

**U.S. Department of  
Transportation**

**BUDGET  
ESTIMATES  
FISCAL YEAR 2020**

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**OFFICE OF  
THE SECRETARY  
OF TRANSPORTATION**

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**SUBMITTED FOR THE USE OF  
THE COMMITTEES ON APPROPRIATIONS**

**DEPARTMENT OF TRANSPORTATION  
OFFICE OF THE SECRETARY**

**FY 2020 CONGRESSIONAL JUSTIFICATION**

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**GENERAL NOTES**

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

## OFFICE OF THE SECRETARY

## OVERVIEW

The Office of the Secretary (OST) requests fiscal year (FY) 2020 resources totaling \$2.492 billion to invest in the Nation's infrastructure and support the programs and activities of the Office of the Secretary. OST, in recent years, has been tasked by Congress with expanding upon its traditional role of program and policy oversight within the Department of Transportation. OST's role has come to include implementation of essential infrastructure grant and financing programs.

For instance, OST is responsible for the selection, award, and oversight of billions of dollars of multimodal infrastructure funding, the Better Utilizing Investments to Leverage Development (BUILD) Transportation Grants program and the Infrastructure for Rebuilding America (INFRA) grant program. These programs serve to repair and modernize the Nation's infrastructure, promote economic growth, and help meet the demands of expanding freight movement across the country. In addition to direct grants to local project sponsors, OST also works closely with sponsors and stakeholders to identify and provide the most appropriate low-cost financing or loan guarantee vehicle for a variety of projects.

Separately, OST continues to conduct and provide research, data, and analysis in support of the development of national transportation policy that promotes the Secretary's priorities of safety, infrastructure, and innovation. OST also continues to implement numerous non-capital programs that address many issues such as the advancement of automated vehicles, commercial flight access for rural communities, preventing alcohol and illegal drug use in the transportation sector, and enforcing airline consumer protections.

Of the total request, approximately \$2.04 billion is proposed for the INFRA and BUILD grant programs. The remaining funds will support core OST programs and oversight responsibilities, as well as continue strategic Departmental priorities such as addressing emerging transportation technologies, investing in cyber security, and improving corporate efficiencies through the establishment of a shared service environment.

The FY 2020 request includes:

- \$1 billion for the BUILD Transportation Grants Program. The proposed funding and program provisions will provide an equitable geographic distribution of funds and ensure balance in addressing both rural and urban communities' needs with infrastructure investments across a variety of transportation modes. These funds will enable the Department to fund critical transportation projects that will have a significant impact on the Nation, a metropolitan area, or a region through a merit-based, competitive program. Recent awards include a multimodal freight project to nearly double a port's capacity to safely transport energy exports, a transit efficiency project that used fiber optic cables to connect bus rapid transit stations and intersection signals to the local traffic management center, and a roadway project that ensured emergency and transportation access to a tribal community.
- \$1 billion for the INFRA Grant Program. The proposed funding will supplement the currently authorized FY 2020 program level from the FAST Act for a combined funding

level of \$2 billion. The INFRA program rewards project sponsors who propose cost effective freight and congestion relief projects, leverage federal assistance, and incorporate innovation into their projects. While the FAST Act-authorized program focuses the bulk of its resources on the national highways, the supplemental \$1 billion proposed in the FY 2020 Budget will have increased flexibility to address multimodal freight projects, including freight rail, port, and inland waterway surface transportation projects which enhance the Nation’s supply chains and economic competitiveness.

- \$118 million for Salaries and Expenses for the Secretarial offices. The OST Offices serve as advisors to the Secretary on a wide range of areas while also maintaining oversight controls on the Department’s programs, initiatives, and policies. These Offices contribute to the advancement of the Department’s strategic goals, from safety to infrastructure and innovation, to regulatory reform with a focus on efficiency and the elimination of duplicative efforts.
- \$8 million for the Department’s Transportation Planning, Research and Development program for research activities and studies required to support the Secretary’s formulation of national transportation policies. Within this amount, the Interagency Infrastructure Permitting Improvement Center and dashboard will receive \$1.25 million to streamline the permitting review processes.
- \$4 million for the National Surface Transportation and Innovative Finance Bureau to facilitate targeted Federal investments in infrastructure by streamlining the Department’s innovative finance programs. The budget request will also allow OST to further build upon its initial progress of consolidating these credit programs, and continue to develop and promote best practices for innovative financing and public-private partnerships, including the management of the Title XI program.
- A \$276 million program level for the Essential Air Service (EAS) program, including obligations of \$151 million of mandatory resources from overflight fees collected by the Federal Aviation Administration and a \$125 million discretionary appropriation. OST looks forward to working with Congress on reforms to the existing program that ensure Federal funds are efficiently targeted at the communities most in need. The reforms include adjustments to eligibility and limitations to the per-passenger subsidies for communities that are relatively close to larger airports.
- \$9 million for the Departmental Office of Civil Rights (DOCR) to support and advance internal and external civil rights initiatives, administer Federal civil rights statutes, and investigate EEO complaints.
- \$3 million for the Small and Disadvantaged Business Utilization and Outreach (SDBUO) activities which assist small, disadvantaged, and women-owned businesses to participate in DOT and DOT-assisted contracts and grants.
- \$15 million for Cyber Security Initiatives to continue to improve the compliance of DOT’s cyber security posture and continue the accomplishments achieved in prior fiscal years.

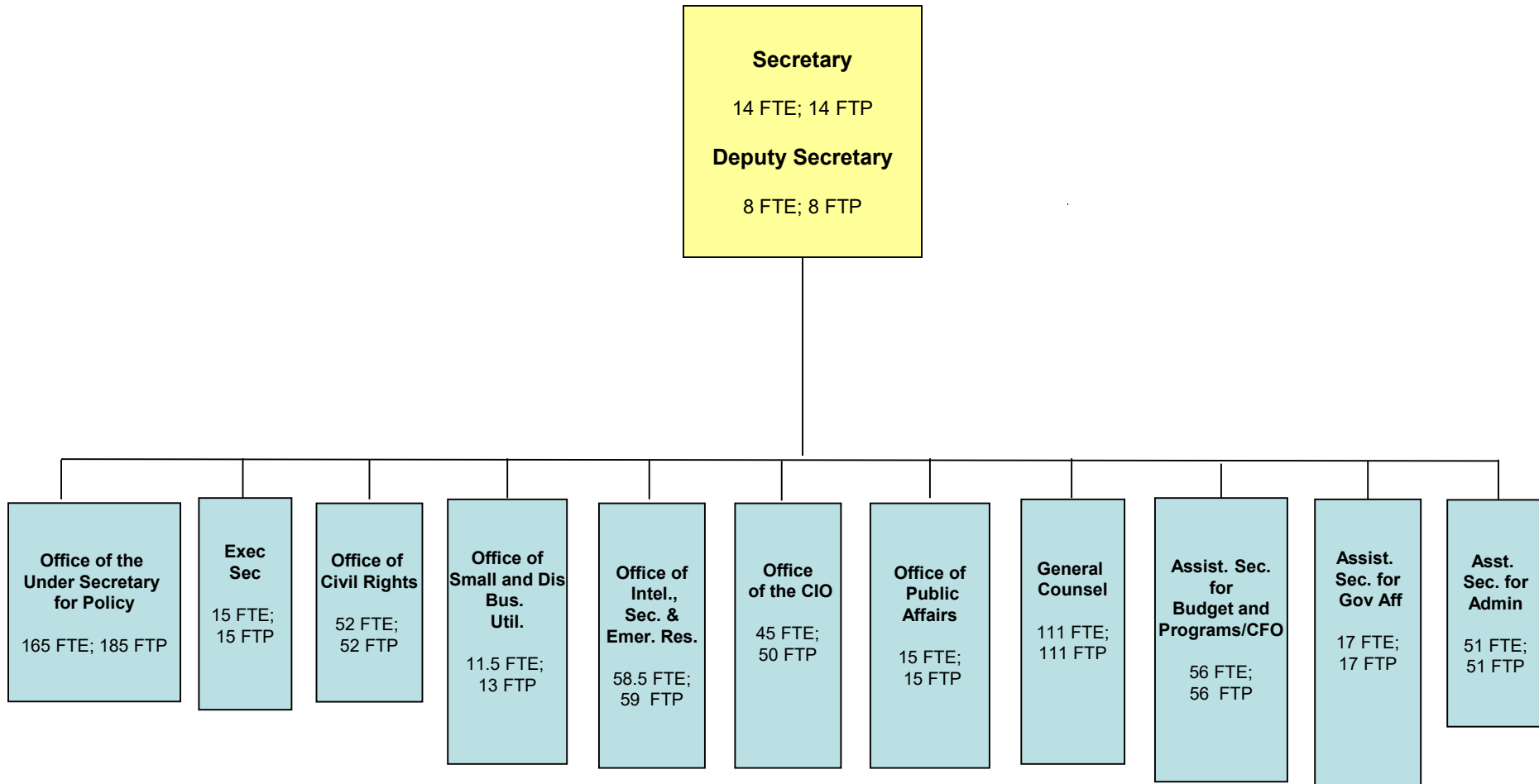
- \$2 million for Financial Management Capital which the Department will use to continue the execution of the DATA Act compliance requirements and also allow the Department to develop and implement an Enterprise Content Management (ECM) system to electronically manage sensitive hard-copy financial documents.
- \$22 million for Research and Development for the Office of the Assistant Secretary for Research and Technology to coordinate research initiatives across the Department. The proposed funding level includes \$15 million for civil monitoring of the GPS signal.
- A total of \$724 million in obligations are estimated across the Working Capital Fund in FY 2020, including \$219 million to continue the Department's move towards implementing Shared Services. The Department's shared services initiative will improve mission delivery in acquisition, human resources, and information technology (IT) by consolidating separate, overlapping, and duplicative processes and functions. As a key part of this effort, the Department is currently embarking upon a more modern, centralized approach to IT investment and management through the use of shared services. In FY 2020, the Department will continue consolidating its commodity IT and begin to coordinate programmatic applications across Operating Administrations. Utilizing shared services will enable the Department to improve cybersecurity, increase efficiencies, and improve transparency in IT spending.



Exhibit I

U.S. Department of Transportation

*Office of the Secretary – Direct Positions/FTEs – FY 2020*



**EXHIBIT II - 1**  
**COMPARATIVE STATEMENT OF NEW BUDGET AUTHORITY**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**

(\$000)

ACCOUNTS	FY 2018 ENACTED	FY 2019 ANNUALIZED CR	FY 2019 ENACTED	FY 2020 REQUEST
SALARIES & EXPENSES	112,813	112,813	113,910	117,993
FINANCIAL MANAGEMENT CAPITAL	6,000	6,000	2,000	2,000
OFFICE OF CIVIL RIGHTS	9,500	9,500	9,470	9,000
SMALL & DISADVANTAGED BUS. UTIL. & OUTREACH	4,646	4,646	3,488	3,000
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	14,000	14,000	7,879	8,000
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT (BUILD) GRANTS PROGRAM (NII)	1,500,000	1,500,000	900,000	1,000,000
INFRASTRUCTURE FOR REBUILDING AMERICA (INFRA) GRANTS PROGRAM	0	0	0	1,035,000
MINORITY BUSINESS RESOURCE CENTER PROGRAM (MBRC)	500	500	500	0
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU	3,000	3,000	5,000	4,000
CYBER SECURITY INITIATIVES	15,000	15,000	15,000	15,000
RESEARCH AND TECHNOLOGY	23,465	23,465	8,471	22,000
ESSENTIAL AIR SERVICE PROGRAM	288,742	300,437	320,437	275,512
Payments to Air Carriers ( <i>Airport &amp; Airway Trust Fund</i> ) - Discretionary	155,000	155,000	175,000	125,000
Essential Air Service - Mandatory	133,742	145,437	145,437	150,512
<b>GRAND TOTAL</b>	<b>1,977,667</b>	<b>1,989,362</b>	<b>1,386,155</b>	<b>2,491,505</b>
<b>NON-ADD</b>				
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM (SCASDP)	[10,000]	[10,000]	[10,000]	[0]
WORKING CAPITAL FUND ( <i>Obligation Limitation</i> )	[202,245]	[202,245]	[319,793]	[0] <sup>1/</sup>
VOLPE TRANSPORTATION CENTER WORKING CAPITAL FUND	[335,000]	[335,000]	[335,000]	[340,000]
Appropriations - Budget Authority	1,977,667	1,989,362	1,386,155	2,491,505
Rescissions and Cancellations	0	0	0	0

1/ No limitation is proposed.

**EXHIBIT II - 2**  
**TOTAL BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**Appropriations, Obligation Limitations, Exempt Obligations, and Mandatory EAS**

(\$000)

ACCOUNTS	FY 2018 ENACTED	FY 2019 ANNUALIZED CR	FY 2019 ENACTED	FY 2020 REQUEST
SALARIES & EXPENSES	112,813	112,813	113,910	117,993
FINANCIAL MANAGEMENT CAPITAL	6,000	6,000	2,000	2,000
OFFICE OF CIVIL RIGHTS	9,500	9,500	9,470	9,000
SMALL & DISADVANTAGED BUS. UTIL. & OUTREACH	4,646	4,646	3,488	3,000
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	14,000	14,000	7,879	8,000
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT (BUILD) GRANTS PROGRAM (NI)	1,500,000	1,500,000	900,000	1,000,000
INFRASTRUCTURE FOR REBUILDING AMERICA (INFRA) GRANTS PROGRAM	0	0	0	1,035,000
MINORITY BUSINESS RESOURCE CENTER PROGRAM (MBRC)	500	500	500	0
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU	3,000	3,000	5,000	4,000
CYBER SECURITY INITIATIVES	15,000	15,000	15,000	15,000
RESEARCH AND TECHNOLOGY	23,465	23,465	8,471	22,000
ESSENTIAL AIR SERVICE PROGRAM (EAS)	288,742	300,437	320,437	275,512
Payments to Air Carriers ( <i>Airport &amp; Airway Trust Fund</i> ) - Discretionary	155,000	155,000	175,000	125,000
Essential Air Service - Mandatory	133,742	145,437	145,437	150,512
<b>GRAND TOTAL</b>	<b>1,977,667</b>	<b>1,989,362</b>	<b>1,386,155</b>	<b>2,491,505</b>
<b>NON-ADD</b>				
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM (SCASDP)	[10,000]	[10,000]	[10,000]	[0]
WORKING CAPITAL FUND (Obligation Limitation)	[202,245]	[202,245]	[319,793]	[0] <sup>1/</sup>
VOLPE TRANSPORTATION CENTER WORKING CAPITAL FUND	[335,000]	[335,000]	[335,000]	[340,000]

1/ No limitation is proposed.

**EXHIBIT II - 3**  
**BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATIONAL GOALS**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**Appropriations, Obligation Limitations, & Exempt Obligations**

ACCOUNTS	Safety	Infrastructure	Innovation	Accountability	Total
SALARIES & EXPENSES	811	4,177	1,092	111,913	117,993
FINANCIAL MANAGEMENT CAPITAL	0	0	0	2,000	2,000
OFFICE OF CIVIL RIGHTS	0	0	0	9,000	9,000
SMALL & DISADVANTAGED BUS. UTIL. & OUTREACH	0	0	0	3,000	3,000
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	754	4,198	1,391	1,657	8,000
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT (BUILD) GRANTS PROGRAM (NI)	0	975,000	0	25,000	1,000,000
INFRASTRUCTURE FOR REBUILDING AMERICA (INFRA) GRANTS PROGRAM	0	1,025,000	0	10,000	1,035,000
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU	0	0	4,000	0	4,000
CYBER SECURITY INITIATIVES	0	0	0	15,000	15,000
RESEARCH AND TECHNOLOGY	0	0	22,000	0	22,000
ESSENTIAL AIR SERVICE PROGRAM	0	140,338	0	0	275,512
<b>GRAND TOTAL</b>	<b>1,565</b>	<b>2,148,713</b>	<b>28,483</b>	<b>177,570</b>	<b>2,491,505</b>

**EXHIBIT II - 4**  
**BUDGET AUTHORITY**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**(\$000)**

ACCOUNTS	M/D	FY 2018 ENACTED	FY 2019 ANNUALIZED CR	FY 2019 ENACTED	FY 2020 REQUEST
SALARIES & EXPENSES	D	112,813	112,813	113,910	117,993
FINANCIAL MANAGEMENT CAPITAL	D	6,000	6,000	2,000	2,000
OFFICE OF CIVIL RIGHTS	D	9,500	9,500	9,470	9,000
SMALL & DISADVANTAGED BUS. UTIL. & OUTREACH	D	4,646	4,646	3,488	3,000
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	D	14,000	14,000	7,879	8,000
MINORITY BUSINESS RESOURCE CENTER PROGRAM (MBRC)	D	500	500	500	0
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT (BUILD) GRANTS PROGRAM (NII)	D	1,500,000	1,500,000	900,000	1,000,000
INFRASTRUCTURE FOR REBUILDING AMERICA (INFRA) GRANTS PROGRAM	D	0	0	0	1,035,000
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU		3,000	3,000	5,000	4,000
CYBER SECURITY INITIATIVES	D	15,000	15,000	15,000	15,000
RESEARCH AND TECHNOLOGY	D	23,465	23,465	8,471	22,000
ESSENTIAL AIR SERVICE PROGRAM		288,742	300,437	320,437	275,512
Payments to Air Carriers ( <i>Airport &amp; Airway Trust Fund</i> )	D	155,000	155,000	175,000	125,000
Essential Air Service	M	133,742	145,437	145,437	150,512
<b>GRAND TOTAL</b>		<b>1,977,667</b>	<b>1,989,362</b>	<b>1,386,155</b>	<b>2,491,505</b>
Mandatory		133,742	145,437	145,437	150,512
Discretionary		1,843,924	1,843,924	1,240,718	2,340,993
<b>NON-ADD</b>					
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM (SCASDP)		[10,000]	[10,000]	[10,000]	[0]
WORKING CAPITAL FUND (Obligation Limitation)		[202,245]	[202,245]	[319,793]	[0] <sup>1/</sup>
VOLPE TRANSPORTATION CENTER WORKING CAPITAL FUND		[335,000]	[335,000]	[335,000]	[340,000]

<sup>1/</sup> No limitation is proposed.

**EXHIBIT II - 5**  
**OUTLAYS**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**

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ACCOUNTS	FY 2018 ENACTED	FY 2019 ANNUALIZED CR	FY 2019 ENACTED	FY 2020 REQUEST
SALARIES & EXPENSES	104,448	146,293	109,987	113,779
FINANCIAL MANAGEMENT CAPITAL	1,560	6,000	2,800	2,000
OFFICE OF CIVIL RIGHTS	8,450	9,600	9,470	9,491
SMALL & DISADVANTAGED BUS. UTIL. & OUTREACH	4,196	6,892	6,982	6,668
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	10,772	12,100	9,652	10,555
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT (BUILD) GRANTS PROGRAM (NII)	455,281	572,000	571,691	816,000
INFRASTRUCTURE FOR REBUILDING AMERICA (INFRA) GRANTS PROGRAM	0	0	0	0
MINORITY BUSINESS RESOURCE CENTER PROGRAM (MBRC)	371	774	500	249
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU	1,000	4,800	4,800	5,220
CYBER SECURITY INITIATIVES	17,165	18,317	15,000	11,959
RESEARCH AND TECHNOLOGY	10,701	36,619	9,970	20,647
WORKING CAPITAL FUND (Obligation Limitation)	16,000	16,000	16,000	8,000
ESSENTIAL AIR SERVICE PROGRAM				
Payments to Air Carriers	153,727	150,000	167,000	145,000
Payments to Air Carriers ( <i>Airport &amp; Airway Trust Fund</i> ) - Discretionary				
NEW HEADQUARTERS BUILDING	530	124	124	0
VOLPE NATIONAL TRANSPORTATION CENTER	67,199	0	0	0
<b>Discretionary, Subtotal</b>	<b>851,400</b>	<b>979,519</b>	<b>923,976</b>	<b>1,149,568</b>
MINORITY BUSINESS RESOURCE CENTER PROGRAM (MBRC)				
MBRC Guaranteed Loan Subsidy re-estimate- Mandatory	126	0	0	0
ESSENTIAL AIR SERVICE PROGRAM				
Essential Air Service - Mandatory	140,860	140,024	140,024	136,106
<b>Mandatory, Subtotal</b>	<b>140,986</b>	<b>140,024</b>	<b>140,024</b>	<b>136,106</b>
<b>GRAND TOTAL</b>	<b>992,386</b>	<b>1,119,543</b>	<b>1,064,000</b>	<b>1,285,674</b>

**EXHIBIT II-6**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations**

**SALARIES AND EXPENSES SUMMARY**

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	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes							FY 2020 Baseline Estimate	Program Increases/ Decreases	FY 2020 Request
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase			
<b>PERSONNEL RESOURCES</b>													
Direct													
Positions	464	464	464	0	0	0	0	0	0	0	464	11	475
FTEs	392.00	401.00	401.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	457.50	5.50	458.00
Reimbursable													
Positions	32	32	32	0	0	0	0	0	0	0	32	1	33
FTEs	20.00	24.00	24.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	24.00	0.00	24.00
<b>FINANCIAL RESOURCES</b>													
<b>ADMINISTRATIVE EXPENSES</b>													
Salaries and Benefits	74,230.884	75,745.928	76,707.878	363.936	0.000	292.115	0.000	0.000	-45.841	0.000	77,318.088	1,109.717	78,419.075
* WCF Non-Add (Transit Benefits)	356.013	357.107	357.107	0.000	0.000	0.000	0.000	0.000	-19.808	0.000	337.299	0.000	337.299
Travel	1,078.561	1,177.621	1,177.621	0.000	0.000	0.000	0.000	0.000	0.000	0.000	1,177.621	75.000	1,263.180
Transportation	0.000	3.137	3.137	0.000	0.000	0.000	0.000	0.000	0.000	0.000	3.137	0.000	2.969
GSA Rent	9,677.925	9,990.744	9,990.744	0.000	0.000	0.000	0.000	533.475	0.000	0.000	10,524.219	0.000	10,524.219
Other Communication Services	107.713	71.625	71.625	0.000	0.000	0.000	0.000	0.000	0.000	0.000	71.625	0.000	3,648
Utilities & Misc., Charges-Rental-Furniture	8.830	8.831	8.831	0.000	0.000	0.000	0.000	0.000	0.000	0.000	8.831	0.000	8,831
Printing and Reproduction	180.306	180.309	180.309	0.000	0.000	0.000	0.000	0.000	0.000	0.000	180.309	5.000	185,309
Working Capital Fund	16,996.000	17,528.551	17,528.551	0.000	0.000	0.000	0.000	0.000	787.072	0.000	18,315.623	66.316	18,381,939
Contractual Services	10,355.940	7,948.513	8,083.563	0.000	0.000	0.000	0.000	0.000	0.000	0.000	8,083.563	873.301	9,023,178
Supplies and Materials	154.933	135.549	135.549	0.000	0.000	0.000	0.000	0.000	0.000	0.000	135.549	20.620	156,169
Equipment	21.909	22.193	22.193	0.000	0.000	0.000	0.000	0.000	0.000	0.000	22.193	2.203	24,396
Administrative Loan Fees	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Grants, Subsidies, & Contributions	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>PROGRAM EXPENSES</b>													
None	0.000		0	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
None	0.000		0	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
None	0.000		0	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
None	0.000		0	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>Program Subtotal</b>	<b>0.000</b>		<b>0</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<b>TOTAL</b>	<b>112,813.000</b>	<b>112,813.000</b>	<b>113,910.000</b>	<b>363.936</b>	<b>0.000</b>	<b>292.115</b>	<b>0.000</b>	<b>533.475</b>	<b>741.231</b>	<b>0.000</b>	<b>115,840.757</b>	<b>2,152.156</b>	<b>117,992.913</b>

**Notes:**

\* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

**EXHIBIT II-6**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
 Appropriations, Obligation Limitations, and Exempt Obligations

Small Community Air Service Development Program (SCASDP)

(\$000)

	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes							FY 2020 Baseline Estimate	Program Increases/D ecreases	FY 2020 Request	
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase				
<b>PERSONNEL RESOURCES</b>														
Direct														
Positions	5	6	6	0	0	0	0	0	0	0	0	6	0	6
FTEs	4.00	5.00	5.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	5.00	0.00	5.00
Reimbursable														
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>FINANCIAL RESOURCES</b>														
<b>ADMINISTRATIVE EXPENSES</b>														
Salaries and Benefits	489.343	489.343	489.343	2.405	0.000	1.871	0.000	0.000	0.000	0.000	0.000	493.619	-493.619	0.000
* WCF Non-Add (Transit Benefits)	1.572	1.572	1.572	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	1.572	-1.572	0.000
Travel	4.000	4.000	4.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	4.000	-4.000	0.000
Transportation	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
GSA Rent	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Other Communication Services	25.503	25.503	25.503	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	25.503	-25.503	0.000
Utilities & Misc., Charges-Rental-Furniture	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Printing and Reproduction	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Working Capital Fund	96.716	96.716	96.716	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	96.716	-96.716	0.000
Contractual Services	388.991	388.991	388.991	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	388.991	-388.991	0.000
Supplies and Materials	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Equipment	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Administrative Loan Fees	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Grants, Subsidies, & Contributions	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>PROGRAM EXPENSES</b>														
Grants - SCASDP	8,995.447	8,995.447	8,995.447								0.000	8,995.447	-8,995.447	0.000
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
<b>Program Subtotal</b>	<b>8,995.447</b>	<b>8,995.447</b>	<b>8,995.447</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>8,995.447</b>	<b>-8,995.447</b>	<b>0.000</b>
<b>TOTAL</b>	<b>10,000.000</b>	<b>10,000.000</b>	<b>10,000.000</b>	<b>2.405</b>	<b>0.000</b>	<b>1.871</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>10,004.276</b>	<b>-10,004.276</b>	<b>0.000</b>

Notes:

\* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits



**EXHIBIT II-6**  
 SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE  
 OFFICE OF THE SECRETARY OF TRANSPORTATION  
 Appropriations, Obligation Limitations, and Exempt Obligations

FINANCIAL MANAGEMENT CAPITAL

(\$000)

	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes							FY 2020 Baseline Estimate	Program Increases/ Decreases	FY 2020 Request
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase			
<b>PERSONNEL RESOURCES</b>													
Direct													
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reimbursable													
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>FINANCIAL RESOURCES</b>													
<b>ADMINISTRATIVE EXPENSES</b>													
Salaries and Benefits	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
* WCF Non-Add (Transit Benefits)	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Travel	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Transportation	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
GSA Rent	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Other Communication Services	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Utilities & Misc., Charges-Rental-Furniture	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Printing and Reproduction	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Working Capital Fund	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Contractual Services	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Supplies and Materials	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Equipment	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Administrative Loan Fees	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Grants, Subsidies, & Contributions	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>PROGRAM EXPENSES</b>													
Financial Management Capital	6,000.000	6,000.000	2,000.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	2,000.000	0.000	2,000.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
<b>Program Subtotal</b>	<b>6,000.000</b>	<b>6,000.000</b>	<b>2,000.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>2,000.000</b>	<b>0.000</b>	<b>2,000.000</b>
<b>TOTAL</b>	<b>6,000.000</b>	<b>6,000.000</b>	<b>2,000.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>2,000.000</b>	<b>0.000</b>	<b>2,000.000</b>

Notes:

\* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

**EXHIBIT II-6**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations**

OFFICE OF CIVIL RIGHTS

(\$000)

	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes								FY 2020 Baseline Estimate	Program Increases/ Decreases	FY 2020 Request
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase				
<b>PERSONNEL RESOURCES</b>														
Direct														
Positions	41	52	52	0	0	0	0	0	0	0	0	52	0	52
FTEs	40.00	52.00	52.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	52.00	0.00	52.00
Reimbursable														
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>FINANCIAL RESOURCES</b>														
<b>ADMINISTRATIVE EXPENSES</b>														
Salaries and Benefits	6,282,289	6,890,268	6,890,268	33,780	0.000	26,276	0.000	0.000	0.000	-4,082	0.000	6,946,242	-88,948	6,857,294
* WCF Non-Add (Transit Benefits)	39,966	39,966	39,966	0.000	0.000	0.000	0.000	0.000	0.000	-4,082	0.000	35,884	0.000	35,884
Travel	48,761	49,751	49,751	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	49,751	0.000	49,751
Utilities & Misc., Charges-Rental-Furniture	29,606	30,207	30,207	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	30,207	0.000	30,207
Printing and Reproduction	10,927	11,149	11,149	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	11,149	0.000	11,149
Working Capital Fund	1,029,705	1,209,191	1,209,191	0.000	0.000	0.000	0.000	0.000	0.000	-168,153	0.000	1,041,038	0.000	1,041,038
Contractual Services	2,047,196	1,256,872	1,226,872	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	1,226,872	-268,873	957,999
Supplies and Materials	51,516	52,562	52,562	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	52,562	0.000	52,562
<b>Administrative Subtotal</b>	<b>9,500,000</b>	<b>9,500,000</b>	<b>9,470,000</b>	<b>33,780</b>	<b>0.000</b>	<b>26,276</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-172,235</b>	<b>0.000</b>	<b>9,357,821</b>	<b>-357,821</b>	<b>9,000,000</b>
<b>PROGRAM EXPENSES</b>														
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
<b>Program Subtotal</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<b>TOTAL</b>	<b>9,500,000</b>	<b>9,500,000</b>	<b>9,470,000</b>	<b>33,780</b>	<b>0.000</b>	<b>26,276</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-172,235</b>	<b>0.000</b>	<b>9,357,821</b>	<b>-357,821</b>	<b>9,000,000</b>

Notes:

\* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

**EXHIBIT II-6**  
 SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE  
 OFFICE OF THE SECRETARY OF TRANSPORTATION  
 Appropriations, Obligation Limitations, and Exempt Obligations

SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH (SDBUO)

(\$000)

	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes							FY 2020 Baseline Estimate	Program Increases/ Decreases	FY 2020 Request
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase			
<b>PERSONNEL RESOURCES</b>													
Direct													
Positions	10	10	10	0	0	0	0	0	0	0	10	3	13
FTEs	10.00	10.00	10.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	10.00	1.50	11.50
Reimbursable	0	0	0										
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>FINANCIAL RESOURCES</b>													
<b>ADMINISTRATIVE EXPENSES</b>													
Salaries and Benefits	1,454.420	1,489.903	1,489.903	7.325	0.000	5.699	0.000	0.000	8.035	0.000	1,510.963	55.849	1,566.812
* WCF Non-Add (Transit Benefits)	4.431	4.431	4.431	0.000	0.000	0.000	0.000	0.000	8.035	0.000	12.467	0.000	12.467
Travel	19.190	19.580	19.580	0.000	0.000	0.000	0.000	0.000	0.000	0.000	19.580	0.000	19.580
Transportation	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
GSA Rent	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Other Communication Services	0.523	0.529	0.529	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.529	0.000	0.529
Utilities & Misc., Charges-Rental-Furniture	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Printing and Reproduction	3.295	3.328	3.328	0.000	0.000	0.000	0.000	0.000	0.000	0.000	3.328	0.000	3.328
Working Capital Fund	325.165	202.792	202.792	0.000	0.000	0.000	0.000	0.000	121.529	0.000	324.321	0.000	324.321
Contractual Services	872.798	959.032	604.344	0.000	0.000	0.000	0.000	0.000	0.000	0.000	604.344	-686.438	-82.094
Supplies and Materials	22.166	22.393	22.393								22.393	0.000	22.393
Equipment	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Administrative Loan Fees	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Grants, Subsidies, & Contributions	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>PROGRAM EXPENSES</b>													
Cooperative Agreements	1,948.443	1,948.443	1,145.131							0.000	1,145.131	0.000	1,145.131
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
<b>Program Subtotal</b>	<b>1,948.443</b>	<b>1,948.443</b>	<b>1,145.131</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>1,145.131</b>	<b>0.000</b>	<b>1,145.131</b>
<b>TOTAL</b>	<b>4,646.000</b>	<b>4,646.000</b>	<b>3,488.000</b>	<b>7.325</b>	<b>0.000</b>	<b>5.699</b>	<b>0.000</b>	<b>0.000</b>	<b>129.565</b>	<b>0.000</b>	<b>3,630.589</b>	<b>-630.589</b>	<b>3,000.000</b>

**Notes:**

\* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

**EXHIBIT II-6**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
 Appropriations, Obligation Limitations, and Exempt Obligations  
**TRANSPORTATION PLANNING, RESEARCH AND DEVELOPMENT (TPR&D)**  
 (\$000)

	FY 2018 Request	FY 2018 Redirection of Resources	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes							FY 2020 Baseline Estimate	Program Increases/Decreases	FY 2020 Request
						1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase			
<b>PERSONNEL RESOURCES</b>															
Direct															
Positions	31	0	31.00	37	37	0	0	0	0	0	0	0	37	0	37
FTEs	30.00	2.00	30.00	37.00	37.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	37.00	0.00	37.00
Reimbursable															
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>FINANCIAL RESOURCES</b>															
<b>ADMINISTRATIVE EXPENSES</b>															
Salaries and Benefits	5,658.662	0.000	5,658.662	6,570.081	6,570.081	22.365	0.000	25.031	0.000	0.000	-10.225	0.000	6,607.252	30.000	6,637.252
* WCF Non-Add (Transit Benefits)	34.155	0.000	34.155	34.155	34.155	0.000	0.000	0.000	0.000	0.000	-10.225	0.000	23.930	0.000	23.930
Travel	131.968	0.000	131.968	174.260	174.260	0.000	0.000	0.000	0.000	0.000	0.000	0.000	174.260	-0.754	173.506
Transportation	1.051	0.000	1,051	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
GSA Rent	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Other Communication Services	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Utilities & Misc., Charges-Rental-Furniture	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Printing and Reproduction	20.338	0.000	20,338	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Working Capital Fund	785.137	122.941	908.078	960.588	957.212	0.000	0.000	0.000	0.000	0.000	-85.980	0.000	871.232	0.000	871.232
Contractual Services	8,361.303	-6,618.189	1,743.114	774.071	156.448	0.000	0.000	0.000	0.000	0.000	0.000	0.000	156.448	136.571	293.019
Supplies and Materials	20.918	0.000	20,918	21.000	21.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	21.000	19.990	40.990
Equipment	15.871	0.000	15,871	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	-16.000	-16.000
Administrative Loan Fees	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Grants, Subsidies, & Contributions	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>PROGRAM EXPENSES</b>															
Safety Data & Automated Vehicle Safety Data Initiatives	0.000	5,500.000	5,500.000	5,500.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
None	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
None	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
None	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>Program Subtotal</b>	<b>0.000</b>	<b>5,500.000</b>	<b>5,500</b>	<b>5,500</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>TOTAL</b>	<b>14,995.248</b>	<b>-995.248</b>	<b>14,000.000</b>	<b>14,000.000</b>	<b>7,879.001</b>	<b>22.365</b>	<b>0.000</b>	<b>25.031</b>	<b>0.000</b>	<b>0.000</b>	<b>-96.205</b>	<b>0.000</b>	<b>7,830.192</b>	<b>169.807</b>	<b>8,000.000</b>

Notes:  
 \* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

**EXHIBIT II-6**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations**  
**NATIONAL INFRASTRUCTURE INVESTMENTS (Discretionary)**

(\$000)

	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes							FY 2020 Baseline Estimate	Program Increases/Decreases	FY 2020 Request
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase			
<b>PERSONNEL RESOURCES</b>													
Direct													
Positions	7	7	7	0	0	0	0	0	0	0	7	0	7
FTEs	6.00	7.00	7.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	7.00	0.00	7.00
Reimbursable	0	0	0	0	0	0	0	0	0	0	0	0	0
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>FINANCIAL RESOURCES</b>													
<b>ADMINISTRATIVE EXPENSES</b>													
Salaries and Benefits	6,662.404	6,662.404	6,662.404	32.808	0.000	25.518	0.000	0.000	-0.764	0.000	6,719.966	0.000	6,719.966
* WCF Non-Add (Transit Benefits)	9.463	9.463	9.463	0.000	0.000	0.000	0.000	0.000	-0.764	0.000	8.699	0.000	8.699
Travel	808.000	808.000	808.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	808.000	0.000	808.000
Transportation	0.404	0.404	0.404	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.404	0.000	0.404
GSA Rent	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Other Communication Services	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Utilities & Misc., Charges-Rental-Furniture	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Printing and Reproduction	10.605	10.605	10.605	0.000	0.000	0.000	0.000	0.000	0.000	0.000	10.605	0.000	10.605
Working Capital Fund	216.178	216.178	216.178	0.000	0.000	0.000	0.000	0.000	-80.400	0.000	135.778	0.000	135.778
Contractual Services	17,281.199	17,281.199	19,281.199	0.000	0.000	0.000	0.000	0.000	0.000	0.000	19,281.199	0.000	17,304.037
Supplies and Materials	21.210	21.210	21.210	0.000	0.000	0.000	0.000	0.000	0.000	0.000	21.210	0.000	21.210
Equipment	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Administrative Loan Fees	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Grants, Subsidies, & Contributions	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>PROGRAM EXPENSES</b>													
Nil Infrastructure Grants	1,475,000.000	1,475,000.000	873,000.000							0.000	873,000.000	102,000.000	975,000.000
Nil Planning Grants	0.000	0.000	0.000							0.000	0.000	0.000	0.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
<b>Program Subtotal</b>	<b>1,475,000.000</b>	<b>1,475,000.000</b>	<b>873,000.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>873,000.000</b>	<b>102,000.000</b>	<b>975,000.000</b>
<b>TOTAL</b>	<b>1,500,000.000</b>	<b>1,500,000.000</b>	<b>900,000.000</b>	<b>32.808</b>	<b>0.000</b>	<b>25.518</b>	<b>0.000</b>	<b>0.000</b>	<b>-81.164</b>	<b>0.000</b>	<b>899,977.162</b>	<b>102,000.000</b>	<b>1,000,000.000</b>

Notes:

\* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

**EXHIBIT II-6**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
 Appropriations, Obligation Limitations, and Exempt Obligations  
**INFRASTRUCTURE FOR REBUILDING AMERICA (INFRA) GRANTS PROGRAM**  
 (\$000)

	FY 2018 Request	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes								FY 2020 Baseline Estimate	Program Increases/Decreases	FY 2020 Request
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	FERS and FEHB Costs	0.000% Inflation Increase			
<b>PERSONNEL RESOURCES</b>														
Direct														
Positions	0	0	0	0	0	0	0	0	0	0	0	0	7	7
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	4.00	4.00
Reimbursable														
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>FINANCIAL RESOURCES</b>														
<b>ADMINISTRATIVE EXPENSES</b>														
Salaries and Benefits	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	1,101.718	1,101.718
* WCF Non-Add (Transit Benefits)	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	10.000	10.000
Travel	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	50.000	50.000
Transportation	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
GSA Rent	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Other Communication Services	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Utilities & Misc., Charges-Rental-Furniture	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Printing and Reproduction	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Working Capital Fund	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Contractual Services	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	8,838.282	8,838.282
Supplies and Materials	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	10.000	10.000
Equipment	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Administrative Loan Fees	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Grants, Subsidies, & Contributions	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>PROGRAM EXPENSES</b>														
INFRA	0.000	0.000	0.000								0.000	0.000	1,025,000.000	1,025,000.000
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
<b>Program Subtotal</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>1,025,000.000</b>	<b>1,025,000.000</b>
<b>TOTAL</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>1,035,000.000</b>	<b>1,035,000.000</b>

Notes:

\* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

**EXHIBIT II-6**  
 SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE  
 OFFICE OF THE SECRETARY OF TRANSPORTATION  
 Appropriations, Obligation Limitations, and Exempt Obligations

MINORITY BUSINESS RESOURCE CENTER

(\$000)

	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes							FY 2020 Baseline Estimate	Program Increases/D ecreases	FY 2020 Request
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase			
<b>PERSONNEL RESOURCES</b>													
Direct													
Positions	0	1	1	0	0	0	0	0	0	0	1	-1	0
FTEs	0.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	-1.00	0.00
Reimbursable													
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>FINANCIAL RESOURCES</b>													
<b>ADMINISTRATIVE EXPENSES</b>													
Salaries and Benefits	184.905	184.905	184.905	0.912	0.000	0.709	0.000	0.000	0.000	0.000	186.526	-186.526	0.000
* WCF Non-Add (Transit Benefits)	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Travel	4.080	4.122	4.122	0.000	0.000	0.000	0.000	0.000	0.000	0.000	4.122	-4.122	0.000
Transportation	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
GSA Rent	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Other Communication Services	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Utilities & Misc., Charges-Rental-Furniture	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Printing and Reproduction	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Working Capital Fund	17.821	19.336	19.336	0.000	0.000	0.000	0.000	0.000	0.000	0.000	19.336	-19.336	0.000
Contractual Services	293.103	291.542	291.241	0.000	0.000	0.000	0.000	0.000	0.000	0.000	291.241	-291.241	0.000
Supplies and Materials	0.392	0.396	0.396								0.396	-0.396	0.000
Equipment	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Administrative Loan Fees	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Grants, Subsidies, & Contributions	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>PROGRAM EXPENSES</b>													
Guaranteed Loan Subsidy Reestimate - Mandatory	0.000	0.000	0.000							0.000	0.000	0.000	0.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
<b>Program Subtotal</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<b>TOTAL</b>	<b>500.301</b>	<b>500.301</b>	<b>500.000</b>	<b>0.912</b>	<b>0.000</b>	<b>0.709</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>501.621</b>	<b>-501.621</b>	<b>0.000</b>

Notes:

\* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

**EXHIBIT II-6**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations**

**CYBER SECURITY INITIATIVES**

(\$000)

	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes							FY 2020 Baseline Estimate	Program Increases/Decreases	FY 2020 Request	
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase				
<b>PERSONNEL RESOURCES</b>														
Direct														
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reimbursable														
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>FINANCIAL RESOURCES</b>														
<b>ADMINISTRATIVE EXPENSES</b>														
Salaries and Benefits	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
* WCF Non-Add (Transit Benefits)	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Travel	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Transportation	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
GSA Rent	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Other Communication Services	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Utilities & Misc., Charges-Rental-Furniture	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Printing and Reproduction	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Working Capital Fund	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Contractual Services	8,537.422	9,955.000	9,955.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	9,955.000	0.000	9,955.000	
Supplies and Materials														
Equipment	6,462.578	5,045.000	5,045.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	5,045.000	0.000	5,045.000	
Administrative Loan Fees	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	
Grants, Subsidies, & Contributions	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	
<b>PROGRAM EXPENSES</b>														
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000	
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000	
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000	
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000	
<b>Program Subtotal</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	
<b>TOTAL</b>	<b>15,000.000</b>	<b>15,000.000</b>	<b>15,000.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>15,000.000</b>	<b>0.000</b>	<b>15,000.000</b>	

Notes:  
 \* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits



**EXHIBIT II-6**  
 SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE  
 OFFICE OF THE SECRETARY OF TRANSPORTATION  
 Appropriations, Obligation Limitations, and Exempt Obligations

NATIONAL SURFACE TRANSPORTATION INNOVATIVE FINANCE BUREAU

(\$000)

	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes							FY 2020 Baseline Estimate	Program Increases/ Decreases	FY 2020 Request	
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase				
<b>PERSONNEL RESOURCES</b>														
Direct														
Positions	7	12	12	0	0	0	0	0	0	0	0	12	4	16
FTEs	7.00	12.00	12.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	12.00	2.00	14.00
Reimbursable														
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>FINANCIAL RESOURCES</b>														
<b>ADMINISTRATIVE EXPENSES</b>														
Salaries and Benefits	1,573.046	1,573.046	2,370.111	11.688	0.000	9.091	0.000	0.000	0.000	-1.572	0.000	2,389.318	0.000	2,824.136
* WCF Non-Add (Transit Benefits)	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	-1.572	0.000	-1.572	0.000	-1.572
Travel	19.889	19.889	19.889	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	19.889	55.111	75.000
Transportation	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
GSA Rent	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Other Communication Services	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Utilities & Misc., Charges-Rental-Furniture	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Printing and Reproduction	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Working Capital Fund	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	58.805	0.000	58.805	0.000	58.805
Contractual Services	1,397.065	1,397.065	2,600.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	2,600.000	-1,567.841	1,032.159
Supplies and Materials	10.000	10.000	10.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	10.000	-0.100	9.900
Equipment	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Administrative Loan Fees	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Grants, Subsidies, & Contributions	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>PROGRAM EXPENSES</b>														
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
None	0.000	0.000	0.000								0.000	0.000	0.000	0.000
<b>Program Subtotal</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<b>TOTAL</b>	<b>3,000.000</b>	<b>3,000.000</b>	<b>5,000.000</b>	<b>11.688</b>	<b>0.000</b>	<b>9.091</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>57.233</b>	<b>0.000</b>	<b>5,078.012</b>	<b>-1,512.830</b>	<b>4,000.000</b>

Notes:

\* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

**EXHIBIT II-6**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
 Appropriations, Obligation Limitations, and Exempt Obligations

**RESEARCH & TECHNOLOGY**

(\$000)

	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes							FY 2020 Baseline Estimate	Program Increases/ Decreases	FY 2020 Request
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase			
<b>PERSONNEL RESOURCES</b>													
Direct													
Positions	15	20	20	0	0	0	0	0	0	0	20	0	20
FTEs	15.00	17.00	17.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	17.00	0.00	17.00
Reimbursable	0	0	0										
Positions	30	35	35	0	0	0	0	0	0	0	35	0	35
FTEs	30.00	30.00	30.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	30.00	0.00	30.00
<b>FINANCIAL RESOURCES</b>													
<b>ADMINISTRATIVE EXPENSES</b>													
Salaries and Benefits	2,860.140	3,060.140	3,060.140	14.988	0.000	11.657	0.000	0.000	0.000	0.000	3,086.785	0.000	3,086.785
* WCF Non-Add (Transit Benefits)	20.955	20.955	20.955	0.000	0.000	0.000	0.000	0.000	0.000	0.000	20.955	0.000	20.955
Travel	90.900	90.900	90.900	0.000	0.000	0.000	0.000	0.000	0.000	0.000	90.900	-22.788	68.112
Transportation	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
GSA Rent	875.000	675.000	675.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	675.000	-475.000	200.000
Other Communication Services	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Utilities & Misc., Charges-Rental-Furniture	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Printing and Reproduction	1.020	1.020	1.020	0.000	0.000	0.000	0.000	0.000	0.000	0.000	1.020	0.000	1.020
Working Capital Fund	1,530.400	1,530.400	1,530.400	0.000	0.000	0.000	0.000	0.000	-559.464	0.000	970.936	0.000	970.936
Contractual Services	373.650	373.650	779.541	0.000	0.000	0.000	0.000	0.000	559.464	0.000	1,339.005	-999.857	339.148
Supplies and Materials	15.000	15.000	15.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	15.000	0.000	15.000
Equipment	101.000	101.000	101.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	101.000	0.000	101.000
Administrative Loan Fees	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Grants, Subsidies, & Contributions	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>PROGRAM EXPENSES</b>													
Research and Technology Programs	2,618.000	2,618.000	2,218.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	2,218.000	0.000	2,218.000
Civil Monitoring - Air Force GPS	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	15,000.000	15,000.000
Economic Impact on US Transportation System of A GPS Disruption	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Port Performance (BTS Program)	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Alternative Energy (previously Alternative Fuels)	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
RD&T Coordination	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
NDGPS	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
PNT	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
UTC Congestion & Infrastructure Research Grants	15,000.000	15,000.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>Program Subtotal</b>	<b>17,618.000</b>	<b>17,618.000</b>	<b>2,218.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>2,218.000</b>	<b>15,000.000</b>	<b>17,218.000</b>
<b>TOTAL</b>	<b>23,465.109</b>	<b>23,465.109</b>	<b>8,471.000</b>	<b>14.988</b>	<b>0.000</b>	<b>11.657</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>8,497.645</b>	<b>13,502.355</b>	<b>22,000.000</b>

Notes:

\* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

**EXHIBIT II-6**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations**

Essential Air Service (EAS)

(\$000)

	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes							FY 2020 Baseline Estimate	Program Increases/Decreases	FY 2020 Request	
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase				
<b>PERSONNEL RESOURCES</b>														
Direct														
Positions	14	14	14	0	0	0	0	0	0	0	14	0	14	
FTEs	14.00	14.00	14.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	14.00	0.00	14.00	
Reimbursable	0	0	0											
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0	
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
<b>FINANCIAL RESOURCES</b>														
<b>ADMINISTRATIVE EXPENSES</b>														
Salaries and Benefits	2,156,682	2,184,600	2,184,600	10,710	0,000	8,330	0,000	0,000	-1,847	0,000	2,201,793	62,055	2,263,848	
* WCF Non-Add (Transit Benefits)	12,824	12,824	12,824	0,000	0,000	0,000	0,000	0,000	-1,847	0,000	10,977	0,000	10,977	
Travel	7,070	7,142	7,142	0,000	0,000	0,000	0,000	0,000	0,000	0,000	7,142	0,458	7,600	
Transportation	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	
GSA Rent	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	
Other Communication Services	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	
Utilities & Misc., Charges-Rental-Furniture	0,046	0,047	0,047	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,047	-0,047	0,000	
Printing and Reproduction	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	
Working Capital Fund	265,329	159,297	159,297	0,000	0,000	0,000	0,000	0,000	109,810	0,000	269,107	0,000	269,107	
Contractual Services	268,161	797,995	797,995	0,000	0,000	0,000	0,000	0,000	0,000	0,000	797,995	-7,039	790,956	
Supplies and Materials	3,139	3,171	3,171								3,171	-203	2,968	
Equipment	151,500	156,221	156,221	0,000	0,000	0,000	0,000	0,000	0,000	0,000	156,221	75,783	80,438	
Administrative Loan Fees	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	
Grants, Subsidies, & Contributions	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	
<b>PROGRAM EXPENSES</b>														
Essential Air Service	130,890,479	142,128,685	142,128,685							0,000	142,128,685	4,968,493	147,097,178	
None	0,000	0,000	0,000							0,000	0,000	0,000	0,000	
None	0,000	0,000	0,000							0,000	0,000	0,000	0,000	
None	0,000	0,000	0,000							0,000	0,000	0,000	0,000	
<b>Program Subtotal</b>	<b>130,890,479</b>	<b>142,128,685</b>	<b>142,128,685</b>	<b>0,000</b>	<b>0,000</b>	<b>8,330</b>	<b>0,000</b>	<b>0,000</b>	<b>0,000</b>	<b>0,000</b>	<b>142,128,685</b>	<b>4,968,493</b>	<b>147,097,178</b>	
<b>TOTAL</b>	<b>133,742,407</b>	<b>145,437,159</b>	<b>145,437,159</b>	<b>10,710</b>	<b>0,000</b>	<b>8,330</b>	<b>0,000</b>	<b>0,000</b>	<b>107,963</b>	<b>0,000</b>	<b>145,564,161</b>	<b>4,947,934</b>	<b>150,512,095</b>	

Notes:

\* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

**EXHIBIT II-6**  
 SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE  
 OFFICE OF THE SECRETARY OF TRANSPORTATION  
 Appropriations, Obligation Limitations, and Exempt Obligations

PAYMENTS TO AIR CARRIERS

(\$000)

	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	Baseline Changes							FY 2020 Baseline Estimate	Program Increases/D eases	FY 2020 Request
				1.900% 3 Months Jan. 2019 Pay Raise	Annualization of New FY 2019 Positions	Change In Compensable Days 261 vs. 262	0.000% 9 Months Jan. 2020 Pay Raise	GSA Rent	WCF and FECA Changes	0.000% Inflation Increase			
<b>PERSONNEL RESOURCES</b>													
Direct													
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reimbursable													
Positions	0	0	0	0	0	0	0	0	0	0	0	0	0
FTEs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>FINANCIAL RESOURCES</b>													
<b>ADMINISTRATIVE EXPENSES</b>													
Salaries and Benefits	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
* WCF Non-Add (Transit Benefits)	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Travel	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Transportation	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
GSA Rent	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Other Communication Services	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Utilities & Misc., Charges-Rental-Furniture	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Printing and Reproduction	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Working Capital Fund	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Contractual Services	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Supplies and Materials	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Equipment	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Administrative Loan Fees	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Grants, Subsidies, & Contributions	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>PROGRAM EXPENSES</b>													
Essential Air Services	155,000.000	155,000.000	175,000.000							0.000	175,000.000	-50,000.000	125,000.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
None	0.000	0.000	0.000							0.000	0.000	0.000	0.000
<b>Program Subtotal</b>	<b>155,000.000</b>	<b>155,000.000</b>	<b>175,000.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>175,000.000</b>	<b>-50,000.000</b>	<b>125,000.000</b>
<b>TOTAL</b>	<b>155,000.000</b>	<b>155,000.000</b>	<b>175,000.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>175,000.000</b>	<b>-50,000.000</b>	<b>125,000.000</b>

Notes:

\* This is a "Non-Add" number; the Transit Benefits figure is added under the category Personnel Benefits

**EXHIBIT II - 7**  
**WORKING CAPITAL FUND**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**Appropriations, Obligation Limitations, Exempt Obligations, and Reimbursable Obligations**

(\$000)

DIRECT ACCOUNTS	FY 2018 ENACTED	FY 2019 ANNUALIZED CR	FY 2019 ENACTED	FY 2020 REQUEST
SALARIES & EXPENSES	17,352	17,886 1/	17,886	18,719
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM (SCASDP)	98	98	98	0
FINANCIAL MANAGEMENT CAPITAL	0	0	0	0
OFFICE OF CIVIL RIGHTS	1,070	1,249	1,249	1,077
SMALL & DISADVANTAGED BUS. UTIL. & OUTREACH	330	207	207	337
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	942	995	991	907
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT (BUILD) GRANTS PROGRAM (NII)	226	226	226	144
INFRASTRUCTURE FOR REBUILDING AMERICA (INFRA) GRANTS PROGRAM	0	0	0	0
MINORITY BUSINESS RESOURCE CENTER PROGRAM (MBRC)	18	19	19	0
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU	0	0	0	214
RESEARCH AND TECHNOLOGY	1,551	1,551	1,551	992
ESSENTIAL AIR SERVICE PROGRAM	278	172	172	280
Payments to Air Carriers ( <i>Airport &amp; Airway Trust Fund</i> ) - Discretionary	0	0	0	0
Essential Air Service - Mandatory	278	172	172	280
<b>Direct Accounts, Subtotal</b>	<b>21,865</b>	<b>22,404</b>	<b>22,400</b>	<b>22,670</b>
<b>REIMBURSABLE ACCOUNTS</b>				
SALARIES & EXPENSES	372	372	490	560
RESEARCH AND TECHNOLOGY	0	0	0	254
VOLPE	1,061	1,538	1,538	15,904
<b>Reimbursable Accounts, Subtotal</b>	<b>1,433</b>	<b>1,911</b>	<b>2,028</b>	<b>16,717</b>
<b>ALLOCATION/OTHER ACCOUNTS</b>				
BUREAU OF TRANSPORTATION STATISTICS (Direct)	3,574	3,574	4,635	5,204
BUREAU OF TRANSPORTATION STATISTICS (Reimbursable)	947	947	931	1,181
UNIVERSITY TRANSPORTATION CENTERS	130	130	164	196
<b>Allocation/Other Accounts, Subtotal</b>	<b>4,650</b>	<b>4,650</b>	<b>5,730</b>	<b>6,581</b>
<b>GRAND TOTAL</b>	<b>27,948</b>	<b>28,964</b>	<b>30,158</b>	<b>45,969</b>

**EXHIBIT II - 8**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**PERSONNEL RESOURCES: SUMMARY**  
**TOTAL FULL TIME EQUIVALENTS**

DIRECT ACCOUNTS	FY 2018 ENACTED	FY 2019 ANNUALIZED CR	FY 2019 ENACTED	FY 2020 REQUEST
SALARIES & EXPENSES	392	401	401	458
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM (SCASDP)	4	5	5	5
OFFICE OF CIVIL RIGHTS	40	52	52	52
SMALL & DISADVANTAGED BUS. UTIL. & OUTREACH	10	10	10	12
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	30	37	37	37
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT (BUILD) GRANTS PROGRAM (NII)	6	7	7	7
INFRASTRUCTURE FOR REBUILDING AMERICA (INFRA) GRANTS PROGRAM	0	0	0	4
MINORITY BUSINESS RESOURCE CENTER PROGRAM (MBRC)	0	1	1	0
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU	7	12	12	14
RESEARCH AND TECHNOLOGY	15	17	17	17
ESSENTIAL AIR SERVICE PROGRAM	14	14	14	14
Payments to Air Carriers ( <i>Airport &amp; Airway Trust Fund</i> ) - Discretionary	0	0	0	0
Essential Air Service - Mandatory	14	14	14	14
<b>Direct Accounts, Subtotal</b>	<b>518</b>	<b>556</b>	<b>556</b>	<b>620</b>
<b>REIMBURSABLE &amp; COLLECTIONS ACCOUNTS</b>				
SALARIES & EXPENSES	20	24	24	24
RESEARCH AND TECHNOLOGY	30	30	30	30
VOLPE WORKING CAPITAL FUND	556	570	570	570
WORKING CAPITAL FUND	228	242	242	342
<b>Reimbursable &amp; Collections Accounts, Subtotal</b>	<b>834</b>	<b>866</b>	<b>866</b>	<b>966</b>
<b>ALLOCATION/OTHER ACCOUNTS</b>				
BUREAU OF TRANSPORTATION STATISTICS (Direct)	46	55	55	55
BUREAU OF TRANSPORTATION STATISTICS (Reimbursable)	14	20	20	20
UNIVERSITY TRANSPORTATION CENTERS	5	5	5	5
<b>Allocation/Other Accounts, Subtotal</b>	<b>65</b>	<b>80</b>	<b>80</b>	<b>80</b>
<b>GRAND TOTAL</b>	<b>1,417</b>	<b>1,502</b>	<b>1,502</b>	<b>1,666</b>

**EXHIBIT II - 9**  
**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**PERSONNEL RESOURCES: SUMMARY**  
**TOTAL FULL TIME PERMANENT POSITIONS**

DIRECT ACCOUNTS	FY 2018 ENACTED	FY 2019 ANNUALIZED CR	FY 2019 ENACTED	FY 2020 REQUEST
SALARIES & EXPENSES	464	464	464	475
SMALL COMMUNITY AIR SERVICE DEVELOPMENT PROGRAM (SCASDP)	5	6	6	6
OFFICE OF CIVIL RIGHTS	41	52	52	52
SMALL & DISADVANTAGED BUS. UTIL. & OUTREACH	10	10	10	13
TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT	31	37	37	37
BETTER UTILIZING INVESTMENTS TO LEVERAGE DEVELOPMENT (BUILD) GRANTS PROGRAM (NII)	7	7	7	0
INFRASTRUCTURE FOR REBUILDING AMERICA (INFRA) GRANTS PROGRAM	0	0	0	7
MINORITY BUSINESS RESOURCE CENTER PROGRAM (MBRC)	0	1	1	0
NATIONAL SURFACE TRANSPORTATION & INNOVATIVE FINANCE BUREAU	7	12	12	16
RESEARCH AND TECHNOLOGY	15	20	20	20
ESSENTIAL AIR SERVICE PROGRAM	14	14	14	14
Payments to Air Carriers ( <i>Airport &amp; Airway Trust Fund</i> ) - Discretionary	0	0	0	0
Essential Air Service - Mandatory	14	14	14	14
<b>Direct Accounts, Subtotal</b>	<b>594</b>	<b>623</b>	<b>623</b>	<b>640</b>
<b>REIMBURSABLE &amp; COLLECTIONS ACCOUNTS</b>				
SALARIES & EXPENSES	32	32	32	32
RESEARCH AND TECHNOLOGY	31	35	35	35
VOLPE WORKING CAPITAL FUND	576	633	633	633
WORKING CAPITAL FUND	307	307	307	374
<b>Reimbursable &amp; Collections Accounts, Subtotal</b>	<b>946</b>	<b>1,007</b>	<b>1,007</b>	<b>1,074</b>
<b>ALLOCATION/OTHER ACCOUNTS</b>				
BUREAU OF TRANSPORTATION STATISTICS (Direct)	49	55	55	55
BUREAU OF TRANSPORTATION STATISTICS (Reimbursable)	14	20	20	20
UNIVERSITY TRANSPORTATION CENTERS	5	5	5	5
<b>Allocation/Other Accounts, Subtotal</b>	<b>68</b>	<b>80</b>	<b>80</b>	<b>80</b>
<b>GRAND TOTAL</b>	<b>1,608</b>	<b>1,710</b>	<b>1,710</b>	<b>1,794</b>

**DEPARTMENT OF TRANSPORTATION  
OFFICE OF THE SECRETARY**

**ADMINISTRATIVE PROVISIONS**

Sec. 101. None of the funds made available in this Act to the Department of Transportation may be obligated for the Office of the Secretary of Transportation to approve assessments or reimbursable agreements pertaining to funds appropriated to the modal administrations in this Act, except for activities underway on the date of enactment of this Act, unless such assessments or agreements have completed the normal reprogramming process for Congressional notification.

❖ Section 101 retains the provision that will retain the language under the Working Capital Fund heading in the FY 2015 Omnibus, Consolidated and Further Continuing Appropriations Act (P.L. 113-235) whereby no funds appropriated in the Act to an agency of the Department can be transferred to the Working Capital Fund without majority approval of the Working Capital Fund Steering Committee and approval of the Secretary.

Sec. 102. Notwithstanding section 3324 of title 31, United States Code, in addition to authority provided by section 327 of title 49, United States Code, the Department's Working Capital Fund is hereby authorized to provide payments in advance to vendors that are necessary to carry out the Federal transit pass transportation fringe benefit program under Executive Order 13150 and section 3049 of Public Law 109–59: *Provided*, That the Department shall include adequate safeguards in the contract with the vendors to ensure timely and high-quality performance under the contract.

❖ Section 102 retains the provision authorizing the Department's Working Capital Fund to provide payments in advance to vendors that are necessary to carry out the Federal transit pass transportation fringe benefit program.

Sec. 103. The Secretary shall post on the Web site of the Department of Transportation a schedule of all meetings of the Council on Credit and Finance, including the agenda for each meeting, and require the Council to record the decisions and actions of each meeting.

❖ Section 103 retains the provision that the Secretary post on the Web site of the Department of Transportation a schedule of all meeting of the Council on Credit and Finance, including the agenda for each meeting, and require the Council to record the decisions and actions of each meeting. The change in the name reflects the name established in the FAST Act and codified at 49 U.S.C. 117.

Sec. 104. In addition to authority provided by section 327 of title 49, United States Code, the Department's Working Capital Fund is hereby authorized to provide partial or full payments in advance and accept subsequent reimbursements from all Federal agencies for transit benefit distribution services that are necessary to carry out the Federal transit pass transportation fringe benefit program under Executive Order 13150 and section 3049 of Public Law 109–59: *Provided*, That the Department shall maintain a reasonable operating reserve in the Working



Capital Fund, to be expended in advance to provide uninterrupted transit benefits to Government employees, provided that such reserve will not exceed one month of benefits payable: *Provided further*, that such reserve may be used only for the purpose of providing for the continuation of transit benefits, provided that the Working Capital Fund will be fully reimbursed by each customer agency for the actual cost of the transit benefit.

❖ Section 104 retains the provision that proposes permanent authority for the Working Capital Fund (WCF) to provide advance payment to carry out the Federal transit pass transportation fringe benefit program, both within the Department, and to other Federal agencies, and provides explicit authority for the WCF to provide transit benefit services to non-DOT agencies. Such authority would be used instead of the Economy Act (31 U.S.C. 1535). The proposed language provides flexibility and continuity to the WCF in providing transit benefits and will enable real-time reconciliation of payments from Federal customer agencies by streamlining the current funding process.

The Federal Transit Benefit program with proper internal controls will always have excess funds over the amount ordered for the subsidy period. The program requires participants to adjust their transit subsidy so that in any given month the amount received is equal to their actual commuting expense from home to work and work to home. The subsidy is not a cash reimbursement, so therefore, leave, telework, etc. impact the amount of the subsidy. However, the participant's need for the full month's subsidy to cover actual commuting expenses between home and work must be funded and after the fact any amount not used is returned to the agency.

Since the roll-out of the debit card in 2012-14, excess transit benefits that are not used by employees remain on debit cards at the end of the month are subsequently refunded/swept back to DOT's Federal depository without a need for a participant to take action. Previously with paper vouchers, each participant was required to manually return the unused vouchers to their agency. The automatic return of excess benefit funding is one positive aspect of using an electronic means to deliver the transit subsidy and enables TRANServe to clearly and timely identify excess funding amounts much earlier. Such amounts previously would have been subject to fraud, waste and abuse.

Under the current debit card system, customer agencies are typically refunded 20% of their overall cost for transit benefits for the period of performance due to these adjustments. However, under the current process, customer agencies do not have time to use such funds prior to their expiration, which is often at the end of the fiscal year. This authority would enable Federal agencies to use their funds more rapidly and efficiently because the program could be capitalized in advance and could carry an operating reserve.

[Sec. 105. Section 116(h)(3)(D) of title 49, United States Code, is amended—

(1) in clause (i), by striking “During the 2-year period beginning on the date of enactment of this section, the”; inserting “From December 4, 2015, until the end of the last fiscal year for which any funds are authorized under the Fixing America’s Surface Transportation (FAST) Act (Public Law 114-94) or any extension thereof, the”; and inserting the following after the

first sentence: “Any such funds or limitation of obligations or portions thereof transferred to the Bureau may be transferred back to and merged with the original account.”; and

- (a) (2) in clause (ii) by striking “During the 2-year period beginning on the date of enactment of this section, the”; inserting “From December 4, 2015, until the end of the last fiscal year for which any funds are authorized under the Fixing America’s Surface Transportation (FAST) Act (Public Law 114-94) or any extension thereof, the”; and inserting the following after the first sentence: “Any such funds or limitation of obligations or portions thereof transferred to the Bureau may be transferred back to and merged with the original amount.”]

❖ This is in law and no longer needed.

*Sec. 105.*

*(a) Section 116(d)(1) of title 49, United States Code, is amended*

- (1) by adding at the end of subsection (d) (1) the following new subparagraph: “(E) The Federal Ship Financing Program under chapter 537 of title 46.”; and*  
*(2) In subsection (j)(6), by striking “or multimodal project” and inserting “multimodal project, or ship or ship facility construction, reconstruction, or reconditioning project”.*

*(b) Section 117 of title 49, United States Code, is amended –*

- (1) In subsection (b)(1) by adding at the end the following new subparagraph: “(1) The Maritime Administrator.”; and*  
*(2) In subsection (C)(1) by striking “and (C)” and inserting “(C), and (E)”.*

*Sec. 106.*

*(a) Chapter 537 of title 46, United States code, is amended –*

- (1) By striking “or Administrator” each place it appears;*  
*(2) By striking “or Adminnistor’s” each place it appears;*  
*(3) By striking “the Administrator” each place it appears and inserting “the Secretary”;*  
*(4) By striking “the Administrator’s” each place it appears and inserting “the Secretary’s”;*  
*(5) By striking “The Administrator” each place it appears and inserting “The Secretary”;*  
*(6) In section 53701 –*  
*(A) By striking “facilities.” in paragraph (14) and inserting “facilities, and the Secretary of Transportation with respect to other vessels and general shipyard facilities as provided for in section 53733 of this title.”; and*  
*(B) By striking paragraph (2) and redesignating paragraphs (3) through (15) as paragraphs (2) through (14), respectively;*  
*(7) In section 53708 –*  
*(A) in the heading for subsection (a) by striking “Administrator” and inserting “Secretary of Transportation”; and*  
*(B) in the heading for subsection (b) by inserting “ of Commerce” after “Secretary”;*  
*(8) in section 53717 –*  
*(A) in the heading for subsection (b) by striking “Adminstrator” and inserting “Secretary of Transportation”; and*

Section 3 – FY 2020 Budget Request by Appropriations

*(B) in the heading for subsection (c) by inserting “ of Commerce” after “Secretary”.*

- ❖ Section 105 proposes to transfer the Federal Ship Financing program (commonly referred to as Title XI) from the Maritime Administration to the Office of the Secretary – National Surface Transportation and Innovative Finance Bureau.

[Sec. 107. Section 503(l)(4) of the Railroad Revitalization and Regulatory Reform Act of 1976 (45 U.S.C. 823(l)(4)) is amended—

- (1) by striking the heading “Safety and Operations Account” and inserting the heading “National Surface Transportation and Innovative Finance Bureau Account, Office of the Secretary”; and
- (2) in subparagraph (A) by striking “the Safety and Operations Account of the Federal Railroad Administration” and inserting “the National Surface Transportation and Innovative Finance Bureau Account”.]

- ❖ Section 107 This is in law and no longer needed.

*Sec. 107 For funds made available in this Act:*

- (a) Section 41731(a)(1)(D) of title 49 shall be applied by substituting “is a community that, as of the date of enactment of the Department of Transportation Appropriations Act, 2020, was receiving essential air service for which compensation was provided to an air carrier under this subchapter” for the existing text.*
- (b) Subsection (c) of section 426 of the FAA Modernization and Reform Act of 2012 (49 U.S.C. 41731 note) shall not apply to any community eligible to receive essential air service.*
- (c) Section 332 of the Department of Transportation and Related Agencies Appropriations Act, 2000 (49 U.S.C. 41731 note) shall be applied by substituting “\$250” for “\$200”.*

- ❖ Section 107 Limiting EAS eligibility to communities currently receiving subsidized service, and providing additional flexibility by increasing the subsidy cap from \$200 to \$250 per passenger for communities located within 210 miles from a large or medium hub airport, but eliminating the opportunity for a waiver from this requirement.

Sec. 108. Notwithstanding section 405 or any other provision, up to 10 percent of funds appropriated to Salaries and Expenses may be transferred among offices under that account in the Office of the Secretary of Transportation if the Secretary of Transportation determines such action to be necessary.

Section 108 retains flexibility for the Secretary to transfer funds when deemed fit for accounts under the Salaries and Expenses appropriation.

**GENERAL PROVISIONS – DEPARTMENT OF TRANSPORTATION**

**(INCLUDING TRANSFER OF FUNDS)**

**(INCLUDING CANCELLATIONS)**

Sec. 180

(a) During the current fiscal year, applicable appropriations to the Department of Transportation shall be available for maintenance and operation of aircraft; hire of passenger motor vehicles and aircraft; purchase of liability insurance for motor vehicles operating in foreign countries on official department business; and uniforms or allowances therefor, as authorized by law (5 U.S.C. 5901–5902).

(b) During the current fiscal year, applicable appropriations to the Department and its operating administrations shall be available for the purchase, acquisition, maintenance, operation, and deployment of unmanned aircraft systems that advance the Department's or its operating administrations mission.

(c) Any unmanned aircraft system purchased, procured, or contracted for by the Department prior to the enactment of this Act shall be deemed authorized by Congress as if this provision was in effect when the system was purchased, procured or contracted for.

- ❖ Section 180 retains the provision that allows the Department of Transportation to use funds for aircraft (including unmanned aircraft), motor vehicles, liability insurance, uniforms, or allowances, as authorized by law.

Sec. 181 Appropriations contained in this Act for the Department of Transportation shall be available for services as authorized by 5 U.S.C. 3109, but at rates for individuals not to exceed the per diem rate equivalent to the rate for an Executive Level IV.

- ❖ Section 181 retains the provision that limits appropriations for services authorized by 5 U.S.C. 3109 to the rate for an Executive Level IV.

Sec. 182

(a) No recipient of funds made available in this Act shall disseminate personal information (as defined in 18 U.S.C. 2725(3)) obtained by a State department of motor vehicles in connection with a motor vehicle record as defined in 18 U.S.C. 2725(1), except as provided in 18 U.S.C. 2721 for a use permitted under 18 U.S.C. 2721.

(b) Notwithstanding subsection (a), the Secretary shall not withhold funds provided in this Act for any grantee if a State is in noncompliance with this provision.

- ❖ Section 182 retains the provision that prohibits recipients of funds made available in this Act from releasing certain personal information and photographs from a driver's license or motor vehicle record, without express consent of the person to whom such information pertains; and prohibits the withholding of funds provided in this Act for any grantee if a State is in noncompliance with this provision.

Sec. 183 Funds received by the Federal Highway Administration and Federal Railroad Administration from States, counties, municipalities, other public authorities, and private sources for expenses incurred for training may be credited respectively to the Federal Highway Administration's "Federal-Aid Highways" account and to the Federal Railroad Administration's "Safety and Operations" account, except for State rail safety inspectors participating in training pursuant to 49 U.S.C. 20105.

- ❖ Section 183 retains the provision that permits funds received by specified DOT agencies from States or other private or public sources for expenses incurred for training to be credited to certain specified agency accounts.

Sec. 184 None of the funds made available in this Act to the Department of Transportation may be used to make a loan, loan guarantee, line of credit, or grant unless the Secretary of Transportation notifies the House and Senate Committees on Appropriations not less than 1 full business day before any project competitively selected to receive any discretionary grant award, letter of intent, loan commitment, loan guarantee commitment, line of credit commitment, or full funding grant agreement totaling \$1,000,000 or more is announced by the Department or its modal administrations from—

- (1) any discretionary grant or federal credit program of the Federal Highway Administration including the emergency relief program;
- (2) the airport improvement program of the Federal Aviation Administration;
- (3) any program of the Federal Railroad Administration;
- (4) any program of the Federal Transit Administration other than the formula grants and fixed guideway modernization programs;
- (5) any program of the Maritime Administration; or
- (6) any funding provided under the headings "National Infrastructure Investments" in this Act:

*Provided*, That the Secretary gives concurrent notification to the House and Senate Committees on Appropriations for any "quick release" of funds from the emergency relief program: *Provided further*, That no notification shall involve funds that are not available for obligation.

- ❖ Sec. 184 revises, currently prohibits funds from being used to make a grant unless the Secretary of Transportation notifies the House and Senate Committees on Appropriations no less than three days in advance of any discretionary grant award, letter of intent, or full funding grant agreement totaling \$1,000,000 or more. Propose changing the notification period from not less than three full business days to not less than one full business day.

Sec. 185 Rebates, refunds, incentive payments, minor fees and other funds received by the Department of Transportation from travel management centers, charge card programs, the subleasing of building space, and miscellaneous sources are to be credited to appropriations of the Department of Transportation and allocated to elements of the Department of Transportation using fair and equitable criteria and such funds shall be available until expended.

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- ❖ Section 185 retains the provision that allows funds received from rebates, refunds, and similar sources to be credited to appropriations of the Department of Transportation.

