



**U.S. Department of  
Transportation**

The Inspector General

Office of Inspector General  
Washington, DC 20590

November 5, 2015

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 on the status of OIG open audit recommendations.<sup>1</sup> 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 second semiannual reporting period for fiscal year 2015.<sup>2</sup>

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<sup>1</sup> Open recommendations include those for which the Department or an agency has (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.

<sup>2</sup> April 1, 2015, through September 30, 2015.

## OIG Open Recommendations and Associated Estimated Cost Savings

As of October 1, 2015, we identified 663 open recommendations, which were included in 207 audit reports issued between July 18, 2007, and September 29, 2015. Of these, 40 recommendations (from 34 reports) carry an estimated monetary benefit or cost savings totaling over \$2.4 billion.<sup>3</sup> The enclosure provides detailed information on these open recommendations.<sup>4</sup>

## 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 12 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 closed two investigations (described below) during the reporting period that involved instances of misconduct by a GS-15 level or above employee, but no prosecution resulted.

<b>Operating Administration</b>	<b>Referral Date<sup>5</sup></b>	<b>Declination Date<sup>6</sup></b>
Federal Aviation Administration	07/18/2014	09/01/2014

### Case Description

We investigated an allegation that a manager at the Federal Aviation Administration's Mike Monroney Aeronautical Center (MMAC) attempted to influence the selection process for his spouse, who applied for a position with MMAC. The investigation disclosed that the manager participated in the selection of evaluation criteria, which were incorporated into the position description, and that the vacancy announcement was not circulated internally by email, which differed from how other vacancy announcements were circulated. Based upon the findings of our investigation, FAA decided to re-advertise the position. After four candidates were determined qualified for the position, the manager's spouse was ultimately selected.

<sup>3</sup> This figure includes funds that could be put to better use, questioned costs, and unsupported costs as defined by the Inspector General Act of 1978, as amended (5 U.S Code App. 3).

<sup>4</sup> The enclosure notes whether the open recommendations are resolved or unresolved. OIG considers a recommendation resolved when the auditee concurs (in whole or in part) and provides a planned action and target date for completion. Recommendations without auditee concurrence, lacking acceptable planned actions and target dates, or that require additional information are considered unresolved.

<sup>5</sup> This date represents when the U.S. Department of Justice was initially consulted regarding this investigation.

<sup>6</sup> This date represents when the U.S. Department of Justice decided not to seek criminal prosecution of the employee.

<b>Operating Administration</b>	<b>Referral Date</b>	<b>Declination Date</b>
Office of the Secretary	N/A	N/A

### **Case Description**

We investigated an allegation that a Senior Technical Expert with the Office of the Secretary's Office of the Assistant Secretary for Research and Technology was involved in presentations, discussions, and recommendations regarding two companies in which he owned stock. Our investigation disclosed that during 2011 to 2013, contrary to an ethics officer's guidance, the employee engaged in matters involving one of the companies. The Office of the Secretary counseled the employee in response to our findings.

### **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**

When 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.

As reported in our June 2015 audit on Hurricane Sandy oversight and emergency relief efforts,<sup>7</sup> the Federal Transit Administration (FTA) was not always timely in providing documentation and scheduling interviews between FTA staff and OIG auditors. This caused a minor delay but did not impact the scope of the audit.

### **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.<sup>8</sup> 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.

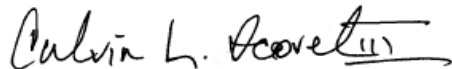
<sup>7</sup> *FTA Has Not Fully Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts* (OIG Report Number ST-2015-046), June 12, 2015.

<sup>8</sup> OIG reports are available on our Web site: <https://www.oig.dot.gov>.

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 at the end.

Calvin L. Scovel III  
Inspector General

Enclosure

*Department of Transportation, Office of Inspector General  
Open Recommendations, as of October 1, 2015*

No.	Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported 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	\$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	\$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	\$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	\$0	Resolved
5	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that all other OAs continue to timely review and monitor grant and non-grant undelivered orders to ensure that the recorded undelivered orders represent goods and services ordered and obligated, but not yet received, or potential amounts still to be claimed.	Department-Wide	\$358,500,000	\$0	\$0	Resolved
6	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	\$0	Resolved
7	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	\$0	Resolved
8	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	\$0	Resolved
9	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	\$0	Resolved
10	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	\$0	Resolved
11	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	\$0	Resolved
12	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	\$0	Resolved

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Open Recommendations, as of October 1, 2015*

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13	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	\$0	Resolved
14	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	\$0	Resolved
15	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	\$0	Resolved
16	AV2008090 Air Carriers' Outsourcing of Aircraft Maintenance	9/30/2008	Improve its maintenance data reporting system by: (a) revising its guidance to include all maintenance providers performing repairs of critical components, not just the top 10 substantial maintenance providers and (b) developing procedures for inspectors to validate the accuracy and consistency of reports.	FAA	\$0	\$0	\$0	Resolved
17	AV2008090 Air Carriers' Outsourcing of Aircraft Maintenance	9/30/2008	Reassess its definition of substantial maintenance to include critical components and ensure that air carriers and FAA offices consistently apply the definition.	FAA	\$0	\$0	\$0	Resolved
18	AV2009039 Actions Taken and Needed to Improve FAA's Runway Safety Area Program	3/3/2009	Issue detailed guidance and conduct training for all field offices on the proper identification, tracking, and reporting of RSA status, including NAVAID.	FAA	\$0	\$0	\$0	Resolved
19	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	\$0	Resolved
20	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	\$0	Resolved
21	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	\$0	Resolved
22	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	\$0	Resolved
23	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	\$0	Resolved
24	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	\$0	Resolved

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Open Recommendations, as of October 1, 2015*

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25	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Implement multifactor user authentication, as required by OMB, and the Department's Secure Remote Access capability for all MSS users with remote access to sensitive PII.	FAA	\$0	\$0	\$0	Unresolved
26	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Configure MSS computer systems in compliance with applicable Government standards including ensuring vendor security updates are applied, the Web site locks the user account after three unsuccessful attempts, all passwords on the MSS database are in compliance with standards, and that the application will enforce a session lock after 15-minute inactivity for all users in accordance with OMB and DOT guidance.	FAA	\$0	\$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	\$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	\$0	Resolved
29	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Encrypt sensitive airmen PII stored in MSS as well as MSS user passwords, and develop agreements as appropriate to ensure airmen PII provided to other systems is also encrypted.	FAA	\$0	\$0	\$0	Resolved
30	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	\$0	Resolved
31	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	\$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	\$0	Unresolved
33	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	\$0	Resolved
34	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	\$0	Resolved

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35	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	\$0	Resolved
36	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	\$0	Resolved
37	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	\$0	Resolved
38	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	\$0	Resolved
39	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	\$0	Resolved
40	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	\$0	Resolved
41	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	\$0	Unresolved
42	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	\$0	Unresolved
43	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	\$0	Unresolved



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44	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	\$0	Unresolved
45	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	\$0	Resolved
46	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	\$0	Resolved
47	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	\$0	Resolved
48	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	\$0	Resolved
49	AV2011176 FAA and Industry Are Taking Action To Address Pilot Fatigue, But More Information on Pilot Commuting is Needed	9/12/2011	Ensure the collection and analysis of data regarding domicile and commuting length for all Part 121 flight crews. Specifically, information regarding the number of pilots and other flight-crewmembers who commute, their methods of transportation, and distances they commute, should be collected.	FAA	\$0	\$0	\$0	Resolved
50	AV2011176 FAA and Industry Are Taking Action To Address Pilot Fatigue, But More Information on Pilot Commuting is Needed	9/12/2011	Review and analyze the Part 121 domicile and commuting data collected to determine if further changes to flight duty and domicile regulations are needed or if airlines need to take further mitigating actions in their fatigue management systems.	FAA	\$0	\$0	\$0	Resolved
51	AV2011180 More Rigorous Oversight Is Needed to Ensure Venice Municipal Airport Land Sales and Leases Are Used Appropriately	9/29/2011	Require the City to complete the independent review appraisal of the property used by the Sharky's restaurant if sold, and any subsequent transfers of airport property.	FAA	\$0	\$493,070	\$0	Unresolved

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52	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	\$0	Resolved
53	AV2011180 More Rigorous Oversight Is Needed to Ensure Venice Municipal Airport Land Sales and Leases Are Used Appropriately	9/29/2011	Assess the adequacy of the Agency's policies and procedures for overseeing the transfer or lease of large or unusual airport properties to ensure that sponsor agreements are fair and equitable and protect the airport's self-sustainability.	FAA	\$0	\$0	\$0	Resolved
54	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	\$0	Resolved
55	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	\$0	Resolved
56	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	\$0	Resolved
57	AV2012027 New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Develop and implement standardized training for aviation safety inspectors on Part 121 air carrier pilot performance and administration of check rides and check airman observations.	FAA	\$0	\$0	\$0	Resolved
58	AV2012027 New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Conduct a study of air carrier policies to determine whether controls should be in place to prevent pilots in remedial training programs from being paired together.	FAA	\$0	\$0	\$0	Resolved
59	AV2012039 Enhanced Oversight of Staffing and Training at FAA's Critical Facilities is Needed to Maintain Continuity of Operations	1/12/2012	Determine whether the skills assessment test implemented at several facilities would be beneficial at all critical terminal facilities.	FAA	\$0	\$0	\$0	Resolved
60	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	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	\$0	Resolved
61	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	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	\$0	Resolved

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62	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	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	\$0	Resolved
63	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	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	\$0	Resolved
64	AV2012094 Status of Transformational Programs and Risks to Achieving NextGen Goals	4/23/2012	Develop and set milestones for baselining each segment of the transformational programs through their end-state and identify the capabilities and benefits that will be delivered for each segment.	FAA	\$0	\$0	\$0	Unresolved
65	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	\$0	Resolved
66	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	\$0	Resolved
67	AV2012151 The Success of FAA's Long-Term Plan for Air Traffic Facility Realignment and Consolidations Depends on Addressing Key Technical, Financial, and Workforce Challenges	7/17/2012	Develop metrics that quantify the expected operational and cost efficiencies from future realignments and consolidations. At a minimum, these metrics should provide baseline data that can be used to measure whether these efficiencies in a timely manner as it moves forward with future realignments and consolidations.	FAA	\$0	\$0	\$0	Resolved
68	AV2012151 The Success of FAA's Long-Term Plan for Air Traffic Facility Realignment and Consolidations Depends on Addressing Key Technical, Financial, and Workforce Challenges	7/17/2012	Further assess the cost, technical, operational, and workforce risks associated with individual realignments and consolidations, and develop risk mitigation plans for them.	FAA	\$0	\$0	\$0	Resolved
69	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	\$0	Unresolved
70	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	\$0	Unresolved
71	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	\$0	Resolved
72	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	\$0	Resolved
73	AV2012167 Challenges With Implementing a Near-Term NextGen Capabilities at Congested Airports Could Delay Benefits	8/1/2012	Establish a formal process for reporting barriers identified by metroplex teams (i.e., policies, procedures, operational approval processes, training, criteria, and equipage and technology issues) and put in place a mechanism to ensure they are adequately resolved.	FAA	\$0	\$0	\$0	Resolved

