



**U.S. Department of
Transportation**

The Inspector General

Office of Inspector General
Washington, DC 20590

January 21, 2016

The Honorable John Thune
Chairman, Committee on Commerce,
Science, and Transportation
United States Senate
Washington, DC 20510

The Honorable Bill Nelson
Ranking Member, Committee on Commerce,
Science, and Transportation
United States Senate
Washington, DC 20510

Dear Chairman Thune and Ranking Member Nelson:

This is in response to your letter to the Department of Transportation (DOT) Office of Inspector General (OIG) dated December 18, 2015, requesting information on the status of OIG open audit recommendations.¹ Specifically, you requested the following: (1) a list of all outstanding OIG recommendations that DOT has yet to implement fully; (2) for each such outstanding recommendation, an indication whether DOT has concurred with the recommendation, whether there is an expected date by which the recommendation will be implemented, and if applicable, either the cost of fully implementing the recommendation or the cost savings that could be obtained if it were fully implemented; (3) highlight the highest priority open recommendations or those that pose the highest risk if not implemented; and (4) any Agency attempts to interfere with OIG independence, deny access to information or documents, or any objections or delays in cooperating with OIG oversight or investigations. Unless otherwise indicated below, the following responses relay information concerning the second semiannual reporting period for fiscal year 2015.²

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

² April 1, 2015, through September 30, 2015.

OIG Open Recommendations and Associated Estimated Cost Savings

As of December 31, 2015, we identified 569 open recommendations,³ which were included in 176 audit reports issued between July 18, 2007, and December 31, 2015. Of these, 29 recommendations (from 24 reports) carry an estimated monetary benefit or cost savings totaling over \$1.9 billion.⁴ The enclosure provides detailed information on the open recommendations.

Highest Priority Open Recommendations and Highest Risk Recommendations if Not Implemented

In addition to OIG's report on DOT's Top Management Challenges,⁵ which presents our collective assessment of the major challenges facing the Department each fiscal year, we have identified 33 open recommendations that are the highest priority or which present the highest risk if not implemented. We identified these recommendations based on their impact on safety, economy, or efficiency; documented vulnerabilities; and the ability of the Department to effect change in these programs or areas. These recommendations are highlighted in the enclosure.

Interference with OIG Independence

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

Delays and Access to Information

When we encounter delays and lack of timeliness in obtaining Agency documents, we work with Department officials at the proper level to resolve them. When appropriate, access and delay issues and their impact on the scope of our work are documented in our reports. As reported in our June 2015 audit on Hurricane Sandy oversight and emergency relief efforts,⁶ the Federal Transit Administration (FTA) was not always timely in providing documentation and scheduling interviews between FTA staff and OIG auditors. This caused a minor delay but did not impact the scope of the audit.

³ All open OIG recommendations are accounted for in the total tabulation, but sensitive, non-public recommendations are absent from the enclosure.

⁴ This figure includes funds that could be put to better use, questioned costs, and unsupported costs as defined by the Inspector General Act of 1978, as amended (5 U.S. Code App. 3).

⁵ OIG reports are available on our Web site: <https://www.oig.dot.gov>.

⁶ *FTA Has Not Fully Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts* (OIG Report Number ST-2015-046), June 12, 2015.

We remain committed to supporting the Department through our objective and independent audits and investigations to improve the management and execution of programs and protect resources from fraud, waste, abuse, and violations of law. If you have any questions or need further information, please contact me at (202) 366-1959 or Nathan Richmond, Director and Counsel for Congressional and External Affairs, at (202) 493-0422.

Sincerely,

A handwritten signature in black ink that reads "Calvin L. Scovel III". The signature is written in a cursive style with a large initial "C" and a long, sweeping underline.

Calvin L. Scovel III
Inspector General

Enclosure

*Department of Transportation, Office of Inspector General
Open Recommendations, as of December 31, 2015*

No.	Audit Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Management's Response	Target Action Date
Highest Priority Open Recommendations								
1	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Develop and implement departmentwide policies and procedures for accurately identifying and reporting delinquent debt and recoveries, and collecting debts in a timely manner. Implementation of this recommendation could put \$494.1 million in funds to better use.	Department-Wide	\$494,100,000		Concur	1/30/2016
2	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Work with SSA and other disability benefits providers to establish a target completion date for performing computer matching to identify airmen applying for, or holding, medical certificates and receiving disability benefits.	FAA			Concur	12/31/2010
3	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Work with the U.S. intelligence community to assess potential threats to the ADS-B system and ways to mitigate them.	FAA			Concur	6/1/2016
4	ZA2011148 FAA Policies and Plans Are Insufficient to Ensure an Adequate and Effective Acquisition Workforce	8/3/2011	To ensure FAA comprehensively identifies its acquisition workforce and required competencies, we recommend that FAA's Director of Acquisition Policy, Workforce Development, and Evaluation: 2. Identify the entire FAA acquisition workforce, including contracted and Federal employees for all lines of business. Develop and implement tools and internal controls to ensure that FAA accurately identifies its acquisition workforce.	FAA			Partial Concur	1/31/2016
5	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	That FAA's Vice President of Business and Acquisition Services: Revise AMS to require that, when IGCEs exceed contractor proposals by 15 percent or more, program officials submit an explanation and recommended corrective actions to the CFO before contract award.	FAA			Partial Concur	4/30/2016
6	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Require complex software-intensive systems (that are interdependent on other systems, such as ERAM) to be successfully tested in a live, operational environment, at one or more FAA air traffic facilities, prior to Government Acceptance.	FAA			Concur	12/31/2015

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Open Recommendations, as of December 31, 2015**

No.	Audit Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Management's Response	Target Action Date
7	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Implement the provisions of the Intelligence Reform and Terrorism Prevention Act's for pilot certifications.	FAA			Concur	3/30/2016
8	ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Create a training plan that clearly defines all air traffic controller training requirements, including proficiency training and training for new systems. The plan should also specify the training requirements to be performed by FAA certified professional controllers and those to be performed by the contractor.	FAA			Concur	1/31/2016
9	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Establish a timeline for developing standardized training and procedures for air traffic controllers responsible for UAS operations.	FAA			Concur	9/30/2015
10	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Complete airspace simulation and safety studies of the impact of UAS operations on air traffic control across all segments of the NAS.	FAA			Concur	10/31/2015
11	AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Develop a schedule and plan to expedite the continued development and deployment of SBS Monitor and ensure that the system is adequately staffed and funded so it can effectively access the performance and integrity of the ADS-B system now and as it evolves.	FAA			Non Concur	Pending
12	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Require FAA inspectors to obtain all level 1 and level 2 findings from EASA Part 145 inspections to enhance FAA's ability to conduct more accurate risk assessments of EU repair stations.	FAA			Concur	6/30/2016
13	ST2015080 Efficiency of FAA's Air Traffic Control Towers Ranges Widely	8/20/2015	Identify the factors contributing to greater resource use by the least efficient towers as compared with the relatively efficient towers that we identified, and develop a plan for addressing them.	FAA	\$853,000,000		Partial Concur	7/31/2016
14	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Apply the lessons learned from the Chicago Center incident to the redesign of operational contingency plans for all Center facilities.	FAA			Concur	4/29/2016
15	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Develop an implementation plan and quantify all costs required for the implementation of the 42 recommendations derived from the Comprehensive Security Review.	FAA			Concur	9/30/2016

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16	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	By implementing the recommendations in this report, FHWA could put approximately \$30.2 million in future Federal-aid funds to better use.	FHWA	\$30,200,000		Concur	12/31/2015
17	MH2014089 FHWA Has Not Fully Implemented All MAP-21 Bridge Provisions and Prior OIG Recommendations	8/21/2014	Established a target date for completing the asset management plan final rule.	FHWA			Partial Concur	12/15/2016
18	FI2014033 Inadequate Planning, Limited Revenue, and Rising Costs Undermine Efforts to Sustain Washington, DC's Union Station	4/1/2014	We also recommend that the Federal Railroad Administrator, as the authority having jurisdiction, direct USRC to perform a full structural analysis on the building's structural components.	FRA			Partial Concur	9/30/2016
19	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Federal Transit Administrator require FTA Headquarter staff to track and oversee each region's use of remedies and sanctions.	FTA			Concur	2/29/2016
20	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop and implement guidance on the amount and type of information needed to determine whether a potential safety defect warrants an investigation proposal and investigation.	NHTSA			Concur	10/30/2015
21	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop a process for prioritizing, assigning responsibility, and establishing periodic reviews of potential safety defects that ODI determines should be monitored.	NHTSA			Concur	6/30/2016
22	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Document and establish procedures for enforcing timeframes for deciding whether to open investigations; and establish a process for documenting justifications for these decisions.	NHTSA			Concur	11/30/2015
23	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Expand current data verification processes to assess manufacturers' compliance with regulations to submit complete and accurate early warning reporting data. At minimum, this process should assess how manufacturers assign vehicle codes to specific incidents and how they determine which incidents are reportable.	NHTSA			Concur	6/30/2016
24	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop an approach that will determine which early warning reporting test scores provide statistically significant indications of potential safety defects.	NHTSA			Concur	6/30/2016

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25	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Institute periodic external expert reviews of the statistical tests used to analyze early warning reporting data to ensure that these methods are up-to-date and in keeping with best practices.	NHTSA			Concur	6/30/2016
26	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop and implement a quality control process to help ensure complaints are reviewed thoroughly and within a specified timeframe.	NHTSA			Concur	5/30/2016
27	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Evaluate the training needed by pre-investigative staff to identify safety defect trends; and develop and implement a plan for meeting identified needs.	NHTSA			Concur	5/30/2016
28	FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	11/14/2011	In conjunction with OA CIOs, create, complete or test contingency plans for deficient systems.	OST			Concur	10/31/2012
29	FI2013123 Security Weaknesses in DOT's Common Operating Environment Expose Its Systems and Data to Compromise	9/10/2013	Use automated tools, such as vulnerability scanners or Web application scanners to monitor applications residing in the COE on a constant basis, and require each OA to mitigate vulnerabilities in its system or remove the systems from the network.	OST			Concur	5/31/2015
30	FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain and review existing cloud computing agreements to assess compliance with agency policy, including security requirements. Report exceptions to OA management.	OST			Concur	9/30/2014
31	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Develop a department-wide requirement for the periodic operating administration certification of the open obligation balance that is inactive for twelve or more months (validity).	OST	\$518,000,000		Concur	9/30/2014
32	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take action to establish an enterprise-wide strategy that DOT components must adhere to implement and monitor Information Security Continuous Monitoring for Continuous Diagnostics and Mitigation requirements as outlined in OMB policy and NIST guidance.	OST			Concur	6/30/2016

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33	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	The Deputy Secretary, or his designees, takes the following action to work with the OAs to develop a formal transition plan to the proposed ISCM target architecture that includes but is not limited to: (1) continuously assessing security controls; (2) reviewing system configuration settings; and (3) assessing timely remediation of security weaknesses. During the transition period, establish processes and practices for effectively collecting, validating, and reporting ISCM data.	OST			Concur	Pending

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Open Recommendations, as of December 31, 2015*

