

Subject: DEPARTMENT OF TRANSPORTATION ORGANIZATION MANUAL, OFFICE OF THE ASSISTANT SECRETARY FOR ADMINISTRATION

1. PURPOSE: To replace DOT 1101.13C with DOT 1101.13D, which updates the mission and functions for the Assistant Secretary for Administration.
2. CANCELLATIONS: This order cancels DOT 1101.13C, Office of the Assistant Secretary for Administration, dated December 2005.
3. EXPLANATION OF CHANGES: This change updates functions within the Office of the Assistant Secretary for Administration. Most important to note:
 - A. The update elevates the current Financial Assistance Policy and Oversight Division in the Office of the Senior Procurement Executive under the Office of the Assistant Secretary for Administration (OST-M) to establish a new office, the Office of Grants and Financial Assistance (GFA), which will be a stand-alone organizational unit under leadership that will report to the Assistant Secretary for Administration. The overarching purpose of GFA will be to:
 - 1) Provide Departmental guidance on the interpretation and application of new financial assistance/grants policies and regulations;
 - 2) Identify opportunities to improve grants and financial assistance processing and reporting, including standardization and centralization when appropriate, across the Department;
 - 3) Establish and manage a training and certification program for employees involved with the grants and financial assistance programs; and,
 - 4) Establish and manage a grants and financial assistance internal assessment program.
 - B. The update includes the Office of Audit Relations and Program Improvement (ARPI), which is a stand-alone organizational unit under leadership that reports to the Assistant Secretary for Administration. The overarching purpose of ARPI is to provide leadership and direction to the OAs and Secretarial offices for all audits by the Office of Inspector General (OIG), U.S. Government Accountability Office (GAO), and other external audit agencies.
 - C. The update also includes minor changes to the Office of Human Resource Management, Office of Security, and Office of Facilities, Information, and Asset Management, and updates the name of OST-M-90 to Office of Facilities, Information, and Asset Management.

4. MISSION: The Assistant Secretary for Administration is the principal advisor to the Secretary on matters involving the internal management of the Department of Transportation (DOT). The Office of the Assistant Secretary for Administration provides Departmental leadership in human resources, security, acquisition, grants, information services, transportation and facilities, space management, and audit relations. This leadership includes establishing policies, providing operational services, directing financial management of DOT's Working Capital Fund, and serving as the Department's liaison with the OIG and the GAO. The Assistant Secretary exercises executive direction over the following offices:

Departmental Office of Human Resource Management
Office of Hearings¹
Office of Security
Office of the Senior Procurement Executive
Office of Financial Management and Transit Benefits Programs
Office of Facilities, Information, and Asset Management
Office of Grants and Financial Assistance
Office of Audit Relations and Program Improvement

5. FUNCTION: The Office of the Assistant Secretary for Administration
- A. Serves as the primary management consultant to the Secretary and the Department and coordinates departmental management and organizational review and improvement activities to ensure effective performance through the use of best business practices.
 - B. Plans, develops, and evaluates organization-wide human resource management policies, programs, and systems in support of the Department's performance goals and objectives. Provides human resource operations services to the Office of the Secretary and other designated DOT organizations.
 - C. Plans, develops, and evaluates departmental policies and programs concerning administrative and internal security management to ensure compliance with applicable governmentwide policy.
 - D. Provides departmental leadership for the DOT headquarters building and space management programs, activities, and initiatives.
 - E. Coordinates follow-up and resolution of OIG and GAO audit reviews of department programs.
 - F. Plans, develops, evaluates, and provides administrative support programs in the areas of:

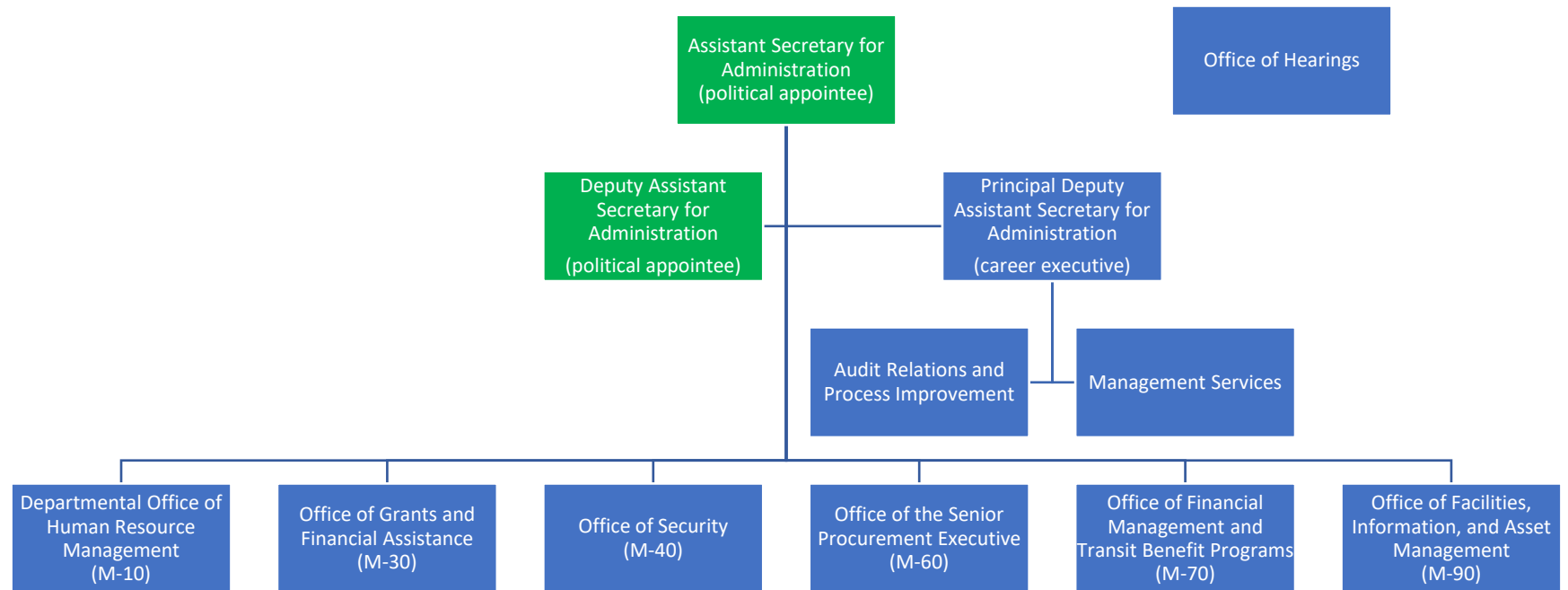
¹ The Office of Hearings is located within the Office of the Assistant Secretary for Administration for organizational and administrative purposes only; it is in all other respects functionally independent and not subject to the supervision of the Assistant Secretary for Administration.

human resources; procurement; employee wellness services; audit liaison; personal property; mail delivery; motor pool, parking, and transit benefits; occupational health and safety; graphics, photography, warehousing, distribution; space management; and security services.