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74	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	\$0	Unresolved
75	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	\$0	Resolved
76	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	\$0	Resolved
77	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	\$0	Resolved
78	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	\$0	Resolved
79	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	\$0	Unresolved
80	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Update the performance measurement baseline for ERAM's earned value management system to include all remaining work on the ERAM contract, including planned work that has not yet been priced and work performed by the Government.	FAA	\$0	\$0	\$0	Unresolved
81	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-intense air traffic systems.	FAA	\$0	\$0	\$0	Resolved
82	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	\$0	Resolved
83	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	\$0	Resolved

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84	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Include a requirement in the AMS to definitize CLINs in a reasonable time period, such as FAR's 180-day benchmark. Ensure that future ERAM CLINs are definitized according to the new requirement.	FAA	\$0	\$0	\$0	Resolved
85	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Develop procedures in FAA's "Program Level Integrated Baseline Review Guide" to verify that integrated baseline reviews meet the requirements and to establish a time frame for conducting integrated baseline reviews after executing major contract modifications.	FAA	\$0	\$0	\$0	Resolved
86	AV2013009 Contract Towers Continue to Provide Cost-Effective and Safe Air Traffic Services, But Improved Oversight of the Program is Needed	11/5/2012	Modify FCT contracts to incorporate a voluntary reporting system, such as ATSAP, at contract towers to ensure more comprehensive reporting of safety incidents.	FAA	\$0	\$0	\$0	Resolved
87	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	\$0	Unresolved
88	AV2013037 FAA and Industry Are Advancing the Airline Safety Act but Challenges Remain To Achieve Its Full Measure	1/31/2013	Require inspectors to determine if air carriers have modified policies, in accordance with the Act, to retain pilot records for the new, centralized electronic pilot records database.	FAA	\$0	\$0	\$0	Resolved
89	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	\$0	Resolved
90	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	\$0	Resolved
91	AV2013046 FAA's Efforts to Track and Mitigate Air Traffic Losses of Separation Are Limited by Data Collection and Implementation Challenges	2/27/2013	Determine the level of staff and expertise needed at the ATO Service Areas to effectively implement ATO's new Orders on investigating losses of separation, audit all TARP data, and initiate actions to fill those requirements.	FAA	\$0	\$0	\$0	Resolved
92	AV2013046 FAA's 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	\$0	Resolved
93	AV2013097 FAA's 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	\$0	Resolved
94	AV2013097 FAA's 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	\$0	Resolved

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95	AV2013097 FAA's 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	\$0	Resolved
96	AV2013097 FAA's 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	\$0	Resolved
97	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	\$0	Resolved
98	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	\$0	Resolved
99	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	\$0	Resolved
100	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	\$0	Resolved
101	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	\$0	Resolved
102	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	\$0	Resolved
103	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	\$0	Resolved
104	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	\$0	Resolved
105	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	\$0	Resolved

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106	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	\$0	Resolved
107	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	\$0	Resolved
108	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	\$0	Resolved
109	AV2013121 FAA is Making Progress But Improvements in Its Air Traffic Controller Facility Training Are Still Needed	8/27/2013	Develop and implement a formal policy to identify and disseminate locally developed training initiatives for use as best practices nationwide.	FAA	\$0	\$0	\$0	Resolved
110	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	\$0	Resolved
111	AV2013121 FAA is Making Progress But Improvements in Its Air Traffic Controller Facility Training Are Still Needed	8/27/2013	Evaluate the Operational Assessment Program to determine if it can be used to improve staffing composition at all critical air traffic facilities.	FAA	\$0	\$0	\$0	Resolved
112	AV2013120 FAA's Controller Scheduling Practices Can Impact Human Fatigue Controller Performance and Agency Costs	8/27/2013	Develop guidance for air traffic facility managers and workforce that specifically defines the criteria for compliance with rest policies, including an emphasis that the rest requirements only apply between operational shifts, and policies governing "recuperative breaks" during the midnight shift.	FAA	\$0	\$0	\$0	Resolved
113	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	\$0	Resolved
114	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	\$0	Resolved
115	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	\$0	Resolved
116	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	\$0	Resolved
117	QC2014014 Quality Control Review of Audited Financial Statements for Fiscal Years 2013 and 2012, Federal Aviation Administration	12/13/2013	KPMG LLP recommended that FAA design and implement policies and procedures to ensure transactions recorded properly in the general ledger.	FAA	\$0	\$0	\$0	Resolved

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118	QC2014014 Quality Control Review of Audited Financial Statements for Fiscal Years 2013 and 2012, Federal Aviation Administration	12/13/2013	KPMG LLP recommended that FAA design and implement policies and procedures to validate the completeness and accuracy of key inputs and assumptions that are the basis for transactions recorded to the general ledger.	FAA	\$0	\$0	\$0	Resolved
119	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	\$0	Resolved
120	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	\$0	Resolved
121	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	\$0	Resolved
122	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	\$0	Resolved
123	ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Modify the award fees to (a) develop performance measures that motivate contractors to achieve program goals and (b) ensure that fees are paid only for performance that links to key training goals and does not conflict with other contract objectives.	FAA	\$0	\$0	\$0	Resolved
124	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	\$0	Resolved
125	ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Update cost estimates, and determine whether (a) training requirements can be met within the current contract value of \$859 million, (b) the acquisition should be rebaselined and/or recompeted, or (c) the remaining contract options should be exercised.	FAA	\$0	\$0	\$0	Resolved
126	ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Develop a process to ensure the contract files are maintained as required by FAA's Acquisition Management System.	FAA	\$0	\$0	\$0	Resolved
127	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	\$0	Resolved



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128	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	\$0	Resolved
129	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	\$0	Unresolved
130	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	\$0	Resolved
131	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	\$0	Resolved
132	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	\$0	Resolved
133	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	\$0	Resolved
134	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	\$0	Resolved
135	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	\$0	Resolved
136	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	\$0	Resolved
137	FI2014052 Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System	6/5/2014	Develop a process and timeline to ensure that all TFMS software and databases receive the most up-to-date software patches and releases supported by the vendors.	FAA	\$0	\$0	\$0	Resolved
138	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	\$0	Resolved
139	FI2014052 Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System	6/5/2014	Enforce password complexity requirements for all TFMS accounts.	FAA	\$0	\$0	\$0	Resolved

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140	ZA2014055 New Disadvantaged Business Enterprise Firms Face Barriers to Obtaining Work at the Nation's Largest Airports	6/12/2014	We recommend that FAA's Office of Civil Rights, in coordination with the Departmental Office of Civil Rights, require airports to annually report the number of new DBE/ACDBE participants as part of their existing data collection efforts.	FAA	\$0	\$0	\$0	Resolved
141	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	\$0	Resolved
142	AV2014059 FAA is Not Effectively Managing Air Traffic Controller Mid-Term Bargaining Agreements	6/19/2014	Revise standard operating procedures to strictly enforce the involvement of Labor Relations Office (AHR-LMR) representatives during all mid-term bargaining prior to committing the Agency.	FAA	\$0	\$0	\$0	Resolved
143	AV2014059 FAA is Not Effectively Managing Air Traffic Controller Mid-Term Bargaining Agreements	6/19/2014	Clarify the roles and responsibilities of the Labor Relations Office (AHR-LMR) and the Labor Technical Liaison.	FAA	\$0	\$0	\$0	Resolved
144	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	\$0	Resolved
145	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	\$0	Unresolved
146	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	\$0	Resolved
147	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	\$0	Resolved
148	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	\$0	Resolved
149	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	\$0	Resolved
150	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	\$0	Resolved
151	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	\$0	Resolved

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152	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	\$0	Resolved
153	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	\$0	Resolved
154	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	\$0	Resolved
155	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	\$0	Resolved
156	AV2014060 FAA 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	\$0	Resolved
157	AV2014060 FAA 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	\$0	Resolved
158	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	\$0	Resolved
159	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	\$0	Resolved
160	AV2014062 FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Develop a process to ensure future controller productivity initiatives include measurable milestones and cost and productivity goals.	FAA	\$0	\$0	\$0	Resolved
161	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	\$0	Resolved
162	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	\$0	Resolved

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163	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	\$0	Unresolved
164	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	\$0	Unresolved
165	AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Determine whether cost savings could be realized by delaying payment of subscription fees for ADS-B services at locations where (a) users are not equipped with rule-compliant avionics to provide and receive ADS-B services at those locations, and (b) air traffic control automation systems have not been modernized to support ADS-B services.	FAA	\$0	\$0	\$0	Unresolved
166	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	\$0	Resolved
167	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	\$0	Resolved
168	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	\$0	Resolved
169	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	\$0	Resolved
170	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	\$0	Unresolved

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171	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	\$0	Resolved
172	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 FAA to ensure automated scripts are properly configured to disable inactive user accounts in a timely manner. Create a POA&M with a planned completion date to monitor and track progress.	FAA	\$0	\$0	\$0	Unresolved
173	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 FAA to revise their plan to effectively transition the remaining 32,266 users to require unprivileged PIV login. Create a POA&M with a planned completion date to monitor and track progress.	FAA	\$0	\$0	\$0	Unresolved
174	QC2015010 Quality Control Review of the Audited Financial Statements for Fiscal Years 2014 and 2013 - Federal Aviation Administration	11/14/2014	KPMG recommended that the FAA improve existing processes and internal controls to ensure that PP&E retirements are identified, documented, and recorded timely.	FAA	\$0	\$0	\$0	Resolved
175	AV2015012 Planning For High Priority NextGen Capabilities Underway but Much Work Remains for Full Realization of Benefits	11/20/2014	Develop a tool or system to monitor progress against milestones.	FAA	\$0	\$0	\$0	Resolved
176	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	\$0	Resolved
177	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	\$0	Unresolved
178	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Close Hazardous Materials Voluntary Disclosure Reporting Program cases only after air carriers provide evidence of completion of corrective actions and self-audits.	FAA	\$0	\$0	\$0	Resolved
179	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	\$0	Resolved
180	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	\$0	Resolved
181	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	\$0	Resolved
182	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Verify that FAA Regions consistently meet the requirements of the Hazardous Materials Voluntary Disclosure Reporting Program.	FAA	\$0	\$0	\$0	Resolved

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183	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	\$0	Resolved
184	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 ensure that all security weaknesses identified during reviews performed by or on behalf of the agency, including Government Accountability Office audits, financial audits, system status reports, and critical infrastructure vulnerability assessments are included in the Cyber Security Assessment Manager POA&M tracker for LIS.	FAA	\$0	\$0	\$0	Resolved
185	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 continues to recommend that FAA develop and implement a process to formally identify, assess, and document the impact of errors, misclassifications and departures from GAAP in the financial statements and accompanying notes, including an assessment as to whether the errors are material in relation to the financial statements as a whole, both in current and future periods. The assessment should be reviewed by an appropriate level of management.	FAA	\$0	\$0	\$0	Resolved
186	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 develop and implement monitoring controls to ensure costs and revenues are mapped to the appropriate strategic priority.	FAA	\$0	\$0	\$0	Resolved
187	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 enhance policies and procedures related to the review of journal vouchers to include a requirement that the initial review of journal vouchers occur before the journal voucher is posted to the general ledger.	FAA	\$0	\$0	\$0	Resolved
188	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 revise policies and procedures to clarify or remove the second-level review requirement.	FAA	\$0	\$0	\$0	Resolved
189	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 continue to emphasize the timely de-obligation of inactive UDOs through training and communication to the various lines of business.	FAA	\$0	\$0	\$0	Resolved
190	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 continue to perform quarterly obligation reviews to monitor the validity of inactive UDOs.	FAA	\$0	\$0	\$0	Resolved
191	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 correct the set-up of the vendor-trading partner in the vendor table.	FAA	\$0	\$0	\$0	Resolved

