

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

FY 2009 CONGRESSIONAL BUDGET JUSTIFICATION

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Performance Budget JustificationReduced Congestion - 1

Global Connectivity

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GENERAL NOTES

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

SECTION 1: OVERVIEW

OFFICE OF THE SECRETARY

SUMMARY STATEMENT

FY 2009 resources requested for the Office of the Secretary total \$181 million -- \$131 million of discretionary resources and \$50 million of mandatory resources. The mandatory request assumes that \$50 million of overflight fees collected by the Federal Aviation Administration will fund the Department's Essential Air Service program.

The FY 2009 request includes:

- \$101.8 million in Salaries and Expenses for the Department's Secretarial offices including \$12.9 million for the Office of the Chief Information Officer to manage DOT's \$2.7 billion IT portfolio and funding to support added security requirements.
- \$9.4 million for the Department's Office of Civil Rights to support and advance internal and external civil rights initiatives, administer Federal civil rights statutes, investigate EEO complaints, support the Disability Resource Center and the Shared Neutrals Alternative Dispute Resolution Program, and oversee and ensure compliance of environmental justice programs throughout the Department.
- \$4.0 million for the Minority Business Resource Center and Minority Business Outreach activities. These programs encourage and assist small, disadvantaged, and women-owned businesses to participate in DOT and DOT-assisted contracts and grants and provide them assistance in obtaining short-term working capital.
- \$10.1 million for the Department's Transportation Planning, Research and Development program including activities and studies needed to support the Secretary's responsibilities in the formulation of national transportation policies.
- An estimated \$50 million of overflight fees collected by the Federal Aviation Administration will fund the Essential Air Service program as authorized in the Federal Aviation Reauthorization Act of 1996 (P.L. 104-264).
- \$6.0 million for a new financial management capital account to begin a multi-year project to upgrade DOT's financial systems and processes.

The FY 2009 request includes the following funding levels to support the Department's key strategic objectives: \$2.1 million for Safety; \$59 million for Reduced Congestion; \$16.4 million for Global Connectivity; \$2.9 million for Environmental Stewardship; \$14.2 million for Security, Preparedness and Emergency Response; and \$86.6 million for Organizational Excellence.

SECTION 2: BUDGET SUMMARY TABLES

EXHIBIT II - 1
COMPARATIVE STATEMENT OF DISCRETIONARY BUDGET AUTHORITY
OFFICE OF THE SECRETARY
(\$000)

<u>ACCOUNTS</u>	<u>FY 2007</u> <u>ACTUAL</u>	<u>FY 2008</u> <u>ENACTED</u>	<u>FY 2009</u> <u>REQUEST</u>
SALARIES & EXPENSES	83,961	91,782	101,782
<i>Office of the Secretary (S-1)</i>	2,197	2,310	2,400
<i>Office of the Deputy Secretary (S-2)</i>	697	730	759
<i>Office of the Under Secretary for Transportation Policy (S-3)</i>	11,635	9,874	12,681
<i>Office of the Executive Secretariat (S-10)</i>	1,441	1,516	1,595
<i>Board of Contract Appeals (S-20)</i>	105	0	0
<i>Office of Small and Disadvantaged Business Utilization (S-40)</i>	1,264	1,335	1,369
<i>Office of Intelligence and Security</i>	2,027	0	0
<i>Office of Emergency Transportation</i>	3,103	0	0
<i>Office of Intelligence and Security and Emergency Response (S-60)</i>	0	7,874	9,169
<i>Office of the Chief Information Officer (S-80)</i>	11,801	11,887	12,885
<i>Office of the General Counsel (C)</i>	15,148	18,720	18,438
<i>Office of the Assistant Secretary for Governmental Affairs (I)</i>	2,291	2,383	2,447
<i>Office of the Assistant Secretary for Budget and Programs/CFO (B)</i>	8,465	9,417	10,708
<i>Office of the Assistant Secretary for Administration (M)</i>	21,880	23,750	27,292
<i>Office of Public Affairs (A)</i>	1,908	1,986	2,040
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	14,893	13,884	10,105
OFFICE OF CIVIL RIGHTS	8,527	9,141	9,384
MINORITY BUSINESS OUTREACH	2,970	2,970	3,056
MINORITY BUSINESS RESOURCE CENTER PROGRAM	893	893	912
ESSENTIAL AIR SERVICE PROGRAM	59,400	60,000	0
<i>Payments to Air Carriers - Discretionary</i>	59,400	60,000	0
COMPENSATION FOR AIR CARRIERS	0	0	-848
<i>Proposed Rescission</i>	0	0	-848
NEW HEADQUARTERS BUILDING	49,500	0	0
FINANCIAL MANAGEMENT CAPITAL	0	0	6,000
COMPENSATION FOR GENERAL AVIATION OPERATIONS	0	0	0
TOTAL DISCRETIONARY BUDGET AUTHORITY	220,143	178,670	130,391

EXHIBIT II-2
FY 2009 BUDGET REQUEST BY APPROPRIATION ACCOUNT
OFFICE OF THE SECRETARY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>ACCOUNTS</u>	<u>FY 2007</u> <u>ACTUAL</u>	<u>FY 2008</u> <u>ENACTED</u>	<u>FY 2009</u> <u>REQUEST</u>
SALARIES & EXPENSES			
Office of the Secretary	2,197	2,310	2,400
<i>FTE</i>	<i>14.8</i>	<i>15.0</i>	<i>15.0</i>
Office of the Deputy Secretary	697	730	759
<i>FTE</i>	<i>3.5</i>	<i>7.0</i>	<i>7.0</i>
Office of the Under Secretary for Policy	11,635	9,874	12,681
<i>FTE</i>	<i>82.8</i>	<i>73.0</i>	<i>120.0</i>
Office of the Executive Secretariat	1,441	1,516	1,595
<i>FTE</i>	<i>12.1</i>	<i>15.0</i>	<i>15.0</i>
Board of Contract Appeals	105	0	0
<i>FTE</i>	<i>1.4</i>	<i>0.0</i>	<i>0.0</i>
Office of Small & Disadvantaged Business Utilization	1,264	1,335	1,369
<i>FTE</i>	<i>8.2</i>	<i>9.0</i>	<i>9.0</i>
Office of Intelligence & Security	2,027	0	0
<i>FTE</i>	<i>8.4</i>	<i>0.0</i>	<i>0.0</i>
Office of Emergency Transportation	3,103	0	0
<i>FTE</i>	<i>8.0</i>	<i>0.0</i>	<i>0.0</i>
Office of Intelligence, Security and Emergency Response	0.0	7,874	9,169
<i>FTE</i>	<i>0.0</i>	<i>36.0</i>	<i>37.0</i>
Office of the Chief Information Officer	11,801	11,887	12,885
<i>FTE</i>	<i>21.0</i>	<i>25.0</i>	<i>25.0</i>
Office of General Counsel	15,148	18,720	18,438
<i>FTE</i>	<i>88.2</i>	<i>104.0</i>	<i>104.0</i>
Office of Governmental Affairs	2,291	2,383	2,447
<i>FTE</i>	<i>15.0</i>	<i>24.0</i>	<i>24.0</i>
Office of the Assistant Secretary for Budget & Programs/CFO	8,465	9,417	10,708
<i>FTE</i>	<i>43.8</i>	<i>54.0</i>	<i>54.0</i>
Office of the Assistant Secretary of Administration	21,880	23,750	27,292
<i>FTE</i>	<i>38.9</i>	<i>44.0</i>	<i>65.0</i>
Office of Public Affairs	1,908	1,986	2,040
<i>FTE</i>	<i>13.2</i>	<i>19.0</i>	<i>19.0</i>
TOTAL: SALARIES & EXPENSES	83,961	91,782	101,782
TOTAL FTE	359.2	425.0	494.0
TRANSPORTATION PLANNING RESEARCH & DEVELOPMENT			
Transportation Planning Research & Development	14,893	13,884	10,105
<i>FTE</i>	<i>28.0</i>	<i>31.0</i>	<i>31.0</i>
TOTAL: TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	14,893	13,884	10,105
TOTAL FTE	28.0	31.0	31.0
OFFICE OF CIVIL RIGHTS			
Office of Civil Rights	8,527	9,141	9,384
<i>FTE</i>	<i>46.0</i>	<i>64.0</i>	<i>64.0</i>
TOTAL: OFFICE OF CIVIL RIGHTS	8,527	9,141	9,384
TOTAL FTE	46.0	64.0	64.0