6. DELEGATIONS:

A. See 49 CFR § 1.38 and 1.38a

7. ORGANIZATION.



A. Office of Human Resource Management

- 1) Mission: To provide leadership and direction in human resource management (HRM) by developing policies and programs that improve organizational performance. This includes ensuring that HRM programs provide effective and efficient use of human capital throughout the Department. Provide day-to-day human resource operations services for the Office of the Secretary and other designated DOT organizations.
- 2) Functions: Under the direction of the Assistant Secretary for Administration, the Director of HRM:
 - a) Develops and implements—in cooperation with the operating administrations (OAs)—an HRM operating plan that supports the overall DOT strategic plan.
 - b) Develops, implements, and evaluates departmental HRM policies and programs to support organizational performance in such areas as recruitment and staffing, position classification, employee compensation, career development, workforce diversity, labor and employee relations, executive resource planning, performance management, employee benefits, and work and family life.
 - c) Consults with customers, including DOT senior management officials, on improving organizational performance through HRM policies, programs, and initiatives.
 - d) Provides HRM policy advice, technical guidance, and oversight review for the Department, including management of the Department's Human Capital Plan.
 - e) In conjunction with the Office of Budget and Programs, collects, and analyzes workforce data for the Department.
 - f) Serves as Chairperson of the Departmental Human Resource Management Council and facilitates the sharing of pertinent governmental and departmental human resource management activities and best practices. Ensures close coordination of departmental human resources policies, activities, and practices, and solicits input from OAs on human resources policy development.
 - g) Conducts personnel operational programs, including recruitment and placement, performance management, position classification, suitability adjudication, and management of executive resources.
 - h) Develops departmental policy with regards to and conducts alcohol and drug programs, including random testing.
 - i) Provides employee wellness services, including employment information, counseling, health and fitness programs, and a wide variety of related activities.

- j) Establishes, coordinates, and directs the development and implementation of Department-wide employee development programs, succession planning, human capital management, and supervisory and executive development programs, policies, and procedures.
- k) Maintains contact with customers to assess the degree to which services satisfy customer expectations and to ascertain new or changing requirements.
- l) Acts as DOT focal point for coordinating and preparing required departmental internal human resource reports.
- m) Establishes and maintains close working relationships with the Office of Personnel Management (OPM), the Office of Management and Budget, and other government agencies involved in human resources management. Coordinates closely with other Departmental offices that have related responsibilities, such as the Office of the General Counsel, Office of Budget, Office of Security, Office of the Chief Information Officer, and Departmental Office of Civil Rights.
- n) Plans, develops, and coordinates Department-wide policies, programs, and activities for executive resources management (Presidential, career, and noncareer, including Schedule Cs).
- o) Delivers, maintains and approves Department-wide automated human resources systems. Serves as the administrator for Department-wide systems and departmental data collection and reporting. Seeks use of new technology, systems, and data collection methods that enhance the delivery of Department-wide human resources systems.
- p) Designates a Chief Diversity Officer to lead, promote, and facilitate programs and policies that support creation of a diverse workforce and an inclusive, equitable and accessible work environment and culture in partnership with Departmental Office of Civil Rights.
- q) Oversees the Departmental anti-harassment program in partnership with the Departmental Office of Civil Rights and maintains close working relationships with OA Anti-Harassment Program Coordinators to ensure compliance with Departmental policy.
- r) Manages program and activities designed to facilitate a culture of innovation, engagement, and facilitation.
- s) Provides support, guidance, and coordination to Employee Resource Groups.

B. Office of Hearings

- 1) Mission: To be responsible for the conduct and initial disposition of formal

proceedings falling within the purview of the Administrative Procedure Act and instituted under legislation vesting executive authority and responsibility in the Secretary of Transportation, except as may be prescribed by statute, or otherwise delegated or determined by the Secretary.