[Sec. 186 Amounts made available in this or any other Act that the Secretary determines represent improper payments by the Department of Transportation to a third-party contractor under a financial assistance award, which are recovered pursuant to law, shall be available—

- (1) to reimburse the actual expenses incurred by the Department of Transportation in recovering improper payments: *Provided*, That such amounts shall be available until expended; and
- (2) to pay contractors for services provided in recovering improper payments or contractor support in the implementation of the Improper Payments Information Act of 2002: *Provided*, That amounts in excess of that required for paragraphs (1) and (2)—
  - (A) shall be credited to and merged with the appropriation from which the improper payments were made, and shall be available for the purposes and period for which such appropriations are available: *Provided further*, That where specific project or accounting information associated with the improper payment or payments is not readily available, the Secretary may credit an appropriate account, which shall be available for the purposes and period associated with the account so credited; or
  - (B) if no such appropriation remains available, shall be deposited in the Treasury as miscellaneous receipts: *Provided further*, That prior to the transfer of any such recovery to an appropriations account, the Secretary shall notify the House and Senate Committees on Appropriations of the amount and reasons for such transfer: *Provided further*, That for purposes of this section, the term "improper payments" has the same meaning as that provided in section 2(d)(2) of Public Law 107–300.]

- ❖ Removes the provision that allows amounts from improper payments to a third party contractor that are lawfully recovered by the DOT to be available to cover expenses incurred in the recovery of such payments because it is repetitive.

Sec. [187] 186 Notwithstanding any other provision of law, if any funds provided in or limited by this Act are subject to a reprogramming action that requires notice to be provided to the House and Senate Committees on Appropriations, transmission of said reprogramming notice shall be provided solely to the House and Senate Committees on Appropriations: *Provided*, That the Secretary of Transportation may provide notice to other congressional committees of the action of the House and Senate Committees on Appropriations on such reprogramming but not sooner than 30 days following the date on which the reprogramming action has been transmitted to the House and Senate Committees on Appropriations.

- ❖ Section 186 retains the provision that allows the Secretary to provide notice to other Congressional Committees of the approval or denial of a reprogramming action of the Committees on Appropriations not sooner than 30 days following the date of approval or denial.

Sec. [188] 187 Funds appropriated in this Act to the modal administrations may be obligated for the Office of the Secretary for the costs related to assessments or reimbursable agreements only when such amounts are for the costs of goods and services that are purchased to provide a direct benefit to the applicable modal administration or administrations.

❖ Section 187 retains the provision that would allow the Office of the Secretary of Transportation to assess or enter into reimbursable agreements with the modal administrations only to the degree that such amounts are for the costs of goods and services that are purchased to provide a direct benefit to the applicable modal administration or administrations.

Sec. [189] 188 The Secretary of Transportation is authorized to carry out a program that establishes uniform standards for developing and supporting agency transit pass and transit benefits authorized under section 7905 of title 5, United States Code, including distribution of transit benefits by various paper and electronic media.

❖ Section 188 would explicitly designate the Department of Transportation as the Government-wide executive agency for the Federal transportation transit benefit program. While the Department of Transportation currently acts as the de facto executive agent, the lack of an official designation creates confusion with coordinating with the Office of Management and Budget and other agencies as to the Federal agency with the policy role for the program. In an April 2007 report, the Government Accountability Office (GAO) identified weaknesses in the design of program controls for transit benefit program at numerous Federal agencies; noted the lack of Government-wide policies or standards for establishing internal controls for the Federal transit benefits program; and concluded that weak program controls at each agency is a factor in fraud and abuse. The Department of Transportation has taken many of the corrective actions identified in the GAO report, but a formal designation as the Government-wide executive agent would enable the Department to lead more effectively the effort against transit benefit subsidy fraud and abuse.

Sec. [190] 189 Not to exceed 5 percent of any discretionary account (pursuant to the Balanced Budget and Emergency Deficit Control Act of 1985) appropriated for the current fiscal year to the Operating Administrations of the Department of Transportation in this Act may be transferred between that account and any other account of the Department, but no such account shall be increased by more than 10 percent by any such transfers: Provided, That the transfer authority granted by this section shall not be used to create any new program or to fund any project or activity for which no funds are provided in this Act: Provided further, That the Committees on Appropriations of the House of Representatives and the Senate are notified at least 15 days in advance of any such transfer.

❖ Section 189 retains transfer authority between Operating Administration accounts up to 5 percent, provided that the receiving account does not increase by more than 10 percent. Such transfers would require notification to the Appropriations committees at least 15 days in advance of any such transfer.

**GENERAL PROVISIONS—THIS ACT**

Sec. 401 None of the funds in this Act shall be used for the planning or execution of any program to pay the expenses of, or otherwise compensate, non-Federal parties intervening in regulatory or adjudicatory proceedings funded in this Act.

- ❖ Section 401 continues the prohibition on the use of funds for pay and other expenses provided in the appropriation act for compensating non-Federal parties intervening in regulatory or adjudicatory proceedings funded by the act.

Sec. 402 None of the funds appropriated in this Act shall remain available for obligation beyond the current fiscal year, nor may any be transferred to other appropriations, unless expressly so provided herein.

- ❖ Section 402 continues the prohibition on obligations beyond the current fiscal year and transfers of funds to other appropriations unless expressly provided in the appropriations act.

Sec. 403 The expenditure of any appropriation under this Act for any consulting service through a procurement contract pursuant to section 3109 of title 5, United States Code, shall be limited to those contracts where such expenditures are a matter of public record and available for public inspection, except where otherwise provided under existing law, or under existing Executive order issued pursuant to existing law.

- ❖ Section 403 continues the limitation on expenditures for consulting service through procurement contracts where such expenditures are a matter of public record and available for public inspection.

Sec. 404 Except as otherwise provided in this Act, none of the funds provided in this Act, provided by previous appropriations Acts to the agencies or entities funded in this Act that remain available for obligation or expenditure in fiscal year [2019] 2020, or provided from any accounts in the Treasury derived by the collection of fees and available to the agencies funded by this Act, shall be available for obligation or expenditure through a reprogramming of funds that—

- [(1)] (a) creates a new program;
- [(2)] (b) eliminates a program, project, or activity;
- [(3)] (c) increases funds or personnel for any program, project, or activity for which funds have been denied or restricted by the Congress;
- [(4)] (d) proposes to use funds directed for a specific activity in an appropriations law for a different purpose;
- [(5)] (e) augments existing programs, projects, or activities in excess of \$5,000,000 or 10 percent, whichever is less;
- [(6)] (f) reduces existing programs, projects, or activities by \$5,000,000 or 10 percent, whichever is less; or
- [(7)] (g) creates, reorganizes, or restructures a branch, division, office, bureau, board, commission, agency, administration, or department different from the budget justifications submitted to the Committees on Appropriations or the table accompanying



the explanatory statement accompanying this Act, whichever is more detailed, unless notification is transmitted to the House and Senate Committees on Appropriations: Provided, That not later than 60 days after the date of enactment of this Act, each agency funded by this Act shall submit a report to the Committees on Appropriations of the Senate and of the House of Representatives to establish the baseline for application of reprogramming and transfer authorities for the current fiscal year: Provided further, That the report shall include—

[(A)] (1) a table for each appropriation with a separate column to display the prior year enacted level, the President's budget request, adjustments made by Congress, adjustments due to enacted rescissions, if appropriate, and the fiscal year enacted level;

[(B)] (2) a delineation in the table for each appropriation and its respective prior year enacted level by object class and program, project, and activity as detailed in the budget appendix for the respective appropriation; and

[(C)] (3) an identification of items of special congressional interest.

❖ Section 404 continues the provision that each Department provide a report to the Committees on Appropriations that establishes the baseline for application of reprogramming and transfer authorities for the current fiscal year not later than 60 days after enactment.

Sec. 405 Except as otherwise specifically provided by law, not to exceed 50 percent of unobligated balances remaining available at the end of fiscal year [2019] 2020 from appropriations made available for salaries and expenses for fiscal year [2019] 2020 in this Act, shall remain available through September 30, [2020] 2021, for each such account for the purposes authorized: Provided, That a notification shall be submitted to the House and Senate Committees on Appropriations prior to the expenditure of such funds: Provided further, That these notifications shall be made in compliance with reprogramming guidelines under section 404 of this Act.

❖ Section 405 continues the provision providing that 50 percent of unobligated balances are available for certain purposes.

Sec. 406 No funds in this Act may be used to support any Federal, State, or local projects that seek to use the power of eminent domain, unless eminent domain is employed only for a public use: Provided, That for purposes of this section, public use shall not be construed to include economic development that primarily benefits private entities: Provided further, That any use of funds for mass transit, railroad, airport, seaport or highway projects, as well as utility projects which benefit or serve the general public (including energy-related, communication-related, water-related and wastewater-related infrastructure), other structures designated for use by the general public or which have other common-carrier or public-utility functions that serve the general public and are subject to regulation and oversight by the government, and projects for the removal of an immediate threat to public health and safety or brownfields as defined in the Small Business Liability Relief and Brownfields Revitalization Act (Public Law 107–118) shall be considered a public use for purposes of eminent domain.

### Section 3 – FY 2020 Budget Request by Appropriations

- ❖ Section 406 continues the provision prohibiting the use of funds for eminent domain unless such taking is employed for public use.

Sec. 407 No funds appropriated pursuant to this Act may be expended by an entity unless the entity agrees that in expending the assistance the entity will comply with sections 2 through 4 of the Act of March 3, 1933 (41 U.S.C. 10a-10c, popularly known as the "Buy American Act").

- ❖ Section 407 prohibits the availability of funds to any person or entity that does not comply with the Buy American Act.

Sec. 408 No funds appropriated or otherwise made available under this Act shall be made available to any person or entity that has been convicted of violating the Buy American Act (41 U.S.C. 10a-10c).

- ❖ Section 408 prohibits the availability of funds to any person or entity that has been convicted of violating the Buy American Act.

Sec. 409 None of the funds made available in this Act may be used for first-class airline accommodations in contravention of sections 301–10.122 and 301–10.123 of title 41, Code of Federal Regulations.

- ❖ Section 409 prohibits the use of funds for the purchase of first-class airline accommodations.

Sec. 410 None of the funds made available in this Act may be used to send or otherwise pay for the attendance of more than 50 employees of a single agency or department of the United States Government, who are stationed in the United States, at any single international conference unless the relevant Secretary reports to the House and Senate Committees on Appropriations at least 5 days in advance that such attendance is important to the national interest: Provided, That for purposes of this section the term "international conference" shall mean a conference occurring outside of the United States attended by representatives of the United States Government and of foreign governments, international organizations, or nongovernmental organizations.

- ❖ Section 410 retains the provision proposed which prohibits more than 50 people from attending an international conference.

**History of Budget Authority, Appropriations and User Fees**  
**(\$ in thousands)**  
**Office of the Secretary**

	<u>FY 2011</u> <u>Actual</u>	<u>FY 2012</u> <u>Actual</u>	<u>FY 2013</u> <u>Actual</u>	<u>FY 2014</u> <u>Actual</u>	<u>FY 2015</u> <u>Actual</u>	<u>FY 2016</u> <u>Actual</u>	<u>FY 2017</u> <u>Actual</u>	<u>FY 2018</u> <u>Actual</u>	<u>FY 2019</u> <u>Enacted</u>
Salaries & Expenses	102,481	102,481	97,121	107,000	105,000	108,750	114,000	112,813	113,910
Financial Management Capital	4,990	4,990	4,729	7,000	5,000	5,000	4,000	6,000	2,000
Office of Civil Rights	9,648	9,384	8,893	9,551	9,600	9,678	9,751	9,500	9,470
Small and Dis. Bus. Util. & Outreach (Min. Bus. Outreach)	3,068	3,068	2,908	3,088	3,099	3,084	4,646 <sup>3/</sup>	4,646 <sup>3/</sup>	3,488 <sup>3/</sup>
Trans., Plng., Res. & Dev. (TPR&D)	9,799	9,000	8,529	7,000	6,000	8,500	12,000	14,000	7,879
TPR&D Cancellation of Unobligated Balances	0	0	0	-2,750	0	0	0	0	0
National Infrastructure Investments	526,944	500,000	473,847	600,000	500,000	500,000	500,000	1,500,000	900,000
Nationally Significant Freight Projects	0	0	0	0	0	0	0	0	0
Minority Business Resource Center	921	922	874	925	925	933	941	500	500
Cyber Security/IT Infrastructure	0	10,000	9,477	4,455	5,000	8,000	15,000	15,000	15,000
National Surface Transportation & Innovative Finance Bureau	0	0	0	0	0	0	3,000	3,000	5,000
Research & Technology	12,981	15,981	15,145	14,765	13,000	13,000	13,000	23,465	8,471
Essential Air Service	[50,000] <sup>1/</sup>	[50,000] <sup>1/</sup>	[97,697] <sup>1/</sup>	[118,906] <sup>1/</sup>	[110,164] <sup>1/</sup>	[105,653] <sup>1/</sup>	[121,801] <sup>1/</sup>	[133,742] <sup>1/</sup>	[145,437] <sup>1/</sup>
Payments to Air Carriers	149,700	143,000	135,520	149,000	155,000	175,000	150,000	155,000	175,000
Bureau of Transportation Statistics	27,000 <sup>2/</sup>	25,206 <sup>2/</sup>	25,948 <sup>2/</sup>	26,000 <sup>2/</sup>	29,000 <sup>2/</sup>	26,000 <sup>2/</sup>	26,000 <sup>2/</sup>	26,000 <sup>2/</sup>	26,000 <sup>2/</sup>
Compensation for General Aviation Operations	0	-3,254	0	0	0	0	0	0	0

<sup>1/</sup> Overflight fees collected by FAA

<sup>2/</sup> Allocation from the Highway Trust Fund

<sup>3/</sup> Funding for the Office of Small and Disadvantaged Utilization (formerly in Salaries and Expenses) has been merged with the Minority Business Outreach appropriation and the appropriation has been renamed Small and Disadvantaged Business Utilization and Outreach.

**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**SALARIES AND EXPENSES SUMMARY**

(\$000)

<b><u>FUNDING LEVELS</u></b>	<b>FY 2018 Actual</b>	<b>FY 2019 Annualized CR</b>	<b>FY 2019 Enacted</b>	<b>FY 2020 Request</b>
Personnel Compensation and Benefits	\$ 74,231	\$ 75,746	\$ 76,708	\$ 78,419
Travel	1,079	1,178	1,178	1,263
Other Costs	37,504	35,889	36,025	38,311
Programs	-	-	-	-
<b>TOTAL</b>	<b>\$ 112,813</b>	<b>\$ 112,813</b>	<b>\$ 113,910</b>	<b>\$ 117,993</b>

**STAFFING**

Direct Positions	464	464	464	475
Direct FTEs	392	401	401	458
Reimbursable Positions	32	32	32	33
Reimbursable FTE	20	24.0	24.0	24.0

**Appropriations Language**

**SALARIES AND EXPENSES**

For necessary expenses of the Office of the Secretary, \$117,993,000: *Provided*, That not to exceed \$85,000 shall be for allocation within the Department for official reception and representation expenses as the Secretary may determine: *Provided further*, That notwithstanding any other provision of law, excluding fees authorized in Public Law 107-71, there may be credited to this appropriation up to \$2,500,000 in funds received in user fees.

**Program and Performance Statement**

The Office of the Secretary is responsible for the overall planning, coordination, and administration of the Department's programs. Funding supports the Secretary, Deputy Secretary, Under Secretary for Policy, Secretarial Officers, and their immediate staffs, who provide Federal transportation policy development and guidance, institutional and public liaison activities, and other program support to ensure effective management and operation of the Department.

## **Detailed Justification for the Immediate Office of the Secretary**

### **What is this program and what does this funding level support?**

The Immediate Office of the Secretary (OST) provides leadership for the Department and develops a shared understanding of the Department's vision, mission, and strategic goals. The Office is responsible for overall planning, direction, and control of the Department's agenda.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 14 FTEs and associated costs.

### **What benefits will be provided to the American public through this request and why is this program necessary?**

The Immediate Office of the Secretary of Transportation is necessary to provide executive leadership essential to responding to the American public about transportation issues affecting the Nation. By understanding the challenges faced by the transportation sector, this senior office sets the agenda of the administration as it relates to the transportation sector.

## **Detailed Justification for the Office of the Deputy Secretary**

### **What is this program and what does this funding level support?**

The Office of the Deputy Secretary assists the Secretary in the overall planning, direction and control of the Department's agenda. The Deputy Secretary functions as the Chief Operating Officer of the Department, and participates in key activities of every part of the Department. Among other responsibilities, the Deputy Secretary serves as Chair of DOT's Council on Credit and Finance, as Chair of DOT's Intelligent Transportation Systems Management Council, as a member of FAA's Management Advisory Council, and as DOT's representative to the Federal Permitting Improvement Steering Council. The Deputy Secretary also serves as Chair of DOT's Safety Council and as DOT's Regulatory Reform Officer.

The (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 8 FTEs and associated costs.

### **What benefits will be provided to the American public through this request and why is this program necessary?**

The Office of the Deputy Secretary assists the Secretary in the overall planning, direction and control of the Department's agenda. The office is essential to prioritizing responses to the American public about transportation issues affecting the Nation. This request will enable the Department to continue to respond more quickly and efficiently to the transportation needs of the American public, and to advance key objectives of maintaining and improving safety, building and repairing vital infrastructure, and enabling innovation for the future.

## **Detailed Justification for the Office of the Under Secretary of Transportation for Policy**

### **What Is This Program and What Does This Funding Level Support?**

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The **Under Secretary of Transportation for Policy** serves as a principal policy advisor to the Secretary and provides leadership in the development and implementation of policies for the Department, directs initiatives involving more than one modal administration, leads in the development of intermodal transportation solutions while promoting efficiency, manages statutory programs that are designated by Congress for the Secretary to administer, and oversees activities related to infrastructure and infrastructure deployment. Additionally, the S-3 Office provides the foundation for improved productivity growth and aims to strengthen the Nation's ability to compete in the global economy. All of these functions require expertise in program management, economic analysis, strategic planning, policy coordination and development, and technical matters involving aviation and surface modes. The Under Secretary oversees the Assistant Secretary for Transportation Policy (OST-P), the Assistant Secretary for Aviation and International Affairs (OST-X), the Assistant Secretary for Research and Technology (OST-R), the Build America Bureau (OST-Z).

The **Office of the Assistant Secretary for Transportation Policy** (OST-P) is the office primarily responsible for the leadership and development of policy for the Department, recommending transportation policy initiatives to the Secretary, Deputy Secretary and Under Secretary for Policy. The Office coordinates intermodal initiatives and processes that may impact multiple agencies within the Department, such as proposed reauthorization language. The Office leads the Department's efforts on Autonomous Vehicle (AV) policy and coordinates responses to cross-modal safety issues while leading initiatives to improve safety through a systemic approach to identify, mitigate, and eliminate risk with improved data collection and analysis, stakeholder collaboration, performance-based safety standards, and other measures. The Office also acts as the Department lead in areas of regulatory impact analysis and policy coordination and development. Additionally, OST-P reviews all proposed DOT rulemakings, legislation, testimony and reports to Congress, and is the lead office for the Department's Permitting Improvement Center (IPIC), advancing reforms to expedite environmental review and permitting of major infrastructure projects, while improving outcomes and increasing interagency coordination.

The **Office of the Assistant Secretary for Aviation and International Affairs** (OST-X) is primarily responsible for the analysis, development, articulation, and review of policies, programs, and plans for economic issues in domestic aviation and international transportation. The Office negotiates bilateral and multilateral aviation agreements, as well as provides Departmental leadership on multimodal transportation issues, and international diplomatic dialogues and protocol activities. The Office directly contributes to accomplishing DOT's strategic goal of economic growth, advancing America's economic growth and competitiveness domestically and internationally through efficient and flexible transportation.

The **Office of the Assistant Secretary for Research and Technology** (OST-R) strengthens research and technology initiatives across all operating administrations. The Office ensures that

the Department's innovation priorities and policies are implemented across the Department and leads a range of cross-modal research initiatives to address strategic goals Department-wide. OST-R also leads and administers the Department's multimodal statistics and data programs and oversees the work of related fee-for-service organizations.

The **National Surface Transportation and Innovative Finance Bureau: Build America Bureau** (OST-Z) develops Department-wide policies to improve transportation infrastructure financing and project delivery, administers the Department's transportation investment credit and Private Activity Bonds (PABs) programs, develops new initiatives to facilitate public and private financing mechanisms and alternative investments, and analyzes the cost effectiveness of new and alternative approaches. While advising the Secretary and leadership on all aspects of infrastructure investment, including public-private partnerships and concession agreements, the Bureau works to ensure that DOT meets established financial management goals and complies with pertinent legislation and directives.

**FY 2019 Anticipated Accomplishments:**

- The Office of the Under Secretary will lead the Department's efforts to develop agency initiatives in the areas of safety, infrastructure investments, innovation, project delivery effectiveness, future-oriented innovation, public and intergovernmental outreach, freight policy, public-private partnerships, and international transportation policy.
- The Office will administer statutory programs in aviation to achieve greater market access for U.S. airlines, enhance competitive airline service in international markets and at congested airport facilities, and promote innovation and U.S. jobs in the unmanned aircraft systems (UAS) industries.
- The Office's outreach with major transport ministers will continue to develop policy positions on transport and transport-related trade matters (for example in developing programs to acquire best transportation practices overseas, or promoting U.S. transportation standards in support of U.S. exports and jobs at home).
- The Office will continue to participate in the negotiation of liberalized aviation agreements between the U.S. and other countries, as well as other trade agreements, such as the renegotiation of the United States-Mexico-Canada Agreement (USMCA), the ongoing trade negotiations with the United Kingdom, and any other bilateral or multilateral trade negotiations.
- The Office will continue to advance the Department's ability to integrate, analyze, and present data to identify risk patterns and new insights that will aid in reducing transportation crashes and fatalities. We will also pursue opportunities to help State and local policy and decision making through safety data analysis.



- The Office will continue to support White House-led efforts that complement the Departmental goals of seeking long-term reform on how infrastructure projects are regulated, funded, delivered and maintained. This includes implementation of Executive Order and One Federal Decision MOU, to accelerate project delivery.
- The Office will continue to support the White House’s Indo-Pacific Initiative and other international engagements, contributing transportation elements to broader bilateral cooperative frameworks.
- The Office will develop the first-ever comprehensive plan for the safe integration of automation into the surface transportation. This plan will set the foundation for reaping the dramatic benefits of automation while also addressing safety and security considerations for our Nation’s transportation system.
- This Office will also implement innovative policies and programs to encourage state and local governments to raise their own revenue for infrastructure, align infrastructure investment with entities best suited to make investments efficiently, and leverage private sector expertise.
- In addition, the Office will produce a National Freight Strategic Plan to assess key trends and challenges facing the U.S. freight transportation system and guide the development of policies to improve the safety and efficiency of freight movement.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 67 FTEs and associated costs.

### **What Benefits Will Be Provided to the American Public Through This Request and Why is the Program Necessary?**

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Requested resources will allow the Office of the Under Secretary to continue its core operation of Department-wide policy development, research, financial assistance, strategic planning and oversight. Specifically, the Salaries and Expenses account within S-3 is the primary funding source for the policy experts, trade negotiators, economists, financial specialists and administrative support vital to the policy-making operations of S-3. In addition, S-3 aims to foster a deregulatory and regulatory environment that allows for the deployment of innovative technologies throughout transportation sectors, such as the safe testing and deployment of Automated Vehicles (AV) and Unmanned Aircraft Systems (UAS) in the U.S. transportation systems. In order to achieve that, the Department engages with stakeholders and industry to identify regulatory barriers, conduct near term research, and administer pilot programs and exemptions, with the goal of accelerating the deployment of Autonomous Vehicles. The

Office also engages in economic oversight and facilitation of international trade for U.S. aviation and surface transportation companies, negotiating new air service agreements, making grants, administering regulatory proceedings, reviewing competition matters, and engaging in structured regulatory cooperation with foreign counterparts. In engaging with our global trading partners, S-3 is supporting increased international market access for America's products and services by eliminating transportation and international trade barriers.

## **Detailed Justification for the Office of the Executive Secretariat**

### **What is this program and what does this funding level support?**

The Office of the Executive Secretariat provides organized staff services to the Secretary and Deputy Secretary, including the editing and vetting of correspondence, congressional reports, travel requests, and other documents for their signatures, Federal advisory committee management oversight, and directives management.

The Office of the Executive Secretariat is necessary to provide staff support for controlling and coordinating the flow of correspondence to the Secretary and Deputy Secretary in addition to administrative management services to their offices.

The fiscal year (FY) 2020 budget request includes baseline changes from FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 15 FTEs and associated costs.

### **What benefits will be provided to the American public through this request and why is this program necessary?**

The Office of the Executive Secretariat ensures the timely response to Secretarial inquiries from the general public (and Congress on their behalf) regarding transportation-related issues.

## **Detailed Justification for the Office of Intelligence, Security, and Emergency Response**

### **What is this program and what does this funding level support?**

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The Office of Intelligence, Security, and Emergency Response (S-60) has six program areas of responsibility: Intelligence, Operations, Preparedness, Protective Service, Response and Recovery, and Security Policy and Plans. S-60's programs are mandated and governed by statutes, national strategies and frameworks, Executive Orders, and Presidential Directives. Such guidance positions S-60 to play the unique national security role of leading DOT coordination during all-hazards incidents that impact transportation systems—from terrorist attacks to natural disasters. Most of S-60's budget request funds personnel—the program area subject matter experts who execute specific responsibilities in the emergency management arena. Remaining funds largely support critical emergency and secure communications facilities and platforms integrated into S-60's steady-state and emergency response functions.

**Safety** – S-60 provides enhanced situational awareness of known or developing threats, enabling DOT senior staff, planners, and operators to (1) identify risks to developing and safely operating transportation systems and infrastructure, as well as to (2) support implementing evidence-based risk elimination and mitigation strategies. S-60 provides transportation support during all-hazards incidents, including reporting damage to and the status of transportation infrastructure, identifying temporary alternative transportation solutions, and coordinating the restoration and recovery of transportation infrastructure to reestablish the safe movement of people, goods, and services.

**Revitalizing and rebuilding our critical infrastructure** – S-60 oversees overall DOT intelligence operations that enhance DOT senior leadership situational awareness of and decision making on DOT equities with national security relevance. S-60 also leads DOT's Emergency Support Function #1 – Transportation efforts and its co-Sector-Specific Agency responsibilities (alongside the Department of Homeland Security) for the Transportation Systems Sector—activities that require coordination with critical infrastructure owners and operators, as well as multi-level government partners, to enhance the means to rapidly respond to and recover from incidents that could impact national security, economic stability, and public health and safety.

**Preparing for the future by engaging with new technologies to ensure safety without hampering innovative emerging technologies** – S-60 provides situational awareness of—and facilitates coordination and information sharing with federal partners on—the interests and intent of foreign nations in transportation systems and infrastructure technologies development. S-60 represents DOT in national and senior-level exercises while coordinating among DOT, the interagency, and other partners to provide training and exercises that meet emergency preparedness needs. S-60 facilitates collaboration on interagency planning processes and policy initiatives to ensure partners at the North American Aerospace Defense Command, U.S. Northern Command, and U.S. Transportation Command recognize DOT equities. S-60 provides the Secretary, senior staff, and other agencies with timely information during day-to-day operations, national-level exercises, and major incidents and events.

**Enhancing accountability** – S-60 leads DOT’s activities in support of the Secretary’s responsibilities under the National Response Framework and the National Disaster Recovery Framework, coordinating emergency management among transportation stakeholders. S-60 coordinates DOT’s emergency preparedness by identifying personnel, information requirements, intelligence needs, national security cooperation, and equipment needed to respond to and sustain operational capabilities during national security incidents. S-60 oversees DOT’s continuity program to ensure compliance with federal continuity directives and policies, and S-60 ensures DOT’s alternate facilities—including critical communications capabilities and systems—are always ready for senior leadership and staff use. S-60 leads DOT’s engagement with the National Security Council staff and other interagency partners to formulate national security policy, directing intra- and interagency coordination, prioritizing and addressing DOT equities, and providing informed recommendations to DOT leadership. S-60 carries out the authorities delegated to the Secretary for Defense Production Act activities for civil transportation. S-60 leads sections of the Secretary’s Emergency Response Team during incident activations.

**FY 2019 Anticipated Accomplishments:**

- Analyze intelligence community reporting concerning known or developing threats to transportation critical infrastructure, and provide tailored intelligence products to develop situational awareness and support decision making for DOT leadership;
- Oversee intelligence functions for DOT, including serving as DOT’s Federal Senior Intelligence Coordinator;
- Manage and execute DOT’s Defensive Counterintelligence and Insider Threat program;
- Maintain unclassified and secure classified communications to facilitate information sharing with the White House and other agencies while operating as the central POC for liaison and coordination during incidents;
- Coordinate with the National Security Council and interagency to update and produce national security Presidential policy documents;
- Provide daily personal protective service for the Secretary and, as needed, the Deputy Secretary, and conduct security advance operations in the United States and abroad;
- Oversee Departmental continuity responsibilities as DOT’s Continuity Coordinator, including maintaining the continuity site and classified communications systems;
- Serve as DOT’s representative to classified Continuity of Government programs;
- Lead DOT in planning, preparedness, operations, exercises, training, and outreach activities related to incident response; and
- Carry out DOT’s emergency response and recovery responsibilities during incidents.

As S-60 plans for FY 2020, the goals will continue to focus on attracting a workforce with capabilities and competencies necessary to meet S-60 and DOT goals, improving efficiencies regarding operational program areas, streamlining responsibilities while cross-training personnel across multiple work portfolios, applying personnel resources to proactively engage existing mission areas more effectively, and expanding upon the forecast accomplishments for FY 2019.

**Program Elimination** – Anticipating the need to find opportunities that better leverage DOT’s resources, S-60 made the prudent determination to not renew a detailee position that provided the

resident expertise needed to lead DOT’s public health policy portfolio. Recognizing existing public health policy leadership and expertise within Operating Administrations and other Secretarial Offices, S-60 formally proposes eliminating its public health portfolio in the FY 2020 request. Despite the program elimination, S-60 will maintain an effective coordination role on public health issues, when needed, to support DOT partners.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 58.5 full-time equivalents (FTEs) and associated costs.

**What benefits will be provided to the American public through this request, and why is this program necessary?**

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Data from the unprecedented 2017 hurricane season, as well as S-60’s leadership on behalf of DOT to coordinate with FEMA and other interagency partners (which remains ongoing for recovery efforts), quickly highlight the benefits of S-60 fulfilling its unique national security role of leading DOT coordination during all-hazards incidents that impact transportation systems. The 2017 hurricane season included triple the usual number of major hurricanes (six versus two) and the first time on record that three Category 4 hurricanes made landfall in the United States. Hurricane Harvey alone set a record for the most rainfall ever in the continental United States from a single storm. Amidst such improbable records, S-60 provided the critical hub for DOT’s emergency response, including 262 continuous days of activation for emergency response staff, as well as participation from 136 individuals within or directly managed by S-60 through 49 separate FEMA mission assignments totaling more than \$40 million.

S-60’s FY 2020 budget request supports renewing S-60’s unique Departmental resources so that S-60 can continue:

- Providing national security policy engagement that ensures preparedness, mitigates the consequences of transportation sector emergencies, and supports response and recovery;
- Assuring continuity of operations, supporting continuity of government, and maintaining emergency operations capabilities to respond effectively to incidents;
- Ensuring plans, procedures, training, and exercises prepare DOT to succeed in federal emergency preparedness, response, and recovery activities;
- Delivering timely, relevant, and expert intelligence analysis;
- Staying abreast of and responding to behavior that may be indicative of intelligence gathering or pre-operational planning related to terrorism, criminal, or other illicit intention; and
- Coordinating, supporting, and assisting government partners and stakeholders to restore transportation infrastructure operations after all-hazards incidents.

## Detailed Justification for the Office of the Chief Information Officer

### What is this program and what does this funding level support?

The Office of the Chief Information Officer (OCIO) provides leadership and direction on all matters associated with the Department's information technology (IT) portfolio – estimated to be \$3.8 billion in the FY 2020 request. The CIO is the principal IT, innovation, information management, cyber security, privacy, and records management advisor to the Secretary. Under the Federal Information Technology Acquisition Reform Act (FITARA), the DOT CIO is responsible for all Information Technology (IT) planning, budgeting, acquisition, implementation and operations in the Department. The CIO has responsibility for planning and oversight of IT staffing, and management and delivery of IT and innovative solutions across the Department. Through this oversight, the OCIO supports the Safety and Infrastructure strategic goals by leading in the innovative application of data and technology to achieve our safety outcomes and improve the condition of the nation's infrastructure. In support of the Innovation strategic goal, the office monitors and advises on digital transformation in the transportation sector, generally, and advises the Secretary and the Operating Administrations (OAs) on fostering innovation in the transportation system. The CIO also leads enterprise services, including IT shared services delivery for the Department, which enables all three of the Department's strategic goals.

OCIO is leading the transformation of information technology at the Department with a focus on technology solutions that accelerate the DOT mission, leveraging security to innovate for the digital revolution, and achieve accountability for results with complete transparency. As part of this effort, the CIO is leading an IT Shared Services initiative to consolidate commodity and programmatic IT. The Shared Services initiative will address the evolving and increasing complexity of IT infrastructure and services, lead efforts to identify and eliminate duplicative spending, and strengthen accountability for programming and performance of IT expenditures. The OCIO must create and maintain an agile, reliable, innovative and scalable IT environment, and deliver business services that align requests with the mission and overall strategic goals of DOT. The OCIO focuses on ensuring projects and investments are planned, administered, completed and delivered in a standardized manner across the Department.

The Salaries & Expenses (S&E) appropriation funds the following activities<sup>1</sup>. The CIO drives the use of technology to accelerate the DOT mission, leverage security to innovate while being accountable for results. As part of this initiative, the OCIO is managing and rationalizing technology and innovative solutions for the Department to increase cybersecurity, leverage

<sup>1</sup> In addition to S&E, the CIO executes two other sources of funds. Each funding stream is maintained and reported independently. The three funding sources track to the CIO's areas of responsibility: the annually appropriated S&E for carrying out IT security, strategy, and policy (which includes monitoring, reporting and guidance); the Working Capital Fund (WCF) cost reimbursements for providing Department-wide core IT operational support functions and enterprise shared services (email services, help desk support, etc.); and Cyber Security initiatives focused on implementing security-related improvements.

effective shared services, reduce duplication, increase efficiencies and enable Operating Administrations to focus on mission.

- IT Governance, Risk, and Compliance – OCIO works with the Office of Budget, the Office of the Senior Procurement Executive, and the Operating Administrations to ensure that the Department effectively and efficiently procures and provides lifecycle management and oversight of its IT investments, and ensure effective governance of privacy risk, records management, and other agency information.
- Technology Modernization and Enterprise Service Delivery – OCIO provides leadership for the digitization and modernization of Departmental IT by managing the roadmap for systems modernization that addresses known weaknesses in cyber security, reduces unnecessary duplication in systems capabilities, retires out of date systems and focuses new investments on modern technology solutions that can transform how DOT interacts with its customers and stakeholders.
- Innovation – OCIO drives the Department’s implementation of modern technology to support the mission. OCIO is also working to implement modern approaches to technology, such as machine learning, artificial intelligence and robotic process automation (RPA).
- Intermodal data-driven decision making – The OCIO leads efforts for the National Information Exchange Model, Surface Transportation Domain, and the Transportation Theme of the National Spatial Data Infrastructure. The OCIO oversees Department data decision-making bodies, enforces policies and ensures compliance with standards to improve data quality and utility. In collaboration with the Office of the Undersecretary for Transportation Policy and other key stakeholders across the OAs, OCIO is working to build insights and visualizations to assist those subject matter experts with their key decisions.
- Cybersecurity and Information Assurance – The OCIO enforces the business strategy to make targeted investments in policy, people, processes, and technology that will strengthen the Department’s ability to ensure the confidentiality, integrity, and availability of its vital data and assets. Priority cybersecurity and information assurance activities include: education, training, and awareness; requirements, standards, policies, and directives; information security continuous monitoring; situational awareness and incident response; independent verification and validation, and security assessment and authorization.

**FY 2019 Anticipated Accomplishments:**

In FY 2019, the OCIO is making progress in following key areas:

- Continuing to lead the Department’s digital transformation through consolidation and modernization;
- Consolidating commodity information technology and developing innovative solutions at DOT as part of the consolidated enterprise delivery of shared services;



- Continuing to focus on improving the Department’s cybersecurity posture and resilience, and reducing cybersecurity risk;
- Enabling Department-wide IT contract vehicles to ensure greater consistency of technical solutions, provide more competition for modern technical solutions and reduce administrative burden;
- Improving the management of software throughout the Department and managing enterprise agreements; and
- Continuing to move forward with the network modernization initiative.

The FY 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 45 FTEs and associated costs. OCIO may need to transfer personnel from other OST Office and Operating Administrations in support of modernizing and improving technology for the Department.

**What benefits will be provided to the American public through this request and why is this program necessary?**

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Innovation and efficient, secure IT are crucial to enabling the Department and the transportation landscape. Innovations will help ensure secure and usable access to departmental information resources and public services consistent with end-user expectations. Enterprise IT investment management and oversight are necessary to ensure that the Department is making good business decisions for agency-wide budgeting, planning and execution of IT resources. An enterprise approach reinforces an IT focus on effective business outcome-driven pursuits and balances operational demands with longer term strategy. The programs and activities funded through the OCIO are necessary mission enablers that drive enhanced decision making and risk management, and align investments to the Department’s strategy.

The OCIO is responsible for enforcing strategies and solutions that strengthen the Department’s ability to ensure the confidentiality, integrity, and availability of its vital data resources and other assets. The OCIO’s Cybersecurity and Privacy programs address urgent and immediate threats to critical transportation-related business operations and mission systems, enable adaptation to continually evolving threats and risks, and enable integrated management and mitigation of risk.

The OCIO promotes innovation, collaboration and data sharing with the public, the transportation sector, and throughout the Department, while maintaining the appropriate privacy and cyber protections; and ensures data and information is available to the public. The OCIO will continue to focus on improving the strategy and governance for all external web properties to create mobile friendly, accessible and high value digital content for the public.

## **Detailed Justification for the Office of Public Affairs**

### **What is this program and what does this funding level support?**

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The Director of Public Affairs is the principal advisor to the Secretary and other senior Department officials and the news media on public affairs questions. The Office of Public Affairs prepares news releases and supporting media materials, articles, facts sheets, briefing materials, publications, byline articles for the Secretary and other senior Department officials; oversees internal communications; and maintains a social media presence. The Office responds to news media and other inquiries and provides information to the Secretary on opinions and reactions of the public and news media on programs and transportation issues. The Office arranges news conferences for significant announcements and prepares speeches, statements, and talking points for the Secretary and other senior Department officials. The Office provides guidance to and coordinates the activities of the Department's modal public affairs offices. The Office of Public Affairs also provides Department-wide news clips every day.

The Office of Public Affairs makes information available to the public regarding the Department's efforts to enhance safety, upgrade the Nation's transportation infrastructure, capitalize on technology innovations, implement regulatory reform and will use public announcements, press releases, video, new/social media, internal communications, the internet and other means to share with the public information about developments that affect them.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 15 FTEs and associated costs.

### **What benefits will be provided to the American public through this request and why is this program necessary?**

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The Office of Public Affairs is the link to the public's right to know. The Office prepares responses to inquiries on developing issues and events and presents information to the public on Administration initiatives and stands. The office reaches out to inform the public in a variety of ways, including through public announcements and speeches, responding to the news media, by press release and through social media.

The Office of Public Affairs is necessary to keep the American public, the news media and all interested governmental agencies informed of Department of Transportation (DOT) programs and activities. Not only is there an inherent public right to know, but public understanding and discussion are essential to accomplishing DOT goals. The public support necessary to achieve Department objectives requires an open public information program responsive to media inquiries and public interest. It must also be comprehensive and cohesive, coordinating the public affairs activities of all the Department's modal public affairs offices.

## **Detailed Justification for the Office of the Assistant Secretary for Budget and Programs, and Chief Financial Officer**

### **What is this program and what does this funding level support?**

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The Assistant Secretary for Budget and Programs is the principal budget and financial advisor to the Secretary and serves as Chief Financial Officer (CFO) for the Department, pursuant to 31 U.S.C. 901 (Establishment of Agency Chief Financial Officers). The Office provides oversight and policy guidance for all budget, financial management, program performance, and internal control activities of the Department and its Operating Administrations.

The Office provides **Departmental budget leadership** for the Operating Administrations and the Office of the Secretary of Transportation (OST), and is responsible for: preparation, review, and presentation of Department budget estimates; being a liaison with the Office of Management and Budget (OMB) and Congressional Appropriations Committees; guidance and review of departmental financial plans, apportionments, reappropriations, and reprogramming; program and systems evaluation and analysis; program evaluation criteria; program resource plans; analysis and review of legislative proposals and one-time reports and studies required by Congress; and budget and financial management relating to OST. The Office develops performance measures under the Department's strategic goals, and tracks actual outcomes against those measures, pursuant to the Government Performance and Results Act (GPRA) and the GPRA Modernization Act of 2010.

The Office is responsible for **Departmental financial management leadership** for the Operating Administrations and OST. The primary duty is to uphold strong financial management and accountability while providing timely, accurate, and reliable financial information and enhancing internal controls. This is done through prompt and precise submission of Department of Transportation's (DOT) consolidated financial statements; preparation and/or review of all deliverables for the annual financial audit; oversight of accounts payable, accounts receivable, and cash management; monitoring and reconciliation of reimbursable agreements; and oversight of the integrity of all transactions in the accounting system. The Office ensures DOT meets OMB and the Department of Treasury's reporting requirements. The Office also manages DOT's Federal Managers Financial Integrity Act (FMFIA) program, the OMB Circular A-123 Internal Control program, Payment Recapture Audit programs, and the Improper Payments Information Act program.

Additionally, the Office develops DOT-wide financial management policy, provides strategic direction for DOT financial operations and serves as system owner to Delphi, DOT's core financial management system. The Office provides management direction and oversight to the Delphi program and the Enterprise Services Center (ESC). ESC operates as a division of the Department of Transportation located at the Federal Aviation Administration's Mike Monroney Aeronautical Center in Oklahoma City, Oklahoma. It is one of four Federal Shared Service Providers (SSP) designated by OMB. ESC operates Delphi and provides a range of accounting services and financial management information system services to DOT and seven other

governmental agencies including the Government Accountability Office (GAO) and the Securities and Exchange Commission. Along with Delphi, the Office serves as the system owner to CASTLE, the DOT-wide Consolidated Automated System for Time and Labor Entry. The Office also establishes Departmental travel policy and guidance, maintains DOT's Travel Credit Card Program, and oversees the travel management contract services throughout DOT.

The Office is further responsible for **oversight of the Department's credit programs**, assisting with the financial review and monitoring of DOT's credit programs and oversees and coordinates all the credit reform requirements with OMB. The Assistant Secretary for Budget and Programs and CFO serves as the Vice Chair of the Department's Council on Credit and Finance.

The Office is responsible for the functional **budget formulation and execution and financial management for the OST offices**. The Office formulates and justifies the budget requests for OST offices and programs to the Departmental Budget Office, OMB, and Congress and executes enacted appropriations. It also performs the full-range of financial management functions for the OST offices and programs, including: financial statement review; preparation and/or review of all deliverables for the annual financial audit; accounts payable and accounts receivable oversight; cash management; reimbursable agreement monitoring and reconciliation; and oversight of the integrity of all transactions in the accounting system. The Office also manages OST's FMFIA and A-123 Internal Control program, develops performance measures under the Department's strategic goals, and tracks actual outcomes against those measures.

#### **FY 2019 Anticipated Accomplishments:**

In Fiscal Year (FY) 2019, the Office will provide an effective presentation of a sound and adequate budget for OST and the Department; foster effective use of resources – such as grant and formula dollars, as well as investments in innovation and research; and provide accurate and reliable financial information with enhanced internal controls. The Office will work to build on its record of clean annual financial audits by enforcing financial controls.

One particular focus area in FY 2019 will be to continuing to strengthen the execution and oversight of the National Surface Transportation and Innovative Finance Bureau.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 56 FTEs and associated costs.

#### **What benefits will be provided to the American public through this request and why is this program necessary?**

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The Chief Financial Officer and Assistant Secretary for Budget and Programs: establishes systems and provides guidance to ensure the effective preparation and presentation of sound budget estimates and financial management information for the Department; reviews policy, program, and legislative proposals to evaluate their impact on departmental budget resource and financial management requirements and plans; directs and oversees all budget execution activity;

and provides policy guidance and oversight of Departmental financial management personnel, programs, activities, and operations. Further, the Office is responsible for designing and implementing the financial systems required for accurate and timely financial reporting, and for establishing financial and accounting policy and programs for the Department.

## Detailed Justification for the Office of the General Counsel

### What is this program and what does this funding level support?

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The General Counsel is the chief legal officer of the Department of Transportation (the Department or DOT). The Office of the General Counsel provides legal advice to the Secretary and Secretarial Offices while also providing supervision, coordination, and review of the legal work of the Chief Counsel Offices in the Department. The Office of the General Counsel is composed of seven offices and the Center for Alternate Dispute Resolution.

The **Office of General Law** provides legal advice, counsel, and representation in the following areas: appropriations, fiscal law and financial management; acquisitions and financial assistance; credit assistance; real property, facilities, and asset management; intellectual property; employee ethical conduct and political activities; and Federal labor, equal employment opportunity, disability, and civil rights law.

The **Office of International Law** provides legal support for, and facilitation of, DOT's international programs in areas such as: transportation negotiations with foreign countries; international economic aviation licensing and regulatory matters; applications of airline alliances for antitrust immunity; aviation citizenship determinations; war risk insurance issues; international aviation sanctions; international maritime issues; Committee on Foreign Investment in the United States reviews; and transportation trade issues.

The **Office of Litigation and Enforcement** provides advice and legal counsel regarding actual or anticipated litigation in which DOT or one of its Operating Administrations (OAs) is or might become a party or has an interest. The Litigation and Enforcement Office oversees all Supreme Court cases and significant appellate cases involving the Department and coordinates Department of Justice representation in such matters, supervises the preparation of all filings before independent regulatory agencies on DOT's behalf, and provides legal advice concerning litigation risk, and pre- and post-litigation policy decisions. The Office is also involved, through the filing of amicus briefs or statements of interest, in cases between private parties that implicate DOT statutes, regulations, or policies. The Office also provides advice and guidance on enforcement policy and case-specific matters.

The **Office of Legislation** ensures that DOT's non-appropriations legislative materials submitted to Congress adhere to Administration policy. While the various elements of legislative proposals are often prepared by other offices in DOT, this Office is responsible for assembling a coherent proposal, ensuring it meets budgetary and other requirements within DOT, obtaining clearance by OMB and other affected agencies, and preparing the transmittal package for the Secretary. The Office provides comparable support for the preparation of testimony, views and letters, including enrolled bill letters, and draft Executive Orders, Presidential Memoranda and Proclamations. In addition, the Office provides support for Departmental nominees in the form of briefing materials and responses to the Committee.

The **Office of Regulation** provides legal support to DOT program offices in their preparation of rules that will meet substantive, procedural, and Administration policy requirements. The Office’s management support also includes the tracking and review of all DOT rulemaking documents. The Office is the principal liaison with OMB on rulemaking matters, and coordinates important cross-cutting substantive rules that affect multiple OAs.

The **Office of Operations** provides legal support on a broad range of operational issues affecting all modes of transportation, such as environmental law, the Freedom of Information Act (FOIA) and privacy law, and security and emergency response. The Office also reviews Small Community Air Service Development Program grants, airport competition plans, aviation economic licensing rules, and other documents related to maritime law and Native American sovereignty and jurisdiction.

The **Office of Aviation Consumer Protection** (1) assists, educates, and protects aviation consumers by, among other things, reviewing and responding to consumer complaints about air travel, publishing the Department’s monthly Air Travel Consumer Report, and ensuring the Department’s website contains clear, useful information about the rights of air travelers; (2) monitors compliance, conducts investigations, and enforces as appropriate for violations of aviation consumer protection, civil rights, and licensing requirements against airlines and ticket agents; and (3) assesses the need for and drafts aviation consumer protection and civil rights regulations.

The **Office for Innovative Finance** provides legal counsel and support on complex matters involving surface transportation project finance and public-private partnerships, Federal and State law and contractual interpretation concerning project finance and public-private partnerships. The Office also provides legal advice on DOT’s multibillion dollar Private Activity Bonds Program and DOT’s approximately \$1 billion Nationally Significant Freight and Highway Projects Grants Program (INFRA). The Office provides legal advice on all aspects of complex Federal credit transactions, to ensure compliance with applicable statutes, regulations, and policies.

The **Center for Alternate Dispute Resolution (CADR)** provides innovative approaches to problem-solving that control the cost of conflict and produce quicker, more durable outcomes. CADR supports the use of Alternative Dispute Resolution (ADR) by DOT in areas including personnel and equal employment opportunity matters, rulemaking, adjudication, environmental planning, and litigation brought by or against DOT. CADR facilitates early and direct interaction among parties by providing mediation, facilitation, and ombuds services and provides training on dispute resolution and conflict management.

**FY 2019 Anticipated Accomplishments:**

- The Office of General Law will provide legal sufficiency reviews on over 100 acquisition related documents, and assist in the review and evaluation of over 1,000 financial assistance applications and over 100 financial assistance agreements. The Office also will review over 125 public financial disclosure statements and 200 confidential financial

disclosure statements as well as provide an annual ethics training program to over 325 reporting individuals.

- The Office of International Law will process over 300 international work items, including safety, security, science and technology agreements, code share and other aviation licensing applications, administrative adjudication of requests for antitrust immunity, and approximately 20 rounds of international negotiations.
- The Office of Litigation and Enforcement will provide legal advice and support in over 100 new cases; prepare 15 to 20 regulatory filings for proceedings before various independent regulatory agencies and participate in two to four hearings before such agencies; and provide advice to the OAs on numerous significant enforcement matters.
- The Office of Legislation will coordinate Departmental and Administration-wide clearance of approximately 60 items of Congressional testimony by DOT witnesses, and follow-up transcript review and responses to Questions for the Record and conduct Department-wide clearance of approximately 700 policy documents (circulated by the Office of Management and Budget).
- The Office of Regulation will review approximately 110 significant rulemakings and deregulatory actions. Based on these reviews, and consistent with the Department's safety mission, the Department expects to finalize at least 38 deregulatory actions. Rulemakings reviewed by the Office of Regulation in fiscal year 2019 are anticipated to result in significant cost savings to the regulated public without impacting safety.
- The Office of Operations will process hundreds of FOIA requests and appeals, and continue to work towards a reduction in DOT's FOIA backlog and provide legal support for emergency response activities, including regular exercises and 8-10 annual activations of the U.S. Government's Emergency Support Function No. 1 (Transportation), led by DOT. The Office will draft and negotiate approximately 25 grant agreements under the SCASDP, and address legal issues as they arise from the administration of about 100 active SCASDP grants. The Office will handle between 150 and 250 items involving carrier economic authority received by DOT and approximately 50 major environmental documents.
- The Office of Aviation Enforcement and Proceedings will review thousands of aviation consumer complaints within two days of receipt by DOT; maintain a median investigation time of 100 days for civil rights complaints (disability and other discrimination); and conduct on-site and other investigations of U.S. and foreign air carriers regarding compliance with consumer protection and civil rights requirements. The office will also assess whether aviation consumer protection and civil rights regulations are needed.
- The Office of Innovative Finance will review approximately 15 new loan applications and negotiate new loan agreements and review and resolve approximately 60 ongoing project issues, which will involve loan modifications and other legal actions.



- The Center of Alternative Dispute Resolution will provide conflict management-related training skills training to nearly 200 DOT and provide coaching and mediation of 25 two-party cases and two large group cases.

The Office of the General Counsel is necessary to provide leadership, legal advice and guidance to the Secretary and Secretarial Offices in the implementation and administration of the Department's operations and programs. The Office also provides supervision, coordination, and review of the legal work of the legal offices in the operating administrations. The Office coordinates DOT's regulatory actions, legislative efforts, litigation and involvement in proceedings that are before other agencies as well as various consumer protection, operational, and international legal matters.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 111 FTEs and associated costs.

**What benefits will be provided to the American public through this request and why is this program necessary?**

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The Office of the General Counsel provides benefits to the American Public by:

- Providing legal support to DOT program offices in their preparation of rules that will meet substantive, procedural, and Administration policy requirements.
- Re-evaluating regulations to reduce unnecessary burden without reducing safety.
- Reviewing and handling thousands of aviation consumer complaints and civil rights complaints (disability and other discrimination).
- Conducting on-site and other investigations of U.S. and foreign air carriers regarding compliance with consumer protection requirements.
- Continuing to implement a 10 percent reduction in DOT's FOIA backlog.
- Providing advice and legal counsel regarding actual or anticipated litigation and administrative proceedings in which DOT or one of its Operating Administrations (OAs) is or might become a party or has an interest.
- Providing legal support for and facilitation of DOT's international programs.
- Providing legal support on a broad range of operational issues related to DOT's programs and strategic objectives.
- Ensuring the Department's non-appropriations legislative materials submitted to Congress adhere to Administration policy.

## **Detailed Justification for the Office of the Assistant Secretary for Governmental Affairs**

### **What is this program and what does this funding level support?**

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The Office of Governmental Affairs serves as the liaison between the Department of Transportation (DOT) and Congress and State, local, and tribal governmental entities. The Office works with other offices within the Department to ensure that Congressional mandates are fully implemented by the Department. It also works with the White House, other Federal agencies, and Congress in order to fulfill the Secretary's and Administration's legislative priorities. This includes, among other things, working with Congress on Departmental priorities and working on significant legislation. In addition, the Office works with the Operating Administrations to coordinate Congressional outreach activities related to Secretarial initiatives and programs.

Another key function of the Office of Governmental Affairs is to guide political appointees that require confirmation by the Senate through the Senate confirmation process. This requires working closely with the White House and relevant Senate Committees throughout the various steps of the confirmation process.

The Office of Governmental Affairs will develop and oversee the implementation of Tribal transportation self-governance legislation and authorities within the DOT pursuant to 23 USC 207 and selected provisions of the Indian Self-Determination and Education Assistance Act (ISDEAA), Public Law 93-638. The Office will serve as a national program providing information, technical assistance, and policy coordination in support of DOT's self-governance activities. The Office will act as the Agency Lead Negotiators (ALNs) to represent the Secretary and the DAS for Tribal Affairs during negotiations with eligible Tribes. The ALNs will provide Tribes with self-governance information, assist Tribes in self-governance planning, coordinate meetings between the Tribe and DOT during the negotiation process, and coordinate DOT's response to Tribal questions. The ALNs also will assist Operating Administrations with negotiating program-specific addenda to funding agreements.

The ALN role requires detailed knowledge of DOT formula, discretionary and competitive grant programs, awareness of current policy and practice, and understanding of the rights and authorities available to a Tribe under 23 U.S.C. 207 and incorporated provisions of the ISDEAA. In most instances, ALNs will perform negotiation duties in addition to functions related to the implementation of the self-governance program, such as finance and accounting, program analysis, and management. As necessary, ALNs will receive assistance from other OST and OA staff, the Office of the General Counsel, and OST-P prior to and during negotiations. Such assistance may include:

- Reviewing eligibility requirements for Tribes to participate in the TTSGP and making recommendations about the Secretary's discretionary decisions relative to eligibility determinations for Tribes that do not conclusively demonstrate eligibility;

- Drafting and reviewing self-governance documents (letters of interest, requests for technical assistance, draft compacts, draft funding agreements, and addenda and amendments thereto; responses to final offers, etc.);
- Developing and recommending policies, administrative procedures, and guidelines for the DOT TTSGP and advising DOT senior leadership on TTSGP actions and activities;
- Budget formulation and consultation;
- Identifying DOT concerns for resolution;
- Providing advice on compliance with statutory requirements;
- Responding to requests for waivers of regulatory requirements;
- Responding to requests for access to Federal sources of supply; property donation;
- Reviewing audits and other reports to determine whether there are questioned or disallowed costs;
- Collaborating with Tribal and Federal partners to address crosscutting issues and processes, including budget formulation; self-determination issues; Tribal shares methodologies (as appropriate); resolution of audit findings; project delivery; and emergency preparedness, response and security; and
- Developing, publishing, and presenting information related to the TTSGP to Tribes, Tribal Organizations, state and local governmental agencies, and other interested parties, including leading TTSGP training within the Department and for stakeholders.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 17 FTEs and associated costs.

**What benefits will be provided to the American public through this request and why is this program necessary?**

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The Office of Governmental Affairs works with the White House, other Federal agencies, and Congress in order to fulfill the Secretary's and Administration's legislative priorities. The Office is a cornerstone to ensuring the Department's cohesive approach to legislative bodies that represent the interests of the American public.

## **Detailed Justification for the Office of the Assistant Secretary for Administration**

### **What is this program and what does funding level support?**

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The Assistant Secretary for Administration serves as the policy and operations leader and principal advisor to the Secretary and Deputy Secretary on Department-wide and Office of the Secretary of Transportation (OST) administrative functions. This includes developing, coordinating, and implementing programs for the strategic management of human capital; real and personal property assets; facilities operations, information services; business support; security; acquisitions and grants management. Additionally, responsibilities include the follow-up and resolution of Government Accountability Office and Inspector General audit reviews of Department programs, including preparation of required reports; and other management-related initiatives.

In addition, the Assistant Secretary serves as the Chief Human Capital Officer (CHCO) and the Chief Sustainability Officer (CSO). As CHCO, the Office is responsible for developing, coordinating and implementing Department-wide policy and programs with oversight in all areas of human capital management, including: employment and staffing, recruitment, human resource (HR) systems, compensation, benefits, executive and political resources, succession planning, labor and employee relations, workforce quality (e.g., work-life and special programs, disability resources support, drug testing) workforce development and learning, competency management, performance management, and diversity in accordance with applicable laws, regulations, and best business practices. The CHCO or Deputy CHCO also represents DOT on interagency committees and task forces in areas related to Departmental HR management and liaison with other agencies, including the White House, Congress, the Office of Management and Budget, the Office of Personnel Management, and other Federal agencies.

The Office formulates Departmental policy, controls, and standards to ensure that procurement and financial assistance programs are in accord with applicable laws, regulations, and best business practices. As the Chief Sustainability Officer, the Office leads the Department's energy and resources efficiency, including implementation of energy and environmental laws and executive orders. Further, the Office provides policy and oversight to ensure compliance with applicable laws, promote standards, and gain efficiencies across the Department's real and personal property assets.

The Assistant Secretary is charged with providing oversight and direction for the Department's Classified National Security Information program while ensuring the safety, security, and protection of DOT personnel, information, facilities, and other assets. In addition, the Office is responsible for establishing and maintaining uniform Federal Government standards for Federal agencies transportation fringe benefit programs.

**FY 2019 Anticipated Accomplishments:**

The Departmental Office of Human Resource Management's focus will be on integrating and aligning human capital initiatives with the Department's strategic goals, creating efficiencies by reducing redundant activities and implementing shared services for key HR functional areas, closing competency gaps in the Department's mission critical occupations, and ensuring the timely hiring of quality candidates through use of electronic systems. The Office will maintain and institutionalize ongoing Human Capital programs while integrating Human Capital practices, technologies, and programs to contribute to organizational mission accomplishment. It also will continue to play a key role in addressing issues identified in the Annual Federal Employee Viewpoint Survey to strengthen employee engagement throughout DOT. In addition, the Departmental Office of Human Resources will:

- Enhance efficiencies by evaluating and implementing the consolidation of human resource activities from nine Operating Administrations (OAs) to centers of excellence, including establishing a consolidated Executive and Political Resources office, and developing centers of excellence for benefits and leadership and supervisory training. In addition, working with all the OAs, except FAA and OIG, develop standardized processes for hiring, classification, and processing to improve the customer experience and expedite hiring through standard and consistent procedures.
- Evaluate and monitor the revised performance management program that ensures employee performance deficiencies are addressed and action is taken in timely manner. Continue to track and report on activities taken to address poor performers Department-wide. Continue to foster a performance culture where DOT's Operating Administrations have performance appraisal and award systems that are linked to agency mission, goals and outcomes; where fairness and equity is the perception of employees; and where HR personnel are trained on workforce and succession planning to analyze demographic data and forecast trends to improve the linkage between the corporate recruitment program and projected workforce needs.
- Update the Department of Transportation fiscal year (FY) 2018 – FY 2019 Human Capital Operating Plan, which incorporates human capital initiatives in the Department's strategic goals, measures success through quarterly reporting of HR STAT, and integrates the HR accountability program with Departmental initiatives.
- Implement leadership programs to enhance the skills of aspiring leaders and employees currently in leadership positions, ensuring a stronger well trained workforce for the future by emphasizing leadership skills through involvement in programs such as the DOT Mentoring program, coaching program, and emphasis on understanding and developing new employees who are under the age of 30.
- Leverage resources and share best practices in the DOT HR Community through knowledge sharing and enhanced communications and resources, through such entities as

the DOT Recruitment Council, updated resources including a DOT-wide HR Sharepoint Site, and the development of standardized hiring packages and onboarding programs that integrate new DOT employees into the workforce.

- Pursue opportunities to ensure cost-effective, standardized and interoperable HR solutions are considered for common, core functionality to support the strategic management of human capital in addressing manually driven, duplicative and redundant HR systems and processes. Implement an automated performance management system for all GS-15 employees and below, eliminating the manual process and providing customers with an easy automated solution for managing performance more effectively.

The Office of the Senior Procurement Executive (OSPE) will continue to provide expert advice and direction to the OAs, ensuring that taxpayer dollars achieve the performance outcomes required to accomplish DOT's mission while emphasizing performance, integrity and public policy requirements. Specific areas of OSPE focus will include the following:

- Establishing a new IT Acquisition Center of Excellence (COE) to align with DOT's vision for shared services that reduces overall IT operating costs through standardization and enterprise approaches, minimizes duplication, ensures stronger alignment with DOT level mission needs, and improves operational efficiencies through better planning and process automation.
- Creating a long-term initiative to better shape the workforce and re-balance the entry, mid and senior level employees. This aligns with the DOT Strategic Plan's objective of Acquisition Workforce Development.
  - Assisting the Operating Administrations by facilitating communications and refining the processes to access VA Warrior to Workforce interns and developing a methodology to estimate the required level of acquisition workforce needed to support operations.
  - Working with the Federal Acquisition Institute, Office of Federal Procurement Policy and the Operating Administrations to refine and build out the Program/Project Managers' Certification program.
- Managing Departmental procurement and financial assistance tools and reporting to meet the DOT Strategic Plan's objective of improving the performance of procurement systems.
  - Directing the DP2 Integrated Project Team to promote best practices, reduce fragmentation, overlap, and duplication for new requirements; managing end-to-end functional testing of all system changes and enhancements; providing system support for the DOT IT Acquisition Shared Services model, and representing the Department to the ESC and Federal PRISM Working Groups.
  - Providing functional system administration, change control board representation, and oversight for DOT's use of the Federal Integrated Acquisition Environment and System for Award Management portfolio of acquisition and financial assistance systems to ensure sound quality data and metrics for decision making.
  - Managing Departmental procurement and financial assistance award reporting ensuring compliance with OMB and Data Act requirements and leveraging best

practices robust data management strategies, processes, and tools to ensure DOT’s acquisition and financial assistance award data are reliable, accurate, current, and complete.

- Evolving the Acquisition Strategy Review Board (ASRB) to ensure compliant, innovative, coordinated and sound acquisition strategies for our major acquisitions. Establishing procedures to provide OSPE visibility into major program execution.
- Finalizing updates to DOT’s procurement regulations, policies and procedures to ensure alignment with federal policy and eliminate outdated, duplicative, and other provisions of no value. Additionally, instituting a routine process to ensure regulations and guidance are as current as possible. This aligns with the DOT Strategic Plan’s objective of improving the performance of procurement systems.
- Updating outdated Department-wide financial assistance and suspension and debarment guidance and policies, to incorporate government-wide regulations and provide a standardized foundation for modal financial assistance awards, and government-wide reporting. This aligns with the DOT Strategic Plan’s objective of improving the performance of financial assistance systems.

The Assistant Secretary for Administration performs the critical functions of maintaining and institutionalizing new and on-going Human Capital programs while integrating Human Capital practices, reforms, technologies, and programs; providing expert advice and direction to operating administrations to ensure that the over \$85 billion in taxpayer dollars spent annually through DOT’s acquisition and grants business processes achieve the performance outcomes required to accomplish DOT’s mission; securing DOT by protecting information and other assets through vigilance and innovative technologies; leading Federal Transit Benefit Practice Groups in the development of uniformed standards to support agency transit pass and benefit programs; and funding centralized OST payments to the WCF and rental expenses to GSA.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; (3) adjustments to GSA rent; and (4) adjustments to Working Capital Fund; as well as an estimated 51 FTEs and associated costs. The funding request includes funding for Departmental Human Resources, Acquisitions, Energy and Resource Efficiency, Departmental Fleet Management, and Security Oversight and Policy activities; payment of centralized administrative and support services for all OST offices, and GSA rental expenses for all OST Offices (broken out in the table below).

Rental Locations	FY 2019 Rental	FY 2020	Net
	Payments	Rental Payments	Increase/Decrease
Southeast Federal Center, WDC	\$ 9,887,383	10,420,123	\$ 532,740
Des Plaines, IL	\$ 78,122	78,857	\$ 735
Operations and Maintenance	\$ 25,239	25,239	\$ -
Total:	\$ 9,990,744	10,524,219	\$ 533,475

**What benefits will be provided to the American public through this request and why is this program necessary?**

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The Office of the Senior Procurement Executive (OSPE) serves as the focal point for accountability as it relates to OA procurement performance. Programs such as procurement management reviews (PMRs) and ASRBs are key to the department's efforts to move a large portfolio of existing contracts to Best in Class contract vehicles. PMRs and ASRBs serve as enforcement tools that allow the OSPE to measure OA efforts that will result in significant savings to the department. This on-going oversight is designed to ensure Operating Administration program offices are executing their contracts as planned without significant deviation from OSPE approved acquisition plans. The goal of both the PMR and ASRB program is cost containment in both the strategic and operational phases of a department procurement.

Another initiative of OSPE is the updating of outdated procurement and financial assistance regulations and instituting a routine process to ensure regulations and guidance are as current as possible. This falls in line with the administration's efforts to reduce unnecessary regulations and practices to provide efficiencies in both the procurement and financial assistance processes within the Department. OSPE programs align with the DOT Strategic Plan's objectives of improving the performance of both procurement and financial assistance systems, accelerated movement toward IT Acquisition Shared Services, and Acquisition Workforce Development.

The Departmental Office of Human Resource Management (DOHRM) provides HR leadership, policy, strategic planning, and consultative services for all DOT managers and employees and will provide information about DOT's workforce and employment opportunities to the public.

DOHRM will continue efforts in ensuring the traveling public remains safe through recruiting, hiring and retaining sufficient safety oriented specialists, including engineers, analysts, and safety inspection personnel. DOHRM will also continue to ensure the drug and alcohol testing program for DOT which includes random, reasonable suspicion, pre-appointment/employment, post-accident and other drug and alcohol tests are performed at least annually. Both of these efforts are integral to maintain the public's access to safe, reliable transportation. DOHRM will remain engaged in several Office of Personnel Management initiatives to enhance workforce planning and development within DOT and across the federal government. Some of these initiatives include hiring process and legislative review teams, performance management and recognition workgroups, Cybersecurity Workforce Act Group, and the Community Solutions Program. These efforts contribute to the increased effectiveness and efficiency in providing HR support to the Department and convey to government-wide efforts as well.

The Office of Facilities, Information and Asset Management (OFIAM) will implement targeted initiatives in the areas of building energy and vehicle fleet management. The OFIAM Energy and Resource Efficiency Program will lead engagement with each Operating Administration to achieve reductions in energy, water use and to reduce costs through operational efficiencies across the Department's 31 million square feet of building assets. These initiatives will enhance operational resilience and, strengthen the Department's ability to carry out its mission. OFIAM will continue to provide policy and oversight across the Department's 6,000 vehicles, with a continued focus toward 'right sizing' the fleet. Departmental fleet policy will be updated to



reflect process improvements and procedures to better evaluate and document the business purpose and need for Operating Administration vehicles. This careful stewardship and evaluation of building energy and vehicle utilization, will optimize DOT's ability to focus resources toward critical mission requirements that impact citizens on a daily basis.

The Office of Security will research, analyze, and draft security policy to ensure DOT compliance with government regulations and standards in the areas of safety, security, and protection of DOT personnel, information, facilities, and other assets. The Office will focus on the implementation of the Controlled Unclassified Information (CUI) order as required by EO 13556 and 32 CFR 2002. Additionally, it is anticipated that a number of existing DOT policies will be updated to ensure compliance with current regulations and standards.

The Office of Security will continue to participate in multiple policy boards, advisory committees, and implementation working groups. These actions will help assure the American Public that DOT personnel, property, and information is protected from external and internal threats.

**OFFICE OF THE SECRETARY OF TRANSPORTATION****Small Community Air Service Development Program (SCASDP)**

	(\$000)			
<b><u>FUNDING LEVELS</u></b>	<b>FY 2018 Actual</b>	<b>FY 2019 Annualized CR</b>	<b>FY 2019 Enacted</b>	<b>FY 2020 Request</b>
Personnel Compensation and Benefits	\$ 489	\$ 489	\$ 489	\$ -
Travel	4	4	4	-
Other Costs	9,507	9,507	9,507	-
Programs	-	-	-	-
<b>TOTAL</b>	<b>\$ 10,000</b>	<b>\$ 10,000</b>	<b>\$ 10,000</b>	<b>\$ -</b>

**STAFFING**

Direct Positions	5	6	6	6
Direct FTEs	4	5	5	5
Reimbursable Positions	0	0	0	0
Reimbursable FTE	0	0	0	0

No funding is requested for the Small Community Air Service Development Program (SCASDP).

**OFFICE OF THE SECRETARY OF TRANSPORTATION  
FINANCIAL MANAGEMENT CAPITAL**

(\$000)

	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	FY 2020 Request
<b><u>FUNDING LEVELS</u></b>				
Personnel Compensation and Benefits	\$ -	\$ -	\$ -	\$ -
Travel	-	-	-	-
Other Costs	-	-	-	-
Programs	6,000	6,000	2,000	2,000
<b>TOTAL</b>	<b>\$ 6,000</b>	<b>\$ 6,000</b>	<b>\$ 2,000</b>	<b>\$ 2,000</b>

**STAFFING**

Direct Positions	0	0	0	0
Direct FTEs	0	0	0	0
Reimbursable Positions	0	0	0	0
Reimbursable FTE	0	0	0	0

**Appropriations Language**

**FINANCIAL MANAGEMENT CAPITAL**

For necessary expenses for enhancing the Department of Transportation’s financial systems and re-engineering business processes, \$2,000,000 to remain available through September 30, 2022.

**Program and Performance Statement**

This appropriation provides funds to enhance DOT’s financial systems and to re-engineer business processes. These funds will assist DOT in automating manual processes, improving reporting capabilities, and complying with required mandates.

## **Detailed Justification for Financial Management Capital**

### **What is this program and what does this funding level support?**

The Financial Management Capital (FMC) account supports projects that modernize DOT's financial systems and business processes to comply with key financial management initiatives. These initiatives are led by the Chief Financial Officer /Assistant Secretary for Budget and Programs in coordination with the Office of the Senior Procurement Executive and the Chief Information Officer and includes full participation and support from each Operating Administration to ensure success of each project.

On May 2, 2014, the Department of Transportation (DOT) was designated by the Office of Management and Budget (OMB) and Treasury's Office of Financial Innovation and Transformation as a Federal shared service provider for financial management. With this designation, DOT has the opportunity to provide financial services to multiple cabinet level agencies.

In addition to complying with government wide reporting requirements, many initiatives will better position DOT and its customers to comply with Federal laws, regulations and standards, including the:

- Digital Accountability and Transparency Act,
- Federal Financial Management Improvement Act,
- Federal Managers' Financial Integrity Act,
- Federal Information Security Management Act,
- Treasury and OMB requirements, and
- Government Accountability Office standards for internal controls in the Federal Government.

DOT plans to use FMC funds to develop and implement an Enterprise Content Management (ECM), continue the execution of DATA Act compliance requirements, and implement requirements related to G-Invoicing, a Treasury mandate aimed at improving the quality of intragovernmental transaction (IGT) data. The Department will use this funding to purchase the software and implement an electronic records management solution that will allow DOT to define, manage and execute records and retention policies for all financial documents from a single application.

### **FY 2019 Anticipated Accomplishments**

DOT will procure and implement the eAuthentication solution for the Department's almost 15,000 vendors. The eAuthentication solution will automate the current manual process of authenticating Vendors before granting access to the eInvoicing solution. The eAuthentication solution will eliminate the need for the Vendors to get their access request notarized prior to submission to ESC and will move the maintenance of vendor user accounts from ESC to the eAuthentication service provider.

DOT will complete a department-wide implementation plan for G-Invoicing. This plan is due to the Treasury in FY 2019, and will guide all aspects of DOT's implementation of this mandate.

### **What does this funding level support?**

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The fiscal year (FY) 2020 budget request includes \$2 million. This funding will allow the Department to procure and implement an ECM solution that electronically records and stores invoices, financial, procurement, and other documents. Additionally, this request will assist the Department to continue the execution of DATA Act compliance requirements. This funding will also support department-wide implementation of G-Invoicing. This mandate requires DOT to re-engineer interagency business processes and interactions between Treasury, DOT, and all federal government trading partners on financial and procurement activities. The funds will be used initially for comprehensive department-wide analysis to be followed by implementation of significant process and system changes to facilitate the streamlining of this process across the entire federal government enterprise.

The ECM solution will allow the Department to electronically manage sensitive financial, procurement, and other documents that are currently stored on non-supported software and/or in paper form stored in physical locations on-site. The ECM solution aligns with the department's electronic invoicing (e-invoicing) solution as required by OMB memo M-15-19, "Improving Government Efficiency and Saving Taxpayer Dollars Through Electronic Invoicing".

The OMB and Treasury's current directives continually seek to enhance federal spending transparency. As a result, we fully expect increased reporting requirements, which will necessitate further improvements to processes and enhancements to our systems. Since initial deployment, there have already been two release updates to Treasury's DATA Act architecture. We expect that OMB and Treasury will continue making updates at this pace, and to continue issuing new mandates, all of which will require increased agility in our financial management processes and financial feeder systems. FMC funding helps provide DOT the support needed to respond to these mandates.

### **What benefits will be provided to the American public through this request and why is this program necessary?**

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The FY 2020 funding will allow for the acquisition of the software and implementation costs needed to install and configure the application. This solution will allow for invoices and other financial documents submitted by vendors and other parties to route electronically to the appropriate on-line storage container, eliminating the current manual process of personnel receiving, copying, scanning and filing documents. By implementing ECM, it will eliminate the need to maintain physical storage space for many documents that are currently saved on-site due to a lack of an electronic secured storage capability. The ECM solution will allow for the retirement of an existing un-supported image collection system, which ultimately benefits the American public through a significant reduction in systems and personnel costs that are currently required to maintain the antiquated process.

