U.S. Department of Transportation

OPEN GOVERNMENT PLAN

April 2014 – April 2016

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Executive Summary

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

> **Vision for an Open DOT Culture**
>
> To support our strategic goals, DOT will pursue organizational excellence through greater transparency, increased citizen and employee collaboration, and more effective public participation while managing the risks associated with openness.

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

- **Expediting Infrastructure Delivery:** DOT's flagship initiative, eNEPA, will empower stakeholders from all levels of government, across a wide variety of agencies, to collaborate on infrastructure permitting and environmental review. See **Section 3.1** for more information.
- **Data Release and Visualization:** DOT will continue to release high value data in open formats, implementing the Administration's Open Data Policy. DOT will continue innovative efforts to engage the public, improve the utility of its datasets, and focus on coordinating geospatial data. See **Section 3.2** for more information.
- **Fostering Collaboration, Engagement and Transparency:** DOT will implement an employee suggestion to develop a skills database and will continue its employee engagement efforts under the IdeaHub program. See **Section 3.3** for more information.
- **State Transportation Scorecards:** Using a variety of data from around the Department, DOT will develop scorecards that provide meaningful information about transportation investment and performance across the Nation. See **Section 3.4** for more information.
- **Innovative Financing Program Transparency:** DOT will provide information to help financial program applicants better understand the overall process as well as provide status updates by

bringing unprecedented transparency to the application and review process. See **Section 3.5** for more information.

- **Delivering National Action Plan Commitments:** DOT will review practices surrounding proactive disclosure, take action to protect whistleblowers, and implement transparency initiatives for its privacy program. DOT will continue to deliver on digital strategy commitments. See **Section 3.6** for more information.

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

Introduction to the United States Department of Transportation

The United States Department of Transportation (DOT) occupies a leadership role in global transportation, with about 55,000 dedicated professionals stationed in the U.S. and around the world. The President's fiscal year 2014 budget request includes a total of $77 billion for DOT with an additional $50 billion for immediate transportation investments, and the funding for needed investments in our vital transportation systems while at the same time creating jobs and strengthening our Nation's economy.

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

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

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

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[1] With passage of the Interstate Commerce Commission (ICC) Termination Act of 1995 (P.L. 104-88, December 29, 1995), Congress established the Surface Transportation Board within DOT, effective January 1, 1996. Although administratively affiliated with DOT, the Board is decisionally independent and by law "shall not be responsible to or subject to the supervision or direction . . . of any other part of the Department of Transportation." (49 U.S.C. § 703(c)).

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

With over 80 percent of its budget dedicated to grants, DOT is externally focused. As a result, DOT's ability to engage effectively with stakeholders, grantees, appropriators and other partners, in addition to the general public, is critical. There are currently many low- and high-tech channels for stakeholders and the general public to engage with DOT. Most opportunities for collaboration and participation are ongoing, lending themselves to social media and Web 2.0 tools. Open Government provides an opportunity to improve collaboration not only with the general public, but also with specialized groups that have transportation interests. Since the publication of the first Open Government Plan in 2010, DOT has made significant strides to enhance public and stakeholder engagement.

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

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

Figure 1: DOT's Public Engagement Model

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

- **Increase Agency Transparency and Accountability by:**
  - Presenting in a clear manner DOT information about programs and objectives; and

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

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

Strategy	Sample Tools
SHARE Information and Data	• Blogs • Social Networking Sites (e.g., Facebook, Twitter) and New Media • Smartphone Apps • Federal Register (e.g., NPRM, Guidance) • Presentations, Briefings, and Exhibits at National/State/Regional/Local Meetings • Webinars, Webcasting, Podcasting and Live Streaming • Publications (e.g., Dear Colleague letters, Reports) • Data.gov Web Site and Open Data Communities • DOT Web Sites (including www.dot.gov/open) and Data Visualization
GATHER Insights, Knowledge, Expertise and Experiences	• Social Networking Sites (e.g., Facebook, Twitter) • Phone or In Person 1:1 Meetings, Focus Groups, and Small Group Discussions • Advisory Groups (e.g., FACA) • Web-based Online Dialogue (e.g., United We Ride (UWR), DOT Strategic Plan, etc.) • Structured/Facilitated Conversations • Summits on Targeted Topics (e.g., Distracted Driving Summit) • Town Hall Meetings • Workshops/Charrettes • Webcasting/Streaming During Live Events
INVITE Input on DOT Issues, including Policies and Programs	• Electronic Docket (regulations.gov) • http://www.dot.gov/regulations and Web 2.0 in Regulations • Roundtables (e.g., Reauthorization, Disadvantaged Business, Great Lakes Revitalization) • Public Hearings • Negotiated Rulemaking • Regulation Room (e.g., Cornell University/NPRM process)
BUILD Collaboration and Coordination	• Collaboration with Coalitions and Industry Partners • Collaborative Workspaces (including Wiki and SharePoint) with External Stakeholders • Committee/Workgroup Participation • Ombudsman Programs • Online Mash Ups (e.g., visual DOT) and Tools (e.g., Every Day Counts, IdeaHub) • Research and Development • Self-Assessment Tools (e.g., UWR Framework for Action) • Tool Kits (e.g., Safe Routes to School, Every Day Counts, etc.)

Table 1: Select Tools for Public Engagement

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

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

Section 1.1.1: Data.gov Web site and Open Data Communities

DOT has been an active participant in the data.gov initiative. The strategies outlined in our first Open Government Plan and our second Open Government Plan align with the requirements of the Open Government Directive and have been at the core of our open data efforts over the last two years. DOT remains committed to:

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

DOT has published its data inventory, and developed guidelines for prioritizing data release, releasing 1,600 datasets on data.gov. DOT has established a policy that any dataset published online should also be listed on data.gov, and continues to make progress in enforcing this requirement. The policy helps DOT comply with the new Open Data Policy. DOT has also developed an approach to completing and maintaining the enterprise data inventory required by the policy. To the extent practicable, and consistent with other information management transparency requirements[2], DOT will make its entire enterprise data inventory publicly available, ensuring that the public can view all of the Department's data holdings, regardless of their access level.

DOT's flagship initiative in its second Open Government Plan was to build safety community on data.gov. DOT launched the Safety Data Initiative during National Transportation Week in May 2012, meeting a key commitment in the President's first National Action Plan for Open Government.

Safety.data.gov is an Open Government initiative that seeks to build a safety community on the data.gov Website. While DOT and other Federal agencies collect important safety-related data, DOT recognizes

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[2] Information management transparency requirements include, but are not limited to, disclosures of information collection activities required under the Paperwork Reduction Act, disclosures of records schedules required under the Federal Records Act, publication of Privacy Impact Assessments required by the E-Government Act of 2002 and the Consolidated Appropriations Act of 2005, and publication of System of Records Notices required under the Privacy Act.

that releasing data alone does not fully leverage the potential of those datasets for discovering new information, inventing new products, or identifying complex patterns to improve decision-making.

For more information on DOT's next steps in open data, refer to Section 3.2 of this plan. For a more detailed update on the safety community, refer to Section 4.1.2 of this plan.

Section 1.1.2: DOT Web sites and Data Visualization

One of the other major commitments in our first Open Government Plan was the redesign of the DOT Website. DOT has a wide range of stakeholders. The diversity of these stakeholders drives the need for a "best in class" Web site that is both dynamic and easily managed. Our public-facing Web presence must provide relevant information to other government agencies, private sector organizations, and individual citizens.

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

An important step in enabling Web 2.0 tools to provide strategic utility to the Department is to ensure that users see www.dot.gov as a valuable source of authoritative information. Users must have confidence in the quality, timeliness, and utility of the material on the DOT's Web site. The content must be current, the design must be intuitive, and the site as a whole must reflect the public interest.

DOT understands that a Web site stimulates loyalty by providing clear benefits. Users must feel inspired to critical thought through an informative and engaging experience on www.dot.gov. We achieve this through the visual uniformity of Web pages and applications, clearly communicating the significance of specific data and tools, and tying them back to DOT's vision and mission. Implementing an intuitive Web solution that reflects the impact and significance of user feedback on our mission helps achieve stakeholder buy-in and foster the site loyalty and openness that we seek to achieve. In return, DOT benefits from the insights gained through the public's repeated interaction with our externally-facing tools, applications, data, and other Web 2.0 mediums.

