & Management **\$76.515 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 request includes \$57.747 million for the consolidated shell rent payment to the General Services Administration which previously was funded by individual modal and OST Offices and DOT funded operating and maintenance costs.

Human Resource Systems

\$22.829 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 the ongoing HR systems modernization.

Human Resource Services

\$25.806 million

HR 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, and referral support to employees nationwide; health services; and a full range of executive and political resources for 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 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

\$7.040 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, and plaques and certificates.

Security Operations

\$13.812 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 **\$4.617 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 **\$6.853 million**

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

Unemployment Compensation **\$2.066 million**

The Department of Labor (DOL) 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. DOL bills the Department of Transportation on a quarterly basis for their unemployment charges.

CHIEF INFORMATION OFFICER:

Information Technology Activities **\$272.906 million**

The 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 IT workforce analysis completed in FY 2014. This realignment improved the management and efficacy of IT. Funding for the new positions will be realigned from the OCIO's contract line item.

Business Management and IT Administration

\$25.711 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 provides 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)

\$29.714 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; the maintenance for new security software and appliances; 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 and 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)

\$22.772 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 that 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 the 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 **\$52.991 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 **\$0.323 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 **\$9.137 million**

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

Records Management as a Service **\$0.722 million**

In accordance with 44 U.S.C. Chapter 31, all Federal Agencies must establish a records management program to oversee an active and continuing program for the management of the agency's records. The Records Management (RM) Office manages the program to plan, control, direct, organize, train, promote, and participate in other managerial activities involved in records creation, maintenance and use, and disposition to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations. The program complies with National Archives and Records Administration (NARA), GSA, OMB, and United States Code statutes and regulations.

Server Operations, Messaging and Directory Services **\$101.065 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 **\$30.471 million**

The Voice, Cable, and Wireless (VCW) component offers customers a wide range of telecommunications services such as desktop telephone service with voice mail, wireless

telephony, circuit analysis, cabling, billing analysis, inventory management, telecom coordination/customer service, teleconferencing, and customer special projects. The program also includes Email and Mobile Device Management (MDM) which allows the DOT mobile workforce to securely access email, check their calendars, and keep up with work contacts remotely.

WCF Services in FY 2024: Shared Services Activities

CHIEF INFORMATION OFFICER:

Information Technology Shared Services

\$20.245 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 2024, OCIO will continue to focus on investment-level commodity IT Spending. 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. 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 2024 Commodity IT Shared Services Spending Request (000s)	
Campus Area Network	\$0
Circuit Connections	
Cybersecurity as a Service	\$0
<ul style="list-style-type: none"> * Security Operations Center Services * Vulnerability Tracking & Remediation * Website Vulnerability Tracking * Weakness Identification, Tracking & Remediation * Incident Management for Commodity IT * PIV Card Infrastructure & Credentialing, Authentication & Access Control Services * System Contingency Planning & Testing * Security Planning, Authorization & Assessment * Security Awareness & Training * Continuous Monitoring Tool & Licensing, Departmental Governance * Risk & Compliance Tool (CSAM), Management & Support * Vulnerability Identification, and System Security Operation Policy & Guidance 	
Desktop Services	\$1,257
Desktop Support, Field Support, Anti-virus protection	
Directory & Messaging Services	\$0
Active Directory Services and Email Services	
Network Engineering	\$1,031
Network Hardware & Software, Networking Hardware & Software Support, and Secure Remote Access	
Server Operations (on premise and cloud)	\$6,480
<ul style="list-style-type: none"> * Common Server Services: Server Administration, Server Hardware & Software, Server Hardware & Software Support, Patch Management, Disaster Recovery, Storage and Hosting * Collaboration Services: Microsoft SharePoint and Microsoft Teams * Data Services: Enterprise Data Tools (Tableau, Cloudera, Socrata), Secure Data Platforms, and Data Dashboards * Enterprise Solutions: Transportation.gov Website, Enterprise Web Platform and Security, Electronic Document Management System, Oracle Licenses, and Geospatial Licensing & Support (ESRI) 	
Voice Cable & Wireless	\$11,477
Telephone & Voicemail Services, Video Teleconferencing, and Wireless Services	
Total	\$20,245

Commodity IT Shared Services Personnel

In support of the movement of commodity IT into the WCF, an additional 48 positions are required in direct correlation to the workload associated with commodity IT. The 48 positions 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 FY 2020 and continue to transition through FY 2023.

Seventeen of the 48 positions have been filled as of January 2023. 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 their operating administration. Positions not filled with internal candidates will be posted on USAJOBS until all positions have been filled.

WCF Services in FY 2024: Non-DOT Activities

The following section outlines the **Non-DOT Activities funded by Non-DOT sources** in FY 2024 and are only provided through the Office of Administration.

FY 2024 Non-DOT Activities (000s)	
Administrative Services	\$3,776
Employee Fitness Center Fees	\$166
Non-DOT Transit Benefits & Parking	\$220,069
Purchase Card Rebate Program	\$59
Total	\$224,070

Administrative Services

\$3.776 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

\$0.166 million

Fees collected from DOT employees for DOT Fitness Center membership.

Non-DOT Transit Benefits & Parking

\$220.069 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 Rebate Program

\$0.059 million

This program receives purchase card rebates from US Bank to oversee the Departmental purchase card program. This program provides mandatory training to all OAs (including FAA) and maintains support systems throughout the Department for ensuring compliance with the Government Purchase Card (GPC) laws and regulations.

Changes in the FY 2024 Request

The following section outlines the changes in resources planned in FY 2024. The section is grouped by the three main programmatic areas: DOT Activities, Shared Services, and Non-DOT Activities.

Changes in the FY 2024 Request: DOT Activities

DOT Activities \$63.642 million: Changes to the Lines of Business below make up the net change from FY 2023 requested levels:

OFFICE OF ADMINISTRATION: Administration Activities - \$1.848 million

- Building Security is increasing by \$1.294 million due to wage increases associated with the armed Protective Security Officer contract.
- Security Operations has an increase of \$5.014 million. New investigative and adjudicative standards have been mandated by the Office of the Director of National Intelligence which requires a significant upsurge in background investigations and a cost increase of \$4.143 million. Additional FTEs and an increase of \$0.889 million will be needed in the Personnel Security Administration business line to support increased program demands. A decrease of \$0.018 million is due to small refinements.
- Financial Management, Accounting and Administration has a decrease of \$1.724 million due to refined contract support estimates and realignment of shared services obligations.

- Headquarters Services Management increased by \$1.375 million for additional contractual support needed to cover wage grade increases for service contract and increased media team support to accompany the Secretary on travel/speaking events.
- HQ Facility Operations and Management has a decrease of \$11.783 million. The estimated actual cost for the Consolidated Facilities Operations and Maintenance under the delegation provided by GSA has resulted in a decrease of \$2.044 million from prior years and Headquarters Utilities has decreased by \$0.480 million. There is a net decrease of \$9.426 million which is driven by the consolidation of modal rent occupancy agreements into one DOT Headquarters rent agreement within the WCF. Minor refinements and contract escalations contribute a net increase of \$0.167 million.
- Human Resource Services is increasing by \$4.058 million. This was due to a \$3.071 million increase for the HR staffing functions center of excellence transition to operations. The remaining increase of \$0.987 million is primarily due to the additional contractual funding needed to support the Department's Bi-partisan Infrastructure Law (BIL) requirements.
- Information and Records is decreasing by \$0.732 million due to the decrease in program demand resulting from an increased virtual working environment.
- Substance Abuse Awareness & Testing has increased by \$1.463 million based on an anticipated increase in program demands related to BIL.
- Transit Benefits and Parking has a decrease of \$0.833 million due to refined estimates of program usage.
- Several WCF Business lines had small changes with a net increase of \$0.020 million.

CHIEF INFORMATION OFFICER: Information Technology Activities - \$68.328 million

- Business Management and IT Administration is increasing by \$13.305 million primarily due to centralizing the EITSS business and integration support contract from multiple business lines to the logistics and support services business lines, the acquisition of specific IT service management software modules for operating administrations, and fulfillment of vacancies.
- Campus Area Network is increasing by \$1.305 million due to filling vacancies.
- Cybersecurity as a Service is increasing by \$12.706 million due to the filling of vacancies and the acquisition of cybersecurity tools.

- Desktop Services is increasing by \$6.888 million due to filling vacancies and revised EITSS contract estimates reflecting current and increased costs for license renewals.
- Enterprise Licenses is increasing by \$2.647 million due to the cost differential of the MS ELA G3 license to G5 transitioning from the Cyber Appropriation to the WCF.
- Records Management as a Service is being moved from WCF Admin Operations into the WCF OCIO and is increasing by \$0.722 million over the FY2023 request submitted under the Administration Operations due to the investment in modernization practices and tools to manage the program and be in compliance with current regulations.
- Server Operations Messaging & Directory Services has a net increase of \$30.661 million. Server Operations was split into (4) organizational segments to provide the customer better transparency into its cost recovery billing.
 - Server Operations decreased by \$21.632 million to appropriately catalog the services for customer budgetary and billing purposes.
 - Cloud Computing Solutions has an increase of \$21.752 million due to growth in the utilization of cloud services. This increase includes filling vacant positions, contractor FTE support and consumption.
 - Data & Analytic Solutions increase of \$9.452 million is due to filling vacant positions and investment in new data management tools.
 - Applications & Digital Solutions \$21.753 million increase stems from the filling vacant positions, contract cost increases, and the transition of OST application program management.
 - Directory & Messaging Services has a decrease of \$0.664 million.
- Other net increases of \$0.094 million for IT Activities have been incorporated and are reflected in the revenue estimates to the WCF customers.

Changes in the FY 2024 Request: Shared Services

Shared Services – (-\$46.529) million: Commodity IT refinements result in a decrease of \$46.529 million.

CHIEF INFORMATION OFFICER: Information Technology Activities – (-\$46.529) 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.

Changes in the FY 2024 Request: Non-DOT Activities

Non-DOT Activities – (-\$34.870) million: Changes to the Non-DOT Activities below make up the net change.

A decrease of \$33.918 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 have a net decrease in the amount of \$0.952 million due to minor changes in customer demand across multiple business lines.

Anticipated FY 2023 Accomplishments:

OFFICE OF ADMINISTRATION: OASA 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 using 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.
- Continue 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.
- Support of the consolidated GSA Occupancy Agreement to govern rental payments to GSA for rentable space for the Headquarters Building. Provide operations and maintenance (O&M) including above standards services. The WCF will collect funds from DOT modes

and offices to fund building O&M costs that include the facilities service contract, utilities, water & sewage, and FTEs to provide facilities oversight, many of these costs previously funded through rental payments to GSA and are now funded by DOT in accordance with the delegation of O&NM responsibilities.

CHIEF INFORMATION OFFICER: In FY 2023, 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 2023 will:

- Improve the cybersecurity posture of agency enterprise infrastructure and services by leveraging enterprise delivery of relevant tools, technology, and activities
- 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 exposure to unacceptable cybersecurity and privacy risks;
- Improve user experience through increased service reliability and the use of human-centered design;
- Leverage economies of scale to reduce unit costs and/or expand support coverage;
- Implement recruitment strategies to fill Shared Service vacancies; and
- Establish governance standards policies and advisory services across DOT’s shared cloud platforms to enable IT modernization and digital transformation across the department.

In FY 2023, OCIO anticipates continuing the transition of commodity IT, including associated security needs, into the WCF. By the end of FY 2023, we anticipate that 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, create greater efficiency for IT operations, and present 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 2023 Enacted		\$505.285
FY 2024 Program Changes		\$16.880
Description	Explanation	(+/-)
<i>Assistant Secretary for Administration</i>		
Building Security	Wage increases associated with the armed Protective Security Officer contract	\$1.294
Security Operations	New Background investigation and adjudication standards requiring more frequent investigations. (4) Additional FTE needed in Personnel Security to assist with IIJA Bill demands.	\$5.014
Financial Mgmt, Accounting, & Administration	Realignment of program cost and refinement of contract estimates	(\$1.724)
Headquarters Services Management	Increase support needed for Mail Services program and in the DOT Event Center to support the Secretary's speaking engagements	\$1.375
HQ Facility Operations & Management	Updated cost for the Consolidated Facilities Operations and Maintenance contract. Consolidation of multiple DOT modal occupancy agreements into one WCF agreement	(\$11.783)
Human Resource Services	Staffing Functions Center of Excellence (COE) transitioned from shared services, increase in program demands related to IIJA Bill	\$4.058
Information & Records	Program demands have decreased as the virtual workplace continues to evolve	(\$0.732)
Substance Abuse Awareness & Testing	Increase in program demands related to IIJA Bill	\$1.463
Transit Benefits & Parking	Refined estimates of program usage	(\$0.833)
Shared Services	Staffing Functions COE transitioned into operational	(\$3.071)
Other	Changes in customer demand and refined user estimates	\$0.020
<i>Assistant Secretary for Administration Sub Total:</i>		<i>(\$4.919)</i>
<i>Chief Information Officer</i>		
Business Management & IT Administration	Centralization of integration and support contract previously spread amongst various business lines; additional IT service management software modules, and staffing of vacant positions	\$13.305
Campus Area Network (CAN)	Staffing of vacant positions	\$1.305
Cybersecurity as a Service	Staffing of vacant positions	\$12.706
Desktop Services	Increase in contract estimates which include increased cost for license renewals	\$6.888
Enterprise Licenses	Additional license cost previously covered Cyber Appropriation	\$2.647
Records Management as a Service	Transferred program management from Admin Operations	\$0.722
Server, Messaging & Directory Services	Growth in the utilization of cloud services; investment in new data management tools; and transition of OST application program management	\$30.661
Other	Estimate refinements and contract increases	\$0.094
Shared Services	Refinements of Commodity IT not previously identified	(\$46.529)
<i>Chief Information Office Sub Total:</i>		<i>\$21.799</i>
Total FY 2024 Request		\$522.165

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

		FY 2024 Request				
Operating Administration		Admin	Admin SS	OCIO	OCIO SSC	Total
OST		\$ 26,499	\$ -	\$ 24,104	\$ -	\$ 50,603
FAA		48,379	0	17,515	0	\$ 65,894
FHWA		24,984	0	49,534	0	\$ 74,519
FRA		10,343	0	17,866	0	\$ 28,209
NHTSA		14,981	0	28,849	0	\$ 43,830
FTA		10,576	0	13,205	0	\$ 23,781
GLS		730	0	1,823	0	\$ 2,553
VOLPE		1,128	0	5,176	8,907	\$ 15,211
MARAD		10,793	0	12,867	0	\$ 23,660
OIG		6,798	0	3,710	0	\$ 10,508
FMCSA		13,214	0	38,824	0	\$ 52,038
OST-R		6,093	0	6,648	0	\$ 12,741
PHMSA		8,918	0	13,863	0	\$ 22,781
DOT Unspecified		25,329	0	27,702	11,338	\$ 64,369
	SUBTOTAL	\$208,766	\$ 0	\$261,685	\$20,245	\$490,696
<u>Other Expenses</u>						
Capital Assets		\$ 0	\$ 0	\$ 12,430	\$ 0	\$ 12,430
Depreciation		0	0	(11,554)	0	(11,554)
Net NON-DOT Intrafund Costs		6,690	0	0	0	6,690
Net WCF Intra Fund Costs		13,558	0	10,345	0	23,903
	TOTAL	\$229,014	\$ 0	\$272,906	\$20,245	\$522,165

Legend:

SSC: Shared Services Commodity

Crosswalk of DOT Operating Costs/Expenses

The WCF is a fee-for-service operation that receives no direct appropriations. 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 OA during the fiscal year.

To crosswalk the DOT customer operating costs to DOT obligations, it is necessary to account for items that at the time of budget formulation were not directly (a) attributable to a specific customer or (b) 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 2024 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 2024 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)

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	5,155	5,350	5,648
Travel	2,020	2,020	2,020
Other Costs	12,825	12,630	12,332
Programs	-	-	-
TOTAL	20,000	20,000	20,000

<u>STAFFING</u>			
Direct FTPs	35	35	35
Direct FTEs	39	39	39

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 in 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 governments, 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 the Federal Aviation Administration (FAA) and the National Transportation Safety Board’s (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 the Department of Defense's (DOD) Foreign Military Sales (FMS) has increased by 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 2023 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.
- Create and deliver Basic and Advanced Rail Investigation courses to railroad inspectors and the railroad industry in a joint collaboration with FRA.

Funding:

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)

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	12,115	12,551	10,612
Travel	130	130	130
Other Costs	8,674	8,488	10,677
Programs	5,081	5,081	5,081
TOTAL	26,000	26,250	26,500

<u>STAFFING</u>			
Direct FTPs	65	65	65
Direct FTEs	48	55	55

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.

The United States 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 into 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 2023 Anticipated Accomplishments:

- Continue to produce key statistics on commercial aviation, multimodal freight transportation, transportation economics, and more than 40 monthly and weekly indicators of transportation activity.