Continued enhancements to existing systems and improved data quality in accordance with evolving DATA Act requirements, will provide a more accurate picture for the American public to see how the DOT is spending their tax funds via [www.usaspending.gov](http://www.usaspending.gov).

Compliance with Treasury’s G-Invoicing mandate will lead to improvements in overall management of intergovernmental agreements. This standardization of process across the entire federal government will be more efficient for DOT which will in turn reduce cost. It will also improve the visibility to the American taxpayer (via [www.usaspending.gov](http://www.usaspending.gov)) as they will be able to track funds when they are used for multi-agency programs and shared services via these intergovernmental agreements.

**OFFICE OF THE SECRETARY OF TRANSPORTATION****OFFICE OF CIVIL RIGHTS**

(\$000)

<b><u>FUNDING LEVELS</u></b>	<b>FY 2018 Actual</b>	<b>FY 2019 Annualized CR</b>	<b>FY 2019 Enacted</b>	<b>FY 2020 Request</b>
Personnel Compensation and Benefits	\$ 6,282	\$ 6,890	\$ 6,890	\$ 6,857
Travel	49	50	50	50
Other Costs	3,169	2,560	2,530	2,093
Programs	-	-	-	-
<b>TOTAL</b>	<b>\$ 9,500</b>	<b>\$ 9,500</b>	<b>\$ 9,470</b>	<b>\$ 9,000</b>

**STAFFING**

Direct Positions	41	52	52	52
Direct FTEs	40	52	52	52
Reimbursable Positions	0	0	0	0
Reimbursable FTE	0	0	0	0

**Appropriations Language****OFFICE OF CIVIL RIGHTS**

For necessary expenses of the Office of Civil Rights, \$9,000,000.

**Program and Performance Statement**

The Office of Civil Rights provides Department-wide leadership for all civil rights activities, including employment opportunity and enforcement of laws and regulations that prohibit discrimination in the financing and operation of transportation programs with Federal resources. The Office also is responsible for non-discrimination policy development, analysis, coordination and compliance, and promotes an organizational culture that values workforce diversity, and handles all civil rights cases related to Department of Transportation employees.

## **Detailed Justification for the Office of Civil Rights**

### **What is this program and what does this funding level support?**

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The Departmental Office of Civil Rights (DOCR) is a key leader in assisting the Department of Transportation (DOT) in fulfilling its strategic goals. DOCR is responsible for advising the Secretary and Departmental Executive Management on issues of equity, diversity, and inclusion in its workforce and activities. Further, it supports the Department's Operating Administrations to achieve proactive compliance with laws and regulations that prohibit discrimination in Federally operated and assisted transportation programs. DOCR provides oversight, guidance, and services to resolve complaints of discrimination in Federally-funded activities, compliance reviews, Equal Employment Opportunity (EEO) compliance oversight and reviews, alternative dispute resolutions, final agency decision-writing, disadvantaged business enterprise certification appeals, internal and external policy development, education, training, and quality control. DOCR also provides its civil rights partners and stakeholders with business operations and information technology services that enable them to make informed and timely civil rights decisions. Major statutes that DOCR enforces include Titles VI and VII of the Civil Rights Act of 1964, as amended; Sections 501 and 504 of the Rehabilitation Act of 1973, as amended; Title II of the Americans with Disabilities Act of 1990; the Equal Pay Act of 1963; the Age Discrimination in Employment Act of 1967; and the Genetic Information Nondiscrimination Act of 2008.

DOCR operates DOT's nation-wide civil rights program from Washington, DC. Personnel in headquarters provide leadership, policy guidance, enforcement support, and training and education services to the Office of the Secretary (OST) and to the Department's Operating Administrations (OAs), which have personnel throughout the country who partner with DOCR to ensure a strong and effective civil rights program.

DOT's organizational structure is aligned with Federal and Departmental civil rights strategies and designed to support the organization's ability to: (1) foster a positive civil rights climate at DOT and within the transportation community; (2) educate and train DOT personnel, recipients of Federal financial assistance and civil rights stakeholders regarding their rights and responsibilities under Federal civil rights laws; (3) identify, investigate, and redress instances or patterns of discrimination; (4) administer civil rights services in a timely, efficient and cost effective manner; and (5) provide effective outreach and engagement programs to ensure equal and timely access to DOT programs and services for all stakeholders.

### **FY 2019 Anticipated Accomplishments:**

- Maintain the Department of Transportation's national civil rights training program aimed at educating and raising internal awareness regarding aligning transportation initiatives with recipients and sub recipients of federal transportation funding and ways to promote equal opportunity in DOT's workforce.
- Refine curricula and training materials for Operating Administrations to use in educating recipients and sub-recipients of federal funding on compliance with, Section 504 of the Rehabilitation Act, Americans with Disabilities Act, Title VI as



amended, Disadvantaged Business Enterprise (DBE) Program regulations and related statutes and do so in a manner that reduces the burden on recipients and firms.

- Assist DOT’s modal civil rights officials in carrying out DOT’s Section 504, ADA, DBE, Title VI, and other civil rights programs in a streamlined and efficient manner.
- Enhance DOCR’s educational, training and public-facing information for leaders, advocates and community organizations to maximize awareness regarding accessible and equitable transportation services in order to reduce any subsequent issues that might arise as a result of complaints based on Title VI, Rehabilitation Act, ADA, DBE and other civil rights programs.
- Realign DOT’s anti-harassment program to proactively promote compliance with DOT’s policy prohibiting harassment in the workplace. In doing so, DOCR supports DOT’s objective (contained in the Strategic Plan) to attract, develop, and retain employees who have the capabilities and competencies to help the Department achieve its goals. DOCR also aims to reduce the number of EEO Complaints of harassment and associated costs.
- Revise DOT’s policy on hiring individuals with disabilities to increase internal opportunities in the Department to update the policy regarding reasonable accommodations procedures. In doing so, DOCR supports DOT’s objective (contained in the Strategic Plan) to attract, develop, and retain employees who have the capabilities and competencies to help the Department achieve its goals.
- Enhance DOT’s current internal EEO training curricula in order to more effectively target issues and trends in internal EEO complaints. By using EEO complaint data to guide the revision and development of training content, DOCR will be more strategic in its training efforts with the goal of reducing the number of EEO Complaints and associated costs.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 52 FTEs and associated costs.

**What benefits will be provided to the American public through this request and why is this program necessary?**

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While the Department funds projects, programs, and services to ensure that our Nation has the safest, most efficient and modern transportation system in the world, DOCR ensures that the benefits of transportation projects and other related activities are accessible to all segments of the American public. DOCR, OST and the OAs enforce laws and regulations that prohibit discrimination in employment and the provision of services. DOCR is responsible for providing leadership to ensure that DOT does not discriminate against its employees or applicants for employment nationwide, and that DOT conducts programs supporting a general public free of discrimination.

In summary, the Office is responsible for appropriate monitoring of internal activities, collaboration, and oversight of OAs to ensure that recipients of Federal transportation funds are compliant in the conduct of their programs, services and activities, and to reduce the burden of compliance with these laws and regulations on recipients.

**OFFICE OF THE SECRETARY OF TRANSPORTATION****SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH (SDBUO)**

(\$000)

	<b>FY 2018 Actual</b>	<b>FY 2019 Annualized CR</b>	<b>FY 2019 Enacted</b>	<b>FY 2020 Request</b>
<b><u>FUNDING LEVELS</u></b>				
Personnel Compensation and Benefits	\$ 1,454	\$ 1,490	\$ 1,490	\$ 1,567
Travel	19	20	20	20
Other Costs	3,172	3,137	1,979	1,414
Programs	-	-	-	-
<b>TOTAL</b>	<b>\$ 4,646</b>	<b>\$ 4,646</b>	<b>\$ 3,488</b>	<b>\$ 3,000</b>

**STAFFING**

Direct Positions	10	10	10	13
Direct FTEs	10	10	10	12
Reimbursable Positions	0	0	0	0
Reimbursable FTE	0	0	0	0

**Appropriations Language****SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND OUTREACH**

For necessary expenses for small and disadvantaged business utilization and outreach activities, \$3,000,000, to remain available until September 30, 2021: *Provided*, That notwithstanding 49 U.S.C. 332, these funds may be used for business opportunities related to any mode of transportation.

**Program and Performance Statement**

This appropriation includes funding for the Office of Small and Disadvantaged Business Utilization to ensure that: 1) the small and disadvantaged business policies and programs of the Secretary of Transportation are developed and implemented throughout the Department in a fair, efficient, and effective manner; and 2) effective outreach activities are in place to assist small businesses owned and controlled by socially and economically disadvantaged individuals, small businesses owned and controlled by women, small businesses owned and controlled by service disabled-veterans, Native American small business concerns, and qualified Historically Underutilized Business Zone (HUB Zone) small businesses concerned with securing Department of Transportation contracting and subcontracting opportunities.

## **Detailed Justification for the Small and Disadvantaged Business Utilization and Outreach**

### **What Is This Program And What Does This Funding Level Support?**

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The Office of Small and Disadvantaged Business Utilization (OSDBU) administers the Department of Transportation responsibility to ensure procurement opportunities for small businesses (SB), small disadvantaged businesses (SDB), women-owned small businesses (WOSB), HUB Zone (HZ) businesses, and service-disabled veteran owned small businesses (SDVOSB).

Public Law 95-507 requires every Federal agency to have the OSDBU, by statute and to implement the activities on behalf of SBs, accordance with Sections 8, 15, and 31 of the Small Business Act.

The Office ensures that SBs are provided maximum practicable opportunity to participate in the agency's contracting process. The responsibility of the OSDBU is to ensure that small businesses are treated fairly and have an opportunity to compete and be selected for a fair amount of the agency's contracting and subcontracting dollars. Additionally, DOT OSDBU provides financial and technical assistance.

OSDBU provides the SB community training, counseling and procurement assistance for transportation related contracts. OSDBU ensures that SB have an equitable opportunity to participate in DOT's direct procurement and Federal financial assistance programs.

OSDBU administers DOT's Small Business Transportation Resource Center (SBTRC) program. The SBTRCs provide a delivery system of business training and counseling, technical assistance, and the dissemination of information to transportation-related DBEs within their regions. The SBTRCs are established regionally through cooperative agreements with 501 (c)(3) and (6) organizations. These partnerships create a delivery system that targets SB, including DBEs and women-owned businesses, enabling them to become competitive in the government procurement marketplace.

### **FY 2019 Anticipated Accomplishments:**

In FY 2019, OSDBU will continue to focus on effective outreach activities to increase SB participation in DOT procurements.

The OSDBU will:

- Provide procurement assistance to small businesses, small disadvantaged businesses, women-owned small businesses, HUB Zone small businesses, and service-disabled veteran owned small businesses.
- Collaborate with other Federal agencies to ensure small business opportunities.
- Sponsor DOT events to ensure that small businesses are prepared to compete and perform for DOT contracts and subcontracts.
- Participate with the DOT Strategic Acquisition Council for improving the DOT acquisition procedures for small business opportunities.

- Promote and develop small business subcontractors by providing developmental assistance designed to help these businesses succeed on bidding for infrastructure projects.
- Conduct monthly Small Business Specialist Training sessions to communicate rules and regulations that impact small business contracting.
- Continue to ensure small and disadvantaged businesses are provided with the education and resources needed to successfully compete for and participate on transportation contracts across the United States of America and its territories.
- OSDBU will provide procurement assistance to the OA's for awarding SDB, WOSB, Hub Zone and SDVOSB procurement actions.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 11.5 FTEs and associated costs.

**What Benefits Will Be Provided To The American Public Through This Request and Why Is This Program Necessary?**

The OSDBU will provide technical assistance to SBs in order for them to succeed and grow their business, which is a major contributor to the overall economy by facilitating job creation in the area of infrastructure projects. Small businesses do not always stay small – some grow into large businesses often remaining in the community in which the business was first established. Having a large corporation headquartered in a community can further help provide employment and stimulate the local economy.

**OFFICE OF THE SECRETARY OF TRANSPORTATION****TRANSPORTATION PLANNING, RESEARCH AND DEVELOPMENT (TPR&D)**

	(\$000)			
	FY 2018 Actual	FY 2019 Annualized CR	FY 2019 Enacted	FY 2020 Request
<b><u>FUNDING LEVELS</u></b>				
Personnel Compensation and Benefits	\$ 5,659	\$ 6,570	\$ 6,570	\$ 6,637
Travel	132	174	174	174
Other Costs	8,209	7,256	1,135	1,189
Programs	-	-	-	-
<b>TOTAL</b>	<b>\$ 14,000</b>	<b>\$ 14,000</b>	<b>\$ 7,879</b>	<b>\$ 8,000</b>

**STAFFING**

Direct Positions	31	37	37	37
Direct FTEs	30	37	37	37
Reimbursable Positions	0	0	0	0
Reimbursable FTE	0	0	0	0

**Appropriations Language****TRANSPORTATION, PLANNING, RESEARCH AND DEVELOPMENT**

For necessary expenses for conducting transportation planning, research, systems development, development activities, and making grants, to remain available until expended \$8,000,000: *Provided*, That of such amount, \$1,250,000 shall be for necessary expenses for the Interagency Infrastructure Permitting Improvement Center (IIPIC) to continue reforms to improve interagency coordination and the expediting of projects related to the permitting and environmental review of major transportation infrastructure projects including expenses to develop and deploy information technology tools to track project schedules and metrics and improve the transparency and accountability of the permitting process: *Provided further*, That there may be transferred to this appropriation, to remain available until expended, amounts transferred from other Federal agencies for expenses incurred under this heading for IIPIC activities not related to transportation infrastructure: *Provided further*, That the tools and analysis developed by the IIPIC shall be available to other Federal agencies for the permitting and review of major infrastructure projects not related to transportation only to the extent that other Federal agencies provide funding to the Department as provided for under the previous proviso.

**Program and Performance Statement**

This appropriation finances research and studies concerned with planning, analysis, and information development needed to support the Secretary's responsibilities in the formulation of National transportation policies and the coordination of National level transportation planning. Funding also supports Departmental leadership in areas such as regulatory modernization, energy conservation, environmental and safety impacts of transportation, aviation economic policy, and international transportation issues. The program activities include contracts with other Federal agencies, educational institutions, non-profit research organizations, and private firms. This appropriation also finances the Interagency Infrastructure Permitting Improvement Center, including an online database Permitting Dashboard, to support permitting/environmental review reforms to improve interagency coordination, and make the process for Federal approval for major infrastructure projects more efficient.

## **Detailed Justification for Transportation Planning, Research and Development**

### **What Is This Program And What Does This Funding Level Support?**

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The Transportation Planning, Research and Development (TPR&D) program within the Office of the Under Secretary for Policy (S-3) supports the Secretary's responsibilities in implementing the Department's multimodal programs, formulating national and international transportation policies, and supporting Administration initiatives in which transportation plays a critical role.

In FY 2020, TPR&D will support the development of transportation policy; coordination of national and international transportation planning; analysis of methods of increasing the economic efficiency of transportation; development and coordination of intermodal and multimodal issues that are not the responsibility of any one modal agency; analysis of the value of transportation safety improvements; regulatory modernization associated with environmental review and permitting; freight movement; aviation economic policy; enable the safe testing and deployment of automated vehicles (AVs) in our nation's transportation systems; and international transportation issues.

TPR&D research, analysis and project development serves a variety of functions. One function is to provide the data and assessment tools necessary to determine how key programs, and transportation communities, are performing. The second function is to develop recommendations about how transportation policy should shape, or adjust to a changing world and pace of technical innovation. A third is to support Administration and Departmental priorities that advance the economic competitiveness of U.S. companies. Economic policy development for domestic and international aviation is primarily supported by TPR&D-funded analytical research and the Office of Aviation and International Affairs staff.

For FY 2020, the Department requests funds to continue operations of an Infrastructure Permitting Improvement Center leading to efficiencies in the review and permitting of projects. The Program requires continued funding to support future activities to implement reforms to improve interagency coordination and expedite projects related to the permitting and environmental review, including funds necessary to maintain, operate, and enhance the Permitting Dashboard.

### **FY 2019 Anticipated Program Accomplishments:**

#### **Safety Data Initiative/Automated Vehicles:**

By the end of FY 2019 the program anticipates completing a number of roadway safety pilot projects through the Safety Data Initiative (SDI), which will include disseminating the results and highlighting lessons learned with State and local government partners at various conferences and Departmental stakeholder events. The Office plans on completing a number of projects in FY 2019. Enhancing the visualization of safety data at the Department, we will use NHTSA's Fatality Analysis Reporting System (FARS) data to showcase the possibilities of new visualization tools to help decision makers and the public understand safety problems and

potential solutions related to pedestrian and motorcyclist fatalities. Through data integration and advanced analytics we will explore how to derive safety insights to help better understand roadway safety risk. Using Waze data, we will work with State and local representatives as case studies to create safety applications from the crowd-sourced data. From various national transportation, built environment, and sociodemographic data sets we will publish in an academic journal on predictive safety analysis to inform pedestrian risk, and visualize the results with geospatial software. In support of rural safety we will complete research that combines crash, roadway, and traffic speed data to better understand the role speeding information could play in improving safety data analysis.

Based on the lessons learned from the pilots, the Office will procure services to enhance the Department's ability to perform data integration and analysis using innovative technologies and techniques. The procurement vehicle is expected to be started in FY 2019, and new projects will begin that will utilize this newly acquired expertise. The Office expects these projects to begin to help the Department and partner agencies perform analyses that will help creatively answer safety issues with new data, identify patterns of risk, track changes and emerging trends, and address the largest safety risks.

With regards to Automated Vehicles (AVs), the Department looks to further enable the safe testing and integration of AVs in our Nation's transportation systems and execute the signature topics outline in Automated Vehicle 3.0. In 2019, the Department will have developed and published a comprehensive plan for automated vehicles, published a study on Impact of Automated Vehicle Technologies on Workforce, and have announced up to \$60M in grants for winners of the Automated Driving System Demonstration grants. To ensure the success of the above accomplishments, the Department will have at a minimum at least four unique stakeholder automation-related events to obtain input, feedback and validation of our assumptions.

#### Interagency Infrastructure Permitting Improvement Center and On-Line Permitting Dashboard:

Funding for the Interagency Infrastructure Permitting Improvement Center and the Permitting Dashboard, administratively located within the Office of Policy Development, Strategic Planning, and Performance, will enable the continuation of work to reduce infrastructure permitting and review timelines by producing a more streamlined efficient process.

Significant activities include:

- Continued facilitation of data collection and reporting in conjunction with development, management, maintenance, operation, and oversight of the Dashboard. Projects will continue to be posted on the Dashboard in accordance with the requirements of the Fixing America's Surface Transportation (FAST) Act, and Guidance issued by the Office of Management and Budget that establish metrics for permitting and environmental review of all major infrastructure projects. Funds are necessary to implement significant upgrades to the Dashboard to fully expand its technical and visualization capabilities to support project management and tracking, as well as improve public transparency for projects across the Federal government. Funding will support the further development of a new user interface, integration of real-time reporting on performance metrics, and

additional visual enhancements including data visualizations, in addition to synchronization with other federal agencies tools, as the dashboard is expanded to include a significant number of additional projects. These ongoing data visualization efforts, including real-time visual reporting of project and Federal agency performance will provide additional transparency and accountability.

- Targeted technical assistance, training, and outreach related to reform implementation across federal agencies and bureaus, as well as state, local and tribal governments.
- Conducting research and piloting new policies, such as approaches for conducting environmental analysis, including analysis of mitigation options.
- Continuing to develop new policy improvements and process reform recommendations to accelerate project delivery through synchronized/coordinated environmental review and permitting among agencies, and promoting shared National Environmental Policy Act documents to satisfy all environmental reviews and permits. This includes identifying additional best practices associated with early stakeholder engagement, reducing information collection requirements, and other aspects of environmental review and permitting as well as to facilitating advanced planning for mitigation of project impacts and use of landscape or watershed-level approaches to mitigation to achieve improved environmental and community outcomes.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 37 FTEs and associated costs.

### **What Benefits Will Be Provided to The American People Through This Request And Why Is The Program Necessary?**

Below are some of the beneficial impacts to the American public:

- Ensuring fair and efficient air service to the American public by providing oversight over proposed airline partnerships, airline mergers and acquisitions.
- Modernizing the data collection methods, usefulness and consistency of aviation data, which is used by the Department of Transportation, the aviation industry and the American Public to enhance aviation route planning.
- Maintaining dialogue with foreign countries regarding aviation competition matters and assuring the fairness of competition between domestic and international air carriers.
- Identifying international best practices that will increase efficiency or reduce costs to improve safety, build infrastructure, identify new technology or reduce regulatory burden.
- Representing the interests of the U.S. transportation industry and other U.S. stakeholders during international trade negotiations.
- Ensuring regulatory and standards compatibility with U.S. trading partners to ensure that U.S. firms are not locked out of foreign markets by regulatory barriers.
- Ensuring that U.S. exporters to the North American market benefit from well-planned, coordinated and connected cross border infrastructure, supporting U.S. jobs in the North



American supply chain. Providing resiliency planning technical assistance to state, local and tribal communities.

- Identifying aspects of the U.S. transportation system that might be enhanced to increase international exports and provide economic benefits.
- Providing enhanced benefit – cost analysis to better measure the impact of proposed infrastructure investments.
- Promoting the development of the UAS industry and the safe integration of drones into the National Airspace to provide economic benefits.
- Research and development enables new opportunities for innovation, and facilitates job creation in the areas of general aviation, commercial airlines, freight hauling, transportation infrastructure and export of U.S. produced goods and services.
- Ongoing data visualization enhancements within the Permitting Dashboard, including real time visual reporting, will provide additional transparency for the public and agency performance and accountability.

**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**NATIONAL INFRASTRUCTURE INVESTMENTS (Discretionary)**

(\$000)

<b><u>FUNDING LEVELS</u></b>	<b>FY 2018 Actual</b>	<b>FY 2019 Annualized CR</b>	<b>FY 2019 Enacted</b>	<b>FY 2020 Request</b>
Personnel Compensation and Benefits	\$ 6,662	\$ 6,662	\$ 6,662	\$ 6,720
Travel	808	808	808	808
Other Costs	17,530	17,530	19,530	17,472
Programs	1,475,000	1,475,000	873,000	975,000
<b>TOTAL</b>	<b>\$ 1,500,000</b>	<b>\$ 1,500,000</b>	<b>\$ 900,000</b>	<b>\$ 1,000,000</b>

**STAFFING**

Direct Positions	7	7	7	7
Direct FTEs	6	7	7	7
Reimbursable Positions	0	0	0	0
Reimbursable FTE	0	0	0	0

**Appropriations Language**

**NATIONAL INFRASTRUCTURE INVESTMENTS (Discretionary)**

For capital investments in surface transportation infrastructure, \$1,000,000,000, to remain available through September 30, 2023: Provided, That the Secretary of Transportation shall distribute funds provided under this heading as discretionary grants to be awarded to a State, local government, port authority, transit agency, or a collaboration among such entities on a competitive basis for projects that will have a significant impact on the Nation, a metropolitan area, or a region: Provided further, That projects eligible for funding provided under this heading shall include, but not be limited to, highway or bridge projects eligible under title 23, United States Code; public transportation projects eligible under chapter 53 of title 49, United States Code; passenger and freight rail transportation projects; and port infrastructure investments (including inland port infrastructure and land ports of entry): Provided further, That the Secretary may use up to 20 percent of the funds made available under this heading for the purpose of paying the subsidy and administrative costs of projects eligible for Federal credit assistance under chapter 6 of title 23, United States Code, or sections 501 through 504 of the Railroad Revitalization and Regulatory Reform Act of 1976 (Public Law 94–210), as amended, if the Secretary finds that such use of the funds would advance the purposes of this paragraph: Provided further, That in distributing funds provided under this heading, the Secretary shall take such measures so as to ensure an equitable geographic distribution of funds, an appropriate balance in addressing the needs of urban and rural areas, and the investment in a variety of transportation modes: Provided further, That a grant funded under this heading shall be not less than \$5,000,000: Provided further, That not more than 20 percent of the funds made available under this heading may be awarded to projects in a single State: Provided further, That the Federal share of the costs for which an expenditure is made under this heading shall be up to 80 percent: Provided further, That the Secretary shall give priority to projects that maximize the use of non-Federal funds in order to complete an overall financing package:

Provided further, That not less than 30 percent of the funds provided under this heading shall be for projects located in rural areas: Provided further, That for projects located in rural areas, the minimum grant size shall be \$1,000,000 and the Secretary may increase the Federal share of costs above 80 percent: Provided further, That projects conducted using funds provided under this heading must comply with the requirements of subchapter IV of chapter 31 of title 40, United States Code: Provided further, That the Secretary shall conduct a new competition to select the grants and credit assistance awarded under this heading: Provided further, That the Secretary may retain up to \$25,000,000 of the funds provided under this heading, and may transfer portions of those funds to the Administrators of the Federal Highway Administration, the Federal Transit Administration, the Federal Railroad Administration, and the Maritime Administration to fund the award and oversight of grants and credit assistance made under the National Infrastructure Investments program.

#### **Program and Performance Statement**

The National Infrastructure Investments program, also known as the Better Utilizing Investments to Leverage Development (BUILD) program, provides funding for grant awards or credit assistance on a competitive basis for capital investments in surface transportation infrastructure that will have a significant impact on the Nation, a metropolitan area, or a region.

## **Detailed Justification for the Better Utilizing Investments to Leverage Development (BUILD) Discretionary Grant Program**

### **What Is This Program and What Does This Funding Level Support?**

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The Better Utilizing Investments to Leverage Development (BUILD) Transportation Discretionary Grant Program provides a unique opportunity for the U.S. Department of Transportation (DOT) to invest in the Nation’s surface transportation infrastructure, including roads and highways, public transportation facilities, freight and passenger rail, and port infrastructure. The BUILD program is aligned with the President’s focus on modernizing America’s infrastructure and provides funds to governmental entities for transportation investments on a competitive basis to support merit-based projects that make a significant impact on the Nation, a metropolitan area, or a region. The Program uses a rigorous evaluation process to select projects in line with defined merit criteria, rewards sponsors for delivering projects cheaper and faster, and invests in our Nation’s infrastructure to make our communities safer, more sustainable, and economically secure. The program is especially committed to addressing rural transportation infrastructure needs.

The FY 2020 proposal includes \$1 billion for the BUILD Transportation Grant Program. The proposal will provide an equitable geographic distribution of funds as well as an appropriate balance in addressing rural and urban communities’ needs with infrastructure investments across a variety of transportation modes. These funds will enable the Department to fund critical transportation projects that benefit a local community or region through a merit-based, competitive program.

Since 2009, DOT has received more than 8,400 TIGER/BUILD applications requesting more than \$165 billion from all 50 States, Puerto Rico, Guam, American Samoa, the District of Columbia, the Northern Mariana Islands, and the Virgin Islands. In total, the Program has provided a combined \$7.1 billion to 554 projects in all 50 states, the District of Columbia, Puerto Rico, Guam, and the Virgin Islands. The overwhelming number of applications demonstrates the public’s demand for improved infrastructure across the entire surface transportation system and provides an alternative to the traditional framework for infrastructure investment. Through BUILD, DOT helps fund projects in rail, transit, roads, and ports throughout the entire Nation – improving safety, state of good repair, economic competitiveness, quality of life, environmental protection, innovation, partnership, and supporting applicants that generate additional non-federal revenue.

DOT’s competitive selection process rewards applicants that demonstrate a level of commitment, planning, and partnership that stands apart from other discretionary grant programs and allows DOT to navigate the distinct needs of different communities across the country, particularly rural communities. With BUILD, the focus is not on particular levels of government or modes, but on impactful outcomes and substantial return on tax-payer investments.

The BUILD Transportation Grant Program has the unique ability to increase the economic competitiveness of the Nation in the full range of transportation infrastructure options – highway,

transit, rail, multimodal, and port facilities. State and local governments continually show tremendous interest in the Program.

BUILD funds projects focused on multimodal investments that are often difficult to fund in other mode-specific transportation grant programs. It rewards innovation and encourages cross-jurisdictional and public-private partnership. As a result, this Program is helping to build a robust, more efficient, competitive, cost-effective and durable transportation system for the taxpayer.

The Administration is proposing \$1 billion in FY 2020 for the BUILD Transportation Grant Program. This request would also fund an estimated 7 FTEs to administer the BUILD Transportation Grant Program.

### **What Benefits Will Be Provided to the American Public Through This Request and Why is the Program Necessary?**

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The BUILD Transportation Grant Program aligns with the President’s focus on infrastructure and is necessary to address the needs of States, local and tribal governments, transit agencies, or collaborations among such entities, in seeking more cost-effective, innovative solutions to complex transportation and economic development challenges. This requires greater flexibility than is possible through the current formula programs, which focuses on individual modes, specific project types, and a limited group of grantees. BUILD, however, assists local sponsors in obtaining support for innovative projects designed to move people and goods, regardless of transportation mode or jurisdictions involved.

BUILD enables DOT to examine a broad array of projects on their merits to help ensure taxpayers receive the highest value for every dollar invested. By challenging potential grantees to present their strongest plans, DOT receives requests with lower project costs and strongly articulated cases for project benefits. BUILD also helps DOT direct resources toward rural areas that commonly experience underinvestment and lack of connectivity. In addition, upon award, DOT attaches a funding deadline, thereby incentivizing grantees’ timely and cost-effective project delivery. Once awarded, BUILD grantees must leverage performance measurements and outcome tracking to demonstrate to the taxpayer the attainment of proposed benefits. DOT then uses this data to inform best practices for future rounds and projects.

The \$1 billion request will continue to support the types of infrastructure projects that DOT has funded over the past ten years of the Program. The BUILD Transportation Discretionary Grant Program targets projects that support **Safety, Economic Competitiveness, State of Good Repair, Quality of Life, Environmental Protection, Innovation, Partnership, and Non-Federal Revenue Generation**. DOT believes that programs such as BUILD are key to addressing the deteriorating state of the Nation’s transportation systems. Moreover, the competitive aspect of the BUILD program encourages additional investment into transportation infrastructure while using available grant funding and loan financing to enhance the Nation’s transportation network. The Program funds projects that tend to be innovative, multi-modal projects that are difficult to fund through existing formula programs.

Our complex transportation and economic challenges require cost-effective, innovative solutions. The BUILD Transportation Grant Program presents the unique opportunity for DOT to invest in road, rail, transit and port projects that promise to achieve local or regional outcomes, that otherwise might not receive Federal support.

**OFFICE OF THE SECRETARY OF TRANSPORTATION****INFRASTRUCTURE FOR REBUILDING AMERICA (INFRA) GRANTS PROGRAM**

(\$000)

	<b>FY 2018 Actual</b>	<b>FY 2019 Annualized CR</b>	<b>FY 2019 Enacted</b>	<b>FY 2020 Request</b>
<b><u>FUNDING LEVELS</u></b>				
Personnel Compensation and Benefits	0	0	0	1,102
Travel	0	0	0	50
Other Costs	0	0	0	8,848
Programs	0	0	0	1,025,000
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,035,000</b>

**STAFFING**

Direct Positions	0	0	0	7
Direct FTEs	0	0	0	4
Reimbursable Positions	0	0	0	0
Reimbursable FTE	0	0	0	0

**DEPARTMENT OF TRANSPORTATION  
OFFICE OF THE SECRETARY****Nationally Significant Freight Projects**

In addition to funds made available from any other source to carry out the Nationally Significant Freight and Highway Projects program under 23 U.S.C. 117, \$1,035,000,000, to remain available through September 30, 2023: *Provided*, That the Secretary of Transportation shall distribute funds provided under this heading as discretionary grants according to criteria and requirements described in 23 U.S.C. 117: *Provided further*, That the limitation at 23 U.S.C. 117(d)(2)(A) shall not apply to the funding provided under this heading: *Provided further*, That the Secretary may retain up to \$10,000,000 of the funds provided under this heading, and may transfer portions of such funds to the Administrators of the Federal Highway Administration, the Federal Railroad Administration, and the Maritime Administration, to fund the award and oversight of grants and credit assistance made under 23 U.S.C. 117 and this heading: *Provided further*, That section 1101(b) of Public Law 114-94 shall apply to funds made available under this heading.

**Program and Performance Statement**

This account provides \$1.035 billion in resources to support the Nationally Significant Freight and Highway Projects discretionary grant program, also known as the Infrastructure for Rebuilding America (INFRA) program. These resources supplement the \$1 billion in resources provided by the Highway Trust Fund for the INFRA program as authorized under 23 U.S.C. 117, for a total of \$2.035 billion for the program in 2020. The INFRA program provides financial assistance on a competitive basis to highway, freight rail, intermodal, and port infrastructure projects of national or regional significance. The goals of the program include reducing congestion and bottlenecks, and improving safety, on the Nation's freight networks. The resources in this account are not subject to the limitation in 23 U.S.C. 117(d)(2)(A) for certain freight projects.

## **Detailed Justification for the Infrastructure for Rebuilding America (INFRA) Discretionary Grant Program**

### **What Are These Programs and What Does This Funding Level Support?**

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The Infrastructure For Rebuilding America (INFRA) Transportation Discretionary Grant Program provides the U.S. Department of Transportation (DOT) with the ability to invest directly in nationally and regionally significant highway, freight rail, intermodal, and port infrastructure. The INFRA program is aligned with the President’s focus on modernizing America’s infrastructure, providing funds to governmental entities for transportation investments on a competitive basis. The program uses rigorous evaluation processes to select projects in line with defined merit criteria, explore ways to deliver projects cheaper and faster, and invest in our Nation’s infrastructure to support economic vitality, leverage federal funding, increase innovation, and incentivize performance and accountability.

The FY 2020 Budget proposal includes \$1.035 billion for the INFRA grant program. The proposal will supplement the \$1 billion already authorized from the FAST Act for FY 2020, for a total of \$2.035 billion for the program, enhancing the ability of the program to support nationally significant projects across the country.

Authorized under 23 U.S.C. 117, the INFRA program has made \$2.3 billion in awards to 54 nationally and regionally significant projects since 2016. These awards have successfully leveraged more than \$9.4 billion in other funding, including more than \$7 billion in non-federal funding, to begin work on more than \$11.8 billion of infrastructure investment. Nevertheless, demand far exceeds supply, with the Department receiving applications requesting a total of \$12.3 billion in the most recent round of competition alone.

The INFRA program rewards project sponsors who propose economically sound and cost-effective projects, leverage federal assistance, incorporate innovation into their projects, and commit to accountability, all while meeting strict congressional requirements. While the authorized program focuses the bulk of its resources on our national highways, the supplemental funding proposed in the FY 2020 Budget would have increased flexibility to address multimodal freight projects, including freight rail, port, and inland waterway surface transportation projects which enhance our supply chain competitiveness.

The Administration is proposing \$1.035 billion in funding for the INFRA grant program, to be administered according to 23 U.S.C. 117, while removing the limit on funding for intermodal, rail and port freight projects. The proposal also sets aside up to \$10 million of the additional funding for administrative expenses, along with a request for 4 FTE.

### **What Benefits Will Be Provided to the American Public Through This Request and Why are these Programs Necessary?**

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The INFRA program aligns with the President’s Infrastructure proposal and is necessary to address the needs of States, local and tribal governments, or transportation authorities in seeking more cost-effective, innovative solutions to complex transportation and economic development



challenges. The ability to invest directly provides critical federal funding support to many large-scale or non-traditional projects which may have difficulty securing funding using traditional federal-aid formula programs. INFRA can assist project sponsors in securing the final piece of funding necessary to move a project forward easily and efficiently.

With its focus on nationally or regionally significant projects, INFRA enables DOT to review projects on their merits to help ensure taxpayers receive the highest value for every dollar invested. By challenging applicants to present their strongest plans, DOT receives many well-thought-out proposals and is able to prioritize projects with substantial public benefits. The program incentivizes applicants to increase state and local funding in projects and drive up the federal bang-for-the-buck. Due to its competitive nature, INFRA allows DOT to establish deadlines which incentivize grantees' timely and cost-effective project delivery.

The \$1.035 billion request will continue to support the highway, freight rail, intermodal, and port infrastructure projects that DOT has funded over the past several years of the INFRA/FASTLANE/NSFHP program. The INFRA Transportation Discretionary Grant program targets projects which support **Economic Vitality, Leveraging of Federal Funding, Innovation, and Performance and Accountability**. DOT believes that programs such as INFRA are key to improving the performance of the Nation's transportation systems, particularly in the area of relieving congestion. Moreover, the competitive aspect of the program promotes additional investment into transportation infrastructure while using available grant funding and loan financing to enhance the Nation's transportation network.

**OFFICE OF THE SECRETARY OF TRANSPORTATION**

**MINORITY BUSINESS RESOURCE CENTER**

(\$000)

<b><u>FUNDING LEVELS</u></b>	<b>FY 2018 Actual</b>	<b>FY 2019 Annualized CR</b>	<b>FY 2019 Enacted</b>	<b>FY 2020 Request</b>
<b><u>Administrative Expenses:</u></b>				
Personnel Compensation and Benefits	185	185	185	0
Travel	4	4	4	0
Other Costs	311	311	311	0
Subtotal, Discretionary	500	500	500	0
<b>GRAND TOTAL</b>	<b>\$ 500</b>	<b>\$ 500</b>	<b>500</b>	<b>0</b>
<b><u>STAFFING</u></b>				
Direct Positions	0	1	1	0
Direct FTEs	0	1	1	0
Reimbursable Positions	0	0	0	0
Reimbursable FTE	0	0	0	0

No funding is requested for this program in 2020.

**OFFICE OF THE SECRETARY OF TRANSPORTATION**  
**CYBER SECURITY INITIATIVES**

<b><u>FUNDING LEVELS</u></b>	(\$000)			
	<b>FY 2018 Actual</b>	<b>FY 2019 Annualized CR</b>	<b>FY 2019 Enacted</b>	<b>FY 2020 Request</b>
Personnel Compensation and Benefits	\$ -	\$ -	\$ -	\$ -
Travel	-	-	-	-
Other Costs	15,000	15,000	15,000	15,000
Programs	-	-	-	-
<b>TOTAL</b>	<b>\$ 15,000</b>	<b>\$ 15,000</b>	<b>\$ 15,000</b>	<b>\$ 15,000</b>

**STAFFING**

Direct Positions	0	0	0	0
Direct FTEs	0	0	0	0
Reimbursable Positions	0	0	0	0
Reimbursable FTE	0	0	0	0

**Appropriations Language****CYBER SECURITY INITIATIVES**

For necessary expenses for cyber security initiatives, including necessary upgrades to wide area network and information technology infrastructure, improvement of network perimeter controls and identity management, testing and assessment of information technology against business, security, and other requirements, implementation of Federal cyber security initiatives and information infrastructure enhancements, and implementation of enhanced security controls on network devices, \$15,000,000, to remain available through September 30, 2021.

**Program and Performance Statement**

This appropriation will fund cyber security initiatives, including necessary upgrades to the wide area network and information technology infrastructure. The funding will support key program enhancements, infrastructure improvements, and contractual resources to enhance the security of the Department of Transportation network, and reduce the risk of security breaches.

## **Detailed Justification for the Cyber Security Initiatives**

### **What is this program and what does this funding level support?**

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The Department of Transportation (DOT) Chief Information Officer (CIO) is the principal information technology (IT), cybersecurity, cybersecurity risk management, and information assurance advisor to the Secretary.

The DOT operates and oversees significant elements of the critical transportation and information technology (IT) infrastructure of the United States. Much of the DOT framework relies upon, and is integrated with, computer networks, computer mediated communications, online databases, and a wide variety of other computer and computer network capabilities. With the increasing interconnectivity between DOT, other Federal, State, and local government agencies, and the private sector entities it regulates, and an ongoing modernization to include commodity Internet-based technologies, new dependencies, relationships, and vulnerabilities are created that did not previously exist, resulting in new risks to the DOT IT infrastructure.

For the fiscal year (FY) 2020 Cyber Security Initiatives request, DOT continues to refine its implementation and operation of the National Institute of Standards and Technology (NIST) Cybersecurity Framework (CSF) within the DOT enterprise and is integrating transportation-sector focused cybersecurity initiatives in support of DOT's mission-oriented cybersecurity responsibilities.

For the DOT enterprise, this request supports enterprise hardware, software and continued operation and enhancement of Continuous Diagnostics and Mitigation (CDM) and other capabilities aligned to the NIST CSF and the services provided the DOT Cybersecurity and Information Assurance program. The funding will enable expansion of cyber data analytic capabilities developed in FY 2019 for the purpose of identifying anomalous or malicious activity, and also enable identity and attribute-based access control as the agency transitions to a new "near-zero trust" network architecture. A portion of the funds will be used for continued maintenance and operation of software, hardware, and services acquired in FYs 2013 - 2019 until those expenses can be transitioned to the Working Capital Fund (WCF).

For DOT mission cybersecurity addressing the transportation sector, this request supports the development, and tailoring of the NIST CSF to the transportation sector, and specifically to the individual modes of transportation. It will also facilitate the development of a DOT cyber information sharing platform for use by DOT personnel in the collection, aggregation, analysis, and sharing of enterprise and sector threat, vulnerability, and incident information, and the coordination of DOT sector-focused cyber incident response. Additionally, this request will advance DOT efforts to address the identification and mitigation of global positioning system (GPS)/and position, navigation, and timing (PNT) vulnerabilities within DOT enterprise and transportation sector architectures and systems.

Additional areas of attention will include, but not be limited to:

- Enhancement of enterprise data loss prevention capabilities (DLP) managed by the DOT Office of the Chief Information Officer (OCIO) to identify, catalog, and protect agency sensitive information at rest and in transit;
- Planning and implementation of the security controls in NIST Special Publication (SP) 800-53 revision 5, and development and implementation of continuous monitoring capabilities and processes of new and revised controls;
- Deployment of the final phase of the DOT Network Assessment Risk Mitigation (NARM) initiative to modernize the networks managed by the DOT OCIO, and implementing NIST CSF Protect, Defend, and Respond functional capabilities to enforce behavioral controls, and integrating artificial intelligence (AI) and machine learning (ML) capabilities for the automated detection and mitigation of “bad actors, threats and anomalies.

This investment supports the DOT and DOT IT strategic plans, and cybersecurity objectives, which include holistic activities to invest in people, process, and technologies at strategic, operational, and tactical levels for improved effectiveness of the Department’s integrated cybersecurity risk management program, reduction of agency cybersecurity risks, and maturation of DOT’s implementation of the NIST CSF.

**Anticipated FY 2019 Accomplishments:**

The FY 2019 funds will support execution of the third phase of the DOT Network Assessment, Remediation and Mitigation (NARM) initiative, including deployment of enterprise network availability and performance management capabilities for improved resiliency, expansion of automation and orchestration capabilities, integration of CDM network admission and control capabilities to control access to the network.

The funds will also be used to operate and maintain existing cybersecurity continuous monitoring capabilities, operations at the Stennis data center, and previously acquired secure communications services that have not yet been funded by DOT Operating Administrations through the DOT WCF. Improvements will address enhanced cybersecurity analytics and response, provide better situational awareness and visibility into operational security posture, and allow a more proactive approach in identifying and remediating vulnerabilities.

Additional efforts will address building capacity and maturity in alignment with the NIST CSF, including: identity, attribute, and context-aware authentication to agency-authorized cloud service providers, to protect DOT data in the cloud, and limit the potential for unauthorized access and compromise; expansion of strong authentication capabilities for public-facing systems; and continued remediation of gaps and vulnerabilities associated with the Administration cybersecurity priorities. DOT will continue to utilize the Cyber appropriation to acquire and deploy tools, services, and capabilities to increase DOT’s compliance in these areas. The Secure Remote Access enterprise service will be enhanced to address specific vulnerabilities associated with strong authentication and data protection, and to enable the mandatory use of PIV smart cards for remote access to DOT networks by mobile workers.

In many cases, vulnerabilities are identified on an ad hoc basis, often based on activities external to DOT. In other cases, new remediation tools or updated standards are released within a budget year. The Cybersecurity appropriation allows the Department to respond to these changes in a more agile, effective way to reduce identified vulnerabilities as soon as possible.

DOT recognizes that many purchases completed in the Cybersecurity appropriation initially can potentially be transferred to other existing funding sources once products and services are operational. The transfer of these purchases will be considered and executed on an investment-level basis.

The DOT OCIO is requesting \$15 million of cyber security funding for FY 2020 to provide necessary resources for DOT to maintain the DOT's cyber security posture. In particular, DOT will focus on:

- Maintenance, replacement and expansion of enterprise server infrastructure supporting CDM for those elements not already transitioned to the Working Capital Fund.
  - Incremental support to the Department's NARM initiative.
  - Implementation and maintenance of authentication, and credential and privilege management capabilities.
  - Continued operations and maintenance of cybersecurity related infrastructure procured through this appropriation until they are successfully transitioned to the Working Capital Fund.
- Investment, as needed, to address critical cybersecurity risks and evolving threats to DOT systems and networks.

**What benefits will be provided to the American public through this request and why is this program necessary?**

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As reports in the media have highlighted, cyber threats continue to evolve and propagate at a pace faster than most entities, including DOT, can respond, covering the entire spectrum of network, web application, desktop, mobile, and, now, Internet-of-things infrastructures. The Cybersecurity appropriation not only continues to serve to support improvements to the core DOT Cybersecurity program through implementation of the NIST CSF, but also updates the DOT enterprise IT infrastructure to mitigate immediate threats and vulnerabilities to critical business operations and ensure the resiliency and availability of stakeholder-facing services. The resulting improvements will ensure improved reliability of services, greater integrity of information and services delivered by DOT, and protection of the information that stakeholders and the public provide to DOT as part of its normal operations, all with a reduced focus on reactive efforts and an increased focus on proactive, efficient mission-sustaining activities and resilience.

**OFFICE OF THE SECRETARY OF TRANSPORTATION****NATIONAL SURFACE TRANSPORTATION INNOVATIVE FINANCE BUREAU**

(\$000)

<b><u>FUNDING LEVELS</u></b>	<b>FY 2018 Actual</b>	<b>FY 2019 Annualized CR</b>	<b>FY 2019 Enacted</b>	<b>FY 2020 Request</b>
Personnel Compensation and Benefits	\$ 1,573	\$ 1,573	\$ 2,370	\$ 2,824
Travel	20	20	20	75
Other Costs	1,407	1,407	2,610	1,101
Programs	-	-	-	-
<b>TOTAL</b>	<b>\$ 3,000</b>	<b>\$ 3,000</b>	<b>\$ 5,000</b>	<b>\$ 4,000</b>

**STAFFING**

Direct Positions	7	12	12	16
Direct FTEs	7	12	12	14
Reimbursable Positions	0	0	0	0
Reimbursable FTE	0	0	0	0

**Appropriations Language****NATIONAL SURFACE TRANSPORTATION AND INNOVATIVE FINANCE BUREAU**

For necessary expenses of the National Surface Transportation and Innovative Finance Bureau as authorized by 49 U.S.C. 116, \$4,000,000, to remain available until expended.

**Program and Performance Statement**

The resources in this account support the expenses of the National Surface Transportation and Innovative Finance Bureau (the Build America Bureau or Bureau). The Bureau fulfills a number of responsibilities, including the following: providing assistance and communicating best practices and financing and funding opportunities to entities eligible under DOT infrastructure finance programs; administering the application process for DOT infrastructure finance programs; administering the application process for the Infrastructure for Rebuilding America (INFRA) grant program; reducing uncertainty and delays related to environmental reviews and permitting, as well as project delivery and procurement risks, and costs for projects financed by the DOT infrastructure finance programs and INFRA; increasing transparency and the public availability of information regarding projects financed by the DOT infrastructure finance programs and INFRA; and promoting best practices in procurement for projects financed by the DOT infrastructure finance programs and the INFRA program by developing benchmarks related to procurement. The Budget proposes to consolidate the Maritime Guaranteed Loan (Title XI) program under the Bureau, including open loans.

## **Detailed Justification for the National Surface Transportation and Innovative Finance Bureau**

### **What Is This Program and What Does This Funding Level Support?**

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Among the provisions included in the FAST Act was the establishment of the National Surface Transportation and Innovative Finance Bureau (referred to as the Build America Bureau or the Bureau), within the Office of the Under Secretary of Transportation for Policy. The Bureau facilitates targeted federal investments in infrastructure by streamlining the U.S. Department of Transportation's (DOT) innovative finance programs. The Bureau provides technical assistance and facilitates innovative best practices focused on expediency in procurement, environmental review, permitting, project delivery, and monitoring. The Bureau provides expert advice on project finance policy issues that require expertise in innovative finance initiatives, public-private partnerships (P3s), concession agreements, and accelerating large transportation projects.

The Bureau directly supports efforts to rebuild and modernize the Nation's transportation infrastructure by leveraging State, local, and private funds. The Bureau currently manages a loan portfolio of over \$32 billion, and has supported over \$117 billion in overall project costs, including over 40 projects that are still under construction, and expects to close at least \$3 billion in project loans annually going forward. One dollar of TIFIA subsidy can be leveraged into approximately \$40 in total infrastructure investments.

Pursuant to the FAST Act, the Bureau is managed by an Executive Director reporting to the Under Secretary of Transportation for Policy. The FAST Act also established a new Council on Credit and Finance (the Council) chaired by the Deputy Secretary, which is charged with the review and approval of innovative finance applications, making recommendations to the Secretary, and reviewing approved projects on a regular basis. The Bureau's expert analyses directly support the ongoing work of the Council.

The Bureau fulfills a number of specific responsibilities that are critical to the financing and funding of transportation infrastructure, including the following:

- Provide one-stop technical assistance to help project sponsors navigate the regulatory and financing process more efficiently.
- Develop new products and services to expand utilization of DOT credit programs to rural and non-traditional borrowers and states that have not historically sought DOT financial assistance.
- Provide long-term loans with attractive rates and terms that are a critical component of many large transportation infrastructure project financings, including most P3s.
- Provide assistance and communicate best practices and financing and funding opportunities to entities eligible under DOT infrastructure finance programs.
- Develop and promote best practices for innovative financing and P3s, which aligns infrastructure development with entities best suited to provide sustained and efficient investment.



- Administer the DOT infrastructure finance programs, including the implementation of strategies to expedite access to financing and funding.
- Increase transparency and the public availability of information regarding projects financed by the Department’s infrastructure finance programs; and Promote best practices in procurement for projects financed by the Department’s infrastructure finance programs by developing benchmarks related to procurement.

The FY 2020 Budget also proposes to move the administration of the Federal Ship Financing Program (Title XI) from the Maritime Administration to the Bureau. The Budget does not provide additional budget authority for this program, but the Administration of existing loan guarantees portfolio can benefit from the guidance and oversight of the Bureau in mitigating defaults and improving the process for modeling of the risk to the Federal Government.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to Working Capital Fund, as well as an estimated 14 FTEs and associated costs.

**What Benefits Will Be Provided to the American Public through this Request and Why is the Program Necessary?**

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The work of the Bureau provides financing that is important for modernization of the nation’s inventory of transportation infrastructure. The Bureau provides efficient processing of private, state and local requests for DOT financing assistance, which leverages state, local, and private funds; accelerates national infrastructure construction; and increases the number of infrastructure projects that are built. The Bureau’s customer-focused approach to infrastructure financing and funding supports responsible stewardship of taxpayer funds. The Bureau advances the development and streamlined delivery of projects in the highway, rail, transit, and port sectors, which significantly increases national economic development. The Bureau is developing products and strategies aimed at improving access to DOT credit programs for rural communities, smaller borrowers and new states/municipalities to increase the depth of the loan portfolio. Additionally, the Bureau’s infrastructure finance expertise drives the formulation and promotion of new and innovative strategies to address the nation’s critical infrastructure needs, including promotion of programs and projects that attract private sector capital through P3s.

**OFFICE OF THE SECRETARY OF TRANSPORTATION**

**RESEARCH & TECHNOLOGY**

(\$000)

<b><u>FUNDING LEVELS</u></b>	<b>FY 2018 Actual</b>	<b>FY 2019 Annualized CR</b>	<b>FY 2019 Enacted</b>	<b>FY 2020 Request</b>
Personnel Compensation and Benefits	\$ 2,860	\$ 3,060	\$ 3,060	\$ 3,087
Travel	91	91	91	68
Other Costs	2,896	2,696	3,102	1,627
Programs	17,618	17,618	2,218	17,218
<b>TOTAL</b>	<b>\$ 23,465</b>	<b>\$ 23,465</b>	<b>\$ 8,471</b>	<b>\$ 22,000</b>

**STAFFING**

Direct Positions	15	20	20	20
Direct FTEs	15	17	17	17
Reimbursable Positions	31	35	35	35
Reimbursable FTE	30	35	35	35

**Appropriations Language**

**RESEARCH AND TECHNOLOGY**

For necessary expenses related to the Office of the Assistant Secretary for Research and Technology, \$22,000,000, of which \$2,218,000 shall remain available until September 30, 2022, and of which \$15,000,000, to remain available until September 30, 2022, shall be for activities related to monitoring the performance of the Global Positioning System civil signals: *Provided*, That there may be credited to this appropriation, to be available until expended, funds received from States, counties, municipalities, other public authorities, and private sources for expenses incurred for training: *Provided further*, That any reference in law, regulation, judicial proceedings, or elsewhere to the Research and Innovative Technology Administration shall continue to be deemed to be a reference to the Office of the Assistant Secretary for Research and Technology of the Department of Transportation.

### **Program and Performance Statement**

This appropriation is responsible for facilitating and reviewing the Department of Transportation's (DOT) research, development, and technology portfolio, as well as enhancing the data collection and statistical analysis programs to support data-driven decision-making. The program activities are also responsible for Positioning, Navigation, and Timing (PNT) technology, PNT policy coordination, and spectrum management.

This appropriation oversees and provides direction to the following programs and activities:

The Bureau of Transportation Statistics (BTS) manages and shares statistical knowledge and information on the Nation's transportation systems, including statistics on freight movement, geospatial transportation information, and transportation economics. BTS is funded by an allocation from the Federal Highway Administration's Federal-Aid Highways account.

The University Transportation Centers (UTC) advance U.S. technology and expertise in many transportation-related disciplines through grants for transportation education, research, and technology transfer at university-based centers of excellence. The UTC Program funding is provided to the Office of the Assistant Secretary for Research and Technology through an allocation from the Federal Highway Administration.

The John A. Volpe National Transportation Systems Center (Cambridge, MA) provides expertise in research, analysis, technology deployment, and other technical knowledge to DOT and non-DOT customers on specific transportation system projects or issues on a fee-for-service basis.

The Transportation Safety Institute (Oklahoma City, OK) develops and conducts safety, security, and environmental training, products, and services for both the public and private sector on a fee-for-service and tuition basis.

## **Detailed Justification for the Office of the Assistant Secretary for Research and Technology**

### **What Is This Program And What Does This Funding Level Support?**

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The Office of the Assistant Secretary for Research and Technology (OST-R) coordinates research and technology transfer (T2) across the Department to leverage and maximize the approximately \$1 billion annual investment in transportation research, development, and technology (RD&T) activities across all Department of Transportation Operating Administrations and Secretarial Offices. The Assistant Secretary for OST-R ensures that the Secretary's innovation priorities and policies are implemented across the Department and leads a range of cross-modal research initiatives to address strategic Department-wide goals. OST-R also leads and administers the Department's multimodal statistics and data programs, and University Transportation Center (UTC) grants; and oversees the work of related fee-for-service organizations.

The mission of OST-R is to transform transportation by expanding the base of knowledge to make America's transportation system safer, more competitive and innovative. To do this we:

- Advance innovation, technology development, and breakthrough knowledge;
- Conduct research and facilitate multimodal research collaboration;
- Foster T2 through partnerships within the Department and with external partners;
- Provide useful information and statistics to decision-makers as they create policy and address policy-related issues; and,
- Develop a highly-skilled, interdisciplinary transportation workforce for the nation.

OST-R works across the Department and collaborates with other Federal agencies, State and local governments, industry, universities, stakeholder organizations, transportation professionals, system owners and operators and international partners. OST-R supports the Department's strategic priorities by providing advice to policymakers concerning the research needed to achieve goals and priorities, identifying gaps in research and executing multimodal research, engineering and T2.

### **Research and Technology (R&T)**

OST-R's organizational performance is measured by its ability to provide high-quality cross-modal results in strategic research planning, program management, and program support services. The requested funding will allow the R&T Program to continue its congressionally-mandated primary mission of coordinating the Department's research portfolio across the Operating Administrations, actively pursuing technology transfer agreements and activities, and engaging in research collaborations with other federal agencies that support Secretarial priorities.

This program manages and conducts congressionally-mandated strategic planning, coordination, facilitation, and review for all Departmental research, development and

technology activities; and coordinates research and engineering work on cross-modal topics including connected/automated vehicles; positioning, navigation, and timing; and radiofrequency spectrum management to ensure collaborative, non-duplicative efforts on research that benefits all modes. The coordination and leadership that R&T provides are pivotal to ensuring the most efficient and effective application of the Department’s research investments and results.

R&T directly addresses the Secretary’s Innovation priority goals and indirectly impacts the achievement of the Secretary’s safety and infrastructure goals, by working across all Operating Administrations (OAs) to ensure that research investments are directly aligned with Secretarial priorities. For example, R&T is responsible for coordinating the collection and tracking of Department-wide performance measures to evaluate progress towards the Secretary’s strategic innovation objectives. R&T programs identify synergies, gaps and opportunities to apply research cross-modally, which prevents the duplication of research efforts and waste of Federal resources. R&T is DOT’s primary facilitator of T2, maximizing the impact of Federal research investments by accelerating the deployment of new technologies and practices. This program also awards research funding to small businesses to enhance their potential for product commercialization.

*Explanation of R&T programs:*

**Research, Development and Technology (RD&T) Coordination Program** works to optimize the effective use of Department-wide research resources, ensure that the Department’s research activities are coordinated with the wider transportation research community and eliminate potentially duplicative research activities. Specific duties include:

- executing strategic research planning and Department-wide research budget development;
- aligning Departmental research with policy objectives;
- addressing Department-wide legislative research mandates;
- evaluating progress on the Secretary’s strategic innovation objectives by collecting and tracking Department-wide research performance measures;
- identifying and leading cross-modal research initiatives in partnership with DOT Operating Administrations, industry and academia;
- implementing best practices in innovation development and deployment across the Department’s OAs; and
- ensuring transparency and public access to the Department’s research portfolio and products, and to the datasets generated by that research.

**Technology Transfer (T2) Program** activities focus on leveraging the Department’s research products to facilitate commercialization and subsequent “real world” benefits. The program works with the DOT OAs and external stakeholders to assist them in understanding and implementing best practices in research product development and deployment and in building technology transfer mechanisms into research planning early in the process. The program supports OST-R’s overall RD&T coordination mission and is responsible for tracking Department-wide progress on the “Development and Deployment of Innovation” strategic objectives.

**USDOT Research Hub** is a web-based, publicly available centralized repository of project records from USDOT-sponsored research, development, and technology projects. The USDOT Research

Hub is designed to track the lifecycle of USDOT research projects through outputs, outcomes, and “real world” impacts, thus providing the ability to demonstrate and evaluate the value of the Department’s research investment to the nation’s transportation system. This critical information is used as the basis for OST-R’s research coordination and collaboration mission. The Research Hub is also used to ensure RD&T portfolio transparency, track progress towards the achievement of the Secretary’s Innovation goal, and meet the FAST Act requirement for maintaining a Consolidated Research Database.

***Automated Vehicles and Related Technologies (AV&RT) Program*** works with Federal and non-Federal stakeholders on infrastructure and system solutions to cost-effectively and safely accelerate the deployment of automated vehicles and related technologies (AV&RT) across all modes of transportation. OST-R’s coordination efforts are focused on the reduction of duplicative efforts in this field and aim to ensure taxpayer dollars are fully leveraged where synergies and complementary strategies become apparent. For example, the Automated, Connected, Efficient and Shared (ACES) Mobility Research Initiative, a joint initiative with the U.S. Department of Energy (DOE), ensures that the AV research efforts of both Departments are fully coordinated so that the skills, facilities, and research resources of both Departments can be applied in a complimentary and cost-effective fashion to meet both Department’s strategic goals.

***Positioning, Navigation and Timing (PNT) and Spectrum Management*** leads the Federal role coordinating civil sector PNT requirements and represents the civil departments and agencies in the development, acquisition, management, and operations of the Global Positioning System (GPS). The Secretary of Transportation is assigned this role by National Security Presidential Directive (NSPD-39 “U.S. Space-Based Position, Navigation, and Timing Policy”), and the program includes all civil federal, state and local government needs for services of GPS and its augmentations, as well as all private sector GPS uses and requirements.

The Secretary’s role also includes ensuring that GPS public safety services meet or exceed international performance standards, and promoting the use of GPS services for transportation safety. Further, the Secretary ensures protection of GPS and other spectrum-based safety-of-life transportation (i.e., communications, navigation, and surveillance) capabilities from harmful interference.

FY 2020 funding will be used to complete coordination of the 2019 *Federal Radionavigation Plan* (FRP), and to begin development of the 2022 FRP. The FRP is developed biennially by DOT in conjunction with the Departments of Defense and Homeland Security, and is required by the 1998 National Defense Authorization Act (NDAA). The FRP is signed by the Secretaries of Transportation, Defense, and Homeland Security and reflects national policies and plans for U.S. government radionavigation systems. The FRP is used as a reference document both nationally and internationally.

FY 2020 funding supports continuing implementation of the FY 2017 and FY 2018 NDAA mandates focused on evaluating and demonstrating of GPS backups and complementary PNT technologies to ensure PNT resiliency. Funding will also support the implementation of the DOT Strategic Spectrum Plan to evaluate innovative technologies to ensure safety, while improving spectrum sharing and efficiency.

### **GPS Civil Signal Monitoring – Air Force**

In accordance with NSPD-39, USDOT provides resources to the U.S. Air Force for assessment, development, acquisition, implementation, operation, and sustainment of additional designated GPS civil capabilities beyond the second and third civil signals (L2C and L5) already contained in the current U.S. Air Force GPS program.

Consistent with this policy, DOT will provide funding for implementation of unique civil signal performance monitoring requirements in the GPS Next Generation Operational Control System (OCX). These requirements are a subset of the overall civil signal performance monitoring requirements, as defined in the GPS Civil Monitoring Performance Specification (CMPS). Implementation of the GPS civil signal performance monitoring requirements involves systems engineering, hardware development, software coding, integration, test, verification, worldwide deployment of hardware/software, transition to operations and sustainment, and acceptance of CMPS requirements.

The General Fund appropriation supports OST-R's R&T program and associated administrative staff. The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; (3) adjustments to GSA rent; and (4) adjustments to Working Capital Fund, and an estimated 17 FTEs and associated costs.

### **What benefits will be provided to the American Public through this request and why is this program necessary?**

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The Department-wide research coordination function is driven by OST-R. The R&T mission is to coordinate, collaborate, and maximize the effectiveness of the DOT research portfolio as well as to enhance the data collection and statistical analysis programs supporting data-driven decision-making across the Department. R&T underpins this mission by coordinating collaboration across the Department and with partners from other Federal agencies, State and local governments, industry, universities, stakeholder organizations, transportation professionals, system operators and international partners. R&T's coordination efforts optimize and ensure the effective use of limited research resources, eliminate potentially redundant or duplicative research, and allow the Nation's transportation research enterprise to move forward in a coherent fashion.

#### *Explanation of Fee-For-Service Organizations:*

**Transportation Safety Institute (TSI; Oklahoma City, OK)** provides transportation safety and security training to Federal, State and local governments, the private sector, and foreign transportation professionals on a cost-recovery ("fee-for-service") basis.

**John A. Volpe National Transportation Systems Center (Volpe Center; Cambridge, MA)** advances cross-modal technical, operational, institutional and managerial innovations to improve the Nation's transportation system. The Volpe Center employs multidisciplinary expertise in all modes of transportation and serves its sponsor agencies within the Department, at other Federal

agencies and internationally with advanced technologies, research, and engineering programs to ensure a safe, efficient, accessible, and convenient transportation system. The Volpe Center operates on a cost-recovery (“fee-for-service”) basis.

*Explanation of Allocation Accounts:*

**Bureau of Transportation Statistics (BTS)**

BTS was established to collect, analyze, and disseminate transportation-related information to inform policy issues requiring a cross-modal, system-wide perspective. The BTS Director is designated as the senior advisor to the Secretary on data and statistics by 49 USC 6302(b). BTS is a designated principal Federal statistical agency established in 49 USC Chapter 63 to serve the transportation community, including all levels of government and the private sector, by providing independent policy-neutral information that: analyzes safety data and trends; assesses infrastructure usage and condition; enables infrastructure and operational investment planning; and supports accountability. BTS employs innovative data collection processes and rigorous economic and statistical analysis to facilitate evidence-based decision-making, and disseminates statistical information and the Department’s research findings to its diverse customers through the Bureau’s National Transportation Library. BTS also maintains a reimbursable Confidential Close Calls Reporting System program.

Our Nation relies on objective, credible statistics to support and inform the decisions of governments, businesses, households, and other organizations. BTS programs provide the Nation with objective, credible transportation statistics, data and tools to assist entities such as the Department, state DOTs, metropolitan planning organizations, transportation authorities, local governments, transportation carriers and shippers in strategically targeting operational and capital investments and allowing them to effectively implement policies in support of the Nation’s transportation infrastructure and operations. BTS data, including indicators of economic activity, are used to target investments in revitalizing and rebuilding airports, freight transportation facilities, and other critical transportation infrastructure. Through the application of statistics and analytical tools, BTS continues to provide transportation and other economic decision-makers trusted resources and provide them with valuable insight on how our transportation system is performing.

This funding allows BTS programs to provide the mechanism for continuous innovation and improvement of data collection, and the analysis that supports improvements in transportation decision-making. Enhanced data collection methods will enable BTS to obtain needed information with reduced burden on American households and businesses.

**FY 2019 Anticipated Accomplishments:**

- Incorporated the results of the Nation’s only freight survey, the Commodity Flow Survey, into the Freight Analysis Framework.
- Developed new statistics for the Port Performance Freight Statistics Program.
- Developed visual and data analytics to support decision-making, as well as release data on new platforms, including mobile applications, web services, and Application Programming Interface (API).



The BTS program is funded through an allocation from the Federal Highway Administration (FHWA) which supports OST-R's BTS program and associated administrative staff. The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; (3) adjustments to GSA rent; and (4) adjustments to Working Capital Fund, and an estimated 55 FTEs and associated costs.

**What benefits will be provided to the American Public through this request and why is this program necessary?**

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Key benefits include, but are not limited to:

- BTS' Commodity Flow Survey data and TransBorder freight data provides foundational data to the Freight Analysis Framework that estimates system-wide freight flow by detailed commodity classification, origin, destination, and mode. Without these estimates, the National Freight Policy and the National Freight Strategic Plan (pursuant to MAP-21 §1115) are not evidence-based. BTS' transportation network data contributes significantly to the development of the National Freight Network (§ 1115), which is critical to targeted investments and the future efficient movement of goods.
- To receive funding under the National Highway Freight Program (23 USC 167), the FAST Act requires each state to develop a state freight plan that comprehensively addresses the state's freight planning activities and investments. BTS' comprehensive freight flow estimates undergird the development of these state freight plans.
- Transportation's key role in the economy is highlighted by BTS statistics such as the Transportation Services Index and Transportation Satellite Accounts. Through these time series indicators, policy makers, investors and planners can understand transportation-based economic trends and the depth of reliance of major economic sectors on transportation.
- The Confidential Close Calls program improves workplace safety by implementing safety management systems and protocols, the results of which are measured through the reduction of serious close call events and by the number of insights on potential safety problems that can be generalized from the program's participants to the broader transportation community.
- The National Transportation Library, established in 49 USC 6309 as part of BTS, leads the implementation of the Department's public access plan, which makes DOT-funded research and supporting data available to and useable by the public, industry, and the scientific community; and catalyzes innovation.

**University Transportation Centers (UTC)**

The UTC Program awards competitive grants to university consortia across the U.S. to advance state-of-the-art transportation research and to develop the next generation of transportation professionals. The UTC program provides DOT with the opportunity to fund advanced, transformative research that it would not otherwise be able to execute, in the environment best suited for such research. The UTCs are also valuable assets for industry and State DOTs, executing research that neither group could conduct themselves and providing each group with new talent on the high end of the workforce scale. To this end, the UTC program advances Departmental

priorities through baseline grant funding for multimodal university-based transportation education, research, and T2.

OST-R receives UTC program funding through an allocation from the FHWA. The costs of coordinating, overseeing and managing the UTC program are funded from an administrative set-aside of 1.5 percent designated by 49 USC 5505(d), supporting the UTC program and associated administrative staff. In FY 2018, OST-R received appropriated funding to support two National Centers to focus on Congestion Relief and Improving the Durability and Extending the Life of Transportation Infrastructure, in addition to those authorized by the FAST Act. It is anticipated that the funds will be awarded in FY 2019.

The fiscal year (FY) 2020 budget request includes baseline changes from the FY 2019 enacted budget for the following items: (1) annualization of the 1.9 percent pay raise for 2019; (2) one additional compensable day in FY 2020; and (3) adjustments to GSA rent; and (4) adjustments to Working Capital Fund, as well as an estimated 5 FTEs and associated costs.

**What benefits will be provided to the American Public through this request and why is this program necessary?**

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Funding the UTC program will result in a safer, more advanced surface transportation system through transformative technologies. The research and technology transfer activities conducted by these centers will ultimately save lives and reduce injuries. The monetary savings impact the public through increased safety of transportation systems and through reduced congestion, more resilient infrastructure, cleaner communities and increased access to multiple modes of transportation.

This program prepares the next generation of transportation leaders and experts to not only deal with today's problems, but also to address the challenges of advancing future technologies and replacing an aging workforce unfamiliar with newer transportation industry technologies.

**OFFICE OF THE SECRETARY OF TRANSPORTATION****Essential Air Service (EAS)  
(Mandatory)**

(\$000)

<b><u>FUNDING LEVELS</u></b>	<b>FY 2018 Actual</b>	<b>FY 2019 Pres. Budget</b>	<b>FY 2020 Request</b>
Personnel Compensation and Benefits	\$ 2,157	\$ 2,257	\$ 2,275
Travel	7	7	7
Other Costs	688	483	1,112
Programs	130,890	142,691	147,130
<b>TOTAL</b>	<b>\$ 133,742</b>	<b>\$ 145,437</b>	<b>\$ 150,524</b>

**STAFFING**

Direct Positions	14	14	14
Direct FTEs	13	14	14
Reimbursable Positions	0	0	0
Reimbursable FTE	0	0	0

The Essential Air Service estimate of overflight fees to be collected by FAA is \$150 million and an estimated 14 FTEs in FY 2020 to accomplish the mission on the pages to follow.

**OFFICE OF THE SECRETARY OF TRANSPORTATION**

**PAYMENTS TO AIR CARRIERS  
(Discretionary)**

**(\$000)**

<b><u>FUNDING LEVELS</u></b>	<b>FY 2018 Actual</b>	<b>FY 2019 Annualized CR</b>	<b>FY 2019 Enacted</b>	<b>FY 2020 Request</b>
Personnel Compensation and Benefits	\$ -	\$ -	\$ -	\$ -
Travel	-	-	-	-
Other Costs	-	-	-	-
Programs	155,000	155,000	175,000	125,000
<b>TOTAL</b>	<b>\$ 155,000</b>	<b>\$ 155,000</b>	<b>\$ 175,000</b>	<b>\$ 125,000</b>

**STAFFING**

Direct Positions	0	0	0	0
Direct FTEs	0	0	0	0
Reimbursable Positions	0	0	0	0
Reimbursable FTE	0	0	0	0

**Appropriations Language**

**PAYMENTS TO AIR CARRIERS  
(AIRPORT AND AIRWAY TRUST FUND)**

In addition to funds made available from any other source to carry out the essential air service program under 49 U.S.C. 41731 through 41742, \$125,000,000, to be derived from the Airport and Airway Trust Fund, to remain available until expended: *Provided*, That basic essential air service minimum requirements shall not include the 15-passenger capacity requirement under section 41732(b)(3) of title 49, United States Code: *Provided further*, That amounts authorized to be distributed for the essential air service program under section 41742(b) of title 49, United States Code, shall be made available immediately from amounts otherwise provided to the Administrator of the Federal Aviation Administration: *Provided further*, That the Administrator may reimburse such amounts from fees credited to the account established under section 45303 of title 49, United States Code.

### **Program and Performance Statement**

Through 1997, the Essential Air Service (EAS) program was funded from the Airport and Airway Trust Fund. Starting in 1998, the Federal Aviation Administration reauthorization funded it as a mandatory program supported by overflight fees under the EAS and Rural Airport Improvement Fund. In addition to mandatory funding supported by overflight fees, direct appropriations from the Airport and Airway Trust Fund to Payments to Air Carriers have been enacted every year beginning in 2002 to meet the needs of the essential air service program. The 2020 Budget proposes to reform the EAS program to ensure Federal funds are efficiently targeted at the communities most in need. The reforms include limits to eligibility (only those currently receiving subsidized EAS) and limitations to the waivers for per-passenger subsidies for communities that are within 210 miles of the nearest large/medium hub airport.

## Detailed Justification for the Essential Air Service (EAS) Program

### What is this program and what does this funding level support?

The EAS program was established at the time the Airline Deregulation Act (ADA) passed in 1978. Under the Act, small and more isolated communities were assured that, for ten years, they would continue to receive scheduled service to a hub airport -- by federally subsidized flights if necessary. (The program was later extended for another ten years, and ultimately made permanent.)

In the FY 2012 DOT Appropriations Act, (PL 112–55), Congress first capped the program in the contiguous states and Puerto Rico. Congress subsequently affirmed that provision in the FAA Modernization and Reform Act (P.L.112-95). Currently, about 173 communities across the country, including 61 in Alaska receive subsidized scheduled air service.

Below is a historical list of the annual EAS budget and the number of communities subsidized:

Year	# of Communities	Budget in Millions	Average Subsidy per Community in Millions
1996	97	22.6	.23
1997	95	25.9	.27
1998	101	50.0	.50
1999	100	50.0	.50
2000	106	50.0	.47
2001	115	50.0	.43
2002	123	113.0	.92
2003	126	101.8	.81
2004	140	101.7	.73
2005	146	101.6	.70
2006	152	109.4	.72
2007	147	109.4	.74
2008	146	109.4	.75
2009	153	138.4	.90
2010	159	200.0	1.26
2011	155	199.7	1.29
2012	163	215.5 <sup>1</sup>	1.32
2013	160	255.0 <sup>2</sup>	1.59
2014	160	268.0	1.68
2015	169	263.0	1.56
2016	177	278.0 <sup>3</sup>	1.57
2017	177	254.0	1.44
2018	173	286.0	1.65

<sup>1</sup> Includes \$22.5 million unobligated balance of Payments to Air Carriers funding carried forward into FY 2012.

<sup>2</sup> Includes unobligated balance of Payments to Air Carriers funding carried forward into FY 2013, prior year recoveries and transfers from other OST programs.

