



U.S. Department of
Transportation

The Inspector General

Office of Inspector General
Washington, DC 20590

June 7, 2016

The Honorable Ron Johnson
Chairman, Committee on Homeland Security
and Governmental Affairs
United States Senate
Washington, DC 20510

The Honorable Charles E. Grassley
Chairman, Committee on Judiciary
United States Senate
Washington, DC 20510

Dear Chairmen Johnson and Grassley:

This is in response to your letter to the Department of Transportation (DOT) Office of Inspector General (OIG) dated February 27, 2015, requesting information semiannually on the status of OIG open audit recommendations.¹ Specifically, you requested the following: (1) the current number of open recommendations, their dates, and cumulative estimated cost savings; (2) a description of all audits and investigations provided to the Agency for comment that did not receive a response within 60 days; (3) a report on each investigation involving GS-15 level employees (or equivalent) and above where misconduct was found but no prosecution resulted; (4) a description of any instances of whistleblower retaliation and any consequences imposed by the Agency; (5) a description of any attempts to interfere with our independence, including restricting our communications with Congress and budgetary constraints designed to limit our capabilities; (6) a description of any instances where the Department restricted or significantly delayed our access to information; and (7) a description of all closed audits and investigations that were not disclosed to the public. Unless otherwise indicated below, the following responses relay information concerning the first semiannual reporting period for fiscal year 2016.²

¹ Open recommendations include those for which the Department or an agency has either (1) concurred and proposed action plans but has yet to complete implementation, (2) completed the planned actions but has yet to provide us with supporting documentation, or (3) nonconcurred.

² October 1, 2015, through March 31, 2016.

OIG Open Recommendations and Associated Estimated Cost Savings

As of April 1, 2016, we identified 555 open recommendations, which were included in 190 audit reports issued between July 18, 2007, and March 28, 2016. Of these, 35 recommendations (from 28 reports) carry an estimated monetary benefit or cost savings totaling over \$1.5 billion.³ The enclosed document provides detailed information on these 555 recommendations.

Audits and Investigations Provided to the Agency for Comment Where No Agency Response Was Received Within 60 Days

We work closely with the Department to ensure timely responses to our draft audit reports. Of the 15 audit reports issued in draft for Agency comment during the reporting period, all Agency responses were received within 60 calendar days.

It is not our practice to submit OIG investigations for review and comment by the Department. Consequently, we did not refer any closed investigations to DOT for comment during the reporting period.

Investigations Involving GS-15 Level Employees (or Equivalent) and Above Where Misconduct Was Found but No Prosecution Resulted

We did not close any investigations during the reporting period that involved GS-15 level employees (or equivalent) and above where misconduct was found but no prosecution resulted.

Whistleblower Retaliation and Agency Action

We did not close any investigations during the reporting period in which a DOT employee had been retaliated against for protected whistleblowing.

Interference with OIG Independence

We did not encounter any instances during the reporting period where DOT attempted to interfere with OIG independence, including either restricting communications between OIG and Congress or imposing budgetary constraints designed to limit the capabilities of OIG.

Delays and Access to Information

If we encounter delays and lack of timeliness in obtaining Agency documents, we work with Department officials at the proper level to resolve them. When appropriate, access and delay issues and their impact on the scope of our work are documented in our reports. We have no such instances to report for this period.

³ This figure includes funds that could be put to better use and questioned costs.

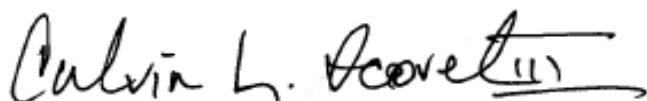
Closed Audits and Investigations Not Disclosed to the Public

It is our practice to post all closed non-sensitive audits and evaluations on our public Web site.⁴ Consequently, we have no previously undisclosed audits and evaluations to report. Additionally, we have included information concerning closed, non-public investigations in our *Semiannual Report to Congress* for this reporting period, and we can provide additional information on any of these closed investigations upon request.

We remain committed to supporting the Department through our objective and independent audits and investigations to improve the management and execution of programs and protect resources from fraud, waste, abuse, and violations of law.

If you have any questions or need further information, please contact me at (202) 366-1959 or Nathan Richmond, Director and Counsel for Congressional and External Affairs, at (202) 493-0422.

Sincerely,

A handwritten signature in black ink that reads "Calvin L. Scovel III". The signature is written in a cursive style with a horizontal line underlining the name.

Calvin L. Scovel III
Inspector General

Enclosure

⁴ OIG reports are available on our Web site: <https://www.oig.dot.gov>.

**Department of Transportation, Office of Inspector General
Non-Sensitive Open Recommendations, as of April 1, 2016**

No.	Report Number, Title	Report Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Recommendation State
1	CR2007074 Amtrak's Board Of Directors Provides Leadership to the Corporation But Can Improve How it Carries Out Its Oversight Responsibilities	9/14/2007	Amend its Statement of Policy to require at least an annual review of (a) the adequacy and timeliness of the information it receives and (b) its own effectiveness in carrying out its fiduciary responsibilities.	Amtrak	\$0	\$0	Resolved
2	CR2007074 Amtrak's Board Of Directors Provides Leadership to the Corporation But Can Improve How it Carries Out Its Oversight Responsibilities	9/14/2007	Amend its Statement of Policy to provide better guidance and more flexibility with respect to the types of actions requiring Board approval.	Amtrak	\$0	\$0	Resolved
3	CR2007074 Amtrak's Board Of Directors Provides Leadership to the Corporation But Can Improve How it Carries Out Its Oversight Responsibilities	9/14/2007	Amend its Statement of Policy to require management to submit for the Board's approval an annual, multi-year strategic plan with measurable goals and performance objectives.	Amtrak	\$0	\$0	Resolved
4	CR2007074 Amtrak's Board Of Directors Provides Leadership to the Corporation But Can Improve How it Carries Out Its Oversight Responsibilities	9/14/2007	Amend its Statement of Policy to require Amtrak to publish an annual evaluation of its performance against the previous year's goals.	Amtrak	\$0	\$0	Resolved
5	FI2015047 DOT Lacks an Effective Process For Its Transition to Cloud Computing	6/16/2015	Develop a process to verify that non-disclosure agreements and language regarding discovery and investigatory requirements are included in future cloud contracts.	Department-Wide	\$0	\$0	Resolved
6	FI2015047 DOT Lacks an Effective Process For Its Transition to Cloud Computing	6/16/2015	Establish FedRAMP compliance guidelines and oversight for the Department, and ensure that each Operating Administration put plans in place to meet FedRAMP requirements.	Department-Wide	\$0	\$0	Resolved
7	FI2015047 DOT Lacks an Effective Process For Its Transition to Cloud Computing	6/16/2015	Develop guidance for acquisition of cloud services, cost and savings analysis, and operational support for use of those services.	Department-Wide	\$0	\$0	Resolved
8	FI2015047 DOT Lacks an Effective Process For Its Transition to Cloud Computing	6/16/2015	Establish procedures to verify systems are accurately inventoried in CSAM.	Department-Wide	\$0	\$0	Resolved
9	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Develop and implement departmentwide policies and procedures for accurately identifying and reporting delinquent debt and recoveries, and collecting debts in a timely manner. Implementation of this recommendation could put \$494.1 million in funds to better use.	Department-Wide	\$494,100,000	\$0	Resolved
10	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Establish clear policies and guidance for overseeing delinquent debt collections made by Operating Administrations and ESC.	Department-Wide	\$0	\$0	Resolved
11	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Require relevant training for all personnel who are responsible for identifying, collecting, and reporting on delinquent debt.	Department-Wide	\$0	\$0	Resolved
12	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Direct Operating Administrations that must comply with legal requirements outside of DCIA to develop clear and effective debt collection policies and procedures for their unique requirements and to share these policies and procedures with ESC.	Department-Wide	\$0	\$0	Resolved

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13	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Direct ESC to clarify its SOPs, including (a) delineating the different processes for administrative and loan debts and (b) identifying the Operating Administrations that the SOPs apply to.	Department-Wide	\$0	\$0	Resolved
14	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Direct Operating Administrations that have loan programs to develop or enhance policies and procedures for complying with their specific requirements for delinquent loan collections.	Department-Wide	\$0	\$0	Resolved
15	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	We recommend that the Deputy Secretary or designee take action to work with the OAs to ensure they update open POA&Ms with the required data fields.	Department-Wide	\$0	\$0	Resolved
16	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	We recommend the Deputy Secretary, or his designees, take the following action to ensure that FAA, FHWA, FMCSA, FRA, FTA, NHTSA, MARAD/USMMA, OST, and SLSDC perform actions to immediately disable user accounts that have been inactive for over 90 days, as required by the DOT compendium. Report completion of this effort to OCIO. Create a POA&M to track progress and verify completion of the action.	Department-Wide	\$0	\$0	Resolved
17	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	The Deputy Secretary, or his designees, takes the following action to work with FAA to improve its assessment process to meet DOT Cybersecurity Compendium and Security Authorization & Continuous Monitoring Performance Guide. DOT CIO in conjunction with the FAA CIO review the FAA quality assurance process to ensure all security documents are reviewed and updated to reflect the system controls, vulnerabilities, and that the current risks are clearly presented to the authorizing officials.	Department-Wide	\$0	\$0	Resolved
18	QC2016009 Quality Control Review of Audited Closing Package Financial Statements for Fiscal Years 2015 and 2014, Department of Transportation	11/19/2015	KPMG recommends that DOT improve controls over financial reporting for the closing package financial statements to ensure that the accompanying notes to the Closing Package are accurately prepared in accordance with the instructions contained in TFM Chapter 4700.	Department-Wide	\$0	\$0	Unresolved
19	QC2016009 Quality Control Review of Audited Closing Package Financial Statements for Fiscal Years 2015 and 2014, Department of Transportation	11/19/2015	KPMG recommend that DOT improve controls over financial reporting for the closing package financial statements to ensure an appropriate supervisory review of the Closing Package prior to "lock down" with the Department of the Treasury.	Department-Wide	\$0	\$0	Unresolved
20	QC2016022 Quality Control Review of Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommend that DOT develop and implement guidance to formally document its assessments and recognition decisions, in accordance with SFFAC No. 5, as it relates to liabilities of exchange transactions, specifically those decisions to depart from GAAP based on materiality.	Department-Wide	\$0	\$0	Resolved

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No.	Report Number, Title	Report Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Recommendation State
21	AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Revise current ASAP guidance to exclude accidents from the program.	FAA	\$0	\$0	Resolved
22	AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Clarify what constitutes an "intentional disregard for safety."	FAA	\$0	\$0	Resolved
23	AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Require that FAA representatives on ERCs receive ASAP reports in a timely manner and concurrently with other ERC members.	FAA	\$0	\$0	Resolved
24	AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Modify Advisory Circular 120-66B to clarify that ASP is not an amnesty program and that employees submitting ASAP reports are subject to administrative action by FAA and corrective action by the air carrier.	FAA	\$0	\$0	Resolved
25	AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Require inspectors to examine repetitive reports of safety concerns and enhancements to ensure that corrective actions are completed in a satisfactory manner.	FAA	\$0	\$0	Resolved
26	AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	FAA needs to develop a central database of all air carriers ASAP reports that the Agency can use for trend analysis at a national level.	FAA	\$0	\$0	Resolved
27	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Work with SSA and other disability benefits providers to establish a target completion date for performing computer matching to identify airmen applying for, or holding, medical certificates and receiving disability benefits.	FAA	\$0	\$0	Resolved
28	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Implement restrictions on AME access to inactive airman records based on a need to know.	FAA	\$0	\$0	Resolved
29	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Require and validate that all AMEs and their staff participate in the DOT security and privacy awareness training, as well as sign the DOT Rules of Behavior.	FAA	\$0	\$0	Resolved
30	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Implement the audit and accountability recommendations received during the previous certification and accreditation process to help identify inappropriate access to sensitive PII (abuse of access privileges) and ensure data extract/query has been erased within 90 days from its creation date.	FAA	\$0	\$0	Resolved
31	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance-Broadcast Program and Realizing Benefits	10/12/2010	Accelerate efforts to establish requirements for ADS-B and certify cockpit displays for enhancing pilot situational awareness to improve operations at high-density airports.	FAA	\$0	\$0	Resolved
32	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance-Broadcast Program and Realizing Benefits	10/12/2010	Further quantify and validate controller productivity enhancements that can result from displaying ADS-B information on controller displays and the additional automation needed to maximize these ADS-B benefits.	FAA	\$0	\$0	Unresolved

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33	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Work with the U.S. intelligence community to assess potential threats to the ADS-B system and ways to mitigate them.	FAA	\$0	\$0	Resolved
34	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Update the cost benefit analysis for the acquisition to ensure that FAA's plan is still appropriate before committing the additional funds for a nationwide deployment of the ADS-B ground infrastructure.	FAA	\$0	\$0	Resolved
35	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Clarify the use of ADS-B value-added services and reexamine assumptions about the ability of ITT to sell them in light of other planned NextGen efforts to greatly expand information sharing between FAA and stakeholders.	FAA	\$0	\$0	Resolved
36	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Specify the cost and schedule for providing ADS-B critical services to all en route and airport surface domains over the life of the contract.	FAA	\$0	\$0	Resolved
37	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Assess the technical readiness of ADS-R and any risks to its development and determine which locations will need ADS-R.	FAA	\$0	\$0	Resolved
38	AV2011007 New York Flight Delays Have Three Main Causes, but More Work Is Needed To Understand Their Nationwide Effect	10/28/2010	Reexamine flight caps at Kennedy, LaGuardia, and Newark airports, basing the caps on more realistic airport operating conditions, air carrier scheduling practices, and a goal towards reducing delays to an acceptable rate. In considering an acceptable rate and length of delay, FAA should incorporate the views of air carriers, the airport operator, and passenger groups as well as lessons learned from other slot-controlled airports.	FAA	\$0	\$0	Resolved
39	AV2011025 FAA Needs to Implement More Efficient Performance-Based Navigation Procedures and Clarify the Role of Third Parties	12/10/2010	Clearly define the role of third parties in developing and implementing RNP procedures, determine where third parties could play a cost-beneficial role in advancing the implementation of new procedures, and issue a report with the results of this evaluation.	FAA	\$0	\$0	Resolved
40	AV2011057 FAA Did Not Ensure Revenue was Maximized at Denver International Airport	2/28/2011	For future airport closures, require more than one appraisal, use of indices other than CPI, and/or other methods to determine fair market value of large land sales when the land is transferred from the airport sponsor to the buyer over an extended period of time.	FAA	\$0	\$0	Unresolved
41	AV2011057 FAA Did Not Ensure Revenue was Maximized at Denver International Airport	2/28/2011	Evaluate the current funding of the development of parks, open space, infrastructure, or any other federally prohibited diversions associated with Denver airport revenue and take action to cease such funding.	FAA	\$0	\$0	Unresolved

