U.S. Department of Transportation

OPEN GOVERNMENT PLAN

2016 - 2018

Version 4.0 – September 15, 2016

Contents

U.S. Department of Transportation

U.S. Department of Transportation

U.S. Department of Transportation

Executive Summary

The President's Open Government initiative represents a significant shift in the way federal agencies conduct business and engage the public. In its first Open Government Plan, the Department of Transportation (DOT) recognized that the Open Government initiative is about more than adopting new tools and emerging technologies—it is about effecting real policy and internal culture change to ensure that our Department truly becomes even more transparent, participatory, and collaborative, both internally and externally. Building on that strong foundation, our second Open Government Plan looked at the public engagement impact of, and public value generated by, enhancing DOT's openness. Our third Open Government Plan looked at how Open Government can help DOT become more efficient, effective, and generate economic development. This fourth Open Government Plan highlights our ongoing efforts to build an effective open data program and make public engagement a core part of the way the Department does business.

DOT is pursuing a number of Open Government initiatives in the next two years. We are pleased to announce the following activities that will continue to foster openness with our employees, stakeholders, and the general public:

- A new public engagement site at www.transportation.gov/engage that collects information about proposed DOT regulations and other Federal Register opportunities open for comment, as well as upcoming public meetings, webinars, and other chances to engage
- Furthering our community engagement through new Ladders of Opportunity initiatives, such as the Every Day Counts Community Connections program and the Every Place Counts Leadership Academy
- A number of efforts to coordinate and promote the use of geospatial data, including the National Transit Map and National Address Database initiatives

U.S. Department of Transportation

- And our Flagship Initiative, a Permitting Dashboard allowing federal agencies, project developers and members of the public to track the federal government's permitting and review process for large or complex infrastructure projects.

The following pages describe DOT's point of view on the links between Open Government and public engagement (**Chapter 1**); approach to developing the fourth Open Government Plan (**Chapter 2**); initiatives and activities, including our flagship initiative (**Chapter 3**); and retrospective review of our previous Open Government Plans (**Chapter 4**). We have met nearly all the commitments described in our previous Open Government Plans. As with our previous Open Government Plans, this Plan is a living document. As we continue on the path towards increased transparency, participation, collaboration, and innovation, we will refine and enhance our strategic efforts. We welcome public comments regarding the content of this Plan at open@dot.gov.

U.S. Department of Transportation

Introduction to the United States Department of Transportation

The United States Department of Transportation (DOT) occupies a leadership role in global transportation, with about 55,000 dedicated professionals stationed in the U.S. and around the world. The President's fiscal year 2017 budget request includes a total of $98 billion for DOT and the funding for needed investments in our vital transportation systems while at the same time creating jobs and strengthening our Nation's economy.

The mission of the Department is to serve the United States by ensuring a fast, safe, efficient, accessible, and convenient transportation system that meets our vital national interests and enhances the quality of life of the American people, today and into the future.

Since its first official day of operation in 1967, DOT's transportation programs have evolved to meet the economic demands of the nation. Today, DOT comprises the Office of the Secretary (OST), the Office of the Inspector General (OIG), and the Operating Administrations (OAs)[1]:

- Federal Aviation Administration (FAA)
- Federal Highway Administration (FHWA)
- Federal Motor Carrier Safety Administration (FMCSA)
- Federal Railroad Administration (FRA)
- Federal Transit Administration (FTA)
- Maritime Administration (MARAD)
- National Highway Traffic Safety Administration (NHTSA)
- Pipeline and Hazardous Materials Safety Administration (PHMSA)
- Saint Lawrence Seaway Development Corporation (SLSDC)

---

[1] Prior to the Surface Transportation Board Reauthorization Act of 2015 (P.L. 114-110) the Surface Transportation Board was administratively aligned with the U.S. Department of Transportation, although it was decisionally independent. The Act established the STB as a wholly independent agency, and it is no longer covered by the Department's Open Government Plan.

U.S. Department of Transportation

Chapter One: DOT's Open Government and Public Engagement Strategy

With over 80 percent of its budget dedicated to grants, DOT is externally focused. As a result, DOT's ability to engage effectively with stakeholders, grantees, appropriators and other partners, in addition to the general public, is critical to achieving our goals. There are currently many low- and high-tech channels for stakeholders and the general public to engage with DOT. Most opportunities for collaboration and participation are ongoing, lending themselves to social media and Web 2.0 tools.

Open Government provides an opportunity to improve collaboration not only with the general public, but also with specialized groups that have transportation interests. Since the publication of the first Open Government Plan in 2010, DOT has made significant strides to enhance public and stakeholder engagement.

> *"Public engagement enhances the Government's effectiveness and improves the quality of its decisions."*
>
> --President Obama, January 2009

DOT'S PUBLIC ENGAGEMENT MODEL

BUILD opportunities for collaboration and coordination

INVITE input on DOT issues, including policies and programs

GATHER collective insights, knowledge, expertise and experiences

SHARE information and data

CORE VALUES: communication, accountability, accessibility, diversity
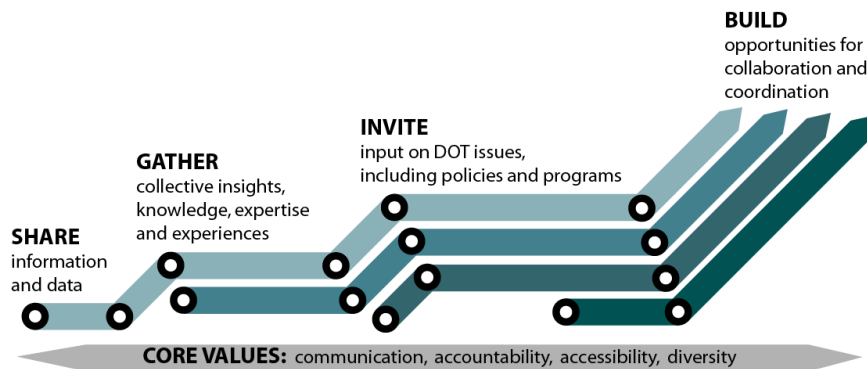
Figure 1: DOT has a Public Engagement Model

U.S. Department of Transportation

DOT is committed to sharing information and data to encourage opportunities for public feedback, creating opportunities for public participation in the business of DOT, and building opportunities for collaboration and coordination. This commitment is illustrated by the Public Engagement Model that DOT embraced in 2011 (see **Figure 1**).

This model closely follows the principles of transparency, participation, and collaboration as established in the Open Government Directive and also the goals articulated in DOT's first and second Open Government Plans, which included:

- **Increase Agency Transparency and Accountability by:**
  - Presenting in a clear manner DOT information about programs and objectives; and
  - Continuing to release DOT data in a timely manner by proactively making it available online in consistent, open formats, while ensuring accuracy and protecting privacy, security, and confidentiality.
- **Apply Citizen Knowledge Through Participation to Government Service by:**
  - Maintaining commitment to collecting and responding to public input on DOT policies and programs in innovative ways; and
  - Continuing to create opportunities for public participation in problem identification and idea generation.
- **Encourage Collaboration and Innovation by:**
  - Enhancing collaboration with other federal agencies, the private sector, and other non-government organizations in providing mission-related services; and
  - Enhancing efforts to stimulate innovation from DOT data and information.
- **Institutionalize an Open DOT Culture by:**
  - Encouraging commitment to Open Government principles at all levels;
  - Encouraging a cross-OA, interdisciplinary, collaborative, and engaged workforce through enhanced communication, governance, and guidance regarding Open Government tools and programs; and

U.S. Department of Transportation

o Maintaining commitment to data-driven DOT decision-making, by increasing employee awareness of DOT data and information.

The model illustrated in **Figure 1** highlights the goals and objectives articulated in the first Open Government Plan and recognizes that public engagement principles build upon each other to foster effective decision-making and service delivery. Furthermore, there are increasingly more tools available to DOT to engage across the spectrum illustrated in **Figure 1**. Some of these tools (listed in **Table 1**) are technology-based, whereas others are an approach or methodology. Many of the tools identified in **Table 1** have a long history at DOT while others are much newer.