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Other Open Recommendations								
1	CR2007074 Amtrak's Board Of Directors Provides Leadership to the Corporation But Can Improve How it Carries Out Its Oversight Responsibilities	9/14/2007	Amend its Statement of Policy to require at least an annual review of (a) the adequacy and timeliness of the information it receives and (b) its own effectiveness in carrying out its fiduciary responsibilities.	Amtrak			Concur	7/30/2016
2	CR2007074 Amtrak's Board Of Directors Provides Leadership to the Corporation But Can Improve How it Carries Out Its Oversight Responsibilities	9/14/2007	Amend its Statement of Policy to provide better guidance and more flexibility with respect to the types of actions requiring Board approval.	Amtrak			Concur	7/30/2016
3	CR2007074 Amtrak's Board Of Directors Provides Leadership to the Corporation But Can Improve How it Carries Out Its Oversight Responsibilities	9/14/2007	Amend its Statement of Policy to require management to submit for the Board's approval an annual, multi-year strategic plan with measurable goals and performance objectives.	Amtrak			Concur	7/30/2016
4	CR2007074 Amtrak's Board Of Directors Provides Leadership to the Corporation But Can Improve How it Carries Out Its Oversight Responsibilities	9/14/2007	Amend its Statement of Policy to require Amtrak to publish an annual evaluation of its performance against the previous year's goals.	Amtrak			Concur	7/30/2016
5	FI2015047 DOT Lacks an Effective Process For Its Transition to Cloud Computing	6/16/2015	Develop a process to verify that non-disclosure agreements and language regarding discovery and investigatory requirements are included in future cloud contracts.	Department-Wide			Concur	10/30/2015
6	FI2015047 DOT Lacks an Effective Process For Its Transition to Cloud Computing	6/16/2015	Establish FedRAMP compliance guidelines and oversight for the Department, and ensure that each Operating Administration put plans in place to meet FedRAMP requirements.	Department-Wide			Concur	5/15/2016
7	FI2015047 DOT Lacks an Effective Process For Its Transition to Cloud Computing	6/16/2015	Develop guidance for acquisition of cloud services, cost and savings analysis, and operational support for use of those services.	Department-Wide			Concur	5/15/2016
8	FI2015047 DOT Lacks an Effective Process For Its Transition to Cloud Computing	6/16/2015	Establish procedures to verify systems are accurately inventoried in CSAM	Department-Wide			Concur	12/31/2015
9	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Establish clear policies and guidance for overseeing delinquent debt collections made by Operating Administrations and ESC.	Department-Wide			Concur	1/30/2016
10	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Require relevant training for all personnel who are responsible for identifying, collecting, and reporting on delinquent debt.	Department-Wide			Concur	1/30/2016
11	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Direct Operating Administrations that must comply with legal requirements outside of DCIA to develop clear and effective debt collection policies and procedures for their unique requirements and to share these policies and procedures with ESC.	Department-Wide			Concur	1/30/2016

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12	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Direct ESC to clarify its SOPs, including (a) delineating the different processes for administrative and loan debts and (b) identifying the Operating Administrations that the SOPs apply to.	Department-Wide			Concur	1/30/2016
13	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Direct Operating Administrations that have loan programs to develop or enhance policies and procedures for complying with their specific requirements for delinquent loan collections.	Department-Wide			Concur	1/30/2016
14	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	We recommend that the Deputy Secretary or designee take action to work with the OAs to ensure they update open POA&Ms with the required data fields.	Department-Wide			Concur	Pending
15	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	We recommend the Deputy Secretary, or his designees, take the following action to ensure that FAA, FHWA, FMCSA, FRA, FTA, NHTSA, MARAD/USMMA, OST, and SLSDC perform actions to immediately disable user accounts that have been inactive for over 90 days, as required by the DOT compendium. Report completion of this effort to OCIO. Create a POA&M to track progress and verify completion of the action.	Department-Wide			Concur	Pending
16	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	The Deputy Secretary, or his designees, takes the following action to Work with FAA to improve its assessment process to meet DOT Cybersecurity Compendium and Security Authorization & Continuous Monitoring Performance Guide. DOT CIO in conjunction with the FAA CIO review the FAA quality assurance process to ensure all security documents are reviewed and updated to reflect the system controls, vulnerabilities, and that the current risks are clearly presented to the authorizing officials.	Department-Wide			Concur	Pending
17	QC2016009 Quality Control Review of Audited Closing Package Financial Statements for Fiscal Years 2015 and 2014, Department of Transportation	11/19/2015	KPMG recommends that DOT improve controls over financial reporting for the closing package financial statements to ensure that the accompanying notes to the Closing Package are accurately prepared in accordance with the instructions contained in TFM Chapter 4700.	Department-Wide			Concur	Pending

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18	QC2016009 Quality Control Review of Audited Closing Package Financial Statements for Fiscal Years 2015 and 2014, Department of Transportation	11/19/2015	KPMG recommend that DOT improve controls over financial reporting for the closing package financial statements to ensure an appropriate supervisory review of the Closing Package prior to "lock down" with the Department of the Treasury.	Department-Wide			Concur	Pending
19	AV2008090 Air Carriers' Outsourcing of Aircraft Maintenance	9/30/2008	Improve its maintenance data reporting system by: (a) revising its guidance to include all maintenance providers performing repairs of critical components, not just the top 10 substantial maintenance providers and (b) developing procedures for inspectors to validate the accuracy and consistency of reports.	FAA			Concur	1/31/2016
20	AV2008090 Air Carriers' Outsourcing of Aircraft Maintenance	9/30/2008	Reassess its definition of substantial maintenance to include critical components and ensure that air carriers and FAA offices consistently apply the definition.	FAA			Concur	1/31/2016
21	AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Revise current ASAP guidance to exclude accidents from the program.	FAA			Concur	9/30/2015
22	AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Clarify what constitutes an "intentional disregard for safety."	FAA			Concur	9/30/2015
23	AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Require that FAA representatives on ERCs receive ASAP reports in a timely manner and concurrently with other ERC members.	FAA			Concur	9/30/2015
24	AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Modify Advisory Circular 120-66B to clarify that ASP is not an amnesty program and that employees submitting ASAP reports are subject to administrative action by FAA and corrective action by the air carrier.	FAA			Concur	9/30/2015
25	AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Require inspectors to examine repetitive reports of safety concerns and enhancements to ensure that corrective actions are completed in a satisfactory manner.	FAA			Concur	9/30/2015
26	AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	FAA needs to develop a central database of all air carriers ASAP reports that the Agency can use for trend analysis at a national level.	FAA			Concur	12/31/2015
27	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Implement multifactor user authentication, as required by OMB, and the Department's Secure Remote Access capability for all MSS users with remote access to sensitive PII.	FAA			No Decision	Pending

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28	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Configure MSS computer systems in compliance with applicable Government standards including ensuring vendor security updates are applied, the Web site locks the user account after three unsuccessful attempts, all passwords on the MSS database are in compliance with standards, and that the application will enforce a session lock after 15-minute inactivity for all users in accordance with OMB and DOT guidance.	FAA			Concur	10/31/2013
29	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Implement restrictions on AME access to inactive airman records based on a need to know.	FAA			Concur	9/30/2014
30	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Encrypt sensitive airmen PII stored in MSS as well as MSS user passwords, and develop agreements as appropriate to ensure airmen PII provided to other systems is also encrypted.	FAA			Concur	3/31/2014
31	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Require and validate that all AMEs and their staff participate in the DOT security and privacy awareness training, as well as sign the DOT Rules of Behavior.	FAA			Concur	9/30/2011
32	FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Implement the audit and accountability recommendations received during the previous certification and accreditation process to help identify inappropriate access to sensitive PII (abuse of access privileges) and ensure data extract/query has been erased within 90 days from its creation date.	FAA			Concur	9/30/2014
33	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Further quantify and validate controller productivity enhancements that can result from displaying ADS-B information on controller displays and the additional automation needed to maximize these ADS-B benefits.	FAA			No Decision	Pending
34	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Accelerate efforts to establish requirements for ADS-B and certify cockpit displays for enhancing pilot situational awareness to improve operations at high-density airports.	FAA			Concur	1/29/2016
35	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Update the cost benefit analysis for the acquisition to ensure that FAA's plan is still appropriate before committing the additional funds for a nationwide deployment of the ADS-B ground infrastructure.	FAA			Partial Concur	6/1/2016

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36	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Clarify the use of ADS-B value-added services and reexamine assumptions about the ability of ITT to sell them in light of other planned NextGen efforts to greatly expand information sharing between FAA and stakeholders.	FAA			Concur	1/29/2016
37	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Specify the cost and schedule for providing ADS-B critical services to all en route and airport surface domains over the life of the contract.	FAA			Partial Concur	1/29/2016
38	AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Assess the technical readiness of ADS-R and any risks to its development and determine which locations will need ADS-R.	FAA			Concur	1/29/2016
39	AV2011007 New York Flight Delays Have Three Main Causes, but More Work Is Needed To Understand Their Nationwide Effect	10/28/2010	Reexamine flight caps at Kennedy, LaGuardia, and Newark airports, basing the caps on more realistic airport operating conditions, air carrier scheduling practices, and a goal towards reducing delays to an acceptable rate. In considering an acceptable rate and length of delay, FAA should incorporate the views of air carriers, the airport operator, and passenger groups as well as lessons learned from other slot-controlled airports.	FAA			Concur	12/31/2015
40	AV2011025 FAA Needs to Implement More Efficient Performance-Based Navigation Procedures and Clarify the Role of Third Parties	12/10/2010	Clearly define the role of third parties in developing and implementing RNP procedures, determine where third parties could play a cost-beneficial role in advancing the implementation of new procedures, and issue a report with the results of this evaluation.	FAA			Concur	1/31/2016
41	AV2011057 FAA Did Not Ensure Revenue was Maximized at Denver International Airport	2/28/2011	For future airport closures, require more than one appraisal, use of indices other than CPI, and/or other methods to determine fair market value of large land sales when the land is transferred from the airport sponsor to the buyer over an extended period of time.	FAA			Non Concur	Pending
42	AV2011057 FAA Did Not Ensure Revenue was Maximized at Denver International Airport	2/28/2011	Evaluate the current funding of the development of parks, open space, infrastructure, or any other federally prohibited diversions associated with Denver airport revenue and take action to cease such funding.	FAA			Non Concur	Pending

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No.	Audit Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Management's Response	Target Action Date
43	AV2011057 FAA Did Not Ensure Revenue was Maximized at Denver International Airport	2/28/2011	Assess the revenue diversions identified in our analysis of the sale of Stapleton property and seek full recovery as necessary, plus interest, of those diversions and any others identified by FAA.	FAA			Non Concur	Pending
44	AV2011057 FAA Did Not Ensure Revenue was Maximized at Denver International Airport	2/28/2011	Assess the difference between the amount that the Denver airport will receive from future sales of Stapleton property and the fair market value at the time of the sales and explore ways the City can provide the difference.	FAA			Non Concur	Pending
45	AV2011136 FAA Oversight and Implementation of the Organization Designation Authorization and Risk-Based Resource Targeting Programs	6/29/2011	Improve the RBRT tool by thoroughly testing and validating it to ensure that it is fully functional.	FAA			Concur	1/29/2016
46	ZA2011148 FAA Policies and Plans Are Insufficient to Ensure an Adequate and Effective Acquisition Workforce	8/3/2011	That FAA's Director of Acquisition Policy, Workforce Development, and Evaluation determine the best mix of labor resources by identifying the proper roles of both contractors and Federal employees, along with the skills sets and expertise needed for each group.	FAA			Concur	4/1/2016
47	AV2011149 FAA Oversight is Key for Contractor-Owned Air Traffic Control Systems That Are Not Certified	8/4/2011	Evaluate the number of FAA staff currently assigned to analyze the extensive volume of data the SBS monitoring system generates and require additional resources be allocated as appropriate.	FAA			Concur	9/30/2013
48	AV2011180 More Rigorous Oversight Is Needed to Ensure Venice Municipal Airport Land Sales and Leases Are Used Appropriately	9/29/2011	Strengthen Agency policy to ensure that transfers of airport property acquired through Federal assistance are based on independent certified appraisals performed within 6 to 12 months of the transfer and reviewed by an independent real estate professional, especially when the parcel is unusual or the transfer is between an airport and its sponsor.	FAA			Concur	3/31/2016
49	AV2011180 More Rigorous Oversight Is Needed to Ensure Venice Municipal Airport Land Sales and Leases Are Used Appropriately	9/29/2011	Assess the adequacy of the Agency's policies and procedures for overseeing the transfer or lease of large or unusual airport properties to ensure that sponsor agreements are fair and equitable and protect the airport's self-sustainability.	FAA			Concur	3/31/2016
50	AV2012027 New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Require inspectors to select a representative sample of air carrier proficiency and line check rides each year to analyze the results for trends, and take action if needed in accordance with FAA guidance.	FAA			Concur	10/30/2015