EXHIBIT II-2
FY 2009 BUDGET REQUEST BY APPROPRIATION ACCOUNT
OFFICE OF THE SECRETARY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>ACCOUNTS</u>	<u>FY 2007</u> <u>ACTUAL</u>	<u>FY 2008</u> <u>ENACTED</u>	<u>FY 2009</u> <u>REQUEST</u>
MINORITY BUSINESS OUTREACH			
Minority Business Outreach	2,970	2,970	3,056
<i>FTE</i>	<i>0.0</i>	<i>1.0</i>	<i>1.0</i>
TOTAL: MINORITY BUSINESS OUTREACH	2,970	2,970	3,056
TOTAL FTE	0.0	1.0	1.0
MINORITY BUSINESS RESOURCE CENTER PROGRAM			
Minority Business Resource Center Program - Discretionary	893	893	912
<i>FTE</i>	<i>1.0</i>	<i>1.0</i>	<i>1.0</i>
TOTAL: MINORITY BUSINESS RESOURCE CENTER PROGRAM	893	893	912
TOTAL FTE	1.0	1.0	1.0
ESSENTIAL AIR SERVICE PROGRAM			
Payments to Air Carriers - Discretionary	59,400	60,000	0
Essential Air Service - Mandatory	46,331	50,000	50,000
<i>FTE</i>	<i>8.0</i>	<i>10.0</i>	<i>10.0</i>
TOTAL: ESSENTIAL AIR SERVICE	105,731	110,000	50,000
TOTAL FTE	8.0	10.0	10.0
NEW HEADQUARTERS BUILDING			
New Headquarters Building	49,500	0	0
<i>FTE</i>	<i>0.0</i>	<i>0.0</i>	<i>0.0</i>
TOTAL: NEW HEADQUARTERS BUILDING	49,500	0	0
TOTAL FTE	0.0	0.0	0.0
FINANCIAL MANAGEMENT CAPITAL			
Financial Management Capital	0	0	6,000
<i>FTE</i>	<i>0.0</i>	<i>0.0</i>	<i>0.0</i>
TOTAL: FINANCIAL MANAGEMENT CAPITAL	0	0	6,000
TOTAL FTE	0.0	0.0	0.0
COMPENSATION FOR GENERAL AVIATION OPERATIONS			
Compensation for General Aviation Operations - Discretionary	0	0	0
<i>FTE</i>	<i>0</i>	<i>0</i>	<i>0</i>
TOTAL: COMPENSATION FOR GENERAL AVIATION OPERATIONS	0	0	0
TOTAL FTE	0	0	0
TOTAL APPROPS, OBLIG. LIMITATIONS, AND EXEMPT OBLIGATIONS	266,474	228,670	181,239
TOTAL FTE	442.2	532.0	601.0

EXHIBIT II-4
FY 2009 TOTAL BUDGET AUTHORITY BY APPROPRIATION ACCOUNT
OFFICE OF THE SECRETARY
(\$000)

<u>ACCOUNTS</u>	<u>FY 2007</u> <u>ACTUAL</u>	<u>FY 2008</u> <u>ENACTED</u>	<u>FY 2009</u> <u>REQUEST</u>
SALARIES & EXPENSES			
Office of the Secretary	2,197	2,310	2,400
<i>FTE</i>	<i>14.8</i>	<i>15.0</i>	<i>15.0</i>
Office of the Deputy Secretary	697	730	759
<i>FTE</i>	<i>3.5</i>	<i>7.0</i>	<i>7.0</i>
Office of the Under Secretary for Policy	11,635	9,874	12,681
<i>FTE</i>	<i>82.8</i>	<i>73.0</i>	<i>120.0</i>
Office of the Executive Secretariat	1,441	1,516	1,595
<i>FTE</i>	<i>12.1</i>	<i>15.0</i>	<i>15.0</i>
Board of Contract Appeals	105	0	0
<i>FTE</i>	<i>1.4</i>	<i>0.0</i>	<i>0.0</i>
Office of Small & Disadvantaged Business Utilization	1,264	1,335	1,369
<i>FTE</i>	<i>8.2</i>	<i>9.0</i>	<i>9.0</i>
Office of Intelligence & Security	2,027	0	0
<i>FTE</i>	<i>8.4</i>	<i>0.0</i>	<i>0.0</i>
Office of Emergency Transportation	3,103	0	0
<i>FTE</i>	<i>8.0</i>	<i>0.0</i>	<i>0.0</i>
Office of Intelligence, Security and Emergency Response	0.0	7,874	9,169
<i>FTE</i>	<i>0.0</i>	<i>36.0</i>	<i>37.0</i>
Office of the Chief Information Officer	11,801	11,887	12,885
<i>FTE</i>	<i>21.0</i>	<i>25.0</i>	<i>25.0</i>
Office of General Counsel	15,148	18,720	18,438
<i>FTE</i>	<i>88.2</i>	<i>104.0</i>	<i>104.0</i>
Office of Governmental Affairs	2,291	2,383	2,447
<i>FTE</i>	<i>15.0</i>	<i>24.0</i>	<i>24.0</i>
Office of the Assistant Secretary for Budget & Programs/CFO	8,465	9,417	10,708
<i>FTE</i>	<i>43.8</i>	<i>54.0</i>	<i>54.0</i>
Office of the Assistant Secretary of Administration	21,880	23,750	27,292
<i>FTE</i>	<i>38.9</i>	<i>44.0</i>	<i>65.0</i>
Office of Public Affairs	1,908	1,986	2,040
<i>FTE</i>	<i>13.2</i>	<i>19.0</i>	<i>19.0</i>
TOTAL: SALARIES & EXPENSES	83,961	91,782	101,782
TOTAL FTE	359.2	425.0	494.0
TRANSPORTATION PLANNING RESEARCH & DEVELOPMENT			
Transportation Planning Research & Development	14,893	13,884	10,105
<i>FTE</i>	<i>28.0</i>	<i>31.0</i>	<i>31.0</i>
TOTAL: TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	14,893	13,884	10,105
TOTAL FTE	28.0	31.0	31.0
OFFICE OF CIVIL RIGHTS			
Office of Civil Rights	8,527	9,141	9,384
<i>FTE</i>	<i>46.0</i>	<i>64.0</i>	<i>64.0</i>
TOTAL: OFFICE OF CIVIL RIGHTS	8,527	9,141	9,384
TOTAL FTE	46.0	64.0	64.0

EXHIBIT II-4
FY 2009 TOTAL BUDGET AUTHORITY BY APPROPRIATION ACCOUNT
OFFICE OF THE SECRETARY
(\$000)

<u>ACCOUNTS</u>	<u>FY 2007</u> <u>ACTUAL</u>	<u>FY 2008</u> <u>ENACTED</u>	<u>FY 2009</u> <u>REQUEST</u>
MINORITY BUSINESS OUTREACH			
Minority Business Outreach	2,970	2,970	3,056
<i>FTE</i>	0.0	1.0	1.0
TOTAL: MINORITY BUSINESS OUTREACH	2,970	2,970	3,056
TOTAL FTE	0	1	1
MINORITY BUSINESS RESOURCE CENTER PROGRAM			
Minority Business Resource Center Program - Discretionary	893	893	912
MBRC Guaranteed Loan Subsidy reestimate - Mandatory	113	30	0
<i>FTE</i>	1.0	1.0	1.0
TOTAL: MINORITY BUSINESS RESOURCE CENTER PROGRAM	1,006	923	912
TOTAL FTE	1	1	1
ESSENTIAL AIR SERVICE PROGRAM			
Payments to Air Carriers - Discretionary	59,400	60,000	0
Essential Air Service - Mandatory	46,331	50,000	50,000
<i>FTE</i>	8.0	10.0	10.0
TOTAL: ESSENTIAL AIR SERVICE	105,731	110,000	50,000
TOTAL FTE	8.0	10.0	10.0
NEW HEADQUARTERS BUILDING			
New Headquarters Building	49,500	0	0
<i>FTE</i>	0.0	0.0	0.0
TOTAL: NEW HEADQUARTERS BUILDING	49,500	0	0
TOTAL FTE	0.0	0.0	0.0
FINANCIAL MANAGEMENT CAPITAL			
Financial Management Capital	0	0	6,000
<i>FTE</i>	0.0	0.0	0.0
TOTAL: FINANCIAL MANAGEMENT CAPITAL	0	0	6,000
TOTAL FTE	0.0	0.0	0.0
COMPENSATION FOR GENERAL AVIATION OPERATIONS			
Compensation for General Aviation Operations - Discretionary	0	0	0
<i>FTE</i>	0	0	0
TOTAL: COMPENSATION FOR GENERAL AVIATION OPERATIONS	0	0	0
TOTAL FTE	0	0	0
COMPENSATION FOR AIR CARRIERS			
Compensation for Air Carriers - unoblig. balance rescission Discretionay/Mandat	-50,000	-22,000	-848
<i>FTE</i>	0	0	0
TOTAL: COMPENSATION FOR AIR CARRIERS	-50,000	-22,000	-848
TOTAL FTE	0	0	0
TOTAL BUDGET AUTHORITY	216,587	206,700	180,391
Mandatory	-3,556	28,030	50,000
Discretionary	220,143	178,670	130,391
TOTAL FTE	442.2	532.0	601.0