For more information about DOT's Web-related efforts, view the DOT digital strategy Web page.

DOT also plays a pivotal role in the President's efforts to drive accountability and transparency through the Federal Infrastructure Projects Permitting Dashboard. The President issued a Memorandum on August 31, 2011 and an Executive Order on March 22, 2012 to bring more transparency, accountability,

and certainty into the permitting and review processes for major infrastructure projects. Since then, Federal agencies have worked to expedite the review and permitting of over 50 major projects, including bridges, transit, railways, waterways, roads, and renewable energy projects. Over 30 of those projects have now completed the permitting process. Progress on these projects is tracked publically through the Administration's online Federal Infrastructure Projects Permitting Dashboard.

The Dashboard – administered by DOT – supports coordination and synchronization of projects among Federal agencies, and can also help create a more predictable process for project applicants. The Administration and DOT are committed to expanding the Dashboard to include additional projects, as well as new capabilities to track project schedules and metrics, increasing overall accountability and transparency. As a first step, the Administration is adding 11 more Dashboard projects. Each project will have a lead agency, a coordinated project plan across all Federal agencies, and public tracking of progress to ensure milestones are met. The Administration's goal is for all major infrastructure projects to be included on the Dashboard to institutionalize and broaden the reach of this tool.

Section 1.1.3: Social Media

DOT recognizes that through using new media and social media outlets such as blogs, webcasts, social networking services (such as Facebook and Twitter), the Department's message can be further amplified. New media tools can be used to gather insights, knowledge, expertise and experiences. These interactive platforms give DOT an opportunity to invite input on DOT issues, including policies and programs, while building opportunities for collaboration and coordination.

Social Media at DOT

The Secretary's social media presence continues to expand with 54,500 Twitter followers (@SecretaryFoxx) and more than 11,780 Facebook friends. The Secretary's Fast Lane blog is wildly popular with readers. DOT Operating Administrations have also expanded their social media presence to include:

- Federal Aviation Administration: Facebook Account (77,000+ friends), Twitter Account (69,700 followers) and YouTube Account.
- Federal Highway Administration: Facebook Account (4,604 friends), Twitter Account (5,115 followers) and YouTube Account.
- Federal Transit Administration: Facebook Account (1,014 friends), Twitter Account (17,600 followers) and YouTube Account.
- NHTSA: Facebook Account (10,326 friends), Twitter Account (20,600 followers) and YouTube Account.

Since 2010, DOT has also used social media to introduce the following campaigns:

- FAA Safety Briefing: Twitter Account (22,900 followers)
- Buzzed Driving is Drunk Driving: Twitter Account (7,737 followers)
- Distraction.gov: Twitter Account (4,964 followers)

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

Since 2012, DOT has used both new media and social media in innovative ways to share information with the general public and our stakeholders, and to gather insights, knowledge, expertise and experiences from those outside our walls. DOT has:

- Successfully transitioned Department-level official accounts (e.g., from @RayLaHood to @SecretaryFoxx)
- Launched a DOT Twitter Account (@USDOT)
- Launched DOT Facebook Account (http://www.facebook.com/usdot/)

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

Section 1.1.4: Web-based Online Dialogues

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

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

As proposed in its first Open Government Plan, DOT has increased the use of Web-based dialogues significantly in the past four years. Recent dialogues have engaged the public on a number of policy initiatives required by the surface transportation authorization, Moving Ahead for Progress in the 21st Century (MAP-21). Below are some statistics from those dialogues:

Dialogue	# visits	# unique visits	# signups	# ideas	# comments	# votes
Performance Measures	8,165	5,300	975	228	293	3,695
Freight	2,061	1,707	199	69	71	462
Transit Asset Management	6,692	4,411	740	86	146	1,478
Ferry Program	831	426	130	54	39	675

Dialogue	# visits	# unique visits	# signups	# ideas	# comments	# votes
Transit Provider Representation in MPOs	3,362	2,376	343	106	81	776
Totals	**21,111**	**14,420**	**2,387**	**543**	**630**	**7,086**

Table 2: DOT Has Held Successful Online Dialogues

Section 1.1.5: Collaboration with Other Agencies, Coalitions and Industry Partners

Working with partners is critical to achieving DOT's mission. DOT has a history of strong working relationships with industry coalitions, other Federal, State and local agencies, and other industry partners, and we will continue to work closely with those organizations to improve the state of our nation's transportation system.

The National Environmental Policy Act (NEPA) requires extensive review and coordination among a complex network of Federal, State, local, and tribal government agencies. The process can be especially difficult to navigate in the case of large-scale, critical projects. NEPA review and coordination is characterized by extensive "back-and-forth" conversations and negotiations over highly technical topics. These complexities can create delays and increase project costs.

The Department of Transportation has launched a new initiative, eNEPA, which is an online collaboration tool designed to expedite the NEPA development process by facilitating concurrent agency reviews; allowing for quick, clear and transparent issue resolution; and promoting trust and consensus among all project partners. For more information about eNEPA, refer to Section 3.1 of this plan.

Section 1.1.6: Collaborative Workspaces

Over the last few years, DOT has recognized a need to leverage online collaborative workspaces with our stakeholders. We have started a new effort called http://engage.dot.gov (under construction), a networking/collaboration site, designed and built to foster collaboration and networking within the transportation community.
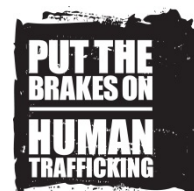
DOT's most recent campaign was focused on increasing collaboration to increase awareness of and help put an end to human trafficking. The collaborative workspaces we developed enabled transportation stakeholders from across the Nation to share training and awareness materials,

collaborate on policy issues and initiatives, and share best practices for increasing public awareness.

Over the next two years, DOT will continue to develop engage.dot.gov and to foster collaboration.

Section 1.2: Other Opportunities for Participation and Collaboration with DOT

DOT is committed to building a central portal that provides the public with an opportunity to discover engagement opportunities that are relevant to their interests and expertise. DOT will build http://www.dot.gov/engage (under construction), and this page will provide direct access to comment on DOT regulations, information about upcoming public meetings (to include town halls, Federal advisory committee meetings, listening sessions, and the like), opportunities to engage in an online dialogue, and other relevant content.

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

OST:	Secretary's "On the Go" Video and Question and Answer Series Submit questions via social media and the DOT Secretary answers in a YouTube video.
DOT:	Regulation Room Read and discuss plain language versions of select Notices of Proposed Rulemaking (NPRMs).
FAA:	FAA Mobile Access popular information for aviation enthusiasts. Look up N-numbers, find Advisory Circulars, browse airport delays, report on wildlife strikes and more.
FHWA:	Every Day Counts Ideas are shared by State, local and private sector partners to shorten project delivery or accelerate technology and innovation deployment.
FMCSA:	SaferBus app Allows easy access to bus safety information and a one-touch process to start filing a complaint.
FRA:	Fostering a Safe Railroad Environment Nationwide Links to prominent safety programs and forums.
FTA:	Notices of Funding Availability Posts all opportunities for funding as they become available.

MARAD:	Adopt-A-Ship Program
	School classrooms (5th-8th grade) can adopt a ship of the American Merchant Marine and exchange correspondence.
NHTSA:	NHTSA Distracted Driving Study
	A national telephone survey on driving habits and attitudes related to distracted driving.
PHMSA:	Stakeholder Communications
	Provides State-by-State pipeline profiles.
SLSDC:	The St. Lawrence Seaway: Gateway to North America
	Binational site of the Great Lakes St. Lawrence Seaway System.

Table 3: **DOT Participation and Collaboration Opportunities**

Chapter Two: Developing DOT's Third Open Government Plan

DOT took a different planning approach for the 2014 Plan than we did for the 2012 and 2010 Plans. In 2010, the Department focused on the many policy, cultural and technology barriers that needed to be overcome to lay the groundwork for increasing transparency, participation and collaboration in our daily work. The process we used to develop the 2012 Plan was focused on looking at the public value of our Open Government related activities. To do this, we used a planning approach called the Public Value Assessment Tool (PVAT), created by the Center for Technology in Government (CTG) at the University at Albany, SUNY.