Strategy	Sample Tools
SHARE Information and Data	• Blogs • Social Networking Sites and New Media • Smartphone Apps • Federal Register • Presentations, Briefings, and Exhibits at National/State/Regional/Local Meetings • Webinars, Webcasting, Podcasting and Live Streaming • Publications • Data.gov Web Site and Open Data Communities • DOT Web Sites (including https://www.transportation.gov/open/) and Data Visualization

U.S. Department of Transportation

Strategy	Sample Tools
GATHER Insights, Knowledge, Expertise and Experiences	• Social Networking Sites • Phone or In Person 1:1 Meetings, Focus Groups, and Small Group Discussions • Advisory Groups • Web-based Online Dialogue • Structured/Facilitated Conversations • Summits on Targeted Topics • Town Hall Meetings • Workshops/Charrettes • Webcasting/Streaming During Live Events
INVITE Input on DOT Issues, including Policies and Programs	• Electronic Docket (regulations.gov) • https://www.transportation.gov/regulations and Web 2.0 in Regulations • Roundtables • Public Hearings • Negotiated Rulemaking • Regulation Room
BUILD Collaboration and Coordination	• Collaboration with Coalitions and Industry Partners • Collaborative Workspaces (including Wiki and SharePoint) with External Stakeholders • Committee/Workgroup Participation • Ombudsman Programs • Online Mash Ups and Tools • Research and Development • Self-Assessment Tools • Tool Kits

Table 1: DOT has a wide range of tools for public engagement

U.S. Department of Transportation

Section 1.1: Tools for Enhancing Transparency, Public Participation and Collaboration Opportunities at DOT

This section describes the priority engagement and Open Government tools for DOT for the next two years. **Chapter 3** will describe broad initiatives and specific activities that leverage these tools to make DOT more transparent, participatory and collaborative.

Section 1.1.1: Open Data and Data.gov Topics

DOT has been an active participant in the data.gov initiative. The strategies outlined in our first three Open Government Plans align with the requirements of the Open Government Directive as well as the Open Data Policy and have been at the core of our open data efforts over the last six years. The DOT is particularly focused on contributing useful data and tools related to climate change, ocean and maritime issues, and public safety. The Department remains committed to:

- Driving innovation by tapping into the ingenuity of the American people;
- Increasing agency accountability; and
- Solidifying the connection between the Department's services and individual citizens, businesses, governmental bodies, universities, and other non-government organizations.

DOT also serves as the agency co-lead for the Cross-Agency Priority (CAP) Goal on open data. In this role, DOT helps promote successful open data policy implementation across all of government.

Section 1.1.2: Other Opportunities for Participation and Collaboration with DOT

DOT is committed to building a central place that gives the public an opportunity to discover engagement opportunities that are relevant to their interests and expertise. The DOT has launched http://www.transportation.gov/engage, and this page collects information about proposed DOT regulations and other Federal Register opportunities open for comment; information about upcoming

U.S. Department of Transportation

public meetings (to include town halls, Federal Advisory Committee meetings, listening sessions, and more), webinars, and opportunities to engage in an online dialogue; as well as other relevant content.

The list in Table 2 contains other examples of past and current opportunities to participate and collaborate with DOT, categorized by Operating Administration (OA):

Opportunities		Status
OST:	**Secretary's "On the Go" Video and Question and Answer Series [external link]** Submits questions via social media and the DOT Secretary answers in a YouTube video.	Phased out
OST:	**Livestreams of press conferences, town halls, and other discussions on www.transportation.gov via YouTube** Many of these utilized YouTube's synchronous chat function and encouraged viewers to submit questions and comments via email. • Climate Change Mitigation in Transportation: August 2016 • Build America Bureau Town Hall: July 2016 • Smart City Winner Announced (in collaboration with City of Columbus, OH): June 2016 • Ladders of Opportunity Town Hall: May 2016 • Freight Summit: February 2016 • Road to Opportunity Discussion: February 2016	Ongoing

U.S. Department of Transportation

Opportunities		Status
	• Forum on Connected Vehicles, Connected Citizens: December 2015 • Smart City Challenge Kickoff: December 2015 • TIGER Applicant Success Summit: April 2015 • National Town Hall on Transportation Policy and Funding: August 2014	
DOT:	**ADA "No Wrong Door" Complaint Form** This new tool will provide a streamlined point of entry to report ADA and ACAA complaints	Under development, with anticipated launch in Fall 2016
DOT:	**Regulation Room [external link]** Read and discuss plain language versions of select Notices of Proposed Rulemaking (NPRMs).	Used on a case-by-case basis. The DOT has not used it for any recent rulemakings
FAA:	**FAA Mobile** Access popular information for aviation enthusiasts. Look up N-numbers, find Advisory Circulars, browse airport delays, report on wildlife strikes, and more.	Available for public use
FAA:	**FAA Small Unmanned Aircraft System Registration Service** One stop registration site for both recreational and business small unmanned aircraft (also known as drones)	Available for the public use

U.S. Department of Transportation

Opportunities		Status
FHWA:	**Every Day Counts** Ideas are shared by State, local and private sector partners to shorten project delivery or accelerate technology and innovation deployment.	Continues to be an active initiative with ongoing engagement with State DOTs and other stakeholders.
FMCSA:	**SaferBus app** Allows easy access to bus safety information and a one-touch process to start filing a complaint.	Continues as a tool available for stakeholders
FMCSA:	**QCMobile** Provides convenient access for safety performance information on interstate truck and bus companies	Continues to be available for stakeholders
FRA:	**Fostering a Safe Railroad Environment Nationwide** Links to prominent safety programs and forums.	Available for download in Apple App Store and Google Play
FTA:	**Notices of Funding Availability** Posts all opportunities for funding as they become available.	Continues to be available for stakeholders
MARAD:	**Adopt-A-Ship Program**	Continues to be available for teachers and schools

U.S. Department of Transportation

Opportunities		Status
	School classrooms (5th-8th grade) can adopt a ship of the American Merchant Marine and exchange correspondence.	
NHTSA	**NHTSA's SaferCar VIN Look Up** Consumers can look up vehicles that are under a recall.	Available for consumers
NHTSA:	**NHTSA Distracted Driving Study** A national telephone survey on driving habits and attitudes related to distracted driving.	Completed and posted on NHTSA website.
PHMSA:	**Stakeholder Communications** Provides State-by-State pipeline profiles.	Continues to be available for the public
SLSDC:	**The St. Lawrence Seaway: Gateway to North America [external link]** Binational site of the Great Lakes St. Lawrence Seaway System.	Continues to be available for the public

Table 2: Status of Participation Opportunities

Section 1.1.3: DOT Web sites and Data Visualization

One of the other major commitments in our first Open Government Plan was the redesign of the DOT Web site. The DOT has a wide range of stakeholders. The diversity of these stakeholders drives the need for a "best in class" Web site that is both dynamic and easily managed. Our public-facing Web

U.S. Department of Transportation

presence must provide relevant information to other government agencies, private sector organizations, and individual citizens.

We launched the external-facing transportation.gov site in summer 2012. The new DOT Web presence aligns with and promotes achievement of the Department's strategic goals. In keeping with the principles of Open Government, our updated Web presence strategically uses a variety of crowdsourcing tools, smartphone applications, Facebook, Twitter, and other Web 2.0 platforms through multimedia pages. The new DOT.gov was the first Cabinet-level Web site to use responsive design throughout, allowing better access for the increasing number of stakeholders using mobile devices.

The DOT continues to evolve its web presence, recently deploying a microsite template. The template demonstrates the Department's continued embrace of multimedia platforms. Web pages for the Build America Bureau, Ladders of Opportunity, the Race To Zero Emissions, Protect Your Move, Our Roads Our Responsibilities, and the 50th Anniversary of DOT all use the new, more visual design to present key initiatives and campaigns to the public. The Ladders, Bureau, and 50th microsites have used live video streaming extensively. For more information about DOT's Web-related efforts, view the DOT digital strategy Web page.

Section 1.1.4: Social Media

DOT recognizes that through new media opportunities such as blogging, webcasting, Facebook and Twitter, the Department's message can reach more people. New media tools can be used to gather insights, knowledge, expertise, and experiences in real time, establishing a true two-way connection between DOT and participants. These tools give DOT an opportunity to invite input on DOT issues, including policies and programs, while building opportunities for collaboration and coordination.

DOT continues to deliver on its comprehensive social media strategy, appropriately leveraging social media, managing risks and establishing guidelines and expectations around official, professional, and personal use.

U.S. Department of Transportation

Since the last Open Government Plan, DOT has increased its use of real-time social media engagement. In the last year alone, for example, NHTSA has conducted a dozen townhalls and tweet-ups on Twitter around safety issues, each of which has reached millions of accounts. One of the more popular FAA News tweet categories has been daily flight weather announcements for the general aviation community. And PHMSA has live-tweeted and live-streamed several pipeline safety workshops.

DOT's complete social media directory can be found at https://www.transportation.gov/social.