- Convene and led the 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 helped shape the Department's equity action plan. Initiated work on estimating the cost burden of transportation, the geographic availability of public transit, and the collection of small-area data to support equity analysis.
- Complete 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.
- Publish essential data from the Vehicle Inventory and Use Survey, restoring the survey after a 20-year hiatus.
- Initiate a plan to measure the effects of transportation system on economic competitiveness.
- Establish a Freight and Supply Chain Benchmark Statistics Series to 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 program.
- Develop and began implementing a workplan for providing data and analysis tools to support state, local, and tribal decision-making [IIJA Sec. 25003].

Funding:

BTS program funding is authorized in the Bipartisan Infrastructure Legislation (Public Law 117-58; Sec. 11101(c)(1)(F)). The authorized funding supports 65 positions and other administrative expenses.

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

The authorized levels ensure BTS' ability to support the Department's increasing transportation data, analysis, and statistical needs at this time when 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 continuous 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, policymakers, 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 commercial 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, which catalyzes innovation.

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	888	779	675
Travel	100	100	100
Other Costs	212	329	440
Programs	78,800	79,293	79,785
TOTAL	80,000	80,500	81,000

STAFFING

Direct FTPs	5	5	5
Direct 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 that 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 including 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 in the 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, the Office of Research and Technology supports and strengthens the 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. To develop the multimodal transportation system for 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 2023 Anticipated Accomplishments:

The UTC Program plans the following activities for FY 2023:

- The formulation, development, and announcement of a UTC competitive solicitation for three types of UTCs (National, Regional and Tier 1 centers) as authorized in law based on proven industry 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 2023 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.
- Conducting 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:

UTC program funding is authorized in BIL (Public Law 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 BIL (Public Law 117-58; Division J, Title VIII) **includes a supplemental advanced appropriation of \$19 million to be appropriated each year through fiscal year 2026**, 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 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.

**BIL
SUPPLEMENTAL
ADVANCE
APPROPRIATIONS**

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

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	2,500,000	2,500,000	2,500,000
TOTAL	2,500,000	2,500,000	2,500,000

<u>STAFFING</u>			
Direct FTPs	0	0	0
Direct FTEs	0	0	0

EXHIBIT III-1
OFFICE OF THE SECRETARY OF TRANSPORTATION
NATIONAL CULVERT REMOVAL, REPLACEMENT, AND RESTORATION
GRANTS PROGRAM (BIL SUPPLEMENTAL)
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	200,000	200,000	200,000
TOTAL	200,000	200,000	200,000

STAFFING

Direct FTPs	0	0	0
Direct FTEs	0	0	0

Program and Performance Statement

The National Culvert Removal, Replacement, and Restoration Grant Program (Culverts Grant Program) provides grants to states, local governments, and tribes to address anadromous fish passage (e.g., aquatic organism passage), as well as certain freshwater impacts to marine fish and shellfish species. The competitive grant program also prioritizes projects that would have a meaningful impact on imperiled and climate-resilient anadromous fish stocks.

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. This competitive Grant Program also prioritizes projects that will have a meaningful impact on imperiled and climate-resilient anadromous fish stocks.

Waterway crossings, including bridges and culverts, represent a key element in the 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

FY 2023 Anticipated Accomplishments

By the end of FY 2023, pursuant to Section 21203 of the BIL, the Department will have reviewed applications and made awards in the amount of \$200 million to local, state, 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 anadromous fish passage around or over the weir and weir improvements.

The Department will have also entered into contracts with subject matter experts and hired staff to help administer and effectively manage the program, engaging in needed research, conducting peer exchanges, developing training, and formulating case studies and pilots to identify best practices and enhancement of potential co-benefits, including climate resilience. Finally, the Department will have issued a Notice of Funding Opportunity for funding in the amount of \$200 million for this program for FY 2024.

Funding:

The National Culvert Removal, Replacement, and Restoration Grants Program is included in the Bipartisan Infrastructure Law (Public Law 117-58, Division J, Title VIII, Section 21203) and

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>

includes a supplemental advance appropriation of **\$200 million** to be appropriated each year through fiscal year 2026.

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 habitats 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 the 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 2024 funding provided by BIL-advance appropriations will continue to 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 habitats 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 habitats. This enables 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 enables 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 the Director of the U.S. Fish and Wildlife Service and coordination with the Office of Management and Budget, the program prioritizes projects that will have a meaningful impact on declining stocks. It also helps develop the needed expertise to identify best practices and strategies to reduce the harm of roadways on aquatic organisms and enhances co-benefits, including water management and climate resilience. In alignment/conjunction with similar Aquatic Organism Passage aspects of the BIL, this program empowers 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 (BIL
SUPPLEMENTAL)
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	100,000	100,000	100,000
TOTAL	100,000	100,000	100,000

<u>STAFFING</u>			
Direct FTPs	0	0	0
Direct FTEs	0	0	0

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 the 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 the use of innovative aviation technology, smart grid, and smart technology traffic signals. The Program is structured in two stages, in which applicants initially seek Stage 1 Planning and Prototyping Grants (up to \$2 million and up to 18 months period of performance). Selected projects are then eligible to apply for Stage 2 Implementation Grants (up to \$15 million and up to 36 months period of performance).

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 demonstrating technologies in complex environments and building local capacity and expertise, leading to technology transfer and commercialization, enhanced economic growth, thus positioning the United States to lead in the global industry of Smart Cities¹ technology.

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>).

FY 2023 Anticipated Accomplishments:

The SMART Grants Program plans the following activities for FY 2023:

- Launch of the first Notice of Funding Opportunity for SMART Grants in first quarter of FY 2023, make award selections by the end of the second quarter of FY 2023, and establish grant agreements with 30-50 awardees of Stage 1 Planning and Prototyping grants.
- Continue convening and programming for SMART grantees, which may include communities of practice, webinars, and in-person events.
- Develop the second program Notice of Funding Opportunity that will support both Stage 1 Planning and Prototyping Grants and Stage 2 Implementation Grants.
- Continue external engagement with state, local, and tribal elected leadership and transportation systems leadership to encourage participation in the SMART Grant Program.
- Continue engagement with key industries that would likely participate in SMART Grant proposals, including automotive, broadband, construction, data systems, mapping, sensing, and traffic signalization industries.
- Continue engagement with academic partners that would likely participate in SMART Grant proposals, including University Transportation Centers and stakeholders of the Transportation Research Board.
- Continue engagement with all other 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.
- Continue engagement with federal agencies with interests in transportation and connectivity technologies, including the Department of Energy, Department of Commerce, and the National Science Foundation.
- Continue participation in national conferences to promote the SMART Grant Program.
- Offer technical assistance to proposing teams whose proposals are not selected for funding.

Funding:

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 through fiscal year 2026**, in addition to any amounts made available under Section 25005.

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

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 (BIL SUPPLEMENTAL)
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	-	-	-
Travel	-	-	-
Other Costs	-	-	-
Programs	1,000,000	1,000,000	1,000,000
TOTAL	1,000,000	1,000,000	1,000,000

STAFFING

Direct FTPs	0	0	0
Direct FTEs	0	0	0

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 roadway fatalities and serious injuries for all road users, including pedestrians, bicyclists, public transportation users, motorists, and commercial operators. This Program supports the development of comprehensive safety action plans for Vision Zero or Toward Zero Deaths. Recipients are enabled 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 (SS4A) competitive Grant Program creates a dedicated source of funding to support investments to prevent transportation-related fatalities and serious injuries on the nation's roadways. The Program provides 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 in advanced appropriations for the SS4A Program funds 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 funds projects and strategies identified in action plans to improve safety through implementation efforts.

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 SS4A Program enables DOT to ensure equitable investment in the safety needs of underserved communities aligned with the Administration's priorities.

FY 2023 Anticipated Accomplishments:

- DOT will release a second round of Notice of Funding Opportunity for the \$1 billion Safe Streets Program.
- DOT will make round one of SS4A grant awards to local, regional, and tribal governments to develop roadway safety action plans and to execute specific projects and strategies. Five-hundred and ten award recipients will establish, or will be establishing, grant agreements.
- DOT will provide significant technical assistance to help potential applicants, including those less familiar with DOT grant programs, learn about the SS4A Grant Program and submit competitive applications, as well as technical assistance to new grant recipients to assist with the establishment of a grant agreement and compliance with federal grant requirements.

Funding:

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 an advance appropriation of \$1 billion to be appropriated each year through fiscal year 2026**, 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, the Nation faces a crisis on the roadways. DOT projected that an estimated 42,915 people died in motor vehicle traffic crashes in calendar year (CY) 2021, a 10.5% increase from the 38,824 fatalities in CY 2020. The projection is the highest number of fatalities since CY 2005 and the largest annual percentage increase in the Fatality Analysis Reporting System's history. Early estimates for the first nine months of CY 2022 indicate deaths will remain near those levels in 2022, while getting worse for incidents involving trucks as well as people walking, biking, or rolling. 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 2024 RESEARCH, DEVELOPMENT & TECHNOLOGY BUDGET REQUEST BY GOAL
BUDGET AUTHORITY
(in thousands of dollars)

Budget Account	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request	Applied	Tech Transfer	Facilities	Experimental Development	Major Equipment, R&D Equipment
A. Transportation Planning, Research & Development (TPR&D)	29,863	36,543	25,017	25,017	-	-	-	-
Administrative	29,863				-	-	-	
B. Research and Technology (R&T)	51,363	36,543	25,017	25,017		-		-
Research Priorities	4,218	5,718			-			
Climate Change Center	5,000	48,996	66,500	44,500	1,000	-	21,000	-
Advanced Research Projects Agency – Infrastructure (ARPA-I)	-	3,224	14,748	-	-	-	19,000	-
Highly Automated Systems Safety Center of Excellence	5,000	5,000	5,000	4,000	-	-	1,000	
Transportation Vulnerability and Resilience Data Program	-	3,000	19,000	-	-	-	-	
Interdisciplinary Law and Policy		600	-		-	-	-	-
GNSS Interference Detection Capability	7,000	5,000	-		-	-	-	
UTC Accelerated Bridge Clearinghouse	5,000	-		-	-	-	-	-
TRB Equity Metrics Study	1,500	-		-	-	-	-	-
GPS Backup/Complementary PNT Technologies	15,000	15,000	5,000	5,000	-	-	-	-
Competitive University Transportation Center (UTC) Consortia (FHWA)	[80,000]	[80,500]	[81,000]	[81,000]	-	-	-	-
			-					-
Administrative Costs			-					
Research & Technology Programs	8,645	11,454	17,752	17,752	-		-	
	51,363							
<i>Innovation</i>	38,508							-
<i>Accountability</i>								
		48,996	66,500					
		47,997	42,769					

EXHIBIT IV-2
DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY OF TRANSPORTATION
FY 2024 RD&T PROGRAM FUNDING BY DOT STRATEGIC GOAL
BUDGET AUTHORITY
(in thousands of dollars)

ACCOUNT/PROGRAM	DOT STRATEGIC GOALS						
	FY 2024 REQUEST	SAFETY	ECONOMIC GROWTH	EQUITY	CLIMATE & SUSTAINABILITY	TRANSFORMATION	ORGANIZATIONAL EXCELLENCE
A. Transportation Planning, Research & Development (TPR&D)	25,017	7,000	7,000	2,008	2,008	7,001	-
B. Research and Technology (R&T)	66,500	21,139	1,000	2,000	7,000	22,892	12,469
Research & Technology Salaries and Expenses	17,752	3,222	-		-	4,861	9,669
Research & Technology Priorities	14,748	3,637	-		-	11,111	
EO 13905 Implementation and GPS Signal Authentication/Resilience	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	- -	-
Advanced Research Projects Agency – Infrastructure (ARPA-I)	19,000	8,000	1,000	2,000	2,000	5,000	1,000
TOTAL	91,517	28,139	8,000	4,008	9,008	29,893	12,469

FY 2024 RESEARCH DEVELOPMENT & TECHNOLOGY SUMMARY

Research, Development & Technology (RD&T) activities within the Office of the Secretary (OST) planned in FY 2024 will be conducted by two offices with overarching RD&T activities 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). Below is a compilation of the TPR&D and OST-R detailed justifications, with 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 for implementing the Department's multimodal programs, formulating national and international transportation policies, championing 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:

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 latter 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 to track priority projects, IIPIC also develops and promotes tools and best practices to ensure that the burdens or negative impacts of transportation infrastructure are not disproportionately borne by disadvantaged communities. 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.

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 to 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 request would provide funds to advance pedestrian, bicyclist, and micromobility policy and program activities and applied research that cut across the authorities and programs of the Operating Administrations. The funding would enhance OST's ability to leverage walking, biking, and micromobility policy activities to support 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, or assess their 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 can 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. Transportation touches every part of American life 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. SSFA 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 (meeting 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, and 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 Bureau of Transportation Statistics/Office of Airline Information. This funding supports ongoing work that is the backbone 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 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. The program advocates for a multimodal transportation system of system through internal and external scanning of research, technologies, and advancements, and carries out activities and limited studies to elevate the state of the art in moving people and goods. 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 2024, the RD&T Coordination Program intends to expand its coordination, communication, and collaboration activities to address increased coordination, facilitation, and review responsibilities assigned to OST-R under the Bipartisan Infrastructure Law and 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 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 \$984 Million (FY

2023 Enacted) 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 statutory Consolidated Research Database mandates and Public Access compliance mandates, through alignment with the DOT Research Hub.

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 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 system 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.

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, comprised 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.

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; assessments of gaps and the state of the system and maturity of technologies to integrate the multimodal systems into one seamless system.

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 2024 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; and developing the concept of system-of-systems architecture.

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 2024.

Climate Change Center

In direct support of the research, data and analysis, and evidence-building efforts required to inform decisions, 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. The Center:

1. develops Department-wide policies and strategies to reduce greenhouse gas emissions and to make our transportation systems more resilient;
2. takes action to measure and reduce transportation-related greenhouse gas emissions and to mitigate the effects of climate change from transportation, especially for the most vulnerable and historically disadvantaged populations;
3. establishes a 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 on infrastructure.

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 are overseen by a Climate Council comprised of senior DOT leadership.

Scientific Integrity Program (SIP)

The Biden-Harris Administration Memorandum on Restoring Trust in Government Through Scientific Integrity and Evidence-Based Policymaking directed the Office of Science and Technology Policy (OSTP) to evaluate current policies and practices and recommend improvements to ensure scientific integrity in government. As part of this requirement, the National Science and Technology Council (NSTC) assessed current policies and practices government-wide and reported their findings in Protecting the Integrity of Government Science. This report

established principles that will foster a culture and practice of scientific integrity in the Federal government.

OSTP is now implementing the second phase outlined in the Presidential Memorandum⁷ to establish a framework for regular assessment and iterative improvement of agency scientific integrity policies and practices. The Memorandum also directs Federal agencies, including the U.S. Department of Transportation, to take a series of actions to support scientific integrity in government. These actions include:

- Appointing a Chief Science Officer and Chief Scientific Integrity Officer;
- Updating existing policy to reflect new OSTP requirements;
- Developing and deploying a scientific integrity training program;
- Developing procedures for implementing policy, including an administrative process for reporting and investigating scientific integrity allegations and implementing corrective actions;
- Developing an approach to resolving disputes about scientific methods and conclusions;
- Maintaining website and social media material, including publishing of metrics on the number of investigations and appeals for all prior years.

Technology Transfer (T2) Program

The new Bipartisan Infrastructure Law (BIL) now requires (49 USC §6504) the Department to ensure that research investments result in changes to regulations or practice (49 USC §6504). Further, several White House efforts (one with a pending executive order) are underway aimed at improving domestic manufacturing and ensuring that Federal research innovations are patented and manufactured in the U.S. The effort also encourages DOT to establish and expand its technology transfer activities. OST-R's Office of RD&T intends to formally establish a coordinated Department-level and coordinated Technology Transfer (T2) Program with a technology transfer fund focused on maximizing the impact of all the Department's research products by facilitating identification of demonstrably beneficial technologies and innovations, adoption and/or commercialization and use of innovations and technologies, leading to "real world" benefits. The T2 Program will also be responsible for developing and maintaining systems to track the performance and outcomes of RD&T activities and progress. As such, the T2 Program will be responsible for meeting multiple statutory requirements, including those on Incorporation of Department of Transportation Research, the Consolidated Research Database, and Public Access to Federally Funded Research.

In FY 2024, DOT plans to expand its activities to ensure that: 1) 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 and 2) the Department meets the substantial new requirements on T2 activity and reporting specified in the Bipartisan Infrastructure Law, particularly on Incorporation of Department of Transportation Research. This expansion will involve strengthening and extending the use of a new system and artificial intelligence tools—the Consolidated Research Database that is the foundation for all T2 tracking, reporting, and planning, as well as T2 Coordination activities—and the Research Hub, the Department's public access portal for research information. These increased responsibilities will require increased funding and

additional FTEs to provide a dedicated T2 Program Manager, and other experts.

Advanced Research Projects Agency - Infrastructure (ARPA-I)

The Advanced Research Projects Agency - Infrastructure (ARPA-I) was authorized by the Bipartisan Infrastructure Law (BIL, Section 25012) in FY 2021 and received initial appropriations in FY 2023. ARPA-I's mission is to catalyze the development of innovative technologies, systems, and capabilities that transform the nation's physical and digital infrastructure to ensure American leadership. ARPA-I aims to build the future of transportation that is safe, secure, efficient and resilient, while achieving net-zero emissions and increasing equity and access to mobility for all.