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51	AV2012027 New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Renew authority of check airmen every 2 years to increase accountability in the system and improve consistency in the manner in which flight checks are conducted and rated.	FAA			Concur	10/30/2015
52	AV2012027 New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Conduct a study of air carrier policies to determine whether controls should be in place to prevent pilots in remedial training programs from being paired together.	FAA			Concur	10/30/2015
53	AV2012027 New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Develop a standardized procedure for air carriers to report failures of pilot proficiency checks, as well as remedial and recurrent flight training to FAA, and require inspectors to monitor trends and target surveillance to highest risk areas.	FAA			Concur	10/30/2015
54	AV2012027 New Approaches Are Needed to Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Develop and implement standardized training for aviation safety inspectors on Part 121 air carrier pilot performance and administration of check rides and check airman observations.	FAA			Concur	10/30/2015
55	AV2012039 Enhanced Oversight of Staffing and Training at FAA's Critical Facilities is Needed to Maintain Continuity of Operations	1/12/2012	Determine whether the skills assessment test implemented at several facilities would be beneficial at all critical terminal facilities.	FAA			Concur	2/29/2016
56	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	That FAA's Vice President of Business and Acquisition Services: Require the SE-2020 program office to (a) develop policies and procedures to ensure timely reconciliations and corrections to acquisition databases and (b) revise its cost monitoring spreadsheets to ensure accurate data for effective cost control of SE-2020 contracts.	FAA			Concur	4/30/2016
57	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	That FAA's Vice President of Business and Acquisition Services: Require FAA's contracting and program staff to use performance-based acquisition principles in their SE-2020 task orders and ensure staff is adequately trained to develop and monitor such awards.	FAA			Concur	4/30/2016
58	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	That FAA's Vice President of Business and Acquisition Services: Revise AMS to include guidance on how to identify and mitigate risks of potential OCIs prior to contract or task order award.	FAA			Partial Concur	4/30/2016
59	AV2012152 Long Term Success of ATSAP Will Require Improvements In Oversight, Accountability, and Transparency	7/19/2012	Revise ATSAP guidance to exclude accidents from the program.	FAA			No Decision	Pending

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60	AV2012152 Long Term Success of ATSAP Will Require Improvements In Oversight, Accountability, and Transparency	7/19/2012	Develop a process permitting ERCs to validate all reports submitted to ATSAP.	FAA			No Decision	Pending
61	AV2012167 Challenges With Implementing a Near-Term NextGen Capabilities at Congested Airports Could Delay Benefits	8/1/2012	Evaluate combining the metroplex study and design team processes to accelerate the completion of FAA's metroplex initiative.	FAA			Concur	11/30/2015
62	AV2012167 Challenges With Implementing a Near-Term NextGen Capabilities at Congested Airports Could Delay Benefits	8/1/2012	Develop a comprehensive RNAV/RNP controller training program on applying new metroplex advanced procedures in a mixed-equipage environment.	FAA			Partial Concur	11/30/2015
63	AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	As regional airport inspector vacancies become available, staff those positions with inspectors with expertise in wildlife damage management and require those inspectors oversee the program to specifically: a. Review and approve wildlife hazard assessments and management plans; b. Track the review and approval process to ensure airports complete all requirements; and c. Monitor wildlife strikes and, if needed, require airports to reassess their wildlife hazard management plans.	FAA			Partial Concur	12/31/2015
64	AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Require that airports, as part of their wildlife hazard management plans, maintain reports of all wildlife strikes and submit the reports quarterly to FAA for review.	FAA			Partial Concur	12/31/2015
65	AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Require inspectors to verify that airports' quarterly wildlife strike reports contain key data fields, such as extent of damage, species of wildlife, phase of flight, altitude that the strike occurred, and effect on flight; and to contact the airports with any incomplete or missing data to obtain the information, if available.	FAA			Partial Concur	12/31/2015
66	AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Develop and implement performance metrics to measure the effectiveness of FAA's target activities in achieving the Program goal of reducing wildlife hazards at or near airports.	FAA			Concur	12/31/2015
67	AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Establish notification procedures with other government agencies to notify FAA of project proposals that may increase hazardous wildlife populations within a 5-mile radius of airports.	FAA			Concur	12/31/2015

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68	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Assess current testing capabilities and limitations at FAA's Technical Center and develop corrective action plans to more robustly test future complex software-intensive air traffic systems.	FAA			Concur	6/30/2015
69	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Revise AMS to better define key milestones, such as Government Acceptance and initial operating capability, so that milestones are clear measures of progress for managing major acquisitions.	FAA			Concur	12/31/2015
70	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Evaluate available options and take action to deploy an additional backup for ERAM until the system has become significantly more mature.	FAA			Concur	1/31/2016
71	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Include a requirement in the AMS to definitize CLINs in a reasonable time period, such as FAR's 180-day benchmark. Ensure that future ERAM CLINs are definitized according to the new requirement.	FAA			Concur	12/31/2015
72	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Update the performance measurement baseline for ERAM's earned value management system to include all remaining work on the ERAM contract, including planned work that has not yet been priced and work performed by the Government.	FAA			Concur	3/31/2016
73	AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Develop procedures in FAA's "Program Level Integrated Baseline Review Guide" to verify that integrated baseline reviews meet the requirements and to establish a time frame for conducting integrated baseline reviews after executing major contract modifications.	FAA			Concur	9/30/2012
74	AV2013009 Contract Towers Continue to Provide Cost-Effective and Safe Air Traffic Services, But Improved Oversight of the Program is Needed	11/5/2012	Modify FCT contracts to incorporate a voluntary reporting system, such as ATSAP, at contract towers to ensure more comprehensive reporting of safety incidents.	FAA			Concur	12/31/2015
75	AV2013037 FAA and Industry Are Advancing the Airline Safety Act but Challenges Remain To Achieve Its Full Measure	1/31/2013	In developing the Pilot Records Database, require training records for all unsatisfactory pilot evaluation events to include written comments from the examiner to aid in identifying specific performance deficiencies.	FAA			No Decision	Pending
76	AV2013037 FAA and Industry Are Advancing the Airline Safety Act but Challenges Remain To Achieve Its Full Measure	1/31/2013	Require inspectors to determine if air carriers have modified policies, in accordance with the Act, to retain pilot records for the new, centralized electronic pilot records database.	FAA			Concur	12/31/2015

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77	AV2013045 Growth of Domestic Airline Code Sharing Warrants Increased Attention	2/14/2013	Publish best practices guidance for safety-sharing practices among Part 121 air carriers and their code share partners.	FAA			Concur	12/31/2016
78	AV2013045 Growth of Domestic Airline Code Sharing Warrants Increased Attention	2/14/2013	Review code share agreement performance metrics, such as financial incentives for on-time performance, to ensure they do not have unanticipated or adverse impacts on safety.	FAA			Partial Concur	12/31/2016
79	AV2013046 FAAs Efforts to Track and Mitigate Air Traffic Losses of Separation Are Limited by Data Collection and Implementation Challenges	2/27/2013	Determine the level of staff and expertise needed at the ATO Service Areas to effectively implement ATO's new Orders on investigating losses of separation, audit all TARP data, and initiate actions to fill those requirements.	FAA			Concur	3/31/2016
80	AV2013046 FAAs Efforts to Track and Mitigate Air Traffic Losses of Separation Are Limited by Data Collection and Implementation Challenges	2/27/2013	Include high-risk TCAS warning events in its Risk Analysis Process and System Risk Event Rate when the separation between two converging aircraft is maintained at 66 percent or more.	FAA			Partial Concur	2/29/2016
81	AV2013097 FAAs Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Develop a requirements document for TAMR Phase 3 Segment 1 to ensure the operational and technical requirements for the 11 large TRACONS are specific, pertinent, and focused on requirements needed to transition CARTS to STARS.	FAA			Partial Concur	12/31/2016
82	AV2013097 FAAs Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Develop and implement a formal process to effectively manage, budget for, and incorporate new requirements (gaps) as they arise in the terminal modernization acquisition strategy.	FAA			Concur	11/30/2015
83	AV2013097 FAAs Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Develop a comprehensive approved baseline schedule for TAMR Phase 3, Segment 1 that includes: (a) Initial Operating Capability and Operational Readiness dates for each of the 11 sites that STARS will replace; (b) timeframes for testing and validating new software and hardware requirements to support STARS deployment; and (c) software testing to the maximum extent possible to ensure products are suitable for deployment.	FAA			Partial Concur	11/30/2015
84	AV2013097 FAAs Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Update, verify, and validate the accurate and complete cost, schedule, and benefits for TAMR Phase 3, Segment 1, as prescribed by AMS.	FAA			Concur	9/30/2015

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85	AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Conduct and document a variance analysis of each model's results and assess staffing at field offices where the on-board staffing level varies widely from the current model projection to verify if immediate staffing action is needed in the interest of safety.	FAA			Concur	12/31/2015
86	AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Verify inspectors are following existing guidance to update and maintain the accuracy of databases prior to running iterations of the staffing model.	FAA			Concur	9/30/2016
87	AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Conduct a comprehensive assessment of the staffing model as compared to the NRC recommendations, assess the quality of the data in the model and identify the steps needed to make the staffing model more viable.	FAA			Concur	12/31/2015
88	AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Implement comprehensive and recurrent training for managers and inspectors on the staffing model.	FAA			Partial Concur	12/30/2016
89	AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Establish a comprehensive analyst training program with guidance clarifying their roles, responsibilities, and training needs and establish a method to determine an appropriate number of air carriers per analyst.	FAA			Concur	9/30/2016
90	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Develop procedures for periodic reassessments of aircraft and airman data to improve and maintain data integrity.	FAA			Concur	12/31/2013
91	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Develop procedures to ensure that airman addresses are kept current.	FAA			Concur	9/30/2014
92	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Implement access monitoring, user accounts, and multi-factor authentication for the Registry.	FAA			Concur	9/30/2018
93	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Encrypt PII and mitigate the vulnerabilities on Registry computers. If controls cannot be implemented immediately then remove all PII or take other actions as appropriate, such as suspend the system's operation in accordance with FAA Order 1280.1B.	FAA			Concur	12/31/2016
94	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Ensure that the FAA contractor's computers and other third-party systems comply with information security controls required by FISMA and DOT policy.	FAA			Concur	9/30/2015

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95	FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Mitigate contingency planning weaknesses by selecting an alternative processing site and periodically conducting comprehensive contingency tests at the alternate site in accordance with DOT policy.	FAA			Concur	9/30/2015
96	AV2013120 FAA's Controller Scheduling Practices Can Impact Human Fatigue Controller Performance and Agency Costs	8/27/2013	Develop guidance for air traffic facility managers and workforce that specifically defines the criteria for compliance with rest policies, including an emphasis that the rest requirements only apply between operational shifts, and policies governing "recuperative breaks" during the midnight shift.	FAA			Concur	12/31/2015
97	AV2013120 FAA's Controller Scheduling Practices Can Impact Human Fatigue Controller Performance and Agency Costs	8/27/2013	Identify the terminal air traffic facilities that do not meet the established minimum criteria for midnight shift operations, and (a) evaluate the safety risks and benefits of reducing their hours of operation, and (b) develop milestones for implementation of the reduction of operating hours at the selected facilities and report the status and justification for each selected facility to the OIG in 180 days.	FAA			Concur	6/30/2016
98	AV2013121 FAA is Making Progress But Improvements in Its Air Traffic Controller Facility Training Are Still Needed	8/27/2013	Develop and implement a formal policy to identify and disseminate locally developed training initiatives for use as best practices nationwide.	FAA			Concur	2/29/2016
99	AV2013121 FAA is Making Progress But Improvements in Its Air Traffic Controller Facility Training Are Still Needed	8/27/2013	Organize FAA controller training data into a single source that allows for detailed analysis of all training records for each controller.	FAA			Concur	1/31/2016
100	AV2013121 FAA is Making Progress But Improvements in Its Air Traffic Controller Facility Training Are Still Needed	8/27/2013	Evaluate the Operational Assessment Program to determine if it can be used to improve staffing composition at all critical air traffic facilities.	FAA			Partial Concur	2/29/2016
101	SA2013133 Federated States of Micronesia National Government	9/13/2013	We recommend FAA ensure the Micronesia National Government complies with Equipment and Real Property Management requirements.	FAA			Concur	4/22/2016
102	SA2013133 Federated States of Micronesia National Government	9/13/2013	We recommend FAA recover \$37,094 from the Micronesia National Government.	FAA		\$37,094	Concur	4/22/2016
103	FI2013136 DOT Does Not Fully Comply with the Requirements of the Reducing Over-Classification Act	9/19/2013	Update FAA's policy to conform to the requirements of EO 13526.	FAA			Concur	1/31/2014