Section 1.1.5: Web-based Online Dialogues

Online dialogues are an effective way to gather insights, knowledge, expertise and experiences about specific issues. Some of the benefits from online dialogues we have found include:

- Diversifying the participants in the dialogue
- Encouraging wider geographic representation
- Proactively making comments transparent that previously would have been collected by e-mail

As proposed in its first Open Government Plan, DOT has increased the use of Web-based dialogues significantly in the past four years. Recent dialogues have engaged the public on a number of policy initiatives. Below are some statistics from those dialogues:

Dialogue	# ideas	# comments	# votes
Strategic Plan for Transit Research	92	126	639
Best Practices Transit Procurement Manual	39	26	167
Transit Worker Assault Prevention	40	72	440
Public-Private Partnerships in Public Transportation	43	18	379
XPEDITE	57	47	460
Performance Measures	228	293	3,695

U.S. Department of Transportation

Dialogue	# ideas	# comments	# votes
Freight	69	71	462
Transit Asset Management	86	146	1,478
Ferry Program	54	39	675
Transit Provider Representation in MPOs	106	81	776
Totals	**814**	**919**	**9171**

Table 3: DOT Has Held Successful Online Dialogues

Section 1.1.6: Collaborative Workspaces

Over the last few years, DOT has recognized a need to leverage online collaborative workspaces with our stakeholders and customers. NHTSA's Grants Management Solutions Suite (GMSS) system provides for electronic submissions of grant applications. The full deployment of GMSS will automate all phases of NHTSA State Highway Safety grants. Developed using Microsoft Dynamics CRM Online for Government (CRMOL-G), an integrated component of Microsoft Office 365. Grantees submit applications electronically and seamlessly to communicate within GMSS via messaging with NHTSA throughout the grants life cycle. The GMSS system uses a secure SharePoint site to store grant submission documents that are accessible to approved users and grantees from State Highway Safety Offices. CRMOL-G is a Software-as-a-Service (SaaS) solution that is FEDRamp-authorized.

U.S. Department of Transportation

Chapter Two: Developing DOT's Fourth Open Government Plan

Since the inception of DOT's open government efforts, the Department has approached the development of its Open Government Plan in creative ways. In 2010, the Department focused on the many policy, cultural and technology barriers that needed to be overcome to lay the groundwork for increasing transparency, participation and collaboration in our daily work. The process we used to develop the 2012 Plan was focused on looking at the public value of our Open Government related activities. To do this, we used a planning approach called the Public Value Assessment Tool (PVAT), created by the Center for Technology in Government (CTG) at the University at Albany, SUNY. To develop our 2014 Plan, DOT focused on the President's call to develop a management agenda that "delivers a smarter, more innovative, and more accountable government for its citizens."

The Department views the core open government principles of transparency, participation and collaboration as central to the conduct of its mission. The development of the Department's Open Government Plan is not an event. Having built a strong foundation of public engagement over the last several years, the Department's 2016 Plan reflects the continued input of the public, stakeholders, our employees, and our leadership.

To adhere to the principles of transparency, participation, and collaboration with almost 55,000 DOT employees from across the country in this planning process, DOT uses IdeaHub to engage directly with employees. IdeaHub is a robust ideation platform that allows ideas to be submitted, allows employees to see and vote on those ideas, and encourages employees to comment on and refine each other's ideas. DOT leadership continually evaluates the ideas submitted through IdeaHub and, where appropriate, we have included employee ideas in this plan.

Recognizing that many great ideas do not come from within our own walls, DOT also seeks ideas from our stakeholders and the general public. The DOT gathered input from stakeholders through a number

U.S. Department of Transportation

of public meetings, online webinars, and conferences as well as online dialogues related to key policy initiatives. We also leveraged government-wide opportunities to engage with civil society about our draft Plan and held a Twitter Town Hall to solicit feedback on this Plan. The initiatives outlined in Chapter 3 reflect input received through all these channels.

Finally, DOT solicited input from senior leaders to identify initiatives that embodied transparency, participation, and collaboration.

Section 2.1: Assessing Proposed Activities and Selecting a Flagship Initiative

All of the ideas collected through the public engagement, employee engagement and program office engagement activities were considered for inclusion in the Plan. DOT's senior leadership evaluated all ideas and selected the idea that best met the following criteria:

- Alignment with DOT's strategic plan
- Broad applicability across the Department
- Ability to be completed within existing program resources
- Identified in response to stakeholder demand

These factors were considered for every initiative evaluated and one initiative floated to the top. Thus, the Permitting Dashboard was recommended to DOT leadership and was selected to be DOT's Open Government flagship initiative for 2016-2018.

The final Plan was routed for DOT-wide review and comment before being published on http://www.transportation.gov/open.

U.S. Department of Transportation

Chapter Three: DOT's Open Government Initiatives and Activities for 2016-2018

Through the process described in Chapter 2, DOT identified fourteen activities, grouped into three initiatives (plus a flagship initiative) for inclusion in the 2016 Open Government Plan. These activities will span 2016, 2017, and 2018 and will further the Open Government goals outlined in Chapter 1. Figure 2 below illustrates how the initiatives map to related activities and when each activity will occur over the next three years.
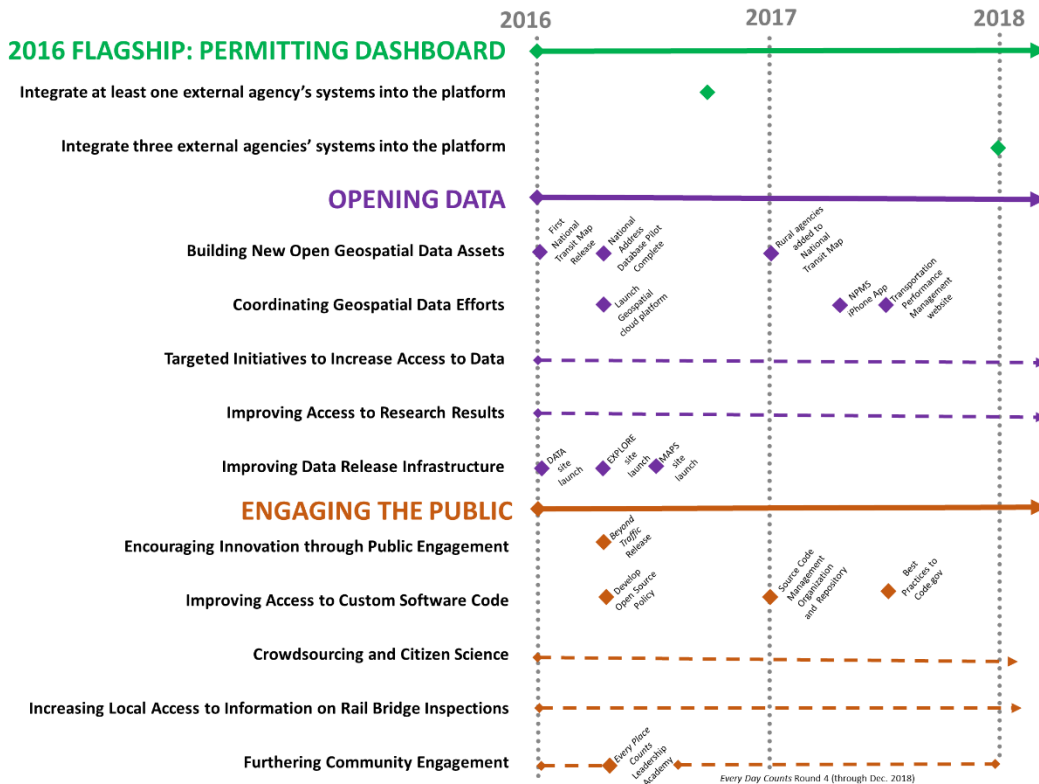
OPEN GOVERNMENT MILESTONES

Figure 2: DOT Open Government Initiatives, Activities and High Level Milestones

U.S. Department of Transportation

Section 3.1: 2016 Flagship Initiative

The Permitting Dashboard (www.permits.performance.gov) is an online tool for federal agencies, project developers and members of the public to track the federal government's permitting and review process for large or complex infrastructure projects. The Permitting Dashboard website, hosted and managed jointly by the Department's Office of Transportation Policy and Office of the Chief Information Officer, is one element of a larger, government-wide effort to streamline and increase transparency into the federal permitting and review process.

Historically, the Dashboard simply displayed the data as reported by agencies. The Department continues to improve the Dashboard in accordance with the provisions of the FAST Act. In September 2016 the website will become a truly collaborative portal, allowing federal agencies to report on significant infrastructure projects permitting and review timeline data on a common, government-wide platform. The FAST Act also expanded the scope of projects for which reviews will be accelerated by adding new agencies and infrastructure sectors, and it establishes new procedures that standardize interagency consultation and coordination practices. The new Permitting Dashboard will increase transparency into these accelerated permitting practices by providing a public -facing display of each project's status.