<sup>3</sup> Enacted amount

In October 2014, the Department issued a notice of enforcement policy that announced how the Department intends, going forward, to enforce compliance with the requirements of the Department of Transportation and Related Agencies Appropriations Act, 2000, which prohibits the Department from subsidizing EAS to communities located within the 48 contiguous States receiving per passenger subsidy amounts exceeding \$200, unless the communities are located more than 210 miles from the nearest large or medium hub airport. In addition, communities not in Alaska and Hawaii that are within 175 miles of the nearest large or medium hub airport are required to maintain 10 enplanements per service day. In September 2017, using data from FY 2016, the Department issued an order terminating Jamestown, NY from the program for failure to comply with the statutory requirements.

Joplin, MO will no longer be subsidized as of March 2019 because the carrier serving the community stated it would serve it at no federal subsidy at the end of the current contract.

In addition to enforcement of existing compliance requirements, the Department has proposed new reform policies to take effect in FY 2020. The proposal includes several reforms which, either stand-alone or combined, would create the amount of savings necessary to operate under the requested \$276 million budget.

The proposed reforms include limiting EAS eligibility to communities currently receiving subsidized service and eliminating options for non-eligible communities. The proposal also includes reforms to existing requirements by increasing the \$200 subsidy-per-passenger cap to \$250, but removing the waiver petition.

**What benefits will be provided to the American public through this request and why is this program necessary?**

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Eligible communities will continue to receive subsidized scheduled air service. A table follows on the next page showing all subsidized EAS communities as of December 1, 2018, at annual subsidy rates as proposed by the carrier and awarded by the Department.

Section 3 – FY 2020 Budget Request by Appropriation

				<b>Annual contract</b>
	<b>Non-</b>			<b>Subsidy rates</b>
<b>AK</b>	<b>AK</b>	<b>State</b>	<b>EAS Community</b>	<b>Dec. 1, 2018</b>
1		AK	Adak	\$2,907,935
1		AK	Akhiok	\$238,460
1		AK	Akutan	\$890,001
1		AK	Alitak	\$38,408
1		AK	Amook Bay	\$38,408
1		AK	Angoon	\$303,298
1		AK	Atka	\$1,032,163
1		AK	Central	\$162,474
1		AK	Chignik	\$362,099
1		AK	Chignik Lake	\$362,099
1		AK	Chisana	\$96,810
1		AK	Circle	\$162,474
1		AK	Clark's Point	\$120,978
1		AK	Cordova	\$3,107,161
1		AK	Diomedede*	\$190,476
1		AK	Egegik	\$386,567
1		AK	Ekwok	\$106,380
1		AK	Elfin Cove	\$124,795
1		AK	Excursion Inlet	\$35,408
1		AK	False Pass	\$228,927
1		AK	Gulkana	\$206,128
1		AK	Gustavus	\$776,790
1		AK	Healy Lake	\$113,203
1		AK	Hydaburg	\$195,319
1		AK	Igiugig	\$207,212
1		AK	Kake	\$267,013
1		AK	King Cove	\$658,933
1		AK	Kitoi Bay	\$38,408
1		AK	Koliganek	\$314,029
1		AK	Lake Minchumina	\$118,668
1		AK	Levelock	\$188,636
1		AK	Manley	\$43,333
1		AK	Manokotak	\$308,849
1		AK	May Creek	\$130,964
1		AK	McCarthy	\$130,964
1		AK	McGrath	\$245,124
1		AK	Minto	\$43,333
1		AK	Moser Bay	\$38,408
1		AK	New Stuyahok	\$103,877
1		AK	Nikolski	\$325,139
1		AK	Olga Bay	\$38,408
1		AK	Pelican	\$348,103
1		AK	Perryville	\$647,373
1		AK	Petersburg	\$470,525
1		AK	Pilot Point	\$220,310
1		AK	Port Alexander	\$99,364



Section 3 – FY 2020 Budget Request by Appropriation

				<b>Annual contract</b>
	<b>Non-</b>			<b>Subsidy rates</b>
<b>AK</b>	<b>AK</b>	<b>State</b>	<b>EAS Community</b>	<b>Dec. 1, 2018</b>
1		AK	Port Bailey	\$38,408
1		AK	Port Heiden	\$491,662
1		AK	Port Williams	\$38,408
1		AK	Seal Bay	\$38,408
1		AK	South Naknek	\$143,791
1		AK	St. George	\$888,787
1		AK	Tatitlek	\$102,779
1		AK	Tenakee	\$152,127
1		AK	Twin Hills	\$233,103
1		AK	Uganik	\$38,408
1		AK	Ugashik	\$220,310
1		AK	West Point	\$38,408
1		AK	Wrangell	\$470,525
1		AK	Yakutat	\$3,107,161
1		AK	Zachar Bay	\$38,408
	1	AL	Muscle Shoals	\$2,778,811
	1	AR	El Dorado/Camden	\$2,306,627
	1	AR	Harrison	\$2,397,188
	1	AR	Hot Springs	\$2,378,312
	1	AR	Jonesboro	\$2,040,947
	1	AZ	Page	\$4,398,924
	1	AZ	Prescott	\$3,983,055
	1	AZ	Show Low	\$1,673,267
	1	CA	Crescent City	\$3,310,503
	1	CA	El Centro	\$2,488,824
	1	CA	Merced	\$3,249,944
	1	CO	Alamosa	\$2,891,307
	1	CO	Cortez	\$3,579,703
	1	CO	Pueblo	\$2,548,067
	1	GA	Macon	\$4,687,979
	1	HI	Hana	\$114,099
	1	HI	Kamuela	\$377,584
	1	IA	Burlington	\$2,439,963
	1	IA	Fort Dodge	\$2,949,904
	1	IA	Mason City	\$2,949,904
	1	IA	Waterloo	\$1,727,411
	1	IL	Decatur	\$2,915,273
	1	IL	Marion/Herrin	\$2,954,596
	1	IL	Quincy/Hannibal, MO	\$2,659,328
	1	KS	Dodge City	\$3,621,182
	1	KS	Garden City	\$873,861
	1	KS	Hays	\$3,123,573
	1	KS	Liberal/Guymon, OK	\$3,747,998
	1	KS	Salina	\$2,995,087
	1	KY	Owensboro	\$2,107,191
	1	KY	Paducah	\$2,787,695
	1	MD	Hagerstown	\$1,785,638

Section 3 – FY 2020 Budget Request by Appropriation

				<b>Annual contract</b>
	<b>Non-</b>			<b>Subsidy rates</b>
<b>AK</b>	<b>AK</b>	<b>State</b>	<b>EAS Community</b>	<b>Dec. 1, 2018</b>
	1	ME	Augusta/Waterville	\$2,068,605
	1	ME	Bar Harbor (Labor Day to Memorial Day)	\$1,831,275
		ME	Bar Harbor (Memorial Day to Labor Day)	\$1,399,714
	1	ME	Presque Isle/Houlton	\$4,780,955
	1	ME	Rockland	\$2,218,126
	1	MI	Alpena	\$2,404,327
	1	MI	Escanaba	\$2,832,133
	1	MI	Hancock/Houghton	\$2,024,076
	1	MI	Iron Mountain/Kingsford	\$3,924,019
	1	MI	Ironwood/Ashland, WI	\$3,513,814
	1	MI	Manistee/Ludington	\$2,990,575
	1	MI	Muskegon	\$2,608,523
	1	MI	Pellston	\$1,346,679
	1	MI	Sault Ste. Marie	\$1,998,416
	1	MN	Bemidji	\$1,309,684
	1	MN	Brainerd	\$1,653,672
	1	MN	Chisholm/Hibbing	\$2,792,813
	1	MN	International Falls	\$3,274,852
	1	MN	Thief River Falls	\$3,350,312
	1	MO	Cape Girardeau/Sikeston	\$2,984,760
	1	MO	Fort Leonard Wood	\$3,182,419
	1	MO	Joplin	\$839,513
	1	MO	Kirksville	\$2,049,324
	1	MS	Greenville	\$2,792,256
	1	MS	Laurel/Hattiesburg	\$3,066,327
	1	MS	Meridian	\$3,265,490
	1	MS	Tupelo	\$3,932,032
	1	MT	Butte	\$881,665
	1	MT	Glasgow	\$2,194,011
	1	MT	Glendive	\$2,132,813
	1	MT	Havre	\$2,212,162
	1	MT	Sidney	\$4,124,531
	1	MT	West Yellowstone	\$580,957
	1	MT	Wolf Point	\$2,327,384
	1	ND	Devils Lake	\$3,935,087
	1	ND	Dickinson	\$3,650,000
	1	ND	Jamestown (ND)	\$2,688,493
	1	NE	Alliance	\$2,273,850
	1	NE	Chadron	\$2,066,589
	1	NE	Grand Island	\$907,348
	1	NE	Kearney	\$3,675,276
	1	NE	McCook	\$2,462,456
	1	NE	North Platte	\$3,575,926
	1	NE	Scottsbluff	\$3,152,294
	1	NH	Lebanon/White River Jct.	\$3,602,667
	1	NM	Carlsbad	\$3,041,207
	1	NM	Clovis	\$4,281,129
	1	NM	Silver City/Hurley/Deming	\$3,368,032

Section 3 – FY 2020 Budget Request by Appropriation

				<b>Annual contract</b>
	<b>Non-</b>			<b>Subsidy rates</b>
<b>AK</b>	<b>AK</b>	<b>State</b>	<b>EAS Community</b>	<b>Dec. 1, 2018</b>
	1	NY	Massena	\$2,870,608
	1	NY	Ogdensburg	\$2,721,962
	1	NY	Plattsburgh	\$3,371,895
	1	NY	Saranac Lake/Lake Placid	\$2,045,854
	1	NY	Watertown (NY)	\$3,949,646
	1	OR	Pendleton	\$2,273,823
	1	PA	Altoona	\$2,544,280
	1	PA	Bradford	\$2,364,885
	1	PA	DuBois	\$3,199,007
	1	PA	Franklin/Oil City	\$1,678,111
	1	PA	Johnstown	\$3,163,097
	1	PA	Lancaster	\$2,504,174
	1	PR	Mayaguez	\$1,550,803
	1	SD	Aberdeen	\$1,389,795
	1	SD	Pierre	\$4,651,586
	1	SD	Watertown (SD)	\$2,406,155
	1	TN	Jackson	\$1,884,399
	1	TX	Victoria	\$3,328,207
	1	UT	Cedar City	\$2,645,932
	1	UT	Moab	\$3,991,840
	1	UT	Vernal	\$3,097,656
	1	VA	Staunton	\$2,992,903
	1	VT	Rutland	\$1,688,609
	1	WI	Eau Claire	\$2,464,972
	1	WI	Rhineland	\$1,714,307
	1	WV	Beckley	\$2,827,968
	1	WV	Clarksburg/Fairmont	\$2,850,452
	1	WV	Greenbrier/W. Sulphur Sps	\$3,994,423
	1	WV	Morgantown	\$3,128,256
	1	WV	Parkersburg/Marietta, OH	\$2,134,573
	1	WY	Cody	\$850,000
	1	WY	Laramie	\$2,113,774
61	111			<b>\$320,020,691</b>
* Service to Diomedes subsidized through 49 USC 41736 Air Transportation to Noneligible Places (through June 30, 2020)				
			Annual Subsidy @ 100% completion	\$320,020,691
			S&E	<u>\$2,300,000</u>
			Burn Rate @ Dec. 1, 2018	\$322,320,691
			<u>Plus expected increases (decreases) - estimated:</u>	
			Akutan	\$834,961
	-1		Joplin	(\$839,513)
<b>61</b>	<b>110</b>		<b>EAS Totals</b>	
			<b>Adjusted Burn Rate @ Dec. 1</b>	<b>\$322,316,139</b>

Reforms (\$250 cap)

	<b>Annual contract</b>	<b>Reformed</b>	
	<b>Subsidy rates</b>	<b>Subsidy rates</b>	
	<b><u>Dec. 1, 2018</u></b>	<b><u>Dec. 1, 2018</u></b>	<b><u>Savings</u></b>
	<b>\$320,020,691</b>	<b>\$281,089,994</b>	<b>\$38,930,697</b>
S&E	<u>\$2,300,000</u>	<u>\$2,300,000</u>	
Burn Rate @ Dec. 1, 2018	\$322,320,691	\$283,389,994	
<u>Plus expected increases (decreases) -</u>			
<u>estimated:</u>			
Akutan	\$834,961	\$834,961	
Joplin	(\$839,513)	(\$839,513)	
<b>Adjusted Burn Rate @ Dec. 1</b>	<b>\$322,316,139</b>	<b>\$283,385,442</b>	<b>\$38,930,697</b>

# OFFICE OF THE SECRETARY OF TRANSPORTATION

## Working Capital Fund

### FY 2020 WORKING CAPITAL FUND BUDGET REQUEST (\$000)

<u>Program</u>	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2019 Enacted	FY 2020 Request
WCF DOT Activities	\$ 202,245	\$ 202,245	\$ 203,883	\$ 205,912
WCF Shared Services	0	0	115,910	218,989
WCF Non-DOT Activities	321,022	321,022	321,257	299,483
Total	<u>\$ 523,267</u>	<u>\$ 523,267</u>	<u>\$ 641,050</u>	<u>\$ 724,384</u>

#### Staffing

Reimbursable Positions	307	242	242	342
Reimbursable FTE	228	242	242	342

### Appropriations Language WORKING CAPITAL FUND

Any Working Capital Fund limitation shall not apply to the Department's Information Technology, Human Resources, or Acquisition shared services consolidation of functions.

#### Program and Performance Statement

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

The Department's shared services initiative will improve mission delivery in acquisition, human resources, and information technology by consolidating separate, overlapping, and duplicative processes and functions. As a key part of this effort, the Department is currently embarking upon a more modern, centralized approach to IT investment and management through the use of shared services. In FY 2020, the Department will continue consolidating its commodity IT and begin to coordinate programmatic applications across operating administrations. Utilizing shared services will enable the Department to improve cybersecurity, increase efficiencies, and improve transparency in IT spending.

## **What Is This Program and What Does This Funding Level Support?**

The Working Capital Fund (WCF) is a fee-for-service operation that normally receives no direct appropriation; its costs are paid by its customers. In Fiscal Year (FY) 2020, the WCF estimates \$724.384 million in obligations, 342 positions, and 342 FTEs in this request, including \$219 million to continue the Department's move towards implementing Shared Services.

### **Shared Services Overview:**

The WCF is authorized under 49 U.S.C. 327 to support the Department by strategically providing high quality, timely administrative shared services to the Department of Transportation (DOT) customers which enable the Operating Administrations to focus on core transportation infrastructure goals.

To achieve its vital nationwide mission of efficiently and effectively planning for and executing DOT's mission, DOT seeks to continually enhance its mission delivery by improving shared services offerings. Shared services require operational support from world-class acquisition, human resources (HR), and information technology (IT) teams to provide the right products, services, and people that enable mission delivery. Such efforts include identifying strategies to reduce cost and improve service delivery by consolidating separate, overlapping, and duplicative processes and functions.

DOT's administrative processes are complex and under consistent pressure to meet mission objectives with increased efficiency, effectiveness, and quality of service. Adding to the complexity of the current model for service delivery are the disparate processes, policies, and procedures in use across each Operating Administration, causing functional silos, duplication of effort, and inconsistency of service.

These silos pose a significant cybersecurity threat to the Department. Effective cybersecurity requires a centralized approach to threat identification, prevention and remediation. The current decentralized structure can also thwart communications with customers and the sharing of best practices across the organization, as well as negatively affect retention and professional development of staff. In addition, the duplication of effort drains Operating Administration resources and, from an enterprise perspective, misses opportunities to leverage economies of scale available with DOT-wide or government-wide ordering instruments. And finally, the inconsistency of service can negatively affect engagement with the stakeholders and customers who are involved in the development of requirements and are the link between the acquisition function and the mission.

As an existing shared services provider within the Department, the WCF is the logical place for administrative, and IT to be performed or managed. The WCF already delivers these services for several Operating Administrations and as such, has the infrastructure in place to provide Department-wide.

The Office of the Chief Information Officer (OCIO) is currently reviewing the Department's Non-FAA IT portfolio, with an eye towards standardizing the Department's technical architecture. The Department's technical architecture and programmatic IT is inconsistent due to

the decentralized nature of the OAs decision making. Many solutions are outdated or non-standard and modern technologies, such as the cloud, are not consistently evaluated and utilized.

Furthermore, decentralization has inhibited consistent interpretation and application of cybersecurity, privacy, and other policy and operations practices. The result is that current infrastructure components are duplicative, and visibility is inconsistent across the enterprise. Operating Administrations and OCIO must regularly conduct data calls to gather the most basic information, and responses are frequently inconsistent. A more modern, centralized approach would improve cybersecurity and increase the visibility and consistency of data about IT. The results could reduce operations and maintenance costs, and leverage standardized approaches to reduce duplication.

This request includes obligation ceiling of \$179.00 million in the OCIO and \$39.99 million in the Assistant Secretary of Administration to consolidate these shared services functions into the WCF in FY 2020.

### **Programmatic Overview:**

In support of the DOT Strategic Plan, the WCF supports accountability by providing a wide range of efficient and effective technical and administrative shared services including human capital and human resources services, facilities management, parking management, transit benefit programs, printing and graphics, mail operation, library and dockets management operations, building security, IT operations, security and infrastructure, telecommunications, and procurement and acquisitions services. The Fund's services are delivered to customers through an organizational structure of individual business lines providing related services or products.

The WCF is a fully self-sustaining organization and must achieve full cost recovery which includes an equitable distribution of overhead and indirect costs. During the budget formulation stage, the WCF provides cost estimates to the WCF customers based on historical data and projected demand and service levels. During the year of execution, customers are billed for actual use of common services.

The WCF continues to balance mission priorities with customer needs and available resources while building upon a sound administrative infrastructure that consolidates services for common Department-wide functions throughout the Operating Administrations. WCF services are financed through customer reimbursements based on actual customer usage. Customers are provided with estimates based on historical usage and detailed discussions occur to determine new and changing requirements.

The WCF facilitates efficiencies by:

- placing policy offices and service providers together in the same organization;
- making the best use of employee expertise, increasing communication, and reducing costs to the taxpayers;
- identifying and eliminating redundancies and reducing organizational layers;
- finding opportunities to integrate infrastructure improvements and assets from cyber and other appropriations into the WCF through the IT Workforce Initiative,

- providing best value to the government through compliance with OMB and Congressional directives to consolidate and deliver services more efficiently; and
- consolidating Operating Administrations' infrastructures into a single Departmental infrastructure to improve service delivery, increase security, and reduce costs.

The WCF currently maintains an operating reserve capped at 4 percent of the previous year's revenue to protect the fund from exceeding the amounts provided by customer agreements; and to add an acceptable margin for both flexibility and responsiveness. The Transit Benefits Program is authorized to maintain an operating reserve equal to one month of transit benefits for the purpose of providing uninterrupted transit benefits to program participants.

The two OST offices providing WCF services are:

The **Office of the Assistant Secretary for Administration (OASA)** prioritizes and deploys resources to provide the financial management for the WCF and Departmental services in HR, security, acquisition and Federal acquisitions reporting systems, information services, transportation and facilities, and space management. In addition, the OASA manages the transit benefit program for 123 agencies Nationwide.

The **Office of the Chief Information Officer (OCIO)** manages the delivery of IT services to customers including operating an IT infrastructure that includes e-mail services, file and print service, enterprise hosting services, consolidated IT services as well as configuration and change management support Operating Administrations contract with the OCIO for services and reimburse the WCF for the cost of those services.

The WCF reduces costs by consolidating administrative management structures and this positions the WCF to achieve economies of scale, eliminate redundancies, promote consistency in service, and reduce administrative costs across the Department. The WCF's continuous effort to improve the effectiveness, efficiency, and accountability of our mission support services allows the Operating Administrations to focus on their missions of safety, infrastructure and innovation across transportation systems. Without this structure, each operating administration would have to negotiate with a service provider, losing economies of scale, leading to inefficiencies and inconsistency in services. Additionally, some programs like Unemployment Compensation are required by other statutes to provide a single Departmental point of payment to the servicing agency.

**What benefits will be provided to the American Public through this Request and why is this program necessary?**

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The OASA and the OCIO are committed to developing and supporting the mission of the Department through fair, equitable and collaborative approaches, which allows the WCF to continue to provide superior administrative services in the acquisitions, HR, Information Technology (IT), facilities and print management, and physical security arenas.

The OCIO utilizes a shared services vision for the Department that delivers mission enabling IT services that improve the cybersecurity posture of the Department, creates greater efficiency for IT operations, and presents a strategic advantage to the mission accomplishment of the Department. To this end, when the shared services are delivered, the OCIO ensures that:

- They are well-managed for cybersecurity risks,
- DOT is getting the best value on goods and services, and



- Services meet customers' quality expectations.

Some equipment and services originally purchased with the OCIO's Cyber Security Appropriation will continue to be transferred into the WCF and used to support WCF programs and enterprise cybersecurity needs. In the case where a service and/or tool replaced an existing solution, the ongoing costs would be transferred into the WCF. Costs are expected to be offset whenever possible by the discontinuance of legacy technology, tools, and equipment. Specific areas being considered for transfer into the WCF in FY 2020 are:

- OCIO fixes for cyber security weaknesses and/or gaps – Examples include costs associated with Managed Trusted Internet Protocol Services (MTIPS) secure Internet services, secure cloud communications and infrastructure, and multifactor authentication for remote access. These purchases are an expansion to what is in the WCF, as they are an enhancement to current equipment. Asset purchases in the WCF are based on existing equipment which limits the ability to purchase capital assets to address new requirements. The next generation of these purchases is expected to transfer to the WCF.
- Replacement services for which the WCF Reserve funds do not cover the costs (scope) or are insufficient (magnitude) – Examples include Virtual Desktop Infrastructure (VDI), secure network circuits and communications, and communications consolidation in the field. These purchases are expected to transfer to the WCF once the system is operationalized and existing duplicate systems are decommissioned. The systems would run in parallel until legacy systems are decommissioned.

As part of the enterprise shared services efforts, additional assets purchased by OST and other Operating Administrations may be transferred into the WCF, starting in FY 2019, to provide for more efficient and effective IT management.

The FY 2020 budget request aligns mission priorities with customer needs and available resources while building upon a sound administrative infrastructure that consolidates services for common Department-wide functions throughout the Operating Administrations.

The FY 2020 request includes 100 positions to support both the OCIO and Administrative shared services initiatives.

Ninety-one of these positions will directly support the Departments OCIO Shared Services Initiatives and will be transferred from the OA's based on the table outlined below. Enactment of the Appropriation Act, 2019, provided for the Department's shared services initiative. Transfer of 57 positions associated with commodity IT from the Operating Administrations may begin in FY 2019.

<b>FY 2020 WCF Shared Services IT Positions Transition</b>		
	OA FTP	WCF FTP
OST	0	0
FAA	0	0
FHWA	(21)	21
FRA	(16)	16
NHTSA	(7)	7
FTA	(8)	8
SLS	0	0
VOLPE	0	0
MARAD	(9)	9
OIG	0	0
FMCSA	(19)	19
OST-R	0	0
PHMSA	(11)	11
<b>Total:</b>	<b>(91)</b>	<b>91</b>

Six positions will support the Executive Resources Center of Excellence. These positions reflect the consolidation of each operating administrations executive resources programs under the WCF, and will ensure that the Department’s executives receive a consistently high level of customer service and that operational advice is consistently sound and accurate across the Department.

One position in WCF Overhead to provide leadership and programmatic oversight of the Shared Services Initiative. This executive level position will ensure a transparent and consistent implementation of Shared Services within the WCF and will actively engage with both departmental and Operating Administration leadership to ensure that the shared services programs are fully understood and utilized within the WCF’s customer base.

Two positions to ensure that the new shared services Enterprise Personal Property Asset Management System of Record will be effectively implemented throughout the Department. The new management system provides the enterprise solution required to manage more than 330,000 accountable assets and inventory valued at over \$7.2B.

The FY 2020 NON-DOT obligation estimates decreased \$21.77 million. A decrease of \$21.55 million in Transit Benefits and Parking is the result of changes in the enrolled customer base and projected utilization of Fare Media and a decrease of \$0.22 million due to minor changes in customer demand across multiple business lines.

The WCF Shared Services obligation is estimated to be \$218.989 million in FY 2020. The OCIO is requesting an obligation limitation of \$179.00 million which will provide flexibility to OCIO as it consolidates the Commodity IT and Application Portfolio for the Department. The OASA is requesting an obligation limitation of \$39.99 million. \$3.33 million to fully implement the enterprise personal property system; \$1.16 million to consolidate the Employee and Executive Resources programs across the Department; and \$35.5 million in Financial

Management & Administration to ensure flexibility in the WCF to adequately consolidate payments in support of the multiple shared services initiatives, to include the consolidation of IT procurement contracts under a single procurement office within DOT.

Comparative DOT obligations increase by \$2.02 million overall, with increases and decreases in several areas that are summarized below.

Acquisition & Procurement Operations is decreasing by \$1.36 million as a result of the change in workload necessitated by the consolidation of the IT procurement support contracts under a single procurement office within DOT.

Building Security obligations are increasing by \$1.66 million for contract costs for the Protective Security Officers that provide Security for the Department. The contract is scheduled for renewal and the costs will be significantly higher due to the anticipated Department of Labor Wage Determination increases that reflect prevailing wages in the National Capital Region.

An additional \$0.34 million is requested for Security Modernization efforts at the FAA's FOB 10A facility. Funds will update the Closed Caption TV (CCTV) systems and convert the legacy Physical Access Control System (PACS) to the Lenel System used in the DOT Headquarters and integrate the services into the existing Headquarters PACS Enterprise System.

The Department's E-Gov Initiatives have been adjusted downward by \$1.25 million to reflect the changes in billing methodologies utilized by the managing partners which are resulting in lower costs for DOT.

Financial Management, Accounting & Administration is requesting an increase of \$0.73 million. \$0.26 million for IAA increases associated with the WCF's IT System Annual Assessments support provided by the Federal Aviation Administration and \$0.46 million to fully support the additional positions requested.

HR Systems decreased \$3.10 million. The FAA was selected as the new Learning Management System (LMS) provider and as a result their LMS costs will not be included in the WCF Obligations. This decrease is offset in by increase of \$.075 million in other areas of HR Systems. \$0.20 million is in support of the DOT Human Capital Operating Plan's Automated Performance Management Plan (APMP) system for GS-15 and below, and the Department-wide HR Dashboard/Reporting Tool for new hires. \$0.55 million is related to the pre-negotiated contracts and anticipated Interagency Agreement increases associated with the multitude of HR System supported in this business line.

The Information & Records business lines increase by \$2.32 million due to a customer specific increase for the printing and distribution of DOT's Emergency Response Guide

Security Operations is increasing by \$0.69 million as a result of the additional positions requested and cost increases for processing background investigations and passport & visas for the Department.

Transit Benefits and Parking is decreasing by \$.65 million as a result of changes in the enrolled customer based and projected utilization.

Business Management and IT Administration is decreasing by \$1.37 million to reflect the savings associated with the conversion of contract positions to federal positions.

The Campus Area Network (CAN) is decreasing by \$1.45 million due to the economies of scale being realized as we implement the technology necessary to handle the increased security threats to the DOT network make and enhance the security infrastructure to maintain network security.

Cyber Security as a Service is increasing by \$0.85 million for continued implementation of Phase 1 and Phase 2 tools and services provided under the DHS's Continuous Diagnostics and Mitigation (CDM) cybersecurity program. The CDM provides DOT with critical capabilities and tools that identify cybersecurity risks on an ongoing basis and allow personnel to prioritize the mitigation of the most significant problems.

Desktop Services' increases \$0.31 million and reflects the further consolidation of the field desktop units under Desktops Support.

The Enterprise Licenses Business line increases by \$.86 million as a result of new pricing and expanded demand for enterprise licensing.

Server & Messaging Services increases \$2.71 million due to increases in the DOT Server count, increased storage usage, the integration of enterprise website support for websites hosted on the Departmental platform, and other contract increases.

Other small increases and decreases resulting in a net increase of \$0.73 million have been incorporated in various programs and are reflected in the revenue estimates to the WCF customers.

Without the DOT WCF, each operating administration would have to assume responsibility for the common administrative services provided by the WCF. Not providing these activities through the WCF would NOT eliminate the need for them. Instead, it would lead to inherent inefficiencies as each administration would strive to procure services individually. In programs like Copier, Printing & Multi-media, economies of scale would be lost as each mode would be forced to negotiate with a service provider for individual printing services.

OCIO will continue to improve the stability and integrity of the infrastructure through its ongoing shared services modernization efforts and use of cloud-based technology as appropriate. The OCIO will focus on improving cybersecurity and the security of the DOT IT environment by working closely with the CIOs across the Department to redefine the IT shared services to eliminate duplicative services and centralize commodity services. OCIO will update the IT shared services environment to more effectively implement accountability to the OAs as consumers of IT shared services, and to reflect recent technology changes, with an immediate focus on the following categories:

- Cloud Computing
- Field Services
- Wireless (phones and other mobile workforce productivity services)
- Disaster Recovery
- Network
- Circuits

- Basic utility services (server administration, help desk services, storage, back-up/recovery)
- Websites and Collaboration spaces
- Cybersecurity (governance, risk, and compliance; continuous diagnostics and mitigation; security operations center services and incident response);
- General Support Systems;
- IT Management; and
- Registration Systems.

**FY 2020 WORKING CAPITAL FUND REQUEST**  
**WCF DOT & NON-DOT OBLIGATIONS BY BUSINESS LINE (\$000)**

<u>Description</u>	<u>DOT</u> <u>Obligations</u>	<u>Shared</u>		<u>2020 Total</u>
		<u>Services</u> <u>Obligations</u>	<u>Non-DOT</u> <u>Obligations</u>	
<b>Assistant Secretary for Administration</b>				
Acquisition & Procurement Operations	\$ 3,811	\$ 0	\$ 265	\$ 4,076
Building Security	16,796	0	0	16,796
Commerical Services Management	0	0	59	59
Disability Resource Center	3,302	0	250	3,552
DOT Cross Functional Activities	1,452	0	0	1,452
DOT Property & Space Management	3,837	3,334	45	7,216
E-Gov Initiatives	3,684	0	2	3,686
Emergency Response Programs	1,820	0	0	1,820
Financial Mgmt, Accounting, & Administration	9,705	35,491	0	45,196
Headquarters Services Management	4,583	0	397	4,980
HQ Facility Operations & Management	15,280	0	0	15,280
HR Systems	18,791	0	73	18,864
Human Resource Services	6,251	1,162	80	7,493
Information & Records	10,237	0	27	10,264
Security Operations	7,835	0	33	7,868
Substance Abuse Awareness & Testing	3,516	0	4,275	7,791
Transit Benefits and Parking	10,415	0	293,977	304,392
Unemployment Compensation	2,066	0	0	2,066
<b>Assistant Secretary for Admin Subtotal:</b>	<b>\$ 123,380</b>	<b>\$ 39,987</b>	<b>\$ 299,483</b>	<b>\$ 462,850</b>
<b>Chief Information Officer</b>				
Business Management and IT Administration	\$ 6,614	\$ 0	\$ 0	\$ 6,614
Campus Area Network (CAN)	9,136	8,834	0	17,970
Cyber Security as a Service	7,382	11,308	0	18,690
Data & Digital Services	0	0	0	0
Desktop Services	17,241	32,940	0	50,181
Enterprise Dashboard	357	0	0	357
Enterprise Licenses	5,100	0	0	5,100
Privacy as a Service	0	0	0	0
Records Management as a Service	0	0	0	0
Server & Messaging Services	20,334	83,363	0	103,697
Voice, Cable & Wireless	16,368	42,557	0	58,925
<b>Chief Information Office Subtotal:</b>	<b>\$ 82,532</b>	<b>\$ 179,002</b>	<b>\$ 0</b>	<b>\$ 261,534</b>
<b>Grand Total:</b>	<b>\$ 205,912</b>	<b>\$ 218,989</b>	<b>\$ 299,483</b>	<b>\$ 724,384</b>

**FY 2019 WORKING CAPITAL FUND ENACTED  
WCF DOT & NON-DOT OBLIGATIONS BY BUSINESS LINE (\$000)**

<u>Description</u>	<u>DOT</u> <u>Obligations</u>	<u>Shared</u>	<u>Non-DOT</u> <u>Obligations</u>	<u>2019 Total</u>
		<u>Services</u> <u>Adjustments*</u>		
<b>Assistant Secretary for Administration</b>				
Acquisition & Procurement Operations	\$ 5,175	\$ 0	\$ 249	\$ 5,425
Building Security	14,794	0	0	14,794
Commerical Services Management	0	0	59	59
Disability Resource Center	3,154	0	280	3,434
DOT Cross Functional Activities	1,360	0	0	1,360
DOT Property & Space Management	3,984	0	53	4,037
E-Gov Initiatives	4,938	0	0	4,938
Emergency Response Programs	1,799	0	0	1,799
Financial Mgmt, Accounting, & Administration	8,978	6,000	0	14,979
Headquarters Services Management	4,402	0	618	5,020
HQ Facility Operations & Management	15,030	2,542	0	17,573
HR Systems	21,884	0	71	21,955
Human Resource Services	6,085	1,078	75	7,238
Information & Records	7,916	0	9	7,925
Security Operations	7,148	0	49	7,197
Substance Abuse Awareness & Testing	3,383	0	4,275	7,658
Transit Benefits and Parking	11,065	0	315,520	326,586
Unemployment Compensation	2,066	0	0	2,066
<b>Assistant Secretary for Admin Subtotal:</b>	<b>\$ 123,163</b>	<b>\$ 9,620</b>	<b>\$ 321,257</b>	<b>\$ 454,040</b>
<b>Chief Information Officer</b>				
Business Management and IT Administration	\$ 7,980	\$ (1,182)	\$ 0	\$ 6,797
Campus Area Network (CAN)	10,581	4,136	0	14,717
Cyber Security as a Service	6,531	173	0	6,704
Desktop Services	16,929	9,380	0	26,309
Enterprise Dashboard	664	(314)	0	349
Enterprise Licenses	4,240	760	0	5,000
Server & Messaging Services	17,627	50,991	0	68,618
Voice, Cable & Wireless	16,168	42,347	0	58,515
<b>Chief Information Office Subtotal:</b>	<b>\$ 80,720</b>	<b>\$ 106,290</b>	<b>\$ 0</b>	<b>\$ 187,010</b>
<b>Grand Total:</b>	<b>\$ 203,883</b>	<b>\$ 115,910</b>	<b>\$ 321,257</b>	<b>\$ 641,050</b>

\*IT funding reflects current consolidation activities as well as the IT Commodity Spend provided by the operating administrations and anticipated spend for the Enterprise Infrastructure Services (EIS). Administrative funding is based on internal government cost estimates for an enterprise property system and estimates for supporting an acquisition center of excellence and enterprise HR services.

**FY 2019 WORKING CAPITAL FUND ANNUALIZED CR LEVEL  
WCF DOT & NON-DOT OBLIGATIONS BY BUSINESS LINE (\$000)**

<u>Description</u>	<u>DOT Obligations</u>	<u>Non-DOT Obligations</u>	<u>2019 Total</u>
<b>Assistant Secretary for Administration</b>			
Acquisition & Procurement Operations	\$ 5,175	\$ 249	\$ 5,425
Building Security	14,794	0	14,794
Commerical Services Management	0	59	59
Disability Resource Center	3,154	280	3,434
DOT Cross Functional Activities	1,360	0	1,360
DOT Property & Space Management	3,984	53	4,037
E-Gov Initiatives	4,938	0	4,938
Emergency Response Programs	1,799	0	1,799
Financial Mgmt, Accounting, & Administration	8,978	0	8,978
Headquarters Services Management	4,402	618	5,020
HQ Facility Operations & Management	15,030	0	15,030
HR Systems	21,884	71	21,955
Human Resource Services	6,085	75	6,160
Information & Records	7,916	9	7,925
Security Operations	7,148	49	7,197
Substance Abuse Awareness & Testing	3,383	4,275	7,658
Transit Benefits and Parking	9,427	315,285	324,713
Unemployment Compensation	2,066	0	2,066
<b>Assistant Secretary for Admin Subtotal:</b>	<b>\$ 121,525</b>	<b>\$ 321,022</b>	<b>\$ 442,547</b>
<b>Chief Information Officer</b>			
Business Management and IT Administration	\$ 7,980	\$ 0	\$ 7,980
Campus Area Network (CAN)	10,581	0	10,581
Cyber Security as a Service	6,531	0	6,531
Data & Digital Services	0	0	0
Desktop Services	16,929	0	16,929
Enterprise Dashboard	664	0	664
Enterprise Licenses	4,240	0	4,240
Privacy as a Service	0	0	0
Records Management as a Service	0	0	0
Server & Messaging Services	17,627	0	17,627
Voice, Cable & Wireless	16,168	0	16,168
<b>Chief Information Office Subtotal:</b>	<b>\$ 80,720</b>	<b>\$ 0</b>	<b>\$ 80,720</b>
<b>Grand Total:</b>	<b>\$ 202,245</b>	<b>\$ 321,022</b>	<b>\$ 523,267</b>



**FY 2018 WORKING CAPITAL FUND ACTUAL  
WCF DOT & NON-DOT OBLIGATIONS BY BUSINESS LINE (\$000)**

<u>Description</u>	<u>DOT Obligations</u>	<u>Non-DOT Obligations</u>	<u>2018 Total</u>
<b>Assistant Secretary for Administration</b>			
Acquisition & Procurement Operations	\$ 5,381	\$ 0	\$ 5,381
Building Security	14,869	0	14,869
Commerical Services Management	0	65	65
Disability Resource Center	2,865	280	3,145
DOT Cross Functional Activities	1,857	0	1,857
DOT Property & Space Management	4,174	0	4,174
E-Gov Initiatives	4,902	0	4,902
Emergency Response Programs	1,856	0	1,856
Financial Mgmt, Accounting, & Administration	8,485	0	8,485
Headquarters Services Management	4,475	355	4,830
HQ Facility Operations & Management	15,763	0	15,763
HR Systems	22,532	0	22,532
Human Resource Services	6,007	69	6,076
Information & Records	7,988	11	7,999
Security Operations	7,541	0	7,541
Substance Abuse Awareness & Testing	3,867	4,275	8,142
Transit Benefits and Parking	11,310	315,967	327,277
Unemployment Compensation	2,066	0	2,066
<b>Assistant Secretary for Admin Subtotal:</b>	<b>\$ 125,938</b>	<b>\$ 321,022</b>	<b>\$ 446,960</b>
<b>Chief Information Officer</b>			
Business Management and IT Administration	\$ 8,446	\$ 0	\$ 8,446
Campus Area Network (CAN)	10,679	0	10,679
Cyber Security as a Service	3,888	0	3,888
Data & Digital Services	500	0	500
Desktop Services	14,649	0	14,649
Enterprise Dashboard	681	0	681
Enterprise Licenses	3,358	0	3,358
Privacy as a Service	100	0	100
Records Management as a Service	100	0	100
Server & Messaging Services	18,703	0	18,703
Voice, Cable & Wireless	15,203	0	15,203
<b>Chief Information Office Subtotal:</b>	<b>\$ 76,307</b>	<b>\$ 0</b>	<b>\$ 76,307</b>
<b>Grand Total:</b>	<b>\$ 202,245</b>	<b>\$ 321,022</b>	<b>\$ 523,267</b>

**FY 2020 ASSISTANT SECRETARY FOR ADMINISTRATION  
WORKING CAPITAL FUND  
BUDGET REQUEST  
(\$000)**

<u>Program</u>	FY 2019		FY 2019 Enacted	FY 2020 Request
	FY 2018 Actual	Annualized CR Level		
DOT Activities	\$ 125,938	\$ 121,525	\$ 123,163	\$ 123,380
WCF Shared Services	0	0	9,620	39,987
Non-DOT Activities	321,022	321,022	321,257	299,483
<b>Total</b>	<b>\$ 446,960</b>	<b>\$ 442,547</b>	<b>\$ 454,040</b>	<b>\$ 462,850</b>

Staffing

Reimbursable Positions	215	200	200	209
Reimbursable FTE	186	200	200	209

The Office of the Assistant Secretary for Administration continues to meet the challenge to think more globally, respond to customer needs, anticipate and plan for future impacts of services offered, and strategically define what should be done in order to best prioritize and deploy resources.

The Department of Transportation supports a variety of missions including promoting economic activities, maintaining vital infrastructure, and ensuring the safety and quality of life of citizens and communities across the nation. As varied as they are, each of these missions relies on similar mission support functions to enable mission delivery. The OASA is pursuing a higher level of shared services offerings for administrative functions such as personal property, human resources and acquisition functions.

Shared services offer the ability to improve internal processes and better enable the effective delivery of core missions by combining currently separate, overlapping, or duplicative mission support processes and systems. The current initiative is designed to create new shared service offerings and improve existing operations to meet industry standards. Ultimately, this will lead to higher performing, more responsive programs that properly allocate resources to improve the quality of service.

**MISSION/VISION/VALUES**

The OASA provides the Department with a competitively priced, comprehensive range of administrative shared services while continuously improving administrative activities to ensure effective performance through the use of best practices. The Office provides expertise to the Department on HR management, administrative and internal security management, headquarters building and space management programs, procurement and Federal acquisitions reporting while ensuring administrative support services are responsive to limitations and DOT's strategic policy direction.

The OASA staff plans, develops, evaluates, and provides support programs in the areas of: security; personnel; organizational and HR development; procurement; employee wellness; occupational health and safety; personal property; mail and copy management; motor pool; parking and transit benefits; graphics; printing, photography, warehousing, distribution, and library services; and space management. The staff consists of experienced government FTEs and contractors who oversee the technical and business operations.

This current request includes ceiling for the consolidation of common administration functions and services delivery. The targeted functions include: HR Benefits, personnel action processing, classification and job analysis, executive resources, and leadership training; acquisition functions and the enterprise personal property system consolidation. The HR, Acquisition and property transformations are a multi-year project that will be implemented in waves that will allow the organizations to continuously improve its service delivery in an agile fashion.

## **FY 2020 BUSINESS LINES BY PROGRAM**

### **Acquisitions & Procurement Operations**

**\$ 4.076 million**

#### Procurement Operations:

This program provides the full range of procurement functions from acquisition planning through contract closeout including pre-award contract and grant services, post award contract and grant services, simplified acquisition services, and purchase card administration and oversight. This program acts as the servicing procurement office for the Office of the Secretary (OST), Office of the Inspector General, and Surface Transportation Board and does limited procurement work for other customers as requested. Acquisition Services awards between \$250 million and \$450 million in new obligations annually, processing over 1200 transactions per year. At any one time, Acquisition Services is managing well over \$500 million in existing contracts and grants. Acquisition Services also manages DOT's \$200 million per year purchase card program.

#### Shared Services-Acquisitions & Procurement Operations

##### IT Acquisition:

The Office of the Senior Procurement Executive (OSPE) is the lead procurement organization for the oversight of department wide contract vehicles for use by all DOT Operating Administrations. As the Department continues to respond to the White House E.O. on Reorganizing Executive Departments and Agencies, an assortment of activities are being undertaken across DOT. DOT is establishing an IT Acquisition Center of Excellence within the Department to provide acquisition and contracting support for the procurement of IT hardware and software. OSPE has been tasked to support the DOT Shared Services acquisition programs with a strategic focus on Shared Services procurements.

##### Department wide contract consolidation:

OSPE is conducting an analysis of duplicative or otherwise inefficient procurement actions across the department (*and to identify 100 contracts that could be combined, consolidated, or otherwise eliminated, consistent with federal acquisition laws*).

This involves an in-depth analysis that is required to review the data from across the department. This effort involves reviewing lists of known DOT spending areas to validate open contracts, determining where duplication exist (*and possible opportunities for gaining efficiencies*), highlighting period of performance and/or contract end-dates to determine the most prudent time frames to consolidate contracts.

Departmental Procurement Platform:

This program supports an integrated procurement system (PRISM) which has consolidated multiple Operating Administration's procurement systems with DOT's accounting system (DELPHI) and significantly enhances Department-wide spend analysis and contract efficiency initiatives while reducing the cost of software maintenance, application support and system hosting, and provides systematic real time accounting and funds control validations and status of funds reporting. The consolidated PRISM environment supports approximately 1,600 departmental personnel who process and manage over \$2 billion in annual procurement obligations.

The Program Management Office is responsible for ESC PRISM IT system oversight, management of the Department wide contracts for PRISM licenses, representing DOT on federal PRISM working groups, facilitating DOT procurement business process standardization, and supporting emerging requirements such as shared service initiatives, Category Management, and Federal Contract Writing System standards.

**Building Security**

**\$16.796 million**

The Building Security program provides security for the DOT Headquarters building and FAA FOB-10A, and FAA FOB-10B, which includes contract Protective Security Officer (PSO) services on a 24-hour per day basis and other physical security access control functions.

Contract PSOs perform access control functions for pedestrians, vehicles, and package deliveries. They are the first responders for security and life safety incidents. In addition, they escort special visitors (VIPs) within the building when enhanced security is required. PSOs escort employees and contractor employees who are being dismissed from employment and if necessary, monitor a person's actions until he or she leaves the building. The PSOs also monitor alarms (fire, intrusion, and duress) and the CCTV system (security cameras).

Building security functions include updating security equipment, such as surveillance monitors, cameras, X-ray inspection systems, magnetometers, and access control systems, within the buildings and on the perimeters, as well as procuring contract support to handle the maintenance, ensuring a safe and secure work environment for employees, contractors, and visitors.

The Lenel OnGuard system installed at the Headquarters facility is an access control and alarm monitoring system. The purpose of this system is to control access to secure areas via proximity/PIV card and reader technology, as well as to monitor alarm points for intrusion detection. Integrated with the video management system, functions include credential production, visitor management, and video and graphical map displays to assist in video surveillance and deployment of assets in response to an incident.

The DSX physical access control system installed at the Federal Aviation Administration (FAA) Headquarters facilities is an access control and alarm monitoring system. The purpose of this system is to control access to secure areas via proximity card and reader technology, as well as to monitor alarm points for intrusion detection. The DSX system is being replaced by Lenel and will be fully integrated into the existing Lenel enterprise at the SEFC.

**Commercial Services Management**

**\$.059 million**

This activity provides mandatory training to all operating administrations and services for the Purchase Card Program and its support systems throughout the Department.

**Disability Resource Center**

**\$3.552 million**

The DOT Disability Resource Center (DRC) is a centralized resource that provides reasonable accommodation, technical assistance, training and outreach to all modal employees and job applicants under DOT. Program costs are allocated to the modes based on national population of staff with adjustments made to exclude certain position series (i.e., Air Traffic Controller-2152).

The DOT DRC continues to provide valuable services and support to agencies throughout DOT including regional and field offices. The services can be divided into three main categories:

- Accommodations Support – the core service provided by DRC;
- Technical Assistance – consultation and explanation of the accommodation process, and information on products and services;
- Customer Outreach/Selective Placement – including disability awareness and information in support for hiring, and retention and promotion of individuals with disabilities.

In addition to direct costs, the DRC provides staff the time required in supporting the assessment, identification and procurement of the products and/or services and the follow-up conducted to ensure products/services are provided and fulfilling the customers' needs. This relieves DOT programs employing people with disabilities not only of the costs for products/services needed, but the indirect costs to manage contracts, locate qualified providers, and consistently manage performance and activities in accordance with various procurement and HR regulations.

**DOT Cross Functional Activities**

**\$ 1.452 million**

Cross Agency Priority Goals:

Each fiscal year funds from each Executive Branch agency are collected via Interagency Agreement with General Services Administration (GSA) to improve coordination, reduce duplication, and for other activities related to Federal Government Priority Goals established by 31 U.S.C. 1120. In accordance with Division E Section 721 of the Consolidated Appropriations Act of 2016, the funding is derived from transfers or reimbursements by agencies to the "Government-Wide Policy" account under GSA with approval of the Director of the Office and Management and Budget (OMB).

Federal Audit Clearing House:

Under the Single Audit Act Amendments of 1996, the Bureau of Census, as designated by the OMB, maintains a government-wide database of OMB circular A-123 audits and distributes reports with audit finds to Federal agencies for resolution. The Clearing House serves as the central processing location through which all Federal grant agencies satisfy their requirement to process the grantee's audits required under the Single Audit Act. Savings and efficiency are realized by performing this function centrally.

Federal Laboratory Consortium:

The Federal Laboratory Consortium Program provides centralized billing services. This program processes payments to the National Institute of Standards and Technology for the support of the Federal Laboratory Consortium. The Federal Laboratory Consortium provides a link between Governmental agencies and industry in order to promote the transfer of Federal technology to improve the domestic economy. This transfer of funds is required by Title 15 U.S.C. Section 3710. The National Institute of Standards and Technology requires a central billing point of contact in each cabinet level office for these costs. Distribution is based on the National Science Foundation's *Federal Obligations for Total Research and Development by Agency and Performer* report for each fiscal year.

Flexible Spending Account:

This program provides centralized billing services for the Flexible Spending Account fees. The Flexible Spending Account (FSA) program resulted from the National Defense Authorization Act for fiscal year (FY) 2004, Public Law 108-136. The FSA program is administered government-wide, through a contract held by the Office of Personnel Management (OPM). The WCF is the Departmental point of contact for these payments. The costs are distributed to the Operating Administrations based on actual usage information provided by OPM.

Government-Wide Councils:

Each fiscal year funds from each Executive Branch agency are collected via Interagency Agreement with GSA, with approval from OMB, to support Government-wide and other multi-agency financial management, information technology, and procurement councils. The councils supported under this heading are:

- Chief Acquisition Officers Council
- Chief Financial Officers Council
- Chief Human Capital Officers Council
- Chief Information Officers Council
- Performance Improvement Council
- President's Management Council

News Media Services:

The News Media Services Program supplies an electronic news retrieval service via contract to create a daily news briefing/summary available to all Operating Administrations via the DOT intranet. The objective is to provide the Department's roughly 55,000 staff and managers with a thorough, current, and timely summary and compilation of news stories along with an archive that can be searched by key words.

## **DOT Property & Space Management**

**\$ 7.216 million**

### Space Management:

The Real Property and Space Management Program provides oversight and management of all DOT real property. The office provides various support services, as required, involving the Department's nationwide real property, leasing, and assets in compliance with Federal guidelines.

A key goal of this program is to improve space use efficiencies and reduce costs. The specific services include:

- Acquisition, assignment, release or disposal of space and other real property; review of major real property acquisitions and disposals;
- Space requirements development; space planning and interior design;
- Tenant “build out” coordination and oversight;
- On-site real property and space utilization surveys;
- Coordination and preparation of Departmental real property reports;
- Maintenance of a Department-wide real property inventory and Headquarters space assignment data;
- DOT's liaison with GSA and other Federal agencies for real property actions and issues; and
- Reduction of real property, reducing the space utilization rate, reduce the number of leases and owned property to save taxpayer money.

### Personal Property:

This program conducts comprehensive reviews and evaluations on departmental programs and procedures ensuring consistency with governmental laws and regulations, and applicable industry standards and practices. As the Department's representative to external groups such as GSA, and Government Accountability Office, the office negotiates and defends DOT on matters related to personal property policies, programs, systems and procedures.

The Personal Property program provides personal property management services and governance to several Operating Administrations. Functions consist of: asset barcoding, inventory management, shipping and receiving, dispositions, storage, transporting material, property repair and rehabilitation, property custodian training, records management, and reports of survey.

In coordination with the OCIO, an enterprise solution to replace the multiple property systems currently in use by the Department is being researched and, when implemented, will consolidate and centralize service management of Personal Property within the Department and is further described below.

### Enterprise Wide Personal Property System:

The establishment of a new Enterprise Personal Property Asset Management System of Record will provide the Department of Transportation (DOT) with an enterprise solution to manage more than 330,000 accountable assets with an inventory valued at over \$7.2B. The Department

does not have an enterprise-wide solution for asset management and currently uses six unique asset management systems across nine Operating Administrations (OAs) to manage accountable assets. An enterprise solution for personal property management will provide a foundation for cost savings and avoidance opportunities in managing all DOT accountable assets.

The Office of Facilities, Information and Asset Management provides DOT with national planning, coordination and oversight of DOT asset management.

Warehouse:

The Warehouse Program provides storage for furniture, equipment, bulk materials such as computers and copy paper, publications and forms, and other items as required for all DOT organizations in the Washington Metropolitan area. As part of this program, truck services are provided for delivering internal mail, receiving and delivering furniture, equipment, bulk supplies and other items as required between the Warehouse facility in Hyattsville, MD and the DOT Headquarters Buildings in Washington, DC.

Excess personal property is received, reported to GSA, and transferred for all DOT organizations in the Washington Metropolitan area. The excess program handles on average 750 pieces of furniture or equipment every month, sending almost half of the computer equipment to schools throughout the country as part of Executive Order 12999.

Contract Labor Support:

The Facilities Office provides labor support to the DOT workforce. Support is requested to assist in special event planning, setting up conference rooms, employee relocations, moving equipment or furniture, hanging/removing photos/portraits/artwork, furniture reconfigurations and new installations, furniture maintenance, and other special requests.

HQ Loading Dock:

The Shipping and Receiving Office provides oversight of the loading dock for the Department. Specific activities include: managing the service requests for labor support, validating received items for delivery, loading and offloading of truck deliveries, barcoding and uploading to automated property system, and maintenance on dock equipment.

**E-Gov Initiatives**

**\$3.686 million**

The 24 E-Gov Initiatives serve citizens, businesses, and Federal and state government employees by delivering high quality services. This business line consolidates 117 separate DOT interagency agreements into 8 E-Gov Initiative agreements.

**Emergency Response Programs**

**\$1.820 million**



Crisis Management Center (CMC):

The CMC provides information and communications resources to effectively manage day-to-day operations and support emergency management, response, and recovery programs during emergency situations. Emergency situations may include: natural and technological disasters (e.g., hurricanes, earthquakes, major transportation accident, etc.), labor disputes, terrorist attacks, cyber-attacks, national security special events, security incidents, defense mobilization, and any transportation-related activity requiring extraordinary coordination among Departmental organizations, Federal, State, Tribal, and Local government authorities. This business line consolidates five reimbursable agreements into the WCF.

COOP Facility:

This program provides centralized billing services for the Department’s Continuity of Operations (COOP) facility utilized by DOT leadership. This activity includes costs associated with leasing the Secretary’s (COOP) relocation site, and provides funding for equipment and services necessary for the operation of the facility.

Emergency Notification System:

The Emergency Notification System (ENS) was a recommendation in the “DOT After Action Report” following the Navy Yard active shooter incident on September 16, 2013. ENS is capable of providing emergency notifications to approximately 13,000 employees at DOT headquarters and field locations. The ENS is hosted in the cloud, maintains a voluntary self-registration portal, and sends out DOT-wide alert notifications to hand held devices. All employees receive email notifications regardless of whether they have voluntarily registered other devices.

**Financial Management, Accounting & Administration****\$45.196 million**Office of Financial Management:

The Office of Financial Management (OFM) provides WCF financial administration, guidance and support to the OASA and the program offices within the WCF to include the OCIO. The financial administration includes budget formulation and execution; financial management and accounting services; and overall management and oversight of the financial operations of the WCF. The OFM is an overhead function within the WCF.

The OFM funds all the accounting service functions, including the preparation and issuance of WCF financial statements and reports. The OFM ensures that a sound system of financial management controls exist in all programs, organizations, and functions and meets the objectives and requirements of the Federal Managers’ Financial Integrity Act and OMB Circular A-123, Management’s Responsibility for Internal Control. The OFM provides monthly financial reports to program managers; manages customer agreements and performs billings; identifies and resolves overdue balances and charge backs; manages invoice processing to maintain minimal interest penalties; and develops and distributes monthly performance indicator charts.

The OFM provides services to approximately 130 DOT and non-DOT customers and has an established interagency agreement for each customer. The OFM meets annually with all the DOT Operating Administrations to discuss the WCF revenue estimates and ongoing services. The OFM conducts the WCF Steering Committee meetings that provide oversight to the fund and ensures that WCF goods and services are provided to all DOT Operating Administrations in the most cost-effective and efficient manner. Specific functions and activities of the Committee include: recommending goods and services that comprise the WCF; approving all WCF funding levels; and evaluating the WCF performance in meeting service plans.

The FY 2020 budget includes \$35.5 million to facilitate payments to shared services providers. As the Department implements its many shared services initiatives, it is anticipated DOT will use both WCF and external sources to provide services. The WCF will be used as the tool to consolidate the payments to both internal and external service providers ensuring administrative process efficiencies are achieved. Examples of some of the administrative initiatives this funding will support are found under Acquisitions and Procurement Operations and Human Resources Services.

Office of the Deputy Assistant Secretary for Administration:

The Office of the Deputy Assistant Secretary for Administration is responsible for planning, coordinating and implementing cross-organizational and Departmental objectives, especially those supporting DOT's Strategic Plan. Objectives include communication strategies, program reviews, and ad-hoc strategic project support. The customer base is the entire Office of the Assistant Secretary for Administration organization as well as senior management across the Department.

IdeaHub:

IdeaHub is an online community that facilitates innovation and collaboration within the Department and Operating Administrations. The web-based program has positioned itself as an integral part of DOT's social landscape, by providing an easily accessible, 24/7 site for employees to submit, comment, rate, and grow ideas that represent their vision for a better DOT. IdeaHub weaves social collaboration and innovation into the very fabric of the Department and enhances the DOT's culture by giving all employees a voice.

With more than 26,000 users, employees have demonstrated their interest in this resource. Program success has not only been realized through the 159 ideas that have been implemented within the modes and across the Department, but also through the program's ability to communicate existing Departmental processes and policies. Employee value transparency and IdeaHub is a forum to shed light on hundreds of topics to interested employees. New endeavors planned in the coming year are aimed at supporting a culture of innovation across the department and empowering employees to make DOT a 21st century government.

**Headquarters Services Management**

**\$ 4.980 million**

This program manages multiple functions within DOT Headquarters, including Events Center, Mail Management, Motor pool and Fitness Center. The program coordinates concession activities such as facilities operated under the Randolph-Sheppard Act, and the DOT cafeteria.

DOT Events Center:

The DOT Events Center program includes the Media Center, photography services and conference center and provides a single contact point for DOT and Non-DOT agencies to coordinate events that are related to their mission, programs and activities. This consolidated center assigns costs to agencies for the services requested. Services include: event coordinator, webcasting, video-teleconferencing, satellite broadcasts, press and media briefings, live hook-ups with national networks and broadcasters, full range of videotape productions, a wide variety of photographic shoots with finishing and processing options, and meeting rooms that have capacity that range from 15 to 100 and includes use of the West Atrium which has a capacity of 550 when set up auditorium style.

Multi-Media Center & Photography Services provides on-demand multi-media services to the Secretary of Transportation, the DOT Operating Administrations, and other agencies as required. These services produce results that meet the communication objectives of the diverse customer base through technical support and execution of press conferences, live and prerecorded press interviews and teleprompter presentations, web casting, on site and on location presentation/meeting video documentation, video teleconferencing support, satellite uplink programming, and satellite downlinks.

The photographers interpret programs and situations and use innovative and improvised techniques and methods to achieve high quality photographs using digital technology, producing prints of a professional, technical, and artistic standard. The photographers photograph the Secretary and other members of the highest offices of the government, and foreign dignitaries.

Mail Services and Postage Program :

The Mail Services Program provides complete office and mail delivery services to the DOT Headquarters and its satellite locations. Over 10 million pieces of government mail are handled annually. The services include managing the DOT and FAA Mail Centers to include: sorting and distributing all incoming mail, processing Federal Express and UPS Mail, and delivering all accountable mail through an automated tracking system. The program also provides guidance to mail managers from across the Department.

The Department utilizes the National Institute for the Severely Handicapped (NISH) vehicle in support of national disability initiatives. The vendor, Service Source, is flexible and can meet emerging requirements quickly due to their size and background in the field.

This program is responsible for the direct billing of actual postage and shipment fees by each operating administration at all locations throughout the Washington Metropolitan area. These fees are for Standard Ground shipment of packages to include large boxes.

Motor Pool:

The Motor Pool provides transportation/fleet management support to the DOT headquarters through the operation of an executive vehicle service program, U-drive vehicle service, and courier service. The Motor Pool program provides professional, dependable motor vehicle service and support to the Operating Administrations within the Headquarters Department of Transportation. The program implements Departmental administrative policy for motor vehicle

operations; maintains a physical environment which supports the needs of the Operating Administrations; and provides innovative fleet solutions ensuring safe, dependable, transportation utilizing fleet strategies and efficient repair and replacement methods. The office manages the vehicle lease agreement with GSA; prepares the monthly billing report; ensures vehicle accidents, abuses, and damages are investigated; serves as a liaison to GSA Fleet Management Center/Fleet Management Offices for vehicle matters; reviews vehicle lease requirements annually; and manages the U-Drive fleet of vehicles.

Fitness Center:

The DOT Health and Fitness Program develops and promotes Department-wide employee health and fitness policy and guidelines thereby improving employees' ability to enhance their work performance. The core programs offered by the DOT Fitness Center are well-rounded and address lifestyle behaviors, nutrition education, stress reduction, and the prevention of disease and other health conditions. The Center conducts health appraisals, lifestyle and physical risk factor assessments; including better ways to incorporate healthy strategies and approaches for improved intervention in Body Mass Index, pulse, blood pressure, aerobic strength and flexibility levels; which are vital to optimal health. The fitness center also manages the DOT's corporate Bike share program. These strategies provide employees with increased knowledge in self-care thereby decreasing absenteeism and health care costs.

**HQ Facilities Operations & Management**

**\$15.280 million**

This program manages a diversified and complex, mission-essential, building management program for the DOT Headquarters facility totaling over 1,350,000 square feet of space which houses the Secretary of Transportation and over 5,500 Federal and contractor support employees.

Facility Services:

The Facilities Office is the first point of contact for all facilities support. The office receives and tracks all customer requests for service; is responsible for lease management of the facility; conducts inspections to ensure compliance with lease terms; maintains a record of all complaints and their resolutions and notifications to the building owner. The Facilities Office ensures building custodial services are provided in accordance with the terms in the lease agreement and conducts daily inspections to ensure that the facilities are clean, healthful and present an attractive environment. The office identifies, installs, and maintains signage throughout DOT HQ facilities ensuring office suites, utility rooms and common areas are easily identified.

Building Maintenance and Utilities:

The Facilities Office manages the DOT Headquarters annual energy budget, and the electrical and mechanical operating system's distribution infrastructure required to light, heat and cool the facilities and ensuring that maintenance and recurring repairs are completed on electrical transformers and other electrical and mechanical systems. This Office implements the National Energy Conservation Program requirements in the DOT headquarters building and ensures all Government-maintained mechanical, electrical and utility systems are operated in accordance with energy conservation guidelines contained in the Federal Property Management Regulation. The program also manages and performs a continuous/retro-commissioning program on all its

operating equipment, driven by the best practices of the industry, to promote the highest levels of sustainability and energy conservation.

Special Facility Services:

Provides special facilities services not provided through the normal Headquarters Facilities Services such as alterations for offices and special air quality testing requested by modal offices outside the normal testing done by Facilities.

Overtime Utilities:

This service provides visibility to customer overtime utility usage by billing the headquarters customers for overtime lighting and HVAC utilized outside normal operating hours. The lighting and HVAC systems operate from 0500 to 1900 hours, Monday through Friday and remains off on Saturday, Sunday and Holidays unless the Overtime Utilities Card Swipe System is used.

Occupational Safety and Health/Emergency Preparedness:

This Office is responsible for maintaining a viable safety program for the DOT HQ by ensuring alarm monitoring systems are adequately maintained and reporting all incidents resulting in personal injury related to building design to the proper authorities and conducting periodic fire, safety, health, and air quality inspections.

This Office provides employees with a comprehensive occupational safety and health program which includes evaluating, assessing and monitoring the facility to reduce operational risks to employees. Additionally, the DOT Headquarters emergency preparedness procedures to include evacuation of the building and sheltering-in-place drills are managed by this office.

**Human Resource Systems**

**\$18.864 million**

The Departmental Office of Human Resource Management (DOHRM) HR Systems program serves as the Data Custodian for all departmental HR data and is responsible for reviewing and approving requests for HR information for all DOT systems requesting employee information. HR Systems provides program management, oversight and support for all of the DOT-enterprise wide HR systems, which include the Federal Personnel and Payroll System (FPPS), the FPPS Oracle Business Intelligent Enterprise Edition, the Learning Management System (LMS) the Electronic Official Personnel Folder (eOPF), the Workforce Transformation Tracking System / Entry on Duty System (WTTS/EODS), Employee Express (EEX), the Workers' Compensation Information System (WCIS), WebPrinting, as well as for ongoing HR systems modernization.

- The FPPS provides core HR and payroll system functionality which supports DOT's ability to manage the full lifecycle of DOT employees. The FPPS serves as the system of record for all DOT employee personnel and payroll information.
- FPPS Oracle Business Intelligent Enterprise Edition facilitates movement toward achieving strategic management of Human Capital goals by providing the automated capabilities to generate a variety of reports that can assist DOT management and HR professionals in analyzing the workforce for a multitude of reasons. The FPPS Oracle Business Intelligent Enterprise Edition is also used to facilitate workforce planning and estimate workforce projections.

- LMS provides system support for the delivery of on-line learning, learner registration, learner training completion, the delivery and recording of assessments, and the reporting of TMS data to OPM. DOT is able to identify competency and resource gaps and develop improvement strategies for mission-critical occupations and is able to identify competency and resource gaps and develop improvement strategies for mission-critical occupations.
- eOPF allows secure access to official employee HR records for employees and HR staff. The centralized management of and access to the data provides the technological means for consolidating HR operations and improves the government’s ability to share and transfer data about employees moving between agencies.
- WCIS provides for the efficient and effective use of an automated system to transmit workers compensation claims to the Department of Labor and to allow workers compensation specialists and managers to monitor and manage the workers compensation cases. WCIS funding also funds management of workers compensation cases by the FAA.
- WTTS/EODS provides automated staffing and entry on duty support for all of DOT improving DOT’s ability to (1) track projected gains; (2) track transfers and losses of federal staff and (3) allow HR specialists to develop checklists for entrance on duty, as well as provide on-line forms for new employees to complete information required on entrance to duty.
- Webprinting provides the ability to review and print SF-52 and SF-50’s prior to approving the personnel actions for documenting into employee personnel folder. This system facilitates quality control review of personnel actions.
- HR systems modernization aligns DOT with the Office of Personnel Management’s Human Resources Line of Business (HRLOB) and includes additional automated solutions to align with the goals and objectives of the HRLOB Modernization Initiative under the OPM’s Business Reference Model. An example of this is the USA SES Performance system that provides automated performance plans for Senior Executives to develop performance, track and monitor performance, provide feedback, electronically sign the plan and final copy to flow into eOPF. These systems are required to adhere to government wide interoperability standards as described in the HRLOB Modernization Roadmap. System consolidation efforts may include but are not limited to talent development, benefits management, performance management, employee relations management, separations management and talent acquisitions systems. This effort directly supports the U.S. Chief Information Officer’s *25 Point Implementation Plan to Reform Federal Information Technology*.

**Human Resource Services**

**\$7.493 million**

Human Resources Operations:

The Human Resources Operations Program provides human resource services to the Office of the Secretary (OST). This program provides human resource services and training that includes recruitment, skill and competence assessment; payroll support and time-and-attendance administration; workforce and succession planning; employee recognition and performance management; employee relations, benefits; labor management; workers compensation and unemployment compensation assistance; and management of the automated human resources personnel systems. In addition, the program evaluates human resources management activities;

adherence to merit principles and prevention of prohibited personnel practices. Training includes guidance, classes, and activities to develop human resource skills for managers and employees.

Human Capital Planning and Solutions:

The Human Capital Planning and Solutions Program Office assures that DOT satisfies statutory and regulatory requirements to conduct workforce analyses and planning, competency management and reporting on the department's leadership development and other learning programs in support of the human capital initiatives. OST partners with modal HR organizations to fill OA gaps and leverage services in order to meet the increasing requirements of statute and those related to the human capital initiatives. In addition, the office works with OAs to identify positions and develop recruitment strategies, and ensures OA awareness of the commitments for hiring individuals for these programs (e.g., training and rotational requirements, developing individual development plans, and monitoring intern performance).

Human Capital Planning and Solutions offers leadership development opportunities for DOT supervisors, managers and leaders. This program also offers Executive Coaching for managers and executives, and leadership training and development activities for identified target groups.

Departmental Programs:

The Departmental Special Programs Office provides centralized coordination of programs that cross all DOT operating administrations and Secretarial offices. Program responsibilities include, but are not limited to: Secretary's Annual Awards Program, Combined Federal Campaign, Incentive Awards Program, various OPM Performance Management Awards Programs, Public Service Recognition Week, Blood Donor Program, Volunteer Program, and the Voting Assistance Program.

Executive Resources Center for Excellence:

The Department is consolidating the executive resources function into one servicing unit within the WCF. This single consolidated Executive Resources Center of Excellence will provide services to all Operating Administrations (OA) except the Federal Aviation Administration and the Office of the Inspector General.

Currently, each of the nine OAs provide their own executive resources. While the functions they perform are similar, the level of service, guidance, and accuracy of information varies greatly. The Executive and Political Resources Office within the WCF currently provides all OAs with oversight and expert guidance on all matters relating to executive resources.

Under the consolidated DOT Executive Resources Center of Excellence, the full range of executive and political resources operational services will be performed. Services will include such items as:

- position establishment and classification;
- performance management, bonuses and awards;
- recruitment and staffing;
- executive and professional development;

- benefits; and adverse/performance-based actions.

In addition, the Center of Excellence will provide all the services that the current Executive and Political Resources Office provides, such as:

- managing the overall DOT executive resource allocations,
- coordinating the Executive Review Board and Presidential Rank Award program,
- providing support and guidance to the Federal Aviation Administration on programs and policies that impact their executives.
- Providing principle advisory services to the Secretary's senior leadership team, including the Chief of Staff, Director of Operations, and the White House Liaison for all Departmental noncareer appointees
- case processing for Departmental noncareer hires,
- serving as the liaison to OPM for all human resources matters pertaining to the Department's noncareer workforce.

Under this model, a high level of customer service will be equitably provided to all OAs and the quality of service will be consistently sound and accurate.

#### DOT Work-life Program:

The Work-life Program provides information, resources and referral support to employees nationwide on a wide range of issues including, but not limited to, life transitions, wellness, telecommuting, time management, effective communication, financial health, parenting, child care, elder care, and long-term care planning. Support is provided over the phone, by e-mail, and via one-on-one work-life coaching consultations under the guidance of a work-life professional. The Child Care Advisor, a component of the Work-life Program provides the 28 DOT child care centers located across the nation with training for their boards of directors, directors, teachers, and family resource coordinators. In addition to the training, the Child Care Advisor performs on-site visits, which include observations of classrooms, mentor teaching in classrooms, and accreditation preparation. The Advisor is also available to work one-on-one with child care coordinators and directors on program design, and assist with needs assessment and interpretation of new accreditation guidelines.

#### Health Services:

DOT Health Services provides a full health service program with the goal of improving and maintaining the health of its employees. Health Services is staffed by Federal Occupational Health (FOH) staff eight hours per day, and provides service to a Federal population of approximately 3,600.

Health Services offer a full range of services including: individualized health counseling, periodic bed rest, blood pressure monitoring, glucose monitoring, allergens and other medications administered by injection (employee provides allergy medication), immunizations (Flu, tetanus and Pneumococcal), and traveler's health and immunization information.

#### HR Shared Services:



HR has identified four additional program areas that, if transitioned to a shared service, would substantially increase efficiencies, customer service, and eventually reduce the costs for these services. These program areas are: Benefits, Classification, Personnel Processing, and Leadership and supervisory training. These programs are described below:

Benefits:

Each of the Operating Administrations provide their own benefits services, each OA provides retirement counseling and processing, processing health and life insurance enrollments, Thrift Savings Plan changes, deposits and redeposits for service, reviewing employee's official personnel files, determining creditable service, and other benefit related activities.

The consolidation of the Benefits function to a single shared service center for all DOT OAs, except the OIG, will improve the consistency and quality of information and guidance provided to DOT employees; provide technical expert backups to ensure that employees can always get benefits assistance; maintain or improve the timeliness of service; and lead to economies of scale.

Classification and Personnel Action Processing:

Each Operating Administration, other than FAA and OIG, follows the same Title 5 rules, regulations and resources to classify positions, hire employees, and process personnel actions. To provide greater service consistency, expertise, and depth in service, the DOT will establish an HR Operations Center which will be responsible for the full scope classification and personnel action processing. This HR Operations Center would expand on the successful Executive Agent for Automated Staffing (EA) model that currently provides automated staffing for the Department, and would provide comprehensive human resource services.

These services would include meeting with managers to:

- discuss the title, series, and grades of positions;
- develop the job analysis for recruitment of the position,
- discuss announcement options;
- prepare the staffing packages; create and post jobs on USA Jobs;
- determine qualified candidates and issue certificates;
- make job offers and negotiate salaries and benefits;
- process personnel actions;
- and onboard new employees.

The establishment of this center will provide consistency across the Department and provide greater depth and breadth of HR knowledge and expertise and enhance support through a sharing of resources through a larger pool of HR Specialists.

Leadership and Supervisory Training:

The development of leaders and supervisors is based on the Executive Core Qualifications (ECQ's), and the competencies that are defined by the Office of Personnel Management (OPM). In addition, OPM has required competency specific training for supervisors during their

probationary period and refresher training for supervisors after several years of being a supervisor.

The consolidation of this training into a single center of excellence will provide all DOT leaders with a consistent level of high quality training opportunities and reduce costs for redundant supervisory and leadership training that is currently being contracted for in multiple OAs.

**Information & Records**

**\$10.264 million**

Docket Services:

Dockets Operations provides the legal framework for formal DOT proceedings, serving as a clearinghouse for rulemaking and non-rulemaking activity (e.g., proposed rules, final rules, notices, supporting materials, guidance and supporting materials, adjudications, and public comments).

In support of DOT goals and objectives to increase agency transparency and accountability, Dockets Operations utilizes the government-wide, image-based, electronic docket management system known as the Federal Docket Management System (FDMS) managed by EPA.

The FDMS promotes public access to and inclusion of federal regulatory and adjudicatory information by providing a centralized, internet site for the public to search, view, download, and submit comments/submissions on all federal rulemaking and non-rulemaking materials; thereby facilitating transparency. As a clearinghouse, Docket Operations serves operating Administrations within DOT and DHS-TSA in analyzing and uploading regulatory and non-regulatory documents, supplementary materials and public comments into the FDMS.

Multi-functional Printers:

The Multifunctional Printer Program (MFP) provides cost competitive equipment that copies, prints, faxes, and scans for the Department nationwide. The MFP Program include machine lease, all supplies including paper, and on-site maintenance support.