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192	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 develop and implement policies and procedures to accumulate a listing of new sites identified during the Environmental Site Cleanup Report (ESCR) preparation period and to assess the impact of the new sites to the Environmental Remediation (ER) liability.	FAA	\$0	\$0	\$0	Resolved
193	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 develop and implement policies and procedures to specify the number of days within which the checklists related to new sites should be reviewed.	FAA	\$0	\$0	\$0	Resolved
194	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 enhance their policies and procedures to include the nature and extent of monitoring procedures to be performed by the Regional Office/Airport District Office during their quarterly review of payments made by sponsors with a nominal risk level.	FAA	\$0	\$0	\$0	Resolved
195	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 enhance monitoring procedures to ensure that expenses are recorded in the proper period and accruals are complete.	FAA	\$0	\$0	\$0	Resolved
196	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 the FAA Oklahoma City Enterprise Center enhance its monitoring controls to ensure that someone other than the Human Resource Specialist who prepares the SF50 (Notification of Personnel Action) review the SF50 to verify the information from the employee election form is properly recorded.	FAA	\$0	\$0	\$0	Resolved
197	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 design and implement procedures to validate the completeness and accuracy of key inputs provided by other organizations within FAA, including a periodic review of the key assumptions.	FAA	\$0	\$0	\$0	Resolved
198	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 fully research and document its conclusions on the proper treatment of the sick leave buyback provisions in accordance with SFFAS No. 5.	FAA	\$0	\$0	\$0	Resolved
199	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	\$0	Resolved
200	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	\$0	Resolved

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201	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	\$0	Resolved
202	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 perform semi-annual reviews of all privileged user accounts, and their associated access levels, in accordance with the DOT Cyber Security Compendium, and include documented approval(s).	FAA	\$0	\$0	\$0	Resolved
203	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	\$0	Resolved
204	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	\$0	Resolved
205	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	\$0	Resolved
206	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 the FAA management develop and implement procedures that require the timely notification of LIS administrator(s) when LIS users are terminated and/or it is determined that a user's access to LIS is no longer required.	FAA	\$0	\$0	\$0	Resolved
207	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	\$0	Resolved
208	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	\$0	Resolved
209	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 continue to perform alternative procedures to assess the materiality of depreciation expense and loss on retirements for assets that were retired in prior years; but, have not been recorded in the general ledger until the current year.	FAA	\$0	\$0	\$0	Resolved
210	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 complete a more detailed review of manual journal entries to verify the entry was made in accordance with the appropriate USSGL transaction code.	FAA	\$0	\$0	\$0	Resolved



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211	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 FAA identify all procedures previously provided by Bureau of Fiscal Services (BFS) to account for the activities of the AATF and incorporate those procedures into the FAA's financial reporting process.	FAA	\$0	\$0	\$0	Resolved
212	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	\$0	Resolved
213	AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Expand the criteria for dedicated certificate management teams and use of SEP for HEMS operators with 20 to 24 aircraft.	FAA	\$0	\$0	\$0	Resolved
214	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: <ul style="list-style-type: none"> <li>a. inspectors are at the right locations to provide adequate surveillance of the growing number of HEMS certificates,</li> <li>b. it has the correct number of inspectors with the required specialized knowledge, and</li> <li>c. district office inspector workload is adequately measured in complexity ratings and balanced between district offices.</li> </ul>	FAA	\$0	\$0	\$0	Resolved
215	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	\$0	Resolved
216	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	\$0	Resolved
217	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	\$0	Resolved
218	AV2015066 FAA Has Not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Develop standardized instructions for FAA and foreign authority inspectors on how to properly complete inspection checklists.	FAA	\$0	\$0	\$0	Resolved
219	AV2015066 FAA Has Not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Provide training to foreign authority inspectors on areas such as clarifying how to approve an FAA supplement and how to review and accept written confirmation of dangerous goods training programs.	FAA	\$0	\$0	\$0	Resolved
220	AV2015066 FAA Has Not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Revise inspection checklist questions by defining FAA-specific terms and requirements and including references to applicable Special Conditions.	FAA	\$0	\$0	\$0	Resolved
221	AV2015066 FAA Has Not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Develop a control to require all FAA-certificated EU-based repair stations to affirm to foreign authorities whether or not they engage in dangerous goods handling.	FAA	\$0	\$0	\$0	Resolved

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222	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	\$0	Resolved
223	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	\$0	Resolved
224	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	\$0	Resolved
225	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	\$0	Resolved
226	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	\$0	Resolved
227	SA2015069 City of El Paso, Texas	7/20/2015	We recommend FAA ensure the City complies with the Matching Requirements.	FAA	\$0	\$0	\$0	Resolved
228	SA2015069 City of El Paso, Texas	7/20/2015	We recommend FAA recover \$14,325 from the City, if applicable.	FAA	\$0	\$14,325	\$0	Resolved
229	SA2015069 City of El Paso, Texas	7/20/2015	We recommend FAA ensure the City complies with the Reporting Requirements.	FAA	\$0	\$0	\$0	Resolved
230	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	\$0	Resolved
231	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	\$0	Resolved
232	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	\$0	Unresolved
233	AV2015081 FAA Has Not Effectively Deployed Controller Automation Tools That Optimize Benefits of Performance-Based Navigation	8/20/2015	Prioritize actions needed to complete the implementation of enhancements, including Ground Interval Management-Spacing, Terminal Sequencing and Spacing, and Path Stretch which further facilitate PBN use.	FAA	\$0	\$0	\$0	Unresolved

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234	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	\$0	Unresolved
235	AV2015079 FAA Delays in Establishing a Pilot Records Database Limit Air Carriers' Access to Background Information	8/20/2015	As part of the standard PRIA response letter, incorporate a written notification to air carriers that additional records may be available through FOIA and Privacy Act requests.	FAA	\$0	\$0	\$0	Resolved
236	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	\$0	Resolved
237	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	\$0	Resolved
238	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	\$0	Resolved
239	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	\$0	Resolved
240	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	\$0	Resolved
241	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	\$0	Resolved
242	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	\$0	Resolved
243	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	\$0	Resolved
244	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	\$0	Resolved
245	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	\$0	Resolved

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246	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	\$0	Resolved
247	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	\$0	Resolved
248	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	\$0	Resolved
249	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Revise the CFR to require D&E firms to certify that all indirect costs claimed on Federal-aid contracts are allowable.	FHWA	\$0	\$0	\$0	Resolved
250	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Revise the CFR to provide state DOTs authority to assess penalties when contractors knowingly claim expressly unallowable costs.	FHWA	\$0	\$0	\$0	Resolved
251	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Revise the CFR to assign specific responsibility and accountability for overseeing audit work performed by CPA firms hired by D&E firms.	FHWA	\$0	\$0	\$0	Resolved
252	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	\$0	Resolved
253	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	\$0	Resolved
254	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	\$0	Resolved
255	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	\$0	Resolved
256	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	\$0	Resolved
257	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	\$0	Resolved

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258	ZA2012084 Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Complete a nationwide assessment to determine current levels of competition for Federal-aid contracts; evaluate factors affecting competition; identify State DOT contract award practices that may need improvement; and address perceived barriers to State DOT implementation of FHWA, AASHTO, and other best practices for improving competition.	FHWA	\$179,000,000	\$0	\$0	Resolved
259	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	\$0	Resolved
260	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	\$0	Resolved
261	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	\$0	Resolved
262	ZA2012084 Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Establish standard FHW A 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	\$0	Resolved
263	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	\$0	Resolved
264	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	\$0	Resolved
265	SA2012163 Mescalero Apache Tribe, New Mexico	7/30/2012	We recommend FHWA ensure the Tribe complies with Reporting requirements	FHWA	\$0	\$0	\$0	Resolved
266	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	\$0	Resolved
267	MH2013001 Improvements to Stewardship and Oversight Agreements Are Needed To Enhance Federal-aid Highway Program Management	10/1/2012	Establish basic Agreement requirements and standards that include Federal requirements, FHWA program risks, and priorities.	FHWA	\$0	\$0	\$0	Resolved

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268	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	\$0	Resolved
269	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	\$0	Resolved
270	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	\$0	Resolved
271	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	\$0	Resolved
272	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	\$0	Resolved
273	SA2013105 Pueblo of Pojoaque, New Mexico	7/12/2013	We recommend FHWA recover \$233,610 from the Pueblo, if applicable.	FHWA	\$0	\$233,610	\$0	Resolved
274	MH2013122 FHWA Is Monitoring Unexpended Recovery Act Highway Funds, But Some Funds May Remain Unused	9/4/2013	Revise its August 26, 2010, policy regarding the treatment of recovered ARRA funds for upward adjustments to clearly state that (a) upward adjustments that do not constitute a contract change are not subject to the \$25 million notification limitation, (b) pay claims and increases under escalation clauses are eligible for ARRA recovered funds, and (c) the \$25 million limitation applies to the individual ARRA programs and not to the entire ARRA appropriations account.	FHWA	\$0	\$0	\$0	Unresolved
275	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	\$0	Resolved
276	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	\$0	Resolved
277	MH2014003 Opportunities Exist to Strengthen FHWA's Coordination, Guidance, and Oversight of the Tribal Transportation Program	10/30/2013	Create a centralized database to capture financial and status information for tribal transportation projects.	FHWA	\$0	\$0	\$0	Resolved
278	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	\$0	Resolved
279	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	\$0	Resolved