The goals of the Dashboard are to:
- Increase transparency into review timelines and encourage early coordination and synchronization of agency review schedules
- Provide consistent data on permit and review practices, allowing agencies to identify ways to increase their effectiveness and efficiency
- Assess the progress of the reforms included in the Administration's Implementation Plan, as well as related legislation, and to identify common external drivers and trends that influence project review processes
- Help agencies track and document improved environmental and community outcomes
- Create a collaborative, user-friendly data entry portal for project sponsors and agencies to enter and track project data
- Be an example of federal best practices for cross-agency data consumption and reporting

U.S. Department of Transportation

As we develop the Permitting Dashboard, the Department continues to seek feedback and engage the public in several ways. Industry stakeholders and the general public were invited to contribute through our engagement dialogue platform. We asked users several questions to improve their experience on the website:

- What content related to the permitting and review of infrastructure projects would be useful to make available?
- What features, functionality, and tools would be useful to add to the site (e.g., an interactive map, data visualizations, and links to agency-specific tools)?
- How might the Dashboard best serve as a one-stop-shop for parties interested in, involved with, or affected by the environmental review and permitting process of major infrastructure projects?

The Dashboard also allows visitors to email the cross-agency Permitting Dashboard team from the Council on Environmental Quality (CEQ), Office of Management and Budget (OMB) and the Department to ask questions, provide feedback, and request more information.

The Department will measure the Permitting Dashboard's impact on transparency and collaboration in two key ways. First, the website's internal metrics will allow the Department and our partners at CEQ and OMB to measure participation levels from agencies across the system. Second, at least five reports will be developed to measure progress, bottlenecks, successes, and other performance based metrics. These metrics will empower the Department, other agencies, Congress, and stakeholders to make informed decisions to improve the overall permitting and review process.

In the future, the Department plans to develop a standard, open API for data access and system interface for external systems. This will allow other agencies to easily integrate with the Permitting Dashboard web reporting portal with minimal integration by the Department. The API (or APIs) will be developed in line with data.gov best practices. Integration of reporting systems will eliminate duplicative work, enabling a more sustainable, lower cost alternative for agencies to maintain permitting process information. The Department will also continue to monitor the site's internal metrics and user feedback to continue to improve the usefulness of the site to agency users and the public.

U.S. Department of Transportation

DOT will further build collaboration with other agencies as follows:
- At least one external agency's systems will be integrated into the platform within nine months of launch (June 2017)
- At least three external agencies' systems will be integrated into the platform over the next two years (September 2018)

Section 3.2: Opening Data

In the President's [Executive Order](#) on making open and machine-readable the "new default" for government data, he noted that "[o]penness in government strengthens our democracy, promotes the delivery of efficient and effective services to the public, and contributes to economic growth." The DOT believes that open data initiatives improve the effectiveness of transportation decisions by making DOT's extensive data available and usable to all levels of government, the private sector, and the general public.

Section 3.2.1: Building New Open Geospatial Data Assets

DOT has launched two efforts to build national geospatial data assets by federating and compiling local, open authoritative data sources. By aggregating open, machine-readable data published at the local level, DOT can quickly generate useful geospatial information that can inform policy makers, enhance public safety, and foster innovation.

In the [Third Open Government National Action Plan for the United States of America](#), the Department of Transportation committed to coordinating across the public and private sector; connecting agencies, industry, and innovators to gain consensus on an open standard for publicly available address information and pursuing open data strategies for sharing certain address information while protecting personal privacy. The Department launched a public Web page to document progress on the effort at https://www.transportation.gov/nad. The Federal Geographic Data Committee has designated DOT and

U.S. Department of Transportation

the Census Bureau as the address theme leads and the agencies are beginning to formulate a plan of action to develop the national geospatial data asset for addresses. The initial stage pilot is expected to be completed by December 2016. The DOT will continue to report progress on the effort through the National Action Plan progress reports and the National Address Database web site.

DOT is also working to build a national geospatial data asset using authoritative, open, machine-readable data published by transit agencies. In March 2016, Secretary Foxx issued a Dear Colleague letter to transit agencies, requesting their participation in an effort to build a National Transit Map. Transit agencies responded. In September 2016, the Department released the first version of the National Transit Map. This initial release contained contributions from over 200 transit agencies and covered more than 375,000 stops and stations.

- The Department is committed to iterating on the National Transit Map, and expects to release an updated map no later than December 2016.
- Stakeholders expressed concerns that the National Transit Map may not fully represent rural and smaller agencies. The Department is taking steps to provide a capability for those agencies to directly register their open transit data with the Department, with an expected roll out during spring 2017. In the interim, those agencies may contact the Department directly at NationalTransitMap@dot.gov for assistance with completing the registration process.
- The Department will continue to receive feedback on the data and include additional transit agencies as they sign up, anticipating multiple updates during calendar year 2017.

Section 3.2.2: Coordinating Geospatial Data Efforts

Geospatial data management is an area of opportunity for DOT. Many of the Department's geospatial information programs are fragmented, acquiring data in a siloed manner and developing individualized approaches to disseminating data as well as developing applications to present data to stakeholders and the public. The federal geospatial data community developed new tools to help agencies better manage and disseminate geospatial data and Web services in a manner that facilitates ease of discovery and

U.S. Department of Transportation

enables downstream utility. The DOT took advantage of these tools with the following accomplishments and projects:

Accomplishments

- Developed and launched the Transportation Theme page on geoplatform.gov: https://cms.geoplatform.gov/a16transportation-home
- Transitioned DOT's geospatial data delivery functions to the cloud
- Created a "harvest point" for DOT's geospatial data so that it can automatically feed into the geospatial platform
- Made improvements and launched new tools for pipeline information that supports the public, government officials, inspectors, and pipeline operators
- Made multiple improvements to highway statistics products, including new visualization tools for viewing highway data, studying long-term pavement performance, and forecasting passenger travel
- Updated railroad geospatial products, including trespasser and grade crossing viewers

Over the next two years, the Department intends to build on these efforts through the following initiatives:

- Launch interactive website for mapping and visualizing data from the FHWA Section 1503(c) public reports on Federal-aid project obligations and expenditures (September 2016)
- Update National Pipeline Mapping System Public Viewer and companion PIMMA application for government officials and pipeline operators (September 2016)
- Publication of a DOT Geospatial Strategic Plan, to be released (October 2016)
- FedRAMP authorization of the DOT geospatial cloud platform (December 2016)
- Publication of all DOT geospatial data via Web Feature Services (WFS) via the DOT geospatial cloud platform (December 2016)

U.S. Department of Transportation

- Development of a geospatial page on transportation.gov (December 2016)
- Release current (6 months old) and historic hourly vehicle count data (December 2016)
- Launch interactive Condition and Performance (C&P) website (March 2017)
- Development of DOT's agency page on geoplatform.gov (March 2017)
- Release iPhone App for NPMS public viewer (December 2017)
- Launch interactive Transportation Performance Management website (September 2018)

Section 3.2.3: Targeted Initiatives to Increase Access to Data

Individual Operating Administrations are taking additional steps to increase their transparency and publication of open data. The efforts of two DOT Operating Administrations are highlighted below: the Pipeline and Hazardous Materials Administration and the Federal Aviation Administration.

Pipelines and Hazardous Materials Administration: PHMSA 2021
PHMSA has developed a new strategic framework called PHMSA 2021 which involves updating and incorporating bold new vision and mission statements that better reflect its focus on innovation, the idea of safety as a shared responsibility, and how essential the agency's safety mission is to the daily lives of Americans. Among other organizational changes and strategic investments, PHMSA 2021 includes a data assessment to examine the agency's data and analytic capabilities to improve its ability to analyze and identify industry and market trends, conduct rigorous economic analysis, develop and improve collection of relevant data, model risk, and visualize data. Strengthening these skill sets will allow PHMSA to develop stronger, more economically feasible regulations, move towards more data-driven, risk-based inspection and enforcement approaches, and better communicate with stakeholders through more proactive and targeted outreach, engagement, responsiveness, and transparency.

Federal Aviation Administration: External Data Access Initiative
In 2016, the FAA launched the External Data Access initiative (EDAi) to increase and improve the public's access to FAA data. The intent of this initiative is to spur innovation, provide better opportunities for the development of new applications and services, and ultimately, advance the safety and efficiency of

U.S. Department of Transportation

the aviation industry. The first phase of the initiative focuses on the release of the FAA's aeronautical data, including digital downloads of chart and data products, and web services for product and underlying data APIs. Subsequent phases of the initiative will add other FAA data domains, such as safety and flight. More information on the EDAi is available at https://www.faa.gov/got_data/.