- 2) Functions: Under the direction of the Assistant Secretary for Administration, the Director of the Office of Hearings:
 - a) Conducts proceedings, as requested, involving the executive and regulatory powers of the Department under applicable statutes, as amended, including Chapters 401-465 of Title 49, U.S.C. (formerly the Federal Aviation Act of 1958, 72 Stat. 731); the Civil Rights Act of 1964, 78 Stat. 241; the Rehabilitation Act of 1973, 87 Stat. 355; Subtitle IX of Title 49, U.S.C. (formerly the Commercial Space Launch Act of 1984, 98 Stat. 3055); Chapter 51 of Title 49, U.S.C. (formerly the Hazardous Materials Transportation Act, 88 Stat. 2156); the Surface Transportation Assistance Act of 1982, 96 Stat. 2097; Chapter 301 of Title 49, U.S.C. (formerly the Motor Carrier Safety Act of 1984, 98 Stat. 2832); the Merchant Marine Act of 1936, 49 Stat. 1985; Chapter 323 of Title 49, U.S.C. (formerly the Motor Vehicle Information and Cost Savings Act, 86 Stat. 947); and Chapters 471- 481 of Title 49, U.S.C. (formerly the Airport and Airway Improvement Act of 1982, 96 Stat. 671-702); as well as driver qualification proceedings pursuant to Chapter 313 of Title 49, U.S.C.
 - b) In carrying out these functions, the Administrative Law Judges of the Office of Hearings hold formal evidentiary hearings, prepare initial and recommended decisions, and carry out the other requirements of the Administrative Procedure Act in accordance with the duties, powers, directives, and delegations of authority to Administrative Law Judges contained in the applicable Rules of Practice, departmental regulations, and instituting orders of duly authorized departmental officials. Such instituting orders may prescribe the rules of practices and procedure to be used in a particular proceeding.
 - c) The Administrative Law Judges conduct hearings on other matters as assigned and prepare initial or recommended decisions setting forth findings and conclusions. The Administrative Law Judges also perform other duties not involving trial-type hearings that are not inconsistent with the duties and responsibilities of Administrative Law Judges as prescribed in the Administrative Procedure Act.

C. Office of Security

- 1) Mission: To ensure that the Department complies with executive orders, Presidential memoranda, and laws, regulations and guidelines relating to security within the Department; to provide leadership and direction within the Department on internal security advice, activities, and programs; and, to promote partnerships between the OAs and the Office of the Secretary regarding internal security matters.

- 2) Functions: Under the direction of the Assistant Secretary for Administration, the Director of Security:
- a) Serves as the senior departmental security executive for internal security policies and programs relating to personnel, physical and technical security; communications security; classified and sensitive information security; and identification media.
 - b) Ascertains the need for, formulates, and recommends departmental internal security policies, plans, and programs.
 - c) Provides oversight and technical guidance to the OAs on security matters. Evaluates the effectiveness of departmental internal security programs and participates in the development of internal security plans throughout the Department.
 - d) Provides physical, personnel, information, and technical security services in support of DOT Headquarters organizations, which include the following: guard force management, locksmith, alarm and intrusion detection systems, physical access control systems, closed-circuit television systems, security-related investigations, administrative investigations, passport and visa programs, management of classified and sensitive unclassified information, technical surveillance countermeasures, and communications security (COMSEC). Also, provides credentials and HSPD-12 PIV services, initiates and adjudicates background investigations on employees and contractor employees, grants national security clearances nationwide for DOT employees outside of the Federal Aviation Administration, and provides national security indoctrination briefings and out-processing briefings for all clearance holders.
 - e) Acts as the DOT security focal point for coordinating and preparing required departmental internal security programs and reports.
 - f) Represents DOT on interagency committees and task forces that develop and approve security policy at the national level. Serves as DOT focal point for program information and liaison with other agencies, including the various security, intelligence, and law enforcement organizations throughout the federal government.
 - g) Serves as Chair of the DOT Personnel Security Review Board.
 - h) Serves on intradepartmental committees and working groups to promote uniform security standards throughout the department.
 - i) Maintains contact with customers to assess degree to which services satisfy customer expectations and to ascertain new or changing requirements.