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42	AV2011057 FAA Did Not Ensure Revenue was Maximized at Denver International Airport	2/28/2011	Assess the revenue diversions identified in our analysis of the sale of Stapleton property and seek full recovery as necessary, plus interest, of those diversions and any others identified by FAA.	FAA	\$0	\$0	Unresolved
43	AV2011057 FAA Did Not Ensure Revenue was Maximized at Denver International Airport	2/28/2011	Assess the difference between the amount that the Denver airport will receive from future sales of Stapleton property and the fair market value at the time of the sales and explore ways the City can provide the difference.	FAA	\$0	\$0	Unresolved
44	AV2011136 FAA Oversight and Implementation of the Organization Designation Authorization and Risk-Based Resource Targeting Programs	6/29/2011	Improve the RBRT tool by thoroughly testing and validating it to ensure that it is fully functional.	FAA	\$0	\$0	Resolved
45	ZA2011148 FAA Policies and Plans Are Insufficient to Ensure an Adequate and Effective Acquisition Workforce	8/3/2011	To ensure FAA comprehensively identifies its acquisition workforce and required competencies, we recommend that FAA's Director of Acquisition Policy, Workforce Development, and Evaluation: 2. Identify the entire FAA acquisition workforce, including contracted and Federal employees for all lines of business. Develop and implement tools and internal controls to ensure that FAA accurately identifies its acquisition workforce.	FAA	\$0	\$0	Resolved
46	ZA2011148 FAA Policies and Plans Are Insufficient to Ensure an Adequate and Effective Acquisition Workforce	8/3/2011	That FAA's Director of Acquisition Policy, Workforce Development, and Evaluation determine the best mix of labor resources by identifying the proper roles of both contractors and Federal employees, along with the skills sets and expertise needed for each group.	FAA	\$0	\$0	Resolved
47	AV2011149 FAA Oversight is Key for Contractor-Owned Air Traffic Control Systems That Are Not Certified	8/4/2011	Evaluate the number of FAA staff currently assigned to analyze the extensive volume of data the SBS monitoring system generates and require additional resources be allocated as appropriate.	FAA	\$0	\$0	Resolved
48	AV2011180 More Rigorous Oversight Is Needed to Ensure Venice Municipal Airport Land Sales and Leases Are Used Appropriately	9/29/2011	Strengthen Agency policy to ensure that transfers of airport property acquired through Federal assistance are based on independent certified appraisals performed within 6 to 12 months of the transfer and reviewed by an independent real estate professional, especially when the parcel is unusual or the transfer is between an airport and its sponsor.	FAA	\$0	\$0	Resolved
49	AV2012027 New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Require inspectors to select a representative sample of air carrier proficiency and line check rides each year to analyze the results for trends, and take action if needed in accordance with FAA guidance.	FAA	\$0	\$0	Resolved
50	AV2012027 New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Renew authority of check airmen every 2 years to increase accountability in the system and improve consistency in the manner in which flight checks are conducted and rated.	FAA	\$0	\$0	Resolved

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51	AV2012027 New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Develop a standardized procedure for air carriers to report failures of pilot proficiency checks, as well as remedial and recurrent flight training to FAA, and require inspectors to monitor trends and target surveillance to highest risk areas.	FAA	\$0	\$0	Resolved
52	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	That FAA's Vice President of Business and Acquisition Services: Revise AMS to require that, when IGCEs exceed contractor proposals by 15 percent or more, program officials submit an explanation and recommended corrective actions to the CFO before contract award.	FAA	\$0	\$0	Resolved
53	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	That FAA's Vice President of Business and Acquisition Services: Require the SE-2020 program office to (a) develop policies and procedures to ensure timely reconciliations and corrections to acquisition databases and (b) revise its cost monitoring spreadsheets to ensure accurate data for effective cost control of SE-2020 contracts.	FAA	\$0	\$0	Resolved
54	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	That FAA's Vice President of Business and Acquisition Services: Require FAA's contracting and program staff to use performance-based acquisition principles in their SE-2020 task orders and ensure staff is adequately trained to develop and monitor such awards.	FAA	\$0	\$0	Resolved
55	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	That FAA's Vice President of Business and Acquisition Services: Revise AMS to include guidance on how to identify and mitigate risks of potential OCIs prior to contract or task order award.	FAA	\$0	\$0	Resolved
56	AV2012094 Status of Transformational Programs and Risks to Achieving NextGen Goals	4/23/2012	Define and finalize the transformational programs' NextGen requirements.	FAA	\$0	\$0	Resolved
57	AV2012094 Status of Transformational Programs and Risks to Achieving NextGen Goals	4/23/2012	Synchronize program requirements between the Transformational Program Offices and NextGen Integration and Implementation Program Office to ensure Agency NextGen goals are aligned with the transformational programs' plans and to avoid schedule delays.	FAA	\$0	\$0	Resolved
58	AV2012152 Long Term Success of ATSAP Will Require Improvements In Oversight, Accountability, and Transparency	7/19/2012	Revise ATSAP guidance to exclude accidents from the program.	FAA	\$0	\$0	Unresolved
59	AV2012152 Long Term Success of ATSAP Will Require Improvements In Oversight, Accountability, and Transparency	7/19/2012	Develop a process permitting ERCs to validate all reports submitted to ATSAP.	FAA	\$0	\$0	Unresolved
60	AV2012167 Challenges With Implementing a Near-Term NextGen Capabilities at Congested Airports Could Delay Benefits	8/1/2012	Evaluate combining the metroplex study and design team processes to accelerate the completion of FAA's metroplex initiative.	FAA	\$0	\$0	Resolved

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61	AV2012167 Challenges With Implementing a Near-Term NextGen Capabilities at Congested Airports Could Delay Benefits	8/1/2012	Develop a comprehensive RNAV/RNP controller training program on applying new metroplex advanced procedures in a mixed-equipage environment.	FAA	\$0	\$0	Resolved
62	AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	As regional airport inspector vacancies become available, staff those positions with inspectors with expertise in wildlife damage management and require those inspectors oversee the program to specifically: a. Review and approve wildlife hazard assessments and management plans; b. Track the review and approval process to ensure airports complete all requirements; and c. Monitor wildlife strikes and, if needed, require airports to reassess their wildlife hazard management plans.	FAA	\$0	\$0	Resolved
63	AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Require that airports, as part of their wildlife hazard management plans, maintain reports of all wildlife strikes and submit the reports quarterly to FAA for review.	FAA	\$0	\$0	Resolved
64	AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Require inspectors to verify that airports' quarterly wildlife strike reports contain key data fields, such as extent of damage, species of wildlife, phase of flight, altitude that the strike occurred, and effect on flight; and to contact the airports with any incomplete or missing data to obtain the information, if available.	FAA	\$0	\$0	Resolved
65	AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Develop and implement performance metrics to measure the effectiveness of FAA's target activities in achieving the Program goal of reducing wildlife hazards at or near airports.	FAA	\$0	\$0	Resolved
66	AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Establish notification procedures with other government agencies to notify FAA of project proposals that may increase hazardous wildlife populations within a 5-mile radius of airports.	FAA	\$0	\$0	Resolved
67	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Assess current testing capabilities and limitations at FAA's Technical Center and develop corrective action plans to more robustly test future complex software-intensive air traffic systems.	FAA	\$0	\$0	Resolved
68	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Require complex software-intensive systems (that are interdependent on other systems, such as ERAM) to be successfully tested in a live, operational environment, at one or more FAA air traffic facilities, prior to Government Acceptance.	FAA	\$0	\$0	Resolved
69	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Revise AMS to better define key milestones, such as Government Acceptance and initial operating capability, so that milestones are clear measures of progress for managing major acquisitions.	FAA	\$0	\$0	Resolved

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70	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Evaluate available options and take action to deploy an additional backup for ERAM until the system has become significantly more mature.	FAA	\$0	\$0	Resolved
71	AV2013037 FAA and Industry Are Advancing the Airline Safety Act but Challenges Remain To Achieve Its Full Measure	1/31/2013	In developing the Pilot Records Database, require training records for all unsatisfactory pilot evaluation events to include written comments from the examiner to aid in identifying specific performance deficiencies.	FAA	\$0	\$0	Unresolved
72	AV2013045 Growth of Domestic Airline Code Sharing Warrants Increased Attention	2/14/2013	Publish best practices guidance for safety-sharing practices among Part 121 air carriers and their code share partners.	FAA	\$0	\$0	Resolved
73	AV2013045 Growth of Domestic Airline Code Sharing Warrants Increased Attention	2/14/2013	Review code share agreement performance metrics, such as financial incentives for on-time performance, to ensure they do not have unanticipated or adverse impacts on safety.	FAA	\$0	\$0	Resolved
74	AV2013046 FAAs Efforts to Track and Mitigate Air Traffic Losses of Separation Are Limited by Data Collection and Implementation Challenges	2/27/2013	Include high-risk TCAS warning events in its Risk Analysis Process and System Risk Event Rate when the separation between two converging aircraft is maintained at 66 percent or more.	FAA	\$0	\$0	Resolved
75	AV2013097 FAAs Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Develop a requirements document for TAMR Phase 3 Segment 1 to ensure the operational and technical requirements for the 11 large TRACONs are specific, pertinent, and focused on requirements needed to transition CARTS to STARS.	FAA	\$0	\$0	Resolved
76	AV2013097 FAAs Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Develop and implement a formal process to effectively manage, budget for, and incorporate new requirements (gaps) as they arise in the terminal modernization acquisition strategy.	FAA	\$0	\$0	Resolved
77	AV2013097 FAAs Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Develop a comprehensive approved baseline schedule for TAMR Phase 3, Segment 1 that includes: (a) Initial Operating Capability and Operational Readiness dates for each of the 11 sites that STARS will replace; (b) timeframes for testing and validating new software and hardware requirements to support STARS deployment; and (c) software testing to the maximum extent possible to ensure products are suitable for deployment.	FAA	\$0	\$0	Resolved
78	AV2013097 FAAs Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Update, verify, and validate the accurate and complete cost, schedule, and benefits for TAMR Phase 3, Segment 1, as prescribed by AMS.	FAA	\$0	\$0	Resolved
79	AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Conduct and document a variance analysis of each model's results and assess staffing at field offices where the on-board staffing level varies widely from the current model projection to verify if immediate staffing action is needed in the interest of safety.	FAA	\$0	\$0	Resolved

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80	AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Verify inspectors are following existing guidance to update and maintain the accuracy of databases prior to running iterations of the staffing model.	FAA	\$0	\$0	Resolved
81	AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Conduct a comprehensive assessment of the staffing model as compared to the NRC recommendations, assess the quality of the data in the model and identify the steps needed to make the staffing model more viable.	FAA	\$0	\$0	Resolved
82	AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Implement comprehensive and recurrent training for managers and inspectors on the staffing model.	FAA	\$0	\$0	Resolved
83	AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Establish a comprehensive analyst training program with guidance clarifying their roles, responsibilities, and training needs and establish a method to determine an appropriate number of air carriers per analyst.	FAA	\$0	\$0	Resolved
84	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Develop procedures for periodic reassessments of aircraft and airman data to improve and maintain data integrity.	FAA	\$0	\$0	Resolved
85	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Develop procedures to ensure that airman addresses are kept current.	FAA	\$0	\$0	Resolved
86	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Implement the provisions of the Intelligence Reform and Terrorism Prevention Act's for pilot certifications.	FAA	\$0	\$0	Resolved
87	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Implement access monitoring, user accounts, and multi-factor authentication for the Registry.	FAA	\$0	\$0	Resolved
88	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Encrypt PII and mitigate the vulnerabilities on Registry computers. If controls cannot be implemented immediately then remove all PII or take other actions as appropriate, such as suspend the system's operation in accordance with FAA Order 1280.1B.	FAA	\$0	\$0	Resolved
89	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Ensure that the FAA contractor's computers and other third-party systems comply with information security controls required by FISMA and DOT policy.	FAA	\$0	\$0	Resolved
90	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Mitigate contingency planning weaknesses by selecting an alternative processing site and periodically conducting comprehensive contingency tests at the alternate site in accordance with DOT policy.	FAA	\$0	\$0	Resolved

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91	AV2013120 FAA's Controller Scheduling Practices Can Impact Human Fatigue Controller Performance and Agency Costs	8/27/2013	Identify the terminal air traffic facilities that do not meet the established minimum criteria for midnight shift operations, and (a) evaluate the safety risks and benefits of reducing their hours of operation, and (b) develop milestones for implementation of the reduction of operating hours at the selected facilities and report the status and justification for each selected facility to the OIG in 180 days.	FAA	\$0	\$0	Resolved
92	AV2013121 FAA is Making Progress But Improvements in Its Air Traffic Controller Facility Training Are Still Needed	8/27/2013	Organize FAA controller training data into a single source that allows for detailed analysis of all training records for each controller.	FAA	\$0	\$0	Resolved
93	SA2013133 Federated States of Micronesia National Government	9/13/2013	We recommend FAA ensure the Micronesia National Government complies with Equipment and Real Property Management requirements.	FAA	\$0	\$0	Resolved
94	SA2013133 Federated States of Micronesia National Government	9/13/2013	We recommend FAA recover \$37,094 from the Micronesia National Government.	FAA	\$0	\$37,094	Resolved
95	FI2013136 DOT Does Not Fully Comply with the Requirements of the Reducing Over-Classification Act	9/19/2013	Update FAA's policy to conform to the requirements of EO 13526.	FAA	\$0	\$0	Resolved
96	AV2014017 FAA's Safety Data Analysis and Sharing System Shows Progress, but More Advanced Capabilities and Inspector Access Remain Limited	12/18/2013	Identify the FAA office with responsibility for disseminating aggregated de-identified ASIAs trends to both field and headquarters levels.	FAA	\$0	\$0	Resolved
97	AV2014017 FAA's Safety Data Analysis and Sharing System Shows Progress, but More Advanced Capabilities and Inspector Access Remain Limited	12/18/2013	Establish a mechanism for providing access to aggregated, de-identified ASIAs trends to each level of Flight Standards in a protected manner, including specific reporting frequency.	FAA	\$0	\$0	Resolved
98	AV2014017 FAA's Safety Data Analysis and Sharing System Shows Progress, but More Advanced Capabilities and Inspector Access Remain Limited	12/18/2013	Develop and issue guidance on how inspectors are to use aggregated, de-identified ASIAs trends to enhance air carrier safety risk identification and mitigation, including how ASIAs will interact with SAS.	FAA	\$0	\$0	Resolved
99	ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Create a training plan that clearly defines all air traffic controller training requirements, including proficiency training and training for new systems. The plan should also specify the training requirements to be performed by FAA certified professional controllers and those to be performed by the contractor.	FAA	\$0	\$0	Resolved
100	ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Develop a plan to assess internal resources and verify that controllers will be available to teach training at each facility.	FAA	\$0	\$0	Resolved
101	ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Perform an integrated baseline review to (a) identify the training requirements that should be included in the budget baseline; (b) identify the risks for maintaining the budget and plans for adequately mitigating those risks; and (c) determine whether resources are sufficient for completing the work.	FAA	\$0	\$0	Resolved

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102	AV2014035 FAA Oversight Is Inadequate to Ensure Proper Use of Los Angeles International Airport Revenue for Police Services and Maximization of Resources	4/8/2014	Determine the amount of diverted revenue, if any, from payments of unsupported or unauthorized police services that are recoverable by Los Angeles World Airports and require Los Angeles World Airports to recover these costs, plus interest, from the City of Los Angeles.	FAA	\$0	\$0	Resolved
103	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Add dedicated data fields in the VDRP electronic system for air carriers to describe the root causes associated with the non-compliance and identify whether the violation occurred due to the actions of an individual or a systemic problem.	FAA	\$0	\$0	Resolved
104	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Require inspectors to evaluate the root causes(s) determination to ensure repeat self-disclosure does not go undetected and potential systemic issues are identified.	FAA	\$0	\$0	Resolved
105	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Require inspectors to use the dedicated field within the VDRP electronic system to document the surveillance performed as a result of self-disclosures.	FAA	\$0	\$0	Resolved
106	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Require inspectors to ensure that air carriers track any revisions to programs and procedures resulting from VDRP disclosures to prevent future modification without consideration of VDRP requirements.	FAA	\$0	\$0	Resolved
107	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Provide familiarization training to inspectors and office managers regarding VDRP guidance that allow the ASAP corrective actions to be used as the comprehensive fix for a voluntary disclosure when certain conditions are met.	FAA	\$0	\$0	Resolved
108	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Ensure that inspector's ability to obtain safety data is not further restricted through efforts to streamline voluntary safety programs.	FAA	\$0	\$0	Resolved
109	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Develop a mechanism to assist inspectors with surveillance planning, identification of safety issues, and monitoring trends for Part 121 air carrier.	FAA	\$0	\$0	Resolved
110	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Analyze VDRP data from a national perspective to aid in the identification of system-wide trends and patterns that represent risks.	FAA	\$0	\$0	Unresolved
111	FI2014052 Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System	6/5/2014	Prioritize and remediate all TFMS scheduled POAMs.	FAA	\$0	\$0	Resolved
112	AV2014057 FAA Faces Significant Obstacles in Advancing the Implementation and Use of Performance-Based Navigation Procedures	6/17/2014	Establish firm requirements and schedules for all NAV Lean initiatives that will provide a basis and justification for future funding requests.	FAA	\$0	\$0	Resolved
113	AV2014059 FAA is Not Effectively Managing Air Traffic Controller Mid-Term Bargaining Agreements	6/19/2014	Provide refresher training to air traffic managers that interact with NATCA on labor relations management, including legal responsibilities and negotiation skills.	FAA	\$0	\$0	Resolved