Section 3.2.4: Improving Access to Research Results

The Department of Transportation's Public Access Plan was issued in response to the February 2013 Office of Science and Technology Policy (OSTP) Memorandum entitled "Increasing Access to the Results of Federally-Funded Scientific Research." This plan sets out a framework for enhancing the tracking of the complete research lifecycle at the project level, from project initiation to the submission of project deliverables, and on to research implementation through the deployment of research outputs and products. It does so by establishing objectives to ensure public access to Publications and Digital Data Sets arising from DOT-managed research and development (R&D) programs by scaling and institutionalizing such intramural and extramural R&D access practices across the Department.

Section 3.2.5: Improving Data Release Infrastructure

In DOT's Open Government Plan v3.0, the Department outlined its approach to systematize proactive disclosures. In March 2015, the DOT General Counsel and Chief Information Officer issued a joint memorandum to the Heads of DOT Operating Administrations outlining the requirements for proactive disclosure plans. In May 2016, the Department released each Operating Administration's proactive disclosure plan. Operating Administrations must implement their plans no later than September 30, 2016. The DOT will continue to monitor implementation and, no later than January 18, 2017, will publicly post an update on the status of implementation.

As part of the Office of the Secretary of Transportation's proactive disclosure plan, the Department committed to a number of new initiatives designed to facilitate access to open, machine-readable data. These include:

U.S. Department of Transportation

- National Transportation Atlas – an effort to migrate geospatial data to a cloud platform, increasing geospatial analysis capabilities and providing access to data through Application Programming Interfaces (APIs)
- Visualization Tools – an effort to enhance DOT web capabilities by providing data users with the ability to establish and sustain relationships with datasets that interest them. These tools will also offer the ability to provide the public with specialized dashboards that provide analyses of the most commonly requested DOT data, in a form that is easy to keep up-to-date.
- Data set Management System – an effort to enhance DOT Web capabilities by providing a data catalog with simple visualization capabilities, the ability to for end users to access data in multiple formats, and access to APIs.

DOT will implement these new capabilities as follows:

- Launch data.transportation.gov (September 2016)
- Launch explore.transportation.gov (December 2016)
- Launch maps.transportation.gov (March 2017)

Section 3.3: Engaging the Public

Section 3.3.1: Encouraging Innovation through Public Engagement

As DOT works to increase the amount of data available to the public through the initiative in Section 3.2 of this Plan, we will also seek to engage the public to encourage the application of those data sets to spur innovative solutions.

DOT has launched several key initiatives over the past year which illustrate its commitment for strengthening engagement strategies.

U.S. Department of Transportation

Beyond Traffic

In 2015, DOT released a draft Beyond Traffic Framework identifying challenges and opportunities facing our nation's future transportation infrastructure. This Framework includes key chapters including "How We Move", "How We Move Things", "How We Move Better", "How We Adapt", and How We Align Decisions and Dollars". As a result, DOT engaged thousands of stakeholders across the country to inform a final Framework that is targeted for release in late 2016.

Mayors Challenge for Safer People, Safer Streets

One year ago, the Secretary launched a challenge that has resulted in 240 local officials strengthening their efforts for enhancing bicycle and pedestrian safety. As a result, communities across the country are working with local citizens to conduct safety assessments, provide public education, and strengthen related policies.

Smart City Challenge

In 2016, DOT awarded $40 million (funding subject to future appropriations) to Columbus, Ohio to help it define what it means to be a "Smart City" and become the country's first city to fully integrate innovative technologies – self-driving cars, connected vehicles, and smart sensors – into their transportation network. However, DOT also continues to provide extensive engagement with stakeholders from the 78 applicant cities. Public-private partnerships were also strengthened as a result of this Challenge, as the Department worked with several private companies and foundations willing to provide additional support to the Smart City Challenge finalists and winner.

Every Place Counts Design Challenge

The Ladders of Opportunity Every Place Counts Design Challenge seeks to raise awareness and identify innovative community design solutions that bridge the infrastructure divide and reconnect people to opportunity. Community Teams led by local officials competed to receive on-site technical assistance in a 2-day design session with DOT and experts in the field. The DOT selected four cities to host community visioning sessions in July: Spokane, WA; Philadelphia, PA; Nashville, TN; and Minneapolis-St. Paul, MN.

U.S. Department of Transportation

Across the Department, Operating Administrations continue to engage stakeholders in additional topics including accessible air travel for passengers with disabilities, older adult driving, autonomous vehicles, multi-modal freight, workforce skills and training, and other key issues central to advancing mobility across the country.

Section 3.3.2: Improving Access to Custom Software Code

The recently released Federal Source Code Policy promotes the re-use of custom code developed for and by the federal government, and in particular the government-wide use of and contribution to open source software. The policy requires agencies to seek appropriate data rights to custom-developed code and to make their custom-developed code broadly available across the federal government, wherever possible. The policy also requires each agency to publish at least 20 percent of its custom code as open source software.

In accordance with the policy, the Office of the Chief Information Officer will work with the OAs to develop the Department's open source code policy. This policy will reflect the requirements of the Federal Source Code Policy, including a commitment to securing data rights for custom code to allow code sharing, as well as a requirement that 20 percent of all custom code purchased by the Department will be made open source software. The policy will also integrate existing Departmental open source initiatives, such as the Intelligent Transportation Systems Joint Program Office's Open Source Application Development Portal.

To achieve this goal, the Department will take the following concrete actions:

- The Department will develop an open source policy in accordance with the Federal Source Code Policy (November 2016)
- The Department will develop a source code management organization structure to manage its custom code. This will include a Department-wide source code repository as well as personnel identified to manage its codebase. (September 2017)

U.S. Department of Transportation

- The Department will document best practices for source code management and contribute its learnings to code.gov (March 2018)

Section 3.3.3: Crowdsourcing and Citizen Science

In September 2015, the White House Office of Science and Technology Policy issued a memorandum "Addressing Societal and Scientific Challenges through Citizen Science and Crowdsourcing." Crowdsourcing and citizen science can generate new data and support fresh insights in science, technology, and innovation, while creating new opportunities for Americans to engage with the federal government, including the Department. In accordance with the requirements of the memo, the Office of the Under Secretary of Transportation for Policy will serve as coordinator for crowdsourcing and citizen science within the Department of Transportation and will catalog all citizen science and crowdsourcing projects within the Department on CitizenScience.gov, the General Services Administration's hub for these projects.

Section 3.3.4: Increasing Local Access to Information on Rail Bridge Inspections

The Department is committed to making sure local communities have the information they need on the structural integrity of all their local bridges and has asked Congress for the resources to develop an open rail bridge database. In the interim, the Department has urged railroads to be more transparent with communities about the safety and structural soundness of their bridges. In December 2015, Congress concurred, including a requirement in the FAST Act that railroads provide, at the request of state or local officials, a report on a bridge's last inspection. This was one of the first FAST Act provisions that the Department's Federal Railroad Administration implemented: in February 2016, FRA launched a new website to allow local officials to request bridge information online and receive a report within 45 days. The bridge safety report includes the date of the last inspection; length of bridge; location of bridge; type of bridge (superstructure); type of structure (substructure); features crossed by the bridge; railroad contact information; and a general statement on the condition of the bridge. The Department also remains committed to further increasing public transparency on rail bridge safety.

U.S. Department of Transportation

Section 3.3.5: Furthering Community Engagement

Through the Department's Ladders of Opportunity initiative, the Department is working to empower transportation leaders, grantees and communities to revitalize, connect, and create workforce opportunities that liftt more Americans into the middle class. The effort is guided by a vision that contains three principles:

1. Transportation connects people to opportunity by providing people with reliable and affordable connections to employment, education, and other essential services.
2. While we cannot change the past, we can ensure that current and future transportation projects connect, strengthen and revitalize communities, including areas that have, in the past, been on the wrong side of transportation decisions.
3. Transportation facilities should be built by, for and with the communities impacted by them. Development of transportation facilities should include workforce programs that help underserved people find and keep good jobs in the transportation sector.

The initiative is supported by a number of policy solutions and open data tools, including the Transportation and Health Tool, the Location Affordability Index, an updated guide to public involvement techniques for transportation decision-making, and more.

Over the next 2 years, the Department will take additional steps to advance ladders of opportunity, including:

- Create the *Every Place Counts Leadership Academy*, a tool to help local residents learn how to engage in the transportation decision making processes in their communities (November 2016)
- Launch a new "Community Connections" initiative in *Every Day Counts Round 4* to increase awareness of the role transportation projects can play in supporting community revitalization. Community Connections will promote proven strategies to assess the impacts of transportation infrastructure on communities and further popularize transportation project

U.S. Department of Transportation

design methods that prioritize community revitalization. Through this initiative, the Department will work with State and local partners to encourage the use of an array of tools to ensure that transportation projects meet the needs of individual communities and improve connectivity between disadvantaged populations and essential services. (through December 2018).