EXHIBIT II-5
FY 2009 OUTLAYS BY APPROPRIATION ACCOUNT
OFFICE OF THE SECRETARY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

<u>ACCOUNTS</u>	FY 2007 <u>Actual</u>	FY 2008 <u>Enacted</u>	FY 2009 <u>Request</u>
Salaries & Expenses	89,805	77,257	100,782
Office of Civil Rights	7,296	10,323	9,360
<i>Compensation for Air Carriers [mandatory]</i>	-373	0	0
Compensation for General Aviation Operations	0	16,830	0
Financial Management Capital	0	0	4,800
New Headquarters Building	89,414	38,939	0
Transportation Planning, Research & Development	16,200	39,322	12,574
MBRC Program (loan subsidy & admin)	305	1,254	912
MBRC Guaranteed Loan Subsidy Upward Reestimate <i>[mandatory]</i>	113	30	0
Minority Business Outreach	1,731	11,797	3,047
Payments to Air Carriers	65,365	44,471	24,000
<i>Essential Air Service & Rural Airport Funding [mandatory]</i>	21,935	62,396	56,000
Working Capital Fund	13,095	68,446	0
	<hr/>	<hr/>	<hr/>
Total OST Outlays	304,887	371,065	211,475
<i>Mandatory</i>	<i>21,675</i>	<i>62,426</i>	<i>56,000</i>
<i>Discretionary</i>	<i>283,212</i>	<i>308,639</i>	<i>155,475</i>

EXHIBIT II-6

SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

SALARIES AND EXPENSES

	2008 Enacted	2008 PC&B By Program	2008 # FTE Per Program	2008 Contract Expenses	2008/2009 Pay Adjust.	GSA Rent	Initiation/ Definition	Non-Rest of Startup for Consumer Protection	Restoration of Aviation Policy	Restoration of FTE/Refundation of Resources	FY 2009 Adjusted Base	Program Increases/ Decreases	2009 PC&B Program Change	2009 # FTE Per Program Increase	2009 Contract Expenses Program Changes	FY 2009 Request	Baseline Changes		
																	Note Non-Add	Note Non-Add	
OPERATIONS																			
PERSONNEL RESOURCES																			
(FTE)	458		458						47	21	526	1.0		1.0					
Direct FTE	425		425					47	47	21	493	1.0		1.0					494.0
FINANCIAL RESOURCES																			
Salaries and Benefits	\$52,072	\$52,072		\$2,258					2,500	2,260	\$59,090	\$145	\$145						\$59,235
Travel	\$1,434						\$27			(122)	\$1,330	\$0							\$1,330
Transportation	\$0										\$0	\$0							\$0
GSA Rent	\$10,069					\$880					\$10,966	\$0							\$10,966
Communications, Rent & Utilities	\$0										\$0	\$0							\$0
Printing	\$512						\$23			(50)	\$494	\$0							\$494
Other Services	\$27,197						\$620	(1,400)		2,307	\$28,724	\$520							\$29,244
Supplies	\$196						\$9			24	\$229	\$0							\$229
Equipment	\$252						\$5			18	\$275	\$0							\$275
Admin Subtotal	\$91,782			\$2,258		\$880	\$684	(1,400)	\$ 2,500	\$ 4,413	\$101,117	\$665							\$101,782
PROGRAMS																			
	\$0								\$0	\$0	\$0	\$0							\$0
Programs Subtotal	\$0								\$0	\$0	\$0	\$0							\$0
Total: Limitation	\$91,782			\$2,258		\$880	\$684	(\$1,400)	\$2,500	\$4,413	\$101,117	\$665							\$101,782
GRAND TOTAL	\$91,782			\$2,258		\$880	\$684	(\$1,400)	\$2,500	\$4,413	\$101,117	\$665							\$101,782

EXHIBIT II-6

SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

OFFICE OF CIVIL RIGHTS

Baseline Changes

	2008 Enacted		2008 PC&B By Program		2008 # FTE Per Program		2008 Contracts Expenses		Annualization of 2008 Pay Raises		2009 Pay Raises		GSA Rent		Inflation/ Deflation		FY 2009 Adjusted Base		Program Increases/ Decreases		2009 PC&B Program Increase		2008 # FTE Per Program Increase		2009 Contract Expense Program Increases		FY 2009 Request		
	64	64	64	64	Note Non-Add	Note Non-Add	64	64	64	64	64	64	64	64	64	64	64	64	64	64	64	64	64	64	64	64	64	64	64
OPERATIONS																													
PERSONNEL RESOURCES (FTE)																													
Direct FTE																													
FINANCIAL RESOURCES																													
Salaries and Benefits	\$6,925	\$6,925		\$60		\$132																							
Travel	\$188																												
Transportation	\$112																												
GSA Rent	\$0																												
Communications, Rent & Utilities	\$0																												
Printing	\$1,820																												
Other Services	\$43																												
Supplies	\$53																												
Equipment																													
Admin Subtotal	\$9,141			\$60		\$132																							
PROGRAMS																													
Programs Subtotal	\$0																												
Total Limitation	\$9,141			\$60		\$132																							
GRAND TOTAL	\$9,141			\$60		\$132																							

EXHIBIT II-6

SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

MINORITY BUSINESS OUTREACH

Baseline Changes

	2008 Enacted	2008 PC&B By Program	2008 # FTE Per Program	2008 Contracts Expenses	2008 Pay Raises	2009 Pay Raises	GSA Rent	Initiation/ Deletion	FY 2009 Adjusted Base	Program Increases/ Decreases	2009 PC&B Program Increase	2009 # FTE Per Program Increase	2009 Contract Expense Program Increases	FY 2009 Request
			Note Non-Add									Note Non-Add		
OPERATIONS	1		1						1			1		1
Direct FTE	1		1						1			1		1
FINANCIAL RESOURCES														
Salaries and Benefits	\$125	\$125			\$3				\$128	\$0				\$128
Travel	\$75							\$2	\$77	\$0				\$77
Transportation	\$0								\$0	\$0				\$0
GSA Rent	\$0								\$0	\$0				\$0
Communications, Rent & Utilities	\$0								\$0	\$0				\$0
Printing	\$0							\$64	\$2,834	\$17				\$2,851
Other Services	\$2,770								\$0	\$0				\$0
Supplies	\$0								\$0	\$0				\$0
Equipment	\$0								\$0	\$0				\$0
Admin Subtotal	\$2,970				\$3	\$0	\$0	\$66	\$3,039	\$17				\$3,056
PROGRAMS														
	\$0													\$0
Programs Subtotal	\$0				\$0	\$0	\$0	\$0	\$0	\$0				\$0
Total Limitation	\$2,970				\$3	\$0	\$0	\$66	\$3,039	\$17				\$3,056
GRAND TOTAL	\$2,970				\$3	\$0	\$0	\$66	\$3,039	\$17				\$3,056