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114	AV2014060 AA Operational and Programmatic Deficiencies Impede Integration of Runway Safety Technologies	6/26/2014	Develop and finalize timetables as to when ADS-B can be expected to impact surface surveillance systems through the use of moving map information in cockpit displays and surface alerts for pilots.	FAA	\$0	\$0	Resolved
115	AV2014060 AA Operational and Programmatic Deficiencies Impede Integration of Runway Safety Technologies	6/26/2014	Develop specific milestones for integrating ASDE-X, ASSC, RWSL, and ADS-B based on coordination between offices involved in runway safety; identify the offices accountable for achieving these milestones; and publish this information in the FAA National Runway Safety Plan.	FAA	\$0	\$0	Resolved
116	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Publish a report annually detailing ongoing research activities and progress FAA and other entities are making in their respective areas of responsibility to resolve technical challenges to safe integration of UAS.	FAA	\$0	\$0	Resolved
117	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Establish a more detailed implementation plan with milestones and prioritized actions needed to advance UAS integration in the near, mid and long term.	FAA	\$0	\$0	Resolved
118	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Establish metrics to define progress in meeting implementation milestones as a basis for reporting to Congress.	FAA	\$0	\$0	Resolved
119	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Establish milestones for the work needed to determine the appropriate classification system for unmanned aircraft as a basis for developing the UAS regulatory framework.	FAA	\$0	\$0	Resolved
120	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Establish a timeline for developing standardized training and procedures for air traffic controllers responsible for UAS operations.	FAA	\$0	\$0	Resolved
121	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Assess and determine the requirements for automated tools to assist air traffic controllers in managing UAS operations in the NAS.	FAA	\$0	\$0	Resolved
122	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Create a standardized framework for data sharing and analysis between FAA and UAS operators by (a) validating a sample of the data it currently receive from UAS operators; (b) finalizing an agreement with DoD for pertinent UAS operational data; and (c) completing development of a sharing and analysis database.	FAA	\$0	\$0	Resolved
123	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Develop and implement a consistent process to review and approve COAs across FAA regions, adopt measures that increase process efficiency and oversight and provide necessary guidance and training to inspectors.	FAA	\$0	\$0	Resolved
124	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Complete airspace simulation and safety studies of the impact of UAS operations on air traffic control across all segments of the NAS.	FAA	\$0	\$0	Resolved

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125	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Develop a mechanism to verify that the UAS Integration Office, all FAA lines of business, and field safety inspectors are effectively coordinating their UAS efforts.	FAA	\$0	\$0	Resolved
126	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Determine the specific types of data and information needed from each of the six planned test ranges to facilitate safe integration of UAS into the NAS.	FAA	\$0	\$0	Resolved
127	AV2014062 FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Ensure that all facilities implement and use new Cru-X/ART task codes designed to better differentiate the tasks that controllers are completing.	FAA	\$0	\$0	Resolved
128	AV2014062 FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Assess current controller productivity initiatives to determine whether they will achieve anticipated cost savings or productivity gains and document the results of this assessment.	FAA	\$0	\$0	Resolved
129	AV2014062 FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Analyze its operational and financial data to identify opportunities to increase controller productivity and reduce operating costs.	FAA	\$0	\$0	Resolved
130	AV2014062 FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Require controllers to maintain their own time-on-position records by signing in and out in Cru-X/ART.	FAA	\$0	\$0	Resolved
131	AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Resolve performance problems identified during FAA's independent operational testing on ADS-B. Also, conduct end-to-end testing of the ADS-B system to determine how it can be used by controllers and pilots to safely manage and separate traffic in the NAS during all phases of flight.	FAA	\$0	\$0	Resolved
132	AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Develop a schedule and plan to expedite the continued development and deployment of SBS Monitor and ensure that the system is adequately staffed and funded so it can effectively access the performance and integrity of the ADS-B system now and as it evolves.	FAA	\$0	\$0	Unresolved
133	AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Develop and implement a plan to improve communications with the aviation community to ensure it understands the intended use of ADS-B services and applications being provided, including that ADS-B initial capabilities are for advisory use only.	FAA	\$0	\$0	Unresolved
134	AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Determine when FAA will be in a position to introduce and support ADS-B In capabilities for congested airports, and identify the changes that may be required for ADS-B ground and air components for using advanced ADS-B In capabilities.	FAA	\$0	\$0	Resolved

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135	AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Develop a clearly defined and expedited schedule for determining the end-state for the ADS-B program with cost and schedule baselines, and provide written notification to Congress and other decision makers so that they have more complete information on the total program cost, schedule, and expected services.	FAA	\$0	\$0	Resolved
136	FI2014129 Actions Needed To Enhance Controls Over Travel Cards	9/18/2014	Work with the Department to implement an automated solution, which reduces the costs associated with the labor-intensive process of comparing cardholder travel card activity to travel claims.	FAA	\$0	\$0	Resolved
137	AV2014130 Management Limitations May Hinder FAA's Ability to Fully Implement and Assess the Effectiveness of Its Runway Safety Initiatives	9/25/2014	Expedite the development of metrics to determine whether runway incursions are actually increasing and to assess the effectiveness of implemented runway safety initiatives.	FAA	\$0	\$0	Resolved
138	AV2014130 Management Limitations May Hinder FAA's Ability to Fully Implement and Assess the Effectiveness of Its Runway Safety Initiatives	9/25/2014	Realign the Runway Safety Group outside of FAA's operational lines of business to ensure the office effectively provides oversight and coordinates activities for investigating and mitigating runway incursions.	FAA	\$0	\$0	Unresolved
139	AV2015012 Planning For High Priority NextGen Capabilities Underway but Much Work Remains for Full Realization of Benefits	11/20/2014	Develop a risk mitigation strategy for missed milestones or as commitments change.	FAA	\$0	\$0	Resolved
140	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Require air carriers to provide FAA with sufficient evidence of completion of corrective actions and self-audits.	FAA	\$0	\$0	Resolved
141	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Clarify how Hazardous Materials Voluntary Disclosure Reporting Program requirements are to be met, such as defining what constitutes serious violations and determining under what circumstances repeat violations could be accepted.	FAA	\$0	\$0	Resolved
142	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Provide training to the FAA Regions on Hazardous Materials Voluntary Disclosure Reporting Program requirements or policies.	FAA	\$0	\$0	Resolved
143	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Develop an automated system, such as a Web site, to allow air carriers to report potential violations under the Hazardous Materials Voluntary Disclosure Reporting Program.	FAA	\$0	\$0	Resolved
144	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Combine Hazardous Materials Voluntary Disclosure Reporting Program data with data from other sources, such as inspections, to identify trends signifying safety risk.	FAA	\$0	\$0	Resolved
145	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA strengthen password complexity configurations for LIS and SOAR, in accordance with the DOT Cyber Security Compendium.	FAA	\$0	\$0	Resolved

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146	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended FAA obtain a waiver from the DOT Chief Information Officer to relieve FAA of the implementation requirements within the DOT Cyber Security Compendium.	FAA	\$0	\$0	Resolved
147	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommends that FAA update the LIS SSP to reflect the current security audit log mechanisms in place, and develop and implement procedures requiring periodic reviews of LIS audit logs. The procedures should include the items being reviewed and the frequency within which the reviews should occur.	FAA	\$0	\$0	Resolved
148	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommend that FAA develop and implement procedures for granting physical access to the data center.	FAA	\$0	\$0	Resolved
149	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommends that FAA develop and implement procedures for retaining authorizing documents for those individuals that are granted access.	FAA	\$0	\$0	Resolved
150	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommends that FAA develop and implement procedures for performing periodic reviews of access rights for existing data center users.	FAA	\$0	\$0	Resolved
151	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended to finalize the policies and procedures that specify the number of days within which property identified for disposal should be retired and recorded in the general ledger.	FAA	\$0	\$0	Resolved
152	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended to provide training to the various regions and property owners once the policies and procedures noted in recommendations 1 above are finalized and implemented.	FAA	\$0	\$0	Resolved
153	AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Develop helicopter-specific accident reduction goals and communicate them in FAA planning documents and business plans.	FAA	\$0	\$0	Resolved
154	AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Conduct a workforce assessment that includes a determination of whether: a.) inspectors are at the right locations to provide adequate surveillance of the growing number of HEMS certificates, b.) it has the correct number of inspectors with the required specialized knowledge, and c.) district office inspector workload is adequately measured in complexity ratings and balanced between district offices.	FAA	\$0	\$0	Resolved
155	AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Review and revise inspector hiring and training policies so that they provide sufficient flight and aircraft systems experience and training needed for inspectors to successfully accomplish their surveillance duties.	FAA	\$0	\$0	Resolved

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156	AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Develop and implement a plan to provide inspectors access to new technology training opportunities and leverage both airplane and helicopter training if needed in their surveillance requirements.	FAA	\$0	\$0	Resolved
157	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Clarify inspector guidance on how to assess foreign authorities' readiness to assume FAA oversight responsibilities.	FAA	\$0	\$0	Resolved
158	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Develop guidance and provide training to FAA inspectors that clarify their current roles and responsibilities as country coordinators.	FAA	\$0	\$0	Resolved
159	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Conduct a comparative analysis of the Maintenance Annex Guidance to ensure that FAA inspection procedures and checklists are comparable to EASA's, where possible.	FAA	\$0	\$0	Resolved
160	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Revise the Maintenance Annex Guidance to require FAA inspectors to review and accept corrective action plans resulting from aviation authority sampling inspections.	FAA	\$0	\$0	Resolved
161	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Require FAA inspectors to obtain all level 1 and level 2 findings from EASA Part 145 inspections to enhance FAA's ability to conduct more accurate risk assessments of EU repair stations.	FAA	\$0	\$0	Resolved
162	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Revise the Maintenance Annex Guidance to require FAA inspectors to receive EU-based repair station corrective action plans after completing sampling inspections to be used for risk assessment.	FAA	\$0	\$0	Resolved
163	SA2015069 City of El Paso, Texas	7/20/2015	We recommend FAA ensure the City complies with the Matching Requirements.	FAA	\$0	\$0	Resolved
164	SA2015069 City of El Paso, Texas	7/20/2015	We recommend FAA ensure the City complies with the Reporting Requirements.	FAA	\$0	\$0	Resolved
165	SA2015069 City of El Paso, Texas	7/20/2015	We recommend FAA recover \$14,325 from the City, if applicable.	FAA	\$0	\$14,325	Resolved
166	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Implement an oversight process for monitoring compliance with AMS closeout requirements.	FAA	\$0	\$0	Resolved
167	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Issue additional AMS guidance on the contract closeout process. At a minimum, this guidance should include requirements for: file retention and storage, contract closeout file documentation, initial funds reviews, timely submission of adequate evidence of physical completion, and safeguards to prevent the destruction of contract files before closeout is completed.	FAA	\$0	\$0	Resolved

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168	AV2015079 FAA Delays in Establishing a Pilot Records Database Limit Air Carriers' Access to Background Information	8/20/2015	Establish the FAA-records portion of the database and develop a single process for air carriers to request and obtain records currently available through PRIA, notices of disapproval, and summaries of enforcement actions in accordance with the Act.	FAA	\$0	\$0	Resolved
169	AV2015079 FAA Delays in Establishing a Pilot Records Database Limit Air Carriers' Access to Background Information	8/20/2015	Develop a clearly defined and expedited schedule for the development and implementation of a PRD, including cost estimates and project timelines.	FAA	\$0	\$0	Resolved
170	AV2015081 FAA Has Not Effectively Deployed Controller Automation Tools That Optimize Benefits of Performance-Based Navigation	8/20/2015	Establish firm milestones and follow through with all action items required to address TBFM Study Team report recommendations and a process to account for their completion.	FAA	\$0	\$0	Resolved
171	AV2015081 FAA Has Not Effectively Deployed Controller Automation Tools That Optimize Benefits of Performance-Based Navigation	8/20/2015	Establish a NAS-wide TBFM user collaboration and information sharing database or tracking system to capture lessons learned by facilities and subject matter experts during TBFM implementation and use.	FAA	\$0	\$0	Resolved
172	AV2015081 FAA Has Not Effectively Deployed Controller Automation Tools That Optimize Benefits of Performance-Based Navigation	8/20/2015	Establish a process for creating agreements (e.g., Letters of Agreement), including corresponding procedures, between facilities to accommodate wider use of automation tools and establish a target date for implementing them.	FAA	\$0	\$0	Resolved
173	ST2015080 Efficiency of FAA's Air Traffic Control Towers Ranges Widely	8/20/2015	Identify the factors contributing to greater resource use by the least efficient towers as compared with the relatively efficient towers that we identified, and develop a plan for addressing them.	FAA	\$853,000,000	\$0	Resolved
174	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Apply the lessons learned from the Chicago Center incident to the redesign of operational contingency plans for all Center facilities.	FAA	\$0	\$0	Resolved
175	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Identify and implement changes needed to improve annual contingency training exercises to simulate more realistic scenarios.	FAA	\$0	\$0	Resolved
176	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Install a secure wireless network that can provide access to FAA's local area network (LAN) and connectivity to the internet at Center facilities.	FAA	\$0	\$0	Resolved
177	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Evaluate the feasibility and cost of physically separating primary and backup components of critical communication infrastructure when comparing alternative implementation options for all future investments.	FAA	\$0	\$0	Resolved
178	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Assess the feasibility and cost of replacing the existing fire suppression systems in critical equipment areas with a waterless system at Center facilities.	FAA	\$0	\$0	Resolved
179	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Develop an implementation plan and quantify all costs required for the implementation of each recommendation in FAA's 30-day Review of Contingency Plans.	FAA	\$0	\$0	Resolved

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180	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Develop an implementation plan and quantify all costs required for the implementation of the 42 recommendations derived from the Comprehensive Security Review.	FAA	\$0	\$0	Resolved
181	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Develop and implement system-based evaluation criteria and risk-based tools to aid ODA team members in targeting their oversight.	FAA	\$0	\$0	Resolved
182	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Clarify guidance to ODA oversight staff on the minimum oversight requirements for each oversight team member.	FAA	\$0	\$0	Resolved
183	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Require annual assessments of audit training provided to ODA oversight personnel for effectiveness, and report the results of the assessment on an annual basis to the Aircraft Certification Management Team.	FAA	\$0	\$0	Resolved
184	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Provide guidance on data that ODA team members should be analyzing on an ongoing basis, enhance its national summary of biennial audit results to include more specificity, and disseminate it to ODA teams to use in planning their oversight.	FAA	\$0	\$0	Resolved
185	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Determine what additional model inputs and labor distribution codes are needed to identify ODA oversight staffing needs, and report the results to the Aircraft Certification Management Team.	FAA	\$0	\$0	Resolved
186	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Develop a process to assess the model results at the office level for potential staffing shortages, determine the validity of the results, and include in a regular written report to the Aircraft Certification Management Team.	FAA	\$0	\$0	Resolved
187	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Develop agreements and a process for sharing resources to assure that ODA personnel performing certification and inspection work at supplier and company facilities receive adequate oversight.	FAA	\$0	\$0	Resolved
188	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Clarify guidance to engineers and inspectors on actions to take in response to self-audits and develop a process to validate that the audits are being used to identify trends that warrant a need for oversight.	FAA	\$0	\$0	Resolved
189	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Provide guidance on the level of sampling required to achieve effective oversight of ODA company personnel performing key aircraft certification functions, and issue sampling guidance to field offices.	FAA	\$0	\$0	Resolved