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104	AV2014017 FAA's Safety Data Analysis and Sharing System Shows Progress, but More Advanced Capabilities and Inspector Access Remain Limited	12/18/2013	Identify the FAA office with responsibility for disseminating aggregated de-identified ASIAs trends to both field and headquarters levels.	FAA			Concur	3/31/2016
105	AV2014017 FAA's Safety Data Analysis and Sharing System Shows Progress, but More Advanced Capabilities and Inspector Access Remain Limited	12/18/2013	Establish a mechanism for providing access to aggregated, de-identified ASIAs trends to each level of Flight Standards in a protected manner, including specific reporting frequency.	FAA			Concur	3/31/2016
106	AV2014017 FAA's Safety Data Analysis and Sharing System Shows Progress, but More Advanced Capabilities and Inspector Access Remain Limited	12/18/2013	Develop and issue guidance on how inspectors are to use aggregated, de-identified ASIAs trends to enhance air carrier safety risk identification and mitigation, including how ASIAs will interact with SAS.	FAA			Concur	3/31/2016
107	ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Develop a plan to assess internal resources and verify that controllers will be available to teach training at each facility.	FAA			Concur	12/31/2015
108	ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Perform an integrated baseline review to (a) identify the training requirements that should be included in the budget baseline; (b) identify the risks for maintaining the budget and plans for adequately mitigating those risks; and (c) determine whether resources are sufficient for completing the work.	FAA			Partial Concur	12/31/2015
109	AV2014035 FAA Oversight Is Inadequate to Ensure Proper Use of Los Angeles International Airport Revenue for Police Services and Maximization of Resources	4/8/2014	Determine the amount of diverted revenue, if any, from payments of unsupported or unauthorized police services that are recoverable by Los Angeles World Airports and require Los Angeles World Airports to recover these costs, plus interest, from the City of Los Angeles.	FAA			Concur	12/31/2015
110	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Analyze VDRP data from a national perspective to aid in the identification of system-wide trends and patterns that represent risks.	FAA			Partial Concur	Pending
111	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Add dedicated data fields in the VDRP electronic system for air carriers to describe the root causes associated with the non-compliance and identify whether the violation occurred due to the actions of an individual or a systemic problem.	FAA			Concur	12/18/2015

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112	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Require inspectors to evaluate the root causes(s) determination to ensure repeat self-disclosure does not go undetected and potential systemic issues are identified.	FAA			Concur	2/28/2016
113	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Require inspectors to use the dedicated field within the VDRP electronic system to document the surveillance performed as a result of self-disclosures.	FAA			Concur	12/18/2015
114	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Require inspectors to ensure that air carriers track any revisions to programs and procedures resulting from VDRP disclosures to prevent future modification without consideration of VDRP requirements.	FAA			Concur	12/18/2015
115	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Provide familiarization training to inspectors and office managers regarding VDRP guidance that allow the ASAP corrective actions to be used as the comprehensive fix for a voluntary disclosure when certain conditions are met.	FAA			Concur	2/28/2016
116	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Ensure that inspector's ability to obtain safety data is not further restricted through efforts to streamline voluntary safety programs.	FAA			Concur	9/30/2016
117	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Develop a mechanism to assist inspectors with surveillance planning, identification of safety issues, and monitoring trends for Part 121 air carrier.	FAA			Concur	2/28/2016
118	FI2014052 Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System	6/5/2014	Enforce password complexity requirements for all TFMS accounts.	FAA			Concur	12/15/2015
119	FI2014052 Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System	6/5/2014	Develop a process and timeline to ensure that all TFMS software and databases receive the most up-to-date software patches and releases supported by the vendors.	FAA			Concur	12/15/2015
120	FI2014052 Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System	6/5/2014	Prioritize and remediate all TFMS scheduled POAMs.	FAA			Concur	12/15/2015
121	ZA2014055 New Disadvantaged Business Enterprise Firms Face Barriers to Obtaining Work at the Nation's Largest Airports	6/12/2014	We recommend that FAA's Office of Civil Rights, in coordination with the Departmental Office of Civil Rights, require airports to annually report the number of new DBE/ACDBE participants as part of their existing data collection efforts.	FAA			Partial Concur	7/29/2016

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122	AV2014057 FAA Faces Significant Obstacles in Advancing the Implementation and Use of Performance-Based Navigation Procedures	6/17/2014	Establish firm requirements and schedules for all NAV Lean initiatives that will provide a basis and justification for future funding requests.	FAA			Concur	7/31/2014
123	AV2014059 FAA is Not Effectively Managing Air Traffic Controller Mid-Term Bargaining Agreements	6/19/2014	Revise standard operating procedures to strictly enforce the involvement of Labor Relations Office (AHR-LMR) representatives during all mid-term bargaining prior to committing the Agency.	FAA			Concur	11/30/2015
124	AV2014059 FAA is Not Effectively Managing Air Traffic Controller Mid-Term Bargaining Agreements	6/19/2014	Clarify the roles and responsibilities of the Labor Relations Office (AHR-LMR) and the Labor Technical Liaison.	FAA			Concur	2/29/2016
125	AV2014059 FAA is Not Effectively Managing Air Traffic Controller Mid-Term Bargaining Agreements	6/19/2014	Provide refresher training to air traffic managers that interact with NATCA on labor relations management, including legal responsibilities and negotiation skills.	FAA			Concur	2/29/2016
126	AV2014060 FAA Operational and Programmatic Deficiencies Impede Integration of Runway Safety Technologies	6/26/2014	Develop and finalize timetables as to when ADS-B can be expected to impact surface surveillance systems through the use of moving map information in cockpit displays and surface alerts for pilots.	FAA			Concur	9/28/2018
127	AV2014060 FAA Operational and Programmatic Deficiencies Impede Integration of Runway Safety Technologies	6/26/2014	Develop specific milestones for integrating ASDE-X, ASSC, RWSL, and ADS-B based on coordination between offices involved in runway safety; identify the offices accountable for achieving these milestones; and publish this information in the FAA National Runway Safety Plan.	FAA			Concur	11/30/2015
128	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Create a standardized framework for data sharing and analysis between FAA and UAS operators by (a) validating a sample of the data it currently receive from UAS operators; (b) finalizing an agreement with DoD for pertinent UAS operational data; and (c) completing development of a sharing and analysis database.	FAA			No Decision	Pending
129	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Publish a report annually detailing ongoing research activities and progress FAA and other entities are making in their respective areas of responsibility to resolve technical challenges to safe integration of UAS.	FAA			Concur	9/30/2015

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130	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Establish a more detailed implementation plan with milestones and prioritized actions needed to advance UAS integration in the near, mid and long term.	FAA			Concur	9/30/2015
131	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Establish metrics to define progress in meeting implementation milestones as a basis for reporting to Congress.	FAA			Concur	9/30/2015
132	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Establish milestones for the work needed to determine the appropriate classification system for unmanned aircraft as a basis for developing the UAS regulatory framework.	FAA			Concur	9/30/2016
133	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Assess and determine the requirements for automated tools to assist air traffic controllers in managing UAS operations in the NAS.	FAA			Concur	10/31/2015
134	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Develop and implement a consistent process to review and approve COAs across FAA regions, adopt measures that increase process efficiency and oversight and provide necessary guidance and training to inspectors.	FAA			Concur	9/30/2015
135	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Develop a mechanism to verify that the UAS Integration Office, all FAA lines of business, and field safety inspectors are effectively coordinating their UAS efforts.	FAA			Concur	9/30/2015
136	AV2014061 FAA Faces Significant Barriers to Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Determine the specific types of data and information needed from each of the six planned test ranges to facilitate safe integration of UAS into the NAS.	FAA			Concur	12/31/2017
137	AV2014062 FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Ensure that all facilities implement and use new Cru-X/ART task codes designed to better differentiate the tasks that controllers are completing.	FAA			Concur	12/31/2017
138	AV2014062 FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Assess current controller productivity initiatives to determine whether they will achieve anticipated cost savings or productivity gains and document the results of this assessment.	FAA			Concur	10/31/2015
139	AV2014062 FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Analyze its operational and financial data to identify opportunities to increase controller productivity and reduce operating costs.	FAA			Concur	10/31/2015
140	AV2014062 FAA Lacks the Metrics and Data Needed to Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Require controllers to maintain their own time-on-position records by signing in and out in Cru-X/ART.	FAA			Concur	10/31/2015

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141	AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Develop and implement a plan to improve communications with the aviation community to ensure it understands the intended use of ADS-B services and applications being provided, including that ADS-B initial capabilities are for advisory use only.	FAA			Partial Concur	Pending
142	AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Determine whether cost savings could be realized by delaying payment of subscription fees for ADS-B services at locations where (a) users are not equipped with rule-compliant avionics to provide and receive ADS-B services at those locations, and (b) air traffic control automation systems have not been modernized to support ADS-B services.	FAA			Non Concur	Pending
143	AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Resolve performance problems identified during FAA's independent operational testing on ADS-B. Also, conduct end-to-end testing of the ADS-B system to determine how it can be used by controllers and pilots to safely manage and separate traffic in the NAS during all phases of flight.	FAA			Partial Concur	1/29/2016
144	AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Determine when FAA will be in a position to introduce and support ADS-B In capabilities for congested airports, and identify the changes that may be required for ADS-B ground and air components for using advanced ADS-B In capabilities.	FAA			Concur	12/31/2018
145	AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Develop a clearly defined and expedited schedule for determining the end-state for the ADS-B program with cost and schedule baselines, and provide written notification to Congress and other decision makers so that they have more complete information on the total program cost, schedule, and expected services.	FAA			Partial Concur	1/29/2016
146	FI2014129 Actions Needed To Enhance Controls Over Travel Cards	9/18/2014	Work with the Department to implement an automated solution, which reduces the costs associated with the labor-intensive process of comparing cardholder travel card activity to travel claims.	FAA			Concur	3/31/2016

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147	AV2014130 Management Limitations May Hinder FAA's Ability to Fully Implement and Assess the Effectiveness of Its Runway Safety Initiatives	9/25/2014	Realign the Runway Safety Group outside of FAA's operational lines of business to ensure the office effectively provides oversight and coordinates activities for investigating and mitigating runway incursions.	FAA			No Decision	Pending
148	AV2014130 Management Limitations May Hinder FAA's Ability to Fully Implement and Assess the Effectiveness of Its Runway Safety Initiatives	9/25/2014	Expedite the development of metrics to determine whether runway incursions are actually increasing and to assess the effectiveness of implemented runway safety initiatives.	FAA			Concur	12/15/2015
149	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designee, take action to work with FAA to revise their plan to effectively transition the remaining 32,266 users to require unprivileged PIV login. Create a POA&M with a planned completion date to monitor and track progress.	FAA			Concur	12/31/2015
150	AV2015012 Planning For High Priority NextGen Capabilities Underway but Much Work Remains for Full Realization of Benefits	11/20/2014	Develop a risk mitigation strategy for missed milestones or as commitments change.	FAA			Concur	3/15/2016
151	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Close Hazardous Materials Voluntary Disclosure Reporting Program cases only after air carriers provide evidence of completion of corrective actions and self-audits.	FAA			Concur	12/31/2015
152	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Require air carriers to provide FAA with sufficient evidence of completion of corrective actions and self-audits.	FAA			Concur	12/31/2015
153	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Clarify how Hazardous Materials Voluntary Disclosure Reporting Program requirements are to be met, such as defining what constitutes serious violations and determining under what circumstances repeat violations could be accepted.	FAA			Concur	12/31/2015
154	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Provide training to the FAA Regions on Hazardous Materials Voluntary Disclosure Reporting Program requirements or policies.	FAA			Concur	12/31/2015
155	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Verify that FAA Regions consistently meet the requirements of the Hazardous Materials Voluntary Disclosure Reporting Program.	FAA			Concur	12/31/2015