D. Office of Senior Procurement Executive

- 1) Mission: To facilitate the accomplishment of DOT's mission by providing effective, ethical, state-of-the-art business policies, practices, and services in procurement and contracting. Carry out the statutory and regulatory responsibilities of the Chief Acquisition Officer and the Senior Procurement Executive (SPE).
- 2) Functions: Under the direction of the Assistant Secretary for Administration, the SPE:
 - a) Carries out the procurement and contracting functions of the Chief Acquisition Officer as delegated by the Assistant Secretary for Administration, except for those functions specifically reserved for the Deputy Secretary (49 CFR §1.59.a(a)(2)).
 - b) Carries out the duties and responsibilities of Agency Head for departmental procurement within the meaning of the Federal Acquisition Regulations as delegated by the Assistant Secretary for Administration, except for those duties expressly reserved for the Secretary of Transportation (49 CFR §1.59. a(a)(1)).
 - c) Serves as the SPE for the DOT to perform the tasks delineated by various statutes, executive orders, the Federal Acquisition Regulations, higher level officials/memoranda, and as delegated by the Secretary or the Assistant Secretary for Administration.²
 - d) Issues DOT acquisition regulations and develops and maintains internal Department-wide acquisition policies and procedures. Conducts oversight and performs Procurement Management Reviews of OA Chief of Contracting Office operations.
 - e) Develops and maintains an acquisition workforce career development program and warranting process and provides training to the DOT acquisition workforce on current policy issues.
 - f) Serves as departmental focal point for electronic procurement and contracting functions and acts as functional sponsor for Department-wide enterprise procurement and contracting systems. In instances where the grants community and the contracting community utilize the same system, OSPE will take the lead on coordination, execution, and reporting efforts with external agencies.
 - g) Establishes policy for the Department's procurement and contracting data collection requirements and related e-business systems.

² For the purposes of P.L. 108-136, National Defense Authorization Act for Fiscal Year 2004, Title XIV, Services Acquisition Reform, Section 1421(a), amending 41 U.S.C. 414 (Office of Federal Procurement Policy Act), Section 16(c)(2)(B), the SPE reports directly to the CAO.

- h) Provides operational procurement support for OST and other organizations as mutually agreed to, including assisting in acquisition planning and performing contract award and contract management services.
- i) Serves as the Chairperson of the Strategic Acquisition Council, which ensures procurement and contracting efforts strategically contribute to DOT's mission through the implementation of best practices and innovative contracting approaches; mitigation of acquisition risks; identifying business reengineering opportunities; and managing the procurement function to achieve results and accountability.
- j) Leads the Department-wide Suspension and Debarment programs in providing departmental policy and oversight of Suspension and Debarment (S&D) efforts. The S&D responsibilities for the OSPE, will involve updating DOT orders, POC for the agency, disseminates & collects S&D Data calls, S&D audit resolution and maintains and updates the Department-wide S&D tracking system. As well as provide oversight of the SAM.gov Exclusions website. As needed, the OSPE will coordinate with OAs and the GFA for Suspension and Debarment involving grants and financial assistance programs..
- k) Provides technical assistance to the DOT Senior Competition Advocate as required by P.L. 98-369.
- l) Serves as the Agency Program Coordinator who manages DOT's purchase card program and administers purchase card accounts for OST and other designated DOT organizations. This includes providing oversight and guidance to cardholders.
- m) Represents and promotes departmental interest on various interagency or government-wide committees and working groups.
- n) Consults with the Departmental Office of Civil Rights on various procurement requirements that ensure accessibility to employees with disabilities.
- o) Ensures that anti-harassment and prevention of harassment language is included in contracts, as appropriate.

E. Office of Financial Management and Transit Benefits Programs

- 1) Mission: To provide leadership, direction, and management oversight for the Working Capital Fund and the Office of Assistant Secretary for Administration's financial management and budget responsibilities. Ensures compliance with departmental and Office of Management and Budget financial management policies, principles, standards, and guidelines. Ensures overall departmental leadership, direction, and partnership in administrative management of transportation benefit programs with the OAs and the Office of the Secretary. Consults with and provides guidance to other federal agencies on transportation fringe benefit programs under 5

U.S.C. 7905 and 26 U.S.C. 132(f). Establishes and maintains uniform federal government standards for developing and supporting federal agencies' transportation fringe benefit programs under 5 U.S.C. 7905 and 26 U.S.C. 132(f).