Section 3.4: Strengthening Open Government Foundations

In addition to the work identified in the previous initiatives, DOT is also taking specific steps to address new and expanded Open Government requirements set forth in the Office of Science and Technology Policy guidance for Open Government plans. This section outlines DOT's efforts around:

- Improving privacy program transparency
- Protecting whistleblowers
- Implementing the Digital Government Strategy
- Reporting on No FEAR Act Implementation

Section 3.4.1: Improving Privacy Program Transparency

The DOT privacy program carries out the privacy risk management requirements of the Privacy Act, the Paperwork Reduction Act (PRA), the E-Government Act of 2002 (EGov), the Federal Information Security Management Act (FISMA), and the Consolidated Appropriations Act of 2005, as well as general privacy risk management at DOT. The DOT CIO is the Senior Agency Official for Privacy (SAOP) and operational responsibilities of the SAOP and implementation of the Privacy Act are assigned to the DOT Chief Privacy Officer.

In its mission to ensure a safe, efficient, accessible and convenient transportation system that meets our vital national interests and enhances the quality of life, DOT collects, accesses, and uses significant

U.S. Department of Transportation

amounts of data every day. The DOT is committed to appropriately safeguarding all data used in the system development lifecycle, but is especially aware of the risks associated with the collection, use, storage, and sharing of personally identifiable information (PII). It is vitally important that DOT not only protect this information, but ensure that individuals be able to appropriately control the collection, use and sharing of their own PII within DOT systems.

With increased data collection, technology acceleration, and regulatory complexity comes increased privacy risk. The DOT has an obligation to identify, analyze, and mitigate privacy risks across its programs, regulations and systems. The DOT focuses on incorporating proactive risk management into every stage of system and program development. Risk management improves compliance with privacy objectives by raising awareness among employees and leadership regarding the standards for data safety. It institutes frameworks for training, compliance assessment, and vulnerability mitigation.

The DOT is fully committed to protecting the personal privacy of all individuals. Certain privacy protections are stated in law; however, DOT recognizes that compliance with the letter of the law is not enough. DOT has a responsibility to ensure that individuals are treated with fairness and respect. The DOT Privacy Program ensures that, in addition to compliance with the law, the Fair Information Practice Privacy Principles (FIPPs) are integrated into every policy decision and are observed and followed by all DOT employees and contractors. The FIPPs are a widely accepted framework that is at the core of the Privacy Act of 1974 and areare mirrored in other statutes, federal policy and guidance. The FIPPs cover common privacy concerns and provide a universal platform for identifying, assessing, and mitigating privacy risk. The DOT has adopted the FIPPs as its privacy risk management framework and seeks to apply them across the full breadth and diversity of DOT programs and activities.

The FIPPs provide the foundation of all DOT privacy policy development and implementation. The FIPPs must be applied whenever a DOT program or activity collects information or raises privacy concerns involving the collection of PII. In addition, the FIPPs will be applied to the deployment of any technology or development of any proposed regulation that raises privacy risks for individuals. To the extent

U.S. Department of Transportation

practical and permitted by law, DOT extends its application of the FIPPs to all individuals living or deceased and to all individuals regardless of legal status.

DOT collects, accesses and uses significant amounts of data every day. The DOT is committed to protecting the safety of all data throughout the system development lifecycle, and is aware of the risks associated with the collection, use, storage, and sharing of PII. To help manage these risks, the SAOP has issued policy and supplemental guidance to ensure that the DOT fulfills its commitments to protect the personal privacy of all individuals.

The DOT posts public notices of information practices and the privacy impact of government programs and activities. Accordingly, DOT is open and transparent about policies, procedures, and technologies that directly affect individuals and/or their PII. Additionally, the Department does not maintain any system of records that is not known to the public. The DOT privacy impact assessment (PIA) and system of records notices (SORN), as well as other policy documents may be found on the DOT Web site – https://www.transportation.gov/privacy.

Questions about DOT Privacy issues can be directed to the DOT Privacy Office and the Chief Privacy Officer at privacy@dot.gov.

Section 3.4.2: Protecting Whistleblowers

The DOT is committed to adhering to the requirements of the Whistleblower Protection Act of 1989, and the expanded protections provided by the Whistleblower Protection Enhancement Act of 2012. This is accomplished by requiring all DOT Operating Administrations to participate in OSC's Whistleblower Protection Act certification program. As of August 22, 2016, all DOT operating administrations have completed their certification, and all are complying with the OSC to complete the required OSC Supervisory Training. Updates on the certification status for operating administrations may be found on the OSC website.

U.S. Department of Transportation

Section 3.4.3: Implementing the Digital Government Strategy

The Department has continued to make progress delivering on its Digital Government Strategy commitments. The DOT continues to focus on accessibility issues, implementing Web Content Accessibility Guidelines (version 2.0, to the AA success criteria) across its Web sites. In addition, DOT is expanding and improving the use of visualization and mapping capabilities, developing interactive features for items such as the Secretary's bus tour, TIGER grants and more. The Department will continue to innovate its Web presence and achieve its digital strategy objectives over the coming years. For more information, visit the Department's digital strategy page at https://www.transportation.gov/digitalstrategy/ .

Section 3.4.4: Reporting on No FEAR Act Implementation

The Department seeks to deliver exemplary equal employment opportunity (EEO) programs and lead as a model agency by eliminating the practice and toleration of discrimination and retaliation within the workplace. Responsibility for No FEAR Act Implementation is jointly assigned to the Departmental Office of Civil Rights and the Office of the Assistant Secretary for Administration. DOT's No FEAR Act data can be accessed at https://www.transportation.gov/civil-rights/reports/docr-reports.

U.S. Department of Transportation

Chapter 4: Progress Towards Previous Initiatives and Continued Compliance with Information Dissemination Requirements

DOT made significant commitments to be more transparent, participatory and collaborative in its first three Open Government Plans. This chapter provides updates on specific initiatives identified in the previous Plans, as well as updates on the information dissemination requirements DOT is complying with related to FOIA, records management, data.gov, recovery.gov and USAspending.gov among others.

Section 4.1: Progress on Key Open Government Plan Initiatives

Section 4.1.1: Progress Towards DOT's 2010 Flagship Initiative

Regulation Room, DOT's 2010 flagship initiative, makes Federal rulemaking more accessible to people not familiar with the legal or technical aspects of the rulemaking process, by providing detailed summaries of key provisions in a plain language format with references to the actual rulemaking language. The referenced summaries, created by Cornell University law students and researchers, allow meaningful open discussion at multiple levels–from the general public to subject matter experts. While DOT has not had the opportunity to use Regulation Room to support any recent rulemaking efforts, the tool has been used by other federal agencies to support their efforts.
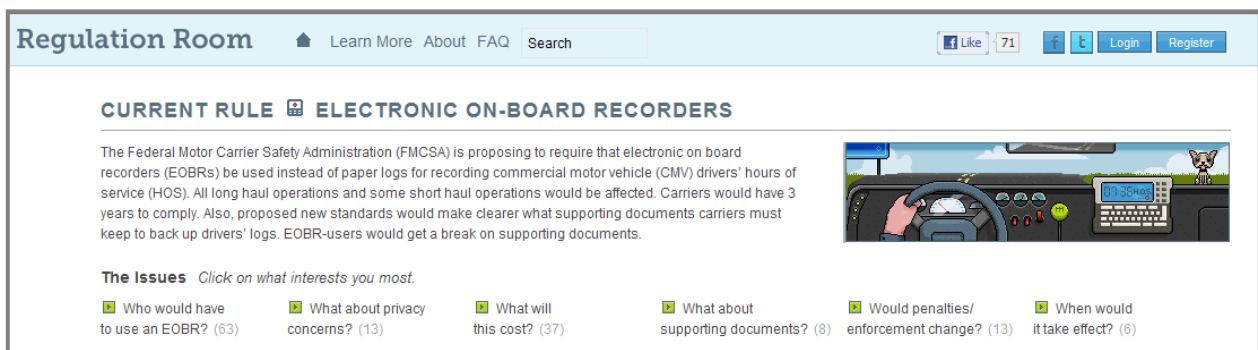

Figure 3: Regulation Room

The Consumer Financial Protection Bureau leveraged Regulation Room to solicit public comment on an Advanced Notice of Proposed Rulemaking (ANPRM) covering Consumer Debt Collection Practices. Cornell also adapted the platform to develop Planning Room, which was used to support the Office of the National Coordinator for Health Information Technology in their effort to gather public input for an update to the Federal Health IT Strategic Plan.