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280	SA2014045 Spirit Lake Tribe North Dakota	5/21/2014	Recover \$17,190 from the Tribe, if applicable.	FHWA	\$0	\$17,190	\$0	Resolved
281	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	\$0	Resolved
282	SA2014084 State of Georgia	8/1/2014	Ensure the State complies with Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	\$0	Resolved
283	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	\$0	Resolved
284	SA2014073 Commonwealth of the Northern Mariana Island	8/1/2014	Recover \$12,515 from the Commonwealth, if applicable.	FHWA	\$0	\$12,515	\$0	Resolved
285	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	\$0	Resolved
286	MH2014089 FHWA Has Not Fully Implemented All MAP-21 Bridge Provisions and Prior OIG Recommendations	8/21/2014	Established a target date for completing the asset management plan final rule.	FHWA	\$0	\$0	\$0	Resolved
287	MH2014089 FHWA Has Not Fully Implemented All MAP-21 Bridge Provisions and Prior OIG Recommendations	8/21/2014	Included a summary of the cost to replace structurally deficient bridges as part of FHWA's required bridge inventory report to Congress.	FHWA	\$0	\$0	\$0	Resolved
288	SA2014099 State of Hawaii Department of Transportation Highway Division	9/10/2014	We recommend FHWA ensure the Division complies with Cash Management Requirements	FHWA	\$0	\$0	\$0	Resolved
289	SA2014099 State of Hawaii Department of Transportation Highway Division	9/10/2014	We recommend FHWA ensure the Division complies with Davis-Bacon Requirements.	FHWA	\$0	\$0	\$0	Resolved
290	SA2014099 State of Hawaii Department of Transportation Highway Division	9/10/2014	We recommend FHWA ensure the Division complies with Allowable Costs/Cost Principles Requirements and recover \$ 111,284 from the Division, if applicable	FHWA	\$0	\$111,284	\$0	Resolved
291	SA2014116 State of Illinois	9/12/2014	Ensure the State complies with Special Tests and Provisions Requirements.	FHWA	\$0	\$0	\$0	Resolved
292	SA2014116 State of Illinois	9/12/2014	Ensure the State complies with Information System Requirements.	FHWA	\$0	\$0	\$0	Resolved
293	SA2014116 State of Illinois	9/12/2014	We recommend FHWA ensure the State complies with Davis-Bacon Requirements.	FHWA	\$0	\$0	\$0	Resolved
294	SA2014115 State of Texas	9/12/2014	We recommend FHWA ensure the State complies with Davis-Bacon Act Requirements.	FHWA	\$0	\$0	\$0	Resolved
295	SA2014115 State of Texas	9/12/2014	We recommend FHWA ensure the State complies with Special Tests and Provisions Requirements and recover \$ 13,700 from the State, if applicable.	FHWA	\$0	\$13,700	\$0	Resolved
296	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	\$0	Resolved
297	SA2014123 United States Virgin Island	9/17/2014	We recommend FHWA ensure the USVI complies with Cash Management Requirements.	FHWA	\$0	\$0	\$0	Resolved
298	ZA2015002 FHWA's Federal Lands Highway Program Lacks Adequate Processes for Thoroughly Evaluating Contract Bid Prices	10/9/2014	We recommend that FHWA take the following actions for its Federal Lands Highway Program: Develop and implement policies and procedures instructing that FAR requirements, and FHWA and AASHTO guidance are followed for evaluating bids to determine price reasonableness.	FHWA	\$0	\$0	\$0	Resolved

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299	ZA2015002 FHWA's Federal Lands Highway Program Lacks Adequate Processes for Thoroughly Evaluating Contract Bid Prices	10/9/2014	We recommend that FHWA take the following action for its Federal Lands Highway Program: Establish internal controls to ensure that FLH Division personnel adhere to such policies and procedures to establish price reasonableness.	FHWA	\$0	\$0	\$0	Resolved
300	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that FHWA work with OMB to develop and document policies and procedures on the appropriate accounting treatment for the execution and year-end reporting of UCOs entered into with non-Federal entities without an advance of funds.	FHWA	\$0	\$0	\$0	Resolved
301	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	\$0	Resolved
302	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	\$0	Resolved
303	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	\$0	Resolved
304	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	\$0	Resolved



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305	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	\$0	Resolved
306	SA2015024 Jicarilla Apache Nation, Dulce, New Mexico	2/6/2015	We recommend FHWA recover \$9,548 from Jicarilla Apache Nation, if applicable.	FHWA	\$0	\$9,548	\$0	Resolved
307	SA2015021 Klawock Cooperative Association Klawock, Alaska	2/6/2015	We recommend FHWA ensure the Association complies with the Activities Allowed/Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	\$0	Resolved
308	SA2015021 Klawock Cooperative Association Klawock, Alaska	2/6/2015	We recommend FHWA recover \$13,869 from the Association, if applicable.	FHWA	\$0	\$13,869	\$0	Resolved
309	SA2015021 Klawock Cooperative Association Klawock, Alaska	2/6/2015	We recommend FHWA ensure the Association complies with Cash Management Requirements.	FHWA	\$0	\$0	\$0	Resolved
310	SA2015021 Klawock Cooperative Association Klawock, Alaska	2/6/2015	We recommend FHWA recover \$16,653 from the Association, if applicable.	FHWA	\$0	\$16,653	\$0	Resolved
311	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	\$0	Resolved
312	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	\$0	Resolved
313	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	\$0	Resolved
314	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	\$0	Resolved
315	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	\$0	Resolved

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316	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Implement a national plan that outlines steps for Division Offices to expedite ARRA project closeouts. This plan should include a mechanism to ensure up-to-date estimates of project completion and close-out dates for the remaining active ARRA projects.	FHWA	\$0	\$0	\$0	Resolved
317	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	\$0	Resolved
318	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	\$0	Resolved
319	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	\$0	Resolved
320	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	\$0	Resolved
321	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	\$0	Resolved
322	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	\$0	Resolved
323	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 recommend that FHWA strengthen its controls for removing access of separated employees and contractors to ensure that access is removed immediately upon termination or at the point in time when access is no longer required, and ensure that other DOT components are aware of the requirement to immediately notify FHWA of separations.	FHWA	\$0	\$0	\$0	Resolved
324	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 recommend that FHWA management increase the precision of the FMIS user access review to include a review performed at the division level over the appropriateness of user access and access rights.	FHWA	\$0	\$0	\$0	Resolved
325	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 recommend that FHWA review the inputs into the cash flow model to ensure that the inputs are complete and accurate and agree to the underlying supporting documentation.	FHWA	\$0	\$0	\$0	Resolved
326	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 recommend that FHWA review the consolidated financial statements and footnote disclosures to ensure that they are prepared in accordance with the applicable accounting standards and contain all required disclosures.	FHWA	\$0	\$0	\$0	Resolved

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327	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 recommend that FHWA continue to take appropriate measures to ensure the audit logs are reviewed timely and documentation of the review is maintained.	FHWA	\$0	\$0	\$0	Resolved
328	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 recommend that FHWA management increase the level of precision of the monthly user access review process to evaluate user access based on "least privileged" necessary to perform their assigned tasks.	FHWA	\$0	\$0	\$0	Resolved
329	SA2015056 Highways Division Department of Transportation State of Hawaii	6/17/2015	We recommend FHWA ensure the State complies with Cash Management Requirements.	FHWA	\$0	\$0	\$0	Resolved
330	SA2015056 Highways Division Department of Transportation State of Hawaii	6/17/2015	We recommend FHWA ensure the State complies with the Davis-Bacon Act Requirements.	FHWA	\$0	\$0	\$0	Resolved
331	SA2015054 State of Louisiana Baton Rouge, Louisiana	6/17/2015	We recommend FHWA ensure the State complies with Special Tests and Provisions Requirements.	FHWA	\$0	\$0	\$0	Resolved
332	SA2015054 State of Louisiana Baton Rouge, Louisiana	6/17/2015	We recommend FHWA ensure the State complies with sub recipient Monitoring Requirements	FHWA	\$0	\$0	\$0	Resolved
333	SA2015054 State of Louisiana Baton Rouge, Louisiana	6/17/2015	We recommend FHWA recover \$90,739 from the State, if applicable.	FHWA	\$0	\$90,739	\$0	Resolved
334	SA2015061 State of Tennessee Nashville, Tennessee	6/17/2015	We recommend FHWA recover \$431,821 from the State, if applicable.	FHWA	\$0	\$431,821	\$0	Resolved
335	SA2015061 State of Tennessee Nashville, Tennessee	6/17/2015	We recommend FHWA ensure the State complies with the Activities Allowed or Unallowed and Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	\$0	Resolved
336	SA2015061 State of Tennessee Nashville, Tennessee	6/17/2015	We recommend FHWA recover \$8,399 from the State, if applicable.	FHWA	\$0	\$8,399	\$0	Resolved
337	SA2015061 State of Tennessee Nashville, Tennessee	6/17/2015	We recommend FHWA ensure the State complies with the Matching, Level of Effort, and Earmarking Requirements.	FHWA	\$0	\$0	\$0	Resolved
338	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	\$0	Resolved
339	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	\$0	Resolved
340	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	\$0	Resolved
341	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	\$0	Resolved
342	SA2015055 State of Texas, Comptroller of Public Accounts, Austin, Texas	6/17/2015	We recommend FHWA recover ensure the State complies with the Real Property Acquisition and Relocation Assistance and Special Tests and Provisions Requirements.	FHWA	\$0	\$0	\$0	Resolved
343	SA2015055 State of Texas, Comptroller of Public Accounts, Austin, Texas	6/17/2015	We recommend FHWA recover \$76,655 from the State, if applicable.	FHWA	\$0	\$76,655	\$0	Resolved
344	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	\$0	Resolved

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345	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	\$0	Resolved
346	SA2015053 State of Alaska, Juneau, Alaska	6/17/2015	We recommend FHWA recover \$16,981 from the State, if applicable.	FHWA	\$0	\$16,981	\$0	Resolved
347	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	\$0	Resolved
348	SA2015050 Stillaguamish Tribe of Indians Arlington, Washington	6/17/2015	We recommend FHWA ensure the Tribe complies with the Procurement Requirements.	FHWA	\$0	\$0	\$0	Resolved
349	SA2015050 Stillaguamish Tribe of Indians Arlington, Washington	6/17/2015	We recommend FHWA recover \$519,509 from the Tribe, if applicable.	FHWA	\$0	\$519,509	\$0	Resolved
350	SA2015052 Wyoming Department of Transportation Cheyenne, Wyoming	6/17/2015	We recommend FHWA ensure the Department complies with the Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	\$0	Resolved
351	SA2015052 Wyoming Department of Transportation Cheyenne, Wyoming	6/17/2015	We recommend FHWA ensure the Department complies with the Reporting Requirements.	FHWA	\$0	\$0	\$0	Resolved
352	SA2015052 Wyoming Department of Transportation Cheyenne, Wyoming	6/17/2015	We recommend FHWA ensure the Department complies with the sub recipient Monitoring Requirements.	FHWA	\$0	\$0	\$0	Resolved
353	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	\$0	Resolved
354	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	\$0	Resolved
355	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	\$0	Resolved
356	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	\$0	Resolved
357	SA2015087 State of California Sacramento, California	9/14/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	\$0	Unresolved
358	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	\$0	Unresolved
359	SA2015088 State of Georgia Atlanta, Georgia	9/14/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	\$0	Unresolved
360	SA2015091 State of Nevada Carson City, Nevada	9/14/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	\$0	Unresolved
361	SA2015091 State of Nevada Carson City, Nevada	9/14/2015	We recommend FHWA ensure the State complies with the Reporting Requirements.	FHWA	\$0	\$0	\$0	Unresolved
362	SA2015092 State of North Carolina Raleigh, North Carolina	9/14/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	\$0	Unresolved