- 2) Functions: Under the direction of the Assistant Secretary for Administration, the Director of Financial Management and Transit Benefit Programs:
- a) Directs and manages the Working Capital Fund planning, evaluation, budget, financial management and statements, and internal assessment activities. Provides financial policy advice and technical guidance and oversight for the Office of Administration's funding sources.
 - b) Advises and assists on budget and financial management matters to ensure compliance with departmental and Office of Management and Budget policies, principles, standards, and guidelines. Ensures budget activities are consistent with approved budget, program plans, and congressional appropriations.
 - c) Serves as focal point for the Assistant Secretary for Administration's financial statement audit and prepares and coordinates required internal management assessment reports. Provides the DOT administrative management workforce with the approved budget, program plans, and Congressional appropriations.
 - d) Develops, implements, evaluates, and monitors the budget for all activities and programs within the control of the Assistant Secretary for Administration.
 - e) Develops and reviews organizational financial management program proposals and performance indicators. Prepares financial management analyses and reports, and evaluates the effectiveness of financial management activities and programs.
 - f) Assists in carrying out the responsibilities of the Assistant Secretary for Administration related to the DOT Working Capital Fund and Working Capital Fund Steering Committee.
 - g) Consults with customers on improving Working Capital Fund transparency, services, and performance through implementation of policies and program initiatives.
 - h) Provides for the collection, compromise, suspension of collection action on, or termination of claims of the United States, which are referred to or arise out of the activities of the Working Capital Fund, subject to the limits on that authority imposed by 31 U.S.C. 3711 and the Federal Claims Collection Standards, 31 C.F.R. Chapter IX.
 - i) Provides shared services for administering and managing comprehensive, cost-effective, and progressive transit benefit programs across the federal government.

- j) Plans, develops, administers, and evaluates departmental policies and programs for employee parking, electric vehicle charging, ridesharing, and transit benefits. Provides technical guidance, information, and leadership in partnership with other DOT components.
- k) Provides overall policy and guidance for agencies offering transit pass and transit benefit programs, including:
 - i. Directs and coordinates among federal agencies by establishing uniform standards for developing and supporting agency transit pass and transit benefits.
 - ii. Prescribes guidelines and furnishes information and technical advice on the design or operation of any program established pursuant to 5 U.S.C. 7905 and 26 U.S.C. 132(f).
- l) Consults and obtains, as appropriate, information and advice regarding Transportation Fringe Benefit program activities among federal, state, tribal, local governments, nongovernmental entities, the private sector, foreign governments, and international organizations.

F. Office of Facilities, Information and Asset Management

- 1) Mission: To provide national planning, coordination, and oversight for DOT's real property (facilities) and personal property assets in addition to oversight of building operations, lease/project/space management, and administrative support services for DOT Headquarters. Plans, develops, and evaluates departmental policies to include: sustainability; energy and environmental management; real and personal property; safety and health; seismic safety; transportation fleet management; mail management; and recycling in DOT facilities. Nationally, provides a broad range of DOT clients with high quality, state-of-the-art information services, which include: dockets; mail; managed printing and graphics; multimedia and photography; warehousing; and shipping/receiving.
- 2) Functions: Under the direction of the Assistant Secretary for Administration, the Director of Facilities, Information, and Asset Management:
 - a) Provides national program oversight, strategic planning, policy development, and reporting for DOT's personal and real property; fleet management; sustainability; safety and health; information services; mail; printing; and a wide variety of administrative management areas, which include: Section 504 of the Rehabilitation Act of 1973 (regarding accessibility of DOT facilities); energy; environment; recycling; and seismic safety in DOT facilities. Provides technical guidance, information, and leadership in partnership with other DOT OAs and other federal agencies.