Visual Information and Printing (VIP):

The VIP Program utilizes the Government Printing Office's (GPO) Simplified Purchase Agreement Program (SPA), GPO Express, and Direct Deal Contracts to procure both printing and graphic services for Departmental efficiency nationwide. Utilizing the GPO allows faster processing time by allowing DOT to go directly to vendors, and receiving top quality services and volume prices. VIP provides expert consultation including design specifications, multi-media presentations, and CD-ROM layout services, web pages, publications, posters, plaques, and certificates.

OST Records Management (RM):

The OST RM Program is responsible for developing a comprehensive agency wide Records Program to plan, control, direct, organize, train, promote, and participate in other managerial activities involved in the creation, maintenance, and the use of records. The program oversees

program compliance with the following statutory and regulatory requirements to ensure effective and efficient records management within OST:

- Office of Management and Budget, [Presidential Memorandum -- Managing Government Records](#), (M-12-18),
- the National Archives and Records Administration (NARA), Bulletin 2017-02
- NARA General Record Schedules
- 36 Code of Federal Regulation, Chapter XII, Subchapter B, Parts 1220-1249
- DOT Chief Information Office Policy (CIOP), 1351.28
- OST Agency Record Schedules

Library:

While preserving the unique physical collections at the DOT Headquarters, the library is focused on meeting 21st century information needs of Departmental staff by increasing electronic resources supporting research and decision-making. The library is transforming to provide primarily electronic services and continuing to reduce its physical footprint through additional digitization and searchable metadata efforts to allow employees access at their desktops. The increase in electronic access to the library's collections continues to save the Department money through less administrative overhead by centralizing the management of multiple research subscriptions. The library also provides research and reference assistance across a variety of transportation and legal resources, as well as offering circulation, inter-library loan, journal routing, and cataloging services for both HQ and field offices.

**Security Operations**

**\$7.868 million**

Security & Investigations (S&I):

The Security and Investigations Program is an integral and crucial part of DOT's effort to ensure a safe and secure working environment for its federal and contractor employees and visitors; and to protect DOT facilities, equipment, and sensitive and classified information.

Security personnel coordinate criminal and administrative investigations of individuals and incidents occurring within the DOT headquarters facilities, and assist in resolving security-related problems for DOT regional offices. Security personnel review and conduct follow-up investigations on security incident reports and serve as liaisons with their counterparts in federal, state, and local law enforcement agencies, as well as at the DOT headquarters buildings. Security personnel are part of a crisis management team that works with human resources and law enforcement offices, employee assistance programs, and managers to help resolve potential workplace violence situations, and are frequently present during volatile disciplinary actions. Staff also provides security awareness seminars for DOT employees on topics such as theft deterrence to ensure adequate protection of government and personal property.

The S&I program staff includes federal employees who coordinate and oversee the installation, operation, and maintenance of integrated security systems, which include CCTV cameras, monitors, X-Ray inspection systems, magnetometers, and card access systems located within the three DOT Headquarters buildings and the DOT COOP site. Installation and maintenance are

mostly handled by contractors who are funded out of the SEFC Building Security budget. Equipment purchases are mostly funded by the specific building security budget for which there is a need, although some equipment funds are in the S&I program to purchase general inventory for emergencies at all of the DOT Headquarters facilities.

This program also includes lock and key services and changing safe combinations periodically within our DOT headquarters buildings (SEFC, 10A, 10B and 55 M Street – DOT space only).

Personnel Security Program:

The personnel security program includes the initiation and processing of required background investigations on all DOT federal and contractor employees; the review and adjudication of all completed investigations; re-investigations and continuous evaluations; and, as necessary, the granting of security clearances for access to classified information. The security staff provides this service for all OAs except FAA, which has delegated authority to run its own personnel security program. Under this program, the security staff is responsible for ensuring that DOT complies with laws, Executive Orders and regulations, including all new Federal Investigative Standards (FIS), pertaining to personnel security. The staff also provides DOT liaison with other federal agencies on behalf of the OAs.

National Industrial Security Program (NISP):

The NISP ensures that National Security clearances for contractors working on classified contracts are obtained by the contractor, through the Department of Defense, before the contractor can access classified information in the performance of their duties on a DOT contract. Personnel Security staff processes and maintains this program, while Information Security staff perform overall management including conducting investigations into any problem areas, providing technical assistance to the DOT components on their responsibilities under NISP, and issuing recommendations as needed. With an increasing number of contractor employees working on-site at DOT facilities, it is especially important to ensure that background investigations have been conducted on these contractors and that they are suitable to work on classified contracts.

Identification Media Program:

DOT issues Identity (ID) Media, which includes Temporary Badges and Official Credentials to employees (Federal and Contractor) located in the DOT headquarters and in regional, field and area offices with the exception of FAA, the Volpe Center, and a few Operating Administrations. The identification media automated system assists in identifying persons working within the DOT buildings and is essential for proper management of both identification cards and credentials.

HSPD-12:

HSPD-12 requires DOT to establish and follow stringent procedures to ensure a separation of functions in the issuance of Personnel Identification Verification (PIV) ID cards. Specifically, those who register and enroll DOT personnel may not serve as sponsors. DOT Employees (Federal and Contractor) perform duties associated with the registration, enrollment and issuance of DOT PIV Cards. DOT federal employees are responsible for initiating background

investigations in order complete the minimum verification requirements for the issuance of PIV cards. FAA is the HSPD-12 PIV Card service provider for the technical infrastructure required to run the HSPD-12 program.

Passport Program:

The Secretary of State has designated the Office of Security as the Passport Agent for DOT, which provides this office the authority to execute and verify official passports on behalf of the Department of State. The Office of Security maintains a passport unit to support all DOT personnel, in all OAs (with the exception of FAA) and Secretarial offices, which require official passports and visas. Although FAA operates its own program, the Office of Security has oversight responsibilities that also include tracking the number of actions monthly and reviewing quarterly and annual designation forms that FAA submits to DOS. Obtaining passports and visas in a timely manner is crucial to DOT personnel meeting foreign travel requirements. Travel requirements often occur with little or no advance notice and it is essential for the Office of Security to respond expeditiously to the passport and visa requests. Requirements for U.S. citizens to have passports for travel to countries where they did not previously need them, such as Canada and Mexico, have increased the passport processing workload.

Information Security Program:

This program provides technical direction and oversight for the protection and safeguarding of classified information and materials at DOT nationwide (excluding FAA), as well as advice, assistance and training to all DOT OAs on matters pertaining to classified information. The Information Security Specialist develops and delivers initial and annual training to roughly 900 clearance holders at DOT (non-FAA) that is required by Executive Order 13526 as a condition of holding a security clearance. FAA operates a separate Information Security Program under authority delegated from DOT, and oversight is exercised by the Office of Security of FAA's security program activities as required by the delegation.

Executive Order 13556 directs executive agencies to develop and manage a program to identify and protect sensitive but unclassified information under a single banner identified as Controlled Unclassified Information (CUI), which will replace all previous labels such as For Official Use Only (FOUO) or Sensitive But Unclassified (SBU). The Federal regulation directs Executive Branch agencies to provide training (both initial and recurring) to all employees and contractors, perform ongoing internal inspections, ensure continued monitoring and tracking, perform Department-wide audits, and submit periodic reports to the National Archives and Records Administration. All of these activities are designed to protect a category of information that is not classified but yet is sensitive and warrants special treatment. The Office of Security has coordinated DOT's transition to CUI, including the development and delivery of required training, completion of audits, and reporting.

The Information Security Program also conducts non-criminal investigations, and issues findings and recommendations, including possible disciplinary or remedial actions with respect to deficiencies or security violations/infractions. Finally, this program manages a contract for the destruction of classified and sensitive information at the DOT and FAA Headquarters buildings and maintains records for all security containers (safes) used within the Department that are serviced by the locksmith. This includes periodic inspections to ensure that classified information is properly stored in accordance with 32 CFR Part 2001.

Technical Security Program:

The Office of Security manages several security programs that fall under a general security category called Technical Security. These programs, such as communications security (COMSEC), control of compromising electronic emissions (TEMPEST), and technical surveillance countermeasures (TSCM) require the expertise of persons highly trained in complex technical matters. This expertise is provided to the OAs and covers the protection of classified national security information and other sensitive information when discussed or processed during meetings or on information technology systems, or when electronically transmitted. Additional technical support is provided to the DOT components installing or modifying access to secure communications systems such as the Homeland Security Data Network (HSDN) or the Joint Worldwide Intelligence Communication System (JWICS), to ensure DOT compliance with external system requirements.

The Office of Security directly manages the COMSEC program for DOT Headquarters and field facilities (excluding FAA). The COMSEC program includes both fixed and mobile equipment and devices that process classified communications. This responsibility includes management of the DOT COMSEC account, conducting required inventories of controlled cryptographic equipment and material, and issuance of secure communications equipment, including the IP phones, which are in the process of replacing the existing Secure Terminal Equipment (STE) units, and secure wireless and satellite phones.

**Substance Abuse Awareness & Testing****\$7.791 million**

The DOT Federal Employee Drug and Alcohol Testing Program, mandated by Executive Order 12564 and the Omnibus Employee Transportation Act of 1991, is the second largest program in the Federal Government with over 80,000 federal employees in the testing pool. Services under this program are provided to all DOT Operating Administrations, the U.S. Merchant Marine Academy and to the following agencies within the Department of Homeland Security (DHS): Transportation Security Administration (TSA), U.S. Coast Guard (USCG) and the Federal Air Marshals (FAM) program. Services are provided on a nationwide basis and include setting program policy requirements; briefings to unions on policy changes; testimony at third party hearings; random selection process; follow-up drug and/or alcohol testing program for employees who have completed rehabilitation; urine collection and laboratory testing services for pre-employment, random, return-to-duty, follow-up, reasonable suspicion, and post-accident; breath alcohol testing services for random, return-to-duty, follow-up, reasonable suspicion, and post-accident; split specimen testing services; medical review officer services; managing, coordinating and conducting employee awareness programs and mandatory supervisory training; and coordination of the Employee Assistance Program. Drug and alcohol collection and testing services are provided through contract vendors.

**Transit Benefits & Parking****\$304.392 million**

Transportation Services (TRANServe) delivers transit benefit services to DOT operating administrations and Non-DOT agencies and provides parking management services to DOT employees. This program receives funding under three different authorities in performing its various roles in support of DOT and Non-DOT agencies.

- Working Capital Fund (WCF) cost reimbursable agreements under Title 49 U.S.C 327.

- Non-DOT WCF under Section 103 of the Consolidated Appropriations Act, 2019 (Div. G, Pub. L. 116-6)
- Employee Parking Deposits for parking spaces to DOT employees under GSA Federal Management Regulation.

Transit Benefit Program:

The TRANServe Program Office is a Federal Government shared services provider for transit benefits to 123 Federal agencies with over 155 thousand participants receiving \$315 million of services annually. TRANServe provides this fringe benefit in accordance with the Internal Revenue Code section 132(f).

From the perspective of providing an efficient, economical means to distribute transit benefits, TRANServe enables agencies to make use of a single established distribution system, with extensive internal controls over the receipt, maintenance, and distribution of the transit benefit provided to Federal employees under the program. It eliminates the need to establish multiple systems duplicating these functions at agencies and individual offices throughout the country. There is no mandate to use TRANServe for transit benefit distribution, participating agencies have decided it is in their interest to use TRANServe services.

Participating agencies, TRANServe, and transit benefit recipients all have specific responsibilities to help ensure that the Transit Benefit Program functions efficiently and that individuals participating in the program receive only the benefits they are eligible for, and use it appropriately, “for Home to Work to Home Mass Transit Commutes Only.”

The Program is supported by a complex and dynamic network of activities, such as statistical forecasting for nationwide distribution, an elaborate array of financial analysis for agency billing, and a flexible IT architecture that serves as the program’s system of record. The commercial marketplace supporting the transit benefit delivery system is continuing to evolve to a more technologically advanced discipline. TRANServe has also transitioned its distribution methodology to a 99% electronic format through the TRANServe Card thus reinforcing a low cost, efficient framework to deliver the transit benefit.

TRANServe continues to improve its delivery method and will be transitioning from a debit card to a credit card platform. TRANServe has done extensive market research, and met with the banks and brands under GSA’s SmartPay 3 contract and determined that the SmartPay 3 program offers better utilization of the transit benefit funds through payment efficiencies that are inherent to credit cards. Through SmartPay3 TRANServe customers will be better able to ensure mission funds are available to serve critical agency needs and be better stewards of taxpayer dollars. Additionally, the banks and brands under the SmartPay3 contract have demonstrated a robust data mining and reporting capability that will enhance TRANServe’s ability to improve customer service and protect the programs against fraud, waste, and abuse.

The Parking Management Program:

The Parking Management Program sells, issues, and administers weather-secure parking spaces in the DOT headquarters building. In addition, the program provides oversight to FAA for the management of their parking fees. The Parking Office collects money from the sale of parking permits for the regular monthly parking, temporary parking, and FAA parking.

**Unemployment Compensation**

**\$2.066 million**

The Department of Labor requires a central billing point in each cabinet agency for the unemployment costs of employees. The Working Capital Fund accepts unemployment compensation charges from the Department of Labor and bills each operating administration for their costs through a centralized billing service. Department of Labor (DOL) bills the Department of Transportation on a quarterly basis for their unemployment charges.



**FY 2020 OFFICE OF THE CHIEF INFORMATION OFFICER  
WORKING CAPITAL FUND  
BUDGET REQUEST  
(\$000)**

<u>Program</u>	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2019 Enacted	FY 2020 Request
DOT Activities	\$ 76,307	\$ 80,720	\$ 80,720	\$ 82,532
WCF Shared Services	0	0	106,290	179,002
Non-DOT Activities	0	0	0	0
<b>Total</b>	<b>\$ 76,307</b>	<b>\$ 80,720</b>	<b>\$ 187,010</b>	<b>\$ 261,534</b>

Staffing

Reimbursable Positions	92	42	42	133
Reimbursable FTE	42	42	42	133

**Background**

The Office of the Chief Information Officer (OCIO) has the responsibility for the management and administration of the IT Shared Services portion of the Department's WCF organization, including the infrastructure known as the common operating environment (COE). This includes telecommunications, messaging, directory services, a fully consolidated DOT headquarters network, service desk and related support.

The OCIO is committed to securely offering shared services that meet customer needs, delivering the highest quality customer service, and providing efficiencies to free the Operating Administrations to focus on mission systems, rather than commodity IT.

The FY 2020 WCF Shared Services request of \$179.00 million in obligation limitation will provide oversight and guidance for the IT services delivered to the Department's OAs on a cost recovery basis. As the consolidations are completed, the WCF will add them to requests in subsequent budget cycles. The request for the consolidation crosses all OCIO business lines and is summarized below:

- \$85.61 million for Commodity IT. Greater efficiency can be realized if IT services are centrally managed. OCIO is already working to consolidate IT services across the Department, and under the streamlined model, OCIO will be responsible for the full life-cycle of services and technology tools, including acquisition and management of devices.

Coordinating with separate OA's that control disparate elements of the network results in excessive risk to the Department's vital IT services. Furthermore, this decentralized model inhibits implementing strategic approach to providing network services because of

tactical siloed decision making within each OA. A centrally operated and protected network will enable the OA's to focus on their core missions.

- \$93.39 million for the Application Portfolio. The OCIO is currently studying the Department's Non-FAA IT portfolio, with a goal of standardizing the Department's technical architecture. Currently, the technical architecture is inconsistent, with many solutions being outdated or non-standard. Modern technologies, are not being consistently evaluated and utilized.

Furthermore, decentralization has inhibited consistent interpretation and application of cybersecurity, privacy, and other policy and operational practices. This results in infrastructure components that are duplicative and inconsistent. Data requests are inconsistent and variable which requires significant effort to standardize and quality check information. A more modern, centralized approach would improve cybersecurity; increase the consistency of IT Data Department-wide; and potentially reduce operations and maintenance costs.

The FY 2020 request includes ninety-one positions to directly support the Department's OCIO Shared Services Initiatives and will be transferred from the OAs based on the table outlined below. Enactment of the Appropriation Act, 2019, provided additional obligation limitation that will be used for the Department's shared services initiative. As a result, transfer of 57 positions associated with commodity IT from the Operating Administrations may begin in FY 2019.

	<b>FY 2020 WCF Shared Services IT Positions Transition</b>	
	<b>OA FTP</b>	<b>WCF FTP</b>
OST	0	0
FAA	0	0
FHWA	(21)	21
FRA	(16)	16
NHTSA	(7)	7
FTA	(8)	8
SLS	0	0
VOLPE	0	0
MARAD	(9)	9
OIG	0	0
FMCSA	(19)	19
OST-R	0	0
PHMSA	(11)	11
<b>Total:</b>	<b>(91)</b>	<b>91</b>

OCIO continues to implement the approved reprogramming and reorganization that was based on an extensive information technology (IT) workforce analysis completed in FY 2014. This realignment improves management and efficacy of the management of IT. Funding for the new positions will be realigned from the OCIO's contract line item.

Remediation of significant cybersecurity vulnerabilities and weaknesses may also be addressed through the WCF in cases where there is a compelling need. In addition, OCIO will leverage the IT shared services initiative to identify costs savings and efficiency gains in commodity IT functions across the Department.

## **MISSION/VISION/VALUES**

The WCF programs managed by the OCIO provide the Department with a single source for competitively priced, comprehensive range of IT services while continuously improving the technology and safety of the IT infrastructure for the Department. WCF OCIO provides expertise to the Department with state-of-the-market technical expertise, institutional IT knowledge, and historical data that is not readily available from other sources.

## **FY 2020 OCIO BUSINESS LINES BY PROGRAM**

### **Business Management and IT Administration**

**\$6.614 million**

IT Admin & Special Projects supports the overall management of the IT shared service programs and certain special projects. The program costs are recovered through an equitable distribution to each OCIO program.

Financial Management Group provides business management and full back-end financial support to the OCIO programs and special projects. The program costs are recovered through an equitable distribution to each OCIO program.

Logistics & Support Services include direct management and oversight of OCIO programs, Continuity of Operations (COOP) and Disaster Recovery (DR) activities for OCIO programs, Inventory Management/Help Desk software implementation and maintenance, Stockroom, and Administrative services. The program costs are recovered through an equitable distribution to the IT Shared Services programs.

### **Campus Area Network (CAN)**

**\$17.970 million**

Campus Area Network provides support services for the network infrastructure, Internet connectivity, and secure connections for the DOT headquarters and connectivity between DOT HQ and other DOT buildings in the DC Metro area, including the FAA HQ (FOB-10A). The request includes continued enhancement of the DOT network infrastructure and continued improvements of the DOT network security posture.

The request includes support for the 5-HELP Service Center Incident Management Center; maintenance support for new security software and appliances; support of the additional bandwidth for Internet connectivity; and the increased level of monitoring as required by DHS and the Trusted Internet Connection.

Enterprise Network Operations Center (ENOC), which is part of the DOT 5-HELP Service Center is responsible for the monitoring, notification, and facility management in support of OCIO. ENOC was established to provide twenty-four-hour handling of calls, problem management, staff notification, and system monitoring. Areas monitored 24 X 7 include:

- Network monitoring

- Server monitoring
- Telecom systems monitoring
- Automated problem ticket generation and escalation
- After-hours service desk support.

These services are provided to customers twenty-four hours a day regardless of physical location. ENOC costs are proportionally distributed to OCIO programs. OCIO will move forward with enhancing our monitoring capabilities to include additional security and network functionality.

Network Engineering provides planning, design and implementation services for network infrastructure. It is one of the focal points in enabling the consolidation of services and establishing a consistent and secure network across DOT including:

- Network Monitoring
- IP Address Management
- Network Design
- Network diagnoses and optimization

In FY2019, OCIO will focus on

- Field network consolidation
- Secure cloud connectivity
- Enhanced Remote Access solutions, and
- Enhanced network security.

### **Cyber Security as a Service (CAS)**

**\$18.690 million**

The mission of the DOT Cybersecurity As a Service (CAS) program is to ensure the protection, integrity, availability, and confidentiality of DOT business systems, and critical IT infrastructure across hundreds of geographically separated locations, including contractor facilities and cloud service providers. The program's primary function is to lead and oversee DOT's implementation of Federal cybersecurity regulations, policies, guidance, and capabilities, and ensure DOT's compliance with the Federal Information Security Modernization Act (FISMA), and other applicable statutory requirements.

The program operates and maintains the DOT enterprise cyber incident response capability to detect, protect, report, and respond to cyber events across the DOT global enterprise, and which supports coordination of the remediation or mitigation of vulnerabilities and weaknesses. The program reports cyber incidents to the Department of Homeland Security's (DHS) US-CERT cyber incident center, and coordinates DOT engagement and response activities with US-CERT and other Federal agencies.

The program also provides enterprise vulnerability assessment, software assurance, continuous monitoring, and cyber forensic services to assist DOT Components in identifying, and correcting or mitigating weaknesses in their information systems, and during incident response efforts.

The CAS program oversees DOT's Identity, Credential and Access Management (ICAM) program, in cooperation with the Office of the Assistant Secretary for Administration, ensuring implementation of Homeland Security Presidential Directive 12 (HSPD-12) and the use of

Federal smart cards for strong, authenticated access to DOT and Federal information systems, networks, and facilities.

This program leads the DOT security assessment and authorization (SA&A) processes, and the implementation of continuous monitoring and risk management across the agency, specifically for DOT CIO systems operated by the OCIO program team. The SA&A process within OCIO ensures that there is a secure, foundational general support system that DOT Components can leverage and inherit security from with minimal risk, and with minimal duplication of effort or resources. A key part of the SA&A functional area is the Department's Cyber Security Authorization Management (CSAM) platform and system. The CSAM system cost-effectively supports online, electronic development, validation and maintenance of system security and authorization packages, continuous monitoring activities, compliance assessments and reporting, and overall risk assessment and management functions. As a DOT enterprise service, and consolidated store of cybersecurity SA&A data and documentation, CSAM also provides capabilities that maximize re-use of available information to cost effectively support required enterprise information sharing and reporting to the Office of Inspector General, DHS, and the Office of Management and Budget.

**Desktop Services**

**\$50.181 million**

The OCIO desktop, laptop, and engineering PC program provides quality, cost effective seat management, and related support under Service Level Agreements (SLA) with customers. OCIO has expanded support to provide desktop support for all non-FAA regional and field users.

**Enterprise Dashboard**

**\$0.357 million**

The Dashboard allows users to visualize and understand WCF expenditures and to make better business decisions. The platform is also used to improve business intelligence in a variety of areas including demographics tracking, human resource planning, procurements, and undelivered orders.

**Enterprise Licenses**

**\$5.100 million**

OCIO manages Department-wide enterprise license agreements such as the Microsoft Enterprise License Agreement (ELA). Centrally managed enterprise agreements facilitate efficiency, improved management, and leverages economies of scale.

**Server and Messaging Services**

**\$103.697 million**

Server Operations:

The OCIO server operation includes all areas of server management and digital services, including Departmental Internet, Server Administration, Storage, Backup, and Server Hosting, professional services, Geographic Information System (GIS), Environmental Systems Research Institute (ESRI), Data Services, and Web projects.

The Departmental Internet program provides web design support for the DOT website and departmental collaboration tool such as SharePoint, as well as a subscription service for e-mail

management and search capabilities. OCIO will continue to provide a managed enterprise web content management system.

The GIS and ESRI program continues to provide comprehensive state-of-the-art geospatial solutions for the Department.

Server Operations provides hosting services for the cloud and HQ servers, and other devices for Operating Administrations (with the exception of FAA).

Server Operations continues to enhance OCIO server hosting capabilities to provide state of the art on demand services to support the mission of DOT. DOT will continue to focus on better meeting business requirements for cloud, storage, platform, and database services as well as focusing on security enhancements.

#### Directory & Messaging Services:

The OCIO Directory services provide secure authentication to authorized DOT users. OCIO currently manages more than 12,000 user and administrative accounts.

OCIO is further developing enhanced Directory Services to provide secure authentication for cloud mission applications to DOT and our partners including Federal, State, and local transportation agencies.

#### **Voice, Cable & Wireless**

**\$58.925 million**

The OCIO Voice, Cable, and Wireless (VCW) component offers customers a wide range of telecommunications services such as desktop telephone service with voice mail, wireless telephony, circuit analysis, cabling, billing analysis, inventory management, telecom coordination/customer service, teleconferencing and customer special projects.

The OCIO VCW program also includes Email and Mobile Device Management (MDM) which allows the DOT mobile workforce to securely access email, check their calendars, and keep up with work contacts remotely. OCIO has migrated to a more secure cloud solution for email and messaging capabilities.

VCW services are an essential part of the DOT's IT support mission and are comprised of more than 17,000 telephone lines and 8,000 voice mailboxes, supported by the Southeast Federal Center's telecommunications system.

A large amount of costs in this program area, support local and long-distance communications and utilities costs for telephone, T-1 lines and circuits between regional offices and other remote sites, internet communications, and redundant systems to ensure continuity of operations.

VCW includes the wireless services contract for the majority of the Department (non-FAA) and associated support.

Section 3 – FY 2020 Budget Request by Appropriation

Explanation of Funding Changes for the Working Capital Fund (DOT Activities only)		
<b>FY 2019 Enacted</b>		319,793
<b>FY 2020 Program Changes (+/-)</b>		
All programs include annualization of FTE and inflationary contract costs. Other increases are explained below:		
<b><u>Description</u></b>	<b><u>Explanation</u></b>	<b><u>Difference</u></b>
<i>Assistant Secretary for Administration</i>		
Acquisition & Procurement Operations	Workload changes due to consolidation	(1,364)
Building Security	Higher labor rates associated with new Guard Contract (\$1.67 million) and FAA 10A Moderanization (\$0.34 million)	2,002
E-Gov Initiatives	Changes in program levels as determined by managing partners	(1,254)
Financial Mgmt, Accounting, & Administration	Support costs for Accounting, Delphi, Prism, IT Continuous Monitoring - \$.43 million and additional positions .3 million	727
HR Systems	\$.20 million for APMP system and Reporting Dashboard and inflationary contract and IAA costs - \$.55 million offset by the exclusion of FAA in the LMS program.	(3,094)
Information & Records	VIP customer specific increase for Emergency Response Guide	2,321
Security Operations	Restore lapsed Positions - \$.45 million and IAA increases for Background Investigations and Passports & Visas - \$.24 million	687
Shared Services - Assistant Secretary for Admin	Shared Services Implementations	30,367
Transit Benefits and Parking	Current estimate of benefit utilization	(650)
Other	Changes in Customer Demand and refined user estimates	841
<b>Assistant Secretary for Admin Subtotal:</b>		<b>30,583</b>
<i>Chief Information Officer</i>		
Business Management and IT Administration	Contract positions converted to Federal	(1,366)
Campus Area Network (CAN)	Enhancements to existing security infrastructure	(1,445)
Cyber Security as a Service	Increased Continuous Diagnostics and Mitigation costs from DHS	851
Desktop Services	Anticipated increase in Field users	312
Enterprise Licenses	Increase in MS licensing costs	860
Server & Messaging Services	Increased customer utilization and pre-negotiated contract increases	2,707
Shared Services - Chief Information Office	Shared Services Implementations	72,712
Other	Changes in customer demand and refined user estimates	(107)
<b>Chief Information Office Subtotal:</b>		<b>74,524</b>
<b>Total FY 2020 Request</b>		<b>424,901</b>

**OFFICE OF THE SECRETARY OF TRANSPORTATION**

**Volpe Transportation Center Working Capital Fund (Non-Add)**

	(\$000)			
<b>FUNDING LEVELS</b>	<b>FY 2018 Actual</b>	<b>FY 2019 Annualized CR</b>	<b>FY 2019 Enacted</b>	<b>FY 2020 Request</b>
Personnel Compensation and Benefits	\$ 83,699	\$ 88,370	\$ 88,370	\$ 90,596
Travel	4,000	4,000	4,000	4,000
Other Costs	247,301	242,630	242,630	245,404
Programs	-	-	-	-
<b>TOTAL</b>	<b>\$ 335,000</b>	<b>\$ 335,000</b>	<b>\$335,000</b>	<b>\$ 340,000</b>

**STAFFING**

Direct Positions	0	0	0	0
Direct FTEs	0	0	0	0
Reimbursable Positions	576	633	633	633
Reimbursable FTE	556	570	570	570

**Program and Performance Statement**

The Working Capital Fund finances multidisciplinary research, evaluation, analytical and related activities undertaken at the Volpe Transportation Systems Center (Volpe Center) in Cambridge, MA. The fund is financed through negotiated agreements with other offices within the Office of the Secretary, Departmental operating administrations and other governmental elements requiring the Center's capabilities. These agreements also define the activities undertaken at the Volpe Center.



### **What Is This Program And What Does This Funding Level Support?**

Volpe Transportation Center Working Capital Fund provides a unique capability in the synergy of transportation expertise with its institutional knowledge of: the global transportation system and its stakeholder perspective; the Federal perspective with its awareness of federal responsibilities, objectives, and activities in the public interest; and experience with the full spectrum of technologies and disciplines relevant to transportation system improvements. Over 500 Federal employees, all dedicated transportation professionals and half of which hold advanced degrees, are the Volpe Center's most valuable asset. These employees represent an expansive variety of disciplines ranging from engineering to the physical and social sciences.

The Volpe Center provides leadership to advise, facilitate and manage a wide range of high profile, complex, and often rapid-response Departmental, agency, and priority initiatives of the Secretary. Through extensive outreach and coordination, the Volpe Center supports the Department's efforts to expand its understanding of current and emerging issues through strategic planning initiatives and timely communication.

Volpe's activities support the missions and strategic goals of Department agencies and many other Federal agencies on a full cost-reimbursable basis. The Department and other agencies provide funding to the Volpe Center to take advantage of its extensive expertise and experience, its proven ability to deliver high-quality products and services, and its customer focus--all which continue to be validated by periodic customer satisfaction assessments. All Volpe Center sponsors are voluntary customers – no one is mandated to fund activities at Volpe and the fact that sponsors continuously return to Volpe for support of new initiatives is a testament to the value the Volpe Center adds to the Department and to the Nation.

The Volpe Center programs are funded through its Working Capital Fund (WCF) on a full cost-reimbursable basis. The Volpe Center WCF receives no direct appropriations and its costs are paid by its customers via interagency and/or reimbursable agreements. The Volpe Center's purpose is to advance transportation innovation for the public good. Its core values are founded on providing quality public service, innovative solutions, professional excellence, and collaboration and partnering. To facilitate its purpose and mission, the Volpe Center is organized into technical centers. Collectively, these technical centers provide progressive, multidisciplinary expertise in support of key national transportation issues and work to solve complex transportation problems.

The Volpe Center WCF is authorized under 49 U.S.C. 328 to provide research, development, testing, evaluation, analysis, and related activities for the Department, other Federal agencies, State and local governments, other public authorities, private organizations, and foreign countries.

The Volpe Center partners with public and private organizations to assess the needs of the transportation community, evaluate research and development endeavors, assist in the deployment of state-of-the-art transportation technologies, and inform decision- and policy-making through the Center's comprehensive analyses.

The Volpe Center serves its sponsor agencies with advanced technologies, research, expertise, and programs to ensure a fast, safe, efficient, accessible and convenient transportation system that meets vital national and international interests and enhances the quality of life for the traveling public.

**What benefits will be provided to the American public through this request and why is this program necessary?**

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The Volpe Center is home to renowned multidisciplinary experts in all modes of transportation. Volpe serves its sponsor agencies with advanced technologies, research, and programs to ensure a safe, efficient, accessible, and convenient transportation system that meets vital National and international interests and enhances the quality of life for the traveling public, today and into the future.

The Volpe Center’s research, technical, and program professionals help sponsors thrive by applying best practices culled from more than 40 years of solving problems for and across multiple modes. The Volpe Center also undertakes new research to address emerging issues and advance innovation in transportation. Its multimodal experience enables the Volpe Center to consider unique approaches and to champion ideas that make our sponsors’ processes more efficient, their work more effective, and their solutions more fully realized.

As a vital partner and objective advisor to transportation agencies, the Volpe Center serves as an integral collaborator that can function as an extension of staff, internalizing sponsor goals and objectives. The Volpe Center is fully fluent in operations, practices, and protocols, and serves the agency and public interest with a highly educated and creative staff. Guided by a deep understanding of federal practices, and delivers innovative solutions in infrastructure, advanced transportation systems, and technologies to support the global transportation mission.

**EXHIBIT IV-1**  
**FY 2018 RESEARCH, DEVELOPMENT & TECHNOLOGY BUDGET REQUEST BY GOAL**  
**DEPARTMENT OF TRANSPORTATION**  
**BUDGET AUTHORITY**  
(in thousands of dollars)

Account	Program	Classification (R, D, F, or A)	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
<b>OFFICE OF THE SECRETARY</b>					
<b>A.</b>	<b>Transportation Planning, Research &amp; Development</b>		<b><u>14,000</u></b>	<b><u>7,879</u></b>	<b><u>8,000</u></b>
	Development	D	8,341	1,309	1,356
	Administration	A	5,659	6,570	6,644
<b>B.</b>	<b>Research &amp; Development</b>		<b><u>20,445</u></b>	<b><u>20,046</u></b>	<b><u>5,078</u></b>
	Salaries and Administrative Expenses	A	3,227	2,828	2,860
	Research & Technology Programs		2,218	2,218	2,218
	Applied Research	R	930	930	930
	Development	D	1,288	1,288	1,288
	National Competitive University Transportation Centers (UTC)		15,000	15,000	-
	Applied Research	R	14,775	14,775	-
	Administration	A	225	225	-
	Competitive University Transportation Center (UTC) Consortia (FHWA) <sup>1/</sup>		[68,775]	[77,500]	[77,500]
	Applied Research	R	[67,743]	[76,337]	[76,337]
	Administration	A	[1,032]	[1,163]	[1,163]
	Subtotal, Applied Research	R	15,705	15,705	930
	Subtotal, Development Research	D	9,629	2,597	2,644
	Subtotal, Research and Development	F	-	-	-
	Facilities Subtotal, Administration	A	9,111	9,623	9,504
	<b>TOTAL</b>		<b><u>34,445</u></b>	<b><u>27,925</u></b>	<b><u>13,078</u></b>

<sup>1/</sup> Resources are shown as non-adds because the funding resides in the FHWA budget. Funding reflects the FAST ACT authorized level.

## **OFFICE OF THE UNDER SECRETARY OF TRANSPORTATION FOR POLICY**

### **FY 2020 RD&T PROGRAM SUMMARY**

#### **RD&T PROGRAM: Transportation Planning Research and Development**

##### Objective:

Conduct research on transportation standards, technical aspects of industry proposals, and transportation industry indicators. Research and review of cost benefit analyst of policy.

##### Description:

The TPR&D program within the Office of the Under Secretary for Policy focuses on identifying improvements in transportation through new and innovative approaches to assisting the travelling public, mitigating adverse environmental effects, and lessening impacts to industry. The program fosters improvements in safety, technology and efficiency through research and studies. Once standards and practices are developed and approved through the research conducted, the information is used to create policy and regulation for the transportation system.

##### Outputs:

The TPR&D program within the Office of the Under Secretary for Policy provides economic research reports to develop and refine departmental policy positions. RD&T studies also update the state-of-the-art on economic modeling of, and data for, the aviation industry, in support of the mission of the Office of Aviation and International Affairs.

##### RD&T Partners:

Partners include the Office of the Assistant Secretary for Research and Technology, FAA, FHWA, FRA and FTA; the network of University Transportation Centers (UTCs), and other private and not-for-profit organizations that engage in transportation research, including the Transportation Research Board of the National Academies. The research promotes the economic competitiveness of the U.S. airline industry, benefiting the U.S. travelling public, and U.S. air carriers seeking access to foreign markets. The travelling public and emerging industry will benefit from research into emerging transportation technologies. The public also benefits from research to improve the safety of the transportation system and reducing adverse environmental impacts.

##### Initiatives:

###### Safety Data Initiative / Automated Vehicles:

By the end of FY 2019 the program anticipates completing several roadway safety pilot projects through the Safety Data Initiative (SDI), which will include disseminating the results and highlighting lessons learned with State and local government partners at various conferences and Departmental stakeholder events. The Office plans on completing a number of projects in FY 2019. Enhancing the visualization of safety data at the Department, we will use NHTSA's Fatality Analysis Reporting System (FARS) data to showcase the possibilities of new

visualization tools to help decision makers and the public understand safety problems and potential solutions related to pedestrian and motorcyclist fatalities. Through data integration and advanced analytics, we will explore how to derive safety insights to help better understand roadway safety risk. Using Waze data, we will work with State and local representatives as case studies to create safety applications from the crowd-sourced data. From various national transportation, built environment, and sociodemographic data sets we will publish in an academic journal on predictive safety analysis to inform pedestrian risk, and visualize the results with geospatial software. In support of rural safety, we will complete research that combines crash, roadway, and traffic speed data to better understand the role speeding information could play in improving safety data analysis in rural areas.

Based on the lessons learned from the pilots, the Office will procure services to enhance the Department's ability to perform data integration and analysis using innovative technologies and techniques. The procurement vehicle is expected to be started in FY 2019, and new projects will begin that will utilize this newly acquired expertise. The Office expects these projects to begin to help the Department and partner agencies perform analyses that will help answer safety issues with new data, identify patterns of risk, track changes and emerging trends, and address the largest safety risks.

With regards to Automated Vehicles (AVs), the Department looks to further enable the safe testing and integration of AVs in our Nation's transportation systems and execute the signature topics outlined in DOT's *Preparing for the Future: Automated Vehicles 3.0*. In 2019, the Department will have developed and published a comprehensive plan for automated vehicles, published a study on Impact of Automated Vehicle Technologies on the Workforce, and will have announced up to \$60M in grants for recipients of the Automated Driving System Demonstration grants. To ensure the success of the above accomplishments, the Department will have at a minimum at least four unique stakeholder automation-related events to obtain input, feedback and validation of our assumptions.

Interagency Infrastructure Permitting Improvement Center and Online Permitting Dashboard:

Funding for the Interagency Infrastructure Permitting Improvement Center and the Permitting Dashboard, administratively located within the Office of Policy Development, Strategic Planning, and Performance, will enable the continuation of work to reduce infrastructure permitting and review timelines by producing a more streamlined efficient process.

Significant activities include:

- Continued facilitation of data collection and reporting in conjunction with development, management, maintenance, operation, and oversight of the Dashboard. Projects will continue to be posted on the Dashboard in accordance with the requirements of the Fixing America's Surface Transportation (FAST) Act, and Guidance issued by the Office of Management and Budget that establishes metrics for permitting and environmental review of all major infrastructure projects. Funds are necessary to implement significant upgrades to the Dashboard to fully expand its technical and visualization capabilities to support project management and tracking, as well as improve public transparency for

projects across the Federal government. Funding will support the further development of a new user interface, integration of real-time reporting on performance metrics, and additional visual enhancements including data visualizations, in addition to synchronization with other federal agencies tools, as the dashboard is expanded to include a significant number of additional projects. These ongoing data visualization efforts, including real-time visual reporting of project and Federal agency performance will provide additional transparency and accountability.

- Targeted technical assistance, training, and outreach related to reform implementation across federal agencies and bureaus, as well as state, local and tribal governments.
- Conducting research and piloting new policies, such as approaches for conducting environmental analysis, including analysis of mitigation options.
- Continuing to develop new policy improvements and process reform recommendations to accelerate project delivery through synchronized/coordinated environmental review and permitting among agencies, and promoting shared National Environmental Policy Act documents to satisfy all environmental reviews and permits. This includes identifying additional best practices associated with early stakeholder engagement, reducing information collection requirements, and other aspects of environmental review and permitting as well as to facilitating advanced planning for mitigation of project impacts and use of landscape or watershed-level approaches to mitigation to achieve improved environmental and community outcomes.

## OFFICE OF THE ASSISTANT SECRETARY FOR RESEARCH AND TECHNOLOGY

### RESEARCH & TECHNOLOGY PROGRAM

#### **Project: *Research, Development and Technology (RD&T) Coordination***

*DOT Strategic Goal: Innovation (Strategic Objective 1: Development of Innovation)*

*DOT Strategic Goal: Innovation (Strategic Objective 2: Deployment of Innovation)*

**Objective:** Coordinate, facilitate and review the Department’s investments in research, development and technology (RD&T).

**Description:** This program works to eliminate potentially duplicative research activities, optimize the effective use of Department-wide research resources, and ensure that the Department’s research activities are coordinated with the wider transportation research community. Specific duties include:

- Strategic research planning and Department-wide research budget development;
- Aligning Departmental research with policy objectives;
- Addressing Department-wide legislative research mandates;
- Evaluating progress on the Secretary’s strategic innovation objectives by collecting and tracking Department-wide research performance measures;
- Identifying and leading cross-modal research initiatives in partnership with DOT Operating Administrations, industry, and academia;
- Implementing best practices in innovation development and deployment across the Department’s Operating Administrations; and
- Ensuring transparency and public access to the Department’s research portfolio and its products.

Through the execution of the duties listed above, the program directly addresses the Secretary’s Innovation priority and indirectly impacts the achievement of the Secretary’s safety and infrastructure goals.

#### **Outputs:**

- Implementing research elements of the *USDOT Strategic Plan (FY 2018 – 2022)*.
- Updating and implementing the FAST Act mandated *USDOT 5-Year Research, Development and Technology Strategic Plan (FY2017-2021)* to ensure alignment with the *USDOT Strategic Plan* (above).
- Managing a revamped Department-wide annual research funding review and approval process on behalf of USDOT senior leadership. This new oversight process began in FY 2019 and will continue in FY 2020 and future fiscal years.
- Conducting the annual review, approval, and Secretarial certification to Congress of DOT’s Annual Modal Research Plans (AMRPs). The FY 2020 AMRPs are required by the FAST Act to be posted on a public website by January 30, 2020.
- Preparing the Annual Research Funding Reports and Research Performance Reports mandated by the FAST Act, for submission in conjunction with the President’s Budget Request, and ensuring alignment with the *USDOT Strategic Plan*. These reports will be submitted with the President’s Budget Request in early February 2020.

- Evaluating performance on the Department’s new strategic innovation objectives by collecting and analyzing Department-wide performance measures. This effort is aligned with the Department’s quarterly Performance Management Review (PMR) process.
- Conducting bi-weekly RD&T Planning Team meetings to facilitate coordination and collaboration across the Operating Administrations and Secretarial offices.
- Partnering with the European Commission, the International Transport Forum, and other international organizations to address global transportation issues and to ensure that U.S. interests are represented in international research discussions.

**RD&T Partners:**

- The Department’s Operating Administrations (OAs) and Secretarial Offices.
- U.S. Department of Energy; and other Federal Department and Agencies.
- Stakeholders including the Transportation Research Board (TRB) and its hundreds of committees, TRB cooperative research programs, the Association of State Highway and Transportation Officials Research Advisory Committee (AASHTO RAC), academic institutions, state DOTs, transit authorities, local, regional and state planning entities, local, state and regional governmental entities, and the private sector including the owners and operators of transportation infrastructure.
- The European Commission, the International Transport Forum, and other international transportation research stakeholders.

**RD&T Strategies:**

- Improve transparency, accountability and coordination of the Department’s RD&T investments and results.
- Increase and leverage multimodal RD&T activities across the Department and among Department-funded researchers and other stakeholders.
- Fund small, time-critical research projects.

**Project: *USDOT Research Hub***

*DOT Strategic Goal: Innovation (Strategic Objective 1: Development of Innovation)*

*DOT Strategic Goal: Innovation (Strategic Objective 2: Deployment of Innovation)*

**Objective:** To provide information on the Department’s research, development and technology projects and their products. This critical information is used as the basis for OST-R’s research coordination and collaboration mission. The Research Hub is also used to ensure RD&T portfolio transparency, track progress towards the achievement of the Secretary’s Innovation goal, and meet the FAST Act requirement for maintaining a Consolidated Research Database.

**Description:** This project consists of a web-based, publicly available centralized repository of RD&T project records obtained from each OA (provided online at <https://researchhub.bts.gov/search>). The database supports research coordination by providing project-level access to the Department’s extensive RD&T portfolio, ensuring transparency and leveraging opportunities for cross-agency and external collaboration. The database is used to develop reports on pertinent research topics, and to identify gaps and potential duplication in ongoing research activities across the Department. Beneficiaries include Departmental staff,



transportation research program managers and researchers, external stakeholders, transportation system managers and users, the Office of Management and Budget (OMB) and Congress. FY 2020 funding will be used to maintain new functionality developed in FY 2019 and content required for the database to be used as a performance measurement tool for the implementation of the *DOT Strategic Plan* (Innovation section) and continue to meet the “Consolidated Research Database” requirements cited in the FAST Act.

**Outputs:**

- Increasing leveraging of knowledge, funds and products that come from the expenditure of the Department’s RD&T investments.
- Tracking the Department’s RD&T spending and types of research investments.
- Identifying research gaps, overlaps, and potential synergies, and answering inquiries concerning the Department’s RD&T activities and research topics.
- Ensuring transparency by providing public access to the Department’s research portfolio.
- Conducting cross-modal reviews of the Department’s research portfolio to ensure the optimal allocation of future research resources.
- Supporting performance measurement for the *USDOT Strategic Plan*’s Innovation goal.

**RD&T Partners:**

- The Department’s OAs and Secretarial Offices.
- Department-funded researchers, including the OST-R-managed University Transportation Centers (UTCs), and Federal Aviation Administration’s (FAA) Centers of Excellence.
- Stakeholders including TRB and its hundreds of committees, TRB cooperative research programs, AASHTO RAC, academic institutions, state DOTs, transit authorities, local, regional and state planning entities, local, state and regional governmental entities, and the private sector including the owners and operators of transportation infrastructure.

**RD&T Strategies:**

- Improve the transparency and accountability of the Department’s RD&T investments.
- Increase and leverage multimodal RD&T activities across the modes and among Department-funded researchers and other stakeholders.

**Project: *Technology Transfer (T2) Program***

*DOT Strategic Goal: Innovation (Strategic Objective 1: Development of Innovation)*

*DOT Strategic Goal: Innovation (Strategic Objective 2: Deployment of Innovation)*

**Objective:** T2 Program activities focus on leveraging the Department’s research products to facilitate commercialization and subsequent “real world” benefits. The program works with the OAs to assist them in understanding and implementing best practices in research product development and deployment and in building technology transfer mechanisms into research planning early in the process. The program supports OST-R’s overall RD&T coordination mission, and is responsible for tracking Department-wide progress on the “Development and Deployment of Innovation” strategic objectives.

**Description:** Technology transfer is the process the federal government uses to advertise and deploy its research by transferring scientific information (technologies and best practices) to stakeholders and users who may further develop it for public or private needs. It includes various elements of transferring technologies and augments the Department’s marketing and deployment of technology transfer projects. This program supports the full use of the Department’s investment in research and development and protects intellectual property by securing patents and issuing licenses (where applicable) that facilitate technology commercialization.

**Outputs:**

- Leading collaborative efforts with the cross-modal technology transfer team.
- Evaluating progress on the Secretary’s strategic innovation objectives by collecting and tracking Department-wide performance measures.
- Coordinating the Department’s response to the Presidential Memorandum on Accelerating Technology Transfer and Commercialization of Federal Research in Support of High-Growth Businesses.
- Developing the Department’s Technology Transfer Annual Performance Report and submitting it to the Department of Commerce and Office of Management and Budget.
- Identifying Department-funded technologies for potential application.
- Providing training in processes and best practices for facilitating technology transfer.
- Leading collaborative efforts within the Department in response to mandates from [Lab to Market Cross-Agency Priority Goal](#) (chaired by Office of Science and Technology Policy and National Institute of Standards and Technology), [Federal Laboratory Consortium](#), and Interagency Working Group for Technology Transfer.

**RD&T Partners:**

- The Department’s OAs and Secretarial offices.
- Department-funded research programs, including the University Transportation Centers.
- Stakeholders including TRB and its hundreds of committees, TRB cooperative research programs, AASHTO RAC, academic institutions, State DOTs, transit authorities, local, regional and state planning entities, local, state and regional governmental entities, and the private sector including the owners and operators of transportation infrastructure.
- T2 Program and agency representatives from Department of Agriculture (USDA), Department of Commerce (DOC), Department of Defense (DoD), Department of Energy (DOE), Department of Health and Human Services (HHS), Department of Homeland Security (DHS), Department of the Interior (DOI), Department of Veterans Affairs (VA), Environmental Protection Agency (EPA), and National Aeronautics and Space Administration (NASA).

**RD&T Strategies:**

- Improve transparency and accountability of the Department’s RD&T investments.
- Increase awareness of the Department’s technology transfer activities among the Operating Administrations, Department-funded researchers and other stakeholders.
- Increase awareness of the availability of technologies for application with potential users.

**Project:** *Automated Vehicles and Related Technology*

*DOT Strategic Goal: Innovation (Strategic Objective 1: Development of Innovation)*

*DOT Strategic Goal: Innovation (Strategic Objective 2: Deployment of Innovation)*

**Objective:** Target research and work with Federal and non-Federal stakeholders on infrastructure and system solutions to cost-effectively and safely accelerate the deployment of automated vehicles and related technologies (AV&RT) throughout all modes of transportation.

**Description:** Automated vehicles and related technologies are becoming key components of the transportation system with the potential to drive transformative safety, mobility, and economic improvements at scale. OST-R's ability to coordinate AV&RT research across USDOT's modal research offices, align this research with policy, and leverage the insights and resources of Federal and non-Federal stakeholders, ensures that the Department's AV research goals can be achieved in a cost-effective fashion. The program is designed to accelerate the introduction and validation of AV&RT into the transportation system by identifying infrastructure and system improvements that state, local, and private interests can implement. OST-R's coordination efforts are focused on the reduction of duplicative efforts in this field and aim to ensure tax-payer dollars are fully leveraged where synergies and complementary strategies become apparent. For example, the Automated, Connected, Efficient and Shared (ACES) Mobility Research Initiative, is a joint initiative with the U.S. Department of Energy (DOE), that ensures that the AV&RT research efforts of both Departments are fully coordinated so that the skills, facilities, and research resources of both Departments can be applied in a complimentary and cost-effective fashion to meet both Department's strategic goals.

**Outputs:**

- Coordinated DOT and DOE research budgets in the AV&RT space.
- Analyzing current transportation models (or the need for new models) and their capacity to include AV&RT.
- Developing and cataloging low-cost infrastructure, mapping, and network improvements that can provide a more seamless and affordable adoption of automated vehicles and new vehicle platforms into existing transportation systems.
- Developing regional pilots focused on the deployment of AV&RT at scale.
- Issuing technical publications to guide and disseminate information on AV&RT.

**RD&T Partners:**

- The Department's OAs and research offices, with DOT policy leadership.
- Department-funded researchers, including OST-R's University Transportation Centers.
- The U.S. Department of Energy and other Federal agencies including the National Science Foundation, NASA, DOD, and related bodies.
- External stakeholders including State Departments of Transportation, the private sector, academia, and other non-government organizations with expertise in AV&RT.

**RD&T Strategies:**

- Engage and connect expertise across the Department and with other public and private sector stakeholders for the development of more holistic and impactful solutions for the acceleration of AV&RT deployment across all modes of the transportation system.

- Work with industry and academia to test and deploy AV&RT in a safe and cost-effective manner.
- Fund targeted research to address knowledge gaps and barriers to the acceleration of AV&RT deployment.

**Project: *Positioning, Navigation, and Timing & Spectrum Management***

- *DOT Strategic Goal: Innovation (Strategic Objective 1: Development of Innovation)*
- *DOT Strategic Goal: Innovation (Strategic Objective 2: Deployment of Innovation)*

*FY 2020 Administration Research and Development Budget Priorities:*

- *American Security*
- *American Prosperity*
- *Maximizing Interagency Coordination*
- *Modernizing and Maximizing Research Infrastructure*

**Objective:** To coordinate federal civil agency positioning, navigation, and timing (PNT) requirements and architecture development; and to ensure protection of the Global Positioning System (GPS) and other PNT- and spectrum-based safety-of-life transportation capabilities from harmful interference.

**Description:** The PNT and Spectrum Management program coordinates Departmental PNT technology, policy, and radiofrequency spectrum management. It also provides civil PNT systems and spectrum analysis that is critical to cross-modal transportation applications in support of the Department’s transportation safety requirements and goals.

Focus areas include PNT capability gaps such as interference to GPS and the need for PNT resiliency, including cyber resiliency. Focus areas also include identification and evaluation of transformative technologies to ensure safety for automated vehicles, as well as innovations to improve spectrum sharing and efficiency.

The Deputy Secretary of Transportation and the Deputy Secretary of Defense are co-chairs of the National Space-Based PNT Executive Committee, and the Assistant Secretary for Research and Technology serves as the co-chair of the National Space-Based PNT Executive Steering Group. These entities guide national-level interagency space-based and complementary PNT investment and implementation decisions. The Assistant Secretary for Research and Technology also supports DOT spectrum interests by participating in the National Telecommunications and Information Administration (NTIA) Policy and Plans Steering Group (PPSG) and Interdepartment Radio Advisory Committee (IRAC).

**Outputs:**

- Developing key PNT and spectrum requirements planning documents:
  1. *Federal Radionavigation Plan*, in conjunction with DoD and DHS
  2. *Civil PNT Requirements Document*
  3. *DOT Strategic Spectrum Plan*
- Evaluating technologies and techniques to ensure PNT resilience for safety-critical transportation applications, as well as innovative means to implement and deploy those

technologies (e.g., public-private partnerships). Identifying and evaluating transformative navigation technologies to ensure safety for automated vehicles.

- Conducting spectrum-sharing studies to examine the impacts of various technologies with existing or planned systems that support safety-critical transportation applications, including Dedicated Short Range Communications (DSRC) and GPS.
- Coordinating and participating in support of the World Radio Conference (WRC) 2019 and its outcomes.
- Leading and participating in the Civil GPS Service Interface Committee (CGSIC) meetings.

**RD&T Partners:**

- The Department’s OAs and Secretarial offices.
- Department of Defense (DoD).
- Department of Homeland Security (DHS).
- Civil government, Department and Agency PNT stakeholders.
- External stakeholders including other federal agencies, private sector stakeholders, the general public and all PNT services users.

**RD&T Strategies:**

- Conduct an analysis of alternatives considering alternative mixes of global (space and non-space based) capabilities, backup systems, PNT augmentations, and autonomous PNT capabilities to achieve PNT resiliency. Identify and evaluate transformative navigation technologies for automated vehicles.
- Collaborate across the interagency, in particular with DHS and DoD to conduct research, development, and testing of PNT capabilities to ensure resiliency, including cyber resiliency, and explore technology transfer for civil applications. Also, it is essential to partner and leverage capabilities from academia and the private sector.
- Coordinate analysis through DOT Research Hub of ongoing civil efforts to address PNT capability gaps mapped to the National PNT Architecture Implementation Plan.
- Work with DOT partners, as well as NTIA and the Federal Communications Commission to conduct spectrum sharing and protection analyses and testing on radiofrequency-dependent technologies essential to transportation applications.

**UNIVERSITY TRANSPORTATION CENTERS PROGRAM**

**Project: *University Research, Education and Technology Transfer Grants***

*DOT Strategic Goal: Innovation:*

- *Strategic Objective 1: Development of Innovation*

*FY 2020 Administration Research and Development Budget Priority:*

- *Modernizing and Maximizing Research Infrastructure*
- *American Security*
- *American Prosperity*

**Objective:** To utilize the talents and facilities of universities to execute research that the DOT or industry are not able to conduct, and to provide well-trained engineers and professionals for the transportation workforce.

**Description:** The UTC program’s mission is to advance transportation expertise and technology in the many disciplines of transportation through education, research, and technology transfer at university-based consortia. The current authorization for the UTC Program is the FAST Act, sec. 6016 (49 USC 5505). Additional funds were appropriated in FY 2018 for two additional National UTCs, in addition to those authorized in the FAST Act.

The UTC program provides the DOT with the opportunity to fund advanced, transformative research that the DOT would not otherwise be able to execute. The UTCs are valuable assets for industry and state DOTs, conducting research that neither group could conduct on their own. The program also addresses the needs of the transportation workforce by developing the next generation of transportation professionals. UTCs are selected based on a rigorous competition, which includes research, education and technology transfer activities that will address FAST Act research priorities.

**Outputs:**

- Highly-qualified university graduates specializing in the transportation sector.
- Transformative technologies and products for application to transportation systems.
- Technical reports and presentations at national technical conferences on new technologies and their applications.
- Technical seminars and workshops that will expand the use of new technologies.

**RD&T Partners:**

- National, Regional and Tier 1 University Transportation Centers and their research partners.
- The Department’s OAs.
- Industry partners: Owners and operators, contractors, engineering firms.

External stakeholders, including other Federal agencies, academic institutions, state DOTs, transit authorities, local, regional and state planning entities, local, state and regional governmental entities

**RD&T Strategies:**

Through the UTC program, universities are funded to conduct research, education and technology transfer activities across the modes that will result in the following:

- Next generation technologies and products for the transportation sector.
- Reduced transportation congestion.
- Safer transportation systems.
- More efficient and productive transportation systems.
- The next generation of transportation leaders and experts.

**OFFICE OF THE SECRETARY****Information Technology Budget Narrative**  
(Budget Authority in Thousands)

<b>Budget Account</b>	<b>FY 2018 Enacted Level</b>	<b>FY 2019 President's Budget</b>	<b>FY 2020 Request</b>
Cyber			
WCF-CIO Base Services	\$2,766	\$2,921	\$2,736
Programmatic IT Spend	\$19,448	\$16,947	\$12,264
<b>Cyber Total</b>	<b>\$22,214</b>	<b>\$19,868</b>	<b>\$15,000</b>
Salaries and Expenses (S&E)			
IT Working Capital Contribution			
DOT Agency WCF Contribution Passthrough	\$5,563	\$5,612	\$5,637
WCF-CIO Base Services	\$10,151	\$9,623	\$9,553
WCF-CIO SS Commodity	\$0	\$0	\$0
Non-CIO IT WCF	\$34,439	\$35,670	\$34,152
Programmatic IT Spend	\$16,089	\$20,688	\$17,898
<b>Salaries and Expenses Total</b>	<b>\$66,242</b>	<b>\$71,593</b>	<b>\$67,240</b>
Office of Research and Technology (OST-R)			
IT Working Capital Contribution			
WCF-CIO Base Services	\$3,028	\$3,301	\$2,912
WCF-CIO SS Commodity	\$0	\$0	\$1,391
Non-CIO IT WCF	\$642	\$1,020	\$1,063
Programmatic IT Spend	\$5,224	\$9,948	\$4,770
<b>OST-R Total</b>	<b>\$8,894</b>	<b>\$14,269</b>	<b>\$10,136</b>
Volpe			
IT Working Capital Contribution			
WCF-CIO Base Services	\$1,336	\$632	\$955
WCF-CIO SS Commodity	\$0	\$0	\$13,978
Non-CIO IT WCF	\$224	\$0	\$0
Programmatic IT Spend	\$9,853	\$13,521	\$0
<b>Volpe Total</b>	<b>\$11,413</b>	<b>\$14,153</b>	<b>\$14,933</b>
<b>OST Total</b>	<b>\$108,763</b>	<b>\$119,883</b>	<b>\$107,309</b>

The Office of the Secretary (OST) is requesting **\$107.309 million** in FY 2020 for information technology (IT) that supports its diverse customers while addressing OST’s expanding and evolving business needs and in compliance with substantial compliance requirements. All of OST systems, support, and services contribute to the core values of “*DestinationDIGITAL*” transformation and are constantly being evaluated and enhanced.

The following bullets each represents a breakout of OST’s contributions to the WCF and provides the source of the funding budget account for the contribution. The narrative also explains IT services OST offices are buying through the WCF.

- **WCF-Chief Information Officer (CIO) Base Services** – OST requests \$9.553 million from S&E budget account, \$2.912 million from OST-R budget account, \$0.955 million from Volpe budget account, and \$2.736 million from the Cyber budget account. These WCF Base Service contributions assist with OCIO’s overall consolidation, IT cyber security compliance, and modernization of mission support IT systems and applications. The WCF-CIO base amount is managed by the DOT Common Operating Environment (COE).
- **WCF-CIO Shared Services (SS) Commodity** – OST requests \$1.391 million from the OST-R budget account, and \$13.978 million from the Volpe budget account. The SS Commodity WCF contributions support OST’s expansion of services for Department investments in cybersecurity, voice, cable, networks, desktop services, server operations, directory messaging services, enterprise licensing, and enterprise dashboards.
- **Non-CIO IT Working Capital Fund** – OST requests total of \$35.215 million for the non-CIO IT WCF services and systems, which includes, but is not limited to, the Workers Compensation Information System, the Personnel Security Enterprise System (PSES), and the Human Resources (HR) & Payroll Services. The Office of the Assistant Secretary for Administration (OST-M) contributes \$26.942 million with other OST offices contributing the remainder \$7.21 million of the funding for these systems and services. OST-R’s \$1.063 million contribution includes mostly software and external labor/services involving cloud applications like Adobe and Tableau.
- **DOT Agency WCF Contribution Passthrough** – OST requests \$5.637 million for DOT’s contribution to the inter-agency agreement systems, such as Budget Formulation and Execution, e-Rulemaking, and e-Travel Fee for Service shared by multiple Federal Agencies.

For more details on WCF spending, see “Transparency Paper: Total Program Resources for Office of the Assistant Secretary for Administration and Office of the Chief Information Officer” in Section 6, FY 2020 Additional Justification”

In addition to the WCF funding identified above, OST offices programmatic spend on IT includes a mix of Department-wide support systems and some public facing applications in FY 2020:



- **Delphi** is the Department’s financial management and data repository system that provides its users with the ability to search, browse, maintain, share, classify, register and standardize financially administered items through a web-based application. It includes a real-time invoicing tool that improves efficiency and data transparency by reducing the time between invoice submission and payment. Delphi also provides grant recipients with accurate invoice status reporting capabilities. OST requests \$1.657 million to operate, maintain, and enhance the Delphi financial system.
- **Consolidated Automated System for Time and Labor Entry (CASTLE)** records DOT’s employee Time and Attendance (T&A). OST requests \$0.131 million to operate, maintain, and enhance the CASTLE system.
- **Enterprise Service Center (ESC) Procurement Information System for Management (PRISM)** supports multiple purchasing sites, electronic routing and approval, requisitioning, electronic notifications, contract management, and post award processing and closeout. OST requests \$.596 million to operate, maintain, and enhance the ESC PRISM system.
- **Aviation Decision Data System (ADDS)** supports as three components: 1) Aviation Decisions Data Systems – serves as Department’s invoicing system and programmatic/financial data warehouse for the Essential Air Service program; 2) Grants Notification System – serves as a dashboard for grant announcement information; and 3) Legislative Implementation Plan is a management and tracking tool used for monitoring legislative items. OST requests \$1.054 million to operate, maintain, and enhance ADDS.
- **OSTR Airline Performance and Economic Information System** fosters technology transfer through partnerships within DOT and with partners such as academic and private entities. OST requests \$4.770 million to operate, maintain, and enhance this OST-R system.
- **DOT-wide IT Security and Compliance Support.** OST requests \$12.264 million for operating, maintaining, and enhancing DOT’s critical IT Security and Compliance systems and support for Department-wide cyber security from the Cyber budget account. The CIO is committed to providing Department-wide protection of information and IT infrastructure assets against the risk of loss, misuse, disclosure, or damage due to security vulnerabilities. This funding supports desktop security, firewalls, Trusted Internet Connection (TIC), compliance monitoring, network/server infrastructure, and Disaster Recovery (DR).
- **IT program and project management, strategic planning, and other technology support in support of OST OCIO’s mission**, which includes, but is not limited to, direct CIO support and administration, Amazon Web Services support, and Section 508 compliance. OST request \$10.771 million for operation and maintenance of the OCIO’s programs to oversee and support IT management across the Department.

- **Other OST mission and business system support.** OST also requests \$3.689 million to operate, maintain, and enhance the following mission and business support systems to include: Consumer Complaints Application (CCA), Rulemaking Management System, and Litigation Management System from the Office of the General Counsel (OGC), Drug and Alcohol Management Information System (DAMIS) from the Office of Secretary, General Support System (GSS) from the Departmental Office of Civil Rights (DOCR), Web-enabled Emergency Operations Center (WebEOC) from the Office of Intelligence, Security, and Emergency Response (S-60), Case Tracking System (CTS) from the Office of the Administrative Law Judges (M20), and Facilities and Building Management System from the Office of Facilities Management (M-93).

**FY 2020 Budget****Department of Transportation (DOT)  
Information Technology Budget Summary**

(Budget Authority in Thousands)

<b>Operating Administration (OA)</b>	<b>FY 2018 Actual</b>	<b>FY 2019 CR Annualized</b>	<b>FY 2020 Request</b>
<b>Federal Aviation Administration (FAA)</b>	\$3,280,360	\$2,996,190	\$3,285,950
<b>Federal Highway Administration (FHWA)</b>	\$100,797	\$113,413	\$112,734
<b>Federal Motor Carrier Safety Administration (FMCSA)</b>	\$61,528	\$64,721	\$64,466
<b>Federal Railroad Administration (FRA)</b>	\$25,742	\$25,981	\$26,746
<b>Federal Transit Administration (FTA)</b>	\$27,919	\$29,222	\$26,909
<b>Maritime Administration (MARAD)</b>	\$23,080	\$28,338	\$26,772
<b>National Highway Traffic Safety Administration (NHTSA)</b>	\$66,581	\$68,486	\$67,600
<b>Office of Inspector General (OIG)</b>	\$9,002	\$9,610	\$9,726
<b>Office of the Secretary (OST)</b>	\$108,763	\$119,883	\$107,309
<b>Pipeline and Hazardous Materials Safety Administration (PHMSA)</b>	\$31,352	\$30,233	\$26,964
<b>Saint Lawrence Seaway Development Corporation (SLSDC)</b>	\$1,618	\$1,642	\$2,284
<b>DOT Total</b>	<b>\$3,736,742</b>	<b>\$3,487,719</b>	<b>\$3,757,460</b>

*Note: Totals may not add due to rounding.*

The Department of Transportation (DOT) is requesting **\$3.758 billion** in FY 2020 for information technology (IT) that supports its diverse customers while addressing DOT’s expanding and evolving mission and business needs. All of DOT and Operating Administration (OA) systems, support, and services contribute to the core values of the shared service transformation and are constantly being evaluated and enhanced. Additional detail on OA programmatic spending can be found in individual Tab 5s.

In addition, for more details on WCF spending, see “Transparency Paper: Total Program Resources for Office of the Assistant Secretary for Administration and Office of the Chief Information Officer” in Section 6, FY 2020 Additional Justification.”

Section 5 – FY 2020 Information Technology Budget Narrative

<b>Budget Account</b>	<b>FY 2018 Actual</b>	<b>FY 2019 CR Annualized</b>	<b>FY 2020 Request</b>
<b>Federal Aviation Administration (FAA)</b>	<b>\$3,280,360</b>	<b>\$2,996,190</b>	<b>\$3,285,950</b>
<i>Commodity IT SS WCF</i>	\$9,061	\$11,167	\$11,755
<i>Programmatic IT SS WCF</i>	\$0	\$0	\$0
<i>Programmatic IT</i>	\$3,271,299	\$2,985,023	\$3,274,195
<b>Federal Highway Administration (FHWA)</b>	<b>\$100,797</b>	<b>\$113,413</b>	<b>\$112,734</b>
<i>Commodity IT SS WCF</i>	\$19,029	\$19,358	\$39,588
<i>Programmatic IT SS WCF</i>	\$0	\$0	\$27,512
<i>Programmatic IT</i>	\$81,768	\$94,055	\$45,634
<b>Federal Motor Carrier Safety Administration (FMCSA)</b>	<b>\$61,528</b>	<b>\$64,721</b>	<b>\$64,466</b>
<i>Commodity IT SS WCF</i>	\$8,395	\$6,402	\$15,828
<i>Programmatic IT SS WCF</i>	\$0	\$0	\$25,509
<i>Programmatic IT</i>	\$53,133	\$58,319	\$23,129
<b>Federal Railroad Administration (FRA)</b>	<b>\$25,742</b>	<b>\$25,981</b>	<b>\$26,746</b>
<i>Commodity IT SS WCF</i>	\$7,345	\$7,323	\$14,695
<i>Programmatic IT SS WCF</i>	\$0.00	\$0.00	\$3,895
<i>Programmatic IT</i>	\$18,397	\$18,658	\$8,156
<b>Federal Transit Administration (FTA)</b>	<b>\$27,919</b>	<b>\$29,222</b>	<b>\$26,909</b>
<i>Commodity IT SS WCF</i>	\$6,235	\$8,011	\$8,071
<i>Programmatic IT SS WCF</i>	\$0	\$0	\$7,535
<i>Programmatic IT</i>	\$21,684	\$21,211	\$11,303
<b>Maritime Administration (MARAD)</b>	<b>\$23,080</b>	<b>\$28,338</b>	<b>\$26,772</b>
<i>Commodity IT SS WCF</i>	\$4,361	\$4,540	\$14,684
<i>Programmatic IT SS WCF</i>	\$0	\$0	\$6,248
<i>Programmatic IT</i>	\$18,719	\$23,798	\$5,840
<b>National Highway Traffic Safety Administration (NHTSA)</b>	<b>\$66,581</b>	<b>\$68,486</b>	<b>\$67,600</b>
<i>Commodity IT SS WCF</i>	\$10,154	\$8,431	\$18,791
<i>Programmatic IT SS WCF</i>	\$0	\$0	\$4,884
<i>Programmatic IT</i>	\$56,427	\$60,056	\$43,924
<b>Office of Inspector General (OIG)</b>	<b>\$9,002</b>	<b>\$9,610</b>	<b>\$9,726</b>
<i>Commodity IT SS WCF</i>	\$1,113	\$1,413	\$1,870
<i>Programmatic IT SS WCF</i>	\$0	\$0	\$0
<i>Programmatic IT</i>	\$7,889	\$8,197	\$7,856

Section 5 – FY 2020 Information Technology Budget Narrative

<b>Office of the Secretary (OST)</b>	<b>\$108,763</b>	<b>\$119,883</b>	<b>\$107,309</b>
<i>Commodity IT SS WCF</i>	\$17,281	\$16,477	\$31,525
<i>Programmatic IT SS WCF</i>	\$0	\$0	\$0
<i>Programmatic IT</i>	\$91,482	\$103,406	\$75,784
<b>Pipeline and Hazardous Materials Safety Administration (PHMSA)</b>	<b>\$31,352</b>	<b>\$30,233</b>	<b>\$26,964</b>
<i>Commodity IT SS WCF</i>	\$5,423	\$5,343	\$9,709
<i>Programmatic IT SS WCF</i>	\$0	\$0	\$7,949
<i>Programmatic IT</i>	\$25,929	\$24,890	\$9,307
<b>Saint Lawrence Seaway Development Corporation (SLSDC)</b>	<b>\$1,618</b>	<b>\$1,642</b>	<b>\$2,284</b>
<i>Commodity IT SS WCF</i>	\$523	\$494	\$575
<i>Programmatic IT SS WCF</i>	\$0	\$0	\$407
<i>Programmatic IT</i>	\$1,095	\$1,148	\$1,302
<b><i>DOT Total</i></b>	<b>\$3,736,742</b>	<b>\$3,487,720</b>	<b>\$3,757,460</b>
<b><i>Commodity IT SS WCF Subtotal</i></b>	<b>\$88,920</b>	<b>\$88,959</b>	<b>\$167,091</b>
<b><i>Programmatic IT SS WCF Subtotal</i></b>	<b>\$0</b>	<b>\$0</b>	<b>\$83,939</b>
<b><i>Programmatic IT Subtotal</i></b>	<b>\$3,647,822</b>	<b>\$3,398,761</b>	<b>\$3,506,430</b>

*Note: Totals may not add due to rounding.*

## **WORKING CAPITAL FUND**

### **Transparency Paper: Total Program Resources for Office of the Assistant Secretary for Administration and Office of the Chief Information Officer**

The information contained in this Transparency Paper identifies the different funding sources managed by the Office of the Chief Information Officer and the Office of the Assistant Secretary for Administration in FY 2018, FY 2019 and requested in FY 2020. These funding sources are from direct appropriations, WCF reimbursements for services rendered, and reimbursable agreements.

The Department is actively performing assessments of services, systems and applications across the Department to find efficiencies and is preparing a roadmap that presents opportunities for a centralized approach to mission support services.

### **INTRODUCTION**

The Working Capital Fund (WCF) was authorized under the Department of Transportation (DOT) Act, Public Law 89-670, enacted October 15, 1966, to provide technical and administrative services that allow the DOT Operating Administrations (OAs) to focus on core missions while reducing costs by consolidating administrative management structures. The WCF is funded through negotiated agreements with its customers. The WCF is an intra-governmental revolving fund established to finance a cycle of operations in which the customers reimburse the costs of goods and services received. Costs reimbursed by customers include direct and indirect costs including accrued annual leave and capital asset depreciation. To extend efficiencies and to increase economies of scale, the WCF also services customers outside of the DOT that provides approximately \$300 million in revenue annually to the WCF. These Non-DOT customers include more than 100 agencies nationwide, that use the WCF to manage transit benefits to their employees and the WCF also provides limited HR services to the United States Coast Guard.

The WCF, through the Office of the Assistant Secretary for Administration (OASA) and the Office of the Chief Information Officer (OCIO), provides a wide range of technical and administrative services, including personnel operations and systems, facilities management, parking management, transit benefit programs, printing and graphics, mail operation, library and dockets management operations, building security, IT security and infrastructure, telecommunications, and procurement and acquisitions services. The fund's services are delivered to customers through an organizational structure of individual business lines providing related services or products. This consolidation of services allows the WCF to achieve economies of scale, eliminate redundancies, promote consistency in service, and reduce administrative costs across the Department.

The WCF is a fee-for-service operation which normally receives no direct appropriations. Instead, the WCF is a fully self-sustaining organization and must achieve full cost recovery which includes an equitable distribution of overhead and indirect costs. During the budget

formulation stage, the WCF provides cost estimates to the WCF customers based on historical data and projected demand and service levels. During the year of execution, customers are billed for actual use of common services.

A WCF Steering Committee (Committee) was established in fiscal year (FY) 2003 to facilitate shared accountability by both WCF and the operating administrations, and ensure a transparent and effective working environment that invites everyone involved to operate with shared responsibilities. The Committee ensures common goods and services are provided in the most cost effective and efficient manner. The Committee is comprised of Associate Administrators of Administration and Chief Financial Officers/Budget Officers from each OA. Specific functions and activities of the Committee include: recommending goods and services that comprise the WCF; approving all WCF funding levels for each service; evaluating the WCF performance in meeting service plans; ensuring that systematic measures of performance against approved service plans are in place.

The Office of the Assistant Secretary for Administration administers funds for the Working Capital Fund, receives appropriations for Salaries and Expenses for non-WCF functions, and administers a Reimbursable Program. The Office of the Chief Information Officer provides IT services, technical management, and business support through the WCF. The OCIO also receives Salaries and Expenses and Cyber Security Initiatives appropriations.