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190	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	Re-examine the most recent methodologies used to calculate ACDBE car rental participation goals for the Nation's 65 largest airports, and provide guidance on the goal setting principles to use in calculating ACDBE participation goals. For those airports that did not properly calculate their goals, take action to ensure compliance with DOT guidance.	FAA	\$0	\$0	Resolved
191	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	Implement a plan for encouraging the participation of ACDBE-certified "goods and services" firms in the car rental industry and promoting their use.	FAA	\$0	\$0	Resolved
192	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	Issue guidance that corrects the misinterpretation of the statutory and regulatory language that creates an exception for car rental companies from the general requirement to explore direct ownership arrangements as a way to meet ACDBE goals.	FAA	\$0	\$0	Resolved
193	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	Coordinate with OSDDBU to make current Small Business Transportation Resource Center training and assistance accessible to airport DBEs, such as procurement and technical training.	FAA	\$0	\$0	Resolved
194	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	In coordination with FAA's Office of Airports, develop and implement a plan to address DBE prompt payment issues with airports and prime contractors.	FAA	\$0	\$0	Resolved
195	AV2016013 Enhanced FAA Oversight Could Reduce Hazards Associated With Increased Use of Flight Deck Automation	1/7/2016	Develop guidance defining pilot monitoring metrics that air carriers can use to train and evaluate pilots.	FAA	\$0	\$0	Unresolved
196	AV2016013 Enhanced FAA Oversight Could Reduce Hazards Associated With Increased Use of Flight Deck Automation	1/7/2016	Develop standards to determine whether pilots receive sufficient training opportunities to develop, maintain, and demonstrate manual flying skills.	FAA	\$0	\$0	Unresolved
197	AV201614 FAA Continues to Face Challenges in Ensuring Enough Fully Trained Controllers At Critical Facilities	1/11/2016	Develop and implement a methodology with completion dates for determining en route staffing ranges, as suggested by the National Academy of Sciences.	FAA	\$0	\$0	Resolved
198	AV201614 FAA Continues to Face Challenges in Ensuring Enough Fully Trained Controllers At Critical Facilities	1/11/2016	Document and use the results of Operational Planning and Scheduling tool when annually negotiating controller work schedules at each facility.	FAA	\$0	\$0	Resolved
199	AV2016015 FAA Reforms Have Not Achieved Expected Cost, Efficiency, and Modernization Outcomes	1/15/2016	Identify and implement Agency-wide cost-saving initiatives and develop appropriate timelines and metrics to measure whether the initiatives are successful.	FAA	\$0	\$0	Resolved
200	AV2016015 FAA Reforms Have Not Achieved Expected Cost, Efficiency, and Modernization Outcomes	1/15/2016	When reporting on major acquisitions, identify the current estimated costs for each acquisition system, including all segments. Separately identify cumulative amounts for acquisition costs, technical refresh, and other enhancements in order to identify the total baselined/rebaselined costs for each system and account for the way funds are being used when reporting to managers, Congress, and other stakeholders.	FAA	\$0	\$0	Resolved

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201	AV2016015 FAA Reforms Have Not Achieved Expected Cost, Efficiency, and Modernization Outcomes	1/15/2016	Review and identify Federal and industry best practices and guidance from OMB and the Federal CIO that may be incorporated into AMS for acquiring major capital investments and IT systems, including the use of successive contracts that are separately priced and the use of modular concepts when planning and purchasing IT, and determine which are appropriate for incorporation into AMS.	FAA	\$0	\$0	Resolved
202	FI2016016 FAA Lacks Effective Internal Controls for Oversight of Accountable Personal Property	1/20/2016	Establish a control that ensures that all IT assets acquired using the SAVES contract are recorded in FAA's property management system within 30 days.	FAA	\$0	\$0	Resolved
203	FI2016016 FAA Lacks Effective Internal Controls for Oversight of Accountable Personal Property	1/20/2016	Implement an automatic alert function to officially notify and remind property custodians when a required triennial inventory is coming due.	FAA	\$0	\$0	Resolved
204	FI2016016 FAA Lacks Effective Internal Controls for Oversight of Accountable Personal Property	1/20/2016	Develop agency-wide procedures for the timely update of records for IT equipment exchanged via the ITAMS program.	FAA	\$0	\$0	Resolved
205	FI2016016 FAA Lacks Effective Internal Controls for Oversight of Accountable Personal Property	1/20/2016	Develop and implement a measurable approach that holds custodians accountable for the completeness and accuracy of property records within their cost centers.	FAA	\$0	\$0	Resolved
206	FI2016016 FAA Lacks Effective Internal Controls for Oversight of Accountable Personal Property	1/20/2016	Evaluate opportunities to expand the use of EAV in property management, including an automated solution that enables information from EAV to automatically update property records.	FAA	\$0	\$0	Resolved
207	FI2016016 FAA Lacks Effective Internal Controls for Oversight of Accountable Personal Property	1/20/2016	Develop and implement a plan to conduct and certify inventory counts for all cost centers with non-capitalized accountable property that are identified in FAA's property management system and resolve discrepancies in accordance with FAA policy.	FAA	\$0	\$0	Resolved
208	FI2016016 FAA Lacks Effective Internal Controls for Oversight of Accountable Personal Property	1/20/2016	Develop a timeline for completion and continue performing a comprehensive review of all FAA cost centers with accountable property in FAA's property management system to identify old or inactive cost centers, transfer affected property in accordance with FAA policy, and block custodians and delegates from adding new property to these cost centers.	FAA	\$0	\$0	Resolved
209	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA management revise policies and procedures to ensure proper segregation of duties over the processing of manual JVs at FAA HQ.	FAA	\$0	\$0	Resolved
210	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA management apply system patches for weaknesses identified in monthly vulnerability scans to strengthen patch management controls in the system environment.	FAA	\$0	\$0	Resolved

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211	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA strengthen password complexity configurations for both systems, in accordance with the DOT Cyber Security Compendium; or,	FAA	\$0	\$0	Resolved
212	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA obtain a waiver from the DOT Chief Information Officer to relieve FAA of the implementation requirements within the DOT Cyber Security Compendium.	FAA	\$0	\$0	Resolved
213	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA strengthen policies and procedures over the ER liability to include requirement to revalidate all key data inputs and assumptions on an annual basis.	FAA	\$0	\$0	Resolved
214	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA strengthen policies and procedures over the ER liability to include requirement to document the key assumptions applied in the calculation of the liability.	FAA	\$0	\$0	Resolved
215	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA strengthen policies and procedures over the estimation of the EC&D liability to include requirements to revalidate all key data inputs and assumptions on an annual basis.	FAA	\$0	\$0	Resolved
216	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA strengthen policies and procedures over the estimation of the EC&D liability to include requirements to document the key assumptions applied in the calculation of the liability.	FAA	\$0	\$0	Resolved
217	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA strengthen policies and procedures over the estimation of the EC&D liability to include requirements to review the reasonableness of the formulas and calculations in the estimate.	FAA	\$0	\$0	Resolved
218	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA management develop and implement policies and procedures, including increasing the level of precision of the quarterly review of user access, to remove application access for separated employees and contractors immediately upon termination or when determined that a user's access is no longer required.	FAA	\$0	\$0	Resolved
219	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA management emphasize the timely de-obligation of inactive UCOs identified during management's monitoring and review process.	FAA	\$0	\$0	Resolved
220	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA finalize the policies and procedures that specify the number of days within which property identified for disposal should be retired and recorded in the fixed asset sub-ledger.	FAA	\$0	\$0	Resolved
221	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA provide training to the various regions and property owners on the new policies and procedures noted in recommendation.	FAA	\$0	\$0	Resolved

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222	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA continue to perform procedures to assess the amount of assets identified for retirement, by the various regions and property owners, which have not yet been recorded in the general ledger as of September 30th and record an accrual, as needed.	FAA	\$0	\$0	Resolved
223	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA develop and implement procedures requiring periodic independent reviews of audit logs. The procedures should require reviews to be documented, include the items being reviewed, and the frequency within which the reviews should occur.	FAA	\$0	\$0	Resolved
224	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA management develop and implement procedures requiring periodic reviews of audit logs for all platforms, including the database. The procedures should include the items being reviewed and the frequency within which the reviews should occur. Lastly, the System Security Plan (SSP) should be updated to reflect the new implementation.	FAA	\$0	\$0	Resolved
225	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA management completes the implementation of procedures for granting physical access to the data center.	FAA	\$0	\$0	Resolved
226	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA management completes the implementation of procedures for retaining authorizing documents and maintaining user listings of individuals that are granted access.	FAA	\$0	\$0	Resolved
227	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA management completes the implementation of procedures for performing periodic reviews of access rights for existing data center users.	FAA	\$0	\$0	Resolved
228	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA management complete the relocation of the system, as soon as possible, to a secure data center with strong physical access controls.	FAA	\$0	\$0	Resolved
229	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA update the SSP and relevant policies and procedures to ensure segregation of duties is maintained throughout the change management process. If restricting developers' access to production libraries and datasets is not technically feasible or not operationally practical, FAA should identify a compensating control, such as independently conducting and documenting a periodic review of audit logs to identify inappropriate and unauthorized changes implemented outside of the formal change management process.	FAA	\$0	\$0	Resolved
230	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Conduct annual functional contingency plan testing for FAA systems, including (1) Enhanced Flight Standards Automation System and (2) Web-based Operations Safety System.	FAA	\$0	\$0	Resolved

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231	SA2016026 City of Borough of Juneau, Juneau, AK	3/8/2016	We recommend FAA ensure the City complies with the Reporting Requirements.	FAA	\$0	\$0	Unresolved
232	SA2016033 City of Kansas City, Kansas City, KS	3/8/2016	We recommend FAA ensure the City complies with the Reporting Requirements.	FAA	\$0	\$0	Unresolved
233	SA2016036 Federated States of Micronesia National Government, Palikir, Micronesia	3/11/2016	We recommend FAA ensure the Micronesia National Government complies with the Allowable Costs/Cost Principles Requirements.	FAA	\$0	\$0	Unresolved
234	SA2016036 Federated States of Micronesia National Government, Palikir, Micronesia	3/11/2016	We recommend FAA ensure the Micronesia National Government complies with the Reporting Requirements.	FAA	\$0	\$0	Unresolved
235	SA2016036 Federated States of Micronesia National Government, Palikir, Micronesia	3/11/2016	We recommend FAA ensure the Micronesia National Government complies with the Equipment and Real Property Management Requirements.	FAA	\$0	\$0	Unresolved
236	SA2016036 Federated States of Micronesia National Government, Palikir, Micronesia	3/11/2016	We recommend FAA recover \$49,760 from the Micronesia National Government, if applicable.	FAA	\$0	\$49,760	Unresolved
237	SA2016038 City of Kansas City, Kansas City, MO	3/11/2016	We recommend FAA ensure the City complies with the Reporting Requirements.	FAA	\$0	\$0	Unresolved
238	MH2009013 National Bridge Inspection Program: Assessment of FHWA's Implementation of Data-Driven, Risk-Based Oversight	1/12/2009	Increase FHWA's use of element-level data by incorporating AASHTO's updated standards into the NBIS through the rulemaking process.	FHWA	\$0	\$0	Resolved
239	MH2009013 National Bridge Inspection Program: Assessment of FHWA's Implementation of Data-Driven, Risk-Based Oversight	1/12/2009	Increase FHWA's use of element-level data by developing and implementing a plan to collect element-level data after AASHTO's updated standards have been incorporated into the NBIS.	FHWA	\$0	\$0	Resolved
240	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	By implementing the recommendations in this report, FHWA could put approximately \$30.2 million in future Federal-aid funds to better use.	FHWA	\$30,200,000	\$0	Resolved
241	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Establish a process for monitoring and ensuring that state DOTs implement Section 307.	FHWA	\$0	\$0	Resolved
242	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Recover the \$2.8 million in unallowable executive compensation and \$1.6 million in other unallowable indirect charges.	FHWA	\$0	\$4,400,000	Resolved
243	MH2010039 Assessment of FHWA Oversight of the Highway Bridge Program and the National Bridge Inspection Program	1/14/2010	Collect and analyze HBP expenditure data on a regular basis to identify activities undertaken by states such as bridge replacement and rehabilitation to improve the condition of the Nation's deficient bridges.	FHWA	\$0	\$0	Resolved
244	MH2010039 Assessment of FHWA Oversight of the Highway Bridge Program and the National Bridge Inspection Program	1/14/2010	Report regularly to internal and external stakeholders on the effectiveness of states' efforts to improve the condition of the Nation's deficient bridges based on the analysis of HBP expenditure data and an evaluation of progress made in achieving performance targets.	FHWA	\$0	\$0	Resolved

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245	SA2011154 Government of Guam	8/18/2011	We recommend that FHWA ensure the Government of Guam complies with Equipment and Real Property Management requirements, and conduct a physical inventory of all equipment.	FHWA	\$0	\$0	Resolved
246	ZA2012084 Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Mandate the confidentiality of potential and actual bidders' names and engineer's estimates, as currently recommended in FHWA's competitive bidding and contract award guidance.	FHWA	\$0	\$0	Resolved
247	ZA2012084 Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Implement policies and procedures for ensuring that each State DOT establishes and uses a written, FHWA-approved plan for evaluating competition. These plans should address: assessing bidder interest levels, evaluating and documenting decisions on bids that vary significantly from the engineer's estimate, conducting and documenting bid analysis, identifying and mitigating perceived barriers to increasing competition, and adequately documenting final award decisions.	FHWA	\$0	\$0	Resolved
248	ZA2012084 Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Develop and implement effective performance measures and metrics to assess and trend State DOT contract award practices, document concerns, and share best practices with other State DOTs.	FHWA	\$0	\$0	Resolved
249	ZA2012084 Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Establish standard FHWA Division Office requirements for performing and documenting oversight of State contracting activity, including stewardship agreement requirements for (a) FHWA approval of procurement policies and procedures and (b) FHWA verification that State DOTs have determined a potential winning bidder's status on the Excluded Parties Listing System list prior to contract award.	FHWA	\$0	\$0	Resolved
250	SA2012163 Mescalero Apache Tribe, New Mexico	7/30/2012	We recommend FHWA ensure that the Tribe complies with Allowable Costs/Cost Principles requirements.	FHWA	\$0	\$0	Resolved
251	SA2012163 Mescalero Apache Tribe, New Mexico	7/30/2012	We recommend FHWA ensure the Tribe complies with Reporting requirements.	FHWA	\$0	\$0	Resolved
252	SA2012164 St. Croix Chippewa Indians of Wisconsin	7/30/2012	We recommend FHWA ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	FHWA	\$0	\$0	Resolved
253	SA2012183 Confederated Tribes of the Urban Springs Reservation of Oregon	9/17/2012	We recommend FHWA ensure the Tribes comply with Federal Financial Reporting requirements.	FHWA	\$0	\$0	Resolved
254	MH2013001 Improvements to Stewardship and Oversight Agreements Are Needed To Enhance Federal-aid Highway Program Management	10/1/2012	Enforce the requirement for Directors of Field Services to sign Agreements, as specified in FHWA's Delegation and Organization Manual, or change the Delegation and Organization Manual to allow Division Administrators to sign the Agreements and require Directors of Field Services to formally document elsewhere that they reviewed and approved the Agreements.	FHWA	\$0	\$0	Resolved
255	SA2013022 Pueblo of Zia, New Mexico	11/19/2012	We recommend FHWA ensure the Pueblo of Zia complies with ARRA Reporting requirements.	FHWA	\$0	\$0	Resolved