To develop our 2014 Plan, DOT focused on the President's call to develop a management agenda that "delivers a smarter, more innovative, and more accountable government for its citizens." As we did with our previous plans, we engaged DOT employees, program owners and executives, and the public. We developed a number of initiatives to implement the President's Management Agenda, and we selected the initiatives that embraced transparency, participation, and collaboration to be featured in our third Open Government Plan.

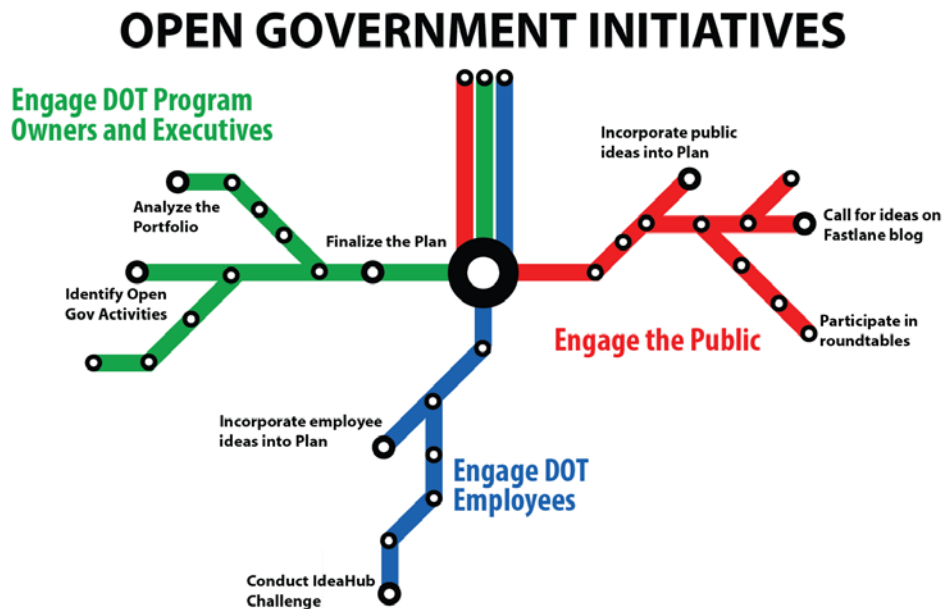**Figure 2: DOT's Open Government Planning Approach**

The following section will describe in more detail how ideas for initiatives were sought, how initiatives were assessed for inclusion in our Plan, and how our flagship initiative was selected.

Section 2.1: Seeking Ideas for Open Government Activities

The following section describes how ideas for activities to include in the Plan were sought from three primary sources:

- DOT employees as a whole
- DOT stakeholders and the general public
- DOT program managers and executives

Section 2.1.1: Engaging DOT Employees

To adhere to the principles of transparency, participation, and collaboration with almost 55,000 DOT employees from across the country in this planning process, DOT used IdeaHub to engage directly with employees. IdeaHub is a robust ideation platform that allows ideas to be submitted, allows employees to see and vote on those ideas, and encourages employees to comment on and refine each other's ideas. In November 2013, DOT launched a Department-wide challenge for employees asking, "How can the DOT maximize Efficiency, ensure Effectiveness, and encourage Economic Growth?" This call for ideas was issued by the Secretary and was open for discussion for several weeks. Over 120 ideas were submitted in response to the challenge, and 30 ideas were selected for additional evaluation. Of these, one idea was selected to be featured in this version of the DOT Open Government Plan.

Section 2.1.2: Engaging the Public

Recognizing that many great ideas do not come from within our own walls, DOT also sought ideas from our stakeholders and the general public, in adherence with the Open Government Directive. To do this, DOT leveraged the Secretary's FastLane blog.

To promote this call to action, we leveraged the @SecretaryFoxx Twitter channel as well as our formal stakeholder networks. We received a total of four ideas. Many of those ideas were focused on open data and innovation efforts, and are reflected in our Plan.

Section 2.1.3: Engaging DOT Program Owners and Executives

In response to the President's call to collaboratively develop a management agenda, DOT convened a working group of senior leaders to develop a set of initiatives that would help DOT increase efficiency, improve effectiveness, and foster economic development. The initiatives that were developed by this group of senior leaders were wide-ranging, but many of them were aligned with the Open Government

principles of transparency, participation and collaboration. This group of senior leaders selected the initiatives that would be featured in this third Plan.

Section 2.2: Assessing Proposed Activities and Selecting a Flagship Initiative

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

- Alignment with DOT's strategic plan
- Cross-modal in scope
- Ability to be completed within existing program resources
- Identified in response to stakeholder demand

These factors were considered for every initiative evaluated and one initiative floated to the top. Thus, eNEPA was recommended to DOT leadership and was selected to be DOT's Open Government flagship initiative for 2014-2016.

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

Chapter Three: DOT's Open Government Initiatives and Activities for 2012-2014

Through the process described in **Chapter 2**, DOT identified 12 activities, grouped into five initiatives (plus a flagship initiative) for inclusion in the 2014 Open Government Plan. These activities will span 2014, 2015 and 2016 and will further the Open Government goals outlined in **Chapter 1**. **Figure 3** below illustrates how the initiatives map to related activities and when each activity will occur over the next three years.
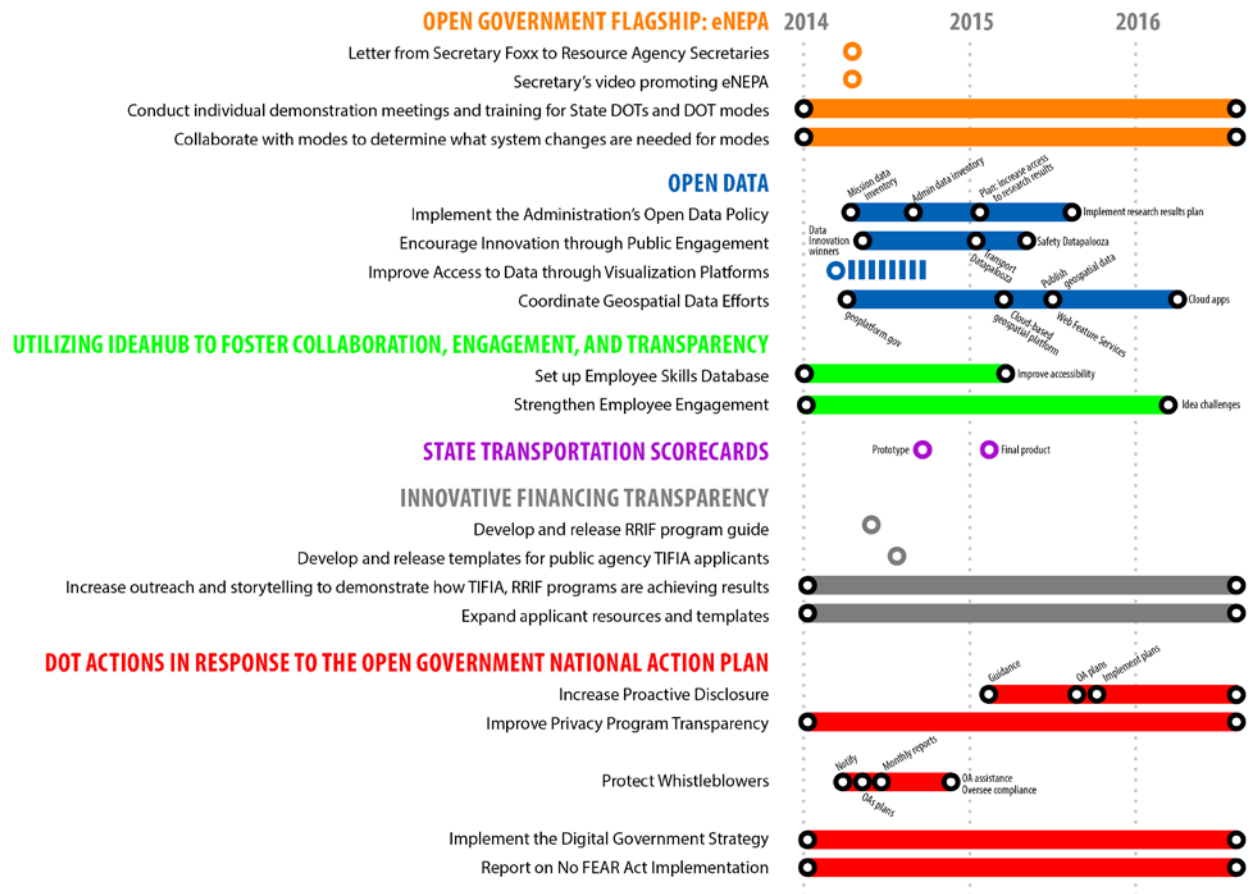
Figure 3: DOT Open Government Initiatives, Activities and High Level Milestones