ARPA-I, when fully funded, will ensure that the United States is a global leader in developing and deploying advanced transportation infrastructure technologies and solutions that can significantly enhance transportation safety and climate resilience, while increasing system efficiency and security, lowering the long-term costs of infrastructure, reducing greenhouse gas emissions, and increasing equity and access to mobility. ARPA-I will fund new research and development (R&D) programs in areas in which industry entities are unlikely to carry out projects due to technical and financial uncertainty; and which reach across DOT modal Administrations, enabling system solutions which no one mode could achieve.

ARPA-I will provide technical leadership to the Nation and tackle persistent infrastructure problems through the funding of innovative solutions guided by highly skilled science and engineering program directors. In partnership with industry, state and local governments, and academia, ARPA-I will also coordinate and collaborate with the DOT Operating Administrations and other Federal agencies to ensure that there is no duplication of effort.

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 2024 include identification and evaluation of transformative radiofrequency spectrum technologies Research will address PNT capability gaps such as interference to GPS and the need for PNT resiliency, including cyber resiliency; automated GPS interference detection; EO 13905 implementation, GPS signal and data authentication; and implementation of the Complementary PNT demonstration recommendations.

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 Departmental workforce 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. The HASS COE will be a convener in the DOT for AV safety research (i.e., automated vehicles and aircraft or automation of transportation) across all OAs. The HASS COE will support the Office of the Under Secretary for Policy in coordination across all Automated Driving Systems (ADS) Demonstration Grants, and in development and technology transfer of the VOICES testbed, leading multi domain efforts across DOT and federal government in combined use of each agency's test, virtualization, and simulation assets to support safe testing of highly automated systems.

SECTION 5:
INFORMATION
TECHNOLOGY
BUDGET
NARRATIVE

**INFORMATION TECHNOLOGY
DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY (OST)
BUDGETARY RESOURCES**

(\$000)

Budget Account	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
Cyber			
<i>Commodity IT SS WCF</i>	\$3.330	\$3.330	\$4.343
<i>Modal IT</i>	\$36.070	\$44.770	\$44.770
Cyber Total	\$39.400	\$48.100	\$49.113
Salaries and Expenses (S&E)			
<i>Commodity IT SS WCF</i>	\$12.030	\$14.829	\$19.761
<i>DOT Agency WCF Contribution Passthrough</i>	\$22.831	\$23.049	\$23.144
<i>Non-CIO IT WCF*</i>	\$10.893	\$9.981	\$4.12
<i>Modal IT</i>	\$30.946	\$29.865	\$29.865
Salaries and Expenses Total	\$76.700	\$77.724	\$73.182
Office of Research and Technology (OST-R)			
<i>Commodity IT SS WCF</i>	\$3.562	\$4.207	\$6.648
<i>Modal IT</i>	\$1.369	\$0.873	\$1.500
OST-R Total	\$4.931	\$5.080	\$8.148
Volpe			
<i>Commodity IT SS WCF</i>	\$14.295	\$14.295	\$14.083
<i>Modal IT</i>	\$7.086	\$7.086	\$7.125
Volpe Total	\$21.381	\$21.381	\$21.208
Total	\$142.412	\$152.285	\$151.651

*FY 2024 correction to show Non-CIO Admin- HR Systems only

The Office of the Secretary (OST) is requesting **\$151.651 million** in FY 2024 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 2024 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 **\$4.343 million** from the Cyber Appropriation Account, **\$19.761 million** from the Salaries and Expenses (S&E) Appropriation Account, **\$6.648 million** from the Office of Research and Technology (OST-R) Appropriation

Account, and **\$14.083 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 **\$412 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 **\$23.144 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 2024. 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 **\$49.113 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 **\$29.400 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 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 2024 Budget**Department of Transportation (DOT) Information Technology Budget Summary**

(Budgetary Resources in Thousands)

Operating Administration (OA)	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
Federal Aviation Administration (FAA)	\$3,179,900	\$3,275,620	\$3,278,495
Federal Highway Administration (FHWA)	\$116,360	\$113,605	\$115,998
Federal Motor Carrier Safety Administration (FMCSA)	\$42,323	\$64,200	\$100,200
Federal Railroad Administration (FRA)	\$33,124	\$33,883	\$40,754
Federal Transit Administration (FTA)	\$34,159	\$33,829	\$43,240
Great Lakes St. Lawrence Seaway Development Corporation (GLS)	\$2,533	\$2,527	\$3,728
Maritime Administration (MARAD)	\$33,545	\$40,634	\$23,692
National Highway Traffic Safety Administration (NHTSA)	\$60,546	\$66,870	\$70,547
Office of Inspector General (OIG)	\$11,233	\$12,545	\$15,786
Office of the Secretary (OST)	\$142,412	\$152,285	\$151,651
Pipeline and Hazardous Materials Safety Administration (PHMSA)	\$25,287	\$34,856	\$36,925
DOT Total	\$3,681,422	\$3,830,854	\$3,881,017

	FY 2022 Enacted	FY 2023 Enacted	FY 2024 Request
Commodity IT SS WCF Subtotal	\$167,498	\$207,896	\$243,828
Programmatic IT Subtotal	\$3,513,924	\$3,622,958	\$3,637,189
DOT Total	\$3,681,422	\$3,830,854	\$3,881,017

Note: Totals may not add due to rounding.

The Department of Transportation (DOT) is requesting \$3.881 billion in FY 2024 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.

FY 2024 Budget

Department of Transportation (DOT) Cybersecurity Budget Summary

(Budgetary Resources in Thousands)

National Institute of Standards and Technology (NIST) Framework	FY 2022 Actual	FY 2023 Enacted	FY 2024 Request
Detect	\$32,874	\$42,042	\$59,265
FHWA	\$130	\$90	\$100
FMCSA	\$35	\$57	\$0
FRA	\$268	\$302	\$340
FTA	\$44	\$44	\$45
NHTSA	\$656	\$850	\$880
OIG	\$52	\$367	\$122
PHMSA	\$252	\$405	\$268
OST ^{1/}	\$5,806	\$9,004	\$13,664
FAA	\$25,632	\$30,924	\$43,847
Identify	\$115,579	\$128,634	\$135,217
FHWA	\$4,110	\$3,150	\$3,170
FMCSA	\$1,318	\$2,136	\$1,392
FRA	\$294	\$331	\$360
FTA	\$1,395	\$1,414	\$1,433
MARAD	\$258	\$330	\$675
NHTSA	\$3,745	\$4,681	\$4,810
OIG	\$62	\$439	\$146
PHMSA	\$776	\$1,247	\$823
OST ^{1/}	\$28,418	\$24,734	\$34,203
FAA	\$75,203	\$90,172	\$88,204
Protect	\$169,038	\$198,744	\$201,545
FHWA	\$990	\$750	\$750
FMCSA	\$916	\$1,985	\$1,061
FRA	\$1,445	\$1,626	\$1,790
FTA	\$174	\$177	\$179
GLS	\$75	\$85	\$180
MARAD	\$378	\$482	\$505
NHTSA	\$1,225	\$1,700	\$1,760
OIG	\$58	\$410	\$137
PHMSA	\$291	\$468	\$309
OST ^{1/}	\$41,699	\$53,211	\$59,712
FAA	\$121,788	\$137,853	\$135,162
Recover	\$12,893	\$13,133	\$10,363
FMCSA	\$0	\$0	\$400

FRA	\$526	\$592	\$650
FTA	\$87	\$88	\$90
MARAD	\$502	\$640	\$673
NHTSA	\$788	\$985	\$1,010
OIG	\$14	\$100	\$33
PHMSA	\$349	\$561	\$371
OST ^{1/}	\$2,939	\$2,330	\$2,421
FAA	\$7,688	\$7,837	\$4,716
Respond	\$27,167	\$31,395	\$23,895
FHWA	\$220	\$160	\$170
FRA	\$132	\$149	\$160
FTA	\$44	\$44	\$45
MARAD	\$18	\$23	\$25
NHTSA	\$286	\$358	\$370
OIG	\$9	\$62	\$21
PHMSA	\$272	\$437	\$288
OST ^{1/}	\$3,181	\$6,855	\$6,891
FAA	\$23,005	\$23,306	\$15,926
FY24 Administrative Cybersecurity Priorities	\$0	\$0	\$12,329
DOT Total^{2/}	\$357,553	\$413,948	\$442,615

Note: Totals may not add due to rounding.

^{1/}OST also includes Volpe and WCF

^{2/} These amounts include discretionary and mandatory budget authority

SECTION 6:
TEN-YEAR
HISTORY TABLE

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

	FY 2015 <u>Actual</u>	FY 2016 <u>Actual</u>	FY 2017 <u>Actual</u>	FY 2018 <u>Actual</u>	FY 2019 <u>Actual</u>	FY 2020 <u>Actual</u>	FY 2021 <u>Actual</u>	FY 2022 <u>Enacted</u>	FY 2023 <u>Enacted</u>	FY 2024 <u>Request</u>
SALARIES AND EXPENSES	105,000	108,750	114,000	112,813	113,910	115,490	126,174	141,500	171,014	220,406
FINANCIAL MANAGEMENT CAPITAL	5,000	5,000	4,000	6,000	2,000	2,000	2,000	5,000	5,000	5,000
OFFICE OF CIVIL RIGHTS	9,600	9,678	9,751	9,500	9,470	9,470	9,600	11,564	14,800	28,595
SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH	3,099	3,084	4,646	4,646	3,488	4,646	4,714	4,977	5,132	7,314 ^{1/}
TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT	6,000	8,500	12,000	14,000	7,879	10,879	9,350	29,863	36,543	25,017
NATIONAL INFRASTRUCTURE INVESTMENTS	500,000	500,000	500,000	1,500,000	900,000	1,000,000	1,000,000	775,000	800,000	1,220,000
MINORITY BUSINESS RESOURCE CENTER	925	933	941	500	500	0	0	0	0	0
CYBER SECURITY INITIATIVES	5,000	8,000	15,000	15,000	15,000	15,000	22,000	39,400	48,100	49,000
NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU	0	0	3,000	3,000	5,000	5,000	5,000	3,800	8,850	10,550
RESEARCH AND TECHNOLOGY	13,000	13,000	13,000	23,465	8,471	21,000	22,800	51,363	48,996	66,500
ESSENTIAL AIR SERVICE	[110,164]	[105,653]	[121,801]	[133,742]	[145,437]	[114,869]	[82,887]	[90,887]	[134,132]	[154,411] ^{2/}
PAYMENTS TO AIR CARRIERS (AIRPORT AND AIRWAY TRUST FUND)	155,000	175,000	150,000	155,000	175,000	162,000	141,724	350,000	354,827	348,554
THRIVING COMMUNITIES	0	0	0	0	0	0	0	25,000	25,000	100,000
ELECTRIC VEHICLE FLEET	0	0	0	0	0	0	0	0	-	26,000
JOHN A. VOLPE TRANSPORTATION CENTER EXCHANGE BUILDING	0	0	0	0	0	0	0	0	4,500	0

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, 2022

	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	Analyze and report on trends currently anticipated to affect highway safety through 2020 and beyond in a systematic fashion—including information on high-clock speed trends, discussion of evidence about these and other individual trends, their implications and potential interactions, and DOT responses in order to improve the information available to the Congress for reauthorization.	12/30/2022	N/A	N/A
2	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
3	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.	1/30/2023	N/A	N/A
4	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
5	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.	12/31/2022	N/A	N/A
6	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 this 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.
7	GAO	FAA	10/4/2012	GAO-13-36	General Aviation Safety: Additional FAA Efforts Could Help Identify and Mitigate Safety Risks	To enhance FAA's efforts to improve general aviation safety, and to ensure that ongoing safety issues are addressed, set specific general aviation safety improvement goals--such as targets for fatal accident reductions--for individual industry segments using a 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. FAA analyzes safety information by sector for factors such as loss of control or system component failure; however, GAO did not accept this data to close the
8	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.	11/30/2025	N/A	N/A
9	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.	6/30/2023	N/A	N/A
10	OIG	FAA	6/27/2013	FI2013101	FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	Implement the provisions of the Intelligence Reform and Terrorism Prevention Act's for pilot certifications.	12/31/2024	N/A	N/A
11	OIG	FHWA	7/12/2013	SA2013111	Cheyenne River Sioux Tribe, South Dakota	Ensure the Tribe complies with procurement, suspension, and debarment requirements.	5/1/2023	N/A	N/A
12	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

GAO-IG Act Report: Department of Transportation
OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
13	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
14	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
15	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.	12/31/2023	N/A	N/A
16	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
17	OIG	FAA	6/5/2014	FI2014052	Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System (FQOU)	Prioritize and remediate all TFMS scheduled POAMs.	9/30/2024	N/A	N/A
18	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.	4/30/2023	N/A	N/A
19	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.	1/9/2023	N/A	N/A
20	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
21	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.	3/1/2023	N/A	N/A
22	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.	12/1/2022	N/A	N/A
23	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.	6/30/2023	N/A	N/A
24	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
25	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
26	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
27	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

GAO-IG Act Report: Department of Transportation
OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
28	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
29	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
30	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.	12/30/2023	N/A	N/A
31	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.	9/30/2022	N/A	N/A
32	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
33	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.	5/1/2023	N/A	N/A
34	OIG	OST	3/22/2016	FI2016056	The Volpe Center's Information Technology Infrastructure is at Risk for Compromise (FOUO)	Install a network-based intrusion detection and prevention solution to complement the current host-based systems, enabling more comprehensive and accurate detection and prevention of malicious activity on the network, including traffic coming from trusted connections.	12/31/2022	N/A	N/A
35	OIG	FAA	5/31/2016	AV2016067	FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	Develop a process to ensure the Office of Airports reports its Aircraft Rescue and Fire Fighting enforcement actions to FAA's Enforcement Information System database according to FAA Order 2150.3B.	12/31/2022	N/A	N/A
36	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.	11/30/2025	N/A	N/A
37	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.	6/30/2022	N/A	N/A
38	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	FHWA conducted a pilot which established model protocols for States to conduct their own in-service performance evaluations. FHWA does not plan to conduct any further research into in-service performance evaluations.
39	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
40	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

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OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
41	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.	11/1/2022	N/A	N/A
42	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.	11/1/2022	N/A	N/A
43	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.	11/1/2022	N/A	N/A
44	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.	11/1/2022	N/A	N/A
45	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.	7/1/2022	N/A	N/A
46	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Implement a ranking method for incidents.	6/1/2022	N/A	N/A
47	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Establish policy and controls for the use of maintenance data terminals to reduce the incidence of malware on these terminals	12/1/2022	N/A	N/A
48	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Require OAs to provide their network maps to the Cyber Security Management Center.	6/1/2022	N/A	N/A
49	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
50	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues To Make Progress, but the Department's Information Security Posture is Still Not Effective	Take action to work with FAA, FHWA, FMCSA, FTA, MARAD, NHTSA, and OST to develop risk acceptance memos for the expired systems identified in this report.	5/2/2021	N/A	N/A
51	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
52	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
53	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
54	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
55	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
56	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