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363	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	\$0	Unresolved
364	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	\$0	Unresolved
365	SA2015094 State of Washington Olympia, Washington	9/14/2015	We recommend FHWA ensure the State complies with the Reporting Requirements.	FHWA	\$0	\$0	\$0	Unresolved
366	SA2015085 Commonwealth of Pennsylvania Harrisburg, Pennsylvania	9/14/2015	We recommend FHWA ensure the Commonwealth complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	\$0	Resolved
367	SA2015086 Commonwealth of Virginia Richmond, Virginia	9/14/2015	We recommend FHWA ensure the Commonwealth complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	\$0	Resolved
368	SA2015086 Commonwealth of Virginia Richmond, Virginia	9/14/2015	We recommend FHWA ensure the Commonwealth complies with the Reporting Requirements.	FHWA	\$0	\$0	\$0	Resolved
369	SA2015086 Commonwealth of Virginia Richmond, Virginia	9/14/2015	We recommend FHWA ensure the Commonwealth complies with the Special Test and Provisions Requirements.	FHWA	\$0	\$0	\$0	Resolved
370	SA2015089 State of Indiana Indianapolis, Indiana	9/14/2015	We recommend FHWA ensure the State complies with the Davis-Bacon Act Requirements.	FHWA	\$0	\$0	\$0	Resolved
371	SA2015089 State of Indiana Indianapolis, Indiana	9/14/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	\$0	Resolved
372	SA2015091 State of Nevada Carson City, Nevada	9/14/2015	We recommend FHWA ensure the State complies with the Davis-Bacon Act Requirements.	FHWA	\$0	\$0	\$0	Resolved
373	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	\$0	Unresolved
374	SA2015095 State of Florida Tallahassee, Florida	9/15/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	\$0	Unresolved
375	SA2015096 State of Connecticut Hartford, Connecticut	9/15/2015	We recommend FHWA ensure the State complies with the Special Test and Provisions Requirements .	FHWA	\$0	\$0	\$0	Unresolved
376	SA2015096 State of Connecticut Hartford, Connecticut	9/15/2015	We recommend FHWA ensure the State complies with the Reporting Requirements.	FHWA	\$0	\$0	\$0	Unresolved
377	SA2015096 State of Connecticut Hartford, Connecticut	9/15/2015	We recommend FHWA ensure the State complies with the Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	\$0	Unresolved
378	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.	FHWA	\$0	\$0	\$0	Unresolved
379	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	\$0	Resolved
380	SA2015102 State of Colorado Denver, Colorado	9/21/2015	We recommend FHWA ensure the State complies with the Reporting Requirements.	FHWA	\$0	\$0	\$0	Unresolved
381	SA2015102 State of Colorado Denver, Colorado	9/21/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	\$0	Unresolved
382	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	\$0	Unresolved

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383	SA2015103 State of Wisconsin Madison, Wisconsin	9/21/2015	We recommend FHWA to 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	\$0	Unresolved
384	SA2015104 State of Illinois Springfield, Illinois	9/21/2015	We recommend FHWA ensure the State complies with the Davis-Bacon Act Requirements.	FHWA	\$0	\$0	\$0	Unresolved
385	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	\$0	Unresolved
386	SA2015104 State of Illinois Springfield, Illinois	9/21/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	\$0	Unresolved
387	SA2015104 State of Illinois Springfield, Illinois	9/21/2015	We recommend OST ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	\$0	Unresolved
388	SA2015104 State of Illinois Springfield, Illinois	9/21/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	\$0	Unresolved
389	SA2015105 State of New Jersey Trenton, New Jersey	9/21/2015	We recommend FHWA ensure the State complies with the Reporting Requirements.	FHWA	\$0	\$0	\$0	Unresolved
390	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	\$0	Unresolved
391	SA2015107 State of Rhode Island and Providence Plantations Providence, Rhode Island	9/21/2015	We recommend FHWA recover \$34,870 from the State, if applicable.	FHWA	\$0	\$34,870	\$0	Unresolved
392	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	\$0	Unresolved
393	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	\$0	Resolved
394	MH2014007 Improvements Needed in FMCSA's Plan for Inspecting Buses At The United States-Mexico Border	11/26/2013	Negotiate a written agreement with United States Customs and Border Protection, at the Headquarters level, to establish standard inspection protocols for safe and efficient bus inspections across the border.	FMCSA	\$0	\$0	\$0	Resolved
395	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	\$0	Resolved
396	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	\$0	Resolved
397	SA2013134 National Railroad Passenger Corporation AMTRAK	9/13/2013	We recommend FRA ensure that AMTRAK complies with Cash Management requirements.	FRA	\$0	\$0	\$0	Resolved

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398	SA2013134 National Railroad Passenger Corporation AMTRAK	9/13/2013	We recommend FRA ensure that AMTRAK complies with Special Tests and Provisions requirements.	FRA	\$0	\$0	\$0	Resolved
399	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	\$0	Resolved
400	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 define and communicate the extent of FRA's authority in the authority having jurisdiction (AHJ) role to the appropriate parties; designate individuals or offices within FRA to assume responsibility for AHJ tasks; and oversee compliance with building and safety codes, and their process for reviewing and enforcing building code and safety issues that may arise.	FRA	\$0	\$0	\$0	Resolved
401	FI2014033 Inadequate Planning, Limited Revenue, and Rising Costs Undermine Efforts to Sustain Washington, DC's Union Station	4/1/2014	We recommend that the Secretary and the Federal Railroad Administrator, or their designees, as Chair and member of the Union Station Redevelopment Corporation Board of Directors pursue actions to update Union Station Redevelopment Corporation's Union Station Master Plan to include coordination with Amtrak, Akridge, and other related stakeholders.	FRA	\$0	\$0	\$0	Resolved
402	FI2014033 Inadequate Planning, Limited Revenue, and Rising Costs Undermine Efforts to Sustain Washington, DC's Union Station	4/1/2014	We 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	\$0	Resolved
403	SA2014114 State of Missouri	9/12/2014	We recommend FRA ensure the State complies with Davis-Bacon Act Requirements.	FRA	\$0	\$0	\$0	Resolved
404	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	\$0	Resolved
405	SA2015032 National Railroad Passenger Corporation and Subsidiaries (Amtrak), Washington, D.C.	3/2/2015	We recommend FRA ensure that Amtrak complies with Equipment and Real Property Management Requirements.	FRA	\$0	\$0	\$0	Resolved
406	SA2015032 National Railroad Passenger Corporation and Subsidiaries (Amtrak), Washington, D.C.	3/2/2015	We recommend FRA ensure that Amtrak complies with Cash Management Requirements.	FRA	\$0	\$0	\$0	Resolved
407	SA2015032 National Railroad Passenger Corporation and Subsidiaries (Amtrak), Washington, D.C.	3/2/2015	We recommend FRA ensure that Amtrak complies with Special Tests and Provisions Requirements.	FRA	\$0	\$0	\$0	Resolved
408	SA2015032 National Railroad Passenger Corporation and Subsidiaries (Amtrak), Washington, D.C.	3/2/2015	We recommend FRA ensure that Amtrak complies Reporting Requirements.	FRA	\$0	\$0	\$0	Resolved
409	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	\$0	Resolved

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410	SA2015067 Commonwealth of Massachusetts Boston, Massachusetts	7/20/2015	We recommend FRA ensure the Commonwealth complies with Subrecipient Monitoring Requirements.	FRA	\$0	\$0	\$0	Resolved
411	SA2015087 State of California Sacramento, California	9/14/2015	We recommend FRA ensure the State complies with the Cash Management Requirements.	FRA	\$0	\$0	\$0	Unresolved
412	SA2015087 State of California Sacramento, California	9/14/2015	We recommend FRA ensure the State complies with the Davis-Bacon Act Requirements.	FRA	\$0	\$0	\$0	Unresolved
413	SA2015087 State of California Sacramento, California	9/14/2015	We recommend FRA ensure the State complies with the Reporting Requirements.	FRA	\$0	\$0	\$0	Unresolved
414	SA2015092 State of North Carolina Raleigh, North Carolina	9/14/2015	We recommend FRA ensure the State complies with the Davis-Bacon Act Requirements.	FRA	\$0	\$0	\$0	Unresolved
415	SA2015092 State of North Carolina Raleigh, North Carolina	9/14/2015	We recommend FRA ensure the State complies with the Reporting Requirements.	FRA	\$0	\$0	\$0	Unresolved
416	SA2015104 State of Illinois Springfield, Illinois	9/21/2015	We recommend FRA ensure the State complies with Reporting Requirements.	FRA	\$0	\$0	\$0	Unresolved
417	SA2015109 State of Michigan Lansing, Michigan	9/22/2015	We recommend FRA ensure the State complies with the Activities Allowed or Unallowable and Allowable Costs/Cost Principles Requirements.	FRA	\$0	\$0	\$0	Unresolved
418	SA2015109 State of Michigan Lansing, Michigan	9/22/2015	We recommend FRA ensure the State complies with the Reporting Requirements.	FRA	\$0	\$0	\$0	Unresolved
419	SA2015109 State of Michigan Lansing, Michigan	9/22/2015	We recommend FRA ensure the State complies with the Subrecipient Monitoring Requirements.	FRA	\$0	\$0	\$0	Unresolved
420	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	\$0	Resolved
421	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. This finding affects ARRA funds	FTA	\$0	\$0	\$0	Resolved
422	SA2011124 State of Tennessee	6/13/2011	We recommend FTA recover \$23,511 from the State.	FTA	\$0	\$23,511	\$0	Resolved
423	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	\$0	Resolved
424	SA2012103 State of Tennessee	5/2/2012	We recommend FTA recover \$17,867 from the State.	FTA	\$0	\$17,867	\$0	Resolved
425	SA2012112 Puerto Rico Metropolitan Bus Authority	5/3/2012	We recommend that FTA ensure the Authority maintains perpetual inventory records.	FTA	\$0	\$0	\$0	Resolved
426	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Develop performance measures to assess the effectiveness of the outcomes of its overall Oversight Program, in addition to the timeliness of program outputs currently measured.	FTA	\$0	\$0	\$0	Resolved
427	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	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	\$0	Resolved
428	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Revise and finalize policies and procedures for using remedies and sanctions, including application of a risk-base approach for their use.	FTA	\$0	\$0	\$0	Resolved



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429	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Require FTA Headquarter staff to track and oversee each region's use of remedies and sanctions.	FTA	\$0	\$0	\$0	Resolved
430	SA2013015 Commuter Rail Division of the Regional Transportation Authority and the Northeast Illinois Regional Commuter Railroad Corporation (METRA)	11/15/2012	We recommend that FTA recover \$1,267,845 from METRA.	FTA	\$0	\$1,267,845	\$0	Resolved
431	SA2013131 City of Middletown, Ohio	9/13/2013	We recommend FTA recover \$70,795 from the City, if applicable.	FTA	\$0	\$70,795	\$0	Resolved
432	MH2014008 Initial Assessment of FTA's Oversight of The Emergency Relief Program and Hurricane Sandy Relief Funds	12/3/2013	Finalize ERP guidance that incorporates, as appropriate, lessons learned from emergency and best practices from Departmental and other Federal emergency relief guidance.	FTA	\$0	\$0	\$0	Resolved
433	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Continue with plans to add FMS into the SIEM tool.	FTA	\$0	\$0	\$0	Resolved
434	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Prior to the implementation of SIEM, we recommend that FTA implement policies and procedures to formally document and track audit logs reviews of FMS, including a date and time stamp with the reviewers' electronic signature.	FTA	\$0	\$0	\$0	Resolved
435	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	We recommend that DOT or FTA: Emphasize, through training, the importance of Inspector General Act of 1978, as amended and DOT Order 8000.6B to ensure that all FTA employees understand the provisions of the laws and regulations when responding to Office of Inspector General auditor's inquiries and requests.	FTA	\$0	\$0	\$0	Resolved
436	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	We recommend that DOT or FTA: Perform a review of FTA's control environment using one of the various tools (available from the GAO, or organizations such as the Committee of Sponsoring Organizations of the Treadway Commission – COSO) to assess entity level control effectiveness at FTA. Based on the outcome of this review, take steps to improve the control environment of FTA, including establishing management oversight functions that ensure effective internal controls over financial reporting.	FTA	\$0	\$0	\$0	Resolved
437	ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	Conduct a Financial Management Oversight Review of MWAA, to include a review of financial reporting, general accounting, and allowable costs related to procurement and payroll.	FTA	\$0	\$0	\$0	Resolved
438	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	\$0	Resolved
439	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 revises previously submitted claims for reimbursement to eliminate inadequately supported and unallowable costs.	FTA	\$0	\$2,000	\$0	Resolved