Section 3.1: Open Government 2014 Flagship Initiative

Implementation of the National Environmental Policy Act (NEPA) can require extensive review and coordination among a complex network of Federal, State, local, and tribal government agencies. The process can be especially difficult to navigate in the case of large-scale, critical projects. NEPA review and coordination is characterized by extensive "back-and-forth" conversations and negotiations over highly technical topics. These complexities can create delays and increase project costs.

The Department of Transportation has launched a new initiative, eNEPA, which is an online collaboration tool designed to expedite the NEPA development process by facilitating concurrent agency reviews; allowing for quick, clear and transparent issue resolution; and promoting trust and consensus among all project partners. The results are efficient environmental reviews, improved results and reduced project development time and cost. eNEPA directly supports the Open Government principle of collaboration and DOT's Open Government goal of institutionalizing an open DOT culture.

Figure 4: eNEPA Overview

eNEPA is a secure, web-based collaboration tool originally developed by the Federal Highway Administration (FHWA). It is currently being used by State DOTs to improve project delivery and

enhance the environmental review process. Other DOT components, including the Federal Transit Administration (FTA) and Federal Railroad Administration (FRA), are already participating in eNEPA. Several Federal resource agencies (US Fish and Wildlife Service (USFWS), US Army Corps of Engineers (USACE), US Coast Guard (USCG), and the National Oceanic and Atmospheric Administration (NOAA)) have users registered in the system and are expected to be regular users.

DOT leadership has identified eNEPA as a readily implementable solution that can bring these same benefits to other Federal agencies across the Federal government. By leveraging existing software and system users, eNEPA can be deployed for use by other permitting agencies. This will encourage broader use by project sponsors and build a collaborative network that can be expanded across modes resulting in reduced costs and faster project delivery.

Currently, six states are using the tool for eight total projects. To scale this initiative and ensure its sustainability, DOT will take the following concrete actions:

- National Rollout webinars (Complete)
- eNEPA project manager survey (Complete)
- Meetings with resource agencies to demonstrate eNEPA and seek support (Complete)
- Send letter from Secretary Foxx to Resource Agency Secretaries (May 2014)
- Secretary's video promoting eNEPA (May 2014)
- Conduct individual demonstration meetings and training for State DOTs and DOT modes upon request (Ongoing)
- Collaborate with modes to determine what system changes are needed for modes (Ongoing)

Section 3.2: INITIATIVE ONE: Open Data

Improving access to data is a core principle of Open Government, and DOT remains committed to this goal. As a Department with extensive regulatory responsibility, DOT has broad data holdings about the entities it regulates, and has committed to improving access to this high value data through its regulatory compliance plan. Furthermore, DOT collects and disseminates a great deal of data about the safety of the transportation system. To facilitate the application of these data in the development of new insights and applications, DOT has been leading the development of the safety community on data.gov. To support better transportation information through increased and improved disclosure of data, DOT is committing to the following activities for the next two years:

- Implementing the Administration's Open Data Policy

- Encouraging Innovation through Public Engagement
- Improving Access to Data through Visualization Platforms
- Coordinating Geospatial Data Efforts

Section 3.2.1: Implementing the Administration's Open Data Policy

In the President's Executive Order on making open and machine-readable the "new default" for government data, he noted that "[o]penness in government strengthens our democracy, promotes the delivery of efficient and effective services to the public, and contributes to economic growth." DOT believes that Open Data initiatives improve the effectiveness of transportation decisions by making DOT's extensive data available and usable to all levels of government, the private sector, and the general public. Related to the Executive Order, DOT is also developing a plan to increase access to research data sets, in accordance with the Office of Science and Technology Policy memorandum. DOT believes that access to digital data sets underlying research can catalyze innovation and increase reproducibility in the scientific process. DOT has already built http://www.dot.gov/data and released its approach to completing the enterprise data inventory. DOT Components has developed plans to complete their portion of the enterprise data inventory and are working to finalize their list of data sets that are already made available to the public.

To accomplish the goals of the Executive Order and meet the requirements of the Open Data Policy, DOT will take the following concrete actions:

- Complete inventory of mission-related data sets, regardless of their public availability (May 2014)
- Complete inventory of administrative data sets, regardless of their public availability (August 2014)
- Release a plan to increase access to Federally-funded research results (TBD early 2015)
- Implement the plan to increase access to Federally-funded research results (tentatively October 2015)

Section 3.2.2: Encouraging Innovation through Public Engagement

As DOT works to increase the amount of data available to the public through the initiative in Section **3.2.1** of this Plan, we will also seek to engage the public to encourage the application of those data sets to spur innovative solutions. Through the Safety Data Initiative, DOT works with Federal partners from around the government as well as the private sector to host an annual Safety Datapalooza and an ever-increasing number of data jams. DOT helped organize the Second Annual Safety Datapalooza in January

2014. During this event, two companies applying DOT data in innovative ways were highlighted: Bustr and Keychain Logistics. DOT has also begun hosting the annual Transportation Datapalooza. The first annual Transportation Datapalooza was held in May 2013. DOT believes that datapaloozas offer an opportunity to celebrate innovators that are applying data to solve our most difficult transportation problems.

DOT is also committed to stimulating data-driven innovation through the use of data jams as well as challenges and competitions. DOT recently launched the Data Innovation Challenge, which seeks to encourage the development of innovative tools to address our nation's transportation challenges or revolutionize the way Americans see and understand the transportation system they use every day.

To do so, DOT will take the following concrete actions:

- Announce Data Innovation Challenge winners (June 2014)
- Hold the Second Annual Transportation Datapalooza (June 2014)
- Hold the Third Annual Safety Datapalooza (Late spring/early summer 2015)

Section 3.2.3: Improving Access to Data through Visualization Platforms

Data visualization techniques provide a useful way for the Department to communicate key messages and stories that are hidden away in its data sets. DOT is committed to exploring new and innovative tools that can help the public better understand data about the transportation system. Providing interactive tools can engage the public with these important data sets in new and innovative ways. Many of the Department's important statistics are presented in static, pre-formatted graphics and charts. Moving these statistics to interactive platforms will provide for new visualization opportunities and increased understanding. Similarly, the Department makes the raw data from the National Transportation Atlas available, but there is a significant learning curve for the public to put geospatial information to use. By developing an interactive viewer and providing the data via Web services, DOT will enable the public to explore the National Transportation Atlas more effectively—users will now be able to view, extract, and analyze parts of the data to meet their specific needs without having to resort to specialized software.