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156	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Develop an automated system, such as a Web site, to allow air carriers to report potential violations under the Hazardous Materials Voluntary Disclosure Reporting Program.	FAA			No Decision	Pending
157	AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Combine Hazardous Materials Voluntary Disclosure Reporting Program data with data from other sources, such as inspections, to identify trends signifying safety risk.	FAA			Concur	12/31/2015
158	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA strengthen password complexity configurations for LIS and SOAR, in accordance with the DOT Cyber Security Compendium.	FAA			Concur	10/1/2016
159	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended FAA obtain a waiver from the DOT Chief Information Officer to relieve FAA of the implementation requirements within the DOT Cyber Security Compendium.	FAA			Concur	10/1/2016
160	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommends that FAA update the LIS SSP to reflect the current security audit log mechanisms in place, and develop and implement procedures requiring periodic reviews of LIS audit logs. The procedures should include the items being reviewed and the frequency within which the reviews should occur.	FAA			Concur	10/1/2016
161	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommend that FAA develop and implement procedures for granting physical access to the data center.	FAA			Concur	10/1/2016
162	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommends that FAA develop and implement procedures for retaining authorizing documents for those individuals that are granted access.	FAA			Concur	10/1/2016
163	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommends that FAA develop and implement procedures for performing periodic reviews of access rights for existing data center users.	FAA			Concur	10/1/2016
164	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended to finalize the policies and procedures that specify the number of days within which property identified for disposal should be retired and recorded in the general ledger.	FAA			Concur	10/1/2016

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165	QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended to provide training to the various regions and property owners once the policies and procedures noted in recommendations 1 above are finalized and implemented.	FAA			Concur	10/1/2016
166	AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Develop helicopter-specific accident reduction goals and communicate them in FAA planning documents and business plans.	FAA			Concur	9/30/2015
167	AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Expand the criteria for dedicated certificate management teams and use of SEP for HEMS operators with 20 to 24 aircraft.	FAA			Partial Concur	1/30/2016
168	AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Conduct a workforce assessment that includes a determination of whether: a. inspectors are at the right locations to provide adequate surveillance of the growing number of HEMS certificates, b. it has the correct number of inspectors with the required specialized knowledge, and c. district office inspector workload is adequately measured in complexity ratings and balanced between district offices.	FAA			Concur	12/31/2016
169	AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Review and revise inspector hiring and training policies so that they provide sufficient flight and aircraft systems experience and training needed for inspectors to successfully accomplish their surveillance duties.	FAA			Concur	10/1/2015
170	AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Develop and implement a plan to provide inspectors access to new technology training opportunities and leverage both airplane and helicopter training if needed in their surveillance requirements.	FAA			Concur	3/31/2016
171	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Clarify inspector guidance on how to assess foreign authorities' readiness to assume FAA oversight responsibilities.	FAA			Concur	3/31/2016
172	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Develop standardized instructions for FAA and foreign authority inspectors on how to properly complete inspection checklists.	FAA			Concur	3/31/2016
173	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Develop guidance and provide training to FAA inspectors that clarify their current roles and responsibilities as country coordinators.	FAA			Concur	3/31/2016

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174	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Conduct a comparative analysis of the Maintenance Annex Guidance to ensure that FAA inspection procedures and checklists are comparable to EASA's, where possible.	FAA			Concur	3/31/2016
175	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Revise the Maintenance Annex Guidance to require FAA inspectors to review and accept corrective action plans resulting from aviation authority sampling inspections.	FAA			Concur	6/30/2016
176	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Revise the Maintenance Annex Guidance to require FAA inspectors to receive EU-based repair station corrective action plans after completing sampling inspections to be used for risk assessment.	FAA			Concur	6/30/2016
177	SA2015069 City of El Paso, Texas	7/20/2015	We recommend FAA ensure the City complies with the Matching Requirements.	FAA			Concur	1/20/2016
178	SA2015069 City of El Paso, Texas	7/20/2015	We recommend FAA ensure the City complies with the Reporting Requirements.	FAA			Concur	12/31/2015
179	SA2015069 City of El Paso, Texas	7/20/2015	We recommend FAA recover \$14,325 from the City, if applicable.	FAA		\$14,325	Concur	12/31/2015
180	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Implement an oversight process for monitoring compliance with AMS closeout requirements.	FAA			Concur	4/30/2016
181	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Issue additional AMS guidance on the contract closeout process. At a minimum, this guidance should include requirements for: file retention and storage, contract closeout file documentation, initial funds reviews, timely submission of adequate evidence of physical completion, and safeguards to prevent the destruction of contract files before closeout is completed.	FAA			Concur	1/31/2016
182	AV2015079 FAA Delays in Establishing a Pilot Records Database Limit Air Carriers' Access to Background Information	8/20/2015	Establish the FAA-records portion of the database and develop a single process for air carriers to request and obtain records currently available through PRIA, notices of disapproval, and summaries of enforcement actions in accordance with the Act.	FAA			Concur	12/31/2016
183	AV2015079 FAA Delays in Establishing a Pilot Records Database Limit Air Carriers' Access to Background Information	8/20/2015	Develop a clearly defined and expedited schedule for the development and implementation of a PRD, including cost estimates and project timelines.	FAA			Concur	3/31/2016

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184	AV2015081 FAA Has Not Effectively Deployed Controller Automation Tools That Optimize Benefits of Performance-Based Navigation	8/20/2015	Prioritize actions needed to complete the implementation of enhancements, including Ground Interval Management-Spacing, Terminal Sequencing and Spacing, and Path Stretch which further facilitate PBN use.	FAA			Partial Concur	Pending
185	AV2015081 FAA Has Not Effectively Deployed Controller Automation Tools That Optimize Benefits of Performance-Based Navigation	8/20/2015	Establish firm milestones and follow through with all action items required to address TBFM Study Team report recommendations and a process to account for their completion.	FAA			Concur	7/31/2016
186	AV2015081 FAA Has Not Effectively Deployed Controller Automation Tools That Optimize Benefits of Performance-Based Navigation	8/20/2015	Establish a NAS-wide TBFM user collaboration and information sharing database or tracking system to capture lessons learned by facilities and subject matter experts during TBFM implementation and use.	FAA			Concur	1/31/2016
187	AV2015081 FAA Has Not Effectively Deployed Controller Automation Tools That Optimize Benefits of Performance-Based Navigation	8/20/2015	Establish a process for creating agreements (e.g., Letters of Agreement), including corresponding procedures, between facilities to accommodate wider use of automation tools and establish a target date for implementing them.	FAA			Concur	1/31/2016
188	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Identify and implement changes needed to improve annual contingency training exercises to simulate more realistic scenarios.	FAA			Concur	4/29/2016
189	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Install a secure wireless network that can provide access to FAA's local area network (LAN) and connectivity to the internet at Center facilities.	FAA			Concur	9/30/2017
190	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Evaluate the feasibility and cost of physically separating primary and backup components of critical communication infrastructure when comparing alternative implementation options for all future investments.	FAA			Concur	4/29/2016
191	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Assess the feasibility and cost of replacing the existing fire suppression systems in critical equipment areas with a waterless system at Center facilities.	FAA			Concur	4/29/2016
192	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Develop an implementation plan and quantify all costs required for the implementation of each recommendation in FAA's 30-day Review of Contingency Plans.	FAA			Concur	9/30/2016
193	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Develop and implement system-based evaluation criteria and risk-based tools to aid ODA team members in targeting their oversight.	FAA			Concur	3/31/2017

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194	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Clarify guidance to ODA oversight staff on the minimum oversight requirements for each oversight team member.	FAA			Concur	12/31/2015
195	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Require annual assessments of audit training provided to ODA oversight personnel for effectiveness, and report the results of the assessment on an annual basis to the Aircraft Certification Management Team.	FAA			Concur	12/31/2016
196	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Provide guidance on data that ODA team members should be analyzing on an ongoing basis, enhance its national summary of biennial audit results to include more specificity, and disseminate it to ODA teams to use in planning their oversight.	FAA			Concur	9/30/2016
197	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Determine what additional model inputs and labor distribution codes are needed to identify ODA oversight staffing needs, and report the results to the Aircraft Certification Management Team.	FAA			Concur	8/31/2016
198	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Develop a process to assess the model results at the office level for potential staffing shortages, determine the validity of the results, and include in a regular written report to the Aircraft Certification Management Team.	FAA			Concur	8/31/2016
199	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Develop agreements and a process for sharing resources to assure that ODA personnel performing certification and inspection work at supplier and company facilities receive adequate oversight.	FAA			Concur	7/31/2016
200	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Clarify guidance to engineers and inspectors on actions to take in response to self-audits and develop a process to validate that the audits are being used to identify trends that warrant a need for oversight.	FAA			Concur	8/31/2016
201	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Provide guidance on the level of sampling required to achieve effective oversight of ODA company personnel performing key aircraft certification functions, and issue sampling guidance to field offices.	FAA			Concur	8/31/2016

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202	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	Re-examine the most recent methodologies used to calculate ACDBE car rental participation goals for the Nation's 65 largest airports, and provide guidance on the goal setting principles to use in calculating ACDBE participation goals. For those airports that did not properly calculate their goals, take action to ensure compliance with DOT guidance.	FAA			Concur	6/30/2016
203	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	Implement a plan for encouraging the participation of ACDBE-certified "goods and services" firms in the car rental industry and promoting their use.	FAA			Concur	6/30/2016
204	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	Issue guidance that corrects the misinterpretation of the statutory and regulatory language that creates an exception for car rental companies from the general requirement to explore direct ownership arrangements as a way to meet ACDBE goals.	FAA			Concur	3/31/2016
205	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	Coordinate with OSDBU to make current Small Business Transportation Resource Center training and assistance accessible to airport DBEs, such as procurement and technical training.	FAA			Concur	8/31/2016
206	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	In coordination with FAA's Office of Airports, develop and implement a plan to address DBE prompt payment issues with airports and prime contractors.	FAA			Concur	8/31/2016
207	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	Publicize best practices such as those identified in this report relating to prompt payments and uses of online databases.	FAA			Concur	12/31/2015
208	MH2009013 National Bridge Inspection Program: Assessment of FHWA's Implementation of Data-Driven, Risk-Based Oversight	1/12/2009	Increase FHWA's use of element-level data by incorporating AASHTO's updated standards into the NBIS through the rulemaking process.	FHWA			Concur	2/29/2016
209	MH2009013 National Bridge Inspection Program: Assessment of FHWA's Implementation of Data-Driven, Risk-Based Oversight	1/12/2009	Increase FHWA's use of element-level data by developing and implementing a plan to collect element-level data after AASHTO's updated standards have been incorporated into the NBIS.	FHWA			Concur	2/29/2016
210	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Revise the CFR to require D&E firms to certify that all indirect costs claimed on Federal-aid contracts are allowable.	FHWA			Concur	12/31/2015