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
57	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; (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.	11/1/2023	N/A	N/A
58	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.	12/30/2022	N/A	N/A
59	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.	5/1/2023	N/A	N/A
60	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.	3/31/2023	N/A	N/A
61	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Establish a process and requirement to validate airspace divestment plans annually to ensure the plans can be executed and technical requirements are up-to-date based on current technology.	5/31/2023	N/A	N/A
62	OIG	FHWA	3/28/2017	SA2017038	Report on Single Audit of the Government of the U.S. Virgin Islands, Charlotte Amalie, VI	Ensure the Government complies with the equipment and real property management requirements.	10/1/2022	N/A	N/A
63	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.	5/1/2023	N/A	N/A
64	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.	5/1/2023	N/A	N/A
65	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Develop and implement guidance requiring inspectors, or their designees, to verify that check pilots have met training requirements prior to performing recurrent observations.	8/1/2023	N/A	N/A
66	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.	12/31/2022	N/A	N/A
67	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.	8/31/2022	N/A	N/A
68	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
69	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.	9/30/2022	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
70	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.	12/30/2022	N/A	N/A
71	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
72	OIG	FTA	6/6/2017	SA2017052	Report on the Single Audit of the City of Tracy, CA	Recover \$147,515 from the City, if applicable.	9/30/2022	N/A	N/A
73	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.	7/1/2022	N/A	N/A
74	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.	7/1/2022	N/A	N/A
75	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Implement the DOT Enterprise Program Management Review Framework and procedures for maintaining support documentation that complies with OMB design and planning requirements to justify its IT investments, including the Virtual Desktop Infrastructure and the Continuous Monitoring Software, and require the use of planning tools such as cost-benefit analyses to monitor the costs, schedule, and performance goals.	12/31/2022	N/A	N/A
76	OIG	FTA	8/9/2017	SA2017071	Report on Single Audit of the Yuma County Intergovernmental Public Transportation Authority, Yuma, AZ	Recover \$171,265 from the County, if applicable.	9/30/2022	N/A	N/A
77	OIG	FTA	8/9/2017	SA2017071	Report on Single Audit of the Yuma County Intergovernmental Public Transportation Authority, Yuma, AZ	Ensure the County complies with allowable costs/costs principles requirements.	9/30/2022	N/A	N/A
78	OIG	FHWA	8/9/2017	SA2017073	Report on Single Audit of the State of Tennessee, Nashville, TN	Recover \$466,262 from the State, if applicable.	8/1/2022	N/A	N/A
79	OIG	FTA	9/11/2017	SA2017076	Report on Single Audit of the State of Nebraska, Lincoln, NE	Recover \$438,118 from the State, if applicable.	7/31/2022	N/A	N/A
80	OIG	FTA	9/11/2017	SA2017076	Report on Single Audit of the State of Nebraska, Lincoln, NE	Ensure the State complies with subrecipient monitoring requirements.	8/30/2022	N/A	N/A
81	OIG	FTA	9/11/2017	SA2017081	Report on Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensure the Authority complies with equipment and real property management requirements.	9/30/2022	N/A	N/A
82	OIG	FTA	9/11/2017	SA2017082	Report on Single Audit of the Puerto Rico Metropolitan Bus Authority, San Juan, PR	Ensure the Authority complies with equipment and real property management requirements.	8/31/2022	N/A	N/A
83	OIG	FAA	9/11/2017	SA2017090	Report on Single Audit of the Arapahoe County Public Airport Authority, Englewood, CO	Ensure the Authority complies with special tests and provisions-revenue diversion requirements.	6/30/2022	N/A	N/A
84	OIG	FAA	9/11/2017	SA2017090	Report on Single Audit of the Arapahoe County Public Airport Authority, Englewood, CO	Recover \$1,611,898 from the Authority, if applicable.	6/30/2022	N/A	N/A
85	OIG	FHWA	9/11/2017	SA2017091	Report on Single Audit of the Government of the U.S. Virgin Islands, Charlotte Amalie, VI	Ensure the Government complies with equipment and real property management requirements.	10/1/2022	N/A	N/A
86	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.	11/1/2022	N/A	N/A
87	OIG	FHWA	9/11/2017	SA2017095	Report on Single Audit of the Turtle Mountain Band Of Chippewa Indians, Belcourt, ND	Ensure the Tribe complies with activities allowed or unallowed and allowable costs/cost principles requirements.	11/1/2022	N/A	N/A
88	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.	10/31/2022	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
89	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).	10/31/2022	N/A	N/A
90	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.	12/30/2022	N/A	N/A
91	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	10/31/2022	N/A	N/A
92	OIG	OST	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Update the Financial Assistance Guidance Manual and other policies to reflect current authorities and oversight needs for OTAs, and clarify which provisions of the manual and other policies apply to these agreements	4/3/2023	N/A	N/A
93	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.	3/1/2023	N/A	N/A
94	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.	3/1/2023	N/A	N/A
95	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.	3/1/2023	N/A	N/A
96	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	3/1/2023	N/A	N/A
97	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
98	GAO	FAA	10/26/2017	GAO-18-72	Federal Facility Security: Selected Agencies Should Improve Methods for Assessing and Monitoring Risk	To improve agencies' physical security programs' alignment with the ISC Risk Management Process for federal Facilities and Standards for Internal Control in the Federal Government for information and monitoring, update FAA's policy to require the use of a methodology that fully aligns with the ISC's Risk Management Process for Federal Facilities for assessing all undesirable events, considering all three factors of risk, and documenting all deviations from the standard countermeasures	12/31/2022	N/A	N/A
99	GAO	FAA	10/26/2017	GAO-18-72	Federal Facility Security: Selected Agencies Should Improve Methods for Assessing and Monitoring Risk	To improve agencies' physical security programs' alignment with the ISC Risk Management Process for Federal Facilities and Standards for Internal Control in the Federal Government for information and monitoring, update FAA's policy to include ongoing monitoring of physical security information	12/31/2022	N/A	N/A
100	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.	10/31/2022	N/A	N/A
101	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.	10/31/2022	N/A	N/A
102	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.	10/31/2022	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
103	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.	12/1/2022	N/A	N/A
104	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.	12/31/2022	N/A	N/A
105	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.	12/31/2022	N/A	N/A
106	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
107	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
108	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
109	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
110	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
111	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
112	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
113	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
114	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
115	GAO	FHWA	1/30/2018	GAO-18-222	Highway and Transit Projects: Evaluation Guidance Needed for States with National Environmental Policy Act Authority	Offer and provide guidance or technical assistance to NEPA assignment states on developing evaluation methodologies, including baseline time frames and timeliness measures.	N/A	Partial Concur	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.
116	OIG	FAA	1/31/2018	AV2018020	FAA Completed STARS at Large TRACONS, but Challenges in Delivering NextGen Capabilities Remain	Resolve the electrical configuration issue of the STARS rack assemblies at each of the 11 TRACONS by either: (a) obtaining approval for the configuration from a nationally recognized testing laboratory or (b) assessing and documenting risks posed by the STARS rack assemblies installed at each of the 11 facilities and FAA's acceptance of that risk on air traffic operations	9/30/2026	N/A	N/A
117	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

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
118	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.	11/28/2025	N/A	N/A
119	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
120	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
121	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.
122	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.
123	OIG	FTA	3/19/2018	SA2018035	Report on Single Audit of the Washington Metropolitan Area Transit Authority, Washington, DC	Recover \$76,572 from the Authority, if applicable.	9/30/2022	N/A	N/A
124	OIG	FAA	4/30/2018	SA2018051	Report on Single Audit of the Valley County, Glasgow, MT	Ensure the County complies with the equipment and real property requirements.	9/30/2022	N/A	N/A
125	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
126	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.	10/31/2023	N/A	N/A
127	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.	10/1/2022	N/A	N/A
128	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.	11/1/2023	N/A	N/A
129	OIG	OST	8/15/2018	SA2018068	Report on a Single Audit of the North Coast Railroad Authority, Ukiah, CA	Ensure the Authority complies with the reporting requirements.	10/1/2021	N/A	N/A
130	OIG	FTA	8/22/2018	SA2018073	Report on Single Audit of the State of Nebraska, Lincoln, NE	Recover \$99,226 from the State, if applicable.	7/31/2022	N/A	N/A
131	OIG	FTA	8/22/2018	SA2018073	Report on Single Audit of the State of Nebraska, Lincoln, NE	Ensure the State complies with the subrecipient monitoring requirements.	8/30/2022	N/A	N/A
132	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.	10/3/2022	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
133	OIG	FTA	9/10/2018	SA2018078	Report on Single Audit of the Capital Area Transportation Authority, Lansing, MI	Recover \$30,641 from the Authority, if applicable.	9/30/2022	N/A	N/A
134	OIG	FHWA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Ensure the State complies with the special tests and provisions requirements.	9/1/2022	N/A	N/A
135	OIG	FTA	9/10/2018	SA2018080	Report on a Single Audit of the City and County of Honolulu, HI	Recover \$24,080,771 from the City and County, if applicable.	9/30/2022	N/A	N/A
136	OIG	FTA	9/10/2018	SA2018082	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensure the Authority complies with the equipment and real property management requirements.	8/31/2022	N/A	N/A
137	OIG	OST	9/10/2018	SA2018082	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensure the Authority complies with the equipment and real property management requirements.	7/1/2021	N/A	N/A
138	OIG	OST	9/10/2018	SA2018084	Report on a Single Audit of the City of Atlanta, Atlanta, GA	Ensure the City complies with subrecipient monitoring requirements.	8/1/2021	N/A	N/A
139	OIG	OST	9/10/2018	SA2018084	Report on a Single Audit of the City of Atlanta, Atlanta, GA	Ensure the City complies with reporting requirements.	8/1/2021	N/A	N/A
140	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensure the Tribe complies with the period of performance requirements.	11/1/2022	N/A	N/A
141	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensure the Tribe complies with the cash management requirements.	11/1/2022	N/A	N/A
142	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensure the Tribe complies with the activities allowed/allowable costs and cost principles requirements.	11/1/2022	N/A	N/A
143	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensure the Tribe complies with the equipment and real property requirements.	11/1/2022	N/A	N/A
144	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Recover \$22,691 from the Tribe, if applicable.	11/1/2022	N/A	N/A
145	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Recover \$3,077,574 from the Tribe, if applicable.	11/1/2022	N/A	N/A
146	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensure the Tribe complies with the special tests and provisions requirements.	11/1/2022	N/A	N/A
147	OIG	FTA	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Recover \$9,377 from the University, if applicable.	9/30/2022	N/A	N/A
148	OIG	OST	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Recover \$8,954 from the University, if applicable.	5/1/2021	N/A	N/A
149	OIG	FHWA	9/11/2018	SA2018094	Report on a Single Audit of the Commonwealth of the Northern Mariana Islands, Saipan, MP	Ensure the Commonwealth complies with the equipment and real property management requirements.	9/1/2022	N/A	N/A
150	OIG	FAA	9/12/2018	SA2018096	Report on a Single Audit of the Territory of American Samoa, Pago Pago, AS	Ensure the Territory complies with the special tests and provisions requirements.	7/31/2022	N/A	N/A
151	OIG	FRA	9/12/2018	SA2018098	Report on a Single Audit of the National Railroad Passenger Corporations & Subsidiaries (AMTRAK), Washington, DC	Ensure AMTRAK complies with the equipment and real property management requirements.	1/6/2024	N/A	N/A
152	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.	12/31/2022	N/A	N/A
153	OIG	FAA	11/27/2018	AV2019013	FAA Remains Several Years Away From A Standardized Controller Scheduling Tool	Develop an implementation plan for deploying a scheduling system for controllers that includes schedule milestones, system requirements, risk assessment and mitigation, and funding requirements.	12/31/2022	N/A	N/A
154	OIG	FAA	11/27/2018	AV2019013	FAA Remains Several Years Away From A Standardized Controller Scheduling Tool	Assess and quantify the expected benefits of a customized controller scheduling tool.	12/31/2022	N/A	N/A
155	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
156	OIG	OST	12/4/2018	FI2019014	DOT Has Not Met Federal Targets for Implementing Components of Its Information Security Continuous Monitoring Program	To improve the DOT's information security continuous monitoring program, DOT Chief Information Officer needs to update the department's federal information security modernization act standard operating procedures to include steps for verifying the accuracy and completeness of the Federal Aviation Administration's (FAA) Cross Agency Priority (CAP) goal metrics.	12/30/2022	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
157	OIG	FHWA	2/13/2019	SA2019017	Report on a Single Audit of the Kiowa Tribe of Oklahoma, Carnegie, OK	Recover \$1,531,442 from the Tribe, if applicable.	9/1/2022	N/A	N/A
158	OIG	FHWA	2/13/2019	SA2019017	Report on a Single Audit of the Kiowa Tribe of Oklahoma, Carnegie, OK	Ensure the Tribe complies with the procurement and suspension and debarment requirements.	9/1/2022	N/A	N/A
159	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.	6/30/2022	N/A	N/A
160	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Develop and issue guidance to internal and external stakeholders communicating the processes FHWA will use to oversee P3 projects, including during the Operations and Maintenance phase for P3 projects that remain funded by Federal loans.	12/31/2022	N/A	N/A
161	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Develop and issue Agencywide guidance identifying risks specific to P3 projects that Division Offices should consider in their risk assessments of State and local transportation agencies' Federal-aid construction programs.	12/31/2022	N/A	N/A
162	OIG	FHWA	3/6/2019	ST2019019	FHWA Needs to Clarify Roles and Processes for Approving and Monitoring Public-Private Partnerships	Revise and issue guidance to communicate to FHWA staff and stakeholders the processes FHWA will use to take Federal stewardship considerations into account in approving P3 projects. This guidance should address FHWA's role, if any, in the assessment of traffic and revenue assumptions.	12/31/2022	N/A	N/A
163	GAO	OST	3/7/2019	GAO-19-161	Automated Trucking: Federal Agencies Should Take Additional Steps to Prepare for Potential Workforce Effects	Collaborate with the Secretary of Labor to continue to convene key groups of stakeholders to gather information on potential workforce changes that may result from automated trucking as the technology evolves, including analyzing needed skills and identifying any information or data gaps, to allow the agencies to fully consider how to respond to any changes. These stakeholders could include, for example, representatives of other relevant federal agencies, technology developers, the trucking industry, organizations that represent truck drivers, truck driver training schools, state workforce agencies, and local workforce development boards.	12/30/2022	N/A	N/A
164	GAO	OST	3/7/2019	GAO-19-161	Automated Trucking: Federal Agencies Should Take Steps to Prepare for Potential Workforce Effects	Consult with the Secretary of Labor to further analyze the potential effects of automated trucking technology on drivers to inform potential workforce-related regulatory changes, such as the requirements to obtain a commercial driver's license or hours of service requirements (e.g., the maximum hours commercial truck drivers are permitted to work). This could include leveraging the analysis described by the Explanatory Statement accompanying the Consolidated Appropriations Act, 2018 once it is complete, as well as information the department obtains from stakeholders as the technology evolves.	12/30/2022	N/A	N/A
165	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.	9/1/2022	N/A	N/A
166	GAO	NHTSA	3/14/2019	GAO-19-264	Truck Underride Guards: Improved Data Collection, Inspections, and Research Needed	Conduct additional research on side underride guards to better understand the overall effectiveness and cost associated with these guards and, if warranted, develop standards for their implementation.	3/1/2023	N/A	N/A
167	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.	7/29/2022	N/A	N/A
168	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.	9/23/2024	N/A	N/A
169	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.	6/30/2023	N/A	N/A
170	GAO	FTA	3/14/2019	GAO-19-290	Transit Workforce Development: Improved Strategic Planning Practices Could Enhance FTA Efforts	Develop and document a strategy that outlines how FTA will help address future transit workforce needs.	6/30/2023	N/A	N/A
171	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.	6/30/2023	N/A	N/A

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OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
172	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
173	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
174	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
175	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
176	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
177	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
178	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
179	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
180	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
181	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
182	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
183	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
184	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
185	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.	12/30/2022	N/A	N/A
186	OIG	FTA	3/25/2019	SA2019028	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensure the Authority complies with the equipment and real property management requirements.	8/31/2022	N/A	N/A
187	OIG	FHWA	3/26/2019	SA2019041	Report on a Single Audit of the State of West Virginia, Charleston, WV	Recover \$2,877,461 from the State, if applicable.	11/1/2022	N/A	N/A
188	OIG	FHWA	3/26/2019	SA2019041	Report on a Single Audit of the State of West Virginia, Charleston, WV	Recover \$3,644,218 from the State, if applicable.	11/1/2022	N/A	N/A
189	OIG	FTA	3/27/2019	SA2019043	Report on a Single Audit of the Southern California Regional Rail Authority, Los Angeles, CA	Ensure the Authority complies with the equipment and real property management requirements.	9/30/2022	N/A	N/A
190	GAO	OST	4/4/2019	GAO-19-58	Cloud Computing: Agencies Have Increased Usage and Realized Benefits, but Cost and Savings Data Need to Be Better Tracked	Establish a consistent and repeatable mechanism to track savings and cost avoidances from the migration and deployment of cloud services.	12/1/2022	N/A	N/A

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OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
191	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.	12/1/2022	N/A	N/A
192	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.	12/1/2022	N/A	N/A
193	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.	12/1/2022	N/A	N/A
194	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."	12/1/2022	N/A	N/A
195	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.	12/1/2022	N/A	N/A
196	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
197	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.	8/1/2022	N/A	N/A
198	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.	12/31/2022	N/A	N/A
199	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.	12/31/2022	N/A	N/A
200	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.	12/31/2022	N/A	N/A
201	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.	3/1/2023	N/A	N/A
202	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.	2/1/2023	N/A	N/A
203	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.	2/1/2023	N/A	N/A
204	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