DOT will take the following concrete actions:

- Launch Highway Statistics visualization through the Google Public Data Explorer (TBD)
- Launch the National Transportation Atlas Viewer (beta in April 2014, available at http://gis.rita.dot.gov/nta/)

Section 3.2.4: Coordinating Geospatial Data Efforts

Geospatial data management is an area of opportunity for DOT. Many of the Department's geospatial information programs are fragmented, acquiring data in a siloed manner and developing individualized approaches to disseminating data as well as developing applications to present data to stakeholders and the public. The Federal geospatial data community has developed new tools to help agencies better manage and disseminate geospatial data and Web services in a manner that facilitates ease of discovery and enables downstream utility. To take advantage of these new tools, DOT will take an enterprise approach to improve coordination of geospatial data efforts. Specifically, DOT will take the following actions:

- Fully participate in geoplatform.gov, maintaining the transportation theme page as well as the DOT agency page (June 2014)
- Acquire a FedRAMP-certified, cloud-based geospatial platform in collaboration with other Federal agencies (March 2015)
- Transition delivery of geospatial data to focus on Web Feature Services (May 2015)
- Require publication of geospatial data to the cloud platform (May 2015)
- Require all public-facing visualization applications to be built from cloud-delivered data and services, where available (April 2016)

Section 3.3: INITIATIVE TWO: Utilizing IdeaHub to Foster Collaboration, Engagement, and Transparency

The three principles of transparency, participation, and collaboration form the cornerstone of an Open Government. Federal leaders are charged with incorporating the values of transparency, participation, and collaboration into the ongoing work of their agency. The DOT is making several internally-facing commitments to ensure Open Government principles are implemented within the Department. To achieve this objective, DOT will focus on two primary activities over the next two years:

- Enhancing collaboration with an employee skills database
- Strengthening employee engagement

Section 3.3.1: Employee Skills Database

A fundamental principle of IdeaHub is to equip employees with the tools and resources necessary to be more participatory and collaborative in their work and in transforming the culture of DOT. Ensuring that employees have access to the information needed to be more effective at their jobs helps the

Department align with the Secretary's 3Es: efficiency, effectiveness, and encouraging economic growth, while positioning the Department to become a 21st century agency.

Using IdeaHub, employees submitted ideas on increased utilization of existing personnel, demonstrating their desire to be collaborative and engaged in Departmental efforts. An employee skills database could ease the ability to find the right people to execute day-to-day work assignments and to participate on more focused initiatives. A system could consist of employee profiles, including information on an employee's job function, expertise, and other specialized characteristics. This system would enable managers and employees to:

- Improve Departmental collaboration on mission-specific topics;
- Leverage existing employee resources to meet the mission;
- Reduce contract support; and
- Facilitate focused mentoring and skill swaps.

In response to employee suggestions, DOT will take the following concrete actions:

- Explore ways to improve accessibility to employees across DOT's Operating Administrations (OAs) through a standardized system or database (April 2015)

Section 3.3.2: Strengthening Employee Engagement

DOT's IdeaHub program is uniquely positioned to support employee engagement. Since IdeaHub's inception, there have been a total of 13 employee-facing idea challenges conducted DOT-wide. Additionally, a dozen challenges have been conducted within the Department's Operating Administrations. In less than four years, more than 12,000 ideas were submitted by DOT employees along with over 25,000 comments and over 93,000 idea ratings. To date, there are over 21,000 IdeaHub users.

DOT will demonstrate its commitment to strengthening employee engagement by taking the following concrete actions:

- Launch 12 employee-facing idea challenges to stimulate innovation and improve mission delivery. (April 2016)

Section 3.4: INITIATIVE THREE: State Transportation Scorecards

As DOT moves to a more performance-based approach to planning, programming, and outcome measurement, state scorecards will provide a window into the outcomes of taxpayer investment in

transportation infrastructure for every single state. By making this information available to the public, DOT can increase transparency of the performance of the nation's multimodal transportation system and, hopefully, spark a debate on the need for smart investment.

Benefits include increased transparency of public infrastructure management, a monetary benefit of better stewardship of public dollars with increased accountability, and programmatic benefits associated with more efficient programming of priority projects to address underperforming areas of the transportation system.

The state transportation scorecards will be made available to the public through an interactive portal. Currently, the Federal government does not make this type of data available for easy comparisons. DOT plans to measure the impact of the state scorecards by measuring the number of web views, uptake in traditional and social media, as well as other means.

Important external stakeholders impacted by this Web site will include State and local governments, transportation agencies, grantees, the transportation industry, transportation investors and Congress. A coordinated communications and public engagement strategy around the online release of the scorecards will include the Secretary's engagement via his blog and opportunities to amplify the announcement at events. DOT believes this activity has significant value for the targeted stakeholders.

> By aggregating multimodal data from across the country, State Transportation Scorecards will comprehensively communicate the performance of the transportation network in each state and as a whole. Presented measures include:
>
> - Miles of road and rail
> - Number of flights
> - Miles of transit trips
> - Highway Trust Fund (projected balance)
> - System usage (including licensed drivers, transit ridership, freight throughput)
> - Safety (annual roadway fatalities, structurally deficient bridges)
> - Efficiency (fuel consumption, road condition)

To implement these scorecards, DOT will take the following concrete actions:

- Finalize concept template, develop content for each state as well as some aggregate data (September 2014)
- Go live with finished product online, amplify and engage through events, blogs, etc. (2015)

Section 3.5: INITIATIVE FOUR: Innovative Financing Program Transparency

DOT operates a number of innovative financing programs, and continues to work to provide additional transparency to help applicants understand the programs and to view information about projects. These

programs are designed to offer alternative methods to finance major infrastructure projects, rather than the typical Federal-aid grant model. Two examples of these program are:

- The Transportation Infrastructure Finance and Innovation Act (TIFIA) program provides Federal credit assistance in the form of direct loans, loan guarantees, and standby lines of credit to finance surface transportation projects of national and regional significance. TIFIA credit assistance provides improved access to capital markets, flexible repayment terms, and potentially more favorable interest rates than can be found in private capital markets for similar instruments. TIFIA can help advance qualified, large-scale projects that otherwise might be delayed or deferred because of size, complexity, or uncertainty over the timing of revenues.

The Railroad Rehabilitation & Improvement Financing (RRIF) program provide direct loans and loan guarantees up to $35.0 billion in the aggregate to finance development of railroad infrastructure.
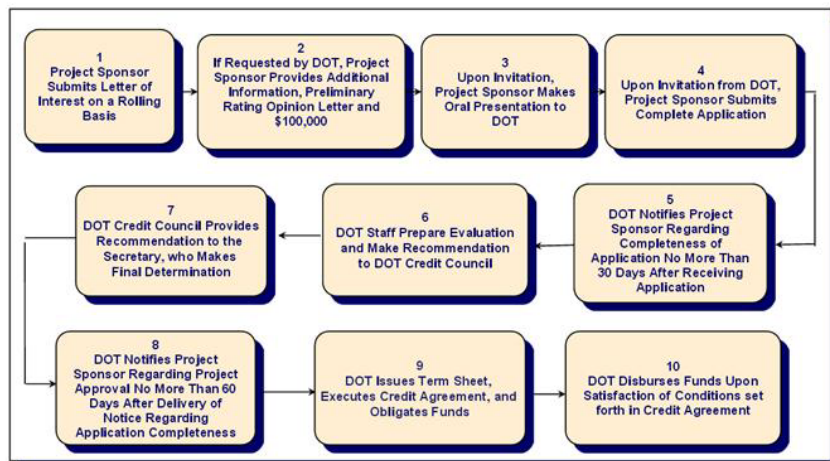
Figure 5: TIFIA Project Selection and Funding Process

DOT believes that bringing more transparency to the application review and approval process will help current applicants track the status of their projects, but we also believe that transparency will encourage even greater participation in these programs.. To that end, DOT is focused on making information more transparent. For example, for the TIFIA program, DOT is posting profiles for each projects (http://www.fhwa.dot.gov/ipd/project_profiles/).

The innovative financing transparency commitments will allow applicants and the public to see data

about loans that have been closed. Concurrent with these transparency initiatives, DOT is also taking steps to improve its ability to track the status of innovative financing applications. DOT's improved internal tracking mechanisms allow us to provide applicants with more detailed information about the current status of their application, the estimated date that step will be completed, and information about the next step in the process.

DOT will take the following actions to deliver the innovative financing transparency:

- Develop and release RRIF program guide (September 2014).
- Develop and release templates for public agency TIFIA applicants (December 2014).
- Increase outreach and storytelling to demonstrate how TIFIA, RRIF programs are achieving results (Ongoing)
  Expand applicant resources and templates (Ongoing)

Section 3.6: INITIATIVE FIVE: DOT Actions in Response to the Open Government National Action Plan

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

- Increasing proactive disclosure;
- Improving privacy program transparency;
- Protecting whistleblowers;
- Implementing the Digital Government Strategy; and
- Reporting on No FEAR Act Implementation.