The following table shows the breakout of funds for both offices.

**TOTAL FUNDING SOURCES BY OFFICE**

(In thousands of dollars)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2019 Enacted	FY 2020 Request
<b>Assistant Secretary for Administration</b>				
<b>Salaries and Expenses</b>	\$ 29,356	\$ 29,356	\$ 29,244	\$ 29,880
<b>Working Capital Fund</b>				
DOT Activities	125,938	121,525	123,163	123,380
Shared Services Activities	0	0	9,620	39,987
NON-DOT Activities	321,022	321,022	321,257	299,483
<b>Reimbursable</b>	1,982	2,134	2,134	2,186
<b>TOTAL</b>	<b>\$ 478,298</b>	<b>\$ 474,037</b>	<b>\$ 485,418</b>	<b>\$ 494,916</b>
<b>Chief Information Officer</b>				
<b>Salaries and Expenses</b>	\$ 16,745	\$ 16,745	\$ 16,814	\$ 16,777
<b>Cyber Security Initiatives</b>	15,000	15,000	15,000	15,000
<b>Working Capital Fund</b>				
DOT Activities	76,307	80,720	80,720	82,532
Shared Services Commodity Activities	0	0	106,290	85,606
Shared Services Programmatic Activities	0	0	0	93,396
NON-DOT Activities	0	0	0	0
<b>TOTAL</b>	<b>\$ 108,052</b>	<b>\$ 112,465</b>	<b>\$ 218,824</b>	<b>\$ 293,311</b>



**Major Responsibility**  
**Source of Funds**  
**FY 2020 Request (in thousands)**

**Office of the Assistant Secretary for Administration Overview:**

The Assistant Secretary for Administration is the policy and operations leader and principal advisor to the Secretary of Transportation on Department-wide and Office of the Secretary administrative functions. The Assistant Secretary serves as the:

- Department's Chief Human Capital Officer and provides leadership on all matters associated with the Chief Human Capital Officers Act of 2002. In this role, oversees the planning, implementation, reporting, and evaluation of personnel policies, programs, operating procedures, and systems that support DOT strategic objectives and performance goals.
- Deputy Chief Acquisition Officer for DOT (49 CFR §1.59(a) (6)). Formulates departmental policy, controls and standards to ensure that procurement and financial assistance management programs are in accord with applicable laws, regulations, and good business practices to meet departmental missions in support of the national transportation system.

The Assistant Secretary also delivers administrative services to DOT and Non-DOT customers through the WCF operations and ensures administrative support services are responsive to OST customer requirements and DOT strategic policy direction.

For FY 2020, the Office of the Assistant Secretary for Administration will administer three sources of funding in performing its various roles in support of the DOT. Each funding stream is maintained and reported independently. OASA funding directly tracks to the OASA three areas of responsibility:

- Annually appropriated Salaries and Expenses (S&E) for carrying out human resources and procurement policy, security management and follow-up, promoting environmental strategies and technologies, and resolution of Government Accountability Office and Inspector General audit reviews of department programs, including preparation of required reports.
- Reimbursable funding for providing formal Administrative Procedure Act (APA) hearings to DOT operating administrations.
- Working Capital Fund cost reimbursements for providing and supporting Department-wide core administrative, security and facilities functions such as executive and political personnel operations, building security, and facilities management.

Specific breakdown of the uses of these funds follows.

**FY 2020  
(\$000)**

Assistant Secretary for Administration - Salaries and Expenses \$29,880

The OASA provides oversight and leadership for major programs such as acquisition reform, human capital planning and recruitment, sustainable operations and environmental compliance, physical and facility security policy outreach and oversight, and emergency preparedness. This program also administers the resources to pay for consolidated rent payments to GSA and OST payments to the Working Capital Fund.

The Assistant Secretary for Administration serves as the principal advisor to the Secretary and Deputy Secretary on Department-wide administrative matters. The Assistant Secretary is the Department's Chief Human Capital Officer (CHCO), with statutory responsibility for developing and reviewing policies and programs to ensure that high-quality, diverse talent is both continuously available and properly deployed to support DOT objectives. Reforms mandated by the Service Acquisition Reform Act (P.L. 108-16) and the Energy Policy (E.O. 13514) have also significantly enlarged the responsibilities of the Assistant Secretary, who is the Deputy Chief Acquisition Officer. In that capacity, the OASA formulates departmental policy, controls, and standards to ensure that procurement and financial assistance programs are in accord with applicable laws, regulations, and good business practices. Under the authority delegated by the Secretary, the Assistant Secretary carries out the responsibilities of the Competitive Sourcing Officer as specified in OMB Circular A-76, Performance of Commercial Activities. The Assistant Secretary is also the senior departmental security executive and provides leadership and direction to departmental organizations to ensure the safety, security, and protection of DOT personnel, information, facilities, and other assets.

Assistant Secretary for Administration - Working Capital Fund \$462,850

DOT:	\$123,380
Shared Services:	\$39,987
NON-DOT:	\$299,483

The Working Capital Fund (WCF) provides Departmental services in human resources, security, acquisition and grants, information services, transportation and facilities, and space management. In the transit benefits area, the WCF manages the program for over 100 agencies nationwide. These services include financial management of DOT's WCF.

The DOT's WCF provides an array of services in support of the Department's Office of the Secretary and Operating Administrations. The WCF is a full cost recovery, fee-for-service organization that normally receives no directly appropriated funds, but recovers costs through cost reimbursable and interagency service level agreements. The WCF is requesting an exemption to the limitation set by Congress. This exemption will provide flexibility for a more centralized approach to HR and acquisition support services. As the consolidations are completed, the WCF will add them to requests for subsequent budget cycles.

Assistant Secretary for Administration - Reimbursable Program

Office of Hearings

\$2,186

The Office of Hearings is located in the Office of the Assistant Secretary for Administration in order to separate the Office from all investigatory and prosecution functions. The Office of Hearings is composed of administrative law judges, who hold hearings under the Administrative Procedure Act (5 U.S.C. § 551 et seq.) (APA) for the Department's Office of the Secretary (primarily in aviation matters) and the Department's component modal administrations that need formal APA hearings, including the Federal Aviation Administration, Federal Motor Carrier Safety Administration, and the Pipeline and Hazardous Materials Safety Administration.

**Office of the Chief Information Officer Overview:**

The Department of Transportation Chief Information Officer (DOT CIO) is the principal information technology (IT) and cyber security advisor to the Secretary. In this strategic departmental role, the CIO provides leadership on all matters associated with the Department's \$3.5 billion IT portfolio. This includes security, investment management, and improvements in the delivery of services to the American taxpayer through electronic government initiatives.

The DOT CIO manages the delivery of IT services for DOT customers including operating an IT infrastructure that includes e-mail services, a backbone network, and help desk support. Historically, operating administrations contract with the CIO for services and reimburse the CIO for the cost of those services. The WCF is the reimbursement mechanism for these services. Through the Shared Services initiative, DOT OCIO is focusing on consolidating commodity and programmatic IT delivery through an iterative, phased transformation approach.

DOT CIO Managed Resources Overview:

The Office of the Chief Information Officer (OCIO) will administer three sources of funding in performing its various roles in support of the DOT. Each funding stream is maintained and reported independently. OCIO funding directly tracks to the CIO's areas of responsibility:

- Annually appropriated Salaries and Expenses (S&E) for formalizing IT strategy and carrying out IT policy, security and other mandates, guidance, monitoring and reporting.
- WCF cost reimbursements for delivering IT services including programmatic IT, and providing and supporting Department-wide core IT functions, such as information assurance and support, voice, cable and wireless, campus area network (CAN), desktop services, and server and messaging services.
- A Cyber Security Initiatives appropriation helps to improve infrastructure and Departmental programs to address growing cyber threats and continuing the accomplishments achieved with the Cyber Security Initiatives appropriation.

A specific breakdown of the uses of this funding request follows.

**FY 2020**  
**(\$000)**

Office of the Chief Information Officer - Salaries and Expenses \$16,777

The OCIO annual Salaries and Expenses appropriation provides pay, compensation and benefits for the Department’s CIO, and Deputy CIO and Chief Technology Officer, the CIO for OST, as well as technical and administrative government staff. Annual OCIO S&E funding provides resources necessary for the CIO to meet responsibilities to the Department and other Executive and Legislative Branch requirements such as the Federal Information Technology Acquisition Reform Act (FITARA), the Federal Information Security Modernization Act (FISMA), and Office of Management and Budget (OMB) Circular A-130, as well as improving practices in the design, modernization, use, sharing, and performance of information resources. The CIO develops recommendations for information technology management policies, procedures, and standards and leads e-government projects to improve service delivery, and foster the effective use of IT communication technologies to enhance business activities performance. The OCIO also works closely with Budget and Procurement to lead IT investment governance.

Cyber Security Initiatives \$15,000

The DOT OCIO is requesting \$15 million of cyber security funding for FY 2020 to provide necessary resources for DOT to maintain the DOT’s cyber security posture. In particular, DOT will focus on:

- Maintenance, replacement and expansion of enterprise server infrastructure supporting CDM for those elements not already transitioned to the Working Capital Fund.
- Incremental support to the Department’s NARM initiative.
- Implementation and maintenance of authentication, and credential and privilege management capabilities.
- Continued operations and maintenance of cybersecurity related infrastructure procured through this appropriation until transitioned to the Working Capital Fund.
- Investment, as needed, to address critical cybersecurity risks and evolving threats to DOT systems and networks.

In FY 2020, DOT will continue to support infrastructure elements procured in FYs 2012 - 2019.

Office of the Chief Information Officer - Working Capital Fund \$ 261,534

DOT:	\$82,532
Shared Services Commodity:	\$85,606
Shared Services Programmatic:	\$93,396
NON-DOT:	\$0

The DOT’s Working Capital Fund provides an array of services in support of the Department’s Office of the Secretary and OAs. The WCF is a full cost recovery, fee-for-service organization that normally receives no directly appropriated funds, but recovers costs through cost reimbursable and interagency service level agreements.

OCIO is taking an iterative, phased approach to the Department’s digital transformation as part of a multi-year effort. The Department’s IT program is moving towards an agile culture, where staff will continue to adjust plans based on our successes and challenges.

OCIO will continue to consolidate commodity IT contracts and related expenses from across the Department to improve our cyber posture and identify additional reinvestment opportunities.

In FY 2020, OCIO will focus on consolidating

- **General Support Systems** – Activities and systems focusing on workforce productivity, enterprise architecture, general databases, and other operations activities.
- **IT Management** – Activities that support Information Technology functions, including cyber, compliance, governance, and modernization plans.
- **Registration** – Systems and applications that support the registration process. This includes collecting the required information to register an entry and processing the collected information to provide a result to the owner.

WCF organizationally consists of two major components, personnel/facilities services, and IT shared services. The IT shared services fall organizationally and operationally under the OCIO. OCIO’s WCF IT operations are essentially an outsourced environment, consisting primarily of contractors and a small cadre of government project managers and technicians. In addition to providing the DOT Washington metro area’s campus-wide telephony, communications backbone infrastructure, and firewall security, OCIO WCF IT operations also provide IT services including a common operating environment, server hosting facilities, desktop management, IT engineering, DOT intranet/internet support, commodity it, and field support.

The following tables show the Budget Estimates, with a break out for both offices, for FY 2020, FY 2019, and FY 2018:

### FY 2020 REQUEST SUMMARY BY OFFICE

#### ASSISTANT SECRETARY FOR ADMINISTRATION

	<u>Salaries &amp; Expenses</u>	<u>Working Capital Fund</u>	<u>Reimb Programs</u>
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	\$ 9,250	\$ 32,999	\$ 1,443
Travel	26	316	5
Other Costs	20,604	429,534	738
TOTAL	<u>\$ 29,880</u>	<u>\$ 462,850</u> <sup>1 &amp; 2/</sup>	<u>\$ 2,186</u>

1/ Of the \$462.85 million, \$304.4 million is for the Transit Benefits and Parking Program

2/ Of the \$462.85 million, \$40.0 million is for Shared Services

#### STAFFING

Direct Positions	51	0	0
Reimbursable Positions	0	209	9

#### OFFICE OF THE CHIEF INFORMATION OFFICER

	<u>Salaries &amp; Expenses</u>	<u>Working Capital Fund</u>	<u>Cyber Security Initiatives</u>	<u>Reimb Programs</u>
<u>FUNDING LEVELS</u>				
Personnel Compensation and Benefits	\$ 8,971	\$ 31,092	\$ 0	\$ 0
Travel	15	6	0	0
Other Costs	7,791	230,436	15,000	0
TOTAL	<u>\$ 16,777</u>	<u>\$ 261,534</u> <sup>3/</sup>	<u>\$ 15,000</u>	<u>\$ 0</u>

#### STAFFING

Direct Positions	50	0	0	0
Reimbursable Positions	0	133 <sup>4/</sup>	0	0

3/ Of the \$261.5 million, \$85.6 million is for Shared Services Commodity and \$93.4 million is for Shared Services Programmatic Programs

4/ Enactment of the Appropriation Act, 2019, provided additional obligation limitation that will be used for DOT's shared services initiative. Transfer of 57 positions associated with commodity IT from the Operating Administrations may begin in FY 2019.

**FY 2019 ENACTED SUMMARY BY OFFICE****ASSISTANT SECRETARY FOR ADMINISTRATION**

	<u>Salaries &amp; Expenses</u>	<u>Working Capital Fund</u>	<u>Reimb Programs</u>
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	\$ 9,208	\$ 30,507	\$ 1,418
Travel	26	299	5
Other Costs	20,010	423,234	711
TOTAL	<u>\$ 29,244</u>	<u>\$ 454,040</u> <sup>1/</sup>	<u>\$ 2,134</u>

1/ Of the \$454 million, \$325.8 million is for the Transit Benefits and Parking Program.

STAFFING

Direct Positions	51	0	0
Reimbursable Positions	0	200	9

**OFFICE OF THE CHIEF INFORMATION OFFICER**

	<u>Salaries &amp; Expenses</u>	<u>Working Capital Fund</u>	<u>Cyber Security Initiatives</u>	<u>Reimb Programs</u>
<u>FUNDING LEVELS</u>				
Personnel Compensation and Benefits	\$ 8,942	\$ 20,839	\$ -	\$ 0
Travel	15	10	0	0
Other Costs	7,857	166,161	15,000	0
TOTAL	<u>\$ 16,814</u>	<u>\$ 187,010</u>	<u>\$ 15,000</u>	<u>\$ 0</u>

STAFFING

Direct Positions	50	0	0	0
Reimbursable Positions	0	42	0	0

**FY 2019 ANNUALIZED CR LEVEL SUMMARY BY OFFICE****ASSISTANT SECRETARY FOR ADMINISTRATION**

	<u>Salaries &amp; Expenses</u>	<u>Working Capital Fund</u>	<u>Reimb Programs</u>
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	\$ 9,208	\$ 30,507	\$ 1,418
Travel	26	299	5
Other Costs	20,010	411,741	692
TOTAL	<u>\$ 29,244</u>	<u>\$ 442,547</u> <sup>1/</sup>	<u>\$ 2,115</u>

1/ Of the \$444 million, \$324.7 million is for the Transit Benefits and Parking Program.

STAFFING

Direct Positions	51	0	0
Reimbursable Positions	0	200	9

**OFFICE OF THE CHIEF INFORMATION OFFICER**

	<u>Salaries &amp; Expenses</u>	<u>Working Capital Fund</u>	<u>Cyber Security Initiatives</u>	<u>Reimb Programs</u>
<u>FUNDING LEVELS</u>				
Personnel Compensation and Benefits	\$ 8,942	\$ 10,633	\$ -	\$ 0
Travel	15	10	0	0
Other Costs	7,788	70,077	15,000	0
TOTAL	<u>\$ 16,745</u>	<u>\$ 80,720</u>	<u>\$ 15,000</u>	<u>\$ 0</u>

STAFFING

Direct Positions	50	0	0	0
Reimbursable Positions	0	42	0	0

The previous page reflect the FY 2019 enacted limitation which includes shared services. This annualized CR display does not include the new or expanded service areas that will be consolidated into the WCF for a more centralized approach to HR, acquisition, and IT support services.



**FY 2018 ACTUAL SUMMARY BY OFFICE****ASSISTANT SECRETARY FOR ADMINISTRATION**

	<u>Salaries &amp; Expenses</u>	<u>Working Capital Fund</u>	<u>Reimb Programs</u>
<u>FUNDING LEVELS</u>			
Personnel Compensation and Benefits	\$ 7,678	\$ 30,782	\$ 1,363
Travel	26	469	5
Other Costs	<u>21,652</u>	<u>415,708</u>	<u>614</u>
TOTAL	<u>\$ 29,356</u>	<u>\$ 446,960</u> <sup>1/</sup>	<u>\$ 1,982</u>

1/ Of the \$447 million, \$327 million is for the Transit Benefits and Parking Program.

STAFFING

Direct Positions	51	0	0
Reimbursable Positions	0	215	9

**OFFICE OF THE CHIEF INFORMATION OFFICER**

	<u>Salaries &amp; Expenses</u>	<u>Working Capital Fund</u>	<u>Cyber Security Initiatives</u>	<u>Reimb Programs</u>
<u>FUNDING LEVELS</u>				
Personnel Compensation and Benefits	\$ 8,923	\$ 7,440	\$ 0	\$ 0
Travel	15	47	0	0
Other Costs	<u>7,807</u>	<u>68,820</u>	<u>15,000</u>	<u>0</u>
TOTAL	<u>\$ 16,745</u>	<u>\$ 76,307</u>	<u>\$ 15,000</u>	<u>\$ 0</u>

STAFFING

Direct Positions	50	0	0	0
Reimbursable Positions	0	92	0	0

The following tables show the total Working Capital Fund estimate and a break out for both offices.

**ASSISTANT SECRETARY FOR ADMINISTRATION  
WORKING CAPITAL FUND  
FY 2020 BUDGET ESTIMATE**  
(In thousands of dollars)

Program	FY 2018	FY 2019	FY 2019	FY 2020
	Actual	Annualized CR Level	Enacted	Request
DOT Activities	\$ 125,938	\$ 121,525	\$ 123,163	\$ 123,380
Shared Services Activities	0	0	9,620	39,987
Non-DOT Activities	321,022	321,022	321,257	299,483
<b>Total</b>	<b>\$ 446,960</b>	<b>\$ 442,547</b>	<b>\$ 454,040</b>	<b>\$ 462,850</b>

Staffing

Reimbursable Positions	215	200	200	209
Reimbursable FTE	186	200	200	209

**OFFICE OF THE CHIEF INFORMATION OFFICER  
WORKING CAPITAL FUND  
FY 2020 BUDGET ESTIMATE**  
(In thousands of dollars)

Program	FY 2018	FY 2019	FY 2019	FY 2020
	Actual	Annualized CR Level	Enacted	Request
DOT Activities	\$ 76,307	\$ 80,720	\$ 80,720	\$ 82,532
Shared Services Commodity Activities	0	0	106,290	85,606
Shared Services Programmatic Activities	0	0		93,396
Non-DOT Activities	0	0	0	0
<b>Total</b>	<b>\$ 76,307</b>	<b>\$ 80,720</b>	<b>\$ 187,010</b>	<b>\$ 261,534</b>

Staffing

Reimbursable Positions	92	42	42	133 *
Reimbursable FTE	42	42	42	133

\*Enactment of the Appropriation Act, 2019, provided additional obligation limitation that will be used for DOT's shared services initiative. Transfer of 57 positions associated with commodity IT from the Operating Administrations may begin in FY 2019.

The following tables display the WCF/OCIO cost estimates by Operating Administration

**Working Capital Fund (FY 2019 Enacted)  
Operating Administration Costs  
And Other Expenses Estimate  
\$000**

	FY 2018 Actual				FY 2019 Enacted				FY 2020 Request					
	Admin	OCIO	Total		Admin	Admin SS	OCIO	OCIO SS	Total	Admin	Admin SS	OCIO	OCIO SS	Total
<b>Operating Administration</b>	\$ 11,284	\$ 9,208	\$ 20,492		\$ 11,532	\$ 306	\$ 12,544	\$ 0	\$ 24,382	\$ 12,323	\$ 354	\$ 12,289	\$ 0	\$ 24,966
OST	45,694	9,061	54,755		44,122	16	11,166	0	55,304	41,411	17	11,755	0	53,183
FHA	12,998	18,865	31,863		12,940	317	19,358	27,734	60,349	11,889	343	19,912	19,676	79,332
FHWA	4,441	4,981	9,422		4,444	79	6,054	8,541	19,118	4,593	84	7,372	7,323	23,267
FRA	5,496	8,506	14,002		5,338	143	8,431	13,522	27,434	5,521	146	8,812	9,979	29,343
NHTSA	3,996	5,881	9,877		3,895	127	6,478	1,399	11,899	3,992	118	6,479	1,592	19,716
FIA	318	514	832		334	10	494	2	840	343	11	570	6	1,337
SLSDC	821	240	1,061		906	0	632	13,521	15,059	971	0	955	13,708	15,634
VOLPE	4,043	4,277	8,320		3,825	95	4,540	15,155	23,615	3,918	101	4,412	10,272	24,951
MARAD	2,940	1,364	4,304		2,907	0	1,413	243	4,563	2,848	0	1,329	541	4,718
OIG	6,057	5,304	11,361		5,991	111	6,402	9,377	21,881	6,366	112	8,835	6,993	25,509
FMCSA	3,169	3,032	6,201		3,285	69	3,301	0	6,655	3,450	73	2,912	0	6,435
OST-R	3,814	4,958	8,772		3,937	69	5,824	3,815	13,645	6,213	73	5,391	4,319	23,943
PHMSA	6,658	4,144	10,802		5,570	8,278	400	12,981	27,179	5,751	38,555	0	11,196	64,960
DOT Unspecified	\$ 111,729	\$ 80,335	\$ 192,064		\$ 108,976	\$ 9,620	\$ 87,037	\$ 106,290	\$ 311,923	\$ 109,589	\$ 39,987	\$ 91,023	\$ 85,605	\$ 419,600
<b>Other Expenses</b>	\$ 167	\$ 5,220	\$ 5,387		\$ 0	\$ 0	\$ 5,220	\$ 0	\$ 5,220	\$ 0	\$ 0	\$ 3,477	\$ 0	\$ 3,477
Capital Assets	(238)	(4,747)	(4,985)		(238)	0	(5,100)	0	(5,338)	(205)	0	(4,502)	0	(4,707)
Depreciation	9,415	0	9,415		9,143	0	0	0	9,143	8,940	0	0	0	8,940
Net NON-DOT Intrafund Costs	4,865	(4,501)	364		5,282	0	(6,437)	0	(1,155)	5,056	0	(7,466)	0	(2,410)
Net WCF Intra Fund Costs														
<b>TOTAL</b>	<b>\$ 125,938</b>	<b>\$ 76,307</b>	<b>\$ 202,245</b>		<b>\$ 123,163</b>	<b>\$ 9,620</b>	<b>\$ 80,720</b>	<b>\$ 106,290</b>	<b>\$ 319,793</b>	<b>\$ 123,380</b>	<b>\$ 39,987</b>	<b>\$ 82,532</b>	<b>\$ 85,605</b>	<b>\$ 424,900</b>

**Legend:**  
 SS: Shared Services  
 SSC: Shared Services Commodity  
 SSP: Shared Services Programmatic

**Note: Totals may not add due to rounding**

**Working Capital Fund (FY 2019 Annualized CR Level)  
Operating Administration Costs  
And Other Expenses Estimate  
\$000**

	FY 2018 Actual			FY 2019 Annualized CR Level			FY 2020 Request						
	Admin	OCIO	Total	Admin	OCIO	Total	Admin	Admin SS	OCIO	OCIO SSC	OCIO SSP	Total	
<b>Operating Administration</b>													
OST	\$ 11,284	\$ 9,208	\$ 20,492	\$ 11,532	\$ 12,544	\$ 24,076	\$ 12,323	\$ 354	\$ 12,289	\$ 0	\$ 0	\$ 0	\$ 24,966
FAA	45,694	9,061	54,755	44,122	11,166	55,288	41,411	17	11,755	0	0	0	53,183
FHWA	12,998	18,865	31,863	12,940	19,358	32,298	11,889	343	19,912	19,676	27,512	0	79,332
FRA	4,441	4,981	9,422	4,444	6,054	10,498	4,593	84	7,372	7,323	3,895	0	23,267
NHTSA	5,496	8,506	14,002	5,338	8,431	13,769	5,521	146	8,812	9,979	4,885	0	29,343
FTA	3,996	5,881	9,877	3,895	6,478	10,373	3,992	118	6,479	1,592	7,535	0	19,716
SLSDC	318	514	832	334	494	828	343	11	570	6	407	0	1,337
VOLPE	821	240	1,061	906	632	1,538	971	0	955	13,708	0	0	15,634
MARAD	4,043	4,277	8,320	3,825	4,540	8,365	3,918	101	4,412	10,272	6,248	0	24,951
OIG	2,940	1,364	4,304	2,907	1,413	4,320	2,848	0	1,329	541	0	0	4,718
FMCSA	6,057	5,304	11,361	5,991	6,402	12,393	6,366	112	8,835	6,993	25,509	0	47,815
OST-R	3,169	3,032	6,201	3,285	3,301	6,586	3,450	73	2,912	0	0	0	6,435
PHMSA	3,814	4,958	8,772	3,937	5,824	9,761	6,213	73	5,391	4,319	7,947	0	23,943
DOT Unspecified	6,658	4,144	10,802	4,389	400	4,789	5,751	38,555	0	11,196	9,458	0	64,960
<b>SUBTOTAL</b>	<b>\$ 111,729</b>	<b>\$ 80,335</b>	<b>\$ 192,064</b>	<b>\$ 107,845</b>	<b>\$ 87,037</b>	<b>\$ 194,882</b>	<b>\$ 109,589</b>	<b>\$ 39,987</b>	<b>\$ 91,023</b>	<b>\$ 85,605</b>	<b>\$ 93,396</b>	<b>\$ 0</b>	<b>\$ 419,600</b>
<b>Other Expenses</b>													
Capital Assets	\$ 167	\$ 5,220	\$ 5,387	\$ -	\$ 5,220	\$ 5,220	\$ -	\$ -	\$ 3,477	\$ -	\$ -	\$ -	\$ 3,477
Depreciation	(238)	(4,747)	(4,985)	(238)	(5,100)	(5,338)	(205)	0	(4,502)	0	0	0	(4,707)
Net NON-DOT Intrafund Costs	9,415	0	9,415	9,143	0	9,143	8,940	0	0	0	0	0	8,940
Net WCF Intra Fund Costs	4,865	(4,501)	364	4,775	(6,437)	(1,662)	5,056	0	(7,466)	0	0	0	(2,410)
<b>TOTAL</b>	<b>\$ 125,938</b>	<b>\$ 76,307</b>	<b>\$ 202,245</b>	<b>\$ 121,525</b>	<b>\$ 80,720</b>	<b>\$ 202,245</b>	<b>\$ 123,380</b>	<b>\$ 39,987</b>	<b>\$ 82,532</b>	<b>\$ 85,605</b>	<b>\$ 93,396</b>	<b>\$ 0</b>	<b>\$ 424,900</b>

**Note: Totals may not add due to rounding**

**Legend:**  
 SS: Shared Services  
 SSC: Shared Services Commodity  
 SSP: Shared Services Programmatic

The FY 2020 budget request aligns mission priorities with customer needs and available resources while building upon a sound administrative infrastructure that consolidates services for common Department-wide functions throughout the Operating Administrations.

The FY 2020 request includes 91 positions that will directly support the Departments OCIO Shared Services Initiatives and will be transferred from the OA's based on the table outlined below. Enactment of the Appropriation Act, 2019, provided additional obligation limitation that will be used for the Department's shared services initiative. Transfer of 57 positions associated with commodity IT from the Operating Administrations may begin in FY 2019.

	<b>FY 2020 WCF Shared Services IT Positions Transition</b>	
	OA FTP	WCF FTP
OST	0	0
FAA	0	0
FHWA	(21)	21
FRA	(16)	16
NHTSA	(7)	7
FTA	(8)	8
SLS	0	0
VOLPE	0	0
MARAD	(9)	9
OIG	0	0
FMCSA	(19)	19
OST-R	0	0
PHMSA	(11)	11
<b>Total:</b>	<b>(91)</b>	<b>91</b>

### Crosswalk of DOT Operating Costs/Expenses

The WCF is a fee-for-service operation which receives no direct appropriations. Instead, the WCF is a self-sustaining reimbursable fund. During the budget formulation stage, the WCF provides to its customers operating cost estimates they will need to contribute to the WCF. These estimates are based on historical data and projected on-demand service levels. The preceding chart is a summary of the DOT operating cost estimates to our customers based on full cost recovery. These operating costs represent the costs provided to each Operating Administration during the fiscal year.

To crosswalk the DOT customer operating costs to DOT obligations, it is necessary to account for items that are (a) at the time of budget formulation were not directly attributable to a specific customer or (b) not directly collected as operating costs.

- DOT Unspecified represents costs where the scope of the work for individual customers is not yet determined and it is not possible to determine a specific billing methodology or customer base, such as for IT consolidation.
- Capital Asset obligations will be expensed over the expected life of the asset and collected in the future as asset replacement reserve.
- Depreciation expenses are treated as a replacement reserve to enable capital assets to be refreshed on a regular cycle. These assets are typically significant technology investments, such as networking and telecommunications equipment that have a useful life of two or more years.
- Net Non DOT Intra Fund Costs provide support services to NON-DOT programs that are not reflected in the DOT cost numbers
- Net WCF Intra Fund Costs are the indirect expenses shared between WCF programs.

<b>Customer Operating Costs:</b>	<b><i>FY 2020</i></b> <b>(\$000)</b>
DOT Customer Total	\$ 354,640
DOT Unspecified	64,960
DOT Operating Administrations' Costs	\$419,600
Capital Assets	\$ 3,477
Depreciation	(4,707)
Net Non-DOT Intra Fund Costs	8,940
Net WCF Intra Fund Costs	(2,410)
Total WCF Obligations	\$424,900

The DOT unspecified amounts in FY 2020 relate to on-demand services such as facility services and personnel services which are subject to fluctuation in customer demand. Additionally, the FY 2020 unspecified includes Shared Services Consolidations that will vary greatly across the WCF customer base. A breakout of these amounts is provided in the following chart:

Service	Amount (\$000)	Reason
<b>WCF Admin:</b>		
Parking Management & Transit Benefits	\$5,520	Changes in Participation/Rate Increases and Addition of New Customer
HR Systems	\$77	Uncertain customer base post conversion
Special Facilities Services	\$103	Specific Customer not known until Service Delivery
Overtime Utilities	\$44	Specific Customer not known until Service Delivery
Paper Services	\$7	Specific Customer not known until Service Delivery
<b>WCF Admin Shared Services:</b>		
Shared Services: Personal Property Operations	\$3,652	Conversion to new Departmental System - unsure of new customer base
Shared Services: Financial Mgmt, Accounting, & Administration	\$34,903	Unknown administrative requirements and ongoing consolidation efforts
<b>OCIO Shared Services Commodity:</b>		
SSC: Network Engineering	\$465	Consolidation activities will vary across WCF Customer Base.
SSC: Voice, Cable, Wireless	\$4,016	
SSC: Desktop Services	\$2,143	
SSC: Server Operations	\$4,572	
<b>OCIO Shared Services Programmatic:</b>		
SSP: Cyber Security as a Service	\$1,402	Consolidation activities will vary across WCF Customer Base.
SSP: Network Engineering	\$905	
SSP: Voice, Cable, Wireless	\$682	
SSP: Desktop Services	\$1,924	
SSP: Server Operations	\$4,545	
<b>Total</b>	<b>\$64,960</b>	

Capital Asset obligations will be expensed over the expected life of the asset and collected in the future as asset replacement reserve. A breakout of these amounts being purchased is provided in the following chart:

Program Area	Asset Description	Budgeted Asset Value (\$000)	Useful Life (Months)
Voice, Cable & Wireless	Telecomm Infrastructure	\$ 177	36
Server Operations	Server and Hosting Infrastructure	\$ 3,300	48
	<b>Total FY 2020 Assets</b>	<b>\$ 3,477</b>	

The following tables show WCF obligations by business line:

**FY 2020 WORKING CAPITAL REQUEST  
DOT AND NON-DOT OBLIGATIONS BY BUSINESS LINE (\$000)**

<u>Description</u>	<u>DOT</u>	<u>SSC</u>	<u>SSP</u>	<u>Non-DOT</u>	<u>2020 Total</u>
<b>Administration</b>					
Acquisition & Procurement Operations	\$ 3,811	\$ 0	\$ 0	\$ 265	\$ 4,076
Building Security	16,796	0	0	0	16,796
Commerical Services Management	0	0	0	59	59
Disability Resource Center	3,302	0	0	250	3,552
DOT Cross Functional Activities	1,452	0	0	0	1,452
DOT Property & Space Management	3,837	3,334	0	45	7,216
E-Gov Initiatives	3,684	0	0	2	3,686
Emergency Response Programs	1,820	0	0	0	1,820
Financial Mgmt, Accounting, &	9,705	35,491	0	0	45,196
Headquarters Services Management	4,583	0	0	397	4,980
HQ Facility Operations & Management	15,280	0	0	0	15,280
HR Systems	18,791	0	0	73	18,864
Human Resource Services	6,251	1,162	0	80	7,493
Information & Records	10,237	0	0	27	10,264
Security Operations	7,835	0	0	33	7,868
Substance Abuse Awareness & Testing	3,516	0	0	4,275	7,791
Transit Benefits and Parking	10,415	0	0	293,977	304,392
Unemployment Compensation	2,066	0	0	0	2,066
<b>Admin Subtotal:</b>	<b>\$ 123,380</b>	<b>\$ 39,987</b>	<b>\$ 0</b>	<b>\$ 299,483</b>	<b>\$ 462,850</b>
<b>OCIO</b>					
Business Management and IT	\$ 6,614	\$ 0	\$ 0	\$ 0	\$ 6,614
Campus Area Network (CAN)	9,136	4,152	4,683	0	17,970
Cyber Security as a Service	7,382	62	11,247	0	18,690
Data & Digital Services	0	0	0	0	0
Desktop Services	17,241	7,814	25,126	0	50,181
Enterprise Dashboard	357	0	0	0	357
Enterprise Licenses	5,100	0	0	0	5,100
Privacy as a Service	0	0	0	0	0
Records Management as a Service	0	0	0	0	0
Server & Messaging Services	20,334	38,004	45,358	0	103,696
Voice, Cable & Wireless	16,368	35,574	6,982	0	58,925
<b>OCIO Subtotal:</b>	<b>\$ 82,532</b>	<b>\$ 85,606</b>	<b>\$ 93,396</b>	<b>\$ 0</b>	<b>\$ 261,534</b>
<b>Grand Total:</b>	<b>\$ 205,912</b>	<b>\$ 125,593</b>	<b>\$ 93,396</b>	<b>\$ 299,483</b>	<b>\$ 724,384</b>



**FY 2019 WORKING CAPITAL ENACTED  
DOT AND NON-DOT OBLIGATIONS BY BUSINESS LINE (\$000)**

<u>Description</u>	<u>DOT Obligations</u>	<u>Shared Services Adjustments*</u>	<u>Non-DOT Obligations</u>	<u>2019 Total</u>
<b>Assistant Secretary for Administration</b>				
Acquisition & Procurement Operations	\$ 5,175	\$ 0	\$ 249	\$ 5,425
Building Security	14,794	0	0	14,794
Commerical Services Management	0	0	59	59
Disability Resource Center	3,154	0	280	3,434
DOT Cross Functional Activities	1,360	0	0	1,360
DOT Property & Space Management	3,984	0	53	4,037
E-Gov Initiatives	4,938	0	0	4,938
Emergency Response Programs	1,799	0	0	1,799
Financial Mgmt, Accounting, & Administration	8,978	6,000	0	14,979
Headquarters Services Management	4,402	0	618	5,020
HQ Facility Operations & Management	15,030	2,542	0	17,573
HR Systems	21,884	0	71	21,955
Human Resource Services	6,085	1,078	75	7,238
Information & Records	7,916	0	9	7,925
Security Operations	7,148	0	49	7,197
Substance Abuse Awareness & Testing	3,383	0	4,275	7,658
Transit Benefits and Parking	11,065	0	315,520	326,586
Unemployment Compensation	2,066	0	0	2,066
<b>Assistant Secretary for Admin Subtotal:</b>	<b>\$ 123,163</b>	<b>\$ 9,620</b>	<b>\$ 321,257</b>	<b>\$ 454,040</b>
<b>Chief Information Officer</b>				
Business Management and IT Administration	\$ 7,980	\$ (1,182)	\$ 0	\$ 6,797
Campus Area Network (CAN)	10,581	4,136	0	14,717
Cyber Security as a Service	6,531	173	0	6,704
Desktop Services	16,929	9,380	0	26,309
Enterprise Dashboard	664	(314)	0	349
Enterprise Licenses	4,240	760	0	5,000
Server & Messaging Services	17,627	50,991	0	68,618
Voice, Cable & Wireless	16,168	42,347	0	58,515
<b>Chief Information Office Subtotal:</b>	<b>\$ 80,720</b>	<b>\$ 106,290</b>	<b>\$ 0</b>	<b>\$ 187,010</b>
<b>Grand Total:</b>	<b>\$ 203,883</b>	<b>\$ 115,910</b>	<b>\$ 321,257</b>	<b>\$ 641,050</b>

\*IT funding reflects current consolidation activities as well as the IT Commodity Spend provided by the operating administrations and anticipated spend for the Enterprise Infrastructure Services (EIS). Administrative funding is based on internal government cost estimates for an enterprise property system and estimates for supporting an acquisition center of excellence and enterprise HR services.

**FY 2019 WORKING CAPITAL ANNUALIZED CR LEVEL  
DOT AND NON-DOT OBLIGATIONS BY BUSINESS LINE (\$000)**

<u>Description</u>	<u>DOT Obligations</u>	<u>Non-DOT Obligations</u>	<u>2019 Total</u>
<b>Assistant Secretary for Administration</b>			
Acquisition & Procurement Operations	\$ 5,175	\$ 249	\$ 5,425
Building Security	14,794	0	14,794
Commerical Services Management	0	59	59
Disability Resource Center	3,154	280	3,434
DOT Cross Functional Activities	1,360	0	1,360
DOT Property & Space Management	3,984	53	4,037
E-Gov Initiatives	4,938	0	4,938
Emergency Response Programs	1,799	0	1,799
Financial Mgmt, Accounting, & Administration	8,978	0	8,978
Headquarters Services Management	4,402	618	5,020
HQ Facility Operations & Management	15,030	0	15,030
HR Systems	21,884	71	21,955
Human Resource Services	6,085	75	6,160
Information & Records	7,916	9	7,925
Security Operations	7,148	49	7,197
Substance Abuse Awareness & Testing	3,383	4,275	7,658
Transit Benefits and Parking	9,427	315,285	324,713
Unemployment Compensation	2,066	0	2,066
<b>Assistant Secretary for Admin Subtotal:</b>	<b>\$ 121,525</b>	<b>\$ 321,022</b>	<b>\$ 442,547</b>
<b>Chief Information Officer</b>			
Business Management and IT Administration	\$ 7,980	\$ 0	\$ 7,980
Campus Area Network (CAN)	10,581	0	10,581
Cyber Security as a Service	6,531	0	6,531
Data & Digital Services	0	0	0
Desktop Services	16,929	0	16,929
Enterprise Dashboard	664	0	664
Enterprise Licenses	4,240	0	4,240
Privacy as a Service	0	0	0
Records Management as a Service	0	0	0
Server & Messaging Services	17,627	0	17,627
Voice, Cable & Wireless	16,168	0	16,168
<b>Chief Information Office Subtotal:</b>	<b>\$ 80,720</b>	<b>\$ 0</b>	<b>\$ 80,720</b>
<b>Grand Total:</b>	<b>\$ 202,245</b>	<b>\$ 321,022</b>	<b>\$ 523,267</b>

**FY 2018 WORKING CAPITAL ACTUAL  
DOT AND NON-DOT OBLIGATIONS BY BUSINESS LINE (\$000)**

<u>Description</u>	<u>DOT Obligations</u>	<u>Non-DOT Obligations</u>	<u>2018 Total</u>
<b>Assistant Secretary for Administration</b>			
Acquisition & Procurement Operations	\$ 5,381	\$ 0	\$ 5,381
Building Security	14,869	0	14,869
Commerical Services Management	0	65	65
Disability Resource Center	2,865	280	3,145
DOT Cross Functional Activities	1,857	0	1,857
DOT Property & Space Management	4,174	0	4,174
E-Gov Initiatives	4,902	0	4,902
Emergency Response Programs	1,856	0	1,856
Financial Mgmt, Accounting, & Administration	8,485	0	8,485
Headquarters Services Management	4,475	355	4,830
HQ Facility Operations & Management	15,763	0	15,763
HR Systems	22,532	0	22,532
Human Resource Services	6,007	69	6,076
Information & Records	7,988	11	7,999
Security Operations	7,541	0	7,541
Substance Abuse Awareness & Testing	3,867	4,275	8,142
Transit Benefits and Parking	11,310	315,967	327,277
Unemployment Compensation	2,066	0	2,066
<b>Assistant Secretary for Admin Subtotal:</b>	<b>\$ 125,938</b>	<b>\$ 321,022</b>	<b>\$ 446,960</b>
<b>Chief Information Officer</b>			
Business Management and IT Administration	\$ 8,446	\$ 0	\$ 8,446
Campus Area Network (CAN)	10,679	0	10,679
Cyber Security as a Service	3,888	0	3,888
Data & Digital Services	500	0	500
Desktop Services	14,649	0	14,649
Enterprise Dashboard	681	0	681
Enterprise Licenses	3,358	0	3,358
Privacy as a Service	100	0	100
Records Management as a Service	100	0	100
Server & Messaging Services	18,703	0	18,703
Voice, Cable & Wireless	15,203	0	15,203
<b>Chief Information Office Subtotal:</b>	<b>\$ 76,307</b>	<b>\$ 0</b>	<b>\$ 76,307</b>
<b>Grand Total:</b>	<b>\$ 202,245</b>	<b>\$ 321,022</b>	<b>\$ 523,267</b>

**Note: Total may not add due to rounding**

**GAO-IG Act Report: Department of Transportation**  
**OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of February 1, 2019**

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
1	OIG	FAA	12/4/2018	FI2019014	DOT Has Not Met Federal Targets for Implementing Components of its Information Security Continuous Monitoring Program	Implement procedures that: define the requirements for selecting the operating systems to be monitored; criteria for determining which tools should be used to collect data for the CAP goal metrics; and verify the accuracy and completeness of the CAP goal metrics.	1/4/2019	N/A
2	OIG	FAA	12/4/2018	FI2019014	DOT Has Not Met Federal Targets for Implementing Components of its Information Security Continuous Monitoring Program	Develop and implement controls for verifying, validating, and retaining data used to report on CAP performance-based goal metrics.	1/4/2019	N/A
3	OIG	OST	12/4/2018	FI2019014	DOT Has Not Met Federal Targets for Implementing Components of its Information Security Continuous Monitoring Program	Update the department's federal information security modernization act standard operating procedures to include steps for verifying the accuracy and completeness of the Federal Aviation Administration's (FAA) Cross Agency Priority (CAP) goal metrics.	9/30/2019	N/A
4	OIG	FAA	11/27/2018	AV2019013	FAA Remains Several Years Away From a Standardized Controller Scheduling Tool	Develop an implementation plan for deploying a scheduling system for controllers that includes schedule milestones, system requirements, risk assessment and mitigation, and funding requirements.	12/31/2019	N/A
5	OIG	FAA	11/27/2018	AV2019013	FAA Remains Several Years Away From a Standardized Controller Scheduling Tool	Assess and quantify the expected benefits of a customized controller scheduling tool.	12/31/2019	N/A
6	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Assess its procedures and training materials for coding airline passengers' complaints, as appropriate, to help ensure that passengers' complaints are consistently coded and that potential consumer protection violations are properly identified.	6/30/2019	N/A
7	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Assess the feasibility and cost of updating its airline case management system to address data and reporting limitations, and to undertake those updates that are cost effective and feasible.	6/30/2019	N/A
8	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Capture feedback directly from airline passengers or identify other mechanisms to capture passengers' perspectives to inform DOT's education efforts.	9/30/2019	N/A
9	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Identify available short- and long-term budgetary resources for DOT's airline-passenger education efforts.	9/30/2019	N/A
10	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Develop performance measures for DOT's efforts to educate airline passengers.	9/30/2019	N/A
11	GAO	OST	11/20/2018	GAO-19-76	Additional Actions Could Enhance DOT's Compliance and Education Efforts	Establish performance measures for each of its objectives for its five key airline-compliance activities.	2/28/2019	N/A
12	OIG	SLSDC	11/13/2018	FI2019008	Independent Auditors' Report on the Saint Lawrence Seaway Development Corporation's Financial Statements for Fiscal Years 2018 and 2017	Retrain responsible property custodians on the proper procedures for retiring and disposing of assets in a timely manner.	12/31/2018	N/A
13	OIG	SLSDC	11/13/2018	FI2019008	Independent Auditors' Report on the Saint Lawrence Seaway Development Corporation's Financial Statements for Fiscal Years 2018 and 2017	Strengthen policies and controls to assess construction in progress projects to expense costs that are no longer capitalizable.	12/31/2018	N/A
14	OIG	SLSDC	11/13/2018	FI2019008	Independent Auditors' Report on the Saint Lawrence Seaway Development Corporation's Financial Statements for Fiscal Years 2018 and 2017	Perform a review of the net book values for recorded PP&E assets to ensure no other anomalies for converted assets or conversion errors occurred and make adjustments to correct asset values if needed.	12/31/2018	N/A
15	GAO	FHWA	11/8/2018	GAO-19-80	Grade-Crossing Safety: DOT Should Evaluate Whether Program Provides States Flexibility to Address Ongoing Challenges	Evaluate the Section 130 Program's requirements to determine whether they allow states sufficient flexibility to adequately address current and emerging grade-crossing safety issues. As part of this evaluation, FHWA should determine whether statutory changes to the program are necessary to improve its effectiveness.	6/30/2020	N/A
16	OIG	FAA	11/7/2018	AV2019004	FAA Has Taken Steps To Address ERAM Outages, but Some Vulnerabilities Remain	Develop and implement contingency plan testing to validate the effectiveness of techniques and procedures to react to and recover from ERAM outages, with air traffic controllers' and maintenance technicians' participation.	12/31/2019	N/A

**GAO-IG Act Report: Department of Transportation**  
**OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of February 1, 2019**

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
17	OIG	FAA	11/7/2018	AV2019004	FAA Has Taken Steps To Address ERAM Outages, but Some Vulnerabilities Remain	Evaluate, develop, and implement training, consistent with NIST guidelines, for maintenance technicians and air traffic control staff for responding to ERAM in degraded system conditions and outages.	12/31/2019	N/A
18	OIG	FAA	11/7/2018	AV2019004	FAA Has Taken Steps To Address ERAM Outages, but Some Vulnerabilities Remain	Upon completion of the safety review regarding removing ERAM's current backup system, determine what backup capability is required for ERAM and then develop and implement that capability.	12/31/2019	N/A
19	OIG	FAA	11/7/2018	AV2019005	Opportunities Exist for FAA to Strengthen its Review and Oversight Processes for Unmanned Aircraft System Waivers	Conduct a workforce assessment of the staff assigned to review airspace waiver and authorization requests to determine if Air Traffic Organization (ATO) staffing is adequate, and take appropriate action based on the results.	6/30/2019	N/A
20	OIG	FAA	11/7/2018	AV2019005	Opportunities Exist for FAA to Strengthen its Review and Oversight Processes for Unmanned Aircraft System Waivers	Assess performance statistics for ATO's non-automated airspace waiver request process to determine if establishing volume and timeliness goals would enhance the process and if so, develop and implement these goals.	3/31/2019	N/A
21	OIG	FAA	11/7/2018	AV2019005	Opportunities Exist for FAA to Strengthen its Review and Oversight Processes for Unmanned Aircraft System Waivers	Use performance metrics for Low Altitude Authorization and Notification Capability (LAANC) to evaluate the system's effect on application processing volume and timeliness and take appropriate action based on the results.	3/31/2019	N/A
22	OIG	FAA	11/7/2018	AV2019005	Opportunities Exist for FAA to Strengthen its Review and Oversight Processes for Unmanned Aircraft System Waivers	Develop and implement internal controls to improve consistency in the use of standard template responses when corresponding with applicants regarding requests for information.	2/28/2019	N/A
23	OIG	FAA	11/7/2018	AV2019005	Opportunities Exist for FAA to Strengthen its Review and Oversight Processes for Unmanned Aircraft System Waivers	Update National Flight Standards Work Program Guidelines to require field offices perform inspections on a sample of commercial UAS operators in their area for a 2-year period, which will increase available inspection data for creating a risk profile of UAS.	8/31/2019	N/A
24	OIG	FAA	11/7/2018	AV2019005	Opportunities Exist for FAA to Strengthen its Review and Oversight Processes for Unmanned Aircraft System Waivers	Using available inspection and risk data, develop a baseline risk assessment profile of small commercial UAS operators, including those operators with waivers and airspace authorizations, to inform inspector surveillance planning decisions, as well as procedures to periodically update this risk assessment profile using future inspection data.	3/31/2019	N/A
25	OIG	FAA	11/7/2018	AV2019005	Opportunities Exist for FAA to Strengthen its Review and Oversight Processes for Unmanned Aircraft System Waivers	Issue guidance to field offices regarding where and how to obtain Agency information on waiver and/or authorization-holding UAS operators, to help inform their inspection planning.	8/31/2019	N/A
26	OIG	FAA	11/7/2018	AV2019005	Opportunities Exist for FAA to Strengthen its Review and Oversight Processes for Unmanned Aircraft System Waivers	Provide clarifying guidance to UAS operators on FAA's website or by other means regarding the small UAS rule provision relating to operations "over people."	2/28/2019	N/A
27	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of Invoicing and AIP Grant Payments	Develop and implement a plan to recover the \$102,323 in questioned and unsupported costs identified in this report.	12/31/2018	N/A
28	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of Invoicing and AIP Grant Payments	Communicate to AIP grantees FAA's policy requirement for maintaining all original documentation that supports grant payments and confirm that all grantees have acknowledged this requirement.	9/30/2019	N/A
29	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of Invoicing and AIP Grant Payments	Update AIP payment policy to include a specific requirement that grantees submit payment requests on invoiced costs incurred up to the allowable Federal share, and communicate the revision to all AIP grantees.	9/30/2019	N/A
30	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of Invoicing and AIP Grant Payments	Improve existing training for RO/ADO program managers to follow the AIP Handbook requirements for amending grant agreements when expanding project descriptions.	9/30/2019	N/A

**GAO-IG Act Report: Department of Transportation**  
**OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of February 1, 2019**

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
31	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of Invoicing and AIP Grant Payments	Develop and implement controls for periodically verifying that RO/ADO program managers are implementing FAA's policy for (a) assigning and monitoring grantee risk ratings, as required; (b) performing manual approvals, when required; and (c) performing quarterly reviews and, when applicable, modifying grantee risk ratings according to FAA guidance.	9/30/2019	N/A
32	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of Invoicing and AIP Grant Payments	Formally request that OST Delphi system managers modify the wording of the warning message to AIP grantees to specifically state when documentation has not been attached to payment requests and that such documentation is required by FAA policy and the Improper Payments Elimination and Recovery Improvement Act of 2012 (IPERA).	12/31/2018	N/A
33	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of Invoicing and AIP Grant Payments	Formally request that OST Delphi system managers implement a function that denies AIP payments to grantees that do not provide the required supporting documentation at the time of the payment request.	12/31/2018	N/A
34	OIG	FAA	9/12/2018	FI2018101	Improvements Are Needed To Strengthen FAA's Oversight of Invoicing and AIP Grant Payments	Update FAA policy to include the availability of existing Delphi invoicing training and communicate the policy revision to all AIP grantees.	9/30/2019	N/A
35	OIG	OST	9/12/2018	QC2018095	Quality Control Review of the Independent Service Auditor's Report on DOT's Enterprise Services Center (FOUO)	Ensure interconnections with external agencies have a current documented Memorandums of Understanding	11/30/2018	N/A
36	OIG	OST	9/12/2018	QC2018095	Quality Control Review of the Independent Service Auditor's Report on DOT's Enterprise Services Center (FOUO)	Ensure that Access Control Officers complete the quarterly access reviews over the current active user accounts and associated roles within Delphi Financial Application, including iSupplier, to help ensure access is authorized and commensurate with job responsibilities.	11/30/2018	N/A
37	OIG	OST	9/12/2018	QC2018095	Quality Control Review of the Independent Service Auditor's Report on DOT's Enterprise Services Center (FOUO)	Ensure the SOD reviews are performed completely and accurately by both the ISSOs and application administrators.	11/30/2018	N/A
38	OIG	OST	9/12/2018	QC2018095	Quality Control Review of the Independent Service Auditor's Report on DOT's Enterprise Services Center (FOUO)	Implement control measures to help ensure all contractors have updated their personnel MyFAA profile and are registered to complete the required security trainings.	11/30/2018	N/A
39	OIG	OST	9/12/2018	QC2018095	Quality Control Review of the Independent Service Auditor's Report on DOT's Enterprise Services Center (FOUO)	Enforce oversight compliance to ensure that weaknesses identified as a result of vulnerability scans are addressed according to DOT and ESC policy by either being remediated within established timelines or tracked to resolution in the plan of action and milestones process.	11/30/2018	N/A
40	OIG	OST	9/12/2018	QC2018095	Quality Control Review of the Independent Service Auditor's Report on DOT's Enterprise Services Center (FOUO)	Ensure the quality control reviewer is independent of the transactions they review. Specifically, we recommend that ESC management design and implement an independent periodic review to help ensure the QA reviewers did not process travel transactions in Delphi.	11/30/2018	N/A
41	OIG	OST	9/12/2018	QC2018095	Quality Control Review of the Independent Service Auditor's Report on DOT's Enterprise Services Center (FOUO)	Configure application, database, and operating system password settings to be consistent with the DOT Cybersecurity Compendium and Delphi System Security Plan. Any exceptions should be approved and documented.	11/30/2018	N/A
42	OIG	FAA	9/12/2018	SA2018096	Report on a Single Audit of the Territory of American Samoa, Pago Pago, AS	Ensure that the Territory complies with the equipment and real property requirements.	3/12/2019	N/A
43	OIG	FAA	9/12/2018	SA2018096	Report on a Single Audit of the Territory of American Samoa, Pago Pago, AS	Ensure that the Territory complies with the special tests and provisions requirements.	3/12/2019	N/A
44	OIG	FAA	9/12/2018	SA2018096	Report on a Single Audit of the Territory of American Samoa, Pago Pago, AS	Recover \$264,077 from the Territory, if applicable.	3/29/2019	N/A
45	OIG	FHWA	9/12/2018	SA2018097	Report on a Single Audit of the Navajo Nation, Window Rock, AZ	Ensure that the Navajo Nation complies with the equipment and real property requirements.	12/1/2018	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
46	OIG	FRA	9/12/2018	SA2018098	Report on a Single Audit of the National Railroad Passenger Corporations & Subsidiaries (AMTRAK), Washington, DC	Ensure that AMTRAK complies with the equipment and real property management requirements.	3/12/2019	N/A
47	OIG	FAA	9/12/2018	SA2018099	Report on a Single Audit of the Republic of Palau, Koror, PW	Ensure that the Republic complies with the equipment and real property management requirements.	3/12/2019	N/A
48	OIG	FTA	9/12/2018	SA2018100	Report on a Single Audit of the Middletown Transit District, Middletown, CT	Ensure that the District complies with the procurement and suspension and debarment requirements.	3/11/2019	N/A
49	OIG	FHWA	9/11/2018	SA2018086	Report on a Single Audit of the South Carolina Department of Transportation, Columbia, SC	Ensure that the SC DOT complies with proper accounting requirements for accounts receivable and accounts payable.	11/1/2018	N/A
50	OIG	FTA	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Ensure that the University complies with the allowable costs/cost principles requirements.	3/11/2019	N/A
51	OIG	FTA	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Recover \$9,377 from the University, if applicable.	3/11/2019	N/A
52	OIG	OST	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Ensure that the University complies with the allowable costs/cost principles requirements.		Unresolved
53	OIG	OST	9/11/2018	SA2018087	Report on a Single Audit of Rutgers University, Piscataway, NJ	Recover \$8,954 from the University, if applicable.		Unresolved
54	OIG	NHTSA	9/11/2018	SA2018088	Report on a Single Audit of the State of Vermont, Montpelier, VT	Ensure that the State complies with the reporting requirements.	3/11/2019	N/A
55	OIG	NHTSA	9/11/2018	SA2018088	Report on a Single Audit of the State of Vermont, Montpelier, VT	Ensure that the State complies with the matching, level of effort, earmarking requirements.	3/11/2019	N/A
56	OIG	FTA	9/11/2018	SA2018089	Report on a Single Audit of the Metropolitan Transit Authority of Harris County, Texas, Houston, TX	Ensure that the Authority complies with the subrecipient monitoring requirements.	3/11/2019	N/A
57	OIG	FTA	9/11/2018	SA2018090	Report on a Single Audit of the Chicago Transit Authority, Chicago, IL	Ensure that the Authority complies with the reporting requirements.	3/11/2019	N/A
58	OIG	NHTSA	9/11/2018	SA2018091	Report on a Single Audit of the State of Michigan, Lansing, MI	Ensure that the State complies with the matching, level of effort, earmarking requirements.	3/11/2019	N/A
59	OIG	FHWA	9/11/2018	SA2018092	Report on a Single Audit of the Confederated Tribes of the Colville Reservation, Nespelem, WA	Ensure that the Confederated Tribes complies with the reporting requirements.	12/31/2018	N/A
60	OIG	FTA	9/11/2018	SA2018093	Report on a Single Audit of the Mississippi Coast Transportation Authority, Gulfport, MS	Ensure that the Authority complies with the matching requirements.	3/11/2019	N/A
61	OIG	FTA	9/11/2018	SA2018093	Report on a Single Audit of the Mississippi Coast Transportation Authority, Gulfport, MS	Recover \$2,787 from the Authority, if applicable.	3/11/2019	N/A
62	OIG	FHWA	9/11/2018	SA2018094	Report on a Single Audit of the Commonwealth of the Northern Mariana Islands, Saipan, MP	Ensure that the Commonwealth complies with the equipment and real property management requirements.	3/11/2019	N/A
63	OIG	FTA	9/10/2018	SA2018078	Report on Single Audit of the Capital Area Transportation Authority, Lansing, MI	Ensure that the Authority complies with the cash management requirements.	3/10/2019	N/A
64	OIG	FTA	9/10/2018	SA2018078	Report on Single Audit of the Capital Area Transportation Authority, Lansing, MI	Recover \$30,641 from the Authority, if applicable.	3/10/2019	N/A
65	OIG	FHWA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Ensure that the State complies with the cash management requirements.	3/31/2019	N/A
66	OIG	FHWA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Ensure that the State complies with the subrecipient monitoring requirements.	3/31/2019	N/A
67	OIG	FHWA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Ensure that the State complies with the activities allowed or unallowed requirements.		Unresolved
68	OIG	FHWA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Recover \$900,000 from the State, if applicable.		Unresolved
69	OIG	FHWA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Recover \$143,000 from the State, if applicable.		Unresolved
70	OIG	FHWA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Ensure that the State complies with the special tests and provisions requirements.	7/1/2019	N/A
71	OIG	FTA	9/10/2018	SA2018079	Report on Single Audit of the State of Montana, Helena, MT	Ensure that the State complies with the reporting requirements.	3/10/2019	N/A



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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
72	OIG	FTA	9/10/2018	SA2018080	Report on a Single Audit of the City and County of Honolulu, HI	Ensure that the City and County complies with the activities allowed or unallowed and allowable costs/cost principles requirements.	3/10/2019	N/A
73	OIG	FTA	9/10/2018	SA2018080	Report on a Single Audit of the City and County of Honolulu, HI	Recover \$24,080,771 from the City and County, if applicable.	3/10/2019	N/A
74	OIG	FTA	9/10/2018	SA2018080	Report on a Single Audit of the City and County of Honolulu, HI	Ensure that the City and County complies with the reporting requirements.	3/10/2019	N/A
75	OIG	FTA	9/10/2018	SA2018081	Report on a Single Audit of the State of Louisiana, Baton Rouge, LA	Ensure that the State complies with the subrecipient monitoring requirements.	3/10/2019	N/A
76	OIG	FTA	9/10/2018	SA2018081	Report on a Single Audit of the State of Louisiana, Baton Rouge, LA	Recover \$106,181 from the State, if applicable.	3/10/2019	N/A
77	OIG	FTA	9/10/2018	SA2018082	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensure that the Authority complies with the equipment and real property management requirements.	3/10/2019	N/A
78	OIG	OST	9/10/2018	SA2018082	Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensure that the Authority complies with the equipment and real property management requirements.		Unresolved
79	OIG	FTA	9/10/2018	SA2018083	Report on a Single Audit of the City of Union City, Union City, CA	Ensure that the City complies with the subrecipient monitoring requirements.	3/10/2019	N/A
80	OIG	FTA	9/10/2018	SA2018083	Report on a Single Audit of the City of Union City, Union City, CA	Recover \$2,780,059 from the City, if applicable.	3/10/2019	N/A
81	OIG	OST	9/10/2018	SA2018084	Report on a Single Audit of the City of Atlanta, Atlanta, GA	Ensure that the City complies with reporting requirements.		Unresolved
82	OIG	OST	9/10/2018	SA2018084	Report on a Single Audit of the City of Atlanta, Atlanta, GA	Ensure that the City complies with subrecipient monitoring requirements.		Unresolved
83	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensure that the Tribe complies with the cash management requirements.	3/31/2019	N/A
84	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Recover \$3,077,574 from the Tribe, if applicable.	3/31/2019	N/A
85	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensure that the Tribe complies with the activities allowed/allowable costs and cost principles requirements.	3/31/2019	N/A
86	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Recover \$22,691 from the Tribe, if applicable.	3/31/2019	N/A
87	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensure that the Tribe complies with the equipment and real property requirements.	3/31/2019	N/A
88	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensure that the Tribe complies with the period of performance requirements.	3/31/2019	N/A
89	OIG	FHWA	9/10/2018	SA2018085	Report on a Single Audit of the Crow Tribe of Indians, Crow Agency, MT	Ensure that the Tribe complies with the special tests and provisions requirements.	3/31/2019	N/A
90	GAO	SLSDC	9/5/2018	GAO-18-610 (1)	GREAT LAKES-ST. LAWRENCE SEAWAY: Assessing Risks and Measuring Performance Could Improve Maritime Transportation	Establish a process to identify, analyze, and monitor risks to the system's use to inform future actions to address those risks.	11/30/2019	N/A
91	OIG	FTA	8/22/2018	SA2018072	Report on a Single Audit of the Utah Transit Authority, Salt Lake City, UT	Ensure that the Authority complies with the equipment and real property management requirements.	2/18/2019	N/A
92	OIG	FTA	8/22/2018	SA2018073	Report on Single Audit of the State of Nebraska, Lincoln, NE	Ensure that the State complies with the subrecipient monitoring requirements.	2/18/2019	N/A
93	OIG	FTA	8/22/2018	SA2018073	Report on Single Audit of the State of Nebraska, Lincoln, NE	Recover \$99,226 from the State, if applicable.	2/18/2019	N/A
94	OIG	FHWA	8/22/2018	SA2018074	Report on a Single Audit of the Government of Guam, Hagatna, GU	Ensure that Guam complies with the equipment and real property management requirements.	2/22/2019	N/A
95	OIG	FTA	8/22/2018	SA2018075	Report on a Single Audit of the Metropolitan Council of the Twin Cities Area, St. Paul, MN	Ensure that the Council complies with the special tests and provisions requirements.	2/18/2019	N/A
96	OIG	OST	8/22/2018	ST2018076	DOT Operating Administrations Can Better Enable Referral of Potentially Criminal Activity to OIG	Update DOT Orders 8000.8 and 8000.5A and make them available to DOT employees.	3/8/2019	N/A
97	OIG	OST	8/22/2018	ST2018076	DOT Operating Administrations Can Better Enable Referral of Potentially Criminal Activity to OIG	Require that Operating Administrations align any criminal referral procedures with updated DOT Orders.	9/6/2019	N/A



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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
98	OIG	OST	8/22/2018	ST2018076	DOT Operating Administrations Can Better Enable Referral of Potentially Criminal Activity to OIG	Implement an annual mandatory training requirement on DOT employees' responsibility to report fraud, waste, and abuse to the OIG and requirements in DOT Orders 8000.8 and 8000.5A.	9/6/2019	N/A
99	OIG	FHWA	8/15/2018	SA2018066	Report on a Single Audit of the State of North Carolina, Raleigh, NC	Ensure that the State complies with the special tests and provisions requirements.	11/1/2018	N/A
100	OIG	FTA	8/15/2018	SA2018067	Report on a Single Audit of the San Francisco Municipal Transportation Agency, San Francisco, CA	Ensure that the Agency complies with the procurement and suspension and debarment requirements.	2/18/2019	N/A
101	OIG	FTA	8/15/2018	SA2018067	Report on a Single Audit of the San Francisco Municipal Transportation Agency, San Francisco, CA	Recover \$214,494 from the Agency, if applicable.	2/18/2019	N/A
102	OIG	OST	8/15/2018	SA2018068	Report on a Single Audit of the North Coast Railroad Authority, Ukiah, CA	Ensure that the Authority complies with the reporting requirements.		Unresolved
103	OIG	FHWA	8/15/2018	SA2018069	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensure that the Authority complies with special tests and provisions requirements.	2/1/2019	N/A
104	OIG	FHWA	8/15/2018	SA2018069	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensure that the Authority complies with the matching requirements.	2/1/2019	N/A
105	OIG	FTA	8/15/2018	SA2018069	Report on a Single Audit of the Puerto Rico Highways and Transportation Authority, San Juan, PR	Ensure that the Authority complies with subrecipient monitoring requirements.	2/11/2019	N/A
106	OIG	FHWA	8/15/2018	SA2018070	Report on a Single Audit of the State of Rhode Island and Provided Plantations, Providence, RI	Ensure that the State complies with the special tests and provisions requirements.	11/1/2018	N/A
107	OIG	FHWA	8/15/2018	SA2018070	Report on a Single Audit of the State of Rhode Island and Provided Plantations, Providence, RI	Recover \$214,516 from the State, if applicable.	11/1/2018	N/A
108	GAO	MARAD	8/8/2018	GAO-18-478	Maritime Security: DOT Needs to Expediently Finalize the Required National Maritime Strategy for Sustaining U.S.-Flag Fleet	Complete the national maritime strategy and establish and provide to Congress a timeline by which the strategy document will be issued.	2/13/2020	N/A
109	OIG	FHWA	8/6/2018	SA2018063	Report on Single Audit of the Wyoming Department of Transportation, Cheyenne, WY	Ensure that the Wyoming DOT complies with the reporting requirements.	2/28/2019	N/A
110	OIG	FHWA	8/6/2018	SA2018064	Report on Single Audit of the Commonwealth of Pennsylvania, Harrisburg, PA	Ensure that the Commonwealth complies with the subrecipient monitoring requirements.	3/1/2019	N/A
111	OIG	FHWA	8/6/2018	SA2018065	Report on a Single Audit of the State of Indiana, Indianapolis, IN	Ensure that the State complies with the special tests and provisions requirements.	3/31/2019	N/A
112	GAO	OST	8/2/2018	GAO-18-93	Federal Chief Information Officers: Critical Actions Needed to Address Shortcomings and Challenges in Implementing Responsibilities	Ensure that the department's IT management policies address the role of the CIO for key responsibilities in the five areas we identified.	12/31/2019	N/A
113	GAO	FTA	7/30/2018	GAO-18-539	Public Transit Partnerships: Additional Information Needed to Clarify Data Reporting and Share Best Practices	Gather and publicly share information on transit partnerships, including those that did not receive funding through the Mobility on Demand (MOD) Sandbox program, to include examples regarding how various local transit agencies complied with federal requirements--such as procurement, drug and alcohol testing, ADA, and Title VI requirements--while offering new on-demand services in partnerships.	12/31/2019	N/A
114	GAO	FTA	7/30/2018	GAO-18-539	Public Transit Partnerships: Additional Information Needed to Clarify Data Reporting and Share Best Practices	Determine which on-demand services qualify as "public transportation" based on the statutory definition and disseminate information to clarify whether and how to report data from such services into the National Transit Database (NTD).	6/30/2020	N/A
115	GAO	FTA	7/30/2018	GAO-18-539	Public Transit Partnerships: Additional Information Needed to Clarify Data Reporting and Share Best Practices	Gather and publically share information on transit partnerships, including those that were not part of the MOD Sandbox program, to include: information on how the local transit agencies and their private mobility company partners are facilitating data sharing, and minimum data needed from a private partner to facilitate NTD reporting.	12/31/2019	N/A
116	GAO	NHTSA	7/18/2018	GAO-18-519	Civil Penalties: Certain Federal Agencies Need to Improve Inflation Adjustment Reporting	Include in DOT's fiscal year 2018 AFR information about all civil monetary penalties within its jurisdiction, including the inflation adjustment of the civil monetary penalties.	11/12/2018	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
117	OIG	NHTSA	7/18/2018	ST2018062	NHTSA's Management of Light Passenger Vehicle Recalls Lacks Adequate Processes and Oversight	Develop and implement a risk-based process to monitor manufacturers' reporting of recall remedy, scope, and risk information. The process should include taking appropriate steps with manufacturers that are not in compliance, including enforcement actions when necessary, as well as verifying information submitted by manufacturers, and identifying and addressing potential inadequacies of recall remedies and scope.	6/3/2019	N/A
118	OIG	NHTSA	7/18/2018	ST2018062	NHTSA's Management of Light Passenger Vehicle Recalls Lacks Adequate Processes and Oversight	Develop and implement a risk-based process—with specific timelines—that provides guidance for Office of Defects Investigation staff on identifying recalls with missing communications (e.g., dealer notifications, technical service bulletins), taking appropriate action to resolve the deficiency, and documenting the outcomes in an official recordkeeping system.	6/3/2019	N/A
119	OIG	NHTSA	7/18/2018	ST2018062	NHTSA's Management of Light Passenger Vehicle Recalls Lacks Adequate Processes and Oversight	Develop, implement, and document management controls, including a supervisory review process, for monitoring recall remedies, scope, and risk reporting and oversight of recall implementation in accordance with the Government Accountability Office's Standards for Internal Control in the Federal Government and NHTSA's procedures.	6/3/2019	N/A
120	OIG	NHTSA	7/18/2018	ST2018062	NHTSA's Management of Light Passenger Vehicle Recalls Lacks Adequate Processes and Oversight	Develop a training curriculum on staff responsibilities for updated recall monitoring and oversight processes, and provide this training to Office of Defects Investigation and Office of Vehicle Safety Compliance staff.	1/2/2019	N/A
121	OIG	NHTSA	7/18/2018	ST2018062	NHTSA's Management of Light Passenger Vehicle Recalls Lacks Adequate Processes and Oversight	Update the recall reporting portal and issue written guidance to identify all recall scope, risk, and completion rate information that regulations require manufacturers to submit.	2/2/2019	N/A
122	OIG	NHTSA	7/18/2018	ST2018062	NHTSA's Management of Light Passenger Vehicle Recalls Lacks Adequate Processes and Oversight	Document lessons learned from the Takata recalls, and develop and implement a plan for applying those lessons to help manufacturers improve completion rates of other recalls.	12/3/2018	N/A
123	GAO	OST	7/13/2018	GAO-18-381	Paperwork Reduction Act: Agencies Could Better Leverage Review Processes and Public Outreach to Improve Burden Estimates	Include enough information in Federal Register notices to allow the public to reasonably calculate or determine the number of respondents, the frequency of response, and the average burden time per response for each information collection activity.	9/30/2019	N/A
124	GAO	OST	7/12/2018	GAO-18-381	Paperwork Reduction Act: Agencies Could Better Leverage Review Processes and Public Outreach to Improve Burden Estimates	Leverage existing consultation with stakeholders and the public to explicitly seek input on the estimated burden imposed by information collections.	9/30/2019	N/A
125	GAO	OST	7/11/2018	GAO-18-381	Paperwork Reduction Act: Agencies Could Better Leverage Review Processes and Public Outreach to Improve Burden Estimates	Review the policies, procedures, and related control activities to ensure that the agency's Paperwork Reduction Act review process is operating effectively.	9/30/2019	N/A
126	OIG	FAA	7/10/2018	AV2018060	FAA Has Not Fully Addressed Safety Concerns Regarding the American Airlines Flight Test Program	Conduct an independent review of FAA's oversight of American Airlines' flight operations to determine whether controls are in place and effective in preventing single points of failure; develop and implement corrective actions, if necessary.	3/31/2019	N/A
127	OIG	FAA	7/10/2018	AV2018060	FAA Has Not Fully Addressed Safety Concerns Regarding the American Airlines Flight Test Program	Modify the existing tool used to evaluate the objectivity of inspectors to incorporate risk factors such as non-routine operations and the length of time inspectors oversee the same air carrier.	10/31/2019	N/A
128	OIG	FAA	7/10/2018	AV2018060	FAA Has Not Fully Addressed Safety Concerns Regarding the American Airlines Flight Test Program	Develop and implement controls requiring oversight office staff to resolve complaints and follow key policy requirements such as directly contacting complainants and documenting investigations.	3/31/2019	N/A
129	OIG	FAA	7/10/2018	AV2018060	FAA Has Not Fully Addressed Safety Concerns Regarding the American Airlines Flight Test Program	Establish and implement criteria for evaluating correspondence to ensure safety complaints are routed to FAA's Office of Audit and Evaluation.	3/31/2019	N/A
130	OIG	FAA	7/10/2018	AV2018060	FAA Has Not Fully Addressed Safety Concerns Regarding the American Airlines Flight Test Program	Develop and implement inspector guidance on FAA's oversight requirements for flight test operations.	6/30/2019	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
131	OIG	FAA	7/3/2018	FI2018059	Opportunities Exist to Further Strengthen the Security Controls of FAA's Data Communications Program (FOUO)	Update and remediate the completion dates in the plans of action and milestones for SI-02.A and CM07.A.2 to ensure that the confidentiality, integrity, and availability of the system are not at risk.	3/31/2019	N/A
132	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Determine the impact of new hire training and certification time and fatigue mitigation requirements on technician staffing and incorporate into the maintenance technician staffing process.	9/30/2019	N/A
133	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Determine the impact of equipment age on workload and maintenance technician staffing needs and incorporate this factor into the staffing model, if found to be statistically significant.	2/28/2019	N/A
134	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Review and update the Facility, Service, and Equipment Profile policy to require user training and recurring data-validation reviews at the Support Center and national levels at defined intervals prior to running the staffing model.	9/30/2019	N/A
135	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Develop and implement a process to reduce and standardize codes in the Labor Distribution Reporting (LDR) system to improve accounting for direct maintenance workload.	9/30/2019	N/A
136	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Determine if the newly standardized LDR data are reliable for direct maintenance workloads in the Technical Operations Staffing Model, and if so, develop and implement an action plan with milestones to replace the workload assessments with LDR data.	9/30/2021	N/A
137	OIG	FAA	6/27/2018	AV2018057	Underlying Data Quality Issues Hinder the Staffing and Placement of FAA's Maintenance Technicians	Revise the current standard operating procedure, Tier 1/2/3 Staffing Allocations and Tier 1 Watch Coverage Requirements to: a. Define the job series and clarify whether system specialists and System Support Center coordinators are included in the Tier 1, 2, and 3 staffing targets; and b. Require annual review, validation, and updating of staffing allocation targets.	9/30/2019	N/A
138	OIG	FAA	6/27/2018	AV2018058	FAA Faces Challenges in Implementing and Measuring the Effectiveness of Its 2015 Runway Safety Call to Action Initiatives	Update the target delivery dates for initiatives that are still in progress, including those without target delivery dates, and implement procedures for continually updating delivery dates and descriptions of initiatives as changes are made.	1/31/2019	N/A
139	OIG	FAA	6/27/2018	AV2018058	FAA Faces Challenges in Implementing and Measuring the Effectiveness of Its 2015 Runway Safety Call to Action Initiatives	Develop and include in the monitoring plan quantifiable metrics or other indicators that can measure the effectiveness of the initiatives.	5/31/2019	N/A
140	OIG	FAA	6/27/2018	AV2018058	FAA Faces Challenges in Implementing and Measuring the Effectiveness of Its 2015 Runway Safety Call to Action Initiatives	Consolidate duplicate initiatives within the monitoring plan.	1/31/2019	N/A
141	GAO	FTA	5/31/2018	GAO-18-462	Capital Investment Grants Program: FTA Should Address Several Statutory Provisions	Initiate a rulemaking regarding the evaluation and rating process for Core Capacity Improvement projects, consistent with statutory provisions.		N/A
142	GAO	FTA	5/31/2018	GAO-18-462	Capital Investment Grants Program: FTA Should Address Several Statutory Provisions	Take steps, such as undertaking additional research or public outreach, to enable FTA to evaluate and rate projects in a program of interrelated projects, in a manner consistent with statutory provisions.	12/31/2019	N/A
143	GAO	FTA	5/31/2018	GAO-18-462	Capital Investment Grants Program: FTA Should Address Several Statutory Provisions	Take steps to describe the process project sponsors should follow to apply for consideration as a pilot project under the Expedited Project Delivery for Capital Investment Grants Pilot Program.	Rec is Pending GAO Closure	N/A
144	OIG	PHMSA	5/30/2018	ST2018056	PHMSA Has an Opportunity To Refine Its Guidance and Performance Reporting for the Pipeline Safety Research and Development Program	Develop and issue comprehensive policy and procedures for the Pipeline Safety Research and Development Program that includes guidance for: a. notifying a wider spectrum of stakeholder representatives about future Research and Development forums, in order to increase their participation; b. addressing how the results of Research and Development forums are incorporated into the program plan; c. conducting all steps in the conflict-of-interest process; and d. following up with researchers on benefits and uses.	6/3/2019	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
145	OIG	PHMSA	5/30/2018	ST2018056	PHMSA Has an Opportunity To Refine Its Guidance and Performance Reporting for the Pipeline Safety Research and Development Program	Complete upgrades to the conflict-of-interest portion of the Research and Development Management Information System.	2/1/2019	N/A
146	OIG	PHMSA	5/30/2018	ST2018056	PHMSA Has an Opportunity To Refine Its Guidance and Performance Reporting for the Pipeline Safety Research and Development Program	Use Performance Improvement Council best practices to update future biennial Update Reports to Congress, to include additional context, such as analyses of current performance metrics and an evaluation of program success, trends, and anomalies.	2/3/2020	N/A
147	GAO	PHMSA	5/29/2018	GAO-18-461	Interstate Pipeline Inspections: Additional Planning Could Help DOT Determine Appropriate Level of State Participation	Develop a workforce plan for interstate pipeline inspections that is consistent with leading practices in workforce planning, which should include a consideration of the additional resources and safety oversight that state pipeline officials can provide.	6/28/2019	N/A
148	GAO	FAA	5/24/2018	GAO-18-110	Small Unmanned Aircraft Systems: FAA Should Improve Its Management of Safety Risks	Establish a mechanism, such as an internal review procedure, to ensure that FAA's management of safety risks posed by small UAS operations in the National Airspace System follows all applicable principles and requirements in FAA's policies.	1/31/2019	N/A
149	OIG	FHWA	5/3/2018	SA2018046	Report on Single Audit of the Highway Division, Department of Transportation, State of Hawaii, Honolulu, HI	Ensure that the State complies with the special tests and provisions requirements.	7/1/2019	N/A
150	OIG	FHWA	5/2/2018	SA2018052	Report on a Single Audit of the State of Ohio, Columbus, OH	Ensure the State complies with the period of performance requirements.	4/1/2019	N/A
151	OIG	FHWA	5/2/2018	SA2018052	Report on a Single Audit of the State of Ohio, Columbus, OH	Determine the allowability of the \$5,824 transaction, then review all construction projects to ensure that expenditures were properly paid within the period of performance, and recover any additional questioned costs, if applicable.	4/1/2019	N/A
152	OIG	FHWA	5/2/2018	SA2018054	Report on Single Audit of the Naknek Native Village Council, Nakenek, AK	Ensure that the Council complies with the cash management requirements.	11/1/2018	N/A
153	OIG	FHWA	5/2/2018	SA2018054	Report on Single Audit of the Naknek Native Village Council, Nakenek, AK	Recover \$666,482 from the Council, if necessary.	11/1/2018	N/A
154	OIG	FTA	4/30/2018	SA2018042	Report on Single Audit of the City of Albany, Albany, OR	Ensure that the City complies with the allowable cost/cost principles requirements.	11/3/2018	N/A
155	OIG	FTA	4/30/2018	SA2018042	Report on Single Audit of the City of Albany, Albany, OR	Recover \$21,265 from the City, if applicable.	11/3/2018	N/A
156	OIG	FTA	4/30/2018	SA2018042	Report on Single Audit of the City of Albany, Albany, OR	Ensure that the City complies with the allowable cost/cost principles requirements.	11/3/2018	N/A
157	OIG	FTA	4/30/2018	SA2018042	Report on Single Audit of the City of Albany, Albany, OR	Recover \$37,543 from the City, if applicable.	11/3/2018	N/A
158	OIG	FAA	4/30/2018	SA2018043	Report on Single Audit of the Gulfport-Biloxi Regional Airport Authority, Gulfport, MS	Ensure that the Authority complies with the allowable costs/cost principles requirements.	10/31/2018	N/A
159	OIG	FAA	4/30/2018	SA2018043	Report on Single Audit of the Gulfport-Biloxi Regional Airport Authority, Gulfport, MS	Recover \$38,339 from the Authority, if applicable.	10/31/2018	N/A
160	OIG	FHWA	4/30/2018	SA2018044	Report on Single Audit of the New Mexico Department of Transportation, Santa Fe, NM	Ensure that the NM DOT complies with the subrecipient monitoring requirements.	11/1/2018	N/A
161	OIG	NHTSA	4/30/2018	SA2018044	Report on Single Audit of the New Mexico Department of Transportation, Santa Fe, NM	Ensure that the NM DOT complies with the activities allowed or unallowed requirements.	11/1/2018	N/A
162	OIG	FTA	4/30/2018	SA2018045	Report on Single Audit of the Orange County Transportation Authority, Orange, CA	Ensure that the Authority complies with the procurement and suspension and debarment requirements.	11/3/2018	N/A
163	OIG	FTA	4/30/2018	SA2018045	Report on Single Audit of the Orange County Transportation Authority, Orange, CA	Ensure that the Authority complies with the subrecipient monitoring requirements.	11/3/2018	N/A
164	OIG	FTA	4/30/2018	SA2018047	Report on Single Audit of the City of Phoenix, Phoenix, AZ	Ensure that the City complies with the Subrecipient monitoring requirements.	11/3/2018	N/A
165	OIG	FTA	4/30/2018	SA2018048	Report on Single Audit of the Dallas Area Rapid Transit, Dallas, TX	Ensure that the DART complies with the allowable costs/cost principles requirements.	11/3/2018	N/A
166	OIG	FTA	4/30/2018	SA2018048	Report on Single Audit of the Dallas Area Rapid Transit, Dallas, TX	Recover \$122,558 from the DART, if applicale.	11/3/2018	N/A