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256	SA2013041 Government of the United States Virgin Islands	2/12/2013	We recommend that FHWA ensure the Government of the U.S. Virgin Islands complies with Cash Management requirements.	FHWA	\$0	\$0	Resolved
257	SA2013105 Pueblo of Pojoaque, New Mexico	7/12/2013	We recommend FHWA recover \$233,610 from the Pueblo, if applicable.	FHWA	\$0	\$233,610	Resolved
258	SA2013111 Cheyenne River Sioux Tribe, South Dakota	7/12/2013	We recommend FHWA ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	FHWA	\$0	\$0	Resolved
259	SA2013111 Cheyenne River Sioux Tribe, South Dakota	7/12/2013	We recommend FHWA recover \$199,333 from the Tribe, if applicable.	FHWA	\$0	\$199,333	Resolved
260	SA2013127 Government of Guam	9/13/2013	We recommend FHWA ensure the Government of Guam complies with Equipment and Real Property Management requirements.	FHWA	\$0	\$0	Resolved
261	MH2014003 Opportunities Exist to Strengthen FHWA's Coordination, Guidance, and Oversight of the Tribal Transportation Program	10/30/2013	Coordinate with BIA to update the Memorandum of Agreement and Stewardship Plan to reflect FLH's role to directly assist tribes, and define coordination between FLH and BIA regional offices.	FHWA	\$0	\$0	Resolved
262	MH2014003 Opportunities Exist to Strengthen FHWA's Coordination, Guidance, and Oversight of the Tribal Transportation Program	10/30/2013	Coordinate with BIA to revise the TTP regulation to reflect FLH's role to directly assist tribes and clarify the requirements for allowable uses of funds.	FHWA	\$0	\$0	Resolved
263	MH2014003 Opportunities Exist to Strengthen FHWA's Coordination, Guidance, and Oversight of the Tribal Transportation Program	10/30/2013	Revise Tribal Transportation Improvement Program guidance to ensure consistent definitions of key terminology, particularly financial constraint, and require tribes to provide more detailed information on project scope and funding sources.	FHWA	\$0	\$0	Resolved
264	SA2014045 Spirit Lake Tribe, North Dakota	5/21/2014	Recover \$17,190 from the Tribe, if applicable.	FHWA	\$0	\$17,190	Resolved
265	MH2014058 FHWA's Workforce Planning Processes Generally Align With Best Practices, But Some Components Are Inconsistently Implemented or Lack MAP-21 Consideration	6/19/2014	Conduct workforce plans for individual FHWA offices, including each Division Office, based on its guidance.	FHWA	\$0	\$0	Resolved
266	SA2014081 Government of the United States Virgin Islands	8/1/2014	Ensure the Government of the U.S. Virgin Islands complies with Cash Management Requirements.	FHWA	\$0	\$0	Resolved
267	SA2014082 State of Florida	8/1/2014	Ensure the State complies with the Activities Allowed or Unallowed and Allowable Cost/Cost Principles Requirements.	FHWA	\$0	\$0	Resolved
268	SA2014084 State of Georgia	8/1/2014	Ensure the State complies with Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	Resolved
269	SA2014111 Government of Guam	9/12/2014	We recommend FHWA ensure the Government of Guam complies with Equipment and Real Property Management Requirements.	FHWA	\$0	\$0	Resolved
270	SA2014123 United States Virgin Island	9/17/2014	We recommend FHWA ensure the USVI complies with Cash Management Requirements.	FHWA	\$0	\$0	Resolved
271	ST2015018 FHWA Met Basic Requirements but Can Strengthen Guidance and Controls for Financial and Project Management Plans	1/27/2015	Develop and implement controls to ensure that FHWA reviews and accepts the initial financial plan before authorizing Federal funds for major project construction.	FHWA	\$0	\$0	Resolved

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272	ST2015018 FHWA Met Basic Requirements but Can Strengthen Guidance and Controls for Financial and Project Management Plans	1/27/2015	Develop and implement controls to ensure that all Division Offices follow FHWA's financial plan and project management plan guidance when overseeing major projects. Specifically, these controls should ensure that: a) cost estimate reviews assess all major project cost elements, and these cost elements are documented in detail; b) any changes to major project costs between the cost estimate review workshop and the approval of the initial financial plan are documented; c) States submit integrated project schedules that clearly identify the project's critical path, and FHWA uses them to monitor project progress; and d) annual financial plan updates provide updated information on project risks and mitigation strategies.	FHWA	\$0	\$0	Resolved
273	ST2015018 FHWA Met Basic Requirements but Can Strengthen Guidance and Controls for Financial and Project Management Plans	1/27/2015	Develop and implement controls to ensure that FHWA Division Offices verify that there is reasonable assurance of sufficient toll-based financing, if applicable, before accepting a project's initial financial plan.	FHWA	\$0	\$0	Resolved
274	ST2015018 FHWA Met Basic Requirements but Can Strengthen Guidance and Controls for Financial and Project Management Plans	1/27/2015	Clarify financial plan guidance by: a) defining when States are required to develop baseline project cost estimates and baseline project schedules, as well as specify the level of detail required for these baselines; and b) defining when guidance requirements apply to specific project delivery methods or projects involving alternative financing mechanisms, such as TIFIA loans.	FHWA	\$0	\$0	Resolved
275	ST2015018 FHWA Met Basic Requirements but Can Strengthen Guidance and Controls for Financial and Project Management Plans	1/27/2015	Strengthen project management plan guidance by: a) defining what constitutes a significant change that would trigger a project management plan update, including examples; and b) requiring periodic, documented assessments of States' implementation of their project management plans to ensure that States fulfill commitments detailed in their plans.	FHWA	\$0	\$0	Resolved
276	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Revise the quality assurance review process to fully communicate the results of the annual reviews to appropriate Division Offices and track the actions taken to address its recommendations.	FHWA	\$0	\$0	Resolved
277	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Revise Bridge Program Manual guidance to specify how Division Offices should combine and report results when separate assessments of the National Bridge Inspection Standards oversight metrics are performed.	FHWA	\$0	\$0	Resolved

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278	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Establish a process for Division Offices to promptly inform the FHWA Headquarters Office of Bridges and Structures when additional resources are needed to complete a review of the State's bridge inspection program and for the Office of Bridges and Structures to coordinate the necessary support.	FHWA	\$0	\$0	Resolved
279	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Develop and implement a comprehensive risk management process for NBIPOT to identify, report, and track mitigation actions for high-priority risks to bridge safety at the national level. The process should incorporate best practices consistent with FHWA's risk management framework.	FHWA	\$0	\$0	Resolved
280	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Establish a consolidated source of guidance on documenting the National Bridge Inspection Standards oversight reviews in the Assessment Reporting Tool that allows Division Offices to easily identify or locate relevant information.	FHWA	\$0	\$0	Resolved
281	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Develop and implement a mechanism to track States' backlogs of project closeouts for both ARRA and non-ARRA Federal-aid projects.	FHWA	\$0	\$0	Resolved
282	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Develop and implement a national strategy to work with the States to reduce annual backlogs of project closeouts.	FHWA	\$0	\$0	Resolved
283	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Address all project close-out recommendations made in the 2013 and 2014 PMIT reviews.	FHWA	\$0	\$0	Resolved
284	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Monitor project close-out timeliness by developing and implementing national close-out timeframes and performance measures.	FHWA	\$0	\$0	Resolved
285	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	After implementation of national close-out timeframes and performance measures, review each Division Office's Standard Operating Procedures to assess consistency with FHWA's national policy.	FHWA	\$0	\$0	Resolved
286	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Develop and implement a standard definition for the project completion date field in FMIS and require States to manually enter the project completion date into FMIS.	FHWA	\$0	\$0	Resolved
287	SA2015048 State of Arizona, Phoenix, Arizona	6/17/2015	We recommend FHWA ensure the State complies with the Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	Resolved
288	SA2015053 State of Alaska, Juneau, Alaska	6/17/2015	We recommend FHWA ensure the State complies with the Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	Resolved

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289	SA2015055 State of Texas, Comptroller of Public Accounts, Austin, Texas	6/17/2015	We recommend FHWA ensure the State complies with the Davis-Bacon Act Requirements.	FHWA	\$0	\$0	Resolved
290	SA2015055 State of Texas, Comptroller of Public Accounts, Austin, Texas	6/17/2015	We recommend FHWA ensure the State complies with the Sub recipient Monitoring and Special Tests Provisions Requirements.	FHWA	\$0	\$0	Resolved
291	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FHWA ensure the State complies with the Procurement and Suspension and Debarment Requirements.	FHWA	\$0	\$0	Resolved
292	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
293	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FHWA recover \$431,821 from the State, if applicable.	FHWA	\$0	\$431,821	Resolved
294	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FHWA recover \$8,399 from the State, if applicable.	FHWA	\$0	\$8,399	Resolved
295	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FHWA recover \$3,626,721 from the State, if applicable.	FHWA	\$0	\$3,626,721	Resolved
296	ST2015083 FHWA's FIRE Program is Addressing State Vulnerabilities But Opportunities Exist to Make Improvements	9/1/2015	Develop and implement a mechanism to oversee Division Administrators' decision making process to validate that all material weaknesses have been reported and that materiality has been appropriately assessed.	FHWA	\$0	\$0	Resolved
297	ST2015083 FHWA's FIRE Program is Addressing State Vulnerabilities But Opportunities Exist to Make Improvements	9/1/2015	Require Division Offices to keep complete records for key training related to the FIRE Program and track this information in a centralized system.	FHWA	\$0	\$0	Resolved
298	ST2015083 FHWA's FIRE Program is Addressing State Vulnerabilities But Opportunities Exist to Make Improvements	9/1/2015	Require Division Offices to clearly document how the financial management reviews responded to the risk assessments or other internal control weaknesses.	FHWA	\$0	\$0	Resolved
299	ST2015083 FHWA's FIRE Program is Addressing State Vulnerabilities But Opportunities Exist to Make Improvements	9/1/2015	Require Division Offices to transfer open, pre-existing FMR recommendations and corrective action plans to INPUT.	FHWA	\$0	\$0	Resolved
300	SA2015088 State of Georgia, Atlanta, Georgia	9/14/2015	We recommend FHWA ensure the State complies with the Davis-Bacon Act Requirements.	FHWA	\$0	\$0	Resolved
301	SA2015088 State of Georgia, Atlanta, Georgia	9/14/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	Resolved
302	SA2015093 State of North Dakota, Bismarck, North Dakota	9/14/2015	We recommend FHWA ensure the State complies with the Matching, Level of Effort, Earmarking Requirements.	FHWA	\$0	\$0	Resolved
303	SA2015093 State of North Dakota, Bismarck, North Dakota	9/14/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
304	SA2015095 State of Florida, Tallahassee, Florida	9/15/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
305	SA2015095 State of Florida, Tallahassee, Florida	9/15/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	Resolved
306	SA2015098 Government of the District of Columbia, Washington, DC	9/15/2015	We recommend FHWA ensure the Government complies with the Procurement and Suspension and Debarment Requirements.	FHWA	\$0	\$0	Resolved

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307	SA2015102 State of Colorado, Denver, Colorado	9/21/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	Resolved
308	SA2015103 State of Wisconsin, Madison, Wisconsin	9/21/2015	We recommend FHWA ensure the State complies with the Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	Resolved
309	SA2015103 State of Wisconsin, Madison, Wisconsin	9/21/2015	We recommend FHWA determine how much of the \$124,300 of Questioned Cost reported is related to Excess Balances and Lapses from Internal Service Funds Accounts, and Individually Billable Cost Pools and recover from the State, if applicable.	FHWA	\$0	\$1	Resolved
310	SA2015104 State of Illinois, Springfield, Illinois	9/21/2015	We recommend FHWA ensure the State complies with the Activities Allowed or Unallowed Requirements.	FHWA	\$0	\$0	Resolved
311	SA2015107 State of Rhode Island and Providence Plantations, Providence, Rhode Island	9/21/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
312	SA2015109 State of Michigan, Lansing, Michigan	9/22/2015	We recommend FHWA ensure the State complies with the Activities Allowed or Unallowable and Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	Resolved
313	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	KPMG recommended that FHWA establish procedures and controls over the accrual period revalidation process, including policies to regularly revalidate the accrual periods.	FHWA	\$0	\$0	Resolved
314	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	KPMG recommended that FHWA develop survey questions that more closely align with the relevant data necessary to determine the accrual periods for the four expenditure categories.	FHWA	\$0	\$0	Resolved
315	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	KPMG recommended that FHWA document the methodology of how the survey responses are used to determine the accrual period. When a deviation from the standard methodology is necessary; document the reasoning and maintain evidence to support the deviation.	FHWA	\$0	\$0	Resolved
316	QC2016022 Quality Control Review of Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommend that FHWA continue to emphasize the timely de-obligation of all stale obligations identified through the revised Supplemental Internal Procedures for the Review, Validation, and Testing of Inactive Obligations.	FHWA	\$108,687,594	\$0	Resolved

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317	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Update the contingency plans for the two FHWA systems: (1) Fiscal Management Information System and (2) Rapid Approval and State Payment System (RASPS) by: a. Developing a Business Impact Analysis for their two selected systems. b. Identifying allowable system unavailability timelines such as Maximum Tolerable Downtime (MTD) and Recovery Time Objective (RTO) for their system contingency plans. c. Reevaluating both systems' alternate backup data storage sites so they are geographically dispersed from the primary system operational site as required by DOT policy. d. Implementing a process for ensuring the encryption of backup data prior to transferring the data offsite.	FHWA	\$0	\$0	Resolved
318	SA2016027 Regional Transportation District, Denver, CO	3/8/2016	We recommend FHWA ensure the District complies with the Period of Availability Requirements.	FHWA	\$0	\$0	Unresolved
319	SA2016027 Regional Transportation District, Denver, CO	3/8/2016	We recommend FHWA ensure the District complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Unresolved
320	SA2016027 Regional Transportation District, Denver, CO	3/8/2016	We recommend FHWA recover \$162,010 from the District, if applicable.	FHWA	\$0	\$162,010	Unresolved
321	SA2016027 Regional Transportation District, Denver, CO	3/8/2016	We recommend FHWA recover \$93,184 from the District, if applicable.	FHWA	\$0	\$93,184	Unresolved
322	SA2016037 Government of Guam, Hagatna, Guam	3/11/2016	We recommend FHWA ensure the Government of Guam complies with the Equipment and Real Property Management Requirements.	FHWA	\$0	\$0	Resolved
323	SA2016039 Crow Tribe of Indians, Crow Agency, MT	3/11/2016	We recommend FHWA ensure the Tribe complies with the Cash Management Requirements.	FHWA	\$0	\$0	Resolved
324	SA2016039 Crow Tribe of Indians, Crow Agency, MT	3/11/2016	We recommend FHWA recover \$2,773,489 from the Tribe, if applicable.	FHWA	\$0	\$2,773,489	Resolved
325	SA2016047 Klawock Cooperative Association, Klawock, AK	3/16/2016	We recommend FHWA ensure the Association complies with the Activities Allowed or Unallowed and Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	Resolved
326	SA2016047 Klawock Cooperative Association, Klawock, AK	3/16/2016	We recommend FHWA ensure the Association complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	Resolved
327	SA2016047 Klawock Cooperative Association, Klawock, AK	3/16/2016	We recommend FHWA recover \$10,719 from the Association, if applicable.	FHWA	\$0	\$10,719	Resolved
328	SA2016047 Klawock Cooperative Association, Klawock, AK	3/16/2016	We recommend FHWA recover \$78,502 from the Association, if applicable.	FHWA	\$0	\$78,502	Resolved
329	SA2016049 Jicarilla Apache Nation Governmental Services Department, Dulce, NM	3/16/2016	We recommend FHWA ensure the Jicarilla Apache Nation complies with the Equipment and Real Property Management Requirements.	FHWA	\$0	\$0	Resolved
330	SA2016050 State of New York, Albany, NY	3/16/2016	We recommend the FHWA ensure the State of New York complies with the Reporting Requirements.	FHWA	\$0	\$0	Unresolved