GAO-IG Act Report: Department of Transportation
OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
205	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
206	GAO	OST	6/26/2019	GAO-19-541	Discretionary Transportation Grants: Actions Needed to Improve Consistency and Transparency in DOT's Application Evaluations	Ensure that DOT, in its notice of funding opportunity and evaluation plan for each remaining INFRA-funding cycle, clarify the circumstances under which DOT may select applicants to receive requests for additional information.	7/1/2022	N/A	N/A
207	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.	7/1/2022	N/A	N/A
208	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.	7/1/2022	N/A	N/A
209	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.	10/3/2022	N/A	N/A
210	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 <i>Cost Estimating and Assessment Guide</i> and needed for developing reliable cost estimates.	12/31/2023	N/A	N/A
211	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
212	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
213	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
214	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.	11/1/2022	N/A	N/A
215	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.	11/1/2022	N/A	N/A
216	OIG	FHWA	9/10/2019	SA2019066	Report on a Single Audit of the State of Indiana, Indianapolis, IN	Ensure the State complies with the special tests and provisions requirements.	9/1/2022	N/A	N/A
217	OIG	FHWA	9/10/2019	SA2019068	Report on a Single Audit of the Crooked Creek Traditional Council, Crooked Creek, AK	Ensure the Council complies with the activities allowed or unallowed requirements.	11/1/2022	N/A	N/A
218	OIG	FHWA	9/10/2019	SA2019068	Report on a Single Audit of the Crooked Creek Traditional Council, Crooked Creek, AK	Recover \$194,821 from the Council, if applicable.	11/1/2022	N/A	N/A
219	OIG	FTA	9/10/2019	SA2019069	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensure the Authority complies with the subrecipient monitoring requirements.	9/30/2022	N/A	N/A
220	OIG	FHWA	9/10/2019	SA2019071	Report on a Single Audit of the Association of Village Council Presidents, Bethel, AK	Ensure the Council complies with the procurement and suspension and debarment requirements.	11/1/2022	N/A	N/A
221	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
222	OIG	FHWA	9/17/2019	SA2019076	Report on a Single Audit of the Commonwealth of Pennsylvania, Harrisburg, PA	Ensure the Commonwealth complies with the subrecipient monitoring requirements.	9/1/2022	N/A	N/A
223	OIG	OST	9/17/2019	SA2019077	Report on a Single Audit of the City of Birmingham, Birmingham, AL	Ensure the City complies with the procurement and suspension and debarment requirements.	7/1/2021	N/A	N/A
224	OIG	OST	9/17/2019	SA2019077	Report on a Single Audit of the City of Birmingham, Birmingham, AL	Recover \$381,190 from the City, if applicable.	7/1/2021	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, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
225	OIG	FTA	9/17/2019	SA2019078	Report on a Single Audit of the Puerto Rico Metropolitan Bus Authority, San Juan, PR	Ensure the Authority complies with the equipment and real property management requirements.	8/31/2022	N/A	N/A
226	OIG	FTA	9/18/2019	SA2019080	Report on a Single Audit of the State of Nebraska, Lincoln, Nebraska	Ensure the State complies with the allowable costs/cost principles and subrecipient monitoring requirements.	8/30/2022	N/A	N/A
227	OIG	FTA	9/18/2019	SA2019080	Report on a Single Audit of the State of Nebraska, Lincoln, Nebraska	Recover \$71,167 (2018-068) from the State, if applicable.	7/31/2022	N/A	N/A
228	OIG	FTA	9/18/2019	SA2019080	Report on a Single Audit of the State of Nebraska, Lincoln, Nebraska	Recover \$232,750 (2018-067) from the State, if applicable.	7/31/2022	N/A	N/A
229	OIG	FMCSA	9/25/2019	ST2019084	FMCSA's Plan Addresses Recommendations on Prioritizing Safety Interventions but Lacks Implementation Details	For the fifth NAS recommendation, provide (a) cost estimates that account for staffing, enforcement, and data collection; and (b) benchmarks for completion.	12/30/2022	N/A	N/A
230	OIG	FMCSA	9/25/2019	ST2019084	FMCSA's Plan Addresses Recommendations on Prioritizing Safety Interventions but Lacks Implementation Details	For the fourth and sixth NAS recommendations, provide (a) cost estimates that account for staffing, enforcement, and data collection; (b) benchmarks for completion; and (c) potential programmatic reforms, revisions to regulations, or proposals for legislation.	12/30/2022	N/A	N/A
231	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.	10/31/2022	N/A	N/A
232	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.	10/31/2022	N/A	N/A
233	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.	10/31/2022	N/A	N/A
234	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.	10/31/2022	N/A	N/A
235	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.	10/31/2022	N/A	N/A
236	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.	10/31/2022	N/A	N/A
237	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.	10/31/2022	N/A	N/A
238	OIG	OST	10/16/2019	SA2020001	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending August 31, 2019	Determine the allowability of the questioned transactions and recover \$1,005,222.00, if applicable.	2/1/2022	N/A	N/A
239	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.	6/30/2023	N/A	N/A
240	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.	6/30/2023	N/A	N/A
241	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.	9/21/2022	N/A	N/A
242	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

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
243	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
244	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
245	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
246	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
247	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
248	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
249	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
250	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
251	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.	9/30/2022	N/A	N/A
252	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.	9/30/2022	N/A	N/A
253	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.	10/31/2022	N/A	N/A
254	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.	10/31/2022	N/A	N/A
255	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.	6/1/2023	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, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
256	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	12/30/2022	N/A	N/A
257	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.	12/30/2022	N/A	N/A
258	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	12/30/2022	N/A	N/A
259	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.	12/30/2022	N/A	N/A
260	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.	12/30/2022	N/A	N/A
261	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.	12/30/2022	N/A	N/A
262	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.	12/30/2022	N/A	N/A
263	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.	12/30/2022	N/A	N/A
264	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.	12/31/2022	N/A	N/A
265	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.	12/31/2022	N/A	N/A
266	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.	12/31/2022	N/A	N/A
267	GAO	OST	11/21/2019	GAO-20-81	Federal Research: Additional Actions Needed to Improve Public Access to <u>Research Results</u>	The Secretary of Transportation should fully develop and implement a mechanism to ensure researcher compliance with the public access plan and associated requirements.	7/1/2022	N/A	N/A
268	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.	12/31/2022	N/A	N/A

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OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
269	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 .	12/31/2022	N/A	N/A
270	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
271	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.	2/1/2022	N/A	N/A
272	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 .	12/30/2022	N/A	N/A
273	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing <u>Safety Risks</u>	Develop and implement inspector guidance on how to evaluate air carrier safety culture and how it should be factored into oversight decisions.	12/31/2023	N/A	N/A
274	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing <u>Safety Risks</u>	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 <u>actions</u> .	12/31/2022	N/A	N/A
275	OIG	FAA	2/11/2020	AV2020019	FAA Has Not Effectively Overseen Southwest Airlines' Systems for Managing <u>Safety Risks</u>	Develop and implement a management control to ensure air carriers and inspectors do not use Safety Management Systems as a substitute for <u>regulatory compliance</u> .	12/31/2022	N/A	N/A
276	GAO	OST	2/25/2020	GAO-20-299	Critical Infrastructure Protection: Additional Actions Needed to Identify Framework Adoption and Resulting Improvements	The Secretary of Transportation, in coordination with the Secretary of Homeland Security, should take steps to consult with respective sector partner(s) such as the SCC and NIST, as appropriate, to collect and report sector-wide improvements from use of the framework across its critical infrastructure sector using existing initiatives.	7/1/2022	N/A	N/A
277	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 <u>Financial Officer approval, per Agency requirements</u> .	12/30/2022	N/A	N/A
278	OIG	FAA	3/11/2020	FI2020022	DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate <u>Internal Control Weaknesses</u>	Develop and implement a process to monitor purchase transactions that involve credits to ensure the follow-up is performed and credits are <u>received timely</u> .	1/31/2023	N/A	N/A
279	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
280	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

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281	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
282	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
283	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
284	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
285	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
286	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
287	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.	12/31/2022	N/A	N/A
288	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
289	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.	12/31/2022	N/A	N/A
290	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.	12/31/2022	N/A	N/A
291	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.	12/30/2022	N/A	N/A
292	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).	12/30/2022	N/A	N/A
293	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.	12/30/2022	N/A	N/A

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294	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.	8/15/2022	N/A	N/A
295	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.	12/30/2022	N/A	N/A
296	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).	4/30/2023	N/A	N/A
297	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.	4/30/2023	N/A	N/A
298	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.	10/1/2022	N/A	N/A
299	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.	10/1/2022	N/A	N/A
300	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.	2/1/2022	N/A	N/A
301	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).	12/2/2022	N/A	N/A
302	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.	6/30/2023	N/A	N/A
303	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.	6/30/2023	N/A	N/A
304	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.	7/28/2022	N/A	N/A
305	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.	4/24/2023	N/A	N/A

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306	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	9/30/2022	N/A	N/A
307	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
308	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.	9/30/2022	N/A	N/A
309	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
310	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.	11/30/2022	N/A	N/A
311	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.	9/30/2022	N/A	N/A
312	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.	10/31/2023	N/A	N/A
313	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
314	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.	6/1/2022	N/A	N/A
315	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.	12/31/2022	N/A	N/A
316	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.	9/30/2022	N/A	N/A
317	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.	9/30/2022	N/A	N/A
318	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.	12/31/2022	N/A	N/A

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319	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.	9/30/2022	N/A	N/A
320	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.	9/30/2022	N/A	N/A
321	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.	11/1/2022	N/A	N/A
322	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.	11/1/2022	N/A	N/A
323	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
324	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
325	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
326	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.	12/30/2022	N/A	N/A
327	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.	12/31/2022	N/A	N/A
328	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.	12/31/2022	N/A	N/A
329	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
330	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
331	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
332	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

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333	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
334	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
335	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
336	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
337	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
338	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
339	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
340	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
341	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
342	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
343	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
344	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
345	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

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
346	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.	12/31/2022	N/A	N/A
347	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.	12/31/2022	N/A	N/A
348	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.	12/31/2022	N/A	N/A
349	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	Determine the allowability of the questioned transactions and recover \$25,838, if applicable.	1/10/2022	N/A	N/A
350	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.	12/31/2022	N/A	N/A
351	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
352	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.	7/31/2023	N/A	N/A
353	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.	7/31/2023	N/A	N/A
354	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
355	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
356	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
357	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
358	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
359	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
360	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
361	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

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
362	OIG	OST	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
363	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
364	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
365	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.	12/31/2023	N/A	N/A
366	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.	12/31/2022	N/A	N/A
367	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.	12/31/2022	N/A	N/A
368	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.	12/29/2023	N/A	N/A
369	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
370	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
371	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.	12/31/2022	N/A	N/A
372	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.	12/31/2022	N/A	N/A
373	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.	12/31/2022	N/A	N/A
374	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.	12/31/2022	N/A	N/A
375	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.	12/31/2022	N/A	N/A
376	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.	12/31/2022	N/A	N/A

GAO-IG Act Report: Department of Transportation
OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
377	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.	12/30/2022	N/A	N/A
378	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.	12/30/2022	N/A	N/A
379	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.	12/30/2022	N/A	N/A
380	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.	12/31/2022	N/A	N/A
381	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	12/31/2022	N/A	N/A
382	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	12/31/2022	N/A	N/A
383	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	12/31/2022	N/A	N/A
384	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	12/31/2022	N/A	N/A
385	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.	9/30/2022	N/A	N/A
386	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.	9/30/2022	N/A	N/A
387	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.	9/30/2022	N/A	N/A
388	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.	9/30/2022	N/A	N/A
389	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.	9/30/2022	N/A	N/A
390	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.	9/30/2022	N/A	N/A

GAO-IG Act Report: Department of Transportation

OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
391	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.	9/30/2022	N/A	N/A
392	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.	9/30/2022	N/A	N/A
393	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.	9/30/2022	N/A	N/A
394	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.	9/30/2022	N/A	N/A
395	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.	9/30/2022	N/A	N/A
396	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.	9/30/2022	N/A	N/A
397	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.	9/30/2022	N/A	N/A
398	OIG	OST	2/10/2021	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
399	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
400	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
401	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
402	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
403	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
404	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
405	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
406	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
407	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
408	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

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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
409	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
410	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
411	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
412	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.	12/31/2022	N/A	N/A
413	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.	10/31/2022	N/A	N/A
414	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.	9/1/2022	N/A	N/A
415	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.	9/1/2022	N/A	N/A
416	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.	9/1/2022	N/A	N/A
417	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.	6/1/2023	N/A	N/A
418	GAO	NHTSA	5/20/2021	GAO-21-405	Pedestrians and Cyclists: Better Information to States and Enhanced Performance Management Could Help DOT Improve Safety	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
419	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
420	OIG	OST	5/26/2021	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
421	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.	11/30/2022	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
422	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.	11/30/2022	N/A	N/A
423	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.	12/30/2022	N/A	N/A
424	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.	11/30/2022	N/A	N/A
425	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.	12/30/2022	N/A	N/A
426	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
427	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.	11/10/2022	N/A	N/A
428	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.	10/21/2022	N/A	N/A
429	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.	8/26/2022	N/A	N/A
430	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.	8/26/2022	N/A	N/A
431	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.	12/31/2024	N/A	N/A
432	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
433	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
434	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
435	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.	12/30/2022	N/A	N/A
436	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
437	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
438	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.	12/30/2022	N/A	N/A

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439	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	12/30/2022	N/A	N/A
440	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.	12/31/2022	N/A	N/A
441	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.	9/30/2022	N/A	N/A
442	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.	9/30/2022	N/A	N/A
443	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.	9/30/2022	N/A	N/A
444	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
445	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.	11/30/2022	N/A	N/A
446	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.	11/30/2022	N/A	N/A
447	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.	9/30/2023	N/A	N/A

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448	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	9/30/2023	N/A	N/A
449	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	9/30/2023	N/A	N/A
450	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.	9/30/2023	N/A	N/A
451	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.	2/28/2023	N/A	N/A
452	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.	5/31/2023	N/A	N/A
453	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.	11/30/2022	N/A	N/A
454	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.	10/31/2022	N/A	N/A
455	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.	10/31/2022	N/A	N/A
456	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.	6/30/2023	N/A	N/A
457	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.	10/31/2022	N/A	N/A
458	OIG	OST	8/31/2021	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
459	GAO	FTA	9/14/2021	GAO-21-104029	Public Transportation: Identifying Lessons Learned Could Help Improve FTA's Process to Manage Safety Risks	The Administrator of FT A should take steps to identify and document lessons learned from the camera safety concern pilot project, including a plan for implementing those lessons in the safety risk management (SRM) process	6/30/2023	N/A	N/A
460	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.	10/31/2022	N/A	N/A
461	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.	10/31/2022	N/A	N/A

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462	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.	10/31/2022	N/A	N/A
463	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 or certification to fulfill their designated role.	10/31/2022	N/A	N/A
464	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.	10/31/2022	N/A	N/A
465	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.	10/31/2022	N/A	N/A
466	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.	5/31/2023	N/A	N/A
467	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.	10/31/2022	N/A	N/A
468	GAO	OST	9/30/2021	GAO-21-583	COVID-19: Selected Agencies Overcame Technology Challenges to Support Telework but Need to Fully Assess Security Controls	The Secretary of Transportation should ensure that the agency assesses all relevant IT security controls and enhancements for the system that provides remote access for telework.	9/1/2023	N/A	N/A
469	GAO	OST	9/30/2021	GAO-21-583	COVID-19: Selected Agencies Overcame Technology Challenges to Support Telework but Need to Fully Assess Security Controls	The Secretary of Transportation should ensure that the agency consistently monitors progress toward the completion of remedial actions by including estimated completion dates in its plan of action and milestones for the system that provides remote access for telework.	12/1/2022	N/A	N/A
470	OIG	OST	10/6/2021	QC2022002	Quality Control Review of the Independent Auditor's Report on DOT's Compliance with the Digital Accountability and Transparency Act	Implement and document a formal quarterly review process to ensure that any nonfatal warnings related to cross-validations of Files C, D1, and D2 at the OA level are investigated, and actions to address the warnings are clearly documented.	9/30/2022	N/A	N/A
471	OIG	OST	10/6/2021	QC2022002	Quality Control Review of the Independent Auditor's Report on DOT's Compliance with the Digital Accountability and Transparency Act	Develop a complete inventory of DATA Act data element sources and definitions that exist within their systems and establish controls to ensure that the inventory is updated in response to relevant changes to DOT systems or DAIMS guidance.	9/30/2022	N/A	N/A
472	OIG	OST	10/6/2021	QC2022002	Quality Control Review of the Independent Auditor's Report on DOT's Compliance with the Digital Accountability and Transparency Act	Implement a control to ensure that transaction level information is reported in File C in accordance with the data standards.	9/30/2022	N/A	N/A
473	OIG	OST	10/6/2021	QC2022002	Quality Control Review of the Independent Auditor's Report on DOT's Compliance with the Digital Accountability and Transparency Act	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.	9/30/2022	N/A	N/A
474	GAO	OST	10/14/2021	GAO-22-104677	Small Business Research Programs: Agencies Should Further Improve Award Timeliness	The Secretary of Transportation should evaluate the effectiveness of steps taken to improve SBIR award timeliness and take any necessary additional steps in order to consistently meet SBA award timeliness guidelines.	9/1/2022	N/A	N/A
475	OIG	FAA	10/20/2021	AV2022004	FAA Lacks Effective Oversight Controls To Determine Whether American Airlines Appropriately Identifies, Assesses, and Mitigates Aircraft Maintenance Risks	Develop and implement Safety Management System training for inspectors that is specifically designed to aid inspectors in evaluating air carrier risk assessments.	12/31/2022	N/A	N/A
476	OIG	FAA	10/20/2021	AV2022004	FAA Lacks Effective Oversight Controls To Determine Whether American Airlines Appropriately Identifies, Assesses, and Mitigates Aircraft Maintenance Risks	Develop and implement a management control to ensure inspectors require air carriers to provide written root cause analyses and that these analyses do not specifically identify human factors issues as root causes.	12/31/2022	N/A	N/A