Section 3.6.1: Increasing Proactive Disclosure

DOT is fully committed to the proactive disclosure of information, consistent with the President's and the Attorney General's instruction to disclose information to achieve "an unprecedented level of openness." The Office of General Counsel periodically makes inquiries to each Operating Administration to confirm that proactive disclosures required by FOIA have been incorporated into each FOIA Electronic Reading Room. Several Operating Administrations evaluate web metrics collected from visitors to their websites to identify areas of public concern for which data is not already being proactively disclosed.

To more effectively systematize DOT's proactive disclosures, the Senior Accountable Official for Open Government, in coordination with the Office of General Counsel, will ask each Operating Administration

to prepare a plan detailing:

- How Operating Administrations will identify records appropriate for proactive disclosure (other than those required to be proactively disclosed by the FOIA);
- What impediments exist to proactively releasing the records;
- Who will be responsible for the preparation and release of the identified records; and
- How the Operating Administration will update its proactive disclosures.

Each Operating Administration will also be required to consider proactively releasing specific types of information that some, but not all, Operating Administrations currently release. Each plan will also identify what, if any, components of the "Openness Floor" maintained by OpenTheGovernment.org are appropriate for proactive disclosure and document reasons why certain types of information cannot be proactively disclosed.

To accomplish this objective, DOT will take the following concrete actions:

- Issue guidance requiring a proactive disclosure review (February 2015)
- Collect proactive disclosure plans from Operating Administrations (August 2015)
- Implement proactive disclosure plans (September 2015 and ongoing)

Section 3.6.2: Improving Privacy Program Transparency

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

In its mission to ensure a fast, safe, efficient, accessible and convenient transportation system that meets our vital national interests and enhances the quality of life, DOT collects, accesses, and uses significant amounts of data every day. The DOT is committed to protecting the safety of all data used in the system development lifecycle, but is especially aware of the risks associated with the collection, use, storage, and sharing of personally identifiable information (PII). It is vitally important that DOT not only protect this information, but ensure that individuals be able to appropriately control the collection, use and sharing of their own PII within DOT systems.

The DOT's regulatory activities may also raise privacy concerns for members of the public by requiring

regulated parties to collect information on individuals or implement technologies which may impact individual privacy. The DOT has an obligation to identify, analyze, and mitigate these concerns.

With increased data collection, technology acceleration, and regulatory complexity comes increased privacy risk. DOT focuses on incorporating proactive risk management into every stage of system and program development. Risk management improves compliance with privacy objectives by raising awareness among employees and leadership regarding the standards for data safety. It institutes frameworks for training, compliance assessment, and vulnerability mitigation.

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

The FIPPs provide the foundation of all DOT privacy policy development and implementation. The FIPPs must be applied whenever a DOT program or activity collects information or raises privacy concerns involving the collection of PII. In addition, the FIPPs will be applied to the deployment of any technology or development of any proposed regulation that raises privacy risks for individuals. This is a media-neutral policy and applies to all records regardless of whether they are created and/or maintained on paper or in an electronic format, unless otherwise specified in the policy. To the extent practical and permitted by law, DOT extends its application of the FIPPs to all individuals living or deceased and to all individuals regardless of legal status.

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

- DOT Website policy – completed and posted to www.dot.gov/privacy
- Information Sharing Environment (ISE) Privacy policy – completed and posted to

www.dot.gov/privacy

- Privacy Impact Assessment (PIA) – completed and posted to www.dot.gov/privacy
- System of Records Notices (SORN) – completed and posted to www.dot.gov/privacy
- E.O. 13636 Privacy/Civil Liberties Assessment – completed and posted to www.dot.gov/privacy
- Annual SAOP report as part of FISMA – completed
- Data Mining Report – DOT has not identified activities meeting the definition of Data Mining as defined for this report
- Computer Matching Report – DOT has not identified activities subject to the Computer Matching requirements of the Privacy Act

Section 3.6.3: Protecting Whistleblowers

The Department of Transportation (DOT) is committed to adhering to the requirements of the Whistleblower Protection Act of 1989, and the expanded protections provided by the Whistleblower Protection Enhancement Act of 2012. In accordance with 5 USC § 2302(c), DOT will assure, in consultation with the U.S. Office of Special Counsel (OSC), that DOT employees are informed of their rights and remedies under the prohibited personnel practices and whistleblower retaliation protection provisions of Title 5. This will be accomplished by requiring all DOT Operating Administrations to participate in OSC's Whistleblower Protection Act certification program.

Presently, the Federal Aviation Administration is the only Operating Administration with a current certification. Certifications for the following OAs have expired:

- Federal Motor Carrier Safety Administration (FMCSA) - expired 11/3/11
- Federal Railroad Administration (FRA) - expired 11/3/11
- Saint Lawrence Seaway Development Corporation (SLSDC) - expired 11/3/11

The following Operating Administrations have not been certified:

- Federal Highway Administration (FHWA)
- Federal Transit Administration (FTA)
- Maritime Administration (MARAD)
- National Highway Transportation Safety Administration (NHTSA)
- Office of the Secretary (OST)
- Pipeline and Hazardous Materials Safety Administration (PHMSA)
- Surface Transportation Board (STB)

The plan to achieve certification/re-certification for all Operating Administrations includes the following

elements:

- The Office of the Secretary (OST) will notify each Operating Administration of the requirement that each organization obtain OSC certification/re-certification. OST will establish a deadline of December 31, 2014 by which time components are to obtain certification/re-certification. (May 12, 2014)
- Operating Administrations to submit certification/re-certification plans to OST. (June 13, 2014)
- OST will request monthly reports from Operating Administrations of each organization's progress toward certification/re-certification. (beginning July 11, 2014)
- OST will provide Operating Administrations information and assistance needed to achieve certification/re-certification on an on-going basis.
- OST will appoint a Senior Executive Service employee to oversee implementation of its compliance plan.

Section 3.6.4: Implementing the Digital Government Strategy

The Department has continued to make progress delivering on its Digital Government Strategy commitments (see: http://www.dot.gov/digitalstrategy/). The Federal Motor Carrier Safety Administration (FMCSA) recently migrated to the shared DOT content management system, upgrading their primary Web presence with a responsive design. DOT was the first Cabinet agency to develop a fully responsive Web site, and DOT's Operating Administrations are taking advantage of that innovation. Mobile visitors to DOT Web sites have increased by 20%, and DOT's responsive design framework is helping all Operating Administrations meet the needs of their audience.

Another key feature of the FMCSA Web site upgrade is its use of other Federal government content Application Programming Interfaces (APIs). The new FMCSA Web site brings in content from the Federal Register, the electronic Code of Federal Regulations, and regulations.gov to dynamically and automatically update content.

Leveraging the code that was developed for the FMCSA Web site upgrade, DOT will build a central portal that provides the public with an opportunity to discover engagement opportunities that are relevant to their interests and expertise. DOT will build http://www.dot.gov/engage, and this page will provide direct access to comment on DOT regulations, information about upcoming public meetings (to include

town halls, Federal advisory committee meetings, listening sessions, and the like), opportunities to engage in an online dialogue, and other relevant content.

DOT continues to focus on accessibility issues, implementing Web Content Accessibility Guidelines

(version 2.0, to the AA success criteria) across its Web sites. In addition, DOT is expanding and improving the use of visualization and mapping capabilities, developing interactive features for items such as the Secretary's bus tour, TIGER grants and more. DOT will continue to innovate its Web presence and achieve its digital strategy objectives over the coming years.