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331	SA2016051 Joint Programs of the Shoshone and Arapaho Tribes of the Wind River Reservation, Fort Washakie, WY	3/16/2016	We recommend FHWA ensure the Shoshone and Arapaho Tribes comply with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
332	SA2016053 Nanwalek IRA Council, Nanwalek, AK	3/16/2016	We recommend FHWA ensure the Council complies with the Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	Resolved
333	SA2016053 Nanwalek IRA Council, Nanwalek, AK	3/16/2016	We recommend FHWA recover \$255,941 from the Council, if applicable.	FHWA	\$0	\$255,941	Resolved
334	SA2016054 State of Hawaii, Department of Transportation, Highways Division, Honolulu, HI	3/16/2016	We recommend FHWA ensure the State complies with the Davis-Bacon Act Requirements.	FHWA	\$0	\$0	Unresolved
335	MH2012087 Timely and Targeted FMCSA Action is Needed to Fully Address National Transportation Safety Recommendations for Improving Passenger Carrier Oversight	4/17/2012	Work with the National Highway Traffic Safety Administration and U.S. Customs and Border Protection to develop and implement a risk-based solution, in compliance with the National Traffic and Motor Vehicle Safety Act of 1966, to target enforcement against U.S.-domiciled passenger carriers whose vehicles do not meet Federal Motor Vehicle Safety Standards.	FMCSA	\$0	\$0	Resolved
336	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Conduct annual functional contingency plan testing for the FMCSA Enforcement Management Information System.	FMCSA	\$0	\$0	Resolved
337	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Develop, document, and implement user and system-level data backup processes for the FMCSA Enforcement Management Information System.	FMCSA	\$0	\$0	Resolved
338	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Specify alternate telecommunications services including necessary agreements for the FMCSA Enforcement Management Information System contingency plan.	FMCSA	\$0	\$0	Resolved
339	CR2012072 FRA Has Made Progress in Implementing PRIIA Responsibilities But Challenges for Long-Term HSIPR Remain	3/6/2012	Complete the National Rail Plan and include in it measurable performance goals and clear stakeholder roles.	FRA	\$0	\$0	Resolved
340	CR2012072 FRA Has Made Progress in Implementing PRIIA Responsibilities But Challenges for Long-Term HSIPR Remain	3/6/2012	Publish final rules for PRIIA grant programs that include clear, detailed directions for prospective applicants.	FRA	\$0	\$0	Resolved
341	CR2014010 National Environmental Policy Act: FRA Coordinates as Required, But Opportunities Exist to Modernize Procedures and Improve Project Delivery	12/5/2013	Update NEPA implementing procedures to reflect applicable environmental law and requirements and CEQ guidance, including the development of processes and timelines for updating categorical exclusions according to CEQ recommendations.	FRA	\$0	\$0	Resolved
342	FI2014033 Inadequate Planning, Limited Revenue, and Rising Costs Undermine Efforts to Sustain Washington, DC's Union Station	4/1/2014	We also recommend that the Federal Railroad Administrator, as the authority having jurisdiction, direct USRC to perform a full structural analysis on the building's structural components.	FRA	\$0	\$0	Resolved
343	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that DOT complete the investigation into potential additional Anti-Deficiency Act violations at the FRA.	FRA	\$0	\$0	Resolved

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344	ST2015038 FRA Improved Its Guidance on High Speed Rail Grant Agreements, but Policies and Procedures for Amending and Monitoring Grants Remain Incomplete	4/1/2015	Document Agency policy and procedures for prevention of Antideficiency Act violations in HSIPR grant amendments.	FRA	\$0	\$0	Resolved
345	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	KPMG recommended that DOT complete the investigation into potential additional Anti-Deficiency Act violations at the FRA.	FRA	\$0	\$0	Resolved
346	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	KPMG recommended that DOT implement appropriate policies and procedures to prevent future violations.	FRA	\$0	\$0	Resolved
347	QC2016022 Quality Control Review of Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommend that FRA revise its grant accrual retrospective review procedures to ensure that the retrospective review is performed at the appropriate level of precision to prevent and/or detect a material misstatement and that all significant variances are researched and documented in order to assess the reasonableness of the grant accrual methodology.	FRA	\$0	\$0	Resolved
348	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Conduct annual functional contingency plan testing for the FRA Railroad Safety Information System.	FRA	\$0	\$0	Resolved
349	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Develop, document, and implement user and system-level data backup processes for the FRA Railroad Safety Information System.	FRA	\$0	\$0	Resolved
350	SA2016028 North Coast Railroad Authority, Ukiah, CA	3/8/2016	We recommend FRA ensure the Authority complies with the Reporting Requirements.	FRA	\$0	\$0	Unresolved
351	SA2016028 North Coast Railroad Authority, Ukiah, CA	3/8/2016	We recommend FRA ensure that Authority complies with the fixed charge coverage ratio Agreement with FRA.	FRA	\$0	\$0	Unresolved
352	SA2016031 National Railroad Passenger Corporation and Subsidiaries Amtrak, Washington, DC	3/8/2016	We recommend FRA ensure that Amtrak complies with the Equipment and Real Property Requirements.	FRA	\$0	\$0	Unresolved
353	SA2016031 National Railroad Passenger Corporation and Subsidiaries Amtrak, Washington, DC	3/8/2016	We recommend FRA ensure that Amtrak complies with Special Tests and Provisions Requirements.	FRA	\$0	\$0	Unresolved
354	QC2007057 Washington Metropolitan Area Transit Authority	7/18/2007	We recommend that FTA ensure the Authority update and modify the security controls at the bus divisions to prevent or detect unauthorized entry.	FTA	\$0	\$0	Resolved
355	SA2011069 Washington Metropolitan Area Transit Authority	3/23/2011	We recommend FTA ensure the Authority implement security controls and devices to ensure that equipment is properly safeguarded.	FTA	\$0	\$0	Resolved
356	SA2011124 State of Tennessee	6/13/2011	We recommend FTA recover \$23,511 from the State.	FTA	\$0	\$23,511	Resolved
357	SA2011124 State of Tennessee	6/13/2011	We recommend that FTA determine the allowability of the reimbursement requests and recover \$79,021 from the State, if applicable.	FTA	\$0	\$79,021	Resolved
358	SA2012103 State of Tennessee	5/2/2012	We recommend FTA recover \$17,867 from the State.	FTA	\$0	\$17,867	Resolved

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359	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Federal Transit Administrator develop policies and procedures, including oversight mechanisms, to verify that regions do not close findings before they receive documentation showing that a finding has been resolved fully.	FTA	\$0	\$0	Resolved
360	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Federal Transit Administrator revise and finalize policies and procedures for using remedies and sanctions, including application of a risk-base approach for their use.	FTA	\$0	\$0	Resolved
361	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Federal Transit Administrator require FTA Headquarter staff to track and oversee each region's use of remedies and sanctions.	FTA	\$0	\$0	Resolved
362	ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	Ensure that MWAA implements a process to maintain sufficient required accounting documents, including: a. A checklist for required supporting documentation - such as checks, payrolls, invoices, contracts, and other documents related to the project - for use prior to submitting claims; b. Procedures to store documents in a manner that will be readily accessible; and c. A process to maintain an accurate list of federally funded contracts and to ensure these contracts include FTA requirements.	FTA	\$0	\$0	Resolved
363	ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	Recover payments from MWAA for unsupported and unallowable costs identified in this report and in FTA's Financial Management Oversight reviews.	FTA	\$0	\$36,119,000	Resolved
364	SA2014023 Puerto Rico Highways and Transportation Authority	1/23/2014	Ensure the Authority prepares its SEFA in a timely manner.	FTA	\$0	\$0	Resolved
365	SA2014023 Puerto Rico Highways and Transportation Authority	1/23/2014	Ensure the Authority submits its DCF and its Single Audit report in a timely manner.	FTA	\$0	\$0	Resolved
366	FI2014034 ARRA Lessons Learned: FTA Needs to Improve Its Grant Oversight to Prevent Improper Payments	4/2/2014	Implement preventive measures to guard against improper payments, such as periodically requesting payment documentation (i.e. force account plans and current contracts), prior to reimbursing grantees for expenditures.	FTA	\$0	\$0	Resolved
367	SA2014095 State of Tennessee	9/8/2014	Ensure the State complies with Allowable Costs/Cost Principles Requirements and recover \$46,167 from the State, if applicable.	FTA	\$0	\$46,167	Resolved
368	MH2014117 FTA's Oversight of the National Transit Database	9/16/2014	Revise triennial review procedures to include an assessment of transit agencies' supporting documentation and controls for NTD data used in the Urbanized Area Formula Program.	FTA	\$0	\$0	Resolved
369	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of FTA develop procedures and controls to address the provisioning of access and system audit log review control deficiencies identified in the FTA financial IT systems.	FTA	\$0	\$0	Resolved

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No.	Report Number, Title	Report Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Recommendation State
370	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of FTA monitor progress to ensure that procedures and controls are appropriately designed, implemented, and maintained.	FTA	\$0	\$0	Resolved
371	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that DOT improve its general information technology controls at FTA, as noted above, to ensure that DOT's financial management systems comply with the requirements of the FFMIA.	FTA	\$0	\$0	Resolved
372	QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommends that FTA revise its grant accrual retrospective review to ensure that the retrospective review is performed with the appropriate level of precision and all data inputs (FFR reporting, UDO balances, grant disbursements) are reasonable and based on relevant and reliable data in order to ensure that all adjustments to the grant accrual or methodology are properly calculated and supported.	FTA	\$0	\$0	Resolved
373	ST2015046 FTA Has Not Full Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts	6/12/2015	Implement enhanced review processes for ERP grant applications and grant award approvals that are aligned with the ERP Toolkit's checklists and require documentation in FTA's grant management system in accordance with Federal internal control standards guidance.	FTA	\$0	\$0	Resolved
374	ST2015046 FTA Has Not Full Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts	6/12/2015	Improve FTA's risk assessment process for future grantee and project risk assessments by: a.) establishing criteria for assigning low, medium, and high risks and b.) requiring documentation that allows others to understand how these criteria inform specific risk assessment ratings and, if applicable, the reason(s) and decision-making for different risk levels assigned to grantee risk assessments and the grantees' project risk assessments.	FTA	\$0	\$0	Resolved
375	ST2015046 FTA Has Not Full Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts	6/12/2015	Formalize FTA's process for coordination with FEMA to avoid duplicative payments in providing emergency and disaster-related assistance.	FTA	\$0	\$0	Resolved
376	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FTA recover \$268,352 (\$258,022 and \$10,330) from the State, if applicable.	FTA	\$0	\$268,352	Resolved
377	SA2015068 State of Nebraska, Lincoln, Nebraska	7/20/2015	We recommend FTA ensure the State complies with the Subrecipient Monitoring Requirements.	FTA	\$0	\$0	Resolved
378	SA2015068 State of Nebraska, Lincoln, Nebraska	7/20/2015	We recommend FTA ensure the State complies with the Earmarking Requirements.	FTA	\$0	\$0	Resolved
379	SA2015068 State of Nebraska, Lincoln, Nebraska	7/20/2015	We recommend FTA recover \$79,629 from the State, if applicable.	FTA	\$0	\$79,629	Resolved
380	SA2015099 Metropolitan Council of the Twin Cities Area, St Paul, Minnesota	9/15/2015	We recommend FTA ensure the Council complies with the Subrecipient Monitoring Requirements.	FTA	\$0	\$0	Resolved

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381	SA2015099 Metropolitan Council of the Twin Cities Area, St Paul, Minnesota	9/15/2015	We recommend FTA ensure the Council complies with the Reporting Requirements.	FTA	\$0	\$0	Resolved
382	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	KPMG recommends that the Chief Information Officers of DOT and FTA develop policies, procedures and controls to address the provisioning of IT access, vulnerability management, system audit log review and change management control deficiencies identified in the FTA financial IT systems.	FTA	\$0	\$0	Resolved
383	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	We recommend that the Chief Information Officers of DOT and FTA monitor progress to ensure that procedures and controls are appropriately designed, implemented, and maintained.	FTA	\$0	\$0	Resolved
384	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	KPMG recommended that DOT improve its general information technology controls at FTA, as noted above, to ensure that DOT's financial management systems comply with the requirements of the FFMIA.	FTA	\$0	\$0	Resolved
385	QC2016022 Quality Control Review of Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommend that FTA revise its grant accrual retrospective review procedures to ensure that the retrospective review is performed at the appropriate level of precision using relevant and reliable data inputs (including FFR reporting, UDO balances, and grant disbursements) and any resulting material adjustments are properly made to the grant accrual methodology.	FTA	\$0	\$0	Resolved
386	QC2016022 Quality Control Review of Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommends that FTA revise its policies and procedures for monitoring obligations in order to more timely identify and de-obligate stale obligations.	FTA	\$0	\$0	Resolved
387	SA2016025 Metropolitan Transportation Commission Oakland, CA	3/8/2016	We recommend FTA ensure the Commission complies with the Reporting Requirements.	FTA	\$0	\$0	Unresolved
388	SA2016029 Lehigh Northampton Transportation Authority, Allentown, PA	3/8/2016	We recommend FTA ensure the Authority complies with the Reporting Requirements.	FTA	\$0	\$0	Unresolved
389	SA2016030 Neponset Valley Transportation Management Association Inc., Woburn, MA	3/8/2016	We recommend FTA ensure the Association complies with the Activities Allowed or Unallowed and Allowable Costs/Cost Principles Requirements.	FTA	\$0	\$0	Unresolved
390	SA2016030 Neponset Valley Transportation Management Association Inc., Woburn, MA	3/8/2016	We recommend FTA recover \$14,003 from the Association, if applicable.	FTA	\$0	\$14,003	Unresolved
391	SA2016032 State of Delaware, Dover, DE	3/8/2016	We recommend FTA ensure the State complies with the Reporting Requirements.	FTA	\$0	\$0	Unresolved
392	SA2016032 State of Delaware, Dover, DE	3/8/2016	We recommend FTA ensure the State complies with the Subrecipient Monitoring Requirements.	FTA	\$0	\$0	Unresolved
393	SA2016032 State of Delaware, Dover, DE	3/8/2016	We recommend FTA recover \$1,422,095 from the State, if applicable.	FTA	\$0	\$1,422,095	Unresolved
394	SA2016034 Cambria County Transit Authority, Johnstown, PA	3/8/2016	We recommend FTA ensure the County complies with the Reporting Requirements.	FTA	\$0	\$0	Unresolved
395	SA2016038 City of Kansas City, Kansas City, MO	3/11/2016	We recommend FTA ensure the City complies with the Activities Allowed or Unallowed Requirements.	FTA	\$0	\$0	Unresolved