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440	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	\$0	Resolved
441	ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	Implements a revised claim preparation process, so that requests for reimbursement are based on complete, accurate accounting data that adequately identify the use of all grant funds. This process should provide instructions to staff on the appropriate use of project codes and include periodic reviews to ensure that staff appropriately charge the project codes.	FTA	\$0	\$0	\$0	Resolved
442	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 revises its policies for travel reimbursement, purchase cards transactions, and rail project invoices to include FTA requirements; and provides training to MWAA staff on these policy revisions.	FTA	\$0	\$0	\$0	Resolved
443	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, using the accounting system, to (a) track reversals made to reimbursement claims, (b) reconcile reversals and related claims to determine if the amounts reversed are equal to the actual amounts FTA reimbursed MWAA for the claims, and (c) recover any overpayments.	FTA	\$0	\$0	\$0	Resolved
444	SA2014023 Puerto Rico Highways and Transportation Authority	1/23/2014	Ensure the Authority prepares its SEFA in a timely manner.	FTA	\$0	\$0	\$0	Resolved
445	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	\$0	Resolved
446	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	\$0	Resolved
447	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	\$0	Resolved
448	MH2014117 FTA's National Transit Database: Data Used for Allocating Transit Grants Were Generally Supported	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	\$0	Resolved

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449	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	\$0	Resolved
450	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	\$0	Resolved
451	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommends that FTA revise their process for monitoring obligations in order to timely identify and de-obligate stale obligations.	FTA	\$0	\$0	\$0	Resolved
452	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 FFMA.	FTA	\$0	\$0	\$0	Resolved
453	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	\$0	Resolved
454	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 recommend that FTA implement re-authentication requirements, in accordance with the DOT Cyber Security Compendium, in the grant management system utilized by FTA.	FTA	\$0	\$0	\$0	Resolved
455	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 recommend that FTA implement procedures to remove application access for separated employees and contractors immediately upon termination.	FTA	\$0	\$0	\$0	Resolved
456	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	\$0	Resolved
457	ST2015046 FTA Has Not Full Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts	6/12/2015	Enhance internal control processes for future force account funding by establishing clear funding criteria for future emergency relief efforts, which include the specific types of applicant documentation required to receive this funding.	FTA	\$0	\$0	\$0	Resolved

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458	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	\$0	Resolved
459	ST2015046 FTA Has Not Full Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts	6/12/2015	Develop and implement enhanced controls to ensure that monthly ERP FFR and MPR review processes, as outlined in the ERP Toolkit, are fully implemented by regional office personnel and documentation is aligned with Federal internal control standards guidance.	FTA	\$0	\$0	\$0	Resolved
460	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	\$0	Resolved
461	SA2015062 New Mexico Department of Transportation Santa Fe, New Mexico	6/17/2015	We recommend FTA ensure the Department complies with the Reporting Requirements.	FTA	\$0	\$0	\$0	Resolved
462	SA2015060 City of Albuquerque, New Mexico	6/17/2015	We recommend FTA ensure the City complies with the Equipment and Real Property Management Requirements.	FTA	\$0	\$0	\$0	Resolved
463	SA2015060 City of Albuquerque, New Mexico	6/17/2015	We recommend FTA ensure the City complies with the Procurement and Suspension and Debarment Requirements.	FTA	\$0	\$0	\$0	Resolved
464	SA2015060 City of Albuquerque, New Mexico	6/17/2015	We recommend FTA ensure the City complies with the Allowable Costs/Cost Principles Requirements.	FTA	\$0	\$0	\$0	Resolved
465	SA2015061 State of Tennessee Nashville, Tennessee	6/17/2015	We recommend FTA ensure the State complies with the Activities Allowed or Unallowed and/or Allowable Costs/Cost Principles Requirements.	FTA	\$0	\$0	\$0	Resolved
466	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	\$0	Resolved
467	SA2015057 Los Angeles County Metropolitan Transportation Authority Los Angeles, California	6/17/2015	We recommend FTA ensure the Authority complies with the Davis-Bacon Act Requirements.	FTA	\$0	\$0	\$0	Resolved
468	SA2015057 Los Angeles County Metropolitan Transportation Authority Los Angeles, California	6/17/2015	We recommend FTA ensure the Authority complies with the Procurement and Suspension and Debarment Requirements.	FTA	\$0	\$0	\$0	Resolved
469	SA2015057 Los Angeles County Metropolitan Transportation Authority Los Angeles, California	6/17/2015	We recommend FTA recover \$172,023 from the Authority, if applicable.	FTA	\$0	\$172,023	\$0	Resolved
470	SA2015051 San Francisco Bay Area Rapid Transit District, Oakland, California	6/17/2015	We recommend FTA ensure the District complies with the Davis-Bacon Act Requirements.	FTA	\$0	\$0	\$0	Resolved
471	SA2015052 Wyoming Department of Transportation Cheyenne, Wyoming	6/17/2015	We recommend FTA ensure the Department complies with the Reporting Requirements.	FTA	\$0	\$0	\$0	Resolved
472	SA2015068 State of Nebraska Lincoln, Nebraska	7/20/2015	We recommend FTA ensure the State complies with the Subrecipient Monitoring Requirements.	FTA	\$0	\$0	\$0	Resolved
473	SA2015068 State of Nebraska Lincoln, Nebraska	7/20/2015	We recommend FTA recover \$79,629 from the State, if applicable.	FTA	\$0	\$79,629	\$0	Resolved

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474	SA2015068 State of Nebraska Lincoln, Nebraska	7/20/2015	We recommend FTA ensure the State complies with the Earmarking Requirements.	FTA	\$0	\$0	\$0	Resolved
475	SA2015069 City of El Paso El Paso, Texas	7/20/2015	We recommend FTA ensure the City complies with the Subrecipient Monitoring Requirements.	FTA	\$0	\$0	\$0	Resolved
476	SA2015069 City of El Paso El Paso, Texas	7/20/2015	We recommend FTA recover \$130,930 (\$27,690 on Finding 002 and \$103,240 on Finding 003) from the City, if applicable.	FTA	\$0	\$130,930	\$0	Resolved
477	SA2015070 Capital Metropolitan Transit Authority Austin, Texas	7/20/2015	We recommend FTA ensure the Authority complies with the Reporting Requirements.	FTA	\$0	\$0	\$0	Resolved
478	SA2015090 State of Maryland Annapolis, Maryland	9/14/2015	We recommend FTA ensure the State complies with the Procurement and Suspension and Debarment Requirements.	FTA	\$0	\$0	\$0	Unresolved
479	SA2015087 State of California Sacramento, California	9/14/2015	We recommend FTA ensure the State complies with the Reporting Requirements.	FTA	\$0	\$0	\$0	Resolved
480	SA2015087 State of California Sacramento, California	9/14/2015	We recommend FTA ensure the State complies with the Subrecipient Monitoring Requirements.	FTA	\$0	\$0	\$0	Resolved
481	SA2015087 State of California Sacramento, California	9/14/2015	We recommend FTA ensure the State complies with the Equipment and Real Property Management Requirements.	FTA	\$0	\$0	\$0	Resolved
482	SA2015092 State of North Carolina Raleigh, North Carolina	9/14/2015	We recommend FTA ensure the State complies with the Special Tests and Provisions Requirements	FTA	\$0	\$0	\$0	Resolved
483	SA2015092 State of North Carolina Raleigh, North Carolina	9/14/2015	We recommend FTA ensure the State complies with the Reporting Requirements.	FTA	\$0	\$0	\$0	Resolved
484	SA2015092 State of North Carolina Raleigh, North Carolina	9/14/2015	We recommend FTA ensure the State complies with Subrecipient Monitoring Requirements.	FTA	\$0	\$0	\$0	Resolved
485	SA2015095 State of Florida Tallahassee, Florida	9/15/2015	We recommend FTA ensure the State complies with the Reporting Requirements.	FTA	\$0	\$0	\$0	Unresolved
486	SA2015096 State of Connecticut Hartford, Connecticut	9/15/2015	We recommend FTA ensure the State complies with the Special Test and Provisions Requirements.	FTA	\$0	\$0	\$0	Unresolved
487	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	\$0	Unresolved
488	SA2015106 State of Oklahoma, Oklahoma City, Oklahoma	9/21/2015	We recommend FTA ensure the State complies with the Reporting Requirements.	FTA	\$0	\$0	\$0	Unresolved
489	SA2015108 Southern CA Regional Rail Authority Los Angeles, California	9/22/2015	We recommend FTA ensure the State complies with the Equipment and Real Property Management Requirements.	FTA	\$0	\$0	\$0	Unresolved
490	SA2015110 Commuter Rail Division of the Regional Transportation Authority and the Northeast Illinois Regional Commuter Rail Corporation Chicago, Illinois	9/22/2015	We recommend FTA ensure METRA complies with the Reporting Requirements.	FTA	\$0	\$0	\$0	Unresolved
491	CR2013117 MARAD Has Taken Steps To Develop a Port Infrastructure Development Program But Is Challenged in Managing Its Current Port Projects	8/2/2013	Provide a comprehensive action plan for developing a congressionally mandated Port Infrastructure Development Program (PIDP), including milestones for incorporating each of the preceding recommendations into the program. The plan should also require MARAD to prepare clear and specific budget requests that specify how the Agency would use all Federal funding received for PIDP purposes.	MARAD	\$0	\$0	\$0	Resolved

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492	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	\$0	Resolved
493	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	\$0	Resolved
494	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	\$0	Resolved
495	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	\$0	Resolved
496	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 procedure for issuing Office of Audit policies, including approval of the policies by senior management and the Board.	MWAA	\$0	\$0	\$0	Resolved

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497	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	\$0	Resolved
498	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	\$0	Resolved
499	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	\$0	Resolved

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500	MH2013040 NHTSAs 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	\$0	Resolved
501	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	\$0	Resolved
502	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	\$0	Resolved
503	SA2015062 New Mexico Department of Transportation Santa Fe, New Mexico	6/17/2015	We recommend NHTSTA ensure the Department complies with the Reporting Requirements.	NHTSA	\$0	\$0	\$0	Resolved
504	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	\$0	Resolved
505	SA2015049 State of Delaware Dover, Delaware	6/17/2015	We recommend NHTSA ensure the State complies with the Level of Effort Requirements.	NHTSA	\$0	\$0	\$0	Resolved
506	SA2015052 Wyoming Department of Transportation Cheyenne, Wyoming	6/17/2015	We recommend NHTSA ensure the Department complies with the Reporting Requirements.	NHTSA	\$0	\$0	\$0	Resolved
507	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop and implement guidance on the amount and type of information needed to determine whether a potential safety defect warrants an investigation proposal and investigation.	NHTSA	\$0	\$0	\$0	Resolved
508	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	\$0	Resolved
509	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Document and establish procedures for enforcing timeframes for deciding whether to open investigations; and establish a process for documenting justifications for these decisions.	NHTSA	\$0	\$0	\$0	Resolved
510	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	\$0	Resolved
511	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	\$0	Resolved