EXHIBIT II-6

SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

MINORITY BUSINESS RESOURCE CENTER

Baseline Changes

	Note Non-Add										1			
	2008 Enacted	2008 PC&B By Program	2008 # FTE Per Program	2008 Contracts Expenses	2008 Pay Raises	2009 Pay Raises	GSA Rent	Inflation/Deflation	FY 2008 Adjusted Base	Program Increases/Decreases		2008 PC&B Program Increase	2009 # FTE Per Program Increase	2009 Contract Expense Program Increases
OPERATIONS														
PERSONNEL RESOURCES (FTE)	1													
Direct FTE	1													
Note Non-Add														
FINANCIAL RESOURCES														
Salaries and Benefits	\$131	\$131			\$1	\$4			\$136	\$0			\$136	\$136
Travel	\$0	\$0							\$0	\$0			\$0	\$0
Transportation	\$0	\$0							\$0	\$0			\$0	\$0
GSA Rent	\$0	\$0							\$0	\$0			\$0	\$0
Communications, Rent & Utilities	\$0	\$0							\$0	\$0			\$0	\$0
Printing	\$392								\$9	\$401			\$423	\$423
Other Services	\$0	\$0							\$0	\$0			\$0	\$0
Supplies	\$0	\$0							\$0	\$0			\$0	\$0
Equipment	\$0	\$0							\$0	\$0			\$0	\$0
Admin Subtotal	\$523				\$1	\$4	\$0	\$9	\$537	\$22			\$559	\$559
PROGRAMS														
Guaranteed Loan Subsidy	\$370							\$9	\$379	(\$26)			\$353	\$353
													\$0	\$0
													\$0	\$0
													\$0	\$0
													\$0	\$0
													\$0	\$0
Programs Subtotal	\$370				\$0	\$0	\$0	\$9	\$379	(\$26)			\$353	\$353
Total Limitation	\$893				\$1	\$4	\$0	\$18	\$916	(\$4)			\$912	\$912
GRAND TOTAL	\$893				\$1	\$4	\$0	\$18	\$916	(\$4)			\$912	\$912

EXHIBIT II-6

SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY
Appropriations, Obligation Limitations, and Exempt Obligations
Mandatory Funding
(\$000)

ESSENTIAL AIR SERVICE

Baseline Changes

2008 Encld	2008 FTE	2008 PCAB By Program	2003 # FTE Per Program	2008 Conitcals Expenses	2008 Pay Rates	2009 Pay Rates	GSA Rent	WCF Increase/Decrease	Initiaton/Deficit	FY 2008 Adjusted Base	Program Increases/Decreases	2009 PCAB Program Increase	2009 # FTE Per Program	2009 Contract Expenses Program Increase	FY 2009 Request	Note Non-Aid		
																10	10	
OPERATIONS																10		
PERSONNEL RESOURCES (FTE)																10		
FINANCIAL RESOURCES																		
	\$988	\$987			\$11	\$19				\$1,018					\$1,018			
Salaries and Benefits	\$9									\$9					\$9			
Travel	\$0									\$0					\$0			
Transportation	\$0									\$0					\$0			
GSA Rent	\$0									\$0					\$0			
Communications, Rent & Utilities	\$0									\$0					\$0			
Printing	\$0									\$0					\$0			
Other Services	\$186									\$186	\$60				\$246			
Supplies	\$4									\$4					\$4			
Equipment	\$5									\$5					\$5			
Admin Subtotal	\$1,192				\$11	\$19	\$0	\$0	\$0	\$1,221	\$60				\$1,281			
PROGRAMS																		
Essential Air Service	\$48,808									\$48,808	(\$291)				\$48,719			
Programs Subtotal	\$48,808				\$0	\$0	\$0	\$0	\$0	\$48,808	(\$291)				\$48,719			
Total Limitation	\$50,000				\$11	\$19	\$0	\$0	\$0	\$50,029	(\$291)				\$50,000			
GRAND TOTAL																		
	\$50,000 *				\$11	\$19	\$0	\$0	\$0	\$50,029	(\$291)				\$50,000			

* P.L. 109-171 provides an additional \$15 million from the sale of spectrum

EXHIBIT II-6

SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
OFFICE OF THE SECRETARY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

FINANCIAL MANAGEMENT CAPITAL

Baseline Changes

	2008 Enacted	2008 PC&B By Program	2008 # FTE Per Program	2008 Contracts Expenses	2008 Pay Raises	2008 GSA Rent	Initiator/Deflation	FY 2008 Adjusted Base	Program Increases/Decreases	2009 PC&B Program Increase	2009 # FTE Per Program Increase	2009 Contract Expense Program Increases	FY 2009 Request	Note Non-Add		
														0	0	
OPERATIONS																
PERSONNEL RESOURCES (FTE)	0															
Direct FTE	0															
FINANCIAL RESOURCES																
Salaries and Benefits	\$0							\$0								\$0
Travel	\$0							\$0								\$0
Transportation	\$0							\$0								\$0
GSA Rent	\$0							\$0								\$0
Communications, Rent & Utilities	\$0							\$0								\$0
Printing	\$0							\$0								\$0
Other Services	\$0							\$0								\$0
Supplies	\$0							\$0								\$0
Equipment	\$0							\$0								\$0
Admin Subtotal	\$0							\$0								\$0
PROGRAMS																
Financial Management Capital	\$0							\$0		\$6,000						\$6,000
Programs Subtotal	\$0							\$0		\$6,000						\$6,000
Total Limitation	\$0							\$0		\$6,000						\$6,000
GRAND TOTAL	\$0							\$0		\$6,000						\$6,000

EXHIBIT II-6A

WORKING CAPITAL FUND
Office of the Secretary
Appropriations, Obligation Limitations, Exempt Obligations and Reimbursable Obligations
(\$000)

	<u>FY 2008</u> <u>ENACTED</u>	<u>FY 2009</u> <u>REQUEST</u>	<u>CHANGE</u>
DIRECT:			
Salaries and Expenses	14,326	14,891	565
Transportation, Planning, Research & Development	1,071	765	-306
Office of Civil Rights	853	805	-48
Minority Business Outreach	16	17	1
Minority Business Resource Center Program Account	16	17	1
New Headquarters Building	93	0	-93
Essential Air Service/Payments to Air Carriers	158	217	59
SUBTOTAL	<u>16,533</u>	<u>16,712</u>	<u>211</u>
REIMBURSABLE:			
Salaries and Expenses	524	470	-54
SUBTOTAL	<u>524</u>	<u>470</u>	<u>-54</u>
TOTAL	17,057	17,182	157

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

<u>DIRECT FUNDED BY APPROPRIATION</u>	<u>FY 2007 ACTUAL</u>	<u>FY 2008 ENACTED</u>	<u>FY 2009 REQUEST</u>
Salaries and Expenses	359.2	425	494
Transportation Planning, Research and Development	28	31	31
Office of Civil Rights	46	64	64
Minority Business Outreach	0	1	1
Minority Business Resource Center Program	1	1	1
Essential Air Service	8	10	10
New Headquarters Building	0	0	0
Financial Management Capital	0	0	0
SUBTOTAL, DIRECT FUNDED	442.2	532	601
<u>REIMBURSEMENTS/ALLOCATIONS/OTHER</u>			
Salaries and Expenses	21	33	33
Essential Air Service	0	0	0
Working Capital Fund	173	219	219
SUBTOTAL, REIMBURSEMENTS/ALLOCATIONS/OTHER	194	252	252
TOTAL FTEs	636.2	784	853

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

<u>DIRECT FUNDED BY APPROPRIATION</u>	<u>FY 2007 ACTUAL</u>	<u>FY 2008 ENACTED</u>	<u>FY 2009 REQUEST</u>
Salaries and Expenses	500	498	500
Transportation Planning, Research and Development	31	31	31
Office Civil Rights	64	64	64
Minority Business Outreach	1	1	1
Minority Business Resource Center Program	1	1	1
Essential Air Service	10	14	14
New Headquarters Building	0	0	0
Financial Management Capital	0	0	0
SUBTOTAL, DIRECT FUNDED	607	609	611
<u>REIMBURSEMENTS/ALLOCATIONS/OTHER</u>			
Salaries and Expenses	33	33	33
Essential Air Service	0	0	0
Working Capital Fund	219	219	219
SUBTOTAL, REIMBURSEMENTS/ALLOCATIONS/OTHER	252	252	252
TOTAL POSITIONS	859	861	863

Office of the Secretary

Expected Benefits of E-Gov & Lines of Business Initiatives

As the President's Management Agenda explained in 2001, the E-Government initiatives serve citizens, businesses, and Federal employees by delivering "high quality" services more efficiently at a lower price. Instead of expensive "stove-piped" operations, agencies work together to develop common solutions that achieve mission requirements at reduced cost, thereby making resources available for higher priority needs. Thus, there are no agency activities that will not be implemented or partially implemented as a result of the transfers or reimbursements to the E-Government initiatives.