- b) Manages and performs strategic planning, programming, and budgeting for publications, dockets, mail, managed print, and multimedia services programs.
- c) Represents DOT on interagency committees and task forces in areas related to asset management, real property, sustainability, safety and health, printing, mail, graphics, photography, multimedia, dockets services, and administrative services. Serves as the DOT focal point for program information falling within the functional purview and coordinates with other agencies.
- d) Acts as the departmental central point of contact with the General Services Administration (GSA) on DOT real property and space asset management policy, planning, and reporting.
- e) Provides oversight and overall project and operations management of DOT Headquarters building projects to include: project planning; programming and scope development; scheduling; cost estimating; and requirements development. Coordinates the development and management of Headquarters projects and studies to include: managing and coordinating project schedules; funding; space planning; furniture specification and layouts; information technology requirements (in coordination with the Office of the Chief Information Officer and the Office of Security); interior design; signage programs; and relocation planning.
- f) Provides centralized program management for all acquisition and release actions for DOT Headquarters space.
- g) Provides comprehensive space planning and layout services to assist DOT organizations when moving or acquiring new space. Acquires and releases field space on behalf of the OAs, as requested.
- h) Provides technical support to the OAs, including assistance in management of the individual GSA rent accounts.
- i) Performs DOT-wide organizational assessments and improvement activities to ensure that the management systems, policies and plans of the Department meet departmental needs and comply with federal regulations and directives in areas such as sustainability, safety and health, and space management.
- j) Benchmarks best practices and service costs of outside agencies providing administrative operational support services. Consults with internal customers and coordinates the production of quality products and services to assist in meeting departmental goals and initiatives.
- k) Acts as DOT focal point for coordinating and preparing required departmental administrative management reports and participates in the development of DOT administrative operational support services.

- l) Manages a broad spectrum of DOT Headquarters building services, which includes event center; cafeteria; fitness center; motor pool; mobility center; shipping/receiving and warehouse; mail services; and facility operations/maintenance. Consults with the Departmental Office of Civil Rights regarding accessibility for employees with disabilities.
- m) Develops, implements, operates, and maintains Department-wide administrative systems. This includes coordinating Department customer service initiatives to improve the efficiency and effectiveness of Department administrative management programs to better serve customers. Maintains contact with customers to assess degree to which services satisfy customer expectations and to ascertain new or changing requirements.

G. Office of Grants and Financial Assistance

- 1) Mission: To enhance the grants management and financial assistance administration throughout DOT by implementing planned programs of action and enhanced technology to streamline and manage the entire grant lifecycle (pre-award, award, and post-award). Facilitate the accomplishment of DOT's mission by providing effective, ethical, state-of-the-art policies, practices, and services in financial assistance and grants management.
- 2) Functions: Under the direction of the Assistant Secretary for Administration, the Director of Grants and Financial Assistance:
 - a) Develops, issues, assesses, and reviews the Department's overarching financial assistance and grants management policy and oversight framework of Departmental standards for the implementation of 2 CFR Part 200.
 - b) Coordinates with and ensures each OA and federal award-making OST Office provides the requirements for developing and implementing guidance, procedures and processes that ensure compliance with all grants and financial assistance programs.
 - c) Directs the implementation of 2 CFR 200 and other federal regulations and policies for grants and financial assistance programs, assisting OAs with implementation issues across the Department.
 - d) Provides Departmental guidance on the interpretation and application of new and updated policies and regulations, including government wide efforts to update 2 CFR 200 and other new and updated policies and regulations associated with grants and financial assistance.