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167	OIG	FTA	4/30/2018	SA2018048	Report on Single Audit of the Dallas Area Rapid Transit, Dallas, TX	Ensure that the DART complies with the cash management requirements.	11/3/2018	N/A
168	OIG	FTA	4/30/2018	SA2018049	Report on Single Audit of the Suffolk County, Hauppauge, NY	Ensure that the County complies with the equipment and real property management requirements.	11/3/2018	N/A
169	OIG	FAA	4/30/2018	SA2018051	Report on Single Audit of the Valley County, Glasgow, MT	Ensure that the County complies with the equipment and real property requirements.	5/15/2019	N/A
170	OIG	FAA	4/17/2018	AV2018041	FAA Needs To More Accurately Account for Airport Sponsors' Grandfathered Payments	Develop and implement an internal control process to verify the accuracy of reports on grandfathered payments.	2/28/2019	N/A
171	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Revise and document a standardized data entry and validation process for the Service Areas to follow to help ensure consistent and accurate REMS data entry.	9/30/2019	N/A
172	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Develop, document, and implement a new lease approval process that will allow for more timely decisions and for improved coordination with Service Area staff on the status of the decisions made during this process. Implementing this recommendation could potentially put \$14.6 million in funds to better use due to missed rent reduction opportunities, which timely and coordinated lease efficiency opportunity decisions could have potentially prevented.	4/30/2019	N/A
173	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Improve and document methods used to share and communicate Headquarters lease policies, guidance, and initiatives to all real estate staff members in the Service Areas.	3/29/2019	N/A
174	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Revise and document lease policy and templates to clarify that the indefinite holdover clause should only be used in office and warehouse leases where mission-critical safety equipment or functions are housed, and document a process to verify this policy is followed.	4/30/2019	N/A
175	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Revise, document, and implement a procedure to require and verify that for any office or warehouse lease whose firm-term portion is greater than one year, an analysis showing use of a firm-term lease is advantageous to the Agency is documented in the lease file.	6/28/2019	N/A
176	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Revise and document the real estate strategic planning process so that it: (1) provides for annual updates and (2) increase Service Area involvement and awareness.	4/30/2019	N/A
177	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Develop and implement a method for increasing the likelihood that LOBs provide the necessary funding to implement agreed upon lease efficiency opportunities.	9/30/2019	N/A
178	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Provide additional guidance and/or training to FAA staff to reinforce existing policy regarding: (1) the proper coding of payments captured under each of the various lease-related object class codes in the Agency's accounting system, Delphi; and (2) the requirement for approving officials to ensure the accuracy of accounting codes.	3/31/2019	N/A
179	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Take appropriate action to address the \$9,964 in improper payments identified in this report.	3/29/2019	N/A
180	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Develop, document, and implement a process to ensure that for any new or succeeding office space lease that does not meet the utilization standard, a justification is developed and documented in the lease file as to why the application of the Agency's space utilization standard is not cost effective.	6/28/2019	N/A



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181	OIG	FAA	4/11/2018	ZA2018040	FAA's Management and Oversight Are Inadequate To Secure Timely and Cost-Efficient Agency-Leased Offices and Warehouses	Revise, document, and implement an internal control process to regularly track and assess the utilization rate for all office space leases in the Agency's current portfolio using data that is updated for accuracy on a regular basis. Implementing this recommendation could potentially put \$22.9 million in funds to better use by preventing FAA from paying rent on unneeded space in excess of its utilization standard.	9/30/2019	N/A
182	OIG	MARAD	3/28/2018	ST2018039	Gaps in USMMA's Sexual Assault Prevention and Response Program Limit Its Effectiveness	Complete a Sexual Assault Review Board review of all Academy policies and procedures, including the Midshipmen Regulations, to identify any gaps or inconsistencies with SAPR messaging and revise the policies and procedures accordingly.	3/15/2019	N/A
183	OIG	MARAD	3/28/2018	ST2018039	Gaps in USMMA's Sexual Assault Prevention and Response Program Limit Its Effectiveness	Communicate the revised policies and procedures to all Academy stakeholders.	3/15/2019	N/A
184	OIG	MARAD	3/28/2018	ST2018039	Gaps in USMMA's Sexual Assault Prevention and Response Program Limit Its Effectiveness	Establish and formalize in policy or procedures methodologies to evaluate the effectiveness of the SAPR program and its practices, including metrics to evaluate training outcomes.	4/19/2019	N/A
185	OIG	MARAD	3/28/2018	ST2018039	Gaps in USMMA's Sexual Assault Prevention and Response Program Limit Its Effectiveness	Revise sexual assault policies and procedures and sexual harassment policies to clearly provide for documenting, tracking, and maintaining reports, such as by cross-referencing to the records maintenance standard operating procedure.	3/15/2019	N/A
186	OIG	MARAD	3/28/2018	ST2018039	Gaps in USMMA's Sexual Assault Prevention and Response Program Limit Its Effectiveness	Develop and implement procedures for prioritizing responses to recommendations based on risk and aligning resources accordingly.	3/15/2019	N/A
187	OIG	MARAD	3/28/2018	ST2018039	Gaps in USMMA's Sexual Assault Prevention and Response Program Limit Its Effectiveness	Develop and implement controls to ensure staff at all levels and faculty are held accountable for taking actions to support the SAPR program, including completing assigned action items.	4/19/2019	N/A
188	OIG	MARAD	3/28/2018	ST2018039	Gaps in USMMA's Sexual Assault Prevention and Response Program Limit Its Effectiveness	Align the investigative reporting practice with the standard operating procedure for investigating an unrestricted report of sexual assault.	3/15/2019	N/A
189	OIG	MARAD	3/28/2018	ST2018039	Gaps in USMMA's Sexual Assault Prevention and Response Program Limit Its Effectiveness	Develop and implement a procedure for reporting, investigating, and responding to sexual harassment complaints.	3/15/2019	N/A
190	GAO	FTA	3/20/2018	GAO-18-310	Rail Transit: Federal Transit Administration Can Strengthen Safety Oversight by Improving Guidance to States	Create a plan, with a timeline, for developing guidance for state safety agencies about how to develop and implement a risk-based inspection program.	4/30/2019	N/A
191	GAO	FTA	3/20/2018	GAO-18-310	Rail Transit: Federal Transit Administration Can Strengthen Safety Oversight by Improving Guidance to States	Develop and communicate a method for how it will monitor the effectiveness of the enforcement authorities and practices of state safety agencies.	7/31/2019	N/A
192	OIG	FTA	3/19/2018	SA2018034	Report on Single Audit of the Metropolitan Atlanta Rapid Transit Authority, Atlanta, GA	Ensure that the Authority complies with the procurement and suspension and debarment requirements.	9/11/2018	N/A
193	OIG	FTA	3/19/2018	SA2018035	Report on Single Audit of the Washington Metropolitan Area Transit Authority, Washington, DC	Ensure that the Authority complies with the equipment and real property management requirements.	9/30/2018	N/A
194	OIG	FTA	3/19/2018	SA2018035	Report on Single Audit of the Washington Metropolitan Area Transit Authority, Washington, DC	Ensure that the Authority complies with the special tests and provisions requirements.	9/18/2018	N/A
195	OIG	FTA	3/19/2018	SA2018035	Report on Single Audit of the Washington Metropolitan Area Transit Authority, Washington, DC	Recover \$76,572 from the Authority, if applicable.	9/18/2018	N/A
196	OIG	FAA	3/19/2018	SA2018037	Report on Single Audit of the City of Hattiesburg, Hattiesburg, MS	Ensure that the City complies with the reporting requirements.	9/13/2018	N/A
197	OIG	OST	3/13/2018	SA2018031	Report on Single Audit of the Metropolitan Transportation Authority, New York, NY	Ensure that the Authority complies with the procurement and suspension and debarment requirements.		Unresolved
198	OIG	OST	3/13/2018	SA2018036	Report on Single Audit of the Metropolitan Transportation Commission, San Francisco, CA	Ensure that the Commission complies with the reporting requirements.		Unresolved
199	OIG	FAA	3/6/2018	AV2018030	FAA Needs to Strengthen Its Management Controls Over the Use and Oversight of NextGen Developmental Funding	Define the projects that are considered pre-implementation (developmental) in the Agency budget guidance and Acquisition Management System policy and validate that developmental projects align with the definition and are funded under the appropriate budget activity.	9/30/2018	N/A

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200	OIG	FAA	3/6/2018	AV2018030	FAA Needs to Strengthen Its Management Controls Over the Use and Oversight of NextGen Developmental Funding	Develop and implement a quality control checklist with criteria for determining when the use of incremental funding prior to PLA approval is permissible.		Unresolved
201	OIG	FAA	3/6/2018	AV2018030	FAA Needs to Strengthen Its Management Controls Over the Use and Oversight of NextGen Developmental Funding	Develop and implement a control for enforcing the PMA limits on the assessment of program management fees for various administrative and contract support specified in the Agency's standard operating procedures.		Unresolved
202	OIG	FAA	3/6/2018	AV2018030	FAA Needs to Strengthen Its Management Controls Over the Use and Oversight of NextGen Developmental Funding	Establish and implement a mechanism for providing oversight of developmental funding, to include records of decision regarding selecting, justifying, and measuring the outcomes of PLAs to ensure FAA is funding the highest priority work.		Unresolved
203	GAO	FRA	3/1/2018	GAO-18-367T	Positive Train Control: Many Commuter Railroads Still Have Significant Additional Implementation Work and Opportunities Exist to Provide Federal Assistance	Identify and adopt a method for systematically communicating information to railroads regarding the deadline extension criteria and process.	Rec is Pending GAO Closure	N/A
204	GAO	FRA	3/1/2018	GAO-18-367T	Positive Train Control: Many Commuter Railroads Still Have Significant Additional Implementation Work and Opportunities Exist to Provide Federal Assistance	Develop an approach to use the information gathered to prioritize the allocation of resources to address the greatest risk.	3/15/2019	N/A
205	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Revise AMS to include policy or guidance on justifying the use of program management task orders and a process for implementing assessment fees for multiple-award contracts.	2/28/2019	N/A
206	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Update SE2020's standard operating procedure for competition of SE2020 task orders, including strengthening procedures for follow-on awards.	7/31/2018	N/A
207	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Strengthen and document procedures to collect and analyze SE2020 task-order timeliness data to sustain improvements in task order award time.	6/29/2018	N/A
208	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Revise AMS to include policy or guidance for multiple-awards contracts to address acquisition planning, such as estimating contract hours and costs and overall contract estimates.	2/28/2019	N/A
209	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Revise AMS to require FAA's acquisition program office that manages multiple-award contract vehicles to develop and maintain comprehensive program management and governance plans.	2/28/2019	N/A
210	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Revise AMS to strengthen multiple-award contract oversight and management framework to ensure such multiple-award contracts follow sound business practices and AMS policies and procedures.	2/28/2019	N/A
211	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Strengthen, document, and implement controls for SE2020 invoice review to comply with the Prompt Payment Act. Implementation of this recommendation could put up to \$44,000 in funds to better use.	7/31/2018	N/A
212	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Revise AMS to include policy or guidance for multiple-award contracts to describe the appropriate structure for fee payments in cost plus fixed-fee contracts.	2/28/2019	N/A
213	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Obtain direct and indirect cost audits for all SE2020 prime contractors for all base contract years, or document the risk assessments performed to justify when cost audits are not performed.	12/31/2018	N/A
214	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Revise AMS to include policy or guidance for obtaining direct and indirect cost audits for multiple-award cost-reimbursable contracts or to perform risk assessments to justify not obtaining them.	2/28/2019	N/A
215	OIG	FAA	2/28/2018	ZA2018029	Improvements Could Be Made in FAA's Award and Oversight of SE2020 Acquisition Program Task Orders	Enhance procedures and controls to require SE2020 staff with responsibility for oversight of task orders to track and document vendor performance through its Performance-Based Contract Monitoring (PBCM) system.	8/31/2018	N/A

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216	GAO	OST	2/15/2018	GAO-18-211	Critical Infrastructure Protection: Additional Actions Are Essential for Assessing Cybersecurity Framework Adoption	Take steps to consult with respective sector partner(s), such as the SCC, DHS and NIST, as appropriate, to develop methods for determining the level and type of framework adoption by entities across their respective sector.	12/31/2019	N/A
217	OIG	FHWA	2/12/2018	QC2018023	Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2017 and 2016	Strengthen FHWA policies and procedures to ensure that terminated users' access is removed timely from UPACS and the application it supports, in accordance with the DOT Cybersecurity Compendium guidelines.	10/1/2018	N/A
218	OIG	FAA	2/12/2018	QC2018024	Quality Control Review of the Management Letter for the Federal Aviation Administration's Audited Consolidated Financial Statements for Fiscal Years 2017 and 2016	Perform a review of the AP accrual, including the procurement samples used for the percentage allocation, at a level of detail or precision to identify errors in order to prevent a misstatement.	2/28/2018	N/A
219	OIG	FAA	1/31/2018	AV2018020	FAA Completed STARS at Large TRACONS, but Challenges in Delivering NextGen Capabilities Remain	Finalize a timeline for identifying the remaining STARS requirements, including the additional requirements for the "post-implementation enhancements," and quantify the impact these requirements will have on software implementation milestones.	12/31/2018	N/A
220	OIG	FAA	1/31/2018	AV2018020	FAA Completed STARS at Large TRACONS, but Challenges in Delivering NextGen Capabilities Remain	Implement a process in the FAA Requirements Management Plan to track and document when and how new requirements are validated and prioritized.	12/31/2018	N/A
221	OIG	FAA	1/31/2018	AV2018020	FAA Completed STARS at Large TRACONS, but Challenges in Delivering NextGen Capabilities Remain	Resolve the electrical configuration issue of the STARS rack assemblies at each of the 11 TRACONS by either: (a) obtaining approval for the configuration from a nationally recognized testing laboratory or (b) assessing and documenting risks posed by the STARS rack assemblies installed at each of the 11 facilities and FAA's acceptance of that risk on air traffic operations.	12/31/2018	N/A
222	GAO	NHTSA	1/31/2018	GAO-18-252	Next Generation 911: National 911 Program Could Strengthen Efforts to Assist States	Develop specific program goals and performance measures related to NG911 implementation.	11/1/2019	N/A
223	GAO	NHTSA	1/31/2018	GAO-18-252	Next Generation 911: National 911 Program Could Strengthen Efforts to Assist States	Determine roles and responsibilities of federal agencies participating in the National NG911 Roadmap initiative in order to carry out the national-level tasks over which each agency has jurisdiction, in collaboration with the appropriate federal agencies.	11/1/2019	N/A
224	GAO	NHTSA	1/31/2018	GAO-18-252	Next Generation 911: National 911 Program Could Strengthen Efforts to Assist States	Develop an implementation plan to support the completion of the National NG911 Roadmap's national-level tasks.	11/1/2019	N/A
225	OIG	FMCSA	1/31/2018	ST2018019	Estimates Show Commercial Driver Detention Increases Crash Risks and Costs, but Current Data Limit Further Analysis	Collaborate with industry stakeholders to develop and implement a plan to collect and analyze reliable, accurate, and representative data on the frequency and severity of driver detention times.	12/31/2019	N/A
226	GAO	FHWA	1/30/2018	GAO-18-222	Highway and Transit Projects: Evaluation Guidance Needed for States with National Environmental Policy Act Authority	Offer and provide guidance or technical assistance to NEPA assignment states on developing evaluation methodologies, including baseline time frames and timeliness measures.	7/31/2018	N/A
227	OIG	FAA	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Verify that FAA's criteria regarding designation and definition of contractor systems conforms to DOT guidance, and that systems are correctly classified.	9/30/2019	N/A
228	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Require MARAD, NHTSA, OST, and SLSDC to develop and disseminate policies and procedures for their risk management programs that include the appropriate elements such as criteria for making risk based decisions.	10/1/2018	N/A
229	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Implement controls to verify that information on threat activity has been communicated to senior agency officials and require retention of supporting documentation.	10/1/2018	N/A



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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
230	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Update procedures and practices for monitoring and authorizing common security controls for COE and FAA to (a) require supporting documentation for controls continual assessments, (b) complete reauthorization assessments for the controls, (c) finalize guidance for customers' use of controls, and (d) establish communication protocols between authorizing officials and common control providers regarding control status and risks.		Unresolved
231	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Implement controls to continuously monitor and work with components to ensure network administrators are informed and action is taken to disable system accounts when users no longer require access or have been inactive beyond established thresholds.		Unresolved
232	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Complete PIV enablement and requirements for remaining information systems, except those that are subject to exclusions that are documented and approved.	12/1/2020	N/A
233	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Implement mandatory use of PIV cards for VDI access.	12/1/2019	N/A
234	OIG	OST	1/24/2018	FI2018017	FISMA 2017: DOT's Information Security Posture Is Still Not Effective	Implement processes verifying that personnel performing certain security related roles receive specialized training needed to meet OCIO guidance.	10/1/2018	N/A
235	GAO	FAA	1/18/2018	GAO-18-177	Homeland Defense: Urgent Need for DOD and FAA to Address Risks and Improve Planning for Technology That Tracks Military Aircraft	Address ADS-B Out security concerns by approving one or more solutions that address ADS-B Out -related security risks or incorporating mitigations for security risks into the existing draft memorandum of agreement. These approved solutions should address operations, physical, cyber-attack, and electronic warfare security risks; and risks associated with divesting secondary-surveillance radars. The solution or mitigations should be approved as soon as possible in order to allow sufficient time for implementation.	4/2018	N/A
236	OIG	OST	1/17/2018	QC2018015	Quality Control Review for DOT's Implementation of Earned Value Management Practices	Ensure that artifacts illustrating implementation and execution of EVM are in accordance with the DOT EVM policy.	2/4/2019	N/A
237	OIG	OST	1/17/2018	QC2018015	Quality Control Review for DOT's Implementation of Earned Value Management Practices	Retain evidence of the required EVM artifacts.	2/4/2019	N/A
238	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	Ensure the system Privacy Plan includes all requirements established by the DOT Chief Privacy Officer in the privacy threshold assessment (PTA) and the adjudication statement is implemented.	7/21/2018	N/A
239	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	Ensure that the encryption protections for data at rest and during transit are implemented in accordance with the DOT Privacy Risk Management Policy.	7/21/2018	N/A
240	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	Confirm that the session time-out functionality has been implemented.	7/21/2018	N/A
241	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	Ensure that the encryption protections for data at rest are implemented in accordance with the DOT Privacy Risk Management Policy.	7/21/2018	N/A
242	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	Provide system specific and/or specialized/role based privacy job aides as needed to personnel who maintain and/or have access to PII data.	7/21/2018	N/A
243	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	Ensure the Privacy Plan including all requirements established by the DOT Chief Privacy Officer in the PTA adjudication statement is implemented.	7/21/2018	N/A
244	OIG	FAA	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	Implement memoranda of understanding or similar agreements for internal sharing of PII.	7/21/2018	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
245	OIG	OST	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	Establish a continuous monitoring (CM) program for privacy supportive security controls to ensure PII systems remain compliant with DOT Privacy Risk Management policy.	6/30/2018	N/A
246	OIG	OST	1/17/2018	QC2018016	Quality Control Review for the Assessment of DOT's Protection of Privacy Information	Ensure that the encryption protections for data at rest and during transit have been implemented in accordance with the DOT Privacy Risk Management Policy.	2/4/2019	N/A
247	GAO	FAA	1/16/2018	GAO-18-57	Commercial Space Launch Insurance: FAA Needs to Fully Address Mandated Requirements	Fulfill the CSLCA mandate to include ensuring a balance of risk between the federal government and launch companies as part of FAA's MPL methodology evaluation by reexamining the current probability thresholds.	12/31/2020	N/A
248	GAO	FAA	1/16/2018	GAO-18-57	Commercial Space Launch Insurance: FAA Needs to Fully Address Mandated Requirements	Fulfill the CSLCA mandate to analyze the cost impact of implementing its revised MPL methodology by evaluating the impact on the direct costs of launch companies and the federal government.	12/31/2020	N/A
249	GAO	FAA	1/16/2018	GAO-18-57	Commercial Space Launch Insurance: FAA Needs to Fully Address Mandated Requirements	Fulfill the CSLCA mandate to evaluate its MPL methodology in consultation with the commercial space sector and insurance providers by consulting with those entities on the cost impact of its revised MPL methodology, including an updated cost-of-casualty amount, on the launch industry and the federal government.	12/31/2020	N/A
250	GAO	FAA	1/16/2018	GAO-18-57	Commercial Space Launch Insurance: FAA Needs to Fully Address Mandated Requirements	Establish an estimated completion date for developing and implementing a plan to establish guidance on the most appropriate MPL methodologies and tools to use for each launch.	12/31/2020	N/A
251	GAO	OST	1/10/2018	GAO-18-42	Information Technology: Agencies Need to Involve Chief Information Officers in Reviewing Billions of Dollars in Acquisitions	Ensure that the office of the CAO is involved in the process to identify IT acquisitions.	11/30/2018	N/A
252	GAO	OST	1/10/2018	GAO-18-42	Information Technology: Agencies Need to Involve Chief Information Officers in Reviewing Billions of Dollars in Acquisitions	Issue specific guidance to ensure IT-related acquisitions are properly identified.	11/30/2018	N/A
253	GAO	OST	1/10/2018	GAO-18-42	Information Technology: Agencies Need to Involve Chief Information Officers in Reviewing Billions of Dollars in Acquisitions	Ensure that IT acquisition plans or strategies are reviewed and approved according to OMB's guidance.	11/30/2018	N/A
254	OIG	FHWA	1/10/2018	ST2018014	FHWA Lacks Detailed Guidance on Infrastructure Resilience for Emergency Relief Projects and a Process To Track Related Improvements	Revise the Emergency Relief Manual to include a definition of resilience improvement and identify procedures States should use to incorporate resilience into ERP-funded projects.	7/30/2019	N/A
255	OIG	FHWA	1/10/2018	ST2018014	FHWA Lacks Detailed Guidance on Infrastructure Resilience for Emergency Relief Projects and a Process To Track Related Improvements	Develop and implement a process to identify best practices for improving the resilience of emergency relief projects and share them with Division Offices and State DOTs.	2/28/2019	N/A
256	OIG	FHWA	1/10/2018	ST2018014	FHWA Lacks Detailed Guidance on Infrastructure Resilience for Emergency Relief Projects and a Process To Track Related Improvements	Develop and implement a process to track the consideration of resilience improvements for emergency relief projects and their associated costs.	7/30/2019	N/A
257	OIG	FHWA	12/20/2017	QC2018013	Quality Control Review For DOT's Implementation of Enterprise Architecture	Approve and distribute FHWA OA level EA policy, otherwise the OA will rely on the DOT EA policy.	9/28/2018	N/A
258	OIG	OST	12/20/2017	QC2018013	Quality Control Review For DOT's Implementation of Enterprise Architecture	Direct the OCIO to work with OAs' CIOs to conduct the required annual assessment of the DOT's and OA's EA programs against the GAO's EA Management Maturity Model.	1/2/2019	N/A
259	OIG	OST	12/20/2017	QC2018013	Quality Control Review For DOT's Implementation of Enterprise Architecture	Supplement the existing DOT EA Policy with operational guidance to clarify EA artifacts required by the DOT EA policy.	9/1/2018	N/A
260	OIG	OST	12/20/2017	QC2018013	Quality Control Review For DOT's Implementation of Enterprise Architecture	Require that the EA artifacts illustrating implementation and execution of EA are in accordance with DOT EA policy.	7/1/2018	N/A
261	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Revise the Safety Assurance System (SAS) risk-assessment tool to include weighted factors for each organizational risk evaluated by inspectors.	1/31/2020	N/A
262	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Update the scoring system and instructions in the Financial Condition Assessment Decision Aid to reflect that 10 characteristics are being evaluated.	4/30/2019	N/A

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263	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Develop and provide additional guidance and training to inspectors to clarify the differences in the choices (word pictures) provided in the decision aids.	6/28/2019	N/A
264	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Reevaluate the decision aids to validate that: a. They include the appropriate areas of focus during reviews of the financial condition and transition or growth of regional air carriers; b.The weighting of the focus areas correlates to their potential impact on risks associated with financial distress or rapid growth or downsizing.	4/30/2019	N/A
265	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Revise validated guidance to emphasize the importance of completing decision aids periodically for baseline comparisons.	4/30/2019	N/A
266	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Implement a retention policy for completed decision aids so they will be available to inspectors for comparison and analysis during risk assessments.	4/30/2019	N/A
267	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Develop and provide guidance and training to show inspectors how to detect triggers that require the completion of a decision aid, as well as the importance of using decision aids to adjust surveillance.	4/30/2019	N/A
268	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Refine policies and procedures for collecting and analyzing safety data and metrics from regional airlines sector-wide and sharing that information with FAA's Flight Standards Offices.	4/30/2019	N/A
269	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Revise inspector guidance to provide actions inspectors should take after risks are identified through complaints, including reaching out to other offices if necessary and ensuring planned surveillance of the issue is actually completed.	4/30/2019	N/A
270	OIG	FAA	12/19/2017	AV2018012	FAA Oversight Is Not Keeping Pace With the Changes Occurring in the Regional Airline Industry	Revise Agency guidance on risk-management processes to recommend adjustments to surveillance when the risk score is identified as "high" or document a reason for not adjusting surveillance given the risk.	4/30/2019	N/A
271	OIG	FAA	12/11/2017	FI2018011	FAA Needs To Enhance the Oversight and Management of Its Overflight Fee Program	Develop and implement policies and procedures to ensure that overflight-fee collection activities comply with Department of the Treasury requirements, such as: a. Ensuring debtors are given due process; implementation of this recommendation could put \$1.48 million in funds to better use. b. Assessing late charges on all delinquent debts; implementation of this recommendation could put \$9.3 million in funds to better use. c. Making timely referrals of delinquent overflight fees to Treasury; implementation of this recommendation could put \$7.98 million in funds to better use.	9/30/2019	N/A
272	GAO	NHTSA	12/4/2017	GAO-18-127	Auto Recalls: NHTSA Should Take Steps to Further Improve the Usability of Its Website	Determine a completion date for the agency's website consolidation effort.	12/31/2018	N/A
273	GAO	NHTSA	12/4/2017	GAO-18-127	Auto Recalls: NHTSA Should Take Steps to Further Improve the Usability of Its Website	Take interim steps to improve the usability of the auto recall areas of NHTSA.gov by addressing the website usability difficulties we identified, while the agency continues its website consolidation effort.	11/30/2018	N/A
274	GAO	OST	11/30/2017	GAO-18-132	Automated Vehicles: Comprehensive Plan Could Help DOT Address Challenges	Develop and implement a comprehensive plan to better manage departmental initiatives related to automated vehicles. This plan should include leading principles such as goals, priorities, steps to achieve results, milestones, and performance measures to track progress.	12/31/2019	N/A
275	GAO	PHMSA	11/22/2017	GAO-18-89	Natural Gas Storage: Department of Transportation Could Take Additional Steps to Improve Safety Enforcement Planning	Ensure that PHMSA defines levels of performance, addresses core program activities, and uses baseline data as it continues developing performance goals for its natural gas storage program.	Rec is Pending GAO Closure	N/A
276	GAO	PHMSA	11/22/2017	GAO-18-89	Natural Gas Storage: Department of Transportation Could Take Additional Steps to Improve Safety Enforcement Planning	Ensure that PHMSA uses other data and information about budgetary resources as they become available to inform and refine its performance goals.	Rec is Pending GAO Closure	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
277	OIG	PHMSA	11/21/2017	ST2018010	PHMSA Has Improved Its Workforce Management but Planning, Hiring, and Retention Challenges Remain	Develop a comprehensive workforce plan by implementing the existing Human Capital Framework in accordance with the Department's Workforce Planning Guide.	12/31/2018	N/A
278	OIG	PHMSA	11/21/2017	ST2018010	PHMSA Has Improved Its Workforce Management but Planning, Hiring, and Retention Challenges Remain	Include in the workforce plan an assessment of whether the Agency should use retention incentives and, if appropriate, a plan for seeking authority to use retention incentives at levels above the fiscal year 2010 cap.	12/31/2018	N/A
279	OIG	PHMSA	11/21/2017	ST2018010	PHMSA Has Improved Its Workforce Management but Planning, Hiring, and Retention Challenges Remain	Include in the workforce plan an assessment of whether the Agency should use a special rate of pay for general engineers (series 0801) and, if appropriate, a plan for seeking authority to establish a higher rate of basic pay.	12/31/2018	N/A
280	OIG	FHWA	11/15/2017	QC2018008	Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2017 and 2016 - Department of Transportation	Review the overall cash flow model functionality and implementation to ensure that all assumptions are properly applied, documented, and supported in the execution of the cash flow projections.	10/1/2018	N/A
281	OIG	FHWA	11/15/2017	QC2018008	Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2017 and 2016 - Department of Transportation	Consider automating the calculations that are performed manually to reduce the risk of misapplication of assumptions due to human error.	10/1/2018	N/A
282	OIG	SLSDC	11/8/2017	FI2018003	Independent Auditor's Report On Audited Financial Statements For Fiscal Year 2017 Saint Lawrence Seaway Development Corporation	Develop and implement accounting policies and procedures to recognize and record SLSDC's share of activities related to the operation of the South Channel Span of the Seaway International Bridge.	7/31/2018	N/A
283	OIG	SLSDC	11/8/2017	FI2018003	Independent Auditor's Report On Audited Financial Statements For Fiscal Year 2017 Saint Lawrence Seaway Development Corporation	Develop and implement accounting policies and procedures to recognize and record SLSDC's expense activity associated with executed bridge repair service job orders.	7/31/2018	N/A
284	OIG	SLSDC	11/8/2017	FI2018003	Independent Auditor's Report On Audited Financial Statements For Fiscal Year 2017 Saint Lawrence Seaway Development Corporation	Develop and implement accounting policies and procedures to recognize and record SLSDC's liabilities with SIBC for open service job orders.	7/31/2018	N/A
285	GAO	OST	11/2/2017	GAO-18-38	Discretionary Transportation Grants: DOT Should Take Actions to Improve the Selection of Freight and Highway Projects	Develop an evaluation plan for the Infrastructure for Rebuilding America (INFRA) program in advance of issuing the notice of funding opportunity and ensure the program's evaluation plan clearly defines how all review teams should apply criteria, assess applications, and assign ratings to ensure that all applications are consistently reviewed.	9/30/2019	N/A
286	GAO	OST	11/2/2017	GAO-18-38	Discretionary Transportation Grants: DOT Should Take Actions to Improve the Selection of Freight and Highway Projects	Ensure all program applicants be notified in writing of the outcomes of the application selection process. For unsuccessful applicants, the notification should include a brief explanation of the decision.	Rec is Pending GAO Closure	N/A
287	GAO	OST	11/2/2017	GAO-18-38	Discretionary Transportation Grants: DOT Should Take Actions to Improve the Selection of Freight and Highway Projects	Require INFRA program teams document their decision-making rationale throughout all levels of review in the application selection process.	Rec is Pending GAO Closure	N/A
288	GAO	FRA	10/31/2017	GAO-18-97	Railroad Safety: Quiet Zone Analyses and Inspections Could Be Improved	Revise the methodology for the analysis of safety in quiet zones to take into account relevant changes over time--including changes in train and automotive traffic, or in the physical characteristics of the grade crossing.	5/31/2019	N/A
289	GAO	FRA	10/31/2017	GAO-18-97	Railroad Safety: Quiet Zone Analyses and Inspections Could Be Improved	Develop guidance for Inspectors on the nature and frequency of quiet zone inspections.	Rec is Pending GAO Closure	N/A
290	GAO	FAA	10/26/2017	GAO-18-72	Federal Facility Security: Selected Agencies Should Improve Methods for Assessing and Monitoring Risk	Develop a plan that provides sufficient details on the activities needed and time frames within the date when FAA will implement an improved methodology	2/28/2018	N/A
291	GAO	FAA	10/26/2017	GAO-18-72	Federal Facility Security: Selected Agencies Should Improve Methods for Assessing and Monitoring Risk	Update FAA's policy to require the use of a methodology that fully aligns with the ISC's Risk Management Process for Federal Facilities for assessing all undesirable events, considering all three factors of risk, and documenting all deviations from the standard countermeasures.	11/30/2018	N/A

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292	GAO	FAA	10/26/2017	GAO-18-72	Federal Facility Security: Selected Agencies Should Improve Methods for Assessing and Monitoring Risk	Update FAA's policy to include ongoing monitoring of physical security information.	9/30/2018	N/A
293	OIG	OST	9/26/2017	ZA2017106	OSDBU Lacks Effective Processes for Establishing, Overseeing, and Managing Its Small Business Resource Centers	Develop and implement performance measures for cooperative agreement requirements that assess how well the Centers achieve program objectives and desired outcomes	11/15/2018	N/A
294	OIG	OST	9/26/2017	ZA2017106	OSDBU Lacks Effective Processes for Establishing, Overseeing, and Managing Its Small Business Resource Centers	Recover the \$69,312.00 in improper payments for unallowable labor charges	12/31/2018	N/A
295	OIG	OST	9/26/2017	ZA2017106	OSDBU Lacks Effective Processes for Establishing, Overseeing, and Managing Its Small Business Resource Centers	Develop and implement a process to perform periodic financial assistance management reviews of OSDBU to ensure that OSDBU is informed about and complies with existing financial management assistance laws, regulations, and guidance.	2/1/2019	N/A
296	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Ensure that the Department's Chief Information Officer verifies the completeness of DOT's inventory of current telecommunications assets and services and establishes a process for ongoing maintenance of the inventory.	4/1/2019	N/A
297	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Ensure that the Department's Chief Information Officer identifies the agency's future telecommunications needs, areas for optimization, and costs and benefits of new technology; and completes efforts to align DOT's approach with its long-term plans and enterprise architecture.	4/1/2019	N/A
298	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Ensure that the Department's Chief Information Officer identifies roles and responsibilities related to the management of assets and human capital and legal expertise for the transition; develops a transition communications plan; and fully uses configuration and change-management processes in DOT's transition.	4/1/2019	N/A
299	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Ensure that the Department's Chief Information Officer fully identifies the resources needed for the full transition, justifies requests for transition resources, identifies staff resources needed for the full transition, and fully analyzes training needs for staff assisting with the transition.	4/1/2019	N/A
300	GAO	OST	9/21/2017	GAO-17-464	Telecommunications: Agencies Need to Apply Transition Planning Practices to Reduce Potential Delays and Added Costs	Ensure that the Department's Chief Information Officer fully demonstrates that DOT's transition goals and measures align with its mission; completely identifies transition risks related to information security, critical systems, and continuity of operations; and fully identifies mission-critical priorities in the transition timeline.	4/1/2019	N/A
301	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures, including a standard identification method, for tracking other transaction agreements (OTA).	6/30/2018	N/A
302	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Recover the \$19,000 overpayment to an OTA tower construction recipient, determine whether FAA overpaid other recipients on its tower construction agreements, and recover any overpayments and interest not applied to the construction projects.	6/30/2018	N/A
303	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures for tower construction OTAs that at a minimum address aligning payments to actual needs and disposing of leftover funds and interest earned on advanced funds.	5/31/2018	N/A
304	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop a business case for the award of a new OTA, or an extension of the current OTA, to conduct research at and manage the Florida Test Bed that includes the potential for competition and a cost-benefit analysis that examines facility utilization (whether onsite or via remote access) and potential for cost sharing.	7/30/2018	N/A



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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
305	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Follow DOT's cybersecurity policy, and track access and usage of OTA-covered information systems, including those at the Florida Test Bed.	1/31/2019	N/A
306	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement criteria that: a. Describe when an OTA should be used rather than a contract or grant; b. Require awarding officials to document their rationale for using OTAs rather than contracts or grants.	9/30/2019	N/A
307	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures to state when Acquisition Management System guidance, FAA financial assistance policies, and other requirements and guidance such as requirements for Independent Government Cost Estimates, including OTAs in Single Audits, and conflicts of interest analysis apply to OTAs.	5/31/2018	N/A
308	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies to report OTA awards that involve Federal funds to USASpending.gov.	5/31/2018	N/A
309	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Establish documentation requirements for all types of OTAs, and develop and implement policies and procedures for maintaining complete files for the agreements, including evidence of legal reviews.	2/28/2019	N/A
310	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures to ensure that OTAs are awarded and administered by properly authorized (warranted) officials, including: a. Creating and regularly maintaining a comprehensive list of awarding officials, the various types of agreements (e.g., contract, grant, OTA, reimbursable agreement, interagency agreement) they are authorized to sign, dollar limits (if any), and the dates the authority began and ended when applicable; b. Clarifying the Acquisition Management System to specify when it is appropriate to use an OTA that is also an interagency agreement or reimbursable agreement, and to specify what warrant authorities are required for officials signing these agreements.	2/28/2019	N/A
311	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Assess whether OTAs signed by individuals without proper authorization represent unauthorized commitments, and take appropriate corrective actions.	4/30/2018	N/A
312	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Develop and implement policies and procedures to standardize and enforce provisions of Tower Operating Agreement OTAs as a condition of providing air traffic control services, including: a. A procedure to provide for periodic inspections of the tower environment to detect problems that have an impact on FAA contract controllers and respond to them; b. Requiring all airport sponsors to sign Tower Operating Agreements.	1/31/2019	N/A
313	OIG	FAA	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Renegotiate tower leases requiring rent payments to airport sponsors to secure no-cost leases. Implementation of this recommendation could put \$2.2 million in Federal funds to better use.		Unresolved
314	OIG	OST	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Update the Financial Assistance Guidance Manual and other policies to reflect current authorities and oversight needs for OTAs, and clarify which provisions of the manual and other policies apply to these agreements.	9/30/2019	N/A
315	OIG	OST	9/20/2017	ZA2017098	DOT and FAA Lack Adequate Controls Over Their Use and Management of Other Transaction Agreements	Resolve, with the assistance of legal counsel, whether FAA is required to follow the Department's Financial Assistance Guidance Manual and other policies for OTAs.	10/1/2018	N/A
316	OIG	FTA	9/11/2017	SA2017076	Report on Single Audit of the State of Nebraska, Lincoln, NE	Ensure that the State complies with subrecipient monitoring requirements.	3/12/2018	N/A
317	OIG	FTA	9/11/2017	SA2017076	Report on Single Audit of the State of Nebraska, Lincoln, NE	Recover \$438,118 from the State, if applicable.	3/12/2018	N/A

**GAO-IG Act Report: Department of Transportation**  
**OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of February 1, 2019**

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
318	OIG	MARAD	9/11/2017	SA2017078	Report on Single Audit of the Itawamba County, Fulton, MS	Ensure that the County complies with allowable costs/costs principles requirements.	2/1/2019	N/A
319	OIG	MARAD	9/11/2017	SA2017078	Report on Single Audit of the Itawamba County, Fulton, MS	Recover \$84,365 from the County, if applicable.	2/1/2019	N/A
320	OIG	FTA	9/11/2017	SA2017081	Report on Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	Ensure that the Authority complies with equipment and real property management requirements.	12/31/2018	N/A
321	OIG	FTA	9/11/2017	SA2017082	Report on Single Audit of the Puerto Rico Metropolitan Bus Authority, San Juan, PR	Ensure that the Authority complies with equipment and real property management requirements.	12/30/2018	N/A
322	OIG	FHWA	9/11/2017	SA2017083	Report on Single Audit of the Government of Guam, Hagatna, GU	Ensure that the Government of Guam complies with equipment and real property management requirements.	10/1/2018	N/A
323	OIG	FAA	9/11/2017	SA2017085	Report on Single Audit of the Territory of American Samoa, Pago Pago, AS	Ensure that the Territory complies with equipment and real property management Requirements.	3/9/2018	N/A
324	OIG	FAA	9/11/2017	SA2017086	Report on Single Audit of the Delaware River and Bay Authority, New Castle, DE	Ensure that the Authority complies with period of performance requirements.	7/31/2018	N/A
325	OIG	FAA	9/11/2017	SA2017086	Report on Single Audit of the Delaware River and Bay Authority, New Castle, DE	Recovers \$44,589 from the Authority, if applicable.	7/31/2018	N/A
326	OIG	FAA	9/11/2017	SA2017089	Report on Single Audit of the Jefferson County, Golden, CO	Ensure that the County complies with cash management requirements.	1/28/2019	N/A
327	OIG	FAA	9/11/2017	SA2017089	Report on Single Audit of the Jefferson County, Golden, CO	Ensure that the County complies with procurement, suspension and debarment requirements.	1/28/2019	N/A
328	OIG	FAA	9/11/2017	SA2017089	Report on Single Audit of the Jefferson County, Golden, CO	Ensure that the County complies with special tests and provisions-wage rate requirements.	1/28/2019	N/A
329	OIG	FAA	9/11/2017	SA2017090	Report on Single Audit of the Arapahoe County Public Airport Authority, Englewood, CO	Ensure that the Authority complies with special tests and provisions-revenue diversion requirements.	1/28/2019	N/A
330	OIG	FAA	9/11/2017	SA2017090	Report on Single Audit of the Arapahoe County Public Airport Authority, Englewood, CO	Recover \$1,611,898 from the Authority, if applicable.	9/28/2018	N/A
331	OIG	FHWA	9/11/2017	SA2017091	Report on Single Audit of the Government of the U.S. Virgin Islands, Charlotte Amalie, VI	Ensure that the Government complies with equipment and real property management requirements.	10/1/2018	N/A
332	OIG	FHWA	9/11/2017	SA2017091	Report on Single Audit of the Government of the U.S. Virgin Islands, Charlotte Amalie, VI	Ensure that the Government complies with Special tests and provisions-wage rate requirements.	10/1/2018	N/A
333	OIG	FAA	9/11/2017	SA2017092	Report on Single Audit of the U.S Virgin Islands Port Authority, Charlotte Amalie West, VI	Ensure that the Authority complies with procurement, suspension, and debarment requirements.	1/1/2018	N/A
334	OIG	FHWA	9/11/2017	SA2017095	Report on Single Audit of the Turtle Mountain Band Of Chippewa Indians, Belcourt, ND	Ensure that the Tribe complies with activities allowed or unallowed and allowable costs/cost principles requirements.	10/1/2018	N/A
335	OIG	FHWA	9/11/2017	SA2017095	Report on Single Audit of the Turtle Mountain Band Of Chippewa Indians, Belcourt, ND	Determine an amount of questioned costs and recover from the Tribe, if applicable.	10/1/2018	N/A
336	OIG	FHWA	9/11/2017	SA2017097	Report on Single Audit of the State of Florida, Tallahassee, FL	Ensure that the State complies with matching, level of effort, earmarking requirements.	8/1/2018	N/A
337	OIG	FHWA	9/11/2017	SA2017097	Report on Single Audit of the State of Florida, Tallahassee, FL	Recover \$252,644 from the State, if applicable.	8/1/2018	N/A
338	OIG	FAA	9/5/2017	AV2017075	Greater Adherence To ADS-B Contract Terms May Generate Better Performance And Cost Savings For FAA	Conduct and document an analysis to determine whether or not duplicate subscription fee payments are being made due to radio stations that support multiple service volumes.	5/31/2019	N/A
339	OIG	FAA	9/5/2017	AV2017075	Greater Adherence To ADS-B Contract Terms May Generate Better Performance And Cost Savings For FAA	Strengthen future acquisitions by adding or modifying guidance to AMS to incorporate concepts from the OMB Capital Programming Guide on considering the use of successive or incrementally priced contract, orders, or contract line items when acquiring or developing systems spanning many years. This guidance may be incorporated into planned guidance regarding the use of modular contracting concepts.	1/31/2019	N/A
340	OIG	OST	8/30/2017	QC2017074	Quality Control Review of Controls over DOT's Enterprise Services Center (FOUO)	Reinforce existing policies and procedures to ensure audit log reviews are performed at the required intervals.	7/31/2018	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
341	GAO	OST	8/15/2017	GAO-17-448	Data Center Optimization: Agencies Need to Address Challenges and Improve Progress to Achieve Cost Savings Goal	Take action to, within existing OMB reporting mechanisms, complete plans describing how the agency will achieve OMB's requirement to implement automated monitoring tools at all agency-owned data centers by the end of fiscal year 2018.	9/30/2019	N/A
342	OIG	FTA	8/9/2017	SA2017071	Report on Single Audit of the Yuma County Intergovernmental Public Transportation Authority, Yuma, AZ	Ensure that the County complies with Allowable Costs/Costs Principles requirements.	2/6/2018	N/A
343	OIG	FTA	8/9/2017	SA2017071	Report on Single Audit of the Yuma County Intergovernmental Public Transportation Authority, Yuma, AZ	Recover \$171,265 from the County, if applicable.	2/6/2018	N/A
344	OIG	FTA	8/9/2017	SA2017072	Report on Single Audit of the City and County of Honolulu, Honolulu, HI	Ensure that the City and County complies with special tests and provisions - wage rate requirements.	2/6/2018	N/A
345	OIG	FHWA	8/9/2017	SA2017073	Report on Single Audit of the State of Tennessee, Nashville, TN	Ensure that the State complies with procurement and suspension and debarment requirements.	9/1/2018	N/A
346	OIG	FHWA	8/9/2017	SA2017073	Report on Single Audit of the State of Tennessee, Nashville, TN	Recover \$466,262 from the State, if applicable.	9/1/2018	N/A
347	OIG	FHWA	8/9/2017	SA2017073	Report on Single Audit of the State of Tennessee, Nashville, TN	Ensure that the State complies with special tests and provisions requirements.	2/1/2018	N/A
348	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Update OCIO-WCF billing procedures to ensure billings are accurately and consistently applied to intra-agency agreements for products and services, within specified scopes of work and periods of performance.	12/7/2018	N/A
349	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Document OCIO's process for preparing cost estimates that support its cybersecurity budget request and maintaining support documentation justifying the basis of estimates.	9/30/2018	N/A
350	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Implement the DOT Enterprise Program Management Review Framework and procedures for maintaining support documentation that complies with OMB design and planning requirements to justify its IT investments, including the Virtual Desktop Infrastructure and the Continuous Monitoring Software, and require the use of planning tools such as cost-benefit analyses to monitor the costs, schedule, and performance goals.	12/3/2018	N/A
351	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Develop and manage a business case consistent with OMB guidance for cybersecurity investments, and ensure that Continuous Diagnostic and Mitigation program is incorporated into that investment for reporting of costs, and other criteria as required by OMB.	12/3/2018	N/A
352	OIG	OST	8/7/2017	FI2017066	Cybersecurity Planning Weaknesses May Hinder the Efficient Use of Future Resources	Develop and implement a process specifying how OCIO prioritizes its cybersecurity IT investments, and follow through on its plan to develop separate plans that include which cybersecurity projects it plans to focus on to address near-term threats, important tactical cybersecurity goals, and remediation challenges.	12/31/2018	N/A
353	GAO	PHMSA	8/3/2017	GAO-17-639	Pipeline Safety: Additional Actions Could Improve Federal Use of Data on Pipeline Materials and Corrosion	Document the decisions and underlying assumptions for the design of RRIM, including what data and information were analyzed as part of determining each component of the model, such as the threat factors, weights, risk tiers, and inspection frequency.	Rec is Pending GAO Closure	N/A
354	GAO	PHMSA	8/3/2017	GAO-17-639	Pipeline Safety: Additional Actions Could Improve Federal Use of Data on Pipeline Materials and Corrosion	Establish and implement a process that uses data to periodically review and assess the effectiveness of the model in prioritizing pipelines for inspection and document the results of these analyses.	Rec is Pending GAO Closure	N/A
355	GAO	OST	7/27/2017	GAO-17-637	AIR AMBULANCE:Data Collection and Transparency Needed to Enhance DOT Oversight	Assess available federal and industry data and determine what further information could assist in the evaluation of future complaints or concerns regarding unfair or deceptive practices.		Non-Concur



**GAO-IG Act Report: Department of Transportation**  
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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
356	GAO	OST	7/27/2017	GAO-17-637	Air Ambulance: Data Collection and Transparency Needed to Enhance DOT Oversight	Consider consumer disclosure requirements for air ambulance providers, which could include information such as established prices charged, business model and entity that establishes prices, and extent of contracting with insurance.	Rec is Pending GAO Closure	N/A
357	OIG	FMCSA	7/25/2017	ST2017065	FMCSA Strengthened Controls for Timely and Quality Reviews of High-Risk Carriers, but Data Challenges Remain to Assess Effectiveness	Update information systems to capture the explicit identification of compliance reviews as either comprehensive or focused, and the Behavior Analysis and Safety Improvement Categories assigned and reviewed.	9/30/2019	N/A
358	GAO	FMCSA	7/13/2017	GAO-17-488	Information Technology: Federal Motor Carrier Safety Administration Needs to Strengthen Its Strategic Planning and Oversight to Modernize Legacy Systems	Ensure that the IT investment process guidance lays out the roles and responsibilities of all working groups and individuals involved in the agency's governance process.	Rec is Pending GAO Closure	N/A
359	GAO	FMCSA	7/13/2017	GAO-17-488	Information Technology: Federal Motor Carrier Safety Administration Needs to Strengthen Its Strategic Planning and Oversight to Modernize Legacy Systems	Update FMCSA's IT strategic plan to include well-defined goals, strategies, measures, and timelines for modernizing its systems.	Rec is Pending GAO Closure	N/A
360	GAO	FMCSA	7/13/2017	GAO-17-488	Information Technology: Federal Motor Carrier Safety Administration Needs to Strengthen Its Strategic Planning and Oversight to Modernize Legacy Systems	Finalize the restructure of the Office of Information Technology, including fully defining the roles and responsibilities of the CIO.		N/A
361	GAO	FMCSA	7/13/2017	GAO-17-488	Information Technology: Federal Motor Carrier Safety Administration Needs to Strengthen Its Strategic Planning and Oversight to Modernize Legacy Systems	Ensure that appropriate governance bodies review all IT investments and track corrective actions to closure.	Rec is Pending GAO Closure	N/A
362	GAO	FMCSA	7/13/2017	GAO-17-488	Information Technology: Federal Motor Carrier Safety Administration Needs to Strengthen Its Strategic Planning and Oversight to Modernize Legacy Systems	Ensure that required operational analyses are performed for Aspen, Motor Carrier Management Information System, Senti 2.0, and Unified Registration System on an annual basis.	Rec is Pending GAO Closure	N/A
363	OIG	FAA	6/26/2017	AV2017063	FAA Has Taken Steps To Identify Flight Deck Vulnerabilities But Needs To Enhance Its Mitigation Efforts (SSI)	Publish an FAA Notice to inspectors that communicates the existence of AC 120-110 and RTCA Report DO-329, highlights the blocking methods orchestrated by the Special Committee, and directs inspectors to communicate this information to the carriers they oversee.		Unresolved
364	OIG	FAA	6/26/2017	AV2017063	FAA Has Taken Steps To Identify Flight Deck Vulnerabilities But Needs To Enhance Its Mitigation Efforts (SSI)	Require air carriers to conduct a Safety Risk Assessment (under FAA's Safety Management System) of their current secondary barrier methods using all information from the 2011 RTCA report on secondary barriers, either as a stand-alone Notice or incorporated into another Notice recommended above.		Unresolved
365	OIG	FTA	6/6/2017	SA2017052	Report on the Single of the City of Tracy, Tracy, CA	Ensure that the City complies with Allowable Costs/Cost Principles Requirements.	12/5/2017	N/A
366	OIG	FTA	6/6/2017	SA2017052	Report on the Single of the City of Tracy, Tracy, CA	Recover \$147,515 from the City, if applicable.	12/5/2017	N/A
367	OIG	FTA	6/6/2017	SA2017052	Report on the Single of the City of Tracy, Tracy, CA	Ensure that the City complies with Reporting Requirements.	12/5/2017	N/A
368	OIG	FTA	6/6/2017	SA2017053	Report on Single Audit of the Washington Metropolitan Area Transit Authority, Washington, DC	Ensure that the Authority complies with Special Tests and Provisions Requirements.	5/30/2018	N/A
369	OIG	FTA	6/6/2017	SA2017053	Report on Single Audit of the Washington Metropolitan Area Transit Authority, Washington, DC	Determine their portion of the \$ 29,116 in Questioned Costs and recovers from the Authority, if applicable.	5/30/2018	N/A
370	OIG	FAA	6/6/2017	SA2017056	Report on Single Audit of the City of Sioux City, Sioux City IA	Ensure that the City complies with Cash Management Requirements.	12/1/2017	N/A
371	OIG	FAA	6/6/2017	SA2017056	Report on Single Audit of the City of Sioux City, Sioux City IA	Recovers \$36,579 from the City, if applicable.	12/1/2017	N/A
372	OIG	FTA	6/6/2017	SA2017058	Report on Single Audit of the San Francisco Municipal Transportation Agency, San Francisco, CA	Ensure that the Agency complies with Allowable Costs/Cost Principles Requirements.	12/3/2018	N/A
373	OIG	FTA	6/6/2017	SA2017058	Report on Single Audit of the San Francisco Municipal Transportation Agency, San Francisco, CA	Recover \$9,189 from the Agency, if applicable.	12/3/2018	N/A

**GAO-IG Act Report: Department of Transportation**  
**OIG (Open) and GAO (Open and Closed Not Implemented) Recommendations as of February 1, 2019**

	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
374	OIG	FTA	6/6/2017	SA2017059	Report on Single Audit of the City of Albany, Albany, OR	Ensure that the City complies with Allowable Costs/Cost Principles Requirements.	12/5/2017	N/A
375	OIG	FTA	6/6/2017	SA2017059	Report on Single Audit of the City of Albany, Albany, OR	Recover \$41,494 from the City, if applicable.	12/5/2017	N/A
376	OIG	FTA	6/6/2017	SA2017060	Report on Single Audit of the Fairbanks North Star Borough, Fairbanks, AK	Ensure that the Borough complies with Allowable Costs/Costs Principles Requirements.	12/5/2017	N/A
377	OIG	FTA	6/6/2017	SA2017060	Report on Single Audit of the Fairbanks North Star Borough, Fairbanks, AK	Recover \$191,777 from the Borough, if applicable.	12/5/2017	N/A
378	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Modify periodic training provided to FAA inspectors to include information on the importance of verifying check pilot qualifications prior to approval.	12/28/2018	N/A
379	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Clarify inspector guidance on performing and documenting APD training and observations to ensure authorization requirements are fulfilled.	12/28/2018	N/A
380	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Modify internal audit policies to ensure FAA audits provide accurate and thorough assessments of APD oversight at each office.	12/31/2018	N/A
381	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Develop and implement guidance requiring inspectors, or their designees, to verify that check pilots have met training requirements prior to performing recurrent observations.	12/28/2018	N/A
382	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Modify requirements within the risk-based oversight tool (SAS) for inspectors to ensure a sufficient number of check pilot records are evaluated to assess the accuracy of air carrier training.	12/28/2018	N/A
383	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Clarify surveillance requirements and the inspectors' role overseeing check pilots under AQP.	12/28/2018	N/A
384	OIG	FAA	5/31/2017	AV2017050	FAA Has Not Ensured All Check Pilots Meet Training and Observation Requirements	Develop and implement a training program on how to approve and oversee check pilots under AQPs for inspectors assigned to carriers using those programs.	12/28/2018	N/A
385	OIG	FAA	5/31/2017	FI2017051	FAA's Security Controls Are Insufficient for Its En Route Automation Modernization Program (SSI)	Develop and implement a program to provide ARTCC ERAM System Administrators and Technical Operations staff with recurring and regularly updated security training on ERAM's various software as well as the security workstations, and to document all training as it is completed.	12/31/2018	N/A
386	OIG	FAA	5/31/2017	FI2017051	FAA's Security Controls Are Insufficient for Its En Route Automation Modernization Program (SSI)	Implement the required baseline for ERAM's Oracle components, including updating unsupported software, removing unnecessary ports and services in order to limit vulnerabilities, and mitigating the adverse effects of most types of intrusion attempts.	9/30/2020	N/A
387	OIG	FAA	5/31/2017	FI2017051	FAA's Security Controls Are Insufficient for Its En Route Automation Modernization Program (SSI)	Implement a process to verify that ERAM POA&Ms are updated quarterly per DOT policy and remediate the 13 ERAM security weaknesses that did not meet their scheduled completion dates to ensure that the confidentiality, integrity, and availability of the system are not at risk.	9/30/2020	N/A
388	OIG	FAA	5/30/2017	AV2017049	Enhancements Are Needed To FAA's Oversight Of The Suspected Unapproved Parts Program	Develop a management control to ensure that all SUPs reports received by local inspection offices are submitted to the Hotline for processing.	5/31/2019	N/A
389	OIG	FAA	5/30/2017	AV2017049	Enhancements Are Needed To FAA's Oversight Of The Suspected Unapproved Parts Program	Develop a management control to ensure inspectors adhere to guidance when conducting SUPs investigations.	5/31/2019	N/A
390	OIG	FAA	5/30/2017	AV2017049	Enhancements Are Needed To FAA's Oversight Of The Suspected Unapproved Parts Program	Develop a management control to ensure inspectors follow existing guidance requiring operators to remove unapproved parts from use and their inventories.	5/31/2019	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
391	OIG	FAA	5/8/2017	ZA2017046	Opportunities Exist for FAA To Strengthen Its Award and Oversight of eFAST Procurements	Develop and implement a process to require contracting officers to verify and document a firm's small/disadvantaged eligibility prior to awarding each individual procurement awarded under an eFAST master ordering agreement. Implementation of this recommendation could put \$314 million in funds to better use by awarding those dollars to firms whose small/disadvantaged eligibility status was verified at the time of individual procurement award.	9/30/2019	N/A
392	OIG	FHWA	4/27/2017	SA2017044	Report on the Single Audit of the Hopi Tribe, Kykotsmovi, AZ	Ensure the Tribe complies with Procurement, Suspension and Debarment Requirements.	11/1/2017	N/A
393	OIG	FHWA	4/27/2017	SA2017044	Report on the Single Audit of the Hopi Tribe, Kykotsmovi, AZ	Recover \$25,646 from the Tribe, if applicable.	11/1/2017	N/A
394	GAO	FAA	4/24/2017	GAO-17-372	Aviation Research and Development: FAA Could Improve How It Develops Its Portfolio and Reports Its Activities	Develop guidance to ensure that future National Aviation Research Plans (NARP) and R&D Annual Reviews meet statutory requirements to the extent practicable, including: (a) the NARP lists activities that are carried under cooperative agreements; (b) the NARP describes the rationale for the prioritized research programs; (c) the NARP identifies how resources were allocated for long-term and near-term research; (d) the NARP identifies REDAC recommendations that are accepted, not accepted, and the reasons for non-acceptance; (e) the NARP provides a detailed description of technology transfer to government, industry, and academia; (f) the Annual Review describes new technologies developed and the dissemination of research results to the private sector; (g) the Annual Review allows a comparison to the NARP; and (h) the Annual Review is prepared and presented in accordance with agency performance reporting requirements.	2/28/2019	N/A
395	GAO	FAA	4/24/2017	GAO-17-372	Aviation Research and Development: FAA Could Improve How It Develops Its Portfolio and Reports Its Activities	Take a more strategic approach to identifying research priorities across the agency, including developing guidance to identify long-term priorities and emerging issue areas, as part of FAA's portfolio development process.	2/28/2019	N/A
396	GAO	FAA	4/24/2017	GAO-17-372	Aviation Research and Development: FAA Could Improve How It Develops Its Portfolio and Reports Its Activities	Clarify its portfolio development guidance to call for each Program Planning Team to disclose the process it used for prioritizing and selecting research projects so that decision-making is more transparent for FAA management.	11/30/2017	N/A
397	OIG	OST	4/24/2017	SA2017042	Report on the Single Audit of the Metropolitan Transportation Commission, San Francisco, CA	Ensure the Commission complies with Reporting Requirements.		Unresolved
398	OIG	FHWA	3/28/2017	SA2017038	Report on Single Audit of the Government of the U.S. Virgin Islands, Charlotte Amalie, VI	Ensure that the Government complies with the Equipment and Real Property Management Requirements.	10/1/2018	N/A
399	OIG	FHWA	3/28/2017	SA2017038	Report on Single Audit of the Government of the U.S. Virgin Islands, Charlotte Amalie, VI	Ensure that the Government complies with the Special Tests and Provisions – Wage Rate Requirements.	10/1/2018	N/A
400	GAO	FAA	3/23/2017	GAO-17-366	Commercial Space Launch Insurance: Weakness in FAA's Insurance Calculation May Expose the Federal Government to Excess Risk	Prioritize the development of a plan to address the identified weakness in the cost-of-casualty amount, including setting time frames for action, and update the amount based on current information.	6/30/2018	N/A
401	GAO	PHMSA	3/9/2017	GAO-17-58	Radioactive Sources: Opportunities Exist for Federal Agencies to Strengthen Transportation Security	Consider examining the potential costs and security benefits associated with lowering the Highway Route Controlled Quantity (HRCQ) threshold so that more, or all, category 1 shipments are classified as HRCQ shipments.	Rec is Pending GAO Closure	N/A
402	OIG	FHWA	3/6/2017	ST2017029	Vulnerabilities Exist In Implementing Initiatives Under MAP-21 Subtitle C To Accelerate Project Delivery	Establish target completion dates for the remaining planned actions for MAP-21 Subtitle C provisions that are in progress.	7/31/2019	N/A
403	GAO	FHWA	2/16/2017	GAO-17-159	Single Audits: Improvements Needed in Selected Agencies' Oversight of Federal Awards	Revise policies and procedures to reasonably assure that management decisions contain the required elements and are issued timely in accordance with OMB guidance.	9/30/2019	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
404	GAO	FHWA	2/16/2017	GAO-17-159	Single Audits: Improvements Needed in Selected Agencies' Oversight of Federal Awards	Design and implement policies and procedures for identifying and managing recurring single audit findings using a risk-based approach.	9/30/2019	N/A
405	GAO	OST	2/16/2017	GAO-17-159	Single Audits: Improvements Needed in Selected Agencies' Oversight of Federal Awards	Design policies and procedures to reasonably assure that all award recipients required to submit single audit reports do so in accordance with OMB guidance.	9/30/2019	N/A
406	GAO	OST	2/16/2017	GAO-17-159	Single Audits: Improvements Needed in Selected Agencies' Oversight of Federal Awards	Revise policies and procedures to reasonably assure that management decisions contain the required elements and are issued timely in accordance with OMB guidance.	9/30/2019	N/A
407	GAO	OST	2/16/2017	GAO-17-159	Single Audits: Improvements Needed in Selected Agencies' Oversight of Federal Awards	Design and implement policies and procedures for identifying and managing recurring single audit findings using a risk-based approach.	9/30/2019	N/A
408	OIG	FHWA	2/7/2017	QC2017025	Quality Control Review of the Management Letter for the Audit of Fiscal Years 2016 and 2015 Financial Statements - Department of Transportation	Strengthen policies and procedures to ensure that terminated users' access is removed timely, in accordance with the DOT Cybersecurity Compendium guidelines.	10/1/2017	N/A
409	OIG	FHWA	2/7/2017	ST2017024	FHWA's Oversight Does Not Ensure Division Offices Fully Comply With Project Agreement & Modification Requirements	Revise existing controls to require more than one State DOT official signature on project agreement and modification requests consistent with Federal Internal Control Standards.	12/31/2018	N/A
410	OIG	FHWA	2/7/2017	ST2017024	FHWA's Oversight Does Not Ensure Division Offices Fully Comply With Project Agreement & Modification Requirements	Develop and implement internal controls to prevent FHWA authorization of construction projects after State DOT advertisement for bid or contract award to ensure compliance with Federal regulations. Implementation of internal controls could have put an estimated \$1.1 billion in Federal funds to better use.	12/31/2018	N/A
411	OIG	OST	1/17/2017	ZA2017021	New DBE Participation Is Decreasing at the Nation's Largest Airports, and Certification Barriers Exist	Require FAA, FHWA, and FTA to develop and implement a joint plan and schedule for reviewing certifying authorities within the 52 UCPs. Include within the joint plan an assessment of whether required timeframes for processing certification applications are being met and whether mandatory certification training is being completed.	5/6/2019	N/A
412	OIG	OST	1/17/2017	ZA2017021	New DBE Participation Is Decreasing at the Nation's Largest Airports, and Certification Barriers Exist	Institute procedures for maintaining a current list of certification staff who need and have completed the mandatory training.	5/6/2019	N/A
413	OIG	OST	1/17/2017	ZA2017021	New DBE Participation Is Decreasing at the Nation's Largest Airports, and Certification Barriers Exist	Develop and implement an advanced training program on topics requested by certifying authorities, identified in compliance reviews, determined by DOCR, or identified in this report (i.e., the examination of business structures/affiliations, reviews of personal net worth, verification of ownership and control, detailed site-visit reports, and fraud awareness).	4/5/2019	N/A
414	OIG	OST	1/17/2017	ZA2017021	New DBE Participation Is Decreasing at the Nation's Largest Airports, and Certification Barriers Exist	Develop and implement a "train the trainer" program for the three Operating Administrations to deliver consistent guidance and training to their recipients on all aspects of the DBE program.	7/5/2019	N/A
415	OIG	OST	1/17/2017	ZA2017021	New DBE Participation Is Decreasing at the Nation's Largest Airports, and Certification Barriers Exist	Publicize best practices such as those identified in this report relating to certification practices.	4/5/2019	N/A
416	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Develop and implement a policy requiring annual contingency plan training for en route and terminal controllers that includes procedures for managing airspace divestment and the loss of communications and/or surveillance capabilities.	4/1/2019	N/A
417	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Establish a process and requirement to validate airspace divestment plans annually to ensure the plans can be executed and technical requirements are up-to-date based on current technology.	4/1/2019	N/A
418	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Develop airspace divestment plans for oceanic airspace, and develop and implement the technical requirements needed to support all new plans.	4/1/2019	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
419	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Establish a process for developing baseline contingency metrics, analyzing contingency trends and root causes, and annually disseminating the results to Air Traffic Organization personnel.	4/1/2019	N/A
420	OIG	FAA	1/11/2017	AV2017020	Although FAA Has Taken Steps To Improve Its Operational Contingency Plans, Significant Work Remains To Mitigate the Effects of Major System Disruptions	Develop a procedure to include aviation industry stakeholders in post-contingency events at the FAA Command Center to discuss lessons learned and explore possible solutions to mitigate the impact of future air traffic disruptions.	4/1/2019	N/A
421	OIG	FHWA	1/5/2017	ST2017019	FHWA Needs to Strengthen Its Oversight of State Transportation Improvement Programs	Establish minimum documentation requirements for PFPs and STIPs in guidance to Division Offices.	12/31/2018	N/A
422	OIG	FHWA	1/5/2017	ST2017019	FHWA Needs to Strengthen Its Oversight of State Transportation Improvement Programs	Establish a centralized relational database to collect PFP information from the Division Offices and track recommendations and related corrective actions.	12/31/2018	N/A
423	OIG	FHWA	1/5/2017	ST2017019	FHWA Needs to Strengthen Its Oversight of State Transportation Improvement Programs	Complete the update of the MOAs on coordination with FTA.	12/31/2018	N/A
424	OIG	FHWA	1/5/2017	ST2017019	FHWA Needs to Strengthen Its Oversight of State Transportation Improvement Programs	Identify best practices of FHWA Division and FTA Regional Offices on coordination for development of Title VI plans, and distribute the best practices agency-wide.	12/31/2018	N/A
425	GAO	OST	12/14/2016	GAO-17-20	DOT Discretionary Grants: Problems with Hurricane Sandy Transit Grant Selection Process Highlight the Need for Additional Accountability	Issue a directive that governs department-wide and modal administration discretionary grant programs. Such a directive should include requirements to: (1) develop a plan for evaluating project proposals in advance of issuing a notice of funding availability that defines the stages of the process, including how the process will be overseen to ensure a consistent review of applications; (2) document key decisions, including the reason for any rating changes and the officials responsible for those changes, and how high-level concerns raised during the process were addressed; and (3) align stated program purpose and policy priorities with the evaluation and selection process.	9/30/2019	N/A
426	OIG	FAA	12/1/2016	AV2017018	FAA Lacks a Risk-Based Oversight Process for Civil Unmanned Aircraft Systems	Initiate a periodic process to perform inspections of commercial UAS operators based on operational factors (e.g., location, number of operations, and type of activity) to verify knowledge of and compliance with FAA requirements and to inform the development of a risk-based oversight plan.	8/31/2019	N/A
427	OIG	FAA	12/1/2016	AV2017018	FAA Lacks a Risk-Based Oversight Process for Civil Unmanned Aircraft Systems	Design and implement a risk-based and prioritized oversight plan for UAS to help ensure safe operations of UAS.	8/31/2019	N/A
428	OIG	FAA	12/1/2016	AV2017018	FAA Lacks a Risk-Based Oversight Process for Civil Unmanned Aircraft Systems	Develop and implement a process to coordinate existing disparate UAS databases within FAA to facilitate data mining and safety analysis.	3/30/2019	N/A
429	OIG	FAA	12/1/2016	AV2017018	FAA Lacks a Risk-Based Oversight Process for Civil Unmanned Aircraft Systems	Implement a process to share UAS data with field oversight offices to assist inspectors in risk-based and proactive oversight of civil UAS operations.	8/31/2019	N/A