For FY 2009, the Office of the Secretary (OST) Salaries & Expenses request includes \$39 thousand for E-Government initiatives and lines of business. In addition, E-Authentication, E-Rulemaking, GovBenefits, and Integrated Acquisition will be paid on a fee-for-service basis in FY 2009.

For the Department-wide expected benefits of E-Gov and Lines of Business Initiatives, please refer to Section 6 of the OST Congressional Justifications.

All of the Department of Transportation's Capital Asset Plans and Business Case Summaries (Exhibit 300s) can be found on the Department's website at <http://www.dot.gov/exhibit300/>.

E-Gov Initiatives:

Business Gateway (BG) (Managing Partner: Small Business Administration) - By creating a single portal for business information, such as regulatory compliance information, BG directly benefits DOT "customers" (e.g., airlines, motor carrier operators and suppliers, railroad operators and certifiers, and cargo vessel operators, etc.), many of whom are subject to complex regulatory requirements across multiple agencies.

Benefits to the Office of the Secretary:

- **Office of the Secretary of Transportation/Office of Aviation and International Affairs (OST/OAIA)** – Business.gov provides an informative and time-saving resource for the public and the aviation industry to gain access to materials central to the aviation regulatory process.
- **Office of the Secretary of Transportation/Office of Drug & Alcohol Policy & Compliance (OST/ODAPC)** – The BG portal will provide a point of access to the drug and alcohol testing rules and regulations established by DOT.
- **Office of the Secretary of Transportation/Office of Small and Disadvantaged Business Utilization (OSDBU)** – The Business.gov portal comply with Federal law and have greater access to the forms they require.

Grants.gov (Managing Partner: Health and Human Services) - The Grants.gov initiative benefits DOT and its component organizations by providing a single location to publish grant (funding) opportunities and application packages. Additionally, it provides a single site for the grants community to apply for grants using common forms, processes and systems. The DOT derives its largest source of benefits from Grants.gov by not having to develop its own system for collecting electronic grant applications for paper-based grant programs. In FY 2006, DOT received 913 electronic applications from the grants community via Grants.gov. New discretionary grant programs in FY 2006 were able to use Grants.gov rather than having to modify DOT software systems to accept pre-award data collection. Across all DOT modes, Grants.gov has helped the Department standardize grant data items and procedures. It has helped to improve accountability, reporting and to prepare for future GM LoB planning.

Benefits to the Office of the Secretary: Three grant programs are using Grants.gov, and they do not have a grant system where data can be parsed for use in a back-end system. Two of the three programs are entirely paper based. Grants.gov is a major improvement for these two programs.

Integrated Acquisition Environment - Loans and Grants (Managing Partner GSA) - All agencies participating in the posting and/or awarding of Loans & Grants are required by the Federal Funding Accountability and Transparency Act (FFATA) to disclose award information on a publicly accessible website. Cross-government cooperation with the Office of Management and Budget's Integrated Acquisition Environment initiative in determining unique identifiers for Loans & Grants transactions furthers the agency in complying with the Transparency Act, which enhances transparency of federal program performance information, funding, and Loans & Grants solicitation.

Disaster Assistance Improvement Plan (Managing Partner DHS) - The Disaster Assistance Improvement Program (DAIP) is a government-wide initiative to improve the delivery of assistance to disaster victims. Through modification of an existing E-Gov initiative, GovBenefits.gov, DAIP provides a one-stop portal for those affected by disasters by providing information on programs offering disaster assistance and screening of benefits for which they may be eligible. After determining their eligibility, users may apply for disaster assistance benefits using a single application through FEMA, leading to a more simplified, streamlined process. All benefit applications are adjudicated by the appropriate agency. DAIP will also allow returning users to check the status of the request for benefits available through the single application. DAIP includes member agencies that have programs that: provide benefits for persons in response to disasters; help facilitate the application and delivery process through validation; have other resources that may assist disaster victims; or are otherwise relevant to those who are impacted by disasters. During its first year of operation, the DAIP Program Office will quantify and report on the benefits and cost savings for each member agency.

As an agency with information that is relevant to individuals affected by a disaster, the Department of Transportation will integrate with DAIP to provide an alternate mechanism for providing information to disaster victims. This will support delivery of

assistance to disaster victims and will reduce agency direct inquiries about individual assistance.

E-Gov Lines of Business:

Financial Management Line of Business (Managing Partner: GSA) - This initiative benefits DOT by leveraging information technology (IT) and financial processing expertise to provide services to additional Federal agencies. As DOT's customer base continues to grow, the agency can create economies of scale and use the growth to gain leverage with the financial management software vendor community. The DOT will be able to contribute to the cost savings that will be recognized through the reduction of redundant costs. This is the result of using standard business processes and a common system configuration, which the FM LoB promotes. Furthermore, by using Financial System Integration Office certified financial management system software, Shared Service Providers will be able to minimize the cost of application upgrades.

Geospatial LoB (Managing Partner: DOI) - DOT is a major Federal producer and distributor of metadata and transportation geospatial data. Transportation data from RITA and FAA are used to model the geographic locations, interconnectedness, and characteristics of the transportation system within the United States that consist of both physical and non-physical components. Many other Federal agencies, State and local governments, academia, and the private sector also collect and maintain transportation geospatial data. The DOT anticipates potential cost savings through enhanced identification of and engagement with these organizations. These cost savings will accrue with implementation of the common solutions identified in the business case developed for the line of business. Three main solutions include:

- Enhancing governance to ensure that all parts of the geospatial community has a role to fulfill.
- Coordinating requirements analysis for the data themes to leverage activities across agencies and other organizations.
- Using best practices and open standards to provide for shared and reusable geospatial assets.

All components within DOT understand the need to have enhanced governance to ensure that their missions are met by leveraging all parts of the geospatial community. Coordinating requirements analysis will allow the Department to leverage activities across agencies as they continue to explore ways to develop support and promote safety in the development of national and local transportation systems. All DOT Components will benefit from the use of best practices and open standards to provide for shared and reusable geospatial assets.

Grants Management Line of Business (Managing Partners: HHS and National Science Foundation) - DOT manages 79,454 grant awards equaling approximately \$46.9 billion in awards, and is the second largest Federal grant-making agency. The DOT anticipates the key benefit to its components will be a centralized location to download all applications, make awards, and track awards to closeout. Automated business

processes available through consortium service providers will decrease agency reliance on manual and paper-based processing. Consortium lead agencies will spread operations and maintenance (O&M) costs, and development, modernization, and enhancement (DME) costs across agencies, decreasing the burden that any one agency must bear. During 2006, due to the GM LoB initiative, DOT analyzed DOT grant systems and programs, analyzed and documented core grant data items, helped facilitate grant system and program information exchange between DOT Components, identified DOT manual paper grant processes, began documenting and standardizing paper processes to prepare for automation, and started identifying systems for decommissioning.

The GM LoB will lead to a reduction in the number of systems of record for grants data across DOT and the government and the development of common reporting standards, improving DOT's ability to provide agency and government-wide reports on grant activities and results. Migrating to a consortium or establishing a consortia lead agency may help DOT comply with the Federal Financial Assistance Management Improvement Act of 1999 and the Federal Funding Accountability and Transparency Act of 2006.

Service to constituents will be improved through the standardization and streamlining of government-wide grants business processes. The public will receive time savings as a result of quicker notification and faster payments due to an automated system for grants processing. Furthermore, GM LoB will minimize complex and varying agency-specific requirements and increase grantee ease of use on Federal grants management systems. Constituents will benefit as they will have fewer unique agency systems and processes to learn; grantees' ability to learn how to use the system will be improved; and reliance on call center technical support will be reduced. Consortium lead agencies will also provide grantees with online access to standard post-award reports, thus decreasing the number of unique agency-specific reporting requirements.