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512	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Require manufacturers to develop and adhere to procedures for complying with early warning reporting requirements; and require ODI to review these procedures periodically.	NHTSA	\$0	\$0	\$0	Resolved
513	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	\$0	Resolved
514	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	\$0	Resolved
515	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	\$0	Resolved
516	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	\$0	Resolved
517	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	\$0	Resolved
518	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	\$0	Resolved
519	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	\$0	Resolved
520	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	\$0	Resolved
521	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Document supervisory review throughout the pre-investigative process including data screening.	NHTSA	\$0	\$0	\$0	Resolved
522	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	\$0	Resolved
523	QC2014011 Quality Control Review of Audited Financial Statements for Fiscal Years 2013 and 2012 National Transportation Safety Board	12/6/2013	Track identified posting model errors, quantify the impact of the errors, and make necessary adjustments to correct financial statements and budgetary reports.	NTSB	\$0	\$0	\$0	Resolved

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524	QC2014011 Quality Control Review of Audited Financial Statements for Fiscal Years 2013 and 2012 National Transportation Safety Board	12/6/2013	Ensure new accounting events are properly researched and recorded.	NTSB	\$0	\$0	\$0	Resolved
525	QC2014011 Quality Control Review of Audited Financial Statements for Fiscal Years 2013 and 2012 National Transportation Safety Board	12/6/2013	Strengthen internal controls in relation to the preparation of the financial statements, and the proper classification of accounts payable and other liabilities.	NTSB	\$0	\$0	\$0	Resolved
526	QC2014011 Quality Control Review of Audited Financial Statements for Fiscal Years 2013 and 2012 National Transportation Safety Board	12/6/2013	Review the agency's financial statement compilation and presentation operational guidance, and update it periodically to ensure that financial statements are presented in accordance with FASAB and OMB requirements, and address the control issues discussed in this report.	NTSB	\$0	\$0	\$0	Resolved
527	QC2014011 Quality Control Review of Audited Financial Statements for Fiscal Years 2013 and 2012 National Transportation Safety Board	12/6/2013	Strengthen supervisory reviews of interim and year-end financial statements presented to OMB and for audit, and maintaining documentation of these reviews. Ensure that meaningful variance analyses of current and prior year financial statements and footnotes are made and documented.	NTSB	\$0	\$0	\$0	Resolved
528	QC2015008 Quality Control Review of Audited Financial Statements for Fiscal Years 2014 and 2013, National Transportation Safety Board	11/10/2014	Provide training to applicable OCFO personnel concerning the agency's internal controls over financial reporting to ensure that controls are more effectively implemented over the processing of JVs, and compilation and presentation errors are eliminated.	NTSB	\$0	\$0	\$0	Resolved
529	QC2015028 QCR of the NTSB Management Letter for the Audit of the Fiscal Years 2014 and 2013 Financial Statements	2/25/2015	Reestablish accounting processes to recognize unearned revenue for these accounting events in accordance with FASAB standards.	NTSB	\$0	\$0	\$0	Resolved
530	QC2015028 QCR of the NTSB Management Letter for the Audit of the Fiscal Years 2014 and 2013 Financial Statements	2/25/2015	Strengthen processes over the identification and correction of posting model errors to ensure that these errors are timely corrected by the service provider.	NTSB	\$0	\$0	\$0	Resolved
531	QC2015028 QCR of the NTSB Management Letter for the Audit of the Fiscal Years 2014 and 2013 Financial Statements	2/25/2015	Discuss the posting errors identified in this report with appropriate OCFO personnel to ensure that these and similar conditions are not repeated.	NTSB	\$0	\$0	\$0	Resolved
532	FI2010023 Audit of DOT's Information Security Program and Practices	11/18/2009	Ensure accurate information is used to monitor Operating Administrations progress in correcting security weaknesses.	OST	\$0	\$0	\$0	Resolved
533	FI2010023 Audit of DOT's Information Security Program and Practices	11/18/2009	Improve its quality assurance checks on the Operating Administrations certifications and accreditations by increasing the frequency and scope of its checks, communicating results and expected actions to the Operating Administrations, requiring updated plan of actions and milestones to address weaknesses noted (including those found in the Inspector General reviews), and follow-up on resolution of weaknesses noted.	OST	\$0	\$0	\$0	Resolved
534	FI2011006 ARRA Websites Are Vulnerable to Hackers and Carry Security Risks	10/22/2010	Take immediate actions to correct the high-risk vulnerabilities found on ARRA-related Websites and databases.	OST	\$0	\$0	\$0	Resolved

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535	FI2011006 ARRA Websites Are Vulnerable to Hackers and Carry Security Risks	10/22/2010	Ensure that the planned corrections of other weaknesses identified during this audit are tracked and monitored in the OAs' Plan of Actions and Milestones (POA&M) system	OST	\$0	\$0	\$0	Resolved
536	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	\$0	Resolved
537	FI2011022 Timely Actions Needed to Improve DOT's Cybersecurity	11/15/2010	Review the results of OA assessments to determine an accurate inventory of contractor systems.	OST	\$0	\$0	\$0	Resolved
538	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	\$0	Resolved
539	FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	11/14/2011	In conjunction with the OA CIOs, execute a strategy to ensure that sufficient procedural guidance exists for DOT and the Components.	OST	\$0	\$0	\$0	Resolved
540	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 CIO's establish incident monitoring and detection capabilities to include all of the Department's systems and facilitate central and real-time reporting.	OST	\$0	\$0	\$0	Resolved
541	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	\$0	Resolved
542	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, verify that minimum security controls are adequately tested for deficient systems.	OST	\$0	\$0	\$0	Resolved
543	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	\$0	Resolved
544	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	\$0	Resolved

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545	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	\$0	Resolved
546	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	\$0	Resolved
547	FI2012086 DOT Does Not Have an Effective Enterprise Architecture Program for Management of Information Technology Changes	4/17/2012	Identify and report EA performance measure results, outcomes and progress to DOT's Governance groups and decision makers to ensure that they have the proper information to make EA and related information security decisions.	OST	\$0	\$0	\$0	Resolved
548	FI2012086 DOT Does Not Have an Effective Enterprise Architecture Program for Management of Information Technology Changes	4/17/2012	Create a Departmentwide EA that is consistent with OMB and GAO's frameworks and meets the requirements of the Clinger-Cohen Act.	OST	\$0	\$0	\$0	Resolved
549	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	\$0	Resolved
550	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	\$0	Resolved
551	AV2013006 MWAA's Weak Policies and Procedures Have Led to Questionable Procurement Practices Mismanagement and a Lack of Overall Accountability	11/1/2012	Implement a plan with milestones to revise contracting policies and procedures to reflect Federal and other best practices, including the following: a. Publicly announce intent to award sole source contracts. b. Minimize categorical exceptions to full and open competition and explicitly state the conditions under which an exception can be used. c. Limit the involvement of the Board of Directors and individual Board members in contracting and prohibit their ability to bypass contracting officers. d. Ensure fair opportunity in the awarding of task orders under multiple-award contracts and ensure contracting officers adequately justify their selections of contractors. e. Limit and monitor delegations of procurement authority. f. Require program offices to prepare annual forecasts of their acquisition needs.	OST	\$0	\$0	\$0	Resolved
552	FI2013014 FISMA 2012: Ongoing Weaknesses Impede DOT's Progress Toward Effective Information Security	11/14/2012	Work with Operating Administrations to enhance and develop their internal procedures for inheriting controls, continuous monitoring, and capital planning to better address key NIST requirements.	OST	\$0	\$0	\$0	Resolved

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553	FI2013014 FISMA 2012: Ongoing Weaknesses Impede DOT's Progress Toward Effective Information Security	11/14/2012	Develop, document and approve an enterprise-wide risk management program and strategy as defined by NIST 800-39.	OST	\$0	\$0	\$0	Resolved
554	FI2013014 FISMA 2012: Ongoing Weaknesses Impede DOT's Progress Toward Effective Information Security	11/14/2012	Identify and work with common control providers to develop and implement a security plan that will ensure that systems that inherit common controls are adequately protected and C&A'd.	OST	\$0	\$0	\$0	Resolved
555	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	\$0	Resolved
556	ZA2013072 Weaknesses in the Department's Disadvantaged Business Enterprise Program Limit Achievement Of Its Objectives	4/23/2013	Require that recipients track and regularly report utilization data to the Operating Administrations, including each DBE's number of years in the program and the number of DBE subcontracts or prime contracts received since first becoming certified.	OST	\$0	\$0	\$0	Unresolved
557	ZA2013072 Weaknesses in the Department's Disadvantaged Business Enterprise Program Limit Achievement Of Its Objectives	4/23/2013	Require that the Operating Administrations work with recipients to develop ways to improve utilization rates and require the establishment of Business Development Programs for firms that have not received DBE work for several years.	OST	\$0	\$0	\$0	Unresolved
558	ZA2013072 Weaknesses in the Department's Disadvantaged Business Enterprise Program Limit Achievement Of Its Objectives	4/23/2013	Develop program performance measures to regularly assess the DBE program and evaluate whether it is achieving its objectives.	OST	\$0	\$0	\$0	Resolved
559	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	\$0	Resolved
560	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	\$0	Resolved
561	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	\$0	Resolved
562	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	\$0	Resolved

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563	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	\$0	Resolved
564	FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Increase oversight of OA's processes for configuration management and verify that mitigating activities and initiated, executed, and completed in accordance with DOT policy and NIST guidance. Report exceptions to OA management.	OST	\$0	\$0	\$0	Resolved
565	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	\$0	Resolved
566	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 from Operating Administrations to enhance and develop their internal procedures for continuous monitoring in accordance with NIST guidance. Report to OA management any delays in completing the procedural guidance.	OST	\$0	\$0	\$0	Resolved
567	FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Review systems to determine which ones are contractor operated and update CSAM accordingly. As part of the compliance review process, review new systems to determine if they are contractor operated.	OST	\$0	\$0	\$0	Resolved
568	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	\$0	Resolved
569	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	\$0	Resolved
570	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Develop a department-wide requirement for the periodic operating administration certification of the open obligation balance that is inactive for twelve or more months (validity).	OST	\$518,000,000	\$0	\$0	Resolved
571	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	\$0	Resolved
572	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	\$0	Resolved