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430	GAO	OST	11/30/2016	GAO-17-8	IT Workforce: Key Practices Help Ensure Strong Integrated Program Teams; Selected Departments Need to Assess Skill Gaps	Require the Chief Information Officer, Chief Human Capital Officer, and other senior managers as appropriate to address the shortfalls in IT workforce planning noted in this report, including the following actions: (1) establish a time frame for when the department is to finalize its draft workforce planning process and maintain that process; (2) develop staffing requirements for all positions; (3) assess competency and staffing needs regularly for all positions; (4) assess gaps in staffing for all components of the workforce; (5) develop strategies and plans to address gaps in competencies and staffing; (6) implement activities that address gaps, including an IT acquisition cadre, cross-functional training of acquisition and program personnel, a career path for program managers, and use of special hiring authorities, if justified and cost-effective;e (7) monitor the department's progress in addressing competency and staffing gaps; and (8) report to department leadership on progress in addressing competency and staffing gaps.	12/31/2019	N/A
431	GAO	FAA	11/25/2016	GAO-17-100	Commercial Space: FAA Should Examine How to Appropriately Regulate Space Support Vehicles	Fully examine and document whether the current regulatory framework is appropriate for aircraft that could be considered space support vehicles, and if not, suggest legislation or develop regulatory changes, or both, as applicable.	3/31/2017	N/A
432	GAO	FAA	11/22/2016	GAO-17-88	Commercial Space Launch Insurance: Views Differ on Need for Change to Insurance Approach but Clarification Is Needed	Provide additional communication to clarify FAA's interpretation of the financial responsibility regulations for commercial space launches. The forms of communication could include, among other things, issuing additional guidance or using other forums to clarify when a spaceport operator is a third party to a launch and when it is not.	6/30/2017	N/A
433	GAO	PHMSA	11/17/2016	GAO-17-91	Hazardous Materials Rail Shipments: Emergency Responders Receive Support, but DOT Could Improve Oversight of Information Sharing	Develop a process for regularly collecting information from state emergency response commissions on the distribution of the railroad-provided hazardous-materials-shipping information to local planning entities, after the rulemaking is finalized.		N/A
434	OIG	FAA	11/16/2016	AV2017015	FAA Achieved Most of the Anticipated Cost Savings from Contracting Out Flight Service Stations, But Needs to Determine the Future Direction of the Program	Develop an oversight framework that is commensurate with program changes before awarding the next flight services contract and implement the framework shortly after the program changes are put into effect.	7/31/2019	N/A
435	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Complete expired authorizations and reinforce or strengthen policy requiring systems be reauthorized prior to their expiration dates.	9/30/2017	N/A
436	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Work with FAA, FHWA, FMCSA, FTA, MARAD, NHTSA, and OST to develop risk acceptance memos for the expired systems identified in this report.	8/30/2017	N/A
437	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Perform a thorough CSAM quality review to ensure system documentation matches what is entered into CSAM. At a minimum, the review should verify that: (1) system authorization dates in CSAM match what is approved by the authorizing official; (2) POAMs are created and reported once a security weakness is found; and (3) authorizing officials are provided accurate documentation on all risks accepted.	9/30/2018	N/A
438	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Work with OST COE, FTA, and FAA, the common control providers, to report and update risk acceptance for shared controls that are not implemented in DOT's Repository (e.g., CSAM) per FISMA, OMB, and DOT requirements.	9/30/2018	N/A
439	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Identify and document OST COE compensating controls when used to address security weaknesses in CSAM and system authorizations.	9/30/2018	N/A



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440	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Report/update OST COE security weaknesses found during vulnerability assessments in DOT's Repository (e.g., CSAM) per FISMA, OMB, and DOT requirements.	9/30/2018	N/A
441	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Require FAA to review CSAM POA&M entries, and identify and correct cases where multiple weaknesses were entered as one.	9/30/2018	N/A
442	OIG	OST	11/16/2016	FI2017008	FISMA 2016: DOT Continues to make progress, but the Department's information security posture is still not effective	Perform a review of CSAM POA&Ms and assess if the entries are compliant with DOT policy. For deficient data, require OAs to provide a corrective action plan.	9/30/2017	N/A
443	OIG	FHWA	11/15/2016	QC2017013	Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	Review the overall cash flow model functionality and implementation to ensure that all assumptions are properly applied, documented, and supported in the execution of the cash flow projections.	10/1/2017	N/A
444	OIG	FHWA	11/15/2016	QC2017013	Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	Consider automating the calculations that are performed manually to reduce the risk of misapplication of assumptions due to human error.	10/1/2017	N/A
445	OIG	FAA	11/10/2016	AV2017009	Total Costs, Schedules, and Benefits of FAA's NextGen Transformational Programs Remain Uncertain	Develop and implement Agency-wide guidance for a uniform approach to segmentation that provides a common format to aid the management of multiple, complex, and interrelated programs needed to achieve NextGen capabilities for transforming the NAS.		Unresolved
446	OIG	FAA	11/7/2016	FI2017006	Improvements Increase DOT's Compliance With the Reducing Over-Classification Act	Identify all employees whose duties significantly involve the creation, handling, or management of classified information, and update any performance plan that is missing a critical element on management of classified information.	9/30/2017	N/A
447	OIG	FAA	11/7/2016	FI2017006	Improvements Increase DOT's Compliance With the Reducing Over-Classification Act	Implement protocols or practices to enhance the quality of self-inspection reports and to periodically assess compliance.	12/31/2017	N/A
448	OIG	FAA	11/7/2016	FI2017006	Improvements Increase DOT's Compliance With the Reducing Over-Classification Act	Implement protocols or practices to reinforce guidance on the marking of classified documents and to periodically assess compliance.	9/30/2017	N/A
449	OIG	FAA	11/7/2016	FI2017006	Improvements Increase DOT's Compliance With the Reducing Over-Classification Act	Implement protocols or practices to identify FAA employees who are missing nondisclosure forms and have each of these employees complete the agreement.	7/31/2017	N/A
450	OIG	OST	11/7/2016	FI2017006	Improvements Increase DOT's Compliance With the Reducing Over-Classification Act	Dedicate additional resources to oversee FAA's self-inspection program.	9/30/2019	N/A
451	OIG	OST	11/7/2016	FI2017006	Improvements Increase DOT's Compliance With the Reducing Over-Classification Act	Implement protocols or practices to identify DOT employees outside FAA who are missing nondisclosure forms and have each of these employees complete the agreement.	6/1/2017	N/A
452	GAO	OST	10/31/2016	GAO-17-23	West Coast Ports: Better Supply Chain Information Could Improve DOT's Freight Efforts	Include a specific plan to identify: (1) appropriate freight data sources, information, and analytic tools for transportation modes involved in the freight network and supply chains; (2) data gaps that could help both the agency and states and local governments in the development of their freight plans, and an approach for addressing obstacles to developing high-quality, reliable supply chain information; (3) current and planned efforts that can provide insights into supply chains and their impacts on freight networks; and (4) how DOT plans to use the supply chain information and analytical tools to inform freight planning and programming.	12/31/2019	N/A
453	GAO	FMCSA	10/27/2016	GAO-17-49	Motor Carriers: Better Information Needed to Assess Effectiveness and Efficiency of Safety Interventions	Update FMCSA's cost estimates to determine the resources currently used to conduct individual intervention types and ensure FMCSA has cost information that is representative of all states.	5/31/2019	N/A
454	GAO	FMCSA	10/27/2016	GAO-17-49	Motor Carriers: Better Information Needed to Assess Effectiveness and Efficiency of Safety Interventions	Establish and use performance measures to regularly monitor progress toward both FMCSA's effectiveness outcome and its efficiency outcome.	1/31/2019	N/A

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455	GAO	FMCSA	10/27/2016	GAO-17-49	Motor Carriers: Better Information Needed to Assess Effectiveness and Efficiency of Safety Interventions	Identify and implement, as appropriate, methods to evaluate the effectiveness of individual intervention types or common intervention patterns to obtain more complete, appropriate, and accurate information on the effectiveness of interventions in improving motor carrier safety performance. In identifying and implementing appropriate methods, FMCSA should incorporate accepted practices for designing program effectiveness evaluations, including practices that would enable FMCSA to more confidently attribute changes in carriers' safety behavior to CSA interventions.	1/31/2018	N/A
456	OIG	PHMSA	10/14/2016	ST2017002	Insufficient Guidance, Oversight, and Coordination Hinder PHMSA's Full Implementation of Mandates and Recommendations	Develop written agreements with the FAA, FMCSA, and FRA on appropriate coordination for rulemaking and the international standards development process. At a minimum, the agreements should cover roles and responsibilities, communication protocols, and required documentation on decisions.	11/9/2018	N/A
457	OIG	PHMSA	10/14/2016	ST2017002	Insufficient Guidance, Oversight, and Coordination Hinder PHMSA's Full Implementation of Mandates and Recommendations	Provide guidance to OHMS on implementing its written agreements with other Operating Administrations.	11/9/2018	N/A
458	OIG	PHMSA	10/14/2016	ST2017002	Insufficient Guidance, Oversight, and Coordination Hinder PHMSA's Full Implementation of Mandates and Recommendations	Develop and implement an internal policy on the dispute resolution process that includes criteria and timeframes for when to use the process.	11/9/2018	N/A
459	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Enforce DOT's current policy for incident monitoring to ensure the Cyber Security Management Center's access to FAA's NAS systems and departmental cloud systems, or update the policy to reflect the unique reporting structures between DOT and FAA.	10/1/2017	N/A
460	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Establish policy and controls for the use of maintenance data terminals to reduce the incidence of malware on these terminals	10/1/2017	N/A
461	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Implement a ranking method for incidents.	10/1/2017	N/A
462	OIG	OST	10/13/2016	FI2017001	DOT Cybersecurity Incident Handling and Reporting is Ineffective and Incomplete (FOUO)	Require OAs to provide their network maps to the Cyber Security Management Center.	6/30/2017	N/A
463	GAO	FRA	10/12/2016	GAO-17-122	Train Braking: DOT's Rulemaking on Electronically Controlled Pneumatic Brakes Could Benefit from Additional Data and Transparency	Require that freight railroads, once they equip with ECP brakes in response to the requirement, collect and provide data to FRA on their ongoing operational experience with ECP brakes.		Non-Concur
464	GAO	FRA	10/12/2016	GAO-17-122	Train Braking: DOT's Rulemaking on Electronically Controlled Pneumatic Brakes Could Benefit from Additional Data and Transparency	Create a plan to collect data from railroads' ongoing and future operational experiences using ECP brakes. The plan should include details on how the agency will work with railroads to collect this data, ensure that such data are reliable, and analyze these data to conduct a retrospective analysis of the ECP brakes requirement that could help inform any potential future actions regarding ECP brakes.		Non-Concur
465	GAO	OST	9/29/2016	GAO-16-511	Information Technology: Agencies Need to Improve Their Application Inventories to Achieve Additional Savings	Direct Chief Information Officers (CIOs) and other responsible officials to improve their inventories by taking steps to fully address the practices we identified as being partially met or not met.	4/30/2019	N/A
466	OIG	FTA	9/19/2016	SA2016105	County of Lackawanna Transit System Authority, Scranton, PA	Ensure the Authority complies with the Reporting Requirements.	3/29/2017	N/A
467	OIG	FTA	9/19/2016	SA2016105	County of Lackawanna Transit System Authority, Scranton, PA	Ensure the Authority complies with the Cash Management Requirements.	3/29/2017	N/A
468	OIG	FTA	9/19/2016	SA2016105	County of Lackawanna Transit System Authority, Scranton, PA	Ensure the Authority complies with the Special Tests and Provisions Requirements.	3/29/2017	N/A
469	OIG	FHWA	9/19/2016	SA2016111	Assiniboine and Sioux Tribes of the Fort Peck Indian Reservation, Poplar, MT	Ensure the Tribes comply with Davis-Bacon Act Requirements.	10/1/2018	N/A
470	GAO	FHWA	9/14/2016	GAO-16-779	HIGHWAY BRIDGES: Linking Funding to Conditions May Help Demonstrate Impact of Federal Investment	Develop an efficiency measure or measures that demonstrate the linkage between the federal funding of bridges and the desired performance outcomes, such as maintained or improved bridge conditions, and report the resulting information to Congress.	3/31/2019	N/A



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471	OIG	FHWA	9/12/2016	SA2016101	State of Florida, Tallahassee, FL	Ensure the State complies with Matching, Level of Effort, and Earmarking Requirements.	8/1/2018	N/A
472	OIG	OST	9/8/2016	FI2016097	DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	Revise Department-wide policies and procedures to clarify how to accurately identify and report conferences and conference-related activities and require Operating Administrations to review their policies and procedures and revise as needed to align with the Department.	10/1/2018	N/A
473	OIG	OST	9/8/2016	FI2016097	DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	Develop and implement procedures for tracking, compiling, and maintaining conference costs data.	10/1/2018	N/A
474	OIG	OST	9/8/2016	FI2016097	DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	Require Operating Administrations to reconcile their conferences expenditures and publicly report actual conference costs incurred as required by OMB.	10/1/2018	N/A
475	OIG	OST	9/8/2016	FI2016097	DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	Revise the Department's travel reimbursement policy to clarify conference travel expenditures that can be claimed and enforce the revised policy to prevent double reimbursements, unentitled per diem reimbursements, and other overpayments.	10/1/2018	N/A
476	OIG	OST	9/8/2016	FI2016097	DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	Develop and implement additional internal controls to help ensure Department-wide compliance with Federal laws, regulations, and OMB requirements on conference approval, reporting, and spending—including compliance with OMB Memorandum M-12-12, which prohibits incurring obligations prior to proper approval. Implementation of internal controls could have put \$856,009 in funds to better use.	10/1/2018	N/A
477	GAO	OST	8/26/2016	GAO-16-686	FEDERAL CHIEF INFORMATION SECURITY OFFICERS: Opportunities Exist to Improve Roles and Address Challenges to Authority	Define the CISO's role in department policy for ensuring that security controls are tested periodically.	6/30/2017	N/A
478	GAO	OST	8/26/2016	GAO-16-686	FEDERAL CHIEF INFORMATION SECURITY OFFICERS: Opportunities Exist to Improve Roles and Address Challenges to Authority	Ensure that the role of the CISO is defined in department policy in accordance with FISMA 2014, the Secretary of Transportation should define the CISO's role in department policy for ensuring that subordinate security plans are documented for the department's information systems.	6/30/2017	N/A
479	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Conduct an assessment of the risks and existing controls associated with the Division Offices' oversight of State's processes to track PE projects, and identify improvements to Division Office oversight.	7/31/2018	N/A
480	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Conduct an assessment of the accuracy and completeness of PE project authorizations. Correct any errors in FMIS projects that should be coded as PE as a result of this assessment.	10/1/2018	N/A
481	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Update FHWA Order 5020.1 or develop Agency guidance to state FHWA's policy concerning compliance with Title 23 U.S.C. Section 102(b), including the following: (a) Define when a project progresses to right-of-way or construction; (b) Describe accurate coding parameters for PE projects in FMIS; (c) Define the means of tracking the 10-year limit for PE projects, including those involving multiple Federal project numbers; (d) Define recordkeeping and documentation expectations for tracking reimbursements, extending the 10-year limit, and decisions not to pursue reimbursements; (e) Define roles and responsibilities for Division Offices and FHWA Headquarters for consistent oversight and enforcement of PE requirements before and after the 10-year limit; and (f) Define FHWA Headquarters' policy on resolving differences arising between Division Offices and States regarding required PE actions.	7/31/2018	N/A

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482	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Obtain a legal determination from the Office of the Secretary to permit SPES projects and similar funding agreements and establish internal controls to ensure compliance with Federal requirements. Implementing this recommendation could put the \$1.1 billion in PE funds to better use.	6/1/2018	N/A
483	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Develop and implement financial controls and processes to monitor PE projects exceeding the 10-year limit, approved extensions, and reimbursements not pursued when PE projects do not progress within the 10-year limit. Implementing this recommendation could put \$3.3 billion in PE funds to better use.	10/31/2018	N/A
484	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Develop performance measures that track compliance with the 10-year limit and report progress.	7/31/2018	N/A
485	OIG	FHWA	8/26/2016	ST2016095	FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	Obtain from States appropriate support or repayment of PE expenditures as required.	10/1/2018	N/A
486	OIG	FAA	8/25/2016	AV2016094	FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	Establish and document a process with clear roles and responsibilities for identifying and prioritizing long-term R&D for air traffic management and related efforts.	6/30/2018	N/A
487	OIG	FAA	8/25/2016	AV2016094	FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	Link the long-term vision for NextGen, once completed, with current R&D efforts to identify any additional R&D that may be required.	3/30/2019	N/A
488	OIG	FAA	8/25/2016	AV2016094	FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	Have SPC's six high-priority NextGen capabilities validated by an external entity, such as the REDAC to ensure that they are on the critical path for NextGen development, as well as ensure that there are not other areas that warrant additional attention.	6/30/2018	N/A
489	OIG	OST	8/5/2016	SA2016087	North Coast Railroad Authority, Ukiah, CA	Ensure the Authority Complies with Reporting Requirements.	9/1/2017	N/A
490	OIG	OST	8/5/2016	SA2016087	North Coast Railroad Authority, Ukiah, CA	Ensure the Authority complies with Fixed Charge Coverage Ratio Requirements.	9/1/2017	N/A
491	GAO	FAA	7/28/2016	GAO-16-679	Aviation Safety: FAA's Risk-Based Oversight for Repair Stations Could Benefit from Additional Airline Data and Performance Metrics	Develop and implement a process in Flight Standards for incorporating into SAS the volume of critical maintenance that each U.S. airline contracts to repair stations.		Non-Concur
492	GAO	FAA	7/28/2016	GAO-16-679	Aviation Safety: FAA's Risk-Based Oversight for Repair Stations Could Benefit from Additional Airline Data and Performance Metrics	Develop and implement an evaluative process with measurable performance goals and measures to determine the effectiveness of SAS as the SMS safety assurance component.	12/31/2017	N/A
493	GAO	OST	6/21/2016	GAO-16-638	Intelligent Transportation Systems: Urban and Rural Transit Providers Reported Benefits but Face Deployment Challenges	Develop a strategy to raise awareness of JPO's training, technical assistance, and knowledge resources for transit ITS deployment in the transit community, in coordination with the FTA.	Rec is Pending GAO Closure	N/A
494	GAO	OST	6/21/2016	GAO-16-638	Intelligent Transportation Systems: Urban and Rural Transit Providers Reported Benefits but Face Deployment Challenges	Include ITS adoption by small urban and rural transit providers in ITS monitoring efforts, in coordination with the FTA.	Rec is Pending GAO Closure	N/A
495	OIG	OST	6/16/2016	AV2016068	Improvements Needed in DOT's Process For Identifying Unfair or Deceptive Practices in Airline Frequent Flyer Programs	Define what constitutes reasonable notice for consumers regarding changes to frequent flyer programs' terms and conditions, and require airlines to provide such notice.	12/31/2018	N/A
496	GAO	NHTSA	6/15/2016	GAO-16-510	Managing for Results: Agencies Need to Fully Identify and Report Major Management Challenges and Actions to Resolve them in their Agency Performance Plans	Describe the DOT's major management challenges and include performance goals, performance measures, milestones, planned actions and an agency official responsible for resolving major management challenges as part of DOT's agency performance plan.	12/31/2017	N/A
497	GAO	FHWA	6/8/2016	GAO-16-575	Highway Safety: More Robust DOT Oversight of Guardrails and Other Roadside Hardware Could Further Enhance Safety	Help ensure, through their oversight of states' standards and design specifications, that states have written policies in place to require the installation of appropriately crash-tested roadside safety hardware on the National Highway System to address inconsistent practices across states.	Rec is Pending GAO Closure	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
498	GAO	FHWA	6/8/2016	GAO-16-575	Highway Safety: More Robust DOT Oversight of Guardrails and Other Roadside Hardware Could Further Enhance Safety	Provide additional guidance to crash test labs and accreditation bodies to ensure that labs have a clear separation between device development and testing in cases where lab employees test devices that were developed within their parent organization.	12/31/2017	N/A
499	GAO	FHWA	6/8/2016	GAO-16-575	Highway Safety: More Robust DOT Oversight of Guardrails and Other Roadside Hardware Could Further Enhance Safety	Develop a process for third-party verification of results from crash-test labs.	7/31/2017	N/A
500	GAO	FHWA	6/8/2016	GAO-16-575	Highway Safety: More Robust DOT Oversight of Guardrails and Other Roadside Hardware Could Further Enhance Safety	Support additional research and disseminate results on roadside safety hardware's in-service performance, either as part of future phases of FHWA's current pilot study on guardrail end terminals' performance or as part of FHWA's broader research portfolio.		N/A
501	GAO	FHWA	6/8/2016	GAO-16-575	Highway Safety: More Robust DOT Oversight of Guardrails and Other Roadside Hardware Could Further Enhance Safety	Monitor and periodically report to Congress (or report through the agency's publicly available website) progress states and the industry are making in transitioning to the MASH crash-testing standards for roadside safety hardware.	Rec is Pending GAO Closure	N/A
502	OIG	FAA	5/31/2016	AV2016067	FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	Develop a process to ensure the Office of Airports reports its Aircraft Rescue and Fire Fighting enforcement actions to FAA's Enforcement Information System database according to FAA Order 2150.3B.	6/30/2017	N/A
503	OIG	FAA	5/31/2016	AV2016067	FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	Identify and implement best practices regarding the content, length, and methods of teaching each of the 11 Aircraft Rescue and Fire Fighting subject areas.	12/29/2017	N/A
504	OIG	FAA	5/31/2016	AV2016067	FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	Require inspectors to review airports' training materials and other documentation that shows the items taught during each of its training classes used for Aircraft Rescue and Fire Fighting personnel in each of the Aircraft Rescue and Fire Fighting areas required under 14 CFR Part 139 to ensure airports train personnel in a manner authorized by FAA.	9/30/2018	N/A
505	GAO	FRA	5/26/2016	GAO-16-544	Rail Grant Oversight: Greater Adherence to Leading Practices Needed to Improve Grants Management	Enhance the process outlined in the Grants Manual to monitor project performance for future grants to include: (1) performance measures directly linked to project goals, and (2) fully incorporating timely and actionable information on grantee performance into FRA's review process to help determine whether current efforts are in line with the overall project goals.	1/31/2019	N/A
506	GAO	FRA	5/26/2016	GAO-16-544	Rail Grant Oversight: Greater Adherence to Leading Practices Needed to Improve Grants Management	Develop and provide written guidance to grantees to include FRA's expectations on the type of information grantees should provide, such as guidance specific to deliverables and milestones for each grant project.	1/31/2019	N/A
507	GAO	FRA	5/26/2016	GAO-16-544	Rail Grant Oversight: Greater Adherence to Leading Practices Needed to Improve Grants Management	Analyze training needs and formalize a training plan for grantees and agency staff, which could include training on grant-specific procedures and policies.	1/31/2019	N/A
508	OIG	OST	5/9/2016	ZA2016064	Weaknesses Identified in Volpe's Cost Accounting Practices for the V-TRIPS Contract	Improve Volpe's internal management controls—including timely reconciliations (e.g., invoices to appropriate funding sources)—to prevent, detect, and correct billing errors, such as those identified in this report.	2/1/2019	N/A
509	OIG	FAA	5/9/2016	ZA2016065	FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	Establish and implement a standard operating procedure to verify the accuracy of FAA's sole-source contract data submitted to OST for annual reporting to Congress.	12/28/2018	N/A
510	OIG	FAA	5/9/2016	ZA2016065	FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	Establish and implement additional actions to reduce the use of sole-source contracting, including the use of performance measures that are tracked periodically. At a minimum, these actions should include steps to address FAA's acquisition of proprietary technologies.	12/28/2018	N/A
511	OIG	FAA	5/9/2016	ZA2016065	FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	Establish and implement a standardized process for identifying and assessing potential follow-on procurements, to improve FAA's ability to identify requirements that can be competed in the future.	12/28/2018	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
512	OIG	FAA	5/9/2016	ZA2016065	FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	Establish and implement an oversight process to adequately review sole-source procurements prior to award to ensure that they comply with AMS pre-award requirements.	12/28/2018	N/A
513	OIG	FAA	5/9/2016	ZA2016065	FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	Update AMS policy and guidance to clarify pre-award requirements for sole-source awards. At a minimum, FAA should clarify policy and guidance related to procurement plans, conflict of interest agreements, pre-award public announcements, market analysis, sole-source justifications, IGCEs, and simplified acquisition procedures.	12/28/2018	N/A
514	OIG	FTA	4/27/2016	SA2016061	Washington Metropolitan Area Transit Authority, Washington DC	Ensure the Authority complies with the Allowable Costs/Cost Principles Requirements.	5/30/2018	N/A
515	OIG	FTA	4/27/2016	SA2016061	Washington Metropolitan Area Transit Authority, Washington DC	Ensure the Authority complies with the Special Tests and Provisions Requirements.	5/30/2018	N/A
516	OIG	FTA	4/27/2016	SA2016061	Washington Metropolitan Area Transit Authority, Washington DC	Ensure the Authority complies with the Cash Management Requirements.	6/30/2017	N/A
517	OIG	OST	3/22/2016	FI2016056	The Volpe Center's Information Technology Infrastructure is at Risk for Compromise (FOUO)	Install a network-based intrusion detection and prevention solution to complement the current host-based systems, enabling more comprehensive and accurate detection and prevention of malicious activity on the network, including traffic coming from trusted connections.	9/30/2019	N/A
518	OIG	FHWA	3/16/2016	SA2016047	Klawock Cooperative Association, Klawock, AK	Ensure the Association complies with the Subrecipient Monitoring Requirements.	10/1/2018	N/A
519	OIG	FHWA	3/16/2016	SA2016051	Joint Programs of the Shoshone and Arapaho Tribes of the Wind River Reservation, Fort Washakie, WY	Ensure the Shoshone and Arapaho Tribes comply with the Special Tests and Provisions Requirements.	3/15/2017	N/A
520	OIG	FHWA	3/16/2016	SA2016053	Nanwalek IRA Council, Nanwalek, AK	Ensure the Council complies with the Allowable Costs/Cost Principles Requirements.	5/30/2018	N/A
521	OIG	FHWA	3/16/2016	SA2016053	Nanwalek IRA Council, Nanwalek, AK	Recover \$255,941 from the Council, if applicable.	5/30/2018	N/A
522	OIG	FHWA	3/11/2016	SA2016039	Crow Tribe of Indians, Crow Agency, MT	Ensure the Tribe complies with the Cash Management Requirements.	4/1/2017	N/A
523	OIG	FHWA	3/11/2016	SA2016039	Crow Tribe of Indians, Crow Agency, MT	Recover \$2,773,489 from the Tribe, if applicable.	12/1/2016	N/A
524	GAO	FAA	3/8/2016	GAO-16-210	Aviation Forecasting: FAA Should Implement Additional Risk-Management Practices in Forecasting Aviation Activity	Fully document its methods and assumptions in developing the Aerospace and TAF forecasting models to provide greater transparency to internal users and external stakeholders.	9/30/2016	N/A
525	GAO	FAA	3/8/2016	GAO-16-210	Aviation Forecasting: FAA Should Implement Additional Risk-Management Practices in Forecasting Aviation Activity	Apply risk-management practices to analyze and report on uncertainty. Specifically, the FAA should, for both the Aerospace and TAF forecasts, analyze and report the forecast's uncertainty, establish forecast error thresholds, and develop an approach that will prompt forecast review when error thresholds are exceeded, and, for TAF forecasts, monitor and publish multi-year historical error performance, as FAA does for the Aerospace Forecast.	5/31/2018	N/A
526	OIG	OST	3/8/2016	SA2016028	North Coast Railroad Authority, Ukiah, CA	Ensure the Authority complies with the Reporting Requirements.	12/30/2016	N/A
527	GAO	OST	3/4/2016	GAO-16-323	Data Center Consolidation: Agencies Making Progress, but Planned Savings Goals Need to Be Established [Reissued on March 4, 2016]	Take action to improve progress in the data center optimization areas that we reported as not meeting OMB's established targets, including addressing any identified challenges.	12/31/2018	N/A
528	OIG	FMCSA	3/3/2016	FI2016024	Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	Specify alternate telecommunications services including necessary agreements for the FMCSA Enforcement Management Information System contingency plan.	2/1/2019	N/A
529	OIG	FAA	2/4/2016	FI2016019	Security Controls over FAA's Large TRACON Facilities (SSI)	Conduct annual contingency plan exercises for large TRACONs using a formally agreed upon alternate processing site to familiarize TRACON personnel with the alternate facility's available resources and equipment, and evaluate the site's capabilities to support contingency operations using explicit test objectives and success criteria.	12/31/2018	N/A

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530	OIG	FAA	1/15/2016	AV2016015	FAA Reforms Have Not Achieved Expected Cost, Efficiency, and Modernization Outcomes	Review and identify Federal and industry best practices and guidance from OMB and the Federal CIO that may be incorporated into the Acquisition Management System for acquiring major capital investments and IT systems, including the use of successive contracts that are separately priced and the use of modular concepts when planning and purchasing IT, and determine which are appropriate for incorporation into AMS.	1/31/2019	N/A
531	GAO	OST	12/16/2015	GAO-16-127	Air Travel and Communicable Diseases: Comprehensive Federal Plan Needed for U.S. Aviation System's Preparedness	Work with relevant stakeholders, such as the Department of Health and Human Services, to develop a national aviation-preparedness plan for communicable disease outbreaks. Such a plan could establish a mechanism for coordination between the aviation and public health sectors and provides clear and transparent planning assumptions for a variety of types and levels of communicable disease threats.		Partial Concur
532	OIG	MARAD	12/10/2015	ST2016011	Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	Update existing MAOs in accordance with established timelines.	3/28/2019	N/A
533	GAO	OST	11/19/2015	GAO-16-79	Critical Infrastructure Protection: Sector-Specific Agencies Need to Better Measure Cybersecurity Progress	Direct responsible officials to develop performance metrics to provide data and determine how to overcome challenges to monitoring the transportation systems sector's cybersecurity progress.	Rec is Pending GAO Closure	N/A
534	OIG	OST	11/5/2015	FI2016001	FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	Ensure that the OCIO revises the Departmental policy to document its practice of prohibiting user-based waivers or exclusions for PIV required use for network and system access.	9/30/2016	N/A
535	OIG	OST	11/5/2015	FI2016001	FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	Work with the OAs to develop a formal transition plan to the proposed ISCM target architecture that includes but is not limited to: (1) continuously assessing security controls; (2) reviewing system configuration settings; and (3) assessing timely remediation of security weaknesses. During the transition period, establish processes and practices for effectively collecting, validating, and reporting ISCM data.	9/30/2016	N/A
536	OIG	OST	11/5/2015	FI2016001	FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	Work with FAA to improve its assessment process to meet DOT Cybersecurity Compendium and Security Authorization & Continuous Monitoring Performance Guide. DOT CIO in conjunction with the FAA CIO review the FAA quality assurance process to ensure all security documents are reviewed and updated to reflect the system controls, vulnerabilities, and that the current risks are clearly presented to the authorizing officials.	6/30/2016	N/A
537	OIG	OST	11/5/2015	FI2016001	FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	Work with the OAs to ensure they update open POA&Ms with the required data fields.	8/31/2016	N/A
538	OIG	FAA	11/3/2015	ZA2016002	New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	Develop and implement a plan to address DBE prompt payment issues with airports and prime contractors in coordination with FAA's Office of Airports.	3/29/2019	N/A
539	OIG	FAA	10/15/2015	AV2016001	FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	Develop a process to assess the model results at the office level for potential staffing shortages, determine the validity of the results, and include in a regular written report to the Aircraft Certification Management Team.	2/28/2019	N/A
540	OIG	FAA	10/15/2015	AV2016001	FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	Develop and implement system-based evaluation criteria and risk-based tools to aid ODA team members in targeting their oversight.	7/31/2019	N/A
541	OIG	FAA	9/29/2015	AV2015112	FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	Identify and implement changes needed to improve annual contingency training exercises to simulate more realistic scenarios.	2/28/2019	N/A



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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
542	OIG	FAA	9/29/2015	AV2015112	FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	Install a secure wireless network that can provide access to FAA's local area network (LAN) and connectivity to the internet at Center facilities.	9/30/2020	N/A
543	OIG	FAA	9/29/2015	AV2015112	FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	Develop an implementation plan and quantify all costs required for the implementation of each recommendation in FAA's 30-day Review of Contingency Plans.	4/1/2019	N/A
544	GAO	FTA	9/10/2015	GAO-15-676	Public Transit: Updated Guidance and Expanded Federal Authority Could Facilitate Bus Procurement	Submit a legislative proposal to Congress that would authorize transit agencies that are recipients of FTA grants to access GSA sources of supply for the purchase of transit buses, in conjunction with GSA.	Rec is Pending GAO Closure	N/A
545	GAO	FTA	9/10/2015	GAO-15-676	Public Transit: Updated Guidance and Expanded Federal Authority Could Facilitate Bus Procurement	Update its Best Practices Procurement Manual and assess its other related guidance identified in this report and update that guidance as needed.	Rec is Pending GAO Closure	N/A
546	GAO	MARAD	8/26/2015	GAO-15-666	International Food Assistance: Cargo Preference Increases Food Aid Shipping Costs, and Benefits Are Unclear	Study the potential availability of all qualified mariners needed to meet a full and prolonged activation of the reserve sealift fleet. In the study, MARAD should identify potential solutions to address the mariner shortfall if one is still identified.	2/28/2020	N/A
547	OIG	FAA	8/20/2015	AV2015079	FAA Delays in Establishing a Pilot Records Database Limit Air Carriers' Access to Background Information	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.	1/31/2019	N/A
548	GAO	FAA	7/29/2015	GAO-15-608	Next Generation Air Transportation System: Improved Risk Analysis Could Strengthen FAA's Global Interoperability Efforts	Conduct a risk assessment to identify potential threats and vulnerabilities to NextGen interoperability and establish timeframes for periodically re-evaluating these risks.	9/30/2016	N/A
549	GAO	FAA	7/29/2015	GAO-15-608	Next Generation Air Transportation System: Improved Risk Analysis Could Strengthen FAA's Global Interoperability Efforts	Identify and document actions FAA will undertake to mitigate these risks, using information from the risk assessment as a basis for making management decisions about how to allocate resources for these activities.	6/30/2016	N/A
550	OIG	OST	7/23/2015	ZA2015071	The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	Require Operating Administrations' acquisition offices to update or finalize all internal contract closeout policies, including references to key Federal and departmental requirements.	2/1/2019	N/A
551	OIG	OST	6/16/2015	FI2015047	DOT Lacks an Effective Process For Its Transition to Cloud Computing	Establish FedRAMP compliance guidelines and oversight for the Department, and ensure that each Operating Administration put plans in place to meet FedRAMP requirements.	11/15/2018	N/A
552	GAO	OST	5/21/2015	GAO-15-431	Telecommunications: Agencies Need Better Controls to Achieve Significant Savings on Mobile Devices and Services	Ensure procedures to monitor and control spending are established department-wide. Specifically, ensure that (1) procedures include assessing devices for zero, under, and over usage; (2) personnel with authority and responsibility for performing the procedures are identified; and (3) the specific steps to be taken to perform the process are documented.	4/1/2019	N/A
553	GAO	FAA	4/14/2015	GAO-15-370	Air Traffic Control: FAA Needs a More Comprehensive Approach to Address Cybersecurity As Agency Transitions to NextGen	Develop a plan to fund and implement the NIST revisions within OMB's time frames.		N/A
554	OIG	FAA	4/8/2015	AV2015039	Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	Conduct a workforce assessment that includes a determination of whether: a. inspectors are at the right locations to provide adequate surveillance of the growing number of HEMS certificates, b. it has the correct number of inspectors with the required specialized knowledge, and c. district office inspector workload is adequately measured in complexity ratings and balanced between district offices.	2/28/2019	N/A
555	OIG	FHWA	3/2/2015	ST2015029	Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	Develop and implement a national strategy to work with the States to reduce annual backlogs of project closeouts.	12/31/2018	N/A
556	OIG	FHWA	3/2/2015	ST2015029	Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	Address all project close-out recommendations made in the 2013 and 2014 PMIT reviews.	12/31/2018	N/A

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557	OIG	FHWA	3/2/2015	ST2015029	Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	Review each Division Office's Standard Operating Procedures to assess consistency with FHWA's national policy after implementation of national close-out timeframes and performance measures.	12/31/2018	N/A
558	GAO	OST	2/27/2015	GAO-15-209	Disaster Relief: Agencies Need to Improve Policies and Procedures for Estimating Improper Payments	Direct the Administrators of the FAA, FHWA, FRA, and FTA to revise their policies and procedures for estimating improper payments by: (1) clearly identifying roles and responsibilities for estimating improper payments; (2) defining improper payments consistently with IPIA, as amended, and OMB Circular No. A-123, Appendix C; (3) requiring payments to federal employees to be included in populations for testing as required by IPIA, as amended; (4) including steps to assess the completeness of the population of transactions used for selecting the samples to be tested; (5) requiring the agency to maintain sufficient documentation to support improper payment estimates; (6) requiring that the sampling methodologies meet the precision requirements outlined in OMB Circular No. A-123, Appendix C; and (7) requiring a consultation with a statistician to ensure the validity of sample design, sample size, and measurement methodology.	9/30/2018	N/A
559	OIG	FHWA	2/18/2015	ST2015027	FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	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.	12/31/2018	N/A
560	OIG	FHWA	2/18/2015	ST2015027	FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	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.	12/31/2018	N/A
561	OIG	FHWA	2/18/2015	ST2015027	FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	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.	12/31/2018	N/A
562	OIG	FHWA	2/18/2015	ST2015027	FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	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.	12/31/2018	N/A
563	GAO	FAA	1/29/2015	GAO-15-221	Information Security: FAA Needs to Address Weaknesses in Air Traffic Control Systems	Take steps to ensure that testing of security controls is comprehensive enough to determine whether security controls are in place and operating effectively, by, for example, examining artifacts such as audit reports, change tickets, and approval documents.	10/31/2015	N/A
564	GAO	FAA	1/29/2015	GAO-15-221	Information Security: FAA Needs to Address Weaknesses in Air Traffic Control Systems	Take steps to ensure that identified corrective actions for security weaknesses are implemented within prescribed timeframes.	12/31/2015	N/A
565	GAO	FAA	1/29/2015	GAO-15-221	Information Security: FAA Needs to Address Weaknesses in Air Traffic Control Systems	Provide NAS Cyber Operations (NCO) with full network packet capture capability for analyzing network traffic and detecting anomalies at major network interface points at FAA operational facilities.	6/30/2016	N/A
566	GAO	FAA	1/29/2015	GAO-15-221	Information Security: FAA Needs to Address Weaknesses in Air Traffic Control Systems	Integrate network traffic flow data into NCO's ad-hoc query systems.	6/30/2016	N/A
567	GAO	FAA	1/29/2015	GAO-15-221	Information Security: FAA Needs to Address Weaknesses in Air Traffic Control Systems	Ensure that contingency plans for NAS systems are sufficiently documented, and that tests of contingency plans address key elements of the contingency plans, including notification procedures, recovering the system on an alternate platform, and system performance on alternate equipment.	9/30/2017	N/A
568	GAO	FAA	1/29/2015	GAO-15-221	Information Security: FAA Needs to Address Weaknesses in Air Traffic Control Systems	Provide NCO with security event log data for all Internet Protocol (IP)-connected NAS systems.	12/31/2018	N/A

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569	OIG	FAA	12/10/2014	FI2015015	FAA is Making Progress in Addressing ADSB's Security Issues But Weaknesses Still Exist (SSI)	Have ADS-B Program Management work with Exelis to ensure that ADS-B satisfies NAS security requirements and aligns with the NAS Enterprise Architecture.	12/31/2019	N/A
570	GAO	FTA	12/10/2014	GAO-15-110	Transportation Disadvantaged Populations: Nonemergency Medical Transportation Not Well Coordinated, and Additional Federal Leadership Needed	Convene a meeting of the member agencies of the Coordinating Council and finalize and issue a cost-sharing policy and clearly identify how it can be applied to programs under the purview of member agencies of the Coordinating Council that provide funding for NEMT.	9/30/2020	N/A
571	GAO	FTA	12/10/2014	GAO-15-110	Transportation Disadvantaged Populations: Nonemergency Medical Transportation Not Well Coordinated, and Additional Federal Leadership Needed	Convene a meeting of the member agencies of the Coordinating Council and complete and publish a new or updated strategic plan that, among other things, clearly outlines a strategy for addressing NEMT and how it can be coordinated across federal agencies that fund NEMT service.	9/30/2020	N/A
572	GAO	FTA	12/10/2014	GAO-15-110	Transportation Disadvantaged Populations: Nonemergency Medical Transportation Not Well Coordinated, and Additional Federal Leadership Needed	Convene a meeting of the member agencies of the Coordinating Council and using the on-going work of the Health, Wellness, and Transportation working group and other appropriate resources, (1) identify the challenges associated with coordinating Medicaid and VA NEMT programs with other federal programs that fund NEMT, (2) develop recommendations for how these challenges can be addressed while still maintaining program integrity and fraud prevention, and (3) report these recommendations to appropriate committees of Congress. To the extent feasible, the Coordinating Council should implement those recommendations that are within its legal authority.	9/30/2020	N/A
573	GAO	FTA	12/10/2014	GAO-15-158	TRANSPORTATION FOR OLDER ADULTS: Measuring Results Could Help Determine If Coordination Efforts Improve Mobility	Convene a meeting of the member agencies of the Coordinating Council and define and report on desired outcomes and collect related data to track and measure progress in achieving results, including the extent of coordination efforts that are under way, such as improved services for older adults. This effort could be conducted as a part of the Coordinating Council's process to update its strategic plan, which we have also recommended in a concurrent report.	12/31/2019	N/A
574	OIG	OST	11/14/2014	FI2015009	FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	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.	9/30/2016	N/A
575	OIG	OST	11/14/2014	FI2015009	FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	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.	9/30/2016	N/A
576	OIG	OST	11/14/2014	FI2015009	FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	Work with the Director of DOT Security to develop or revise their plan to effectively transition the remaining facilities to required PIV cards.	9/30/2016	N/A
577	OIG	OST	10/28/2014	AV2015001	Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	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.	8/1/2017	N/A
578	OIG	OST	10/28/2014	AV2015001	Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	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.	8/1/2017	N/A
579	OIG	OST	10/28/2014	AV2015001	Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	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.	8/1/2017	N/A



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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
580	OIG	OST	10/28/2014	AV2015001	Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On Board Flight Delays	Define comfortable cabin temperature and include the requirement in DOT regulations. In the interim, issue guidance to the industry that defines comfortable cabin temperature.	8/1/2017	N/A
581	GAO	FHWA	10/9/2014	GAO-15-33	Highway Trust Fund: DOT Has Opportunities to Improve Tracking and Reporting of Highway Spending	Explore the costs, feasibility, and options for collecting and publicly reporting consistent aggregate project-level spending data.	4/1/2019	N/A
582	GAO	OST	9/26/2014	GAO-14-740	Freight Transportation: Developing National Strategy Would Benefit from Added Focus on Community Congestion Impacts	Incorporate additional information to help states define and prioritize local community impacts of national freight movements, including traffic-congestion impacts, and to establish what data could be consistently collected and analyzed in order to prioritize impacts of freight on local traffic congestion.	12/31/2019	N/A
583	OIG	FHWA	9/17/2014	SA2014123	United States Virgin Island	Ensure the US Virgin Islands complies with Cash Management Requirements.	10/1/2018	N/A
584	OIG	FAA	9/11/2014	AV2014105	ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	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.	12/31/2018	N/A
585	OIG	FAA	9/11/2014	AV2014105	ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	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.	12/31/2018	N/A
586	OIG	FHWA	8/1/2014	SA2014081	Government of the United States Virgin Islands	Ensure the Government of the U.S. Virgin Islands complies with Cash Management Requirements.	10/1/2018	N/A
587	OIG	FAA	7/9/2014	AV2014062	FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	Analyze its operational and financial data to identify opportunities to increase controller productivity and reduce operating costs.	1/31/2019	N/A
588	OIG	FAA	7/9/2014	AV2014062	FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	Require controllers to maintain their own time-on-position records by signing in and out in Cru-X/ART.	4/30/2019	N/A
589	OIG	FAA	6/26/2014	AV2014060	AA Operational and Programmatic Deficiencies Impede Integration of Runway Safety Technologies	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.	9/28/2018	N/A
590	OIG	FAA	6/26/2014	AV2014061	FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	Establish milestones for the work needed to determine the appropriate classification system for unmanned aircraft as a basis for developing the UAS regulatory framework.	10/31/2019	N/A
591	OIG	FAA	6/26/2014	AV2014061	FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	Assess and determine the requirements for automated tools to assist air traffic controllers in managing UAS operations in the NAS.	3/31/2019	N/A
592	OIG	FAA	6/17/2014	AV2014057	FAA Faces Significant Obstacles in Advancing the Implementation and Use of Performance-Based Navigation Procedures	Establish firm requirements and schedules for all NAV Lean initiatives that will provide a basis and justification for future funding requests.	12/31/2018	N/A
593	OIG	FAA	6/5/2014	FI2014052	Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System (FOUO)	Prioritize and remediate all TFMS scheduled POAMs.	2/28/2019	N/A
594	GAO	OST	5/22/2014	GAO-14-413	Federal Software Licenses: Better Management Needed to Achieve Significant Savings Government-Wide	Develop an agency-wide comprehensive policy for the management of software licenses that addresses the weaknesses we identified.	12/31/2019	N/A
595	GAO	OST	5/22/2014	GAO-14-413	Federal Software Licenses: Better Management Needed to Achieve Significant Savings Government-Wide	Provide software license management training to appropriate agency personnel addressing contract terms and conditions, negotiations, laws and regulations, acquisition, security planning, and configuration management.	12/31/2019	N/A
596	OIG	FHWA	5/21/2014	SA2014045	Spirit Lake Tribe, North Dakota	Recover \$17,190 from the Tribe, if applicable.	11/21/2014	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
597	GAO	FMCSA	2/3/2014	GAO-14-114	Federal Motor Carrier Safety: Modifying the Compliance, Safety, Accountability Program Would Improve the Ability to Identify High Risk Carriers	Conduct a formal analysis that specifically identifies: (1) limitations in the data used to calculate SMS scores including variability in the carrier population and the quality and quantity of data available for carrier safety performance assessments, and (2) limitations in the resulting SMS scores including their precision, confidence, and reliability for the purposes for which they are used.		Non-Concur
598	GAO	FMCSA	2/3/2014	GAO-14-114	Federal Motor Carrier Safety: Modifying the Compliance, Safety, Accountability Program Would Improve the Ability to Identify High Risk Carriers	Ensure that any determination of a carrier's fitness to operate properly accounts for limitations we have identified regarding safety performance information.	Rec is Pending GAO Closure	N/A
599	GAO	FHWA	1/16/2014	GAO-14-113	Federal-Aid Highways: Federal Highway Administration Could Further Mitigate Locally Administered Project Risks	Collect data, on an ongoing basis, about which local public agencies are administering federal-aid projects.	3/31/2019	N/A
600	GAO	FHWA	1/16/2014	GAO-14-113	Federal-Aid Highways: Federal Highway Administration Could Further Mitigate Locally Administered Project Risks	Identify and disseminate minimum and uniform qualification criteria for state DOTs to determine whether local public agencies are capable and equipped to administer federal-aid projects.	3/31/2019	N/A
601	OIG	FRA	12/5/2013	CR2014010	National Environmental Policy Act: FRA Coordinates as Required, But Opportunities Exist to Modernize Procedures and Improve Project Delivery	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.	7/31/2018	N/A
602	OIG	OST	11/22/2013	FI2014006	FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	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.	9/30/2016	N/A
603	OIG	OST	11/22/2013	FI2014006	FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	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.	9/30/2016	N/A
604	OIG	OST	11/22/2013	FI2014006	FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	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.	9/30/2016	N/A
605	OIG	OST	11/22/2013	FI2014006	FISMA 2013 DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	Obtain and review existing cloud computing agreements to assess compliance with agency policy, including security requirements. Report exceptions to OA management.	9/30/2016	N/A
606	GAO	OST	11/6/2013	GAO-14-15	GPS Disruptions: Efforts to Assess Risks to Critical Infrastructure and Coordinate Agency Actions Should Be Enhanced	Establish a formal, written agreement that details how the agencies plan to address their shared responsibility. This agreement should address uncertainties, including clarifying and defining DOT's and DHS's respective roles, responsibilities, and authorities; establishing clear, agreed-upon outcomes; establishing how the agencies will monitor and report on progress toward those outcomes; and setting forth the agencies' plans for examining relevant issues, such as the roles of SSAs and industry, how NSPD-39 fits into the NIPP risk management framework, whether an update to the NSPD-39 is needed, or other issues as deemed necessary by the agencies.		N/A
607	OIG	FHWA	10/30/2013	MH2014003	Opportunities Exist to Strengthen FHWA's Coordination, Guidance, and Oversight of the Tribal Transportation Program	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.	12/1/2018	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
608	OIG	FAA	8/27/2013	AV2013120	FAAs Controller Scheduling Practices Can Impact Human Fatigue Controller Performance and Agency Costs	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.	12/31/2018	N/A
609	OIG	FAA	8/27/2013	AV2013121	FAA is Making Progress But Improvements in Its Air Traffic Controller Facility Training Are Still Needed	Organize FAA controller training data into a single source that allows for detailed analysis of all training records for each controller.	2/28/2019	N/A
610	OIG	FHWA	7/12/2013	SA2013105	Pueblo of Pojoaque, New Mexico	Recover \$233,610 from the Pueblo, if applicable.	1/13/2014	N/A
611	OIG	FHWA	7/12/2013	SA2013111	Cheyenne River Sioux Tribe, South Dakota	Ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	7/8/2014	N/A
612	OIG	FHWA	7/12/2013	SA2013111	Cheyenne River Sioux Tribe, South Dakota	Recover \$199,333 from the Tribe, if applicable.	7/8/2014	N/A
613	OIG	FAA	6/27/2013	FI2013101	FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	Implement the provisions of the Intelligence Reform and Terrorism Prevention Act's for pilot certifications.	12/31/2020	N/A
614	OIG	FAA	6/27/2013	FI2013101	FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	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.	12/31/2019	N/A
615	OIG	FAA	6/27/2013	FI2013101	FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	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.	12/31/2019	N/A
616	OIG	FAA	6/20/2013	AV2013099	FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	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.	12/31/2018	N/A
617	OIG	FAA	6/20/2013	AV2013099	FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	Verify inspectors are following existing guidance to update and maintain the accuracy of databases prior to running iterations of the staffing model.	12/31/2018	N/A
618	OIG	FAA	6/20/2013	AV2013099	FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	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.	12/31/2018	N/A
619	OIG	FAA	6/20/2013	AV2013099	FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	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.	12/31/2018	N/A
620	OIG	FAA	2/27/2013	AV2013046	FAAs Efforts to Track and Mitigate Air Traffic Losses of Separation Are Limited by Data Collection and Implementation Challenges	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.	12/31/2019	N/A
621	OIG	FHWA	2/12/2013	SA2013041	Government of the United States Virgin Islands	Ensure the Government of the U.S. Virgin Islands complies with Cash Management requirements.	6/30/2019	N/A

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
622	OIG	NHTSA	2/6/2013	MH2013040	NHTSA's Oversight of Mississippi's Management of Federal Highway Safety Grants Needs Strengthening	Work with the Mississippi Office of Highway Safety 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 office; (c) obtain independent assurance that proper grant management controls and financial and accounting procedures are in place and working effectively; and (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.	1/31/2019	N/A
623	OIG	NHTSA	2/6/2013	MH2013040	NHTSA's Oversight of Mississippi's Management of Federal Highway Safety Grants Needs Strengthening	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.	1/31/2019	N/A
624	OIG	FAA	1/31/2013	AV2013037	FAA and Industry Are Advancing the Airline Safety Act but Challenges Remain To Achieve Its Full Measure	Require training records for all unsatisfactory pilot evaluation events to include written comments from the examiner to aid in identifying specific performance deficiencies in developing the Pilot Records Database.	3/31/2020	N/A
625	GAO	FHWA	1/8/2013	GAO-13-77	Highway Trust Fund: Pilot Program Could Help Determine the Viability of Mileage Fees for Certain Vehicles	Revise and publish the agency's Highway Cost Allocation Study and update it periodically as warranted.		Non-Concur
626	OIG	FHWA	11/19/2012	SA2013022	Pueblo of Zia, New Mexico	Ensure the Pueblo of Zia complies with ARRA Reporting requirements.	7/8/2014	N/A
627	GAO	FTA	11/15/2012	GAO-13-17	ADA Paratransit Services: Demand Has Increased, but Little is Known about Compliance	To provide guidance to transit agencies on how to accurately complete existing ADA paratransit fields.		Closed-Not Implemented
628	GAO	NHTSA	11/14/2012	GAO-13-42	Motorcycle Safety: Increasing Federal Funding Flexibility and Identifying Research Priorities Would Help Support States' Safety Efforts	Provide the states with information that could better enable them to effectively address the factors that contribute to motorcycle crashes and fatalities by (1) identifying research priorities that address these factors as well as gaps in knowledge about the effectiveness of state strategies, particularly those that it has identified as a high priority or promising, as part of its expected comprehensive plan for motorcycle safety, (2) conducting research on the following strategies that it has identified as a high priority or promising, in addition to setting these research priorities: (a) encourage motorcyclists to increase their conspicuity, and (b) implement a graduated-licensing model for motorcyclists.	3/30/2018	N/A
629	GAO	FAA	10/4/2012	GAO-13-36	General Aviation Safety: Additional FAA Efforts Could Help Identify and Mitigate Safety Risks	Set specific general aviation safety improvement goals--such as targets for fatal accident reductions--for individual industry segments using a datadriven, risk management approach.	12/31/2018	N/A
630	GAO	FAA	10/4/2012	GAO-13-36	General Aviation Safety: Additional FAA Efforts Could Help Identify and Mitigate Safety Risks	Develop performance measures for each significant program and activity underlying the 5-year strategy.	9/30/2013	N/A
631	GAO	FAA	10/4/2012	GAO-13-36	General Aviation Safety: Additional FAA Efforts Could Help Identify and Mitigate Safety Risks	Improve measures of general aviation activity by requiring the collection of the number of hours that general aviation aircraft fly over a period of time (flight hours). FAA should explore ways to do this that minimize the impact on the general aviation community, such as by collecting the data at regular events (e.g., during registration renewals or at annual maintenance inspections) that are already required.		Partial Concur

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	GAO/OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
632	OIG	FHWA	10/1/2012	MH2013001	Improvements to Stewardship and Oversight Agreements Are Needed To Enhance Federal-aid Highway Program Management	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.	6/1/2018	N/A
633	OIG	FHWA	9/17/2012	SA2012183	Confederated Tribes of the Urban Springs Reservation of Oregon	Ensure the Tribes comply with Federal Financial Reporting requirements.	7/8/2014	N/A
634	OIG	FAA	9/13/2012	AV2012179	Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	Evaluate available options and take action to deploy an additional backup for ERAM until the system has become significantly more mature.	7/31/2018	N/A
635	OIG	FAA	9/13/2012	AV2012179	Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	Assess current testing capabilities and limitations at FAA's Technical Center and develop corrective action plans to more robustly test future complex software-intensive air traffic systems.	2/28/2019	N/A
636	OIG	FAA	9/13/2012	AV2012179	Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	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.	2/28/2019	N/A
637	GAO	FAA	9/13/2012	GAO-12-902	Slot-Controlled Airports: FAA's Rules Could Be Improved to Enhance Competition and Use of Available Capacity	Periodically disclose information, which may include current slot holders and operators, on currently available slots.		Closed-Not Implemented
638	GAO	FAA	9/13/2012	GAO-12-902	Slot-Controlled Airports: FAA's Rules Could Be Improved to Enhance Competition and Use of Available Capacity	Collect and disclose data, including the relationship between lessors and lessees, on slot leases.		Closed-Not Implemented
639	GAO	FAA	9/13/2012	GAO-12-902	Slot-Controlled Airports: FAA's Rules Could Be Improved to Enhance Competition and Use of Available Capacity	Apply slot rules to individual slots, as opposed to pools of slots within a slot period.		Non-Concur
640	GAO	FAA	9/13/2012	GAO-12-902	Slot-Controlled Airports: FAA's Rules Could Be Improved to Enhance Competition and Use of Available Capacity	Consider requiring airlines to schedule a certain percentage, or all, of their slot allocations, similar to practices maintained elsewhere in the world.		N/A
641	GAO	FAA	9/12/2012	GAO-12-890	Airport Noise Grants: FAA Needs to Better Ensure Project Eligibility and Improve Strategic Goal and Performance Measures	Establish a strategic noise reduction goal that aligns with the nature and extent of airport noise and targets the agency's noise grant program.		N/A
642	GAO	FAA	9/12/2012	GAO-12-890	Airport Noise Grants: FAA Needs to Better Ensure Project Eligibility and Improve Strategic Goal and Performance Measures	Establish performance measures to assess progress toward this goal that better demonstrate the results of the program and provide Congress and FAA's program managers with information to gauge progress and make programmatic decisions.		N/A
643	OIG	FHWA	7/30/2012	SA2012163	Mescalero Apache Tribe, New Mexico	Ensure that the Tribe complies with Allowable Costs/Cost Principles requirements.	7/8/2014	N/A
644	OIG	FHWA	7/30/2012	SA2012164	St. Croix Chippewa Indians of Wisconsin	Ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	7/8/2014	N/A
645	OIG	FAA	7/19/2012	AV2012152	Long Term Success of ATSAP Will Require Improvements In Oversight, Accountability, and Transparency	Revise ATSAP guidance to exclude accidents from the program.		Unresolved
646	OIG	PHMSA	6/18/2012	AV2012140	Hazardous Liquid Pipeline Operators' Integrity Management Programs Need More Rigorous PHMSA Oversight	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.	12/31/2019	N/A
647	OIG	FAA	4/23/2012	AV2012094	Status of Transformational Programs and Risks to Achieving NextGen Goals	Define and finalize the transformational programs' NextGen requirements.	6/30/2016	N/A
648	OIG	FAA	4/23/2012	AV2012094	Status of Transformational Programs and Risks to Achieving NextGen Goals	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.	6/30/2016	N/A

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649	OIG	FHWA	4/5/2012	ZA2012084	Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	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.	12/3/2018	N/A
650	OIG	FHWA	4/5/2012	ZA2012084	Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	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.	12/3/2018	N/A
651	OIG	FHWA	4/5/2012	ZA2012084	Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	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.	12/3/2018	N/A
652	OIG	FHWA	4/5/2012	ZA2012084	Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	Establish standard FHWA Division Office requirements for performing and documenting oversight of State contracting activity, including stewardship agreement requirements for (a) FHWA approval of procurement policies and procedures and (b) FHWA verification that State DOTs have determined a potential winning bidder's status on the Excluded Parties Listing System list prior to contract award.	12/3/2018	N/A
653	OIG	FAA	3/28/2012	ZA2012082	FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	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.	8/31/2018	N/A
654	OIG	FAA	3/28/2012	ZA2012082	FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	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.	8/31/2018	N/A
655	OIG	FAA	3/28/2012	ZA2012082	FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	Revise AMS to include guidance on how to identify and mitigate risks of potential OCIs prior to contract or task order award.	8/31/2018	N/A
656	GAO	PHMSA	3/22/2012	GAO-12-388	Pipeline Safety:Collecting Data and Sharing Information on Federally Unregulated Gathering Pipelines Could Help Enhance Safety	Collect data from operators of federally unregulated onshore hazardous liquid and gas gathering pipelines, subsequent to an analysis of the benefits and industry burdens associated with such data collection. Data collected should be comparable to what PHMSA collects annually from operators of regulated gathering pipelines (e.g., fatalities, injuries, property damage, location, mileage, size, operating pressure, maintenance history, and the causes of incidents and consequences).	1/31/2020	N/A
657	GAO	FAA	2/16/2012	GAO-12-223	Air Traffic Control Modernization: Management Challenges Associated with Program Costs and Schedules Could Hinder NextGen Implementation	Conduct independent cost estimates and schedule risk analysis for major acquisition programs, when appropriate for major acquisition programs based on a program's cost, schedule, complexity, and risk.		N/A
658	OIG	FAA	12/20/2011	AV2012027	New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	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.	4/30/2019	N/A
659	OIG	OST	11/14/2011	FI2012007	FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	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.	9/30/2016	N/A
660	OIG	OST	11/14/2011	FI2012007	FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	In conjunction with OA CIOs, create, complete or test contingency plans for deficient systems.	9/30/2016	N/A



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	GAO/ OIG	OA	Report Date	Report Number	Report Title	Recommendation Text	Target Completion Date	Reason for Non-Implementation
661	GAO	FHWA	9/7/2011	GAO-11-703	On-the-Job Training: Federal Highway Administration Needs to Strengthen Program Assessment	Create and implement an oversight mechanism that (1) holds states accountable for meeting federal training criteria and (2) clearly stipulates how FHWA will assess state program effectiveness, including what type of program achievement data states are to submit and how such data will be used. This oversight mechanism should include assessing the effectiveness of its division offices in overseeing state activities.	7/31/2019	N/A
662	GAO	NHTSA	6/15/2011	GAO-11-603	Auto Safety: NHTSA Has Options to Improve the Safety Defect Recall Process	Develop a plan to use the data it collects on recall campaigns to analyze particular patterns or trends that may characterize successful recalls and determine whether these represent best practices that could be used in other recall campaigns.		N/A
663	OIG	FTA	3/23/2011	SA2011069	Washington Metropolitan Area Transit Authority	Ensure the Authority implement security controls and devices to ensure that equipment is properly safeguarded. This finding affects ARRA funds	5/30/2018	N/A
664	OIG	OST	11/15/2010	FI2011022	Timely Actions Needed to Improve DOT's Cybersecurity	Identify and implement automated tools to better track contractors and training requirements.	10/1/2019	N/A
665	OIG	FAA	10/12/2010	AV2011002	FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	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.	2/28/2019	N/A
666	GAO	OST	7/14/2010	GAO-10-785	Commercial Aviation: Consumers Could Benefit from Better Information about Airline-Imposed Fees and Refundability of Government-Imposed Taxes and Fees	Improve the disclosure of baggage fees and policies to passengers, in accordance with DOT guidance, by requiring that U.S. airlines and foreign airlines that fly within or to or from the United States disclose baggage fees and policies along with fare information such that this information can be consistently disclosed across all distribution channels used by the airline.		Closed-Not Implemented
667	GAO	OST	7/14/2010	GAO-10-785	Commercial Aviation: Consumers Could Benefit from Better Information about Airline-Imposed Fees and Refundability of Government-Imposed Taxes and Fees	Require U.S. passenger airlines to report to DOT all optional fees paid by passengers related to their trip in a separate account, exclusive of baggage fees and reservation change and cancellation fees.		Closed-Not Implemented
668	OIG	FHWA	1/14/2010	MH2010039	Assessment of FHWA Oversight of the Highway Bridge Program and the National Bridge Inspection Program	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.	9/1/2018	N/A
669	OIG	FHWA	1/14/2010	MH2010039	Assessment of FHWA Oversight of the Highway Bridge Program and the National Bridge Inspection Program	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.	12/1/2018	N/A
670	GAO	FTA	9/9/2009	GAO-09-871	Affordable Housing in Transit-Oriented Development: Key Practices Could Enhance Recent Collaboration Efforts between DOT-FTA and HUD	Direct the appropriate program offices, to develop a plan to ensure that data collected on the various programs of the agencies related to affordable housing and transit are sufficient to measure the agencies' performance toward goals and outcomes established in the HUD-FTA action plan and the Partnership for Sustainable Communities, in conjunction with HUD.		Partial Concur
671	GAO	FTA	6/30/2009	GAO-09-603	Public Transportation: FTA's Triennial Review Program Has Improved, But Assessments of Grantees' Performance Could Be Enhanced	Improve the objectivity and reliability of the "Close Findings Timely" performance measure by: (1) developing an internal controls process to verify grantees have satisfactorily resolved findings before closing them (2) continuing to emphasize the use of OTRAK across all regions and developing a process to close out triennial reviews in OTRAK upon grantees' completion of corrective actions.	7/1/2019	N/A

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672	GAO	FTA	6/30/2009	GAO-09-603	Public Transportation: FTA's Triennial Review Program Has Improved, But Assessments of Grantees' Performance Could Be Enhanced	Meet standards set forth in previous GAO work, based on the Government Performance and Results Act of 1993, and develop performance measures to assess: (1) the outcomes of the triennial review program, such as a method for evaluating improvements in grantee performance in meeting more federal requirements over time (2) and the quality of the triennial review through improved contractor oversight, testing, or inspection.	7/1/2019	N/A
673	GAO	FTA	6/30/2009	GAO-09-603	Public Transportation: FTA's Triennial Review Program Has Improved, But Assessments of Grantees' Performance Could Be Enhanced	Ensure that additional outcome and quality performance measures are balanced with the existing measures for assessing the timeliness of the triennial review program so that one priority is not emphasized at the expense of others.	7/1/2019	N/A
674	OIG	FAA	5/14/2009	AV2009057	FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	Revise current ASAP guidance to exclude accidents from the program.		Non-Concur
675	OIG	FAA	5/14/2009	AV2009057	FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	Require that FAA representatives on ERCs receive ASAP reports in a timely manner and concurrently with other ERC members.	5/31/2019	N/A
676	OIG	FAA	5/14/2009	AV2009057	FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	Modify Advisory Circular 120-66B to clarify that ASAP 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.	5/31/2019	N/A
677	OIG	FAA	5/14/2009	AV2009057	FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	Require inspectors to examine repetitive reports of safety concerns and enhancements to ensure that corrective actions are completed in a satisfactory manner.	5/31/2019	N/A
678	OIG	FHWA	2/5/2009	ZA2009033	Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	Recover the unallowed executive compensation costs and other unallowable expenses identified in this audit - \$2.8 million in unallowable executive compensation and \$1.6 million in other unallowable indirect charges.	6/1/2018	N/A
679	OIG	FHWA	2/5/2009	ZA2009033	Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	By implementing the recommendations in this report, FHWA could put approximately \$30.2 million in future Federal-aid funds to better use.	6/1/2018	N/A
680	OIG	FHWA	1/12/2009	MH2009013	National Bridge Inspection Program: Assessment of FHWA's Implementation of Data-Driven, Risk-Based Oversight	Increase FHWA's use of element-level data by incorporating AASHTO's updated standards into the NBIS through the rulemaking process.	6/1/2018	N/A
681	OIG	FHWA	1/12/2009	MH2009013	National Bridge Inspection Program: Assessment of FHWA's Implementation of Data-Driven, Risk-Based Oversight	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.	6/1/2018	N/A
682	GAO	NHTSA	10/3/2008	GAO-09-56	Highway Safety: Foresight Issues Challenge DOT's Efforts to Assess and Respond to New Technology-Based Trends	Evaluate whether or not new approaches to data collection are needed to better track new trends related to highway safety.		Partial Concur
683	GAO	NHTSA	10/3/2008	GAO-09-56	Highway Safety: Foresight Issues Challenge DOT's Efforts to Assess and Respond to New Technology-Based Trends	Consider and evaluate practices and principles for making decisions under conditions of uncertainty and for using data in such decision making and, on that basis, develop an approach to guide decision making on high-clockspeed trends that, although somewhat uncertain, may affect highway safety.		Partial Concur
684	GAO	NHTSA	10/3/2008	GAO-09-56	Highway Safety: Foresight Issues Challenge DOT's Efforts to Assess and Respond to New Technology-Based Trends	Determine, in consultation with relevant congressional committees, schedules for periodic reporting that will be sufficiently frequent to update the Congress on fast-changing trends.		Partial Concur
685	GAO	OST	10/3/2008	GAO-09-56	Highway Safety: Foresight Issues Challenge DOT's Efforts to Assess and Respond to New Technology-Based Trends	Analyze and report on trends currently anticipated to affect highway safety through 2020 and beyond in a systematic fashion—including information on high-clockspeed trends, discussion of evidence about these and other individual trends, their implications and potential interactions, and DOT responses.		Non-Concur



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686	GAO	OST	1/7/2008	GAO-08-287	Freight Transportation: National Policy and Strategies Can Help Improve Freight Mobility	Develop with Congress and public and private sector stakeholders a comprehensive national strategy for freight transportation. This national strategy should include defining the federal role and national interests in freight transportation, including economically-based and objective criteria to identify areas of national significance for freight transportation and to determine whether federal funds are required in those areas.	12/31/2019	N/A
687	GAO	OST	1/7/2008	GAO-08-287	Freight Transportation: National Policy and Strategies Can Help Improve Freight Mobility	Develop with Congress and public and private sector stakeholders a comprehensive national strategy for freight transportation. This national strategy should include establishing the roles of regional, state, and local governments, as well as the private sector.	12/31/2019	N/A
688	GAO	OST	1/7/2008	GAO-08-287	Freight Transportation: National Policy and Strategies Can Help Improve Freight Mobility	Develop with Congress and public and private sector stakeholders a comprehensive national strategy for freight transportation. This national strategy should include using new or existing federal funding sources and mechanisms to support a targeted, cost-effective, and sustainable federal role in freight transportation.	12/31/2019	N/A
689	OIG	FTA	7/18/2007	QC2007057	Washington Metropolitan Area Transit Authority	Ensure the Authority update and modify the security controls at the bus divisions to prevent or detect unauthorized entry.	5/30/2018	N/A
690	GAO	FAA	12/13/2006	GAO-07-25	Next Generation Air Transportation System: Progress and Challenges Associated with the Transformation of the National Airspace System	Undertake a formal exploration of FAA's strengths and weaknesses with regard to the technical expertise and contract management expertise that will be required to define, implement, and integrate the numerous complex programs and systems inherent in the transition to NGATS. For example, FAA should work to determine whether it will need to contract with an LSI, federally-funded not-for-profit corporation, or other technical or managerial entity to assist in the implementation of NGATS.		N/A
691	GAO	FMCSA	12/19/2005	GAO-06-103	Federal Motor Carrier Safety Administration: Education and Outreach Programs Target Safety and Consumer Issues, but Gaps in Planning and Evaluations Remain	To better demonstrate how FMCSA education and outreach programs contribute to achieving agency goals, the Secretary of Transportation should direct the Administrator of FMCSA to ensure that the agency describes and documents how education and outreach program activities link to and support broader program and agency goals in a planning, program, or budget document that is available to the public.	Rec is Pending GAO Closure	N/A
692	GAO	OST	12/19/2005	GAO-06-301R	Managerial Cost Accounting Practices: Departments of Education, Transportation, and the Treasury	To help ensure that Transportation components implement reliable cost accounting methodologies for use in managerial decision making in accordance with departmental objectives, the Secretary of Transportation should direct appropriate department officials to finalize and issue formal procedures, revised as necessary, to monitor implementation of that policy and establish a sound system of controls.		Closed-Not Implemented
693	GAO	OST	12/19/2005	GAO-06-301R	Managerial Cost Accounting Practices: Departments of Education, Transportation, and the Treasury	To help ensure that Transportation components implement reliable cost accounting methodologies for use in managerial decision making in accordance with departmental objectives, the Secretary of Transportation should direct appropriate department officials to finalize and issue a policy for implementing MCA departmentwide.		Closed-Not Implemented
694	GAO	OST	11/7/2003	GAO-04-55	Telecommunications: Uneven Implementation of Wireless Enhanced 911 Raises Prospect of Piecemeal Availability for Years to Come	Work with state-level E911 officials, the National Emergency Number Association, and other public safety groups to determine which public safety answering points will need to have their equipment upgraded. This information should then be reflected in the PSAP database managed by NENA under contract with DOT. This will provide the baseline needed to measure progress toward the goal of full nationwide deployment of wireless E911 service.	Rec is Pending GAO Closure	N/A

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**Definitions:**

N/A: Not Applicable - DOT is taking action or has taken action to implement the recommendation.

Non-Concur: DOT did not agree with GAO's recommendation.

Partial Concur: DOT did not agree to fully implement GAO's recommendation.

Unresolved: DOT did not respond to the recommendation; DOT did not agree with the recommendation; or the DOT OIG disagreed with the agency's proposed corrective actions.