Human Resources Management Line of Business (Managing Partner: Office of Personnel Management) - DOT benefits through its use of best-in-class Human Resource (HR) services and systems provided by one of the approved service providers. During FY 2006, the Federal Aviation Administration migrated to DOT's service provider, DOI's National Business Center. Through its adoption of an approved service provider, DOT will achieve the benefits of "best-in-class" HR solutions without the costs of developing and maintaining their own HR systems. Employees across the agency benefit from improved HR services. The DOT's involvement in HR LoB allows them to help shape the government-wide solution as well as best practices and lessons learned as developed by the HR LoB task force and other agencies.

Budget Formulation and Execution LoB (Managing Partner: Department of Education) - The BFE LoB benefits DOT through building the "budget of the future" by promoting information sharing across government agency budget offices and building a "community of practice." The BFE LoB will provide DOT solutions that link budget formulation, execution, planning, performance, and financial information. Areas of particular interest to DOT are technology, budget performance integration, data collection and tracking, financial management integration, and human capital.

**SECTION 3: FY 2009 BUDGET REQUEST BY
APPROPRIATION**

OFFICE OF THE SECRETARY

SALARIES AND EXPENSES

For necessary expenses of the Office of the Secretary, [\$91,782,000, of which not to exceed \$2,310,000 shall be available for the immediate Office of the Secretary; not to exceed \$730,000 shall be available for the immediate Office of the Deputy Secretary; not to exceed \$18,720,000 shall be available for the Office of the General Counsel; not to exceed \$9,874,000 shall be available for the Office of the Under Secretary of Transportation for Policy; not to exceed \$9,417,000 shall be available for the Office of the Assistant Secretary for Budget and Programs; not to exceed \$2,383,000 shall be available for the Office of the Assistant Secretary for Governmental Affairs; not to exceed \$23,750,000 shall be available for the Office of the Assistant Secretary for Administration; not to exceed \$1,986,000 shall be available for the Office of Public Affairs; not exceed \$1,516,000 shall be available for the Office of the Executive Secretariat; not to exceed \$1,335,000 shall be available for the Office of Small and Disadvantaged Business Utilization; not to exceed \$7,874,000 for the Office of Intelligence, Security, and Emergency Response; and not to exceed \$11,887,000 shall be available for the Office of the Chief Information Officer] \$101,782,000: *Provided*, That the Secretary of Transportation 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 5 percent by all such transfers: *Provided further*, That notice of any change in funding greater than 5 percent shall be submitted [for approval] to the House and Senate Committees on Appropriations: *Provided further*, That not to exceed \$60,000 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, excluding fees authorized in Public Law 107-71, there may be credited to this appropriation up to \$2,500,000 in funds received in user fees [: *Provided further*, That none of the funds provided in this Act shall be available for the position of Assistant Secretary for Public Affairs]. (*Department of Transportation Appropriations Act, 2008.*)

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

SALARIES AND EXPENSES

APPROPRIATION SUMMARY BY PROGRAM ACTIVITY
(In thousands of dollars)

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request	Change FY 2008 - FY 2009
Office of the Secretary	2,197	2,310	2,400	90
Office of the Deputy Secretary	697	730	759	29
Office of the Executive Secretariat	1,441	1,516	1,595	79
Office of the Under Secretary Transportation Policy	11,635	9,874	12,681	2,807
Board of Contract Appeals	105	0	0	0
Office of Small and Disadvantaged Business	1,264	1,335	1,369	34
Office of Intelligence and Security	2,027	0	0	0
Office of Emergency Transportation	3,103	0	0	0
Office of Intelligence, Security and Emergency Response		7,874	9,169	1,295
Office of the Chief Information Officer	11,801	11,887	12,885	998
Office of the Asst. Sec. for Governmental Affairs	2,291	2,383	2,447	64
Office of General Counsel	15,148	18,720	18,438	-282
Office of the Asst. Sec. for Budget and Programs	8,465	9,417	10,708	1,291
Office of the Asst. Sec. for Administration	21,880	23,750	27,292	3,542
Office of Public Affairs	1,908	1,986	2,040	54
Total	83,961	91,782	101,782	10,000
FTEs				
Direct Funded	359	425	494	69
Reimbursable, allocated, other	21	33	33	0

Program and Performance Statement

General administration. —This appropriation finances the costs of policy development and central supervisory and coordinating functions necessary for the overall planning and direction of the Department. It covers the immediate secretarial offices as well as those of the assistant secretaries and the general counsel.

OFFICE OF CIVIL RIGHTS

For necessary expenses of the Office of Civil Rights, [\$9,140,900] \$9,384,000. (*Department of Transportation Appropriations Act, 2008.*)

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

OFFICE OF CIVIL RIGHTS

APPROPRIATION SUMMARY BY PROGRAM ACTIVITY
(In thousands of dollars)

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request	Change FY 2008 - FY 2009
Office of Civil Rights	8,527	9,141	9,384	243
Total	8,527	9,141	9,384	243
FTEs				
Direct Funded	46	64	64	0
Reimbursable, allocated, other	0	0	0	0

Program and Performance Statement

This appropriation finances the costs of the Departmental Civil Rights Office. This office is responsible for enforcing laws and regulations that prohibit discrimination in federally-operated and assisted transportation programs. This office also handles all civil rights cases related to the Department of Transportation employees.

MINORITY BUSINESS OUTREACH

For necessary expenses of Minority Business Resource Center outreach activities, [\$2,970,000] \$3,056,00, to remain available until September 30, [2009] 2010: *Provided*, That notwithstanding 49 U.S.C. 332, these funds may be used for business opportunities related to any mode of transportation. (*Department of Transportation Appropriations Act, 2008.*)

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

MINORITY BUSINESS OUTREACH

APPROPRIATION SUMMARY BY PROGRAM ACTIVITY
(In thousands of dollars)

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request	Change FY 2008- FY 2009
Minority Business Outreach	2,970	2,970	3,056	86
Total	2,970	2,970	3,056	86
FTEs				
Direct Funded	0	1	1	0
Reimbursable, allocated, other	0	0	0	0

Program and Performance Statement

This program provides contractual support to assist small, women-owned, Native American, and other disadvantaged business firms, in securing contracts and subcontracts resulting from transportation-related Federal support. It also participates in cooperative agreements with historically black and Hispanic colleges.

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

NEW HEADQUARTERS BUILDING

APPROPRIATION SUMMARY BY PROGRAM ACTIVITY
(In thousands of dollars)

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request	Change FY 2008 - FY 2009
New Headquarters Building	49,500	0	0	0
Total	49,500	0	0	0
FTEs				
Direct Funded	0	0	0	0
Reimbursable, allocated, other	0	0	0	0

Program and Performance Statement

No funding is requested for this project in FY 2009.

FINANCIAL MANAGEMENT CAPITAL

For necessary expenses for upgrading and enhancing the Department of Transportation's financial systems, and reengineering business processes, \$6,000,000, to remain available until expended.

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

FINANCIAL MANAGEMENT CAPITAL

APPROPRIATION SUMMARY BY PROGRAM ACTIVITY
(In thousands of dollars)

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request	Change FY 2008 - FY 2009
Financial Management Capital	0	0	6,000	6,000
Total	0	0	6,000	6,000
FTEs				
Direct Funded	0	0	0	0
Reimbursable, allocated, other	0	0	0	0

Program and Performance Statement

In FY 2009, a total of \$6 million is requested to begin a multi-year project to upgrade DOT's financial systems and processes. This involves implementing mandates from OMB and Treasury as well as re-engineering DOT business processes to meet these mandates.

COMPENSATION FOR AIR CARRIERS

(RESCISSION)

Of the amounts made available under this heading, [remaining] all unobligated balances as of the date of enactment of this provision are permanently cancelled [under section 101 (a)(2) of Public Law 107-42, \$22,000,000 are rescinded]. (Department of Transportation Appropriations Act, 2008.)