Section 3.6.5: Reporting on No FEAR Act Implementation

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

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

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

Section 4.1: Progress on Key Open Government Plan Initiatives

Section 4.1.1: Progress Towards DOT's 2010 Flagship Initiative

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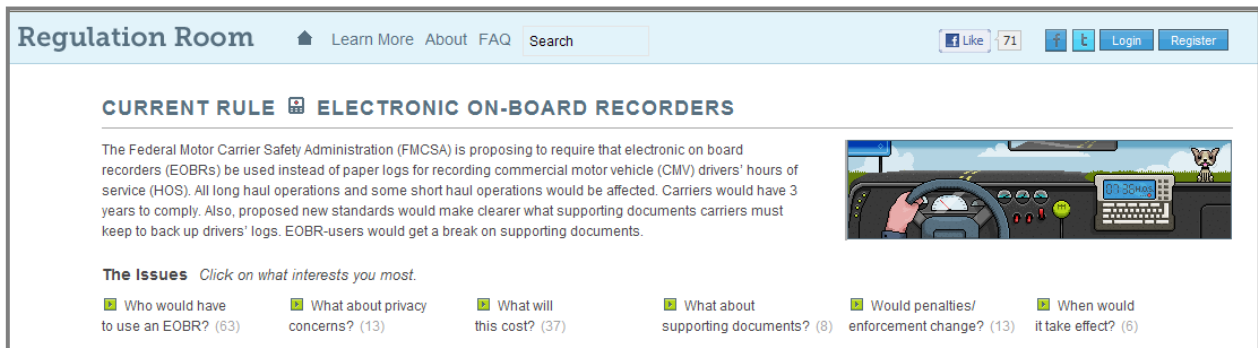

Figure 6: Regulation Room

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

Section 4.1.2: Progress Towards DOT's 2012 Flagship Initiative

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

Safety.data.gov is an Open Government initiative that seeks to build a safety community on the data.gov Web site. While DOT and other Federal agencies collect important safety-related data, DOT recognizes that releasing data alone does not fully leverage the potential of those datasets for discovering new information, inventing new products, or identifying complex patterns to improve decision-making.

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

The Safety Data Initiative held its first datapalooza in September 2012, with nearly 200 attendees from the government, safety advocates, and the private sector. The second annual safety datapalooza was held in January 2014, attended by over 300 people. The safety.data.gov catalog continues to grow, with over 800 datasets cataloged from around the Federal government, and DOT has contributed to the growth with new application programming interfaces (APIs) for railroad safety and vehicle safety data.

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

Section 4.1.3: Progress Towards New Feedback Mechanisms Identified in 2010

DOT committed to pursuing new feedback mechanisms in its first Open Government Plan. As noted in **Section 1.1.4** of this Plan, DOT leveraged the IdeaScale platform on a wide variety of issues to elicit targeted citizen feedback, including on its strategic plan. DOT currently has over 1,600 datasets on data.gov. Due to resource limitations, DOT was unable to implement the use of online video to provide consumers and the flying public with "how to" videos on consumer protection.

Section 4.1.4: Progress Towards New Collaboration Platforms Identified in 2010

DOT committed to expanding its use of online collaboration platforms and has fully met the commitments in this section of the Plan. We are fully leveraging the capabilities of our internal SharePoint platform. We have implemented IdeaHub as our internal ideation platform, and we have deployed GoToMeeting agency-wide, to support secure video teleconferencing and Web conferencing.

Section 4.2: Update on Core Open Government Activities

Section 4.2.1: Update on Records Management Program

DOT makes information about its Records Management (RM) program publicly available through the DOT Records Management Web site, www.dot.gov/records, linked to DOT's Open Government Web site. In addition, DOT has elevated the priority of the program as a near-term goal. The inclusion of RM as an area in the Open Government Directive emphasizes the importance of RM in the transparency of government. Under the Federal Records Act, the Secretary of Transportation is responsible for the Department's RM program. This responsibility is delegated to the DOT Chief Information Officer, who has overall responsibility for providing leadership, planning, policy, procedures, and guidance for managing information. DOT's RM directive further delineates the principles, responsibilities, and requirements for managing DOT records and establishes the framework for DOT Operating Administrations for complying with Federal laws, regulations and best practices.

DOT was evaluating its RM program prior to issuance of the Open Government Directive. As a direct result of the Open Government Directive, we will provide the public with the opportunity to comment on the usefulness of our RM internet site and recommend types of information they are interested in accessing. Increasing transparency and modernizing the program will provide these benefits to the public:

- Improve public knowledge of our RM program;
- Improve DOT's ability to publish timely and accurate agency information;
- Assist in agency accountability and responsiveness in decision-making;
- Preserve public trust;
- Maintain continuity of DOT operations in the event of a disaster; and
- Maintain protection of records from inappropriate and unauthorized destruction and access.

Since FY 2010 DOT has made substantive progress in its efforts to implement an enterprise-wide approach to records management. Key to its RM modernization efforts has been the Records

U.S. Department of Transportation

Management Working Group which includes representation across the Operating Administration and secretarial offices, bringing RM, Information Technology, legal, and programmatic expertise together to develop approaches and solutions reflective of the unique operational environments found at DOT. Following the FY 2012 submission of its modernization plan to the National Archives and Records Administration (NARA) the DOT initiated a records management inventory. The inventory not only supports specific aspects of the Presidential Directive on Records Management, but also presents an opportunity for DOT to document and compare interrelated but separate disciplines such as: privacy, open data, information collection, and discovery—all of which depend upon mature records management practices. The inventory will support efforts to rationalize and, where possible, harmonize records schedules across DOT enabling more responsive and timely responses to public requests for DOT information.

DOT's RM 101 training, required of all employees and contractors since FY 2013, is a model among Federal agencies and helps facilitate employee compliance with the principles of the Open Government Directive by increasing awareness of RM requirements.

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

DOT continues to make improvements in the performance of its FOIA program by reducing backlogs, making proactive disclosures, ensuring that effective systems are in place to respond to FOIA requests, and exploring technology to increase the timeliness of disclosures. Between the end of FY 2009 and the end of FY 2013, DOT reduced its backlog of initial requests by nearly 27 percent and its backlog of appeals by 50 percent. DOT has consistently maintained a very low percentage of appeals on initial requests processed, which is indicative of the high quality of DOT's initial responses to requesters. In FY 2009, only 1.87 percent of requests were appealed. By FY 2013, that percentage had improved even further to 1.27 percent.

The portion of DOT's FOIA Web site created in response to the Open Government Directive includes the following updated information: (1) a description of DOT's staffing, organizational structure, and process for analyzing and responding to FOIA requests; (2) an assessment of DOT's capacity to analyze, coordinate, and respond to FOIA requests in a timely manner, together with proposed changes, technological resources, or reforms that DOT determines are needed to strengthen FOIA processes; and (3) milestones that detail how DOT will reduce its pending backlog of outstanding FOIA requests by at least 10 percent each year. DOT intends to further reduce its backlogs and increase timeliness by making additional improvements to its FOIA program over the coming years.

Section 4.2.3: Update on Congressional Requests for Information

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

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

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

Section 4.2.4: Update on Declassification Program

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

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

You can also access this page through www.dot.gov/open.

Section 4.3: Compliance with Other Transparency Initiatives

Section 4.3.1: Recovery.gov

The American Recovery and Reinvestment Act of 2009 (Recovery Act) was signed into law by President Obama on February 17, 2009. It was an unprecedented effort to jumpstart our economy, create or save millions of jobs, and put a down payment on addressing long-neglected challenges, so our country can thrive in the 21st century. The Act was an extraordinary response to a crisis unlike any since the Great Depression, and included measures to modernize our nation's infrastructure, enhance energy independence, expand educational opportunities, preserve and improve affordable health care, provide tax relief, and protect those in greatest need.

To provide the public with greater transparency and to create greater accountability, the Administration created the recovery.gov Web site. DOT provides this Web site with weekly updates on financial data and grant information. DOT also posts much of this information on its own www.dot.gov Web site. DOT has established a number of working groups to review and develop policies to ensure that the information being released is accurate. In addition to providing information to Web sites, DOT also provides weekly updates to the Secretary, the Vice President's Office and the Recovery Office at the White House on the progress of Recovery Act projects and the number of jobs created as a result of the Recovery Act.