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573	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Continue to provide department-wide training related to grants management, including the monitoring and close-out process.	OST	\$0	\$0	\$0	Resolved
574	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Require that FHWA emphasize the timely review and de-obligation of stale obligations in accordance with the revised Financial Integrity Review and Evaluation (FIRE) program.	OST	\$0	\$0	\$0	Resolved
575	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Require that FTA review their processes for monitoring obligations in order to more timely identify and de-obligate stale obligations.	OST	\$0	\$0	\$0	Resolved
576	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Develop a report that reflects a complete population of open UCO balances, by agreement number, as of a period-end date.	OST	\$0	\$0	\$0	Resolved
577	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Implement policies and procedures, whereby the DOT OAs, with material unfilled customer order balances, monitor and review its open UCO balances using the above report for completeness, accuracy, and validity.	OST	\$0	\$0	\$0	Resolved
578	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Perform a reconciliation of reimbursable expenditures to reimbursable revenue, at the agreement level, to ensure reimbursable revenue is properly recognized in the appropriate accounting period and all material reconciling items are investigated.	OST	\$0	\$0	\$0	Resolved
579	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Provide training on the execution, monitoring and reporting of UCOs in accordance with the newly established policies and procedures.	OST	\$0	\$0	\$0	Resolved
580	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Follow the established policies and procedures and finish development of a business intelligence (BI) report to monitor Fund 15X015P633 monthly. In addition, record any necessary year-end accrual and adjusting entries to ensure the full cost recovery program reports a zero balance at year-end.	OST	\$0	\$0	\$0	Resolved
581	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	\$0	Resolved
582	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	\$0	Resolved

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583	ZA2014019 DOT's Efforts to Reduce Spending on Management Support Services Contracts Have Been Delayed	1/15/2014	We recommend that the Office of the Senior Procurement Executive and Office of Chief Financial Officer jointly develop a Departmentwide policy and comprehensive implementation plan to help DOT focus on its management support services spending and better manage its management support services contracts in Phases 2 and 3 of the Department's strategic sourcing initiative. At a minimum, this implementation plan should (a) contain targets and milestones for reducing and controlling management support services contract spending, (b) identify strategies and approaches to achieve these targets and milestones, and (c) define key stakeholders' roles and responsibilities for meeting these targets and milestones.	OST	\$0	\$0	\$0	Resolved
584	ZA2014019 DOT's Efforts to Reduce Spending on Management Support Services Contracts Have Been Delayed	1/15/2014	We recommend that the Office of the Senior Procurement Executive and Office of the Chief Financial Officer jointly implement additional internal controls, such as those cited in the Office of Management and Budget's November 2011 memorandum, to ensure efficient and effective spending on management support services contracts, orders, and options under existing contracts.	OST	\$0	\$0	\$0	Resolved
585	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	\$0	Resolved
586	QC2014053 Quality Control Review of Controls over DOT's Protection of Privacy Information	6/5/2014	We recommend the DOT Chief Information Officer implements and monitors a process for ensuring information system security controls are implemented and operating according to federal requirements and DOT policy in order to assist with safeguarding the confidentiality of PII.	OST	\$0	\$0	\$0	Resolved
587	QC2014053 Quality Control Review of Controls over DOT's Protection of Privacy Information	6/5/2014	We recommend the Operating Administration Privacy Officers ensure ongoing validation of specific privacy related security controls for their systems are in effect, including those that safeguard confidentiality, provide secure remote access, encryption of back up media, follow up of unauthorized mobile devices, and proper user account and password settings in accordance with DOT policy. In addition, implement procedures requiring Operating Administrations to report non-compliance in their systems to the DOT Chief Privacy Officer.	OST	\$0	\$0	\$0	Resolved



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588	SA2014116 State of Illinois	9/12/2014	Ensure the State complies with Information System Requirements.	OST	\$0	\$0	\$0	Resolved
589	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	\$0	Resolved
590	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Conduct and document quarterly internal S&D meetings with all Operating Administrations and S&D stakeholders, as established in the DOT S&D Order.	OST	\$0	\$0	\$0	Unresolved
591	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Implement a detailed process for OSPE staff to regularly evaluate Operating Administrations' compliance with departmental and Federal timeframes for reporting to SAM (3 days for procurement actions; 5 days for non-procurement actions). This process should include follow-up actions to correct instances of noncompliance.	OST	\$0	\$0	\$0	Resolved
592	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	\$0	Resolved
593	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	\$0	Resolved
594	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	\$0	Resolved
595	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Revise the DOT S&D Order to reflect the transition to SAM—including revised Federal timeframes for entering data into SAM.	OST	\$0	\$0	\$0	Resolved
596	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	\$0	Resolved

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597	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	\$0	Unresolved
598	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	\$0	Unresolved
599	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	\$0	Unresolved
600	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	\$0	Unresolved
601	AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	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	\$0	Resolved
602	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 revise the Department's AECM policy to develop procedural requirements that document activities components must complete to report and mitigate deficiencies identified through continuous monitoring.	OST	\$0	\$0	\$0	Unresolved
603	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 implement the revised AECM policy and procedural guidance and provide and work with components to establish planned action dates to mitigate deficiencies in their ISCM reporting and addressing security weaknesses.	OST	\$0	\$0	\$0	Unresolved
604	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	\$0	Unresolved
605	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, should take action to revise DOT Cybersecurity policy and guidance to incorporate new or updated security requirements defined by NIST SP 800-53 revision 4 and NIST SP 800-53 revision 4.	OST	\$0	\$0	\$0	Unresolved

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606	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 components to develop a plan to address NIST 800-53 revision 4 requirements for their systems. Create a POA&M with planned completion date to monitor and track progress.	OST	\$0	\$0	\$0	Unresolved
607	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	\$0	Unresolved
608	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	\$0	Unresolved
609	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 establish an enterprise-wide strategy that DOT components must adhere to implement and monitor Information Security Continuous Monitoring for Continuous Diagnostics and Mitigation requirements as outlined in OMB policy and NIST guidance.	OST	\$0	\$0	\$0	Unresolved
610	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 revise the Department's policy to address the mandatory use of a toolset and requisite processes to perform the Information Security Continuous Monitoring tasks outlined by OMB.	OST	\$0	\$0	\$0	Unresolved
611	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 revise DOT policy to provide specific guidance for what data, format of data, and how often components should report system security status to the Authorizing Official throughout the continuous monitoring process.	OST	\$0	\$0	\$0	Unresolved
612	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 develop a plan to periodically review waived accounts to determine if they should be transitioned to PIV required status. Create a POA&M with a planned completion date to monitor and track progress.	OST	\$0	\$0	\$0	Unresolved

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613	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 revise their plans to effectively transition the remaining users to require privileged PIV login. Create a POA&M with a planned completion date to monitor and track progress.	OST	\$0	\$0	\$0	Unresolved
614	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	\$0	Unresolved
615	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	\$0	Unresolved
616	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, in conjunction with FHWA, develop a report that reflects a complete population of open UCO balances, by agreement number, as of a period-end date and that FHWA use the report developed by OST to monitor and review its open UCO balances for completeness, accuracy, and validity.	OST	\$0	\$0	\$0	Resolved
617	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	\$0	Resolved
618	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	\$0	Resolved
619	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 continues to provide training related to grants management, including the need for timely monitoring and close-out of projects.	OST	\$0	\$0	\$0	Resolved
620	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	\$0	Resolved
621	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 recommend that DOT automate footnotes, where applicable, to ensure consistency across the Department.	OST	\$0	\$0	\$0	Resolved
622	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 recommend that DOT provide training and instruction, where necessary, to the OAs to ensure the financial reporting guidance is implemented consistently department-wide and to ensure the OAs understand the requirements of each line item on the financial statements and footnotes.	OST	\$0	\$0	\$0	Resolved

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623	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 recommend that DOT revise the financial statement (including footnotes) review checklist to incorporate the financial reporting instruction in order to determine that the financial statements were consistently prepared.	OST	\$0	\$0	\$0	Resolved
624	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 recommend that DOT implement an independent review of the DOT Consolidated financial statements to ensure the financial statements are properly consolidated and that the financial reporting guidance has been consistently applied.	OST	\$0	\$0	\$0	Resolved
625	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	\$0	Resolved
626	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	\$0	Resolved
627	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 update departmental policies to (a) clearly require immediate revocation or modification of warrants upon expiration of FAC-C certifications and (b) define the role of the Operating Administrations' ACMS.	OST	\$0	\$0	\$0	Resolved
628	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 update departmental policies to require OSPE to conduct periodic reviews of Operating Administrations' compliance with DOT's AWF policy and to correct deficiencies identified during these reviews as necessary.	OST	\$0	\$0	\$0	Resolved

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629	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	\$0	Resolved
630	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	\$0	Resolved
631	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	\$0	Resolved
632	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 update departmental policies to require Operating Administrations monitor FAITAS data to ensure that CO warrant and certification data are current, complete, and accurate.	OST	\$0	\$0	\$0	Resolved
633	FI2015043 DOT's 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	\$0	Unresolved
634	FI2015043 DOT's 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	\$0	Unresolved
635	FI2015043 DOT's 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	\$0	Unresolved

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636	FI2015043 DOT's 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: Implement procedures to ensure DOT employees and contractors are trained before performing or reviewing improper payment test procedures.	OST	\$0	\$0	\$0	Unresolved
637	SA2015052 Wyoming Department of Transportation Cheyenne, Wyoming	6/17/2015	We recommend OST ensure the Department complies with the Reporting Requirements.	OST	\$0	\$0	\$0	Unresolved
638	SA2015057 Los Angeles County Metropolitan Transportation Authority Los Angeles, California	6/17/2015	We recommend OST ensure the Authority complies with the Davis-Bacon Act Requirements.	OST	\$0	\$0	\$0	Resolved
639	SA2015057 Los Angeles County Metropolitan Transportation Authority Los Angeles, California	6/17/2015	We recommend OST ensure the Authority complies with the Procurement and Suspension and Debarment Requirements.	OST	\$0	\$0	\$0	Resolved
640	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	\$0	Resolved
641	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	\$0	Resolved
642	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	\$0	Resolved
643	SA2015097 City of Long Beach, Long Beach, California	9/15/2015	We recommend OST ensure the City complies with the Reporting Requirements.	OST	\$0	\$0	\$0	Unresolved
644	SA2015104 State of Illinois Springfield, Illinois	9/21/2015	We recommend OST ensure the State complies with the Davis-Bacon Act Requirements.	OST	\$0	\$0	\$0	Unresolved
645	SA2015104 State of Illinois Springfield, Illinois	9/21/2015	We recommend OST ensure the State complies with Reporting Requirements.	OST	\$0	\$0	\$0	Unresolved
646	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	\$0	Resolved
647	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	\$0	Resolved
648	MH2014064 PHMSA Has Addressed Most Weaknesses We Identified in Its Special Permit and Approval Processes	7/17/2014	Include in the planned approvals desk guide a requirement to use technical safety evaluation forms to document analyses for explosive classification applications.	PHMSA	\$0	\$0	\$0	Resolved

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649	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	\$0	Resolved
650	ZA2015040 Volpe Did Not Fully Comply With Federal Requirements When Planning and Administering Its V-TRIPS Contract	4/8/2015	That the Assistant Secretary, Office of the Assistant Secretary of Transportation for Research and Technology, ensure that Volpe take the following actions for the upcoming V-TRIPS follow-on contract: Establish internal controls to ensure that contracting officials develop, utilize, and maintain a central system for contract files in accordance with the FAR.	RITA	\$0	\$0	\$0	Resolved