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

COMPENSATION FOR AIR CARRIERS

APPROPRIATION SUMMARY BY PROGRAM ACTIVITY
(In thousands of dollars)

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request	Change FY 2008 - FY 2009
Compensation for Air Carriers [mandatory]	-50,000	-22,000	-848	-21,152
Compensation for Air Carriers [discretionary]	0	0	0	0
Total	-50,000	-22,000	-848	-21,152
FTEs				
Direct Funded	0	0	0	0
Reimbursable, allocated, other	0	0	0	0

Program and Performance Statement

The Air Transportation Safety and System Stabilization Act (P.L. 107-42) provided \$5 billion to compensate air carriers for direct losses incurred during the Federal ground stop of civil aviation after the September 11, 2001, terrorist attacks, and for incremental losses incurred between September 11 and December 31, 2001. The Administration is proposing to rescind residual unobligated balances in this account in FY 2009.

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

COMPENSATION FOR GENERAL AVIATION OPERATIONS

PROGRAM AND PERFORMANCE

The Transportation, Treasury and Housing and Urban Development, The Judiciary, District of Columbia and Independent Agencies Appropriations Act for Fiscal Year 2006 (P.L. 109–115) provided \$17 million to reimburse fixed-based general aviation operators and providers of general aviation ground support services at five facilities for the financial losses they incurred when the Federal Government closed the facilities due to the September 11, 2001 terrorist attacks. The Administration is not requesting additional funds for this purpose in 2009.

TRANSPORTATION PLANNING, RESEARCH, AND DEVELOPMENT

For necessary expenses for conducting transportation planning, research, systems development, development activities, and making grants, to remain available until expended, [\$13,883,900] \$10,105,000. (*Department of Transportation Appropriations Act, 2008.*)

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

TRANSPORTATION PLANNING, RESEARCH AND DEVELOPMENT

APPROPRIATION SUMMARY BY PROGRAM ACTIVITY
(In thousands of dollars)

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request	Change FY 2008 to FY 2009
Transportation Planning, Research and Development	14,893	13,884	10,105	-3,779
Total	14,893	13,884	10,105	-3,779
FTEs				
Direct Funded	28	31	31	0
Reimbursable, allocated, other	0	0	0	0

Program and Performance Statement

This appropriation finances research activities and studies concerned with planning, analysis, and information development needed to support the Secretary's responsibilities in the formulation of national transportation policies.

The program is carried out primarily through contracts with other Federal agencies, educational institutions, non-profit research organizations, and private firms.

Activities support the development of transportation policy, coordination of national level transportation planning, and analysis of such issues as regulatory modernization, energy conservation, and environmental and safety impacts of transportation. These activities also support departmental leadership on aviation economic policy and international transportation issues.

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

ESSENTIAL AIR SERVICE AND RURAL AIRPORT IMPROVEMENT FUND

APPROPRIATION SUMMARY BY PROGRAM ACTIVITY
(In thousands of dollars)

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request	Change FY 2008 - FY 2009
Essential Air Service [Mandatory]	46,331	50,000	50,000	0
Total	46,331	50,000	50,000	0
FTEs				
Direct Funded	8	10	10	0
Reimbursable, allocated, other	0	0	0	0

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 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 collected each year for the Essential Air Service program and rural airport improvements. To the extent that fee collections fall below \$50 million, the law required the difference to be covered by Federal Aviation Administration funds. The budget proposes a general provision to restructure the program.

MINORITY BUSINESS RESOURCE CENTER PROGRAM

For the cost of guaranteed loans *for short term working capital*, [\$370,000] \$353,000, as authorized by 49 U.S.C. 332: *Provided*, That such costs, including the cost of modifying such loans, shall be as defined in section 502 of the Congressional Budget Act of 1974: *Provided further*, That these funds are available to subsidize total loan principal, any part of which is to be guaranteed, not to exceed \$18,367,000. In addition, for administrative expenses to carry out the guaranteed loan program, [\$523,000] \$559,000. (*Department of Transportation appropriations Act, 2008.*)

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

MINORITY BUSINESS RESOURCE CENTER PROGRAM

APPROPRIATION SUMMARY BY PROGRAM ACTIVITY
(In thousands of dollars)

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request	Change FY 2008 - FY 2009
Minority Business Resource Center Program	893	893	912	19
Total	893	893	912	19
FTEs				
Direct Funded	1	1	1	0
Reimbursable, allocated, other	0	0	0	0

Program and Performance Statement

This program provides assistance in obtaining short-term working capital for minority, women-owned and other disadvantaged businesses and Small Business Administration 8(a) Firms.

As required by the Federal Credit Reform Act of 1990, this account records the subsidy costs associated with the guaranteed loans provided under this program, as well as the associated administrative expenses.

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

MINORITY BUSINESS RESOURCE CENTER PROGRAM
GUARANTEED LOAN FINANCING ACCOUNT

PROGRAM AND PERFORMANCE

As required by the Federal Credit Reform Act of 1990, this non-budgetary account records all the cash flows to and from the Government resulting from guaranteed loan commitments. The amounts in this account are a means of financing and are not included in the budget.

PAYMENTS TO AIR CARRIERS
(AIRPORT AND AIRWAY TRUST FUND)
(INCLUDING TRANSFER OF FUNDS)

[In addition to funds made available from any other source to carry out the essential air service program under 49 U.S.C. 41731 through 41742, \$60,000,000, 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, if the funds under this heading are insufficient to meet the costs of the essential air service program in the current fiscal year, the Secretary shall transfer such sums as may be necessary to carry out the essential air service program from any available amounts appropriated to or directly administered by the Office of the Secretary for such fiscal year.] (*Department of Transportation Appropriations Act, 2008.*)

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

PAYMENTS TO AIR CARRIERS
(AIRPORT AND AIRWAY TRUST FUND)

APPROPRIATION SUMMARY BY PROGRAM ACTIVITY
(In thousands of dollars)

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request	Change FY 2008 - FY 2009
Payments to Air Carriers	59,400	60,000	0	-60,000
Total	59,400	60,000	0	-60,000
FTEs				
Direct Funded	0	0	0	0
Reimbursable, allocated, other	0	0	0	0

Program and Performance Statement

Through FY 1997, this program was funded from the Airport and Airway Trust Fund. Starting in 1998 the FAA reauthorization funded it as a mandatory program supported by overflight fees under the Essential Air Service and Rural Airport Improvement Fund. In FYs 2007 and 2008, in addition to mandatory funding supported by overflight fees, direct appropriations from the Airport and Airway Trust Fund to the Payments to Air Carriers program were enacted to meet the needs of the essential air service program. The Department of Transportation is not requesting additional funds for this purpose in FY 2009.

WORKING CAPITAL FUND

[Necessary expenses for operating costs and capital outlays of the Working Capital Fund, not to exceed \$128,094,000 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 above limitation on operation expenses shall not apply to non-DOT entities: *Provided further*, That no funds appropriated in this Act to an agency of the Department shall be transferred to the Working Capital Fund without the approval of the agency modal administrator: *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 approved by such Committees.] (*Department of Transportation Appropriations Act, 2008.*)

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

WORKING CAPITAL FUND
(In thousands of dollars)

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Estimate	Change FY 2008 - FY 2009
DOT Activities	118,014	128,094	128,094	0
WCF-Administration	69,711	75,467	73,791	
WCF-CIO	48,303	52,627	54,303	
Non-DOT Activities	256,832	244,732	247,385	2,653
WCF-Administration	255,688	244,226	246,749	
WCF-CIO	1,144	506	636	
Total	374,846	372,826	375,479	2,653
FTEs				
Direct Funded	0	0	0	0
Reimbursable, allocated, other	173	219	219	0

Program and Performance Statement

The Working Capital Fund finances common administrative services that are centrally performed in the interest of economy and efficiency in the Department. The fund is financed through agreements with the Department of Transportation operating administrations and other non-DOT customers.

OFFICE OF THE SECRETARY OF TRANSPORTATION
PERFORMANCE OVERVIEW

Annual Performance Results and Targets

The appropriations of the Office of the Secretary of Transportation integrate performance results into its budget request to demonstrate alignment with the Department of Transportation's Strategic Plan. The secretarial offices track the following DOT level performance measures to demonstrate program results:

Strategic Goal/Performance Goal: ***Global Connectivity** – Facilitate an international transportation system that promotes economic growth and development.*

The number of potential air transportation consumers in international markets	2004	2005	2006	2007	2008	2009
Target	1.51B	1.53B	2.99B*	3.05B*	3.85B	3.87B
Actual	1.72B	2.97B	3.01B	3.83B		

NOTE: This measure replaces "Number of passengers (in millions) in international markets with open skies agreements".