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477	OIG	FAA	10/20/2021	AV2022004	FAA Lacks Effective Oversight Controls To Determine Whether American Airlines Appropriately Identifies, Assesses, and Mitigates Aircraft Maintenance Risks	Develop and implement a management control to ensure that inspectors maintain the link between the compliance action and the corrective action validation inspection within its inspection databases.	10/31/2022	N/A	N/A
478	OIG	FAA	10/20/2021	AV2022004	FAA Lacks Effective Oversight Controls To Determine Whether American Airlines Appropriately Identifies, Assesses, and Mitigates Aircraft Maintenance Risks	Develop and implement a management control to ensure that inspectors do not send compliance action close out letters until the corrective actions have been completed and validated.	10/31/2022	N/A	N/A
479	OIG	FAA	10/20/2021	AV2022004	FAA Lacks Effective Oversight Controls To Determine Whether American Airlines Appropriately Identifies, Assesses, and Mitigates Aircraft Maintenance Risks	Revise the Safety Management Systems data collection tool to allow inspectors to perform more detailed reviews and accurately document the results of these reviews.	10/31/2022	N/A	N/A
480	OIG	FAA	10/20/2021	AV2022004	FAA Lacks Effective Oversight Controls To Determine Whether American Airlines Appropriately Identifies, Assesses, and Mitigates Aircraft Maintenance Risks	Develop and implement a team inspection approach in order to periodically assess the air carrier's Safety Management System.	10/31/2022	N/A	N/A
481	OIG	FAA	10/20/2021	AV2022004	FAA Lacks Effective Oversight Controls To Determine Whether American Airlines Appropriately Identifies, Assesses, and Mitigates Aircraft Maintenance Risks	Develop and implement root cause analysis training for inspectors more in line with training in the aviation industry.	12/31/2022	N/A	N/A
482	OIG	FMCSA	10/20/2021	IT2022003	FMCSA's IT Infrastructure Is at Risk of Compromise (FOUO)	Develop and implement a plan to remediate all identified critical, high, and medium vulnerabilities on FMCSA devices older than October 8, 2019.	9/30/2022	N/A	N/A
483	OIG	FMCSA	10/20/2021	IT2022003	FMCSA's IT Infrastructure Is at Risk of Compromise (FOUO)	Develop and implement stronger malicious code protection and detection controls.	9/30/2022	N/A	N/A
484	OIG	FMCSA	10/20/2021	IT2022003	FMCSA's IT Infrastructure Is at Risk of Compromise (FOUO)	Change the passwords for the compromised web servers to strong passwords that meet DOT's Cybersecurity Compendium requirements.	9/30/2022	N/A	N/A
485	OIG	FMCSA	10/20/2021	IT2022003	FMCSA's IT Infrastructure Is at Risk of Compromise (FOUO)	Implement real time security monitoring tools and alert features to monitor FMCSA web servers and databases for access from unauthorized IP addresses.	9/22/2022	N/A	N/A
486	OIG	FMCSA	10/20/2021	IT2022003	FMCSA's IT Infrastructure Is at Risk of Compromise (FOUO)	Disable FMCSA IP address translations or implement least privilege controls for access to FMCSA resources by DOT personnel who have a need to know.	9/30/2022	N/A	N/A
487	OIG	FMCSA	10/20/2021	IT2022003	FMCSA's IT Infrastructure Is at Risk of Compromise (FOUO)	Validate whether production data is being used on other preproduction databases that FMCSA hosts.	9/30/2022	N/A	N/A
488	OIG	FMCSA	10/20/2021	IT2022003	FMCSA's IT Infrastructure Is at Risk of Compromise (FOUO)	Implement monitoring controls and alerts to identify when database admin accounts log in from non-authorized IP addresses.	9/14/2022	N/A	N/A
489	OIG	FTA	10/20/2021	IT2022005	FTA Does Not Effectively Assess Security Controls or Remediate Cybersecurity Weaknesses To Ensure the Proper Safeguards Are in Place to Protect Its Financial Management Systems (SSI)	Require the use of PIV cards for login to FTA financial management systems by internal users based on OMB Memo 19-17 requirement.	3/31/2023	N/A	N/A
490	OIG	FTA	10/20/2021	IT2022005	FTA Does Not Effectively Assess Security Controls or Remediate Cybersecurity Weaknesses To Ensure the Proper Safeguards Are in Place to Protect Its Financial Management Systems (SSI)	Collaborate with the department to identify, document, pilot, and implement a trusted internet connection Use Case for FTA systems in the cloud, to monitor and secure those systems in accordance with the Office of Management and Budget and Department of Homeland Security policy and guidance.	12/31/2022	N/A	N/A
491	OIG	FTA	10/20/2021	IT2022005	FTA Does Not Effectively Assess Security Controls or Remediate Cybersecurity Weaknesses To Ensure the Proper Safeguards Are in Place to Protect Its Financial Management Systems (SSI)	Implement secure configuration settings for its financial management systems (FMS and ECHO-Web) databases in accordance with Federal and DOT policies.	12/31/2022	N/A	N/A
492	OIG	FTA	10/20/2021	IT2022005	FTA Does Not Effectively Assess Security Controls or Remediate Cybersecurity Weaknesses To Ensure the Proper Safeguards Are in Place to Protect Its Financial Management Systems (SSI)	Develop and implement a plan that ensures continuity of federal workforce and contractual resources to fulfill contingency responsibilities for its financial management systems (FMS and ECHO-Web) to maintain continued operations should an emergency event incapacitate the primary personnel.	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
493	OIG	FTA	10/20/2021	IT2022005	FTA Does Not Effectively Assess Security Controls or Remediate Cybersecurity Weaknesses To Ensure the Proper Safeguards Are in Place to Protect Its Financial Management Systems (SSI)	Implement integrity verification tools for FMS and ECHO-Web to detect unauthorized changes to software, firmware, and information in accordance with Federal and DOT policies.	11/30/2022	N/A	N/A
494	OIG	FTA	10/20/2021	IT2022005	FTA Does Not Effectively Assess Security Controls or Remediate Cybersecurity Weaknesses To Ensure the Proper Safeguards Are in Place to Protect Its Financial Management Systems (SSI)	Conduct, document, and communicate the results of its annual incident response and data breach plan testing for financial management systems before authorization to operate (ATO); to ensure effectiveness in the event of a security incident or data breach is discovered within FTA or an external party (e.g. FTA recipient, common control provider).	12/31/2022	N/A	N/A
495	OIG	OST	10/25/2021	QC2022006	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Develop and communicate an organization wide Supply Chain Risk Management strategy and implementation plan to guide and govern supply chain risks.	11/30/2022	N/A	N/A
496	OIG	OST	10/25/2021	QC2022006	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Undertake a strategic analysis of the Inspector General FISMA Metrics and the weaknesses identified in the audit, to develop a multi-year strategy and approach to include objective milestones, and resource commitments by the Department and the CIO that address the corrective actions necessary to show steady, measurable improvements towards an effective information security program.	12/31/2022	N/A	N/A
497	OIG	OST	10/25/2021	QC2022006	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work with the Federal Aviation Administration's CIO and Federal Motor Carrier Safety Administration's Information Security System Manager(ISSM), to investigate and remediate cross-site scripting vulnerabilities identified in public facing web applications.	9/30/2022	N/A	N/A
498	OIG	OST	10/25/2021	QC2022006	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Work and coordinate with system owners to identify and remediate weak and default authentication mechanisms within their systems and the Common Operating Environment.	3/31/2023	N/A	N/A
499	OIG	OST	10/25/2021	QC2022006	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Develop and implement a process to facilitate centralized monitoring, oversight (by ISSMs and their alternates) and escalation efforts to ensure the timely completion of required security awareness training and role based training for all DOT personnel leveraging an automated integrated solution(s) and dashboards.	9/30/2022	N/A	N/A
500	OIG	MARAD	10/27/2021	ZA2022008	MARAD's Ability To Achieve Cost-Effective USMMA Contracts Is Compromised by Several Management Control Weaknesses	Establish and implement a control process to verify the Agency's oversight procedures regarding warrant requirements are correctly and consistently carried out for contract officers (CO) assigned to USMMA contracts.	12/30/2022	N/A	N/A
501	OIG	MARAD	10/27/2021	ZA2022008	MARAD's Ability To Achieve Cost-Effective USMMA Contracts Is Compromised by Several Management Control Weaknesses	Establish and implement a requirement that any project change(s) to an approved CIP, Long Range Strategy, or other facilities-related Academy plan be submitted to and approved by the Office of the Secretary of Transportation before the change becomes final.	10/31/2022	N/A	N/A
502	OIG	MARAD	10/27/2021	ZA2022008	MARAD's Ability To Achieve Cost-Effective USMMA Contracts Is Compromised by Several Management Control Weaknesses	Establish and implement a process for maintaining and tracking progress on USMMA Capital Improvement Program (CIP) projects, analyzing how changes to Academy plans will impact the cost and schedule of existing and planned CIP projects and contracts, and confirming that congressionally appropriated CIP funds are efficiently expended.	10/31/2022	N/A	N/A
503	OIG	MARAD	10/27/2021	ZA2022008	MARAD's Ability To Achieve Cost-Effective USMMA Contracts Is Compromised by Several Management Control Weaknesses	Establish and implement a control process to verify compliance with Federal requirements to maintain accurate and complete data in the Federal acquisition system (previously the Federal Acquisition Institute's Acquisition Training Application System, now Cornerstone OnDemand) for all USMMA contracting officer's representatives (COR).	12/30/2022	N/A	N/A
504	OIG	NHTSA	11/9/2021	ST2022009	Weaknesses in NHTSA's Training and Guidance Limit Its Ability To Set and Enforce Federal Motor Vehicle Safety Standards	Implement and communicate guidance on conducting compliance investigations.	1/31/2023	N/A	N/A
505	OIG	NHTSA	11/9/2021	ST2022009	Weaknesses in NHTSA's Training and Guidance Limit Its Ability To Set and Enforce Federal Motor Vehicle Safety Standards	Finalize and implement the Import and Certification Division's process to monitor and investigate Registered Importers' compliance with Federal regulations.	9/30/2022	N/A	N/A
506	OIG	OST	11/10/2021	SA2022010	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending September 30 2021	Determine the allowability of the questioned transactions and recover \$ 9,236,974, if applicable.	6/1/2022	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
507	OIG	FAA	11/12/2021	QC2022013	Quality Control Review of the Independent Auditor's Report on the FAA's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020 (SSI)	KPMG recommends FAA 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.	12/30/2022	N/A	N/A
508	OIG	FAA	11/12/2021	QC2022013	Quality Control Review of the Independent Auditor's Report on the FAA's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020 (SSI)	KPMG recommends FAA 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.	12/30/2022	N/A	N/A
509	OIG	FAA	11/12/2021	QC2022013	Quality Control Review of the Independent Auditor's Report on the FAA's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020 (SSI)	KPMG recommends FAA design and implement component-specific system security plan requirements in instances where plans for those areas are not addressed in the Departmental system security plan.	12/30/2022	N/A	N/A
510	OIG	OST	11/15/2021	QC2022015	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	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.	10/1/2022	N/A	N/A
511	OIG	OST	11/15/2021	QC2022015	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that DOT 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.	10/1/2022	N/A	N/A
512	OIG	OST	11/15/2021	QC2022015	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that DOT 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.	10/1/2022	N/A	N/A
513	OIG	OST	11/15/2021	QC2022015	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	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.	10/1/2022	N/A	N/A
514	OIG	OST	11/15/2021	QC2022015	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that DOT management strengthen its policies and procedures to formalize a complete process to assess and monitor applicable third-party service organizations risk assessment to determine the impact of a timing gap between the issuance of service organization SOC reports and the Department's fiscal year	10/1/2022	N/A	N/A
515	OIG	OST	11/15/2021	QC2022015	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that DOT management strengthen its policies and procedures to formalize a complete process to assess and monitor applicable third-party service organizations documented review of applicable SOC reports, which includes a consideration of results year over year, implementation of the service organizations' recommended complimentary user entity controls and monitor such controls for proper design, implementation and operating effectiveness.	10/1/2022	N/A	N/A
516	OIG	OST	11/15/2021	QC2022015	Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that DOT management strengthen its policies and procedures to formalize a complete process to assess and monitor applicable third-party service organizations review and evaluation of findings identified within the service organization's SOC report and assess the impact on the Department's internal control over financial reporting	10/1/2022	N/A	N/A
517	GAO	FTA	12/2/2021	GAO-22-104536	Transit-Oriented Development: DOT Should Better Document Its Rationale for Financing Decisions and Evaluate Its Pilot Program	The FTA Administrator should develop a plan to evaluate the implementation and performance of the pilot program for transit-oriented development planning that includes: (1) measurable program objectives, (2) a methodology to collect and analyze information to assess whether the program is meeting those objectives, (3) criteria to inform future program decisions, and (4) a means to gather feedback from grantees.	3/31/2023	N/A	N/A
518	GAO	OST	12/2/2021	GAO-22-104536	Transit-Oriented Development: DOT Should Better Document Its Rationale for Financing Decisions and Evaluate Its Pilot Program	The Executive Director of the Build America Bureau should ensure that the Bureau documents and follows its procedures for making decisions in its reviews of potential transit-oriented development projects for the TIFIA and RRIF programs. Such procedures should require the Bureau to document a clear rationale to explain why a project meets or does not meet eligibility requirements	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
519	GAO	FHWA	1/10/2022	GAO-22-104299	Highway Trust Fund: Federal Highway Administration Should Develop and Apply Criteria to Assess How Pilot Projects Could Inform Expanded Use of Mileage Fee Systems	The Deputy Administrator of FHWA should develop and apply criteria to assess the scalability of the Surface Transportation System Funding Alternatives (STSFA) pilot projects.	9/30/2022	N/A	N/A
520	OIG	GLS	1/31/2022	FS2022019	Management Letter Report on the Great Lakes Saint Lawrence Seaway Development Corporation's Audited Financial Statements for Fiscal Years 2021 and 2020	Implement controls that require that the correct micro-purchase thresholds are assessed before approving SAM waivers.	5/1/2022	N/A	N/A
521	OIG	GLS	1/31/2022	FS2022019	Management Letter Report on the Great Lakes Saint Lawrence Seaway Development Corporation's Audited Financial Statements for Fiscal Years 2021 and 2020	Document and follow established controls to require that supporting documentation for CDs is obtained in a timely manner and recorded accurately so the system of record properly reflects information related to the CDs.	5/1/2022	N/A	N/A
522	OIG	GLS	1/31/2022	FS2022019	Management Letter Report on the Great Lakes Saint Lawrence Seaway Development Corporation's Audited Financial Statements for Fiscal Years 2021 and 2020	Implement procedures to perform periodic reviews of OM&S purchases for valuation accuracy.	8/1/2022	N/A	N/A
523	OIG	GLS	1/31/2022	FS2022019	Management Letter Report on the Great Lakes Saint Lawrence Seaway Development Corporation's Audited Financial Statements for Fiscal Years 2021 and 2020	Develop and implement controls to require that employees are removed from CD accounts when they separate from the corporation and replace with current employees.	5/1/2022	N/A	N/A
524	OIG	GLS	1/31/2022	FS2022019	Management Letter Report on the Great Lakes Saint Lawrence Seaway Development Corporation's Audited Financial Statements for Fiscal Years 2021 and 2020	Follow up on prior help requests submitted to system support to verify that the OM&S cost corrections have been made.	8/1/2022	N/A	N/A
525	OIG	GLS	1/31/2022	FS2022019	Management Letter Report on the Great Lakes Saint Lawrence Seaway Development Corporation's Audited Financial Statements for Fiscal Years 2021 and 2020	Work with system support to correct the deficiencies that cause OM&S cost errors.	8/1/2022	N/A	N/A
526	OIG	GLS	1/31/2022	FS2022019	Management Letter Report on the Great Lakes Saint Lawrence Seaway Development Corporation's Audited Financial Statements for Fiscal Years 2021 and 2020	Review payments made to the non-SAM approved vendor and determine whether the amounts are recoverable in accordance with the Payment Integrity Information Act of 2019.	5/1/2022	N/A	N/A
527	OIG	MARAD	1/31/2022	QC2022017	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that MARAD management develop and implement policies and procedures to timely evaluate and respond to changes in MARAD's programs or activities prompted by public law or DOT directives that could impact financial reporting objectives and cause revision to its accounting treatment.	10/1/2022	N/A	N/A
528	OIG	MARAD	1/31/2022	QC2022017	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that MARAD management should design and implement processes to timely correct identified errors or account for changes in accounting policies.	10/1/2022	N/A	N/A
529	OIG	OST	1/31/2022	QC2022017	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that ESC management correct the ESC server inventory list to ensure that all production servers are correctly categorized	10/1/2022	N/A	N/A
530	OIG	OST	1/31/2022	QC2022017	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that ESC management implement a quality assurance process to confirm that all servers and systems are included during the semiannual review process.	10/1/2022	N/A	N/A
531	OIG	OST	1/31/2022	QC2022017	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that ESC management update procedures surrounding management's review of journal entries to ensure journal entries are reviewed at an appropriate level of precision to determine that all manually posted entries are complete, accurate, and adequately supported by documentation.	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
532	OIG	OST	1/31/2022	QC2022017	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that OST management obtain documentation from external borrowers to support the input assumption that the remaining loan value will not be disbursed.	10/1/2022	N/A	N/A
533	OIG	OST	1/31/2022	QC2022017	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that OST management maintain a documentation trail that includes support for each current year input in accordance with the TIFIA Loan Subsidy Re- estimates Standard Operating Procedures.	10/1/2022	N/A	N/A
534	OIG	FAA	1/31/2022	QC2022018	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that FAA configure the password length for Windows server accounts within the FAA.gov domain to comply with FAA policy and system requirements.	12/30/2022	N/A	N/A
535	OIG	FAA	1/31/2022	QC2022018	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that FAA design and implement formal detective controls to log and monitor developer activities in the time and attendance system production environment. All programmatic changes to the time and attendance system production environment should be reviewed and reconciled from the logs to the approved change tickets.	12/30/2022	N/A	N/A
536	OIG	FAA	1/31/2022	QC2022018	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that FAA design and implement a process to ensure that inventory system application, database and operating system changes are tested, documented, and approved prior to migration into production in accordance with FAA policy; and update the change management ticketing system to capture required approvals and evidence of testing for inventory system application, database or operation system changes.	12/30/2022	N/A	N/A
537	OIG	FAA	1/31/2022	QC2022018	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that FAA configure the account lockout threshold for the Windows server accounts within the FAA.gov domain to comply with FAA policy and system requirements.	12/30/2022	N/A	N/A
538	OIG	FAA	1/31/2022	QC2022018	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that FAA update the control to investigate cases removed from the Legal Letter and Contingent Liability Report period over period prior to recording the legal liability.	12/30/2022	N/A	N/A
539	OIG	FAA	1/31/2022	QC2022018	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2021 and 2020	KPMG recommends that FAA ensure that policies and procedures for revoking access to the shared services center for separated users include: (1) timely notifying shared services center managers of FAA employees that have separated from the agency to ensure that access is removed and (2) enforcing the timeline for removal of separated employees from shared services center, by reviewing active user listings on a periodic basis to ensure that no separated employees still have access.	12/30/2022	N/A	N/A
540	OIG	OST	2/9/2022	SA2022021	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending December 31, 2021	Determine the allowability of the questioned transactions and recover \$5,409,880, if applicable.	9/1/2022	N/A	N/A
541	OIG	FHWA	2/15/2022	FS2022022	Outdated Policies Hinder FHWA's Ability To Oversee Unobligated ER Funds	Recover the \$176,029.71 in unallowable emergency relief payments identified in this report.	1/2/2023	N/A	N/A
542	OIG	FHWA	2/15/2022	FS2022022	Outdated Policies Hinder FHWA's Ability To Oversee Unobligated ER Funds	Direct the Office of Infrastructure to follow the FHWA Emergency Relief (ER) Manual regarding deallocations of unobligated funds.	6/30/2023	N/A	N/A
543	OIG	FHWA	2/15/2022	FS2022022	Outdated Policies Hinder FHWA's Ability To Oversee Unobligated ER Funds	Instruct the FHWA Texas Division to coordinate with the Texas DOT to deobligate the funds the State no longer needs, as discussed in this report. Implementation of this recommendation could put \$1,958,064 in funds to better use.	1/2/2023	N/A	N/A
544	OIG	FHWA	2/15/2022	FS2022022	Outdated Policies Hinder FHWA's Ability To Oversee Unobligated ER Funds	Update the ER Manual to incorporate the requirements in FHWA Order 5182.1, including the routine review of unobligated balances so that funds can be deallocated when no longer needed.	12/31/2022	N/A	N/A