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396	SA2016040 Greene County Transit Board, Xenia, OH	3/11/2016	We recommend FTA ensure the County complies with the Allowable Costs/Cost Principles Requirements.	FTA	\$0	\$0	Unresolved
397	SA2016040 Greene County Transit Board, Xenia, OH	3/11/2016	We recommend FTA recover \$19,989 from the County, if applicable.	FTA	\$0	\$19,989	Unresolved
398	SA2016041 Westchester County, White Plains, NY	3/11/2016	We recommend FTA ensure the County complies with the Reporting Requirements.	FTA	\$0	\$0	Unresolved
399	SA2016042 Washington Metropolitan Area Transit Authority, Washington, DC	3/11/2016	We recommend FTA ensure the Authority complies with the Reporting Requirements.	FTA	\$0	\$0	Unresolved
400	SA2016042 Washington Metropolitan Area Transit Authority, Washington, DC	3/11/2016	We recommend FTA ensure the Authority complies with the Activities Allowed or Unallowed and Allowable Costs/Cost Principles Requirements.	FTA	\$0	\$0	Unresolved
401	SA2016042 Washington Metropolitan Area Transit Authority, Washington, DC	3/11/2016	We recommend FTA ensure the Authority complies with the Equipment and Real Property Management Requirements.	FTA	\$0	\$0	Unresolved
402	SA2016042 Washington Metropolitan Area Transit Authority, Washington, DC	3/11/2016	We recommend FTA ensure the Authority complies with the Procurement and Suspension and Debarment Requirements.	FTA	\$0	\$0	Unresolved
403	SA2016042 Washington Metropolitan Area Transit Authority, Washington, DC	3/11/2016	We recommend FTA ensure the Authority complies with the Special Tests and Provisions Requirements.	FTA	\$0	\$0	Unresolved
404	SA2016042 Washington Metropolitan Area Transit Authority, Washington, DC	3/11/2016	We recommend FTA recover \$729,610 (\$661,246 on Finding 017, \$59,391 on Finding 018, and \$8,973 on Finding 019) from the Authority, if applicable.	FTA	\$0	\$729,610	Unresolved
405	SA2016043 Jacksonville Transportation Authority, Jacksonville, FL	3/11/2016	We recommend FTA ensure the Authority complies with the Procurement and Suspension and Debarment Requirements.	FTA	\$0	\$0	Unresolved
406	SA2016043 Jacksonville Transportation Authority, Jacksonville, FL	3/11/2016	We recommend FTA recover \$289,870 from the Authority, if applicable.	FTA	\$0	\$289,870	Unresolved
407	SA2016044 City of Phoenix, Phoenix, AZ	3/11/2016	We recommend FTA ensure the City complies with the Procurement and Suspension and Debarment Requirements.	FTA	\$0	\$0	Unresolved
408	SA2016045 PACE, the Suburban Bus Division of the Regional Transportation Authority, Arlington Heights, IL	3/11/2016	We recommend FTA ensure that PACE complies with the Activities Allowed or Unallowed Requirements.	FTA	\$0	\$0	Unresolved
409	SA2016045 PACE, the Suburban Bus Division of the Regional Transportation Authority, Arlington Heights, IL	3/11/2016	We recommend FTA recover \$222,972 from PACE, if applicable.	FTA	\$0	\$222,972	Unresolved
410	SA2016046 Metropolitan Transportation Authority, New York, NY	3/11/2016	We recommend FTA ensure the Authority complies with the Procurement Requirements.	FTA	\$0	\$0	Unresolved
411	SA2016046 Metropolitan Transportation Authority, New York, NY	3/11/2016	We recommend FTA recover \$2,029,701 from the Authority, if applicable.	FTA	\$0	\$2,029,701	Unresolved
412	SA2016048 City of Port Arthur, TX	3/16/2016	We recommend FTA ensure the City of Port Arthur complies with the Cash Management and Reporting Requirements.	FTA	\$0	\$0	Unresolved
413	SA2016052 Dallas Area Rapid Transit, Dallas, TX	3/16/2016	We recommend FTA ensure that Dallas Area Rapid Transit complies with the Reporting Requirements.	FTA	\$0	\$0	Unresolved

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414	ZA2016057 FTA Did Not Adequately Verify PATH's Compliance With Federal Procurement Requirements for the Salt Mitigation of Tunnels Project	3/28/2016	Require an acceptable Salt Mitigation project management plan be in place before any further funds are drawn down for the project.	FTA	\$0	\$0	Resolved
415	ZA2016057 FTA Did Not Adequately Verify PATH's Compliance With Federal Procurement Requirements for the Salt Mitigation of Tunnels Project	3/28/2016	Enforce FTA's Hurricane Sandy oversight requirement to conduct quarterly Salt Mitigation Project change order reviews that test PATH's compliance with FTA procurement requirements.	FTA	\$0	\$0	Resolved
416	ZA2016057 FTA Did Not Adequately Verify PATH's Compliance With Federal Procurement Requirements for the Salt Mitigation of Tunnels Project	3/28/2016	Require FTA Region 2 to establish a formal process for deciding which PMOC-identified issues warrant follow up, including documenting the justifications for the decisions and any follow-up actions taken.	FTA	\$0	\$0	Resolved
417	CR2013117 MARAD Has Taken Steps To Develop a Port Infrastructure Development Program But Is Challenged in Managing Its Current Port Projects	8/2/2013	Implement procedures to help ensure that MARAD's contract planning efforts comply with Federal acquisition regulations and requirements. These procedures should include establishing acquisition plans and contract administration plans in a timely manner, and maintaining supporting documentation for their rationale; and developing independent Government cost estimates, and validating cost estimates provided by entities other than MARAD.	MARAD	\$0	\$0	Resolved
418	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Create and implement a plan—including tasks, actions, timelines, and responsible personnel—to fully implement comprehensive competency models for mission-critical occupations.	MARAD	\$0	\$0	Resolved
419	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Align Headquarters' and field offices' onboarding policies and procedures to ensure consistent implementation and provision of critical information across the Agency.	MARAD	\$0	\$0	Resolved
420	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update the training policies to reflect the current operating environment and to include a control mechanism to ensure all completed training is tracked in a comprehensive training repository.	MARAD	\$0	\$0	Resolved
421	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Contingent upon HHS' response, finalize the expansion of the number of testing-designated positions at fleet sites.	MARAD	\$0	\$0	Resolved
422	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Develop supplemental policies and procedures and train fleet supervisors on MARAD's procedures to handle suspected drug use.	MARAD	\$0	\$0	Resolved

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423	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update existing MAOs in accordance with established timelines.	MARAD	\$0	\$0	Resolved
424	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update the MAO governing the internal directive system to assign responsibility for monitoring implementation.	MARAD	\$0	\$0	Resolved
425	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Develop or update policies and procedures to carry out MARAD's ship disposal responsibilities under Title 40 U.S.C. Section 548, including policies and procedures for: (a.) identifying the universe of Government-owned vessels that meet the statutory criteria for MARAD to serve as the disposal agent; (b.) notifying agencies that own these vessels of MARAD's disposal agent role; (c.) specifying into what accounts MARAD should deposit ship disposal proceeds; and (d.) specifying when and how the Maritime Administrator determines what portion of funds MARAD retains for its heritage property.	MARAD	\$0	\$0	Resolved
426	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Dispose of excess non-heritage assets identified in the heritage asset inventory.	MARAD	\$0	\$0	Resolved
427	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update VTO policies and procedures to reflect the current range of program responsibilities and processes.	MARAD	\$0	\$0	Resolved
428	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Provide additional guidance to fleet sites to standardize NDRF Reserve Fleet Operations' KPI data inputs, and provide more uniform measures of fleet performance.	MARAD	\$0	\$0	Resolved
429	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors develop and implement a dual reporting structure for the Office of Audit to both the Board and CEO in accordance with IIA standards.	MWAA	\$0	\$0	Resolved

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430	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	That MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement a procedure for periodic assessments of the Office of Audit's quality assurance and improvement program from an office independent from the Office of Audit. This procedure should include annually providing the results of the assessment and, if necessary, an action plan for addressing recommendations to senior management and the Board.	MWAA	\$0	\$0	Resolved
431	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement a policy to obtain an external peer review of MWAA's Office of Audit with senior management and the Board participation in the selection of the reviewer. The policy should include providing the results of the assessment and, if necessary, an action plan for addressing recommendations to senior management and the Board.	MWAA	\$0	\$0	Resolved
432	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement Office of Audit policies to include the following: a. obtaining and tracking continuing professional development. b. documenting and controlling audit work paper files. c. documenting individual independence and reporting impairments and remediation of impairments. d. requiring supervisors to review and document the review of all work from planning to reporting, including the review of work papers.	MWAA	\$0	\$0	Resolved
433	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Amend and implement the Office of Audit's policy to cite conformance or nonconformance with standards in its audit reports.	MWAA	\$0	\$0	Resolved

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434	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement processes for developing audit plans and conducting risk assessments, including the following: a. consulting with the CEO and other senior management officials when preparing the annual Risk Assessment and Audit Plans and ensuring that discussions and views on these matters are documented for future reference and shared with the Board of Directors. b. annually assessing and documenting auditable activities and their associated risks levels, the Office of Audit's priorities, and the basis for the prioritization.	MWAA	\$0	\$0	Resolved
435	MH2013040 NHTSA's Oversight of Mississippi's Management of Federal Highway Safety Grants Needs Strengthening	2/6/2013	Work with MOHS to develop an action plan, with milestones, to: a. Obtain technical assistance to identify and implement financial management internal controls to comply with the Grant Common Rule; Government Accountability Office Standards for Internal Control; and other applicable laws, regulations, and program compliance requirements. b. Implement improved processes to calculate reimbursement claims to NHTSA, such as an automated grants system used by other State highway safety offices. c. Obtain independent assurance that proper grant management controls and financial and accounting procedures are in place and working effectively. d. Develop guidance for monitoring the use of local officers as full-time driving under the influence officers to ensure appropriate use of Section 154 funds.	NHTSA	\$0	\$0	Resolved
436	MH2013040 NHTSA's Oversight of Mississippi's Management of Federal Highway Safety Grants Needs Strengthening	2/6/2013	Develop an action plan for monitoring Mississippi's grant agreements with sub-grantees, once the high-risk designation is removed, to ensure compliance with Federal requirements.	NHTSA	\$0	\$0	Resolved
437	SA2014099 State of Hawaii Department of Transportation Highway Division	9/10/2014	We recommend NHTSA ensure the Division complies with Cash Management Requirements.	NHTSA	\$0	\$0	Resolved
438	SA2015056 Highways Division Department of Transportation, State of Hawaii	6/17/2015	We recommend NHTSA ensure the State complies with Cash Management Requirements.	NHTSA	\$0	\$0	Resolved
439	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop a process for prioritizing, assigning responsibility, and establishing periodic reviews of potential safety defects that ODI determines should be monitored.	NHTSA	\$0	\$0	Resolved
440	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop and implement a method for assessing and improving the quality of early warning reporting data.	NHTSA	\$0	\$0	Resolved

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441	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Issue guidance or best practices on the format and information that should be included in non-dealer field reports to improve consistency and usefulness.	NHTSA	\$0	\$0	Resolved
442	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Expand current data verification processes to assess manufacturers' compliance with regulations to submit complete and accurate early warning reporting data. At minimum, this process should assess how manufacturers assign vehicle codes to specific incidents and how they determine which incidents are reportable.	NHTSA	\$0	\$0	Resolved
443	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop and implement internal guidance that identifies when and how to use oversight tools to enforce manufacturers' compliance with early warning reporting data requirements.	NHTSA	\$0	\$0	Resolved
444	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop an approach that will determine which early warning reporting test scores provide statistically significant indications of potential safety defects.	NHTSA	\$0	\$0	Resolved
445	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Periodically assess the performance of the early warning reporting data tests using out-of-sample testing.	NHTSA	\$0	\$0	Resolved
446	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Institute periodic external expert reviews of the statistical tests used to analyze early warning reporting data to ensure that these methods are up-to-date and in keeping with best practices.	NHTSA	\$0	\$0	Resolved
447	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Implement a supervisory review process to ensure that all early warning reporting data are analyzed according to ODI policies and procedures.	NHTSA	\$0	\$0	Resolved
448	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop and implement a quality control process to help ensure complaints are reviewed thoroughly and within a specified timeframe.	NHTSA	\$0	\$0	Resolved
449	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Update standardized procedures for identifying, researching, and documenting safety defect trends that consider additional sources of information beyond consumer complaints, such as special crash investigation reports and early warning data.	NHTSA	\$0	\$0	Resolved
450	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Evaluate the training needed by pre-investigative staff to identify safety defect trends; and develop and implement a plan for meeting identified needs.	NHTSA	\$0	\$0	Resolved

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451	ST2016021 Additional Efforts Are Needed To Ensure NHTSA's Full Implementation of OIG's 2011 Recommendations	2/29/2016	Develop and implement enforcement mechanisms (internal controls) and periodically assess compliance with established policies. At a minimum, these mechanisms should address: a. retaining and storing pre-investigation documentation, b. linking each issue evaluation discussed at a Defects Assessment Panel meeting with the corresponding minutes for that meeting, c. assessing the need for third-party assistance prior to obtaining that assistance, d. assessing and adjusting timeliness goals, e. using the investigation documentation checklist, and f. protecting consumers' personally identifiable information.	NHTSA	\$0	\$0	Resolved
452	ST2016021 Additional Efforts Are Needed To Ensure NHTSA's Full Implementation of OIG's 2011 Recommendations	2/29/2016	Designate responsibility for executing ODI's training plan.	NHTSA	\$0	\$0	Resolved
453	SA2016032 State of Delaware, Dover, DE	3/8/2016	We recommend NHTSA ensure the State complies with the Matching, Level of Effort, and Earmarking Requirements.	NHTSA	\$0	\$0	Unresolved
454	SA2016054 State of Hawaii, Department of Transportation, Highways Division, Honolulu, HI	3/16/2016	We recommend NHTSA ensure the State complies with the Cash Management Requirements.	NHTSA	\$0	\$0	Unresolved
455	FI2011022 Timely Actions Needed to Improve DOT's Cybersecurity	11/15/2010	Identify and implement automated tools to better track contractors and training requirements.	OST	\$0	\$0	Resolved
456	FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	11/14/2011	Enhance existing policy to address security awareness training for non-computer users, address security costs as part of capital planning, correct the definition of "government system", and address the identification, monitoring, tracking and validation of users and equipment that remotely access DOT networks and applications.	OST	\$0	\$0	Resolved
457	FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	11/14/2011	In conjunction with OA CIOs, create, complete or test contingency plans for deficient systems.	OST	\$0	\$0	Resolved
458	QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2010	11/15/2011	Clifton Gunderson recommended that DOT management direct FMCSA to revise its grant management manual so that the agency has a consistent, standardized, documented and well-reconciled process for grants awards the recommendations include enhancing documentation of FMCSA's state billing process reviews and requiring division offices to reconcile GrantSolutions to Delphi on a monthly basis and to resolve any differences within 60 days in order to maintain an accurate fund status for grants.	OST	\$0	\$0	Resolved