Section 4.1.2: Progress Towards DOT's 2012 Flagship Initiative

DOT launched the Safety Data Initiative during National Transportation Week in May 2012, meeting a key commitment in the President's first National Action Plan for Open Government.

While DOT and other federal agencies collect important safety-related data, DOT recognizes that releasing data alone does not fully leverage the potential of those datasets for discovering new information, inventing new products, or identifying complex patterns to improve decision-making.

The Safety Data Initiative enables the public to make better safety-related decisions using both current statistical descriptions and explanations of the environment that will affect our future. The Safety Data Initiative taps into the innovation of application developers, the immediacy of the internet, and information that the federal government collects to enable informed decisions that will enhance public safety and improve public health in the United States.

The Safety Data Initiative held its first datapalooza in September 2012, with nearly 200 attendees from the government, safety advocates, and the private sector. The second annual safety datapalooza was held in January 2014, attended by over 300 people, and the third safety datapalooza was held in October 2015, attending by over 150 people.

Safety.data.gov will continue to evolve over time. As the community grows, new data and stakeholders will be added to the community.

U.S. Department of Transportation

Section 4.1.3: Progress Towards DOT's 2014 Flagship Initiative

The DOT continues to enhance its online collaboration tool, eNEPA. eNEPA is designed to expedite the National Environmental Policy Act (NEPA) project development process by:
- Allowing for quick, clear and transparent issue resolution;
- Promoting trust and consensus among all project partners;
- Accommodating resource agencies' permitting processes;
- Promoting efficient environmental reviews; and
- Reducing project development time and cost.

eNEPA directly supports the Open Government principle of collaboration and DOT's Open Government goal of institutionalizing an open DOT culture. It continues to be used by State DOTs to improve project delivery and enhance the environmental review process. Other DOT components, including the Federal Transit Administration and Federal Railroad Administration, are already participating in eNEPA. Several federal resource agencies (US Fish and Wildlife Service, US Army Corps of Engineers (USACE), US Coast Guard, and National Oceanic and Atmospheric Administration) also continue to have users registered in the system.

Currently, seven State DOTs are using the tool for 11 total projects, with 20 State DOTs considering its use. Outreach efforts for eNEPA have consisted of two introductory webinars, six demonstrations, and six technical assistance/training opportunities. To scale this initiative and ensure its sustainability, DOT will take the following actions:
- Add in capabilities to facilitate permit application for Coast Guard bridge permits and USACE 404 permits.
- Offer eNEPA Technical Workgroup user testing (October 2016)
- Update and offer a national rollout and marketing of eNEPA which increases ease of use and sustainability (January 2017)
- Conduct individual demonstration meetings and trainings for State DOTs and DOT Operating Administrations upon request (Ongoing)
- Collaborate with DOT OAs to determine what additional system updates/changes are needed (Ongoing)

U.S. Department of Transportation

Over the long-term, FHWA leadership envisions eNEPA as a readily implementable solution that can bring these same benefits to other agencies across the federal government. This will encourage broader use by project sponsors and build a collaborative network that can be expanded across OAs resulting in reduced costs and faster project delivery.

Section 4.1.4: Tracking Progress on Other Open Government Initiatives

For updates on all DOT open government initiatives, including those mentioned in previous open government plans, please visit www.transportation.gov/open/progresstracking to view our progress reports.

Section 4.2: Update on Core Open Government Activities

Section 4.2.1: Update on Records Management Program

The Department is encouraged by the continued evolution and maturation of its Records Management program. The efforts undertaken thus far to implement the Managing Government Records Directive have renewed interest and appreciation for the value of a strong and sustainable records management program. The Department continues to improve its automated records management capabilities providing greater assurance that records are known, scheduling requirements understood, and disposition operationalized, thereby improving both compliance and reducing the Department's compliance risk. The Departmental Records Management Office (DRMO) has updated the Departmental Records Management Policy and established new processes to ensure that the records retention statements in Privacy Act notices are consistent with approved NARA schedules. The resulting improved communications between the Records and Privacy Risk Management programs promotes consistency among data and information management programs and ensures that privacy interests are taken into consideration during the development of records schedules and retention periods.

U.S. Department of Transportation

DOT makes information about its Records Management (RM) program publicly available through the DOT Records Management Web site, https://www.transportation.gov/records, linked to DOT's Open Government Web site. By delegation from the Secretary, the DOT Chief Information Officer has overall responsibility for providing leadership, planning, policy, procedures, and guidance for managing information. DOT's Records Management Policy further delineates the principles, responsibilities, and requirements for managing DOT records and establishes the framework for DOT Operating Administrations for complying with federal laws, regulations and best practices.

Since FY 2014 DOT has made substantive progress in its efforts to implement an enterprise-wide approach to records management. Key to its RM modernization efforts has been the Records Management Working Group, which includes representation across the Operating Administration and Secretarial Offices, bringing RM, Information Technology, legal, and programmatic expertise together to develop approaches and solutions reflective of the unique operational environments found at DOT.

The Department fully anticipates that all of its email systems will meet the goal of managing both permanent and temporary email records in an accessible electronic format by December 31, 2016. This includes implementation of the Capstone approach for agency email and requiring federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) in their non-official accounts that are federal records to official accounts. The DOT is also on track to manage all permanent electronic records electronically by December 31, 2019, and is submitting records schedules to NARA for all existing paper and other non-electronic records to ensure a complete and thorough inventory.

Section 4.2.2: Update on Freedom of Information Act (FOIA) Program

DOT continues to improve its FOIA program, with an emphasis on (1) ensuring that effective systems are in place to respond to FOIA requests; (2) making proactive disclosures; (3) using technology to increase the timeliness of responses; (4) applying the presumption of openness; and (5) working to reduce

U.S. Department of Transportation

backlogs. Over the past several years, DOT has consistently maintained a very low percentage of appeals of initial requested processed, indicating a high quality in initial responses. In FY 2015, only 1.29 percent of responses to initial requests were appealed.

DOT has continued to reduce its backlog of administrative appeals over the years, and at the end of FY 2015, had only 22 backlogged administrative appeals. DOT's backlog of initial requests, however, had grown to 1,865 by the end of FY 2015 and is on track to grow again by the end of FY 2016. Two of DOT's components, in particular, have received an increase in the number of requests, and have experienced some challenges in filling vacancies. The majority of these challenges have now been resolved. In FY 2017, DOT will make backlog reduction a top priority, particularly in the FOIA programs with the largest backlogs, in an effort to reverse this trend.

The portion of DOT's FOIA website created in response to the Open Government Directive includes the following updated information: (1) a description of DOT's staffing, organizational structure, and process for analyzing and responding to FOIA requests; (2) an assessment of DOT's capacity to analyze, coordinate, and respond to FOIA requests in a timely manner, together with proposed changes in use of technology and other reforms designed to strengthen FOIA processes; and (3) milestones that detail how DOT will reduce its pending backlog of outstanding FOIA requests by at least 10 percent each year.

Section 4.2.3: Update on Congressional Requests for Information

For more information about the process DOT uses when Congress requests information from DOT, please see DOT's Governmental Affairs Web page at https://www.transportation.gov/government-affairs. This Web page was updated to include the following requirements of the Open Government Directive:

- Descriptions of staffing
- Organizational structure
- The process for coordinating and responding to Congressional requests for information

The page also includes links to Web pages with information on Congressional testimony and reports submitted to Congress. You can also access this page through http://www.transportation.gov/open.

Section 4.2.4: Update on Declassification Program

For more information about DOT's declassification program, please see DOT's updated declassification Web page at https://www.transportation.gov/security/declassification. This Web page contains the following information, as required by the Open Government Directive:

- Information about the agency's declassification programs;
- Information about how to access declassified materials; and
- Information about how to provide input about what types of information should be prioritized for declassification, as appropriate.

You can also access this page through https://www.transportation.gov/open/.

Section 4.3: Compliance with Government-Wide Transparency Initiatives

Section 4.3.1: USAspending.gov and DATA Act Implementation

The Digital Accountability and Transparency (DATA) Act of 2014 seeks to improve the effectiveness of the federal government's resources through increased transparency and use of federal spending data. By making federal spending data more accessible, searchable, and reliable, and joining this information with other third party data sources, federal agencies and taxpayers have an opportunity to better understand the impact of federal funds and improve the lives of the American public.