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211	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Revise the CFR to provide state DOTs authority to assess penalties when contractors knowingly claim expressly unallowable costs.	FHWA			Partial Concur	12/31/2015
212	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Revise the CFR to assign specific responsibility and accountability for overseeing audit work performed by CPA firms hired by D&E firms.	FHWA			Concur	12/31/2015
213	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Establish a process for monitoring and ensuring that state DOTs implement Section 307.	FHWA			Concur	12/31/2015
214	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Recover the \$2.8 million in unallowable executive compensation and \$1.6 million in other unallowable indirect charges.	FHWA		\$4,400,000	Concur	12/31/2015
215	MH2010039 Assessment of FHWA Oversight of the Highway Bridge Program and the National Bridge Inspection Program	1/14/2010	Collect and analyze HBP expenditure data on a regular basis to identify activities undertaken by states such as bridge replacement and rehabilitation to improve the condition of the Nation's deficient bridges.	FHWA			Concur	2/29/2016
216	MH2010039 Assessment of FHWA Oversight of the Highway Bridge Program and the National Bridge Inspection Program	1/14/2010	Report regularly to internal and external stakeholders on the effectiveness of states' efforts to improve the condition of the Nation's deficient bridges based on the analysis of HBP expenditure data and an evaluation of progress made in achieving performance targets.	FHWA			Concur	2/29/2016
217	SA2011154 Government of Guam	8/18/2011	We recommend that FHWA ensure the Government of Guam complies with Equipment and Real Property Management requirements, and conduct a physical inventory of all equipment.	FHWA			Concur	4/1/2016
218	ZA2012084 Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Mandate the confidentiality of potential and actual bidders' names and engineer's estimates, as currently recommended in FHWA's competitive bidding and contract award guidance.	FHWA			Partial Concur	3/31/2016

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219	ZA2012084 Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Implement policies and procedures for ensuring that each State DOT establishes and uses a written, FHWA-approved plan for evaluating competition. These plans should address: assessing bidder interest levels, evaluating and documenting decisions on bids that vary significantly from the engineer's estimate, conducting and documenting bid analysis, identifying and mitigating perceived barriers to increasing competition, and adequately documenting final award decisions.	FHWA			Concur	12/1/2016
220	ZA2012084 Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Develop and implement effective performance measures and metrics to assess and trend State DOT contract award practices, document concerns, and share best practices with other State DOTs.	FHWA			Concur	12/1/2016
221	ZA2012084 Lessons Learned from ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Establish standard FHWA Division Office requirements for performing and documenting oversight of State contracting activity, including stewardship agreement requirements for (a) FHWA approval of procurement policies and procedures and (b) FHWA verification that State DOTs have determined a potential winning bidder's status on the Excluded Parties Listing System list prior to contract award.	FHWA			Concur	3/31/2016
222	SA2012163 Mescalero Apache Tribe, New Mexico	7/30/2012	We recommend FHWA ensure that the Tribe complies with Allowable Costs/Cost Principles requirements.	FHWA			Concur	7/8/2014
223	SA2012163 Mescalero Apache Tribe, New Mexico	7/30/2012	We recommend FHWA ensure the Tribe complies with Reporting requirements.	FHWA			Concur	7/8/2014
224	SA2012164 St. Croix Chippewa Indians of Wisconsin	7/30/2012	We recommend FHWA ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	FHWA			Concur	7/8/2014
225	SA2012183 Confederated Tribes of the Urban Springs Reservation of Oregon	9/17/2012	We recommend FHWA ensure the Tribes comply with Federal Financial Reporting requirements.	FHWA			Concur	7/8/2014
226	MH2013001 Improvements to Stewardship and Oversight Agreements Are Needed To Enhance Federal-aid Highway Program Management	10/1/2012	Establish basic Agreement requirements and standards that include Federal requirements, FHWA program risks, and priorities.	FHWA			Partial Concur	3/1/2016

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227	MH2013001 Improvements to Stewardship and Oversight Agreements Are Needed To Enhance Federal-aid Highway Program Management	10/1/2012	Enforce the requirement for Directors of Field Services to sign Agreements, as specified in FHWA's Delegation and Organization Manual, or change the Delegation and Organization Manual to allow Division Administrators to sign the Agreements and require Directors of Field Services to formally document elsewhere that they reviewed and approved the Agreements.	FHWA			Partial Concur	3/1/2016
228	SA2013022 Pueblo of Zia, New Mexico	11/19/2012	We recommend FHWA ensure the Pueblo of Zia complies with ARRA Reporting requirements.	FHWA			Concur	7/8/2014
229	SA2013041 Government of the United States Virgin Islands	2/12/2013	We recommend that FHWA ensure the Government of the U.S. Virgin Islands complies with Cash Management requirements.	FHWA			Concur	6/30/2016
230	SA2013105 Pueblo of Pojoaque, New Mexico	7/12/2013	We recommend FHWA recover \$233,610 from the Pueblo, if applicable.	FHWA		\$233,610	Concur	1/13/2014
231	SA2013111 Cheyenne River Sioux Tribe, South Dakota	7/12/2013	We recommend FHWA ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	FHWA			Concur	7/8/2014
232	SA2013111 Cheyenne River Sioux Tribe, South Dakota	7/12/2013	We recommend FHWA recover \$199,333 from the Tribe, if applicable.	FHWA		\$199,333	Concur	7/8/2014
233	SA2013127 Government of Guam	9/13/2013	We recommend FHWA ensure the Government of Guam complies with Equipment and Real Property Management requirements.	FHWA			Concur	4/1/2016
234	MH2014003 Opportunities Exist to Strengthen FHWA's Coordination, Guidance, and Oversight of the Tribal Transportation Program	10/30/2013	Coordinate with BIA to update the Memorandum of Agreement and Stewardship Plan to reflect FLH's role to directly assist tribes, and define coordination between FLH and BIA regional offices.	FHWA			Concur	3/31/2016
235	MH2014003 Opportunities Exist to Strengthen FHWA's Coordination, Guidance, and Oversight of the Tribal Transportation Program	10/30/2013	Coordinate with BIA to revise the TTP regulation to reflect FLH's role to directly assist tribes and clarify the requirements for allowable uses of funds.	FHWA			Concur	3/1/2016
236	MH2014003 Opportunities Exist to Strengthen FHWA's Coordination, Guidance, and Oversight of the Tribal Transportation Program	10/30/2013	Revise Tribal Transportation Improvement Program guidance to ensure consistent definitions of key terminology, particularly financial constraint, and require tribes to provide more detailed information on project scope and funding sources.	FHWA			Concur	3/1/2016
237	SA2014045 Spirit Lake Tribe, North Dakota	5/21/2014	Recover \$17,190 from the Tribe, if applicable.	FHWA		\$17,190	Concur	11/21/2014

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238	MH2014058 FHWA's Workforce Planning Processes Generally Align With Best Practices, But Some Components Are Inconsistently Implemented or Lack MAP-21 Consideration	6/19/2014	Conduct workforce plans for individual FHWA offices, including each Division Office, based on its guidance.	FHWA			Concur	12/31/2015
239	SA2014073 Commonwealth of the Northern Mariana Island	8/1/2014	Recover \$12,515 from the Commonwealth, if applicable.	FHWA		\$12,515	Concur	2/28/2016
240	SA2014081 Government of the United States Virgin Islands	8/1/2014	Ensure the Government of the U.S. Virgin Islands complies with Cash Management Requirements.	FHWA			Concur	6/30/2016
241	SA2014082 State of Florida	8/1/2014	Ensure the State complies with the Activities Allowed or Unallowed and Allowable Cost/Cost Principles Requirements.	FHWA			Concur	3/1/2016
242	SA2014084 State of Georgia	8/1/2014	Ensure the State complies with Subrecipient Monitoring Requirements.	FHWA			Concur	7/30/2016
243	MH2014089 FHWA Has Not Fully Implemented All MAP-21 Bridge Provisions and Prior OIG Recommendations	8/21/2014	Included a summary of the cost to replace structurally deficient bridges as part of FHWA's required bridge inventory report to Congress.	FHWA			Concur	3/1/2016
244	SA2014099 State of Hawaii Department of Transportation Highway Division	9/10/2014	We recommend FHWA ensure the Division complies with Allowable Costs/Cost Principles Requirements and recover \$111,284 from the Division, if applicable.	FHWA		\$111,284	Concur	2/1/2016
245	SA2014111 Government of Guam	9/12/2014	We recommend FHWA ensure the Government of Guam complies with Equipment and Real Property Management Requirements.	FHWA			Concur	4/1/2016
246	SA2014116 State of Illinois	9/12/2014	Ensure the State complies with Special Tests and Provisions Requirements.	FHWA			Concur	4/1/2016
247	SA2014116 State of Illinois	9/12/2014	Ensure the State complies with Information System Requirements.	FHWA			Concur	4/1/2016
248	SA2014116 State of Illinois	9/12/2014	We recommend FHWA ensure the State complies with Davis-Bacon Requirements.	FHWA			Concur	4/1/2016
249	SA2014123 United States Virgin Island	9/17/2014	We recommend FHWA ensure the USVI complies with Cash Management Requirements.	FHWA			Concur	6/30/2016
250	ST2015018 FHWA Met Basic Requirements but Can Strengthen Guidance and Controls for Financial and Project Management Plans	1/27/2015	Develop and implement controls to ensure that FHWA reviews and accepts the initial financial plan before authorizing Federal funds for major project construction.	FHWA			Concur	12/31/2016

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251	ST2015018 FHWA Met Basic Requirements but Can Strengthen Guidance and Controls for Financial and Project Management Plans	1/27/2015	Develop and implement controls to ensure that all Division Offices follow FHWA's financial plan and project management plan guidance when overseeing major projects. Specifically, these controls should ensure that: a) cost estimate reviews assess all major project cost elements, and these cost elements are documented in detail; b) any changes to major project costs between the cost estimate review workshop and the approval of the initial financial plan are documented; c) States submit integrated project schedules that clearly identify the project's critical path, and FHWA uses them to monitor project progress; and d) annual financial plan updates provide updated information on project risks and mitigation strategies.	FHWA			Concur	12/31/2016
252	ST2015018 FHWA Met Basic Requirements but Can Strengthen Guidance and Controls for Financial and Project Management Plans	1/27/2015	Develop and implement controls to ensure that FHWA Division Offices verify that there is reasonable assurance of sufficient toll-based financing, if applicable, before accepting a project's initial financial plan.	FHWA			Concur	12/31/2016
253	ST2015018 FHWA Met Basic Requirements but Can Strengthen Guidance and Controls for Financial and Project Management Plans	1/27/2015	Clarify financial plan guidance by: a) defining when States are required to develop baseline project cost estimates and baseline project schedules, as well as specify the level of detail required for these baselines; and b) defining when guidance requirements apply to specific project delivery methods or projects involving alternative financing mechanisms, such as TIFIA loans.	FHWA			Concur	12/31/2016
254	ST2015018 FHWA Met Basic Requirements but Can Strengthen Guidance and Controls for Financial and Project Management Plans	1/27/2015	Strengthen project management plan guidance by: a) defining what constitutes a significant change that would trigger a project management plan update, including examples; and b) requiring periodic, documented assessments of States' implementation of their project management plans to ensure that States fulfill commitments detailed in their plans.	FHWA			Concur	12/31/2016
255	SA2015021 Klawock Cooperative Association, Klawock, Alaska	2/6/2015	We recommend FHWA recover \$16,653 from the Association, if applicable.	FHWA		\$16,653	Concur	3/1/2016
256	SA2015024 Jicarilla Apache Nation, Dulce, New Mexico	2/6/2015	We recommend FHWA recover \$9,548 from Jicarilla Apache Nation, if applicable.	FHWA		\$9,548	Concur	2/1/2016