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545	OIG	FHWA	2/15/2022	FS2022022	Outdated Policies Hinder FHWA's Ability To Oversee Unobligated ER Funds	Identify any balance of allocated quick release funds older than 6 months, that will not be obligated through the remainder of the fiscal year and that are no longer needed, including the unobligated quick release amounts described in this report, withdraw or deallocate as appropriate in accordance with the ER policy. Implementation of this recommendation could put \$5.2 million in funds to better use.	1/2/2023	N/A	N/A
546	OIG	FHWA	2/15/2022	FS2022022	Outdated Policies Hinder FHWA's Ability To Oversee Unobligated ER Funds	Update the ER Manual's quick release procedures to clarify the documentation needed for funding approval and the responsibilities to maintain sufficient evidence of required approvals for quick release requests submitted in accordance with emergency relief policy and program requirements.	12/31/2022	N/A	N/A
547	OIG	FAA	3/14/2022	AV2022023	FAA Needs Additional Accountability and Transparency in Reporting Performance Measures and Targets for Major System Investments and Environmental Reviews	Develop and implement a written policy to document the process for adding and removing programs and reporting the names of all the programs tracked in the major system investments performance measure.	1/31/2023	N/A	N/A
548	OIG	FAA	3/14/2022	AV2022023	FAA Needs Additional Accountability and Transparency in Reporting Performance Measures and Targets for Major System Investments and Environmental Reviews	Develop and implement a written policy or procedure to establish an internal control mechanism to identify all major transportation projects on the Federal Infrastructure Permitting Dashboard that should be tracked in the environmental performance measure and document reasons why projects are or are not determined to be major transportation projects.	12/31/2022	N/A	N/A
549	OIG	FAA	3/14/2022	AV2022023	FAA Needs Additional Accountability and Transparency in Reporting Performance Measures and Targets for Major System Investments and Environmental Reviews	Review and update the definition of the types of projects included in major transportation projects, to ensure all major transportation projects are being tracked under the measure.	1/31/2023	N/A	N/A
550	OIG	OST	3/23/2022	FS2022024	DOT Does Not Ensure Compliance With All Single Audit Provisions of OMB's Uniform Guidance	Require the SAAO to designate a key management single audit liaison to serve as the Federal awarding agency's management point of contact for the single audit process both within and outside the Federal Government and provide the official's name and title to OMB.	12/30/2022	N/A	N/A
551	OIG	OST	3/23/2022	FS2022024	DOT Does Not Ensure Compliance With All Single Audit Provisions of OMB's Uniform Guidance	Require the SAAO to develop and implement processes to ensure that OAs confirm its recipients' single audits and reporting packages are completed and timely submitted to the Federal Audit Clearinghouse (FAC).	3/31/2023	N/A	N/A
552	OIG	OST	3/23/2022	FS2022024	DOT Does Not Ensure Compliance With All Single Audit Provisions of OMB's Uniform Guidance	Require the SAAO to develop and implement a policy to ensure Operating Administrations (OA) meet Uniform Guidance's requirements for Federal awarding agencies.	3/31/2023	N/A	N/A
553	OIG	OST	3/23/2022	FS2022024	DOT Does Not Ensure Compliance With All Single Audit Provisions of OMB's Uniform Guidance	Require the SAAO to develop and implement processes that ensure OAs follow up on single audit findings and verify that OAs recipients took appropriate and timely corrective actions.	3/31/2023	N/A	N/A
554	OIG	OST	3/23/2022	FS2022024	DOT Does Not Ensure Compliance With All Single Audit Provisions of OMB's Uniform Guidance	Require the SAAO to develop and implement processes that ensure OAs download single audit reports from FAC's Image Management System and OAs identify and track single audit findings directly related to their programs.	3/31/2023	N/A	N/A
555	OIG	OST	3/23/2022	FS2022024	DOT Does Not Ensure Compliance With All Single Audit Provisions of OMB's Uniform Guidance	Require the SAAO to develop and implement processes that ensure OAs issue timely management decisions on all single audit findings affecting their programs.	3/31/2023	N/A	N/A
556	OIG	PHMSA	3/23/2022	ST2022025	PHMSA Can Enhance Its Hazardous Materials Fitness Reviews by Meeting its Application Processing Goal and Addressing Oversight Gaps	Conduct a historic analysis and use the results as the basis for timeliness goals for Tier 2 evaluations and Tier 3 inspections in the revised Field Operations Manual.	1/30/2023	N/A	N/A
557	OIG	PHMSA	3/23/2022	ST2022025	PHMSA Can Enhance Its Hazardous Materials Fitness Reviews by Meeting its Application Processing Goal and Addressing Oversight Gaps	Develop and implement a plan to complete an assessment of PHMSA oversight of U.N. Third-Party Packaging Certification Agencies and other independent entities that monitor approval and special permit holders.	1/30/2023	N/A	N/A
558	OIG	PHMSA	3/23/2022	ST2022025	PHMSA Can Enhance Its Hazardous Materials Fitness Reviews by Meeting its Application Processing Goal and Addressing Oversight Gaps	Develop and implement a mechanism to improve the linking of applicants with incident and enforcement data.	2/15/2023	N/A	N/A
559	OIG	PHMSA	3/23/2022	ST2022025	PHMSA Can Enhance Its Hazardous Materials Fitness Reviews by Meeting its Application Processing Goal and Addressing Oversight Gaps	Develop and implement a plan that updates the interagency agreement for processing approval and special permit applications, including details for conducting Tier 2 evaluations and Tier 3 fitness inspections within the 120-day goal.	1/16/2023	N/A	N/A
560	OIG	FAA	3/30/2022	AV2022026	While FAA Is Coordinating With Other Agencies on Counter-UAS, Delays in Testing Detection and Mitigation Systems Could Impact Aviation Safety	Conduct a UAS detection and C-UAS program assessment that includes a determination of future resource needs and organizational structure based on how to best align those resources.	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
561	OIG	FAA	3/30/2022	AV2022026	While FAA Is Coordinating With Other Agencies on Counter-UAS, Delays in Testing Detection and Mitigation Systems <u>Could Impact Aviation Safety</u>	Evaluate the UAS detection and C-UAS coordination request process to identify and correct inefficiencies to improve timeliness in anticipation of future program growth.	2/28/2023	N/A	N/A
562	OIG	FAA	3/30/2022	AV2022026	While FAA Is Coordinating With Other Agencies on Counter-UAS, Delays in Testing Detection and Mitigation Systems <u>Could Impact Aviation Safety</u>	Finalize internal UAS detection and C-UAS request processing and document retention guidance.	12/31/2022	N/A	N/A
563	GAO	OST	4/6/2022	GAO-22-104532	Discretionary Transportation Grants: DOT Should Clarify Application Requirements and Oversight Activities	The Secretary of Transportation should ensure that INFRA officials systematically analyze available quantitative data and qualitative information from applicants and use the results of that analysis to <u>determine how to clarify the large project requirements in the NOEO.</u>	6/30/2023	N/A	N/A
564	GAO	OST	4/6/2022	GAO-22-104532	Discretionary Transportation Grants: DOT Should Clarify Application Requirements and Oversight Activities	The Secretary of Transportation should ensure that INFRA officials provide direction on how oversight activities are to be conducted during the application review process and that such activities are designed to routinely detect and correct evaluation errors and verify that evaluation <u>documentation is complete</u>	3/31/2023	N/A	N/A
565	GAO	NHTSA	4/26/2022	GAO-22-104635	Implementing Leading Practices Could Improve Management of Mandated Rulemakings and Reports	The NHTSA Deputy Administrator should update NHTSA's rulemaking procedures to require the use of leading project schedule management practices for the activities needed to draft a proposed rule	12/30/2023	N/A	N/A
566	GAO	NHTSA	4/26/2022	GAO-22-104635	Implementing Leading Practices Could Improve Management of Mandated Rulemakings and Reports	The NHTSA Deputy Administrator should update NHTSA's procedures for developing reports to Congress to require the use of leading project schedule management practices for the activities needed to draft a report	12/30/2023	N/A	N/A
567	GAO	NHTSA	4/26/2022	GAO-22-104635	Implementing Leading Practices Could Improve Management of Mandated Rulemakings and Reports	The NHTSA Deputy Administrator should provide additional information on incomplete rulemakings to Congress, including the substantive activities that NHTSA completed between rulemaking milestones. NHTSA could consider providing this information as part of the biannual reports required by the Infrastructure Investment and Jobs Act.	12/30/2023	N/A	N/A
568	GAO	NHTSA	4/26/2022	GAO-22-104635	Implementing Leading Practices Could Improve Management of Mandated Rulemakings and Reports	The NHTSA Deputy Administrator should update NHTSA's publicly available information, such as the Reports Sent to Congress webpage or the DOT Research Hub, to include mandated research reports	1/30/2023	N/A	N/A
569	OIG	FAA	4/27/2022	AV2022027	FAA Made Progress Through Its UAS Integration Pilot Program, but FAA and Industry Challenges Remain To Achieve <u>Full UAS Integration</u>	Establish goals, milestones, and performance measures of success for the BEYOND program to guide and track Agency and participants' progress toward achieving beyond visual line of sight operations.	12/31/2022	N/A	N/A
570	OIG	FAA	4/27/2022	AV2022027	FAA Made Progress Through Its UAS Integration Pilot Program, but FAA and Industry Challenges Remain To Achieve <u>Full UAS Integration</u>	Communicate to BEYOND stakeholders how program operational, societal and economic benefit data will be used, analyzed, and shared to inform new policies, safety reviews, and rulemaking, including the rule for <u>UAS operations beyond visual line of sight.</u>	12/31/2022	N/A	N/A
571	OIG	FAA	4/27/2022	AV2022027	FAA Made Progress Through Its UAS Integration Pilot Program, but FAA and Industry Challenges Remain To Achieve <u>Full UAS Integration</u>	Implement a process to periodically assess the data collected during BEYOND—annually at a minimum—to determine if it is providing needed information and make adjustments as necessary.	12/31/2022	N/A	N/A
572	OIG	FAA	4/27/2022	AV2022027	FAA Made Progress Through Its UAS Integration Pilot Program, but FAA and Industry Challenges Remain To Achieve <u>Full UAS Integration</u>	Provide stakeholders and the general public with non-proprietary information related to BEYOND results via the FAA website or other appropriate means.	12/31/2022	N/A	N/A
573	OIG	FAA	4/27/2022	AV2022027	FAA Made Progress Through Its UAS Integration Pilot Program, but FAA and Industry Challenges Remain To Achieve <u>Full UAS Integration</u>	Identify intra-agency points of connection and lines of authority responsible for approving and integrating new UAS technologies, evaluate options to improve working across lines of business, and <u>implement the best option based on the Agency's evaluation.</u>	12/31/2022	N/A	N/A
574	OIG	FAA	4/27/2022	AV2022027	FAA Made Progress Through Its UAS Integration Pilot Program, but FAA and Industry Challenges Remain To Achieve <u>Full UAS Integration</u>	Evaluate the causes of IPP program manager turnover as well as the communication and transfer of knowledge, policies, and procedures to new program managers in the transition process, and implement actions to <u>address those issues in BEYOND.</u>	12/31/2022	N/A	N/A
575	OIG	FRA	4/27/2022	ST2022028	FRA Uses Automated Track Inspections To Aid Oversight but Could Improve Related Program Utilization Goals and <u>Track Inspection Reporting</u>	Revise the Track and Rail and Infrastructure Integrity Compliance Manual to include specific guidance for inspectors completing ATIP-related inspection reports.	12/31/2022	N/A	N/A
576	OIG	FRA	4/27/2022	ST2022028	FRA Uses Automated Track Inspections To Aid Oversight but Could Improve Related Program Utilization Goals and <u>Track Inspection Reporting</u>	Modify the programming logic of the Railroad Inspection System for Personal Computers so that the system will accept only correct ATIP-related inspection report entries.	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
577	OIG	FRA	4/27/2022	ST2022028	FRA Uses Automated Track Inspections To Aid Oversight but Could Improve Related Program Utilization Goals and <u>Track Inspection Reporting</u>	Develop and implement training for Track Division specialists and inspectors on how to correctly prepare ATIP-related inspection reports.	12/31/2022	N/A	N/A
578	OIG	FRA	4/27/2022	ST2022028	FRA Uses Automated Track Inspections To Aid Oversight but Could Improve Related Program Utilization Goals and <u>Track Inspection Reporting</u>	Document and implement the track safety inspection planning processes, including guidance to district track specialists and inspectors on data sources that can be used to inform planning (e.g., risk assessment <u>models, planning tools, and ATIP data</u>).	3/31/2023	N/A	N/A
579	OIG	OST	5/18/2022	SA2022029	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending March 31, 2022	Coordinate with impacted OAs to develop a corrective action plan to resolve and close the findings highlighted in this report.	11/1/2022	N/A	N/A
580	OIG	OST	5/18/2022	SA2022029	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending March 31, 2022	Determine the allowability of the questioned transactions and recover \$3,534,794, if applicable.	12/31/2022	N/A	N/A
581	GAO	OST-S	5/19/2022	GAO-22-104602	Tribal Funding: Actions Needed to Improve Information on Federal Funds That Benefit Native Americans	The Secretary of Transportation should ensure that the Deputy Assistant Secretary for Intergovernmental Affairs develops a formal process to ensure meaningful and timely input from tribal officials when formulating budget requests and program reauthorization proposals for programs <u>serving tribes and their members</u> .	11/15/2022	N/A	N/A
582	OIG	OST	6/27/2022	FS2022030	DOT's Fiscal Year 2021 Payment Integrity Information Act Compliance Review	Develop and implement a process to verify that population identification procedures used to create the universe for the statistical sampling of improper payments include adequate information, with detailed <u>instructions to reproduce the same results</u> .	3/31/2023	N/A	N/A
583	OIG	OST	6/27/2022	FS2022030	DOT's Fiscal Year 2021 Payment Integrity Information Act Compliance Review	Implement a quality assurance process to verify that population identification procedures are followed.	3/31/2023	N/A	N/A
584	OIG	OST	6/27/2022	FS2022030	DOT's Fiscal Year 2021 Payment Integrity Information Act Compliance Review	Design and implement controls to confirm that its annual PIIA reporting to the Payment Accuracy website is accurate.	3/31/2023	N/A	N/A
585	GAO	FAA	6/28/2022	GAO-22-104626	Federal Personal Property: Better Internal Guidance and More Action from GSA Are Needed to Help Agencies Maximize Use of Excess	The Administrator of the Federal Aviation Administration should ensure that internal guidance on considering excess personal property incorporates, at a minimum, relevant roles and responsibilities, when it is practicable to check for and obtain excess property, and how to evaluate the suitability of excess property for meeting agency needs.	1/31/2023	N/A	N/A
586	OIG	FAA	7/18/2022	AV2022032	FAA Quickly Awarded CARES Act Funds but Can Enhance Its Oversight Approach To Promote Effective Stewardship	Assess the risk of improper payment for debt service, payroll, operating and maintenance expenses, and CARES Act reimbursement requests, and revise FAA's policy on supporting documentation requirements to <u>account for risk level</u> .	12/30/2022	N/A	N/A
587	OIG	FAA	7/18/2022	AV2022032	FAA Quickly Awarded CARES Act Funds but Can Enhance Its Oversight Approach To Promote Effective Stewardship	Develop and implement a plan to encourage recipients to expend CARES Act funds.	12/30/2022	N/A	N/A
588	OIG	FAA	7/18/2022	AV2022032	FAA Quickly Awarded CARES Act Funds but Can Enhance Its Oversight Approach To Promote Effective Stewardship	Review workforce retention data provided by sponsors, and update records as needed to ensure compliance with law.	6/30/2023	N/A	N/A
589	OIG	FAA	7/18/2022	AV2022032	FAA Quickly Awarded CARES Act Funds but Can Enhance Its Oversight Approach To Promote Effective Stewardship	Develop a plan for implementing future workforce retention requirements as a condition of grants-in-aid based practices and lessons learned from prior efforts.	6/30/2023	N/A	N/A
590	OIG	FHWA	7/20/2022	ST2022031	Opportunities Exist for FHWA To Strengthen Its Oversight of Contract Change Orders Under the Federal-aid <u>Highway Program</u>	Evaluate and revise as necessary the Agency processes, including Compliance Assessment Program reviews, to include an oversight methodology that can generate accurate, statistically valid, and <u>representative compliance results for change orders</u> .	12/31/2023	N/A	N/A
591	OIG	FHWA	7/20/2022	ST2022031	Opportunities Exist for FHWA To Strengthen Its Oversight of Contract Change Orders Under the Federal-aid <u>Highway Program</u>	Enhance the Fiscal Management Information System or develop an agency-wide data management process to provide FHWA personnel with access to change order information for performing their oversight, which <u>includes identifying and monitoring change orders</u> .	12/31/2023	N/A	N/A
592	OIG	FHWA	7/20/2022	ST2022031	Opportunities Exist for FHWA To Strengthen Its Oversight of Contract Change Orders Under the Federal-aid <u>Highway Program</u>	Develop and implement internal guidance for the Agency's Program Review Library to clearly define the terms "formal report" and "substantive report."	12/31/2023	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
593	OIG	FHWA	7/20/2022	ST2022031	Opportunities Exist for FHWA To Strengthen Its Oversight of Contract Change Orders Under the Federal-aid Highway Program	Develop and implement guidance for use by FHWA and States that a. includes a consistent definition of "change order," b. delineates the differences between a major change and a significant change; and c. further clarifies what may constitute a major change.	12/31/2023	N/A	N/A
594	OIG	FHWA	7/20/2022	ST2022031	Opportunities Exist for FHWA To Strengthen Its Oversight of Contract Change Orders Under the Federal-aid Highway Program	Establish clear roles and responsibilities to verify that FHWA Division Offices monitor and track their reports and associated findings and recommendations related to change orders.	12/31/2023	N/A	N/A
595	OIG	FHWA	7/20/2022	ST2022031	Opportunities Exist for FHWA To Strengthen Its Oversight of Contract Change Orders Under the Federal-aid Highway Program	Update FHWA's Contract Administration Core Curriculum Manual, dated October 2014, to clearly reflect that FHWA may assign its change order approval responsibilities to State DOTs through Stewardship and Oversight Agreements.	12/31/2023	N/A	N/A
596	OIG	FAA	7/27/2022	AV2022034	FAA Has Opportunities To Better Inform International Pilot Training for Boeing Aircraft Through Enhanced Transparency and Oversight	Develop and implement a documented process to identify what information manufacturers must include in airplane flight manuals.	12/31/2024	N/A	N/A
597	OIG	FAA	7/27/2022	AV2022034	FAA Has Opportunities To Better Inform International Pilot Training for Boeing Aircraft Through Enhanced Transparency and Oversight	Develop guidance for air carriers to support the development and implementation of automation management policies. Following publication of the guidance, validate that air carriers' policies, procedures, and training are consistent with the new guidance.	12/31/2024	N/A	N/A
598	OIG	FAA	7/27/2022	AV2022034	FAA Has Opportunities To Better Inform International Pilot Training for Boeing Aircraft Through Enhanced Transparency and Oversight	Develop and implement a process to evaluate existing Boeing airplane flight manuals to determine whether they contain required normal, non-normal, and emergency procedures that are necessary for the safe operation of the aircraft. Within this process, include methods to determine what corrective actions are needed if deficiencies are identified	12/31/2024	N/A	N/A
599	GAO	FHWA	7/28/2022	GAO-22-104578	National Highways: Analysis of Available Data Could Better Ensure Equitable Pavement Condition	The Deputy Administrator of FHWA should analyze pavement condition data, such as Highway Performance Monitoring System data, to examine the concentration of poor pavement in specific areas within states and differences in pavement condition by community or other characteristics, which could include race and ethnicity, poverty, or population density. Such an analysis could also incorporate more recent pavement condition data, control for additional factors that may affect pavement condition, or include statistical modeling of pavement conditions within a state.	12/31/2025	N/A	N/A
600	GAO	FHWA	7/28/2022	GAO-22-104578	National Highways: Analysis of Available Data Could Better Ensure Equitable Pavement Condition	Based on the outcome of FHWA's analyses of pavement condition data, the Deputy Administrator of FHWA should identify potential strategies to help states detect and address issues that could contribute to concentrations in poor pavement and differences in pavement condition by community or other characteristics, which could include race and ethnicity, poverty, or population density.	12/31/2025	N/A	N/A
601	GAO	FAA	8/18/2022	GAO-22-104664	Aviation Safety: FAA Should Strengthen Efforts to Address the Illegal Practice of Intentionally Aiming Lasers at Aircraft	The FAA Administrator should determine what information from pilots and crewmembers would be most useful for investigating laser incidents, and how best to collect the information and to share it with law enforcement.	6/30/2023	N/A	N/A
602	GAO	FAA	8/18/2022	GAO-22-104664	Aviation Safety: FAA Should Strengthen Efforts to Address the Illegal Practice of Intentionally Aiming Lasers at Aircraft	The FAA Administrator should improve its quarterly reports to Congress on laser incidents by routinely seeking information from other agencies on related federal investigation and enforcement actions and disclosing, in those reports, any limitations with the data.	3/31/2023	N/A	N/A
603	GAO	FAA	8/18/2022	GAO-22-104664	Aviation Safety: FAA Should Strengthen Efforts to Address the Illegal Practice of Intentionally Aiming Lasers at Aircraft	The FAA Administrator should work with FBI and FDA to explore re-establishing an interagency working group on outreach to educate the public on the hazards of lasers and the illegality of aiming lasers at aircraft.	3/31/2023	N/A	N/A
604	GAO	MARAD	9/12/2022	GAO-22-105160	Actions Needed to Enhance Cargo Preference Oversight	Report publicly, on an annual basis, the cargo preference data it receives to provide information on the total cargo volumes and amounts shipped on U.S.- and foreign-flag vessels for each federal agency.	Pending 180-Day Letter Process	N/A	N/A
605	GAO	MARAD	9/12/2022	GAO-22-105160	Actions Needed to Enhance Cargo Preference Oversight	Develop regulations to oversee and enforce compliance with cargo preference requirements. These steps should include evaluating options for overcoming challenges to developing such regulations, such as: (1) using a negotiated rulemaking as a means to address challenges achieving consensus on how to implement cargo preference requirements, and (2) developing and communicating a legislative proposal to address statutory challenges MARAD has identified.	Pending 180-Day Letter Process	N/A	N/A