 Because Congress and the public demand more transparent and reliable information on federal spending, the DATA Act aims to improve public reporting and comply with the requirements outlined in

U.S. Department of Transportation

Office of Management and Budget (OMB) memorandum M-15-12 – *Increasing Transparency of Federal Spending by Making Federal Spending Data Accessible, Searchable, and Reliable*.

With the onset of these new reporting requirements, the Department of Transportation (DOT) has the opportunity to expand data-driven decision-making to further inform federal spending efforts. The DOT is committed to making federal spending data more accessible, searchable, and reliable by implementing Government-wide data standards, and providing a solid link between data recorded in the Department's financial system with financial assistance and procurement data by using a unique award identifier.

Effective management reporting provides a greater depth of information to empower executives to make pertinent business decisions and increase operating efficiency. The DOT's long-term focus is to improve its internal systems and processes to provide the Department with improved management through improved data quality and timely information on both program and financial data.

Section 4.3.2: e-Rulemaking

The Federal Docket Management System (FDMS) and Regulations.gov are major components of the e-Rulemaking Presidential Initiative. Regulations.gov provides a one-stop internet site for access to federal regulatory, adjudicatory, and other information, allowing the public to search, view, download, and upload comments/submissions. The FDMS offers a standard online procedure for federal departments and agencies to handle and process rules.

Currently, DOT documents are posted to Regulations.gov by the DOT Docket Operations Center, who reviews submissions for objectionable content and annotates them with submitter information. The DOT then uses an internal process for distribution and review of comments received from the public.

U.S. Department of Transportation

Section 4.3.3: IT Dashboard

DOT has taken a number of steps to improve its participation in transparency and Open Government. In December 2014, Congress passed the Federal Information Technology Acquisition Reform Act (FITARA). The FITARA represents a major overhaul in the way the Federal Government acquires, implements and manages its information technology investments, by providing agency Chief Information Officers (CIOs) more visibility/authority over budget, governance, and personnel processes for agency Information Technology investments, and by improving transparency and review processes of agency IT investments. The Department has taken the opportunity to further improve transparency and openness by crafting and strategically enacting a number of integrated business processes for investment management and oversight to meet FITARA's intent. The Department has developed a comprehensive implementation plan that details how and when these business processes will be put into place. In accordance with OMB quarterly update metrics, the Department has made the details of how it plans to comply with FITARA by posting the DOT FITARA Implementation plan on the Department's public website, https://www.transportation.gov. The DOT's robust and highly accountable practices help us demonstrate its fiscal management commitment through sound tracking and reporting that provides citizens confidence tax payer resources are managed in an efficient manner. The DOT has also streamlined data analysis through easy to understand and more straightforward investment performance information via user-friendly data feeds and displays available for public view on the Federal IT Dashboard. The openness of the Federal IT Dashboard enables citizens to keep abreast of Agency initiatives and assess their progress through data analysis and data trends reported to OMB and Congress. In addition to individual investments, the data is used in aggregate to populate the FITARA Scorecard, which displays the results of oversight by Congress. This information provides the public insight into the Departments major IT investments and provides a mechanism to address concerns regarding IT costs and benefit to the public.

U.S. Department of Transportation

Section 4.3.4: Data.gov

A priority Open Government initiative for the Administration, data.gov allows the public to easily find, download, and use datasets that are generated and held by the federal government. Data.gov provides a storefront for raw datasets, tools that leverage federal datasets, and geo data. The site provides descriptions of the data and information about how to access the datasets. The data catalogs will continue to grow as datasets are added as agencies, including DOT, complete their data inventories under the Open Data Policy.

DOT met the Open Government Directive requirement to publish datasets by January 21, 2010. The DOT continues to operate a data.gov working group that plans and implements DOT's open data program. This working group also coordinates closely with other working groups on information declassification, data privacy and confidentiality, and information security to identify and propose solutions to hurdles to Open Government and data transparency in their respective areas. For more information about how DOT manages its data inventory under the auspices of the Open Data Policy, read the inventory approach.

To meet the Open Government Directive's requirements for identifying, prioritizing, and releasing high value datasets through data.gov, the DOT data.gov working group developed guidelines and regularly posts updates to its public data inventory at https://www.transportation.gov/data. In addition, DOT has committed to ensuring that its regulatory enforcement and compliance data are posted to data.gov, through its plan. DOT datasets are included in many communities on data.gov, including safety, research, law and energy. As of August 2016, DOT has published over 4,000 datasets to data.gov.

U.S. Department of Transportation

Appendix A: Acronym List

Abbreviation/Acronym	Definition
CTG	Center for Technology in Government (at the University at Albany, State University of New York)
DOT	Department of Transportation
FAA	Federal Aviation Administration
FACA	Federal Advisory Committee Act
FDMS	Federal Docket Management System
FHWA	Federal Highway Administration
FMCSA	Federal Motor Carrier Safety Administration
FOIA	Freedom of Information Act
FPDS	Federal Procurement Data System
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
GIS	Geographic Information System also, Grants Information System

U.S. Department of Transportation

Abbreviation/Acronym	Definition
ICC	Interstate Commerce Commission
ICR	Information Collection Request
IT	Information Technology
MAP-21	Moving Ahead for Progress in the 21st Century
MARAD or MarAd	Maritime Administration
NARA	National Archives and Records Administration
NEPA	National Environmental Policy Act
NHTSA	National Highway Traffic Safety Administration
NPRM	Notice of Proposed Rulemaking
OA	Operating Administration
OIG	Office of the Inspector General
OMB	Office of Management and Budget
OST	Office of the Secretary of Transportation
PHMSA	Pipeline and Hazardous Materials Safety Administration
PIA	Privacy Impact Assessment

U.S. Department of Transportation

Abbreviation/Acronym	Definition
PRA	Paperwork Reduction Act
PVAT	Public Value Assessment Tool
SLSDC	Saint Lawrence Seaway Development Corporation
STB	Surface Transportation Board
TIGER	Transportation Investments Generating Economic Recovery
U.S.	United States
UWR	United We Ride

U.S. Department of Transportation

Appendix B: Requirements Mapping to the Open Government Directive

Section	Description	Plan Section
1	**Formulating the Plan**	2
2	**Publishing the Plan**	N/A; see http://www.transportation.gov/open
3	**Transparency**	
	Changes to internal management and administrative policies	
a.i	Strategic action plan for transparency	3.1; 3.3; 3.4
a.i.1	Inventory of high value datasets for download	3.2.2; 3.2.3
a.i.2	Foster public's use of this information	3.2.3; 3.2.4
a.i.3	Identify high value information not previously been released	3.1; 3.2.1; 3.2.3
a.ii	Plan for timely publication of data	3.2.2
a.iii	Complying with transparency initiative guidance	3.4; 4.2; 4.3
a.iv	Inform the public of significant actions and business of your agency	Introduction; 1.1
a.v	Records management requirements	4.2.1
a.vi	FOIA	4.2.2
a.vii	Congressional requests for information	4.2.3
a.viii	Declassification programs	4.2.4

U.S. Department of Transportation

Section	Description	Plan Section
b	**Participation**	
b	Changes to internal management and administrative policies	1.1
b.i	Links to participatory Web sites	1.1.2
b.ii	Plans for feedback and innovative tools	1.1.2
c	**Collaboration**	
c	Changes to internal management and administrative policies	N/A
c.i	Technology platforms	3.1; 3.2.5
c.ii	Links to collaborative Web sites and tools	3.1
c.iii	Plan for innovative methods	3.3.3
d	**Flagship Initiative**	
d.i	Overview of initiative	3.1
d.ii	Plan for engaging public	3.1
d.iii	External partners for initiative (if appropriate)	3.1
d.iv	Plan for improved transparency, participation, and collaboration	3.1
d.v	Plan for sustainability	3.1
	Public and agency involvement	2

U.S. Department of Transportation

Appendix C: Requirements Mapping to 2016 Open Government Plan Guidance

Section	Description	Plan Section
New and Expanded Initiatives		
A	Open Data	3.2
B	Proactive Disclosures	3.2.5
C	Privacy	3.4.1
D	Whistleblower Protection	3.4.2
E	Websites	1.1.3
F	Open Innovation Methods	3.3.1; 3.3.3
G	Access to Scientific Data and Publications	3.2.4
H	Open Source Software	3.3.2
I	Spending Information	4.3.2
Ongoing Initiatives		
A	Participation in Transparency Initiatives	4.3
B	Public Notice	1.1.2
C	Records Management	4.2.1
D	Freedom of Information Act (FOIA) Requests	4.2.2
E	Congressional Requests	4.2.3
F	Declassification	4.2.4
G	Public Participation	1.2
H	Collaboration	1.1; 3.3
I	Flagship Initiative	3.1

U.S. Department of Transportation