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257	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Revise the quality assurance review process to fully communicate the results of the annual reviews to appropriate Division Offices and track the actions taken to address its recommendations.	FHWA			Concur	6/1/2016
258	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Revise Bridge Program Manual guidance to specify how Division Offices should combine and report results when separate assessments of the National Bridge Inspection Standards oversight metrics are performed.	FHWA			Concur	6/1/2016
259	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Establish a process for Division Offices to promptly inform the FHWA Headquarters Office of Bridges and Structures when additional resources are needed to complete a review of the State's bridge inspection program and for the Office of Bridges and Structures to coordinate the necessary support.	FHWA			Concur	1/31/2016
260	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Develop and implement a comprehensive risk management process for NBIPOT to identify, report, and track mitigation actions for high-priority risks to bridge safety at the national level. The process should incorporate best practices consistent with FHWA's risk management framework.	FHWA			Concur	1/31/2016
261	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Establish a consolidated source of guidance on documenting the National Bridge Inspection Standards oversight reviews in the Assessment Reporting Tool that allows Division Offices to easily identify or locate relevant information.	FHWA			Concur	6/1/2016
262	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Implement a national plan that outlines steps for Division Offices to expedite ARRA project closeouts. This plan should include a mechanism to ensure up-to-date estimates of project completion and close-out dates for the remaining active ARRA projects.	FHWA			Concur	5/31/2016
263	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Develop and implement a mechanism to track States' backlogs of project closeouts for both ARRA and non-ARRA Federal-aid projects.	FHWA			Concur	5/31/2016
264	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Develop and implement a national strategy to work with the States to reduce annual backlogs of project closeouts.	FHWA			Concur	5/31/2016

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265	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Address all project close-out recommendations made in the 2013 and 2014 PMIT reviews.	FHWA			Concur	5/31/2016
266	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Monitor project close-out timeliness by developing and implementing national close-out timeframes and performance measures.	FHWA			Concur	5/31/2016
267	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	After implementation of national close-out timeframes and performance measures, review each Division Office's Standard Operating Procedures to assess consistency with FHWA's national policy.	FHWA			Concur	5/31/2016
268	ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Develop and implement a standard definition for the project completion date field in FMIS and require States to manually enter the project completion date into FMIS.	FHWA			Concur	5/31/2016
269	SA2015048 State of Arizona, Phoenix, Arizona	6/17/2015	We recommend FHWA ensure the State complies with the Allowable Costs/Cost Principles Requirements.	FHWA			Concur	4/1/2016
270	SA2015050 Stillaguamish Tribe of Indians, Arlington, Washington	6/17/2015	We recommend FHWA ensure the Tribe complies with the Procurement Requirements.	FHWA			Concur	4/1/2016
271	SA2015050 Stillaguamish Tribe of Indians, Arlington, Washington	6/17/2015	We recommend FHWA recover \$519,509 from the Tribe, if applicable.	FHWA		\$519,509	Concur	4/1/2016
272	SA2015052 Wyoming Department of Transportation, Cheyenne, Wyoming	6/17/2015	We recommend FHWA ensure the Department complies with the Reporting Requirements.	FHWA			Concur	3/1/2016
273	SA2015053 State of Alaska, Juneau, Alaska	6/17/2015	We recommend FHWA ensure the State complies with the Allowable Costs/Cost Principles Requirements.	FHWA			Concur	9/1/2016
274	SA2015053 State of Alaska, Juneau, Alaska	6/17/2015	We recommend FHWA recover \$16,981 from the State, if applicable.	FHWA		\$16,981	Concur	1/15/2016
275	SA2015055 State of Texas, Comptroller of Public Accounts, Austin, Texas	6/17/2015	We recommend FHWA ensure the State complies with the Davis-Bacon Act Requirements.	FHWA			Concur	9/1/2016
276	SA2015055 State of Texas, Comptroller of Public Accounts, Austin, Texas	6/17/2015	We recommend FHWA recover ensure the State complies with the Real Property Acquisition and Relocation Assistance and Special Tests and Provisions Requirements.	FHWA			Concur	3/1/2016
277	SA2015055 State of Texas, Comptroller of Public Accounts, Austin, Texas	6/17/2015	We recommend FHWA ensure the State complies with the Sub recipient Monitoring and Special Tests Provisions Requirements.	FHWA			Concur	5/1/2016
278	SA2015055 State of Texas, Comptroller of Public Accounts, Austin, Texas	6/17/2015	We recommend FHWA recover \$76,655 from the State, if applicable.	FHWA		\$76,655	Concur	12/17/2015

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279	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FHWA ensure the State complies with the Activities Allowed or Unallowed and Allowable Costs/Cost Principles Requirements.	FHWA			Concur	1/15/2016
280	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FHWA ensure the State complies with the Matching, Level of Effort, and Earmarking Requirements.	FHWA			Concur	1/15/2016
281	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FHWA ensure the State complies with the Procurement and Suspension and Debarment Requirements.	FHWA			Concur	5/1/2016
282	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA			Concur	5/1/2016
283	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FHWA recover \$431,821 from the State, if applicable.	FHWA		\$431,821	Concur	2/1/2016
284	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FHWA recover \$8,399 from the State, if applicable.	FHWA		\$8,399	Concur	2/1/2016
285	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FHWA recover \$3,626,721 from the State, if applicable.	FHWA		\$3,626,721	Concur	2/1/2016
286	ST2015083 FHWA's FIRE Program is Addressing State Vulnerabilities But Opportunities Exist to Make Improvements	9/1/2015	Develop and implement a mechanism to oversee Division Administrators' decision making process to validate that all material weaknesses have been reported and that materiality has been appropriately assessed.	FHWA			Concur	6/30/2016
287	ST2015083 FHWA's FIRE Program is Addressing State Vulnerabilities But Opportunities Exist to Make Improvements	9/1/2015	Require Division Offices to keep complete records for key training related to the FIRE Program and track this information in a centralized system.	FHWA			Concur	6/30/2016
288	ST2015083 FHWA's FIRE Program is Addressing State Vulnerabilities But Opportunities Exist to Make Improvements	9/1/2015	Require Division Offices to clearly document how the financial management reviews responded to the risk assessments or other internal control weaknesses.	FHWA			Concur	6/30/2016
289	ST2015083 FHWA's FIRE Program is Addressing State Vulnerabilities But Opportunities Exist to Make Improvements	9/1/2015	Require Division Offices to transfer open, pre-existing FMR recommendations and corrective action plans to INPUT.	FHWA			Concur	3/31/2016
290	SA2015088 State of Georgia, Atlanta, Georgia	9/14/2015	We recommend FHWA ensure the State complies with the Davis-Bacon Act Requirements.	FHWA			Concur	1/30/2016
291	SA2015088 State of Georgia, Atlanta, Georgia	9/14/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA			Concur	7/30/2016
292	SA2015089 State of Indiana, Indianapolis, Indiana	9/14/2015	We recommend FHWA ensure the State complies with the Davis-Bacon Act Requirements.	FHWA			Concur	1/15/2016

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293	SA2015089 State of Indiana, Indianapolis, Indiana	9/14/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA			Concur	1/15/2016
294	SA2015093 State of North Dakota, Bismarck, North Dakota	9/14/2015	We recommend FHWA ensure the State complies with the Matching, Level of Effort, Earmarking Requirements.	FHWA			Concur	3/1/2016
295	SA2015093 State of North Dakota, Bismarck, North Dakota	9/14/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA			Concur	3/1/2016
296	SA2015095 State of Florida, Tallahassee, Florida	9/15/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA			Concur	3/15/2016
297	SA2015095 State of Florida, Tallahassee, Florida	9/15/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA			Concur	3/15/2016
298	SA2015098 Government of the District of Columbia, Washington, DC	9/15/2015	We recommend FHWA ensure the Government complies with the Procurement and Suspension and Debarment Requirements.	FHWA			Concur	3/1/2016
299	SA2015099 Metropolitan Council of the Twin Cities Area, St Paul, Minnesota	9/15/2015	We recommend FTA ensure the Council complies with the Subrecipient Monitoring Requirements.	FHWA			Concur	3/15/2016
300	SA2015102 State of Colorado, Denver, Colorado	9/21/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA			Concur	9/1/2016
301	SA2015103 State of Wisconsin, Madison, Wisconsin	9/21/2015	We recommend FHWA ensure the State complies with the Allowable Costs/Cost Principles Requirements.	FHWA			Concur	1/31/2016
302	SA2015103 State of Wisconsin, Madison, Wisconsin	9/21/2015	We recommend FHWA to determine how much of the \$124,300 of Questioned Cost reported is related to Excess Balances and Lapses from Internal Service Funds Accounts, and Individually Billable Cost Pools and recover from the State, if applicable.	FHWA		\$1	Concur	1/31/2016
303	SA2015104 State of Illinois, Springfield, Illinois	9/21/2015	We recommend FHWA ensure the State complies with the Davis-Bacon Act Requirements.	FHWA			Concur	3/21/2016
304	SA2015104 State of Illinois, Springfield, Illinois	9/21/2015	We recommend FHWA ensure the State complies with the Activities Allowed or Unallowed Requirements.	FHWA			Concur	3/21/2016
305	SA2015104 State of Illinois, Springfield, Illinois	9/21/2015	We recommend FHWA ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA			Concur	3/1/2016

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306	SA2015104 State of Illinois, Springfield, Illinois	9/21/2015	We recommend OST ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA			Concur	3/1/2016
307	SA2015104 State of Illinois, Springfield, Illinois	9/21/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA			Concur	3/1/2016
308	SA2015107 State of Rhode Island and Providence Plantations, Providence, Rhode Island	9/21/2015	We recommend FHWA ensure the State complies with the Special Tests and Provisions Requirements.	FHWA			Concur	3/21/2016
309	SA2015109 State of Michigan, Lansing, Michigan	9/22/2015	We recommend FHWA ensure the State complies with the Activities Allowed or Unallowable and Allowable Costs/Cost Principles Requirements.	FHWA			Concur	3/20/2016
310	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2014 - Department of Transportation	11/16/2015	KPMG recommended that FHWA establish procedures and controls over the accrual period revalidation process, including policies to regularly revalidate the accrual periods.	FHWA			Concur	Pending
311	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2014 - Department of Transportation	11/16/2015	KPMG recommended that FHWA develop survey questions that more closely align with the relevant data necessary to determine the accrual periods for the four expenditure categories.	FHWA			Concur	Pending
312	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2014 - Department of Transportation	11/16/2015	KPMG recommended that FHWA document the methodology of how the survey responses are used to determine the accrual period. When a deviation from the standard methodology is necessary; document the reasoning and maintain evidence to support the deviation.	FHWA			Concur	Pending
313	MH2012087 Timely and Targeted FMCSA Action is Needed to Fully Address National Transportation Safety Recommendations for Improving Passenger Carrier Oversight	4/17/2012	Work with the National Highway Traffic Safety Administration and U.S. Customs and Border Protection to develop and implement a risk-based solution, in compliance with the National Traffic and Motor Vehicle Safety Act of 1966, to target enforcement against U.S.-domiciled passenger carriers whose vehicles do not meet Federal Motor Vehicle Safety Standards.	FMCSA			Concur	12/31/2015
314	MH2014007 Improvements Needed in FMCSA's Plan for Inspecting Buses At The United States-Mexico Border	11/26/2013	Negotiate a written agreement with United States Customs and Border Protection, at the Headquarters level, to establish standard inspection protocols for safe and efficient bus inspections across the border.	FMCSA			Concur	12/31/2015