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459	QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2010	11/15/2011	Clifton Gunderson recommended that DOT management direct FMCSA to ensure sufficient and prompt legal counsel involvement when program funds are first appropriated, and ensure legal counsel's review of FMCSA's policies regarding grant programs before disseminating information to the states.	OST	\$0	\$0	Resolved
460	QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2010	11/15/2011	Clifton Gunderson recommended that DOT management direct FMCSA to complete development and implementation of the new training structure for CVISN staff referenced in the GAO report so that the staff has adequate training to manage the program.	OST	\$0	\$0	Resolved
461	QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2010	11/15/2011	Clifton Gunderson recommended that DOT management incorporate the internal review of OA's fund control monitoring and grant reconciliation processes into DOT's A-123, Appendix A implementation efforts.	OST	\$0	\$0	Resolved
462	MH2012188 DOT Established Timely Controls for TIGER Discretionary Grants Program, But Opportunities Exist to Strengthen Oversight	9/20/2012	Establish a methodology to identify program outcomes from grantee performance data for each TIGER project.	OST	\$0	\$0	Resolved
463	MH2012188 DOT Established Timely Controls for TIGER Discretionary Grants Program, But Opportunities Exist to Strengthen Oversight	9/20/2012	Establish a comprehensive methodology to aggregate performance measures to assess the overall impact of the TIGER program.	OST	\$0	\$0	Resolved
464	FI2013053 DOT's FY 2012 Improper Payment Reporting Generally Complies with IPERA	3/14/2013	Provide specific documentation requirements and greater oversight and review of contractors that perform improper payment testing to ensure that the work has an audit trail and is accurate.	OST	\$0	\$0	Resolved
465	ZA2013072 Weaknesses in the Department's Disadvantaged Business Enterprise Program Limit Achievement Of Its Objectives	4/23/2013	Develop an oversight and compliance plan with the Operating Administrations to identify specific, required oversight processes and reviews and ensure that a sufficient number of reviews are performed based on assessed risk.	OST	\$0	\$0	Resolved
466	FI2013123 Security Weaknesses in DOT's Common Operating Environment Expose Its Systems and Data to Compromise	9/10/2013	Use automated tools, such as vulnerability scanners or Web application scanners to monitor applications residing in the COE on a constant basis, and require each OA to mitigate vulnerabilities in its system or remove the systems from the network.	OST	\$0	\$0	Resolved
467	FI2013123 Security Weaknesses in DOT's Common Operating Environment Expose Its Systems and Data to Compromise	9/10/2013	Develop and maintain a complete inventory (current registry) of authorized network devices (including wireless) accessible to staff who monitor departmental networks.	OST	\$0	\$0	Resolved
468	FI2013123 Security Weaknesses in DOT's Common Operating Environment Expose Its Systems and Data to Compromise	9/10/2013	Ensure the system owners perform regular vulnerability assessments and scans of all internal systems to identify known vulnerabilities and common misconfigurations, and establish a practice to ensure that OAs and OCIO are collaborating and agreeing on remediation plans.	OST	\$0	\$0	Resolved

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No.	Report Number, Title	Report Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Recommendation State
469	FI2014006 FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain and review specialized training statistics and verify, as part of the compliance review process, that all employees with significant security responsibilities have completed the number of training hours required by policy. Report results to management and obtain evidence of corrective actions.	OST	\$0	\$0	Resolved
470	FI2014006 FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain and review plans from FMCSA, MARAD, OST, and RITA to authorize systems with expired accreditations. Perform security reviews of unauthorized systems to determine if the enterprise is exposed to unacceptable risk.	OST	\$0	\$0	Resolved
471	FI2014006 FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain a schedule and action plan for OAs to develop procedures for comprehensive cloud computing agreements to include security controls roles and responsibilities. Report to OA management any delays in completing the procedures.	OST	\$0	\$0	Resolved
472	FI2014006 FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain and review existing cloud computing agreements to assess compliance with agency policy, including security requirements. Report exceptions to OA management.	OST	\$0	\$0	Resolved
473	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Complete the investigation into potential additional Anti-Deficiency Act violations at FRA.	OST	\$0	\$0	Resolved
474	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Follow established protocol that has been designed to prevent Anti-Deficiency Act violations.	OST	\$0	\$0	Resolved
475	AV2014016 More Comprehensive Data Are Needed to Better Understand the Nation's Flight Delays and Their Causes	12/18/2013	Expand the required reporting of on-time performance data to include flights by the code share partners of the reporting carriers.	OST	\$0	\$0	Resolved
476	AV2014016 More Comprehensive Data Are Needed to Better Understand the Nation's Flight Delays and Their Causes	12/18/2013	Increase the number of carriers required to report on-time performance data by reducing the reporting threshold below 1 percent of all domestic passenger revenues.	OST	\$0	\$0	Resolved
477	FI2014037 Accuracy and Reliability of DOT's Improper Payment Reporting Can Be Improved	4/15/2014	That DOT's Assistant Secretary for Budget and Programs/ Chief Financial Officer provide specific documentation requirements and greater oversight of contractors who perform improper payment testing to ensure that the work performed tests actual payments and verifies that each transaction has an audit trail and proper support.	OST	\$0	\$0	Resolved
478	FI2014129 Actions Needed To Enhance Controls Over Travel Cards	9/18/2014	Develop and implement automated controls to detect unauthorized cash advances and purchases.	OST	\$0	\$0	Resolved

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479	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Require all Operating Administrations to establish or update their S&D procedures to implement Federal S&D requirements and the DOT S&D Order, including a) requiring recipients to report exclusions and b) strongly recommending that recipients of non-procurement agreements check SAM before awarding third-party assistance agreements or contracts.	OST	\$0	\$0	Resolved
480	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Implement detailed procedures for regularly verifying the accuracy and completeness of the data reported to the DOT S&D system—including, at a minimum, the key data fields needed for OSPE to assess the timeliness of decisions and reporting.	OST	\$0	\$0	Resolved
481	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Develop a data dictionary for the DOT S&D system that defines each data field and identifies which fields to populate. Make this data dictionary available to all relevant stakeholders and include it in DOT S&D system training.	OST	\$0	\$0	Resolved
482	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Implement a detailed process for OSPE staff to regularly reconcile data in the DOT S&D system and SAM—including steps for identifying and correcting data discrepancies. Using this new process, complete a comprehensive reconciliation of data in the DOT S&D system and SAM, and correct any discrepancies.	OST	\$0	\$0	Resolved
483	AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	10/28/2014	OST to develop a process for periodically reviewing a sample of the contingency plans that U.S. and foreign carriers have posted on their Web sites to ensure all of the required assurances are included.	OST	\$0	\$0	Resolved
484	AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	10/28/2014	Require carriers to keep and maintain records documenting when they: a) Notify passengers about the status of the flight delay; b) Notify passengers when they have the opportunity to deplane; and c) Provide food and water to passengers.	OST	\$0	\$0	Unresolved
485	AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	10/28/2014	Revise DOT regulations to require carriers - when calculating the length of tarmac delays for reporting purposes - to include the time when an aircraft is at the gate with passengers on board and the crew has not made an announcement to deplane.	OST	\$0	\$0	Unresolved
486	AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	10/28/2014	Revise DOT regulations and the FAQ to indicate that U.S. and foreign air carriers provide food and water service within 2 hours after passengers no longer have the opportunity to deplane.	OST	\$0	\$0	Unresolved
487	AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	10/28/2014	Define comfortable cabin temperature and include the requirement in DOT regulations. In the interim, issue guidance to the industry that defines comfortable cabin temperature.	OST	\$0	\$0	Unresolved

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488	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take the action to work with the components to develop a plan to complete annual SAT training within plan milestones and improve tracking. Assess training periodically to determine if the component will meet SAT training plan.	OST	\$0	\$0	Resolved
489	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take action to work with the CSMC and individual components (including COE) to develop service level agreements needed to define responsibilities between CSMC and the components. These agreements should include a detailed description of services between parties, and at a minimum contain: CSMC and component responsibilities, frequency of periodic scans of DOT networks; access privileges to networks, devices, and monitoring tools; hardware and software asset discovery and on-going management requirements; vulnerability scanning.	OST	\$0	\$0	Resolved
490	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take the following action to start planning and assessing the impact of the security requirements that will be affected by NIST SP 800-53 revision 4 and NIST 800-53A revision 4.	OST	\$0	\$0	Resolved
491	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designee, take action to work with components to develop or revise their plans to effectively transition the remaining information systems to required PIV login. Create a POA&M with planned completion dates to monitor and track progress.	OST	\$0	\$0	Resolved
492	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take action to work with the Director of DOT Security to develop or revise their plan to effectively transition the remaining facilities to required PIV cards.	OST	\$0	\$0	Resolved
493	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of DOT develop procedures and controls to address the provisioning of access and system audit log review control deficiencies identified in the FTA financial IT systems.	OST	\$0	\$0	Resolved
494	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of DOT Monitor progress to ensure that procedures and controls are appropriately designed, implemented, and maintained.	OST	\$0	\$0	Resolved
495	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that DOT implement appropriate policies and procedures to prevent future violations.	OST	\$0	\$0	Resolved

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496	QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommends that DOT develop and implement guidance to formally document its assessments and recognition decisions, in accordance with Statement of Federal Financial Accounting Concept No. 5, as it relates to liabilities of exchange transactions, specifically those decisions to depart from GAAP based on materiality.	OST	\$0	\$0	Resolved
497	ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority for its Contracting Office	4/9/2015	We recommend that the Office of the Senior Procurement Executive address the cases of noncompliance with CO certification and warrant requirements at FMCSA, FRA, MARAD, and NHTSA, as noted in this report. Specifically, the Operating Administrations should ensure that (a) CO warrants are issued in compliance with Federal and departmental requirements and (b) COs obtain and maintain their FAC-C certifications.	OST	\$0	\$0	Resolved
498	ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority for its Contracting Office	4/9/2015	We recommend that the Office of the Senior Procurement Executive direct the Heads of Contracting Activity at each Operating Administration to: (a) develop and implement, oversight procedures to ensure compliance with DOT's AWF policy including procedures for annual reviews of level I and II CO warrants and reviews of level III warrants at least every 2 years to determine if COs remain qualified to perform their duties and there is a continued need for warrants and (b) report to OSPE on their oversight procedures.	OST	\$0	\$0	Resolved
499	ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority for its Contracting Office	4/9/2015	We recommend that the Office of the Senior Procurement Executive direct the Heads of Contracting Activity at each Operating Administration to (a) review CO warrants to ensure they include required elements and restrictions specified in DOT's AWF policy, (b) address any instances of noncompliance, and (c) report their planned and implemented corrective actions to OSPE within established timeframes.	OST	\$0	\$0	Resolved
500	ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority for its Contracting Office	4/9/2015	We recommend that the Office of Senior Procurement Executive correct the FAITAS data inaccuracies noted in this report at FTA and MARAD.	OST	\$0	\$0	Resolved
501	FI2015043 DOT FY 2014 Improper Payment Reporting Generally Complies with IPERA Requirements	5/15/2015	We recommend that DOT's Assistant Secretary for Budget and Programs/Chief Financial Officer: Implement procedures to verify that FTA distributes guidance which increases grantee knowledge of documentation required to support a payment as proper in the FG program.	OST	\$0	\$0	Resolved

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502	FI2015043 DOT FY 2014 Improper Payment Reporting Generally Complies with IPERA Requirements	5/15/2015	We recommend that DOT's Assistant Secretary for Budget and Programs/Chief Financial Officer: Implement procedures to verify that FRA distributes guidance which increases grantee knowledge of documentation required to support a payment as proper in the HSIPR program.	OST	\$0	\$0	Resolved
503	FI2015043 DOT FY 2014 Improper Payment Reporting Generally Complies with IPERA Requirements	5/15/2015	We recommend that DOT's Acting Assistant Secretary for Budget and Programs/Chief Financial Officer: Develop a process to provide greater oversight and review of contractors and employees that perform improper payment testing to ensure that the work has an audit trail and is accurate.	OST	\$0	\$0	Resolved
504	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Implement an oversight process for monitoring compliance with Federal and departmental closeout requirements.	OST	\$0	\$0	Resolved
505	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Issue additional departmental guidance on the contract closeout process. At a minimum, this guidance should include requirements for: file retention and storage, contract closeout file documentation, initial funds reviews, closeout of individual task and delivery orders, timely submission of adequate evidence of physical completion, and safeguards to prevent the destruction of contract files before closeout is completed.	OST	\$0	\$0	Resolved
506	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Require Operating Administrations' acquisition offices to update or finalize all internal contract closeout policies, including references to key Federal and departmental requirements.	OST	\$0	\$0	Resolved
507	SA2015097 City of Long Beach, California	9/15/2015	We recommend OST ensure the City complies with the Reporting Requirements.	OST	\$0	\$0	Unresolved
508	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	We recommend the Deputy Secretary, or his designees, take the following action to work with OAs to develop internal controls to ensure network administrators are informed and action is taken to disable accounts when users no longer require access.	OST	\$0	\$0	Resolved
509	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	We recommend the Deputy Secretary, or his designees, take the following action to work with the OCIO to develop a quality assurance process to ensure OAs and network administrators are following DOT Cybersecurity procedures that require them to periodically review user accounts and ensure they are effectively managing these accounts.	OST	\$0	\$0	Resolved

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510	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	The Deputy Secretary, or his designees, takes the following action to work with the OAs to develop a formal transition plan to the proposed ISCM target architecture that includes but is not limited to: (1) continuously assessing security controls; (2) reviewing system configuration settings; and (3) assessing timely remediation of security weaknesses. During the transition period, establish processes and practices for effectively collecting, validating, and reporting ISCM data.	OST	\$0	\$0	Resolved
511	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	We recommend the Deputy Secretary, or his designees, take the following action to ensure that the OCIO revises the Departmental policy to document its practice of prohibiting user-based waivers or exclusions for PIV required use for network and system access.	OST	\$0	\$0	Resolved
512	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	The Deputy Secretary, or his designees, take the following action to revise DOT's existing Cybersecurity policy to incorporate specific requirements for review and cleanup of service accounts.	OST	\$0	\$0	Resolved
513	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	The Deputy Secretary, or his designees, take the following action to work with the COE's management to ensure review and cleanup activities of service accounts are successfully completed.	OST	\$0	\$0	Resolved
514	QC2016022 Quality Control Review of Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommend that the IT Shared Services enhance data center procedures to ensure all access requests and approvals are retained in accordance with applicable DOT policies.	OST	\$0	\$0	Resolved
515	QC2016022 Quality Control Review of Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommend that OST management enhance account review processes and procedures to ensure that privileged service accounts are periodically reviewed for continued appropriateness, based on the principle of least privileged.	OST	\$0	\$0	Resolved
516	QC2016022 Quality Control Review of Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommend that DOT management develop and implement policies and procedures, including increasing the level of precision of the quarterly review of Delphi access, to remove application access for separated employees and contractors immediately upon termination or when it is determined that a user's access is no longer required.	OST	\$0	\$0	Resolved
517	SA2016038 City of Kansas City, Kansas City, MO	3/11/2016	We recommend OST ensure the City complies with the Activities Allowed or Unallowed Requirements.	OST	\$0	\$0	Unresolved
518	SA2016055 City of Charlotte, NC	3/16/2016	We recommend OST ensure the City complies with the Reporting Requirements.	OST	\$0	\$0	Unresolved

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519	AV2012140 Hazardous Liquid Pipeline Operators' Integrity Management Programs Need More Rigorous PHMSA Oversight	6/18/2012	Update IM requirements to mandate baseline and recurring assessments for non-line pipe facilities, given the availability of new assessment technologies and methodologies.	PHMSA	\$0	\$0	Resolved
520	AV2012140 Hazardous Liquid Pipeline Operators' Integrity Management Programs Need More Rigorous PHMSA Oversight	6/18/2012	Create a database of pipeline physical characteristics, accidents, and inspections—including geographic location—of individual pipeline units in order to identify and monitor at-risk pipelines.	PHMSA	\$0	\$0	Resolved
521	MH2014064 PHMSA Has Addressed Most Weaknesses We Identified in Its Special Permit and Approval Processes	7/17/2014	Develop and implement a plan - including milestones and funding requirements - for resolving the company identifier issue.	PHMSA	\$0	\$0	Resolved
522	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Specify alternate telecommunications services including necessary agreements for the PHMSA Hazardous Materials Information System contingency plan.	PHMSA	\$0	\$0	Resolved
523	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Conduct annual functional contingency plan testing for the PHMSA Hazardous Materials Information System.	PHMSA	\$0	\$0	Resolved