In DOT, the IT working group continues to update the National Transportation Library's (NTL) Reference Service on the Recovery Act effort. The NTL has developed a Frequently Asked Questions (FAQs) Web site solution to address the most common concerns, and telephone and e-mail inquiries are routed to the NTL's Reference Service for response. This reference service is offered between 8:00 a.m. and 5:00 p.m. ET, Monday through Friday. DOT responds to all inquiries within 24 hours. Performance metrics for the NTL's Reference Service are also being captured, reported, and used to identify additional candidates for FAQs.

Section 4.3.2: USAspending.gov

USASpending.gov was launched in December 2007 to implement the Federal Funding Accountability and Transparency Act (FFATA) of 2006 by providing the public with free centralized access to information on Federal spending. This site is designed to provide citizens insight into how the government spends taxpayer dollars. The Department of Transportation information in USASpending.gov is populated with data from two sources: the Federal Procurement Data System (FPDS), which contains information about Federal contracts, and the Department's Grants Information System (GIS) which serves as a centralized financial assistance data store for the Operating Administrations. In May 2013, DOT initiated a Data Quality Improvement Pilot for Grants Management to identify opportunities for reporting improvement; lead collaboration among all stakeholders associated with grants programs, systems, and supporting services; and improve traceability of financial assistance awards between Operating Administration grant systems, USASpending.gov and Delphi, the department's financial system. Milestones for this effort include:

- Develop and implement procedures to validate USAspending.gov prime Federal award financial data with data maintained in Delphi. (October 1, 2013)
- Report to OMB the accuracy rate of USAspending.gov prime Federal award financial data based on its validation process if discrepancies exist between USAspending.gov and financial systems. (quarterly report beginning February 28, 2014)

- Implement reporting improvements Phase 1 - Operating Administrations report directly to USAspending.gov. (Notionally planned for October 1, 2014)

Section 4.3.3: FSRS.gov

The Federal Funding Accountability and Transparency Act (FFATA) Sub-award Reporting System (FSRS.gov) is the system that allows grant award and contract award recipients to electronically report their sub-award activity. On July 2010, FSRS.gov launched as the resource for prime awardees to report on FFATA-required contract sub-award activity and executive compensation. On October 2010, FSRS.gov expanded to incorporate FFATA-required grant sub-award and executive compensation reporting. This site is pre-populated through USAspending.gov. Eligible financial assistance information is originally provided by DOT's GIS into USAspending. Then USAspending pre-populates eligible information into FSRS.gov.

Section 4.3.4: e-Rulemaking

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

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

Section 4.3.5: IT Dashboard

For fiscal year 2012, OMB, in coordination with many of the executive agencies including DOT, revamped reporting requirements for major IT investments and subsequently the online IT Dashboard. Over the past 18 months, OMB has issued various memoranda to enhance fiscal management and reporting that provides citizens with simpler, more straightforward investment performance information via user-friendly data feeds and displays. This information allows the public to become knowledgeable and further empowered to examine taxpayer resources for major IT investments and provides a mechanism to address concerns regarding costs and benefits.

The 2012 reporting requirements, paired with additional program management data required under the DOT's improved IT Governance process further enhances the relevance and accuracy of investment data provided to the public, and has yielded positive impacts on the investment management and oversight

practices within the Department. The data has increased accountability for investment management teams and executive decision making committees/personnel. Further, DOT has embarked on an effort to further enhance visibility of major IT investments. Enhanced investment management guidance will leverage visualization dashboards to improve data quality and promote well-bounded activity scope, strategic planning, and defensible cost and schedule projections. This process will allow for more realistic baseline reporting. As a result, investments have shown improvement in their future planning and management with minimal need to re-baseline throughout the current fiscal year. Additionally, investment contract data on the IT Dashboard now have stronger links to the authoritative source for contracts, USASpending. DOT fully supports the new IT Dashboard and will continue to refine its data reporting and analysis processes to ensure that citizens are provided the most current, accurate information possible.

Section 4.3.6: Data.gov

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

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

To meet the Open Government Directive's requirements for identifying, prioritizing, and releasing high value datasets through data.gov, the DOT data.gov working group developed guidelines and regularly posts updates to its public data inventory at http://www.dot.gov/data. In addition, DOT has committed to ensuring that its regulatory enforcement and compliance data are posted to data.gov, through its plan. DOT datasets are included in many communities on data.gov, including safety, research, law and energy. As of March 2014, DOT has published over 1,500 datasets to data.gov.

U.S. Department of Transportation

Appendix A: Acronym List

Abbreviation/Acronym	Definition
CTG	Center for Technology in Government (at the University at Albany, State University of New York)
DOT	Department of Transportation
FAA	Federal Aviation Administration
FACA	Federal Advisory Committee Act
FDMS	Federal Docket Management System
FHWA	Federal Highway Administration
FMCSA	Federal Motor Carrier Safety Administration
FOIA	Freedom of Information Act
FPDS	Federal Procurement Data System
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
GIS	Geographic Information System also, Grants Information System
ICC	Interstate Commerce Commission
ICR	Information Collection Request
IT	Information Technology
MAP-21	Moving Ahead for Progress in the 21st Century
MARAD or MarAd	Maritime Administration

Abbreviation/Acronym	Definition
NARA	National Archives and Records Administration
NEPA	National Environmental Policy Act
NHTSA	National Highway Traffic Safety Administration
NPRM	Notice of Proposed Rulemaking
OA	Operating Administration
OIG	Office of the Inspector General
OMB	Office of Management and Budget
OST	Office of the Secretary of Transportation
PHMSA	Pipeline and Hazardous Materials Safety Administration
PIA	Privacy Impact Assessment
PRA	Paperwork Reduction Act
PVAT	Public Value Assessment Tool
SLSDC	Saint Lawrence Seaway Development Corporation
STB	Surface Transportation Board
TIGER	Transportation Investments Generating Economic Recovery
U.S.	United States
UWR	United We Ride

Appendix B: Requirements Mapping to the Open Government Directive

Section	Description	Plan Section
1	**Formulating the Plan**	2
2	**Publishing the Plan**	N/A; see http://www.dot.gov/open
3	**Transparency**	
a	Changes to internal management and administrative policies	
a.i	Strategic action plan for transparency	3.2
a.i.1	Inventory of high value datasets for download	3.2.1
a.i.2	Foster public's use of this information	3.2.2, 3.2.3
a.i.3	Identify high value information not previously been released	1.1.1 3.2
a.ii	Plan for timely publication of data	3.2.1
a.iii	Complying with transparency initiative guidance	4.3
a.iv	Inform the public of significant actions and business of your agency	1.1, 1.2
a.v	Records management requirements	4.2.1
a.vi	FOIA	4.2.2
a.vii	Congressional requests for information	4.2.3
a.viii	Declassification programs	4.2.4
b	**Participation**	
b	Changes to internal management and administrative policies	1.1
b.i	Links to participatory Web sites	1.2
b.ii	Plans for feedback and innovative tools	1.1
c	**Collaboration**	

Section	Description	Plan Section
c	Changes to internal management and administrative policies	N/A
c.i	Technology platforms	3.1, 3.3
c.ii	Links to collaborative Web sites and tools	3.1, 3.3
c.iii	Plan for innovative methods	3.1, 3.3
d	**Flagship Initiative**	
d.i	Overview of initiative	3.1
d.ii	Plan for engaging public	3.1
d.iii	External partners for initiative (if appropriate)	3.1
d.iv	Plan for improved transparency, participation, and collaboration	3.1
d.v	Plan for sustainability	3.1
e	**Public and agency involvement**	2

Appendix C: Requirements Mapping to 2014 Open Government Plan Guidance

Section	Description	Plan Section
New and Expanded Initiatives		
A	Open Data	3.2
B	Proactive Disclosures	3.6.1
C	Privacy	3.6.2
D	Whistleblower Protection	3.6.3
E	Websites	3.6.4
Ongoing Initiatives		
A	Participation in Transparency Initiatives	4.3
B	Public Notice	1.2
C	Records Management	4.2.1
D	Freedom of Information Act (FOIA) Requests	4.2.2
E	Congressional Requests	4.2.3
F	Declassification	4.2.4
G	Participation	1.2
H	Collaboration	1.1; 3.1; 3.3
I	Flagship Initiative	3.1
J	Public and Agency Ideas	2