* The targets for FY 2006 and FY 2007 have been updated to reflect the fact that OST had already surpassed the previous FY 2006 and FY 2007 targets for potential air transportation consumers in international markets with the Open-Skies agreements reached in 2004 and 2005.

The number of international negotiations conducted annually to remove market distorting barriers to trade in transportation.	2004	2005	2006	2007	2008	2009
Target	N/A	10 rounds	10 rounds	12 rounds	11 rounds	12 rounds
Actual	N/A	10 rounds	10 rounds	23 rounds		

Note: This measure replaces "Passenger transportation markets opened to competition through multilateral or regional agreements".

Number of new or expanded bilateral and multilateral aviation agreements completed.	2004	2005	2006	2007	2008	2009
Target	N/A	2	3	3	3	3
Actual	3	2	8	7		

Section 3 – FY 2009 Budget Request by Appropriation

Number of proceedings to award U.S. carriers newly available international route rights.	2004	2005	2006	2007	2008	2009
Target	N/A	N/A	N/A	N/A	8	8
Actual	N/A	N/A	N/A	4		

Percent share of total dollar value of DOT-directed contracts awarded to women-owned businesses.	2004	2005	2006	2007	2008	2009
Target	5.1	5.1	5.1	5.1	5.0	5.0
Actual	3.8r	6.6r	6.7*	6.3**		

r=revised, *Preliminary estimate, **Preliminary data through June

Percent share of total dollar value of DOT-directed contracts awarded to small, disadvantaged businesses.	2004	2005	2006	2007	2008	2009
Target	14.5	14.5	14.5	14.5	14.0	14.0
Actual	15.6r	12.7r	11.8*	14.5**		

r=revised, *Preliminary estimate, **Preliminary data through December

Strategic Goal/Performance Goal: ***Environmental Stewardship – Promote transportation solutions that enhance communities and protect the natural and built environment.***

Percentage of DOT facilities categorized as No Further Remedial Action Planned	2004	2005	2006	2007	2008	2009
Target	92	93	93	93	93	93
Actual	93	92	92	93		

Strategic Goal/Performance Goal: ***Security, Preparedness and Response – Balance transportation security requirements with the safety, mobility and economic needs of the Nation and be prepared to respond to emergencies that affect the viability of the transportation sector.***

Section 3 – FY 2009 Budget Request by Appropriation

Transportation Capability Assessment for Readiness Index Score	2004	2005	2006	2007	2008	2009
Target	82	71	72	74	N/A	N/A
Actual	67	65	72	70		

The TCAR measure was part of the DOT 2003-2008 Strategic Plan. Consistent with the current strategic plan DOT has discontinued reporting this information.

Multi-modal measures for Intelligence, Preparedness and Response	2004	2005	2006	2007	2008	2009
<ol style="list-style-type: none"> 1. Expert transportation sector intelligence. <ol style="list-style-type: none"> a. Percent of intelligence data corresponding to modal vulnerability. 2. Preparedness for response to emergencies affecting the transportation sector. <ol style="list-style-type: none"> a. Percent of DOT personnel with emergency management responsibilities with completed multi-year training plans. b. Percent of DOT personnel with emergency management responsibilities certified in emergency preparedness. 3. Effective response to emergencies affecting the transportation sector. <ol style="list-style-type: none"> a. Percent of Operating Administration meeting annual response requirements. 						
Target	N/A	N/A	N/A	TBD	TBD	TBD

Section 3 – FY 2009 Budget Request by Appropriation

Actual	-	N/A	N/A	N/A	TBD		
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New multi-modal measures baseline performance targets to be established after three years of baseline data.

Strategic Goal/Performance Goal: **Organizational Excellence** – Advance the Department’s ability to manage for results and achieve the goals of the President’s Management Agenda.

Fulfill the President’s Management Agenda.	2004	2005	2006	2007	2008	2009
Target	N/A	100	100	100	92	100
Actual	N/A	84	64	72		

Detailed performance budget information can be found in Section 4 of the budget submission.

History of Budget Authority, Appropriations and User Fees

(\$ in thousands)

Office of the Secretary

	Salaries & Expenses	Office of Civil Rights	New HQs Building	Office of Commercial Space Trans.	GSA Rent	Transp. Planning, Res. & Dev.	Minority Business Outreach	MBRC Loans	Payments to Air Carriers	Essential Air Service	Compensation to Air Carriers	Amtrak Reform Council	Compensation for General Aviation
FY 1995	61,664	0	0	5,912	136,974	8,242	0	1,900	30,904	0	0	0	0
FY 1996	53,746	5,618	0	0	135,200	7,906	2,896	1,900	22,600	0	0	0	0
FY 1997	51,508	5,548	0	0	131,747	2,930	2,900	1,900	25,900	0	0	0	0
FY 1998	60,657	5,562	0	0	0	4,392	2,900	1,900	0	50,000	0	2,050	0
FY 1999	66,825	6,843	0	0	0	8,959	2,900	1,900	0	[48,000]	0	0	0
FY 2000	59,497	6,988	0	0	0	5,217	2,882	1,900	0	[50,000]	0	0	0
FY 2001	63,106	8,122	0	0	0	10,976	2,993	1,896	0	50,000	5,000,000	0	0
FY 2002	67,078	8,362	0	0	0	11,580	3,000	900	62,952	[50,000]	0	0	0
FY 2003	88,357	8,514	0	0	0	23,463	2,949	894	51,761	[50,000]	0	0	0
FY 2004 Actual	77,894	8,223	0	0	0	31,810	3,973	895	51,662	[50,000]	0	0	0
FY 2005 Actual	81,564	8,408	43,355	0	0	20,997	2,641	522	51,628	[50,000]	0	0	0
FY 2006 Actual	84,051	8,465	49,500	0	0	14,850	2,970	891	0	[50,000]	0	0	16,830
FY 2007 Actual	83,961	8,527	49,500	0	0	14,893	2,970	893	59,400	[50,000]	-50,000	0	0
FY 2008 Actual	91,782	9,141	0	0	0	13,884	2,970	893	60,000	[65,000]	-22,000	0	0
FY 2009 Request	101,782	9,384	0	0	0	10,105	3,056	912	0	[50,000]	-848	0	0

Notes:

- /1 Office transferred to FAA in FY 1996.
- /2 Includes transfer of \$7.754 from OMB for Y2K.
- /3 Does not reflect rescission of prior year Y2K balances.
- /4 BA transfer from FAA Operations GF account.
- /5 Offsetting collection from FAA Facilities & Equipment account.
- /6 Offsetting collection from FAA Operations TF account.
- /7 BA transfer from FAA Operations GF.
- /8 Offsetting collection from FAA F&E balances.
- /9 Unobligated balances of overflight fees
- /10 Overflight fees collected by FAA
- /11 Overflight fees collected by FAA
- /12 Overflight fees collected by FAA
- /13 Overflight fees collected by FAA (\$50m) and funds from sale of spectrum (\$15m)
- /14 Overflight fees collected by FAA

History of Obligation Limitations
(\$ in thousands)
Office of the Secretary

	TASC/ Working Capital Fund 1/	Direct Loans	Guaranteed Loans
FY 1994	93,000	7,500	
FY 1995	93,000	15,000	
FY 1996	95,463	15,000	
FY 1997	114,812	15,000	
FY 1998	118,800	15,000	
FY 1999	109,124	13,775	
FY 2000	133,673	13,775	
FY 2001	126,887		13,775
FY 2002	116,023		18,367
FY 2003	118,391		18,367
FY 2004 Actual	98,899		18,367
FY 2005 Actual	94,881		18,367
FY 2006 Actual	99,006		18,367
FY 2007 Actual	118,014		18,367
FY 2008 Actual	128,094		18,367
FY 2009 Request			18,367

Notes:

1/ This account was titled "Working Capital Fund" prior to 1997, was renamed "Transportation Administrative Service Center" from 1998 through 2002, and was renamed "Working Capital Fund" in 2003.