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OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of September 30, 2022

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non Implementation	Explanation for Non-Implementation
606	OIG	OST	9/20/2022	ST2022037	DOT Can Improve Processes for Evaluating the Impact of Time Zone Changes and Promoting Uniform Time Observance	Conduct a study and provide a summary of findings to the public on whether non-uniform adoption and observance of time zones and DST is a problem nationwide.	12/31/2023	N/A	N/A
607	OIG	OST	9/20/2022	ST2022037	DOT Can Improve Processes for Evaluating the Impact of Time Zone Changes and Promoting Uniform Time Observance	Review time zone and DST-related content on the following DOT websites to identify errors and make corrections. DOT website "Daylight Saving Time." DOT website "Uniform Time." BTS website "History of Time Zones." BTS website "History of Daylight Savings Time."	12/31/2022	N/A	N/A
608	OIG	OST	9/20/2022	ST2022037	DOT Can Improve Processes for Evaluating the Impact of Time Zone Changes and Promoting Uniform Time Observance	Develop and implement a process for maintaining and, when boundaries in the regulations change, updating a publicly available map and GIS dataset showing precise time zone boundaries.	12/31/2022	N/A	N/A
609	OIG	OST	9/20/2022	ST2022037	DOT Can Improve Processes for Evaluating the Impact of Time Zone Changes and Promoting Uniform Time Observance	Evaluate the convenience of commerce questions to determine whether they reflect modern commerce-related impacts of time zone changes and, if necessary, update them.	12/31/2022	N/A	N/A
610	OIG	OST	9/20/2022	ST2022037	DOT Can Improve Processes for Evaluating the Impact of Time Zone Changes and Promoting Uniform Time Observance	Develop and implement guidance for collecting and validating information on the impact of proposed time zone changes that constitutes the best and most relevant evidence.	12/31/2023	N/A	N/A
611	OIG	OST	9/20/2022	ZA2022039	Weaknesses in DOT's ITSS Award and Invoice Processes Increase the Risk of Inefficiencies During Acquisitions of Critical IT Products and Services	Provide written procedures and guidance documenting requirements and steps—based on the size and scope of the procurement need—that staff in the Office of the Chief Information Officer (OCIO) should follow when requesting a new or extension of an ITSS award. This documentation should include standard lead times for required steps and submitting complete procurement packages to the contracting staff to help prevent any lapses in contract vehicles.	9/30/2023	N/A	N/A
612	OIG	OST	9/20/2022	ZA2022039	Weaknesses in DOT's ITSS Award and Invoice Processes Increase the Risk of Inefficiencies During Acquisitions of Critical IT Products and Services	Implement a process to verify OCIO staff comply with the written procedures and guidance provided in recommendation one.	9/30/2023	N/A	N/A
613	OIG	OST	9/20/2022	ZA2022039	Weaknesses in DOT's ITSS Award and Invoice Processes Increase the Risk of Inefficiencies During Acquisitions of Critical IT Products and Services	Implement a process for contracting regular, risk-based reviews of a sample of ITSS vehicle time and material type invoices to verify that contractor charges are accurate and reasonable. This procedure should apply to all ITSS invoices, including those funded directly by DOT Operating Administrations (OA).	9/30/2023	N/A	N/A
614	OIG	OST	9/20/2022	ZA2022039	Weaknesses in DOT's ITSS Award and Invoice Processes Increase the Risk of Inefficiencies During Acquisitions of Critical IT Products and Services	Establish and implement written guidance on steps and techniques for reviewing ITSS contract vehicle invoices. The suggested steps and techniques should be tailored to address specific risks associated with the vehicle, including the scope and contract type. This guidance should apply to reviews of all ITSS invoices, including those funded directly by the OAs.	9/30/2023	N/A	N/A
615	GAO	OCIO	9/22/2022	GAO-22-105065	Privacy: Dedicated Leadership Can Improve Programs and Address Challenges	The Secretary of Transportation should fully define and document a process for ensuring that the senior agency official for privacy or other designated privacy official is involved in assessing and addressing the hiring, training, and professional development needs of the agency with respect to privacy.	Pending 180-Day Letter Process	N/A	N/A
616	GAO	OCIO	9/22/2022	GAO-22-105065	Privacy: Dedicated Leadership Can Improve Programs and Address Challenges	The Secretary of Transportation should incorporate privacy into an organization-wide risk management strategy that includes a determination of risk tolerance.	Pending 180-Day Letter Process	N/A	N/A
617	OIG	FAA	9/28/2022	AV2022041	FAA Has Made Progress on a UAS Traffic Management Framework, but Key Challenges Remain	Establish a process that requires FAA to review the UTM Pilot Program and Field Test results and determine whether the results can inform rulemaking, the final implementation plan, concept of operations documents, and the FAA BEYOND program.	9/30/2023	N/A	N/A
618	OIG	FAA	9/28/2022	AV2022041	FAA Has Made Progress on a UAS Traffic Management Framework, but Key Challenges Remain	Implement enhanced processes for communicating UTM information to update industry stakeholders on FAA's plans for UTM implementation as well as ongoing efforts.	9/30/2023	N/A	N/A
619	OIG	FAA	9/28/2022	AV2022041	FAA Has Made Progress on a UAS Traffic Management Framework, but Key Challenges Remain	Develop milestones for near-term UTM efforts and broader timelines for when FAA expects to implement policies and processes for reviewing and approving UTM technologies and capabilities, and establish a process for measuring and updating progress with achieving the milestones.	12/31/2022	N/A	N/A
620	OIG	FAA	9/28/2022	AV2022041	FAA Has Made Progress on a UAS Traffic Management Framework, but Key Challenges Remain	Document FAA's plan for continued collaboration with NASA and other Federal Agencies regarding ongoing and future UTM activities.	6/30/2023	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	OIG	OST	9/28/2022	IT2022040	DOT Has Made Progress Meeting the Requirements of the Geospatial Data Act of 2018	The Director of Bureau of Transportation Statistics complete and implement the DOT Geospatial Standards Implementation Plan in accordance with section 756(b) of the Geospatial Data Act of 2018.	9/30/2023	N/A	N/A
622	OIG	OST	9/28/2022	QC2022042	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	The Department should ensure that adequate resources are made available and are prioritized to validate the accuracy and completeness of asset inventory counts prior to submission to the Department of Homeland Security (DHS) as part of CIO FISMA Metrics.	9/30/2023	N/A	N/A
623	OIG	OST	9/28/2022	QC2022042	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Coordinate with the components to develop or revise their plans to fully transition the remaining information systems to enable and enforce PIV, except those that are subject to exclusions that are documented and approved.	9/30/2023	N/A	N/A
624	OIG	OST	9/28/2022	QC2022042	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	FAA should develop and implement procedures to perform periodic reviews of mobile devices to ensure non-compliant mobile devices are upgraded to the current operating system release.	9/30/2023	N/A	N/A
625	OIG	OST	9/28/2022	QC2022042	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Strengthen processes to ensure privileged account reviews are completed and privileged account activities are logged and periodically reviewed, in accordance with DOT policy	9/30/2023	N/A	N/A
626	OIG	OST	9/28/2022	QC2022042	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	In coordination with the OA system owners, complete DOT's plans to implement existing solutions where possible and create a plan to address all exceptions where there is not a current solution for encryption of data at rest and in transit.	9/30/2023	N/A	N/A
627	OIG	OST	9/28/2022	QC2022042	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	In coordination with the OA system owners, complete the deployment of DOT's data loss prevention controls to include the utilization or activation of enhanced DLP features available within existing tools and to develop and implement policies and procedures which eliminate or restrict the ability of users to connect mass storage devices to DOT networks and systems.	9/30/2023	N/A	N/A
628	OIG	OST	9/28/2022	QC2022042	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Enhance current procedures to implement and require the retention of records to track when computer media are sanitized prior to disposal or reuse and implement procedures to validate the remediation of computer media that have failed media sanitization upon return to DOT.	9/30/2023	N/A	N/A
629	OIG	OST	9/28/2022	QC2022042	Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	In coordination with the OA system owners, strengthen DOT's oversight of the contingency planning processes to ensure contingency planning documentation is developed, updated, and tested in a timely manner, in accordance with policy.	9/30/2024	N/A	N/A
630	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.	6/1/2023	N/A	N/A