- e) Provides guidance to senior officials relative to cost eligibility under 2 CFR 200 (Cost Principles). Provides technical assistance on approval of financial issues such as indirect costs rate and/or cost allocation plans.
- f) As requested, provides guidance on budget and financial operations of the grants and financial assistance programs, providing advice and assistance to management and program officials in developing, implementing, and evaluating program plans, strategies, program announcements, guidelines, and procedures relative to pertinent grant and financial assistance programs.
- g) Establishes and operates an internal assessment program for grants and financial assistance programs to provide guidance on administrative improvements in line with Departmental priorities. The internal assessment program will be performed in partnership with the Department's CFO internal controls and other reviews.
- h) Establishes and manages training and certification standards for skillsets necessary for grants and financial assistance management across the Department in coordination with the OAs and other OST offices. Monitors the certification status of grants and financial assistance employees across the Department. Offers DOT-specific trainings for those significantly involved in financial assistance and grants management and administration.
- i) Identifies opportunities within grants and financial assistance programs to improve processing and reporting Department-wide, including standardization and centralization when appropriate.
- j) Serves as the Secretarial representation and departmental liaison regarding the Department's Single Audit Accountable Official regarding grants and financial assistance administration matters with OMB, GAO, other agencies, grantees, professional organizations, and the public.
- k) Serves as a Departmental point of contact for inquiries involving DOT grants and financial assistance administration functions and facilitates the response to data requests in coordination with the appropriate OA and/or OST Office(s).
- l) Provides technical assistance on grants and financial assistance best practices. Facilitates grants and financial assistance knowledge sharing throughout the Department. Identifies opportunities to report internal financial assistance metrics to Department leadership and key stakeholders.
- m) Facilitates Financial Assistance Team of Executives (FATE) quarterly meetings to ensure financial assistance efforts strategically contribute to DOT's mission through the implementation of best practices and innovative approaches, mitigation of risks, identifying business reengineering opportunities, and managing the financial assistance function to achieve results and accountability.

- n) Serves as the Departmental focal point for electronic financial assistance functions and acts as functional sponsor for Department-wide enterprise grants and financial assistance systems in coordination with OCIO and the appropriate OA and/or OST Office. In instances where the grants community and the contracting community utilize the same system, the Office of Grants and Financial Assistance will provide input to the Office of the Senior Procurement Executive on financial assistance functions.
- o) Establishes policy for Department-wide financial assistance data collection requirements and related business systems.
- p) Collaborates with OAs and the Office of the Chief Information Officer (OCIO) on grant information systems in accordance with DOT Order 1351.39 IT Management Policy.
- q) Seeks guidance from and collaborates with the Departmental Office of Civil Rights and to ensure compliance with federal civil rights laws and regulations through the entire grant lifecycle.
- r) Provides Suspension and Debarment Liaison support to OST offices in the investigation, and resolution of OST S&D cases and case parties.

H. Office of Audit Relations and Program Improvement

- 1) Mission: To provide leadership and direction to the OAs and Secretarial offices to ensure the Department's position and actions for all OIG and GAO audits (and other external audit agencies) are accurately and fully addressed during the audit process and recommendations that improve programs and processes are expeditiously implemented.
- 2) Functions: Under the direction of the Assistant Secretary for Administration, the Director of ARPI:
 - a) Facilitates communication and coordination between GAO and the Department to include the OAs and Secretarial offices regarding ongoing audits and recommendations.
 - b) Consults with senior executives, managers, and program staff throughout the Department to resolve significant audit issues.
 - c) Negotiates alternative audit actions and strategies with and between OIG/GAO and the OAs/OST offices.

- d) Oversees the drafting of responses to OIG and GAO audit reports, coordinates the OST clearance process, and ensures the timely delivery of 180-day letter corrective actions to Congress.
- e) Spearheads actions to resolve outstanding audit recommendations and analyze recommendation data to OAs and the Department.
- f) Sets annual Departmental priorities to meet required audit timelines and implementation of recommendations.
- g) Maintains close working relationships with Departmental offices, such as the Office of the General Counsel, Office of Budget, Office of Policy, Office of the Senior Procurement Executive, Office of the Chief Information Officer, and the Office of Grants and Financial Assistance, to ensure audits include proper oversight visibility.

Philip McNamara
Assistant Secretary for Administration