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315	CR2012072 FRA Has Made Progress in Implementing PRIIA Responsibilities But Challenges for Long-Term HSIPR Remain	3/6/2012	Complete the National Rail Plan and include in it measurable performance goals and clear stakeholder roles.	FRA			Partial Concur	12/31/2015
316	CR2012072 FRA Has Made Progress in Implementing PRIIA Responsibilities But Challenges for Long-Term HSIPR Remain	3/6/2012	Publish final rules for PRIIA grant programs that include clear, detailed directions for prospective applicants.	FRA			Concur	7/15/2020
317	SA2013134 National Railroad Passenger Corporation, AMTRAK	9/13/2013	We recommend FRA ensure that AMTRAK complies with Cash Management requirements.	FRA			Concur	7/30/2015
318	SA2013134 National Railroad Passenger Corporation, AMTRAK	9/13/2013	We recommend FRA ensure that AMTRAK complies with Special Tests and Provisions requirements.	FRA			Concur	7/30/2015
319	CR2014010 National Environmental Policy Act: FRA Coordinates As Required But Opportunities Exist to Modernize Procedures and Improve Project Delivery	12/5/2013	Update NEPA implementing procedures to reflect applicable environmental law and requirements and CEQ guidance, including the development of processes and timelines for updating categorical exclusions according to CEQ recommendations.	FRA			Concur	3/31/2016
320	FI2014033 Inadequate Planning, Limited Revenue, and Rising Costs Undermine Efforts to Sustain Washington, DC's Union Station	4/1/2014	We also recommend that the Federal Railroad Administrator: define and communicate the extent of FRA's authority in the authority having jurisdiction (AHJ) role to the appropriate parties; designate individuals or offices within FRA to assume responsibility for AHJ tasks; and oversee compliance with building and safety codes, and their process for reviewing and enforcing building code and safety issues that may arise.	FRA			Concur	12/31/2015
321	FI2014033 Inadequate Planning, Limited Revenue, and Rising Costs Undermine Efforts to Sustain Washington, DC's Union Station	4/1/2014	We recommend that the Secretary and the Federal Railroad Administrator, or their designees, as Chair and member of the Union Station Redevelopment Corporation Board of Directors pursue actions to: Update Union Station Redevelopment Corporation's Union Station Master Plan to include coordination with Amtrak, Akridge, and other related stakeholders.	FRA			Concur	9/30/2015
322	SA2014114 State of Missouri	9/12/2014	We recommend FRA ensure the State complies with Davis-Bacon Act Requirements.	FRA			Concur	3/30/2016
323	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that DOT complete the investigation into potential additional Anti-Deficiency Act violations at the FRA.	FRA			Concur	10/1/2016

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324	SA2015032 National Railroad Passenger Corporation and Subsidiaries (Amtrak), Washington, D.C.	3/2/2015	We recommend FRA ensure that Amtrak complies with Cash Management Requirements.	FRA			Concur	9/2/2015
325	SA2015032 National Railroad Passenger Corporation and Subsidiaries (Amtrak), Washington, D.C.	3/2/2015	We recommend FRA ensure that Amtrak complies with Special Tests and Provisions Requirements.	FRA			Concur	9/2/2015
326	ST2015038 FRA Improved Its Guidance on High Speed Rail Grant Agreements, but Policies and Procedures for Amending and Monitoring Grants Remain Incomplete	4/1/2015	Document Agency policy and procedures for prevention of Antideficiency Act violations in HSIPR grant amendments.	FRA			Concur	12/31/2015
327	SA2015067 Commonwealth of Massachusetts, Boston, Massachusetts	7/20/2015	We recommend FRA ensure the Commonwealth complies with Subrecipient Monitoring Requirements.	FRA			Concur	1/20/2016
328	SA2015087 State of California, Sacramento, California	9/14/2015	We recommend FRA ensure the State complies with the Cash Management Requirements.	FRA			Concur	3/14/2016
329	SA2015087 State of California, Sacramento, California	9/14/2015	We recommend FRA ensure the State complies with the Davis-Bacon Act Requirements.	FRA			Concur	3/14/2016
330	SA2015087 State of California, Sacramento, California	9/14/2015	We recommend FRA ensure the State complies with the Reporting Requirements.	FRA			Concur	3/14/2016
331	SA2015092 State of North Carolina, Raleigh, North Carolina	9/14/2015	We recommend FRA ensure the State complies with the Davis-Bacon Act Requirements.	FRA			Concur	3/14/2016
332	SA2015092 State of North Carolina, Raleigh, North Carolina	9/14/2015	We recommend FRA ensure the State complies with the Reporting Requirements.	FRA			Concur	3/14/2016
333	SA2015104 State of Illinois, Springfield, Illinois	9/21/2015	We recommend FRA ensure the State complies with Reporting Requirements.	FRA			Concur	3/21/2016
334	SA2015109 State of Michigan, Lansing, Michigan	9/22/2015	We recommend FRA ensure the State complies with the Activities Allowed or Unallowable and Allowable Costs/Cost Principles Requirements.	FRA			Concur	3/22/2016
335	SA2015109 State of Michigan, Lansing, Michigan	9/22/2015	We recommend FRA ensure the State complies with the Reporting Requirements.	FRA			Concur	3/22/2016
336	SA2015109 State of Michigan, Lansing, Michigan	9/22/2015	We recommend FRA ensure the State complies with the Subrecipient Monitoring Requirements.	FRA			Concur	3/22/2016
337	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2014 - Department of Transportation	11/16/2015	KPMG recommended that DOT complete the investigation into potential additional Anti-Deficiency Act violations at the FRA.	FRA			Concur	Pending
338	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2014 - Department of Transportation	11/16/2015	KPMG recommended that DOT implement appropriate policies and procedures to prevent future violations.	FRA			Concur	Pending
339	QC2007057 Washington Metropolitan Area Transit Authority	7/18/2007	We recommend that FTA ensure the Authority update and modify the security controls at the bus divisions to prevent or detect unauthorized entry.	FTA			Concur	5/31/2016

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340	SA2011069 Washington Metropolitan Area Transit Authority	3/23/2011	We recommend FTA ensure the Authority implement security controls and devices to ensure that equipment is properly safeguarded.	FTA			Concur	5/31/2016
341	SA2011124 State of Tennessee	6/13/2011	We recommend FTA recover \$23,511 from the State.	FTA		\$23,511	Concur	5/16/2016
342	SA2011124 State of Tennessee	6/13/2011	We recommend that FTA determine the allowability of the reimbursement requests and recover \$79,021 from the State, if applicable.	FTA		\$79,021	Concur	5/16/2016
343	SA2012103 State of Tennessee	5/2/2012	We recommend FTA recover \$17,867 from the State.	FTA		\$17,867	Concur	5/16/2016
344	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Federal Transit Administrator develop performance measures to assess the effectiveness of the outcomes of its overall Oversight Program, in addition to the timeliness of program outputs currently measured.	FTA			Concur	2/29/2016
345	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Federal Transit Administrator develop policies and procedures, including oversight mechanisms, to verify that regions do not close findings before they receive documentation showing that a finding has been resolved fully.	FTA			Concur	2/29/2016
346	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Federal Transit Administrator revise and finalize policies and procedures for using remedies and sanctions, including application of a risk-base approach for their use.	FTA			Concur	2/29/2016
347	MH2014008 Initial Assessment of FTA's Oversight of the Emergency Relief Program and Hurricane Sandy Relief Funds	12/3/2013	Finalize ERP guidance that incorporates, as appropriate, lessons learned from emergency and best practices from Departmental and other Federal emergency relief guidance.	FTA			Concur	10/31/2015
348	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	We recommend that FTA continue with plans to add FMS into the SIEM tool.	FTA			Concur	9/30/2014
349	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Prior to the implementation of SIEM, we recommend that FTA implement policies and procedures to formally document and track audit logs reviews of FMS, including a date and time stamp with the reviewers' electronic signature.	FTA			Concur	9/30/2014

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350	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	We recommend that DOT or FTA: Emphasize, through training, the importance of Inspector General Act of 1978, as amended and DOT Order 8000.6B to ensure that all FTA employees understand the provisions of the laws and regulations when responding to Office of Inspector General auditor's inquiries and requests.	FTA			Concur	9/30/2014
351	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	We recommend that DOT or FTA: Perform a review of FTA's control environment using one of the various tools (available from the GAO, or organizations such as the Committee of Sponsoring Organizations of the Treadway Commission – COSO) to assess entity level control effectiveness at FTA. Based on the outcome of this review, take steps to improve the control environment of FTA, including establishing management oversight functions that ensure effective internal controls over financial reporting.	FTA			Concur	9/30/2014
352	ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	We recommend that Federal Transit Administrator ensure that MWAA implements a process to maintain sufficient required accounting documents, including: a. A checklist for required supporting documentation - such as checks, payrolls, invoices, contracts, and other documents related to the project - for use prior to submitting claims; b. Procedures to store documents in a manner that will be readily accessible; and c. A process to maintain an accurate list of federally funded contracts and to ensure these contracts include FTA requirements.	FTA			Concur	1/31/2016
353	ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	We recommend that the Federal Transit Administrator ensure that MWAA: Revises its policies for travel reimbursement, purchase cards transactions, and rail project invoices to include FTA requirements; and provides training to MWAA staff on these policy revisions.	FTA			Concur	1/31/2016

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354	ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	Recover payments from MWAA for unsupported and unallowable costs identified in this report and in FTA's Financial Management Oversight reviews.	FTA		\$36,119,000	Concur	1/31/2016
355	SA2014023 Puerto Rico Highways and Transportation Authority	1/23/2014	Ensure the Authority prepares its SEFA in a timely manner.	FTA			Concur	3/31/2016
356	SA2014023 Puerto Rico Highways and Transportation Authority	1/23/2014	Ensure the Authority submits its DCF and its Single Audit report in a timely manner.	FTA			Concur	3/31/2016
357	FI2014034 ARRA Lessons Learned: FTA Needs to Improve Its Grant Oversight to Prevent Improper Payments	4/2/2014	Implement preventive measures to guard against improper payments, such as periodically requesting payment documentation (i.e. force account plans and current contracts), prior to reimbursing grantees for expenditures.	FTA			Partial Concur	12/31/2015
358	SA2014095 State of Tennessee	9/8/2014	Ensure the State complies with Allowable Costs/Cost Principles Requirements and recover \$46,167 from the State; if applicable	FTA		\$46,167	Concur	2/29/2016
359	MH2014117 FTA's National Transit Database: Data Used for Allocating Transit Grants Were Generally Supported	9/16/2014	Revise triennial review procedures to include an assessment of transit agencies' supporting documentation and controls for NTD data used in the Urbanized Area Formula Program.	FTA			Concur	9/30/2016
360	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of FTA develop procedures and controls to address the provisioning of access and system audit log review control deficiencies identified in the FTA financial IT systems.	FTA			Concur	10/1/2016
361	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer FTA Monitor progress to ensure that procedures and controls are appropriately designed, implemented, and maintained.	FTA			Concur	10/1/2016
362	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that DOT improve its general information technology controls at FTA, as noted above, to ensure that DOT's financial management systems comply with the requirements of the FFMIA.	FTA			Concur	10/1/2016

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363	QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommends that FTA revise its grant accrual retrospective review to ensure that the retrospective review is performed with the appropriate level of precision and all data inputs (FFR reporting, UDO balances, grant disbursements) are reasonable and based on relevant and reliable data in order to ensure that all adjustments to the grant accrual or methodology are properly calculated and supported.	FTA			Partial Concur	10/1/2016
364	ST2015046 FTA Has Not Full Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts	6/12/2015	Implement enhanced review processes for ERP grant applications and grant award approvals that are aligned with the ERP Toolkit's checklists and require documentation in FTA's grant management system in accordance with Federal internal control standards guidance.	FTA			Concur	12/31/2015
365	ST2015046 FTA Has Not Full Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts	6/12/2015	Enhance internal control processes for future force account funding by establishing clear funding criteria for future emergency relief efforts, which include the specific types of applicant documentation required to receive this funding.	FTA			Concur	12/31/2015
366	ST2015046 FTA Has Not Full Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts	6/12/2015	Improve FTA's risk assessment process for future grantee and project risk assessments by: a.) establishing criteria for assigning low, medium, and high risks and b.) requiring documentation that allows others to understand how these criteria inform specific risk assessment ratings and, if applicable, the reason(s) and decision-making for different risk levels assigned to grantee risk assessments and the grantees' project risk assessments.	FTA			Concur	12/31/2015
367	ST2015046 FTA Has Not Full Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts	6/12/2015	Develop and implement enhanced controls to ensure that monthly ERP FFR and MPR review processes, as outlined in the ERP Toolkit, are fully implemented by regional office personnel and documentation is aligned with Federal internal control standards guidance.	FTA			Concur	12/31/2015

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368	ST2015046 FTA Has Not Full Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts	6/12/2015	Formalize FTA's process for coordination with FEMA to avoid duplicative payments in providing emergency and disaster-related assistance.	FTA			Concur	12/31/2015
369	SA2015052 Wyoming Department of Transportation, Cheyenne, Wyoming	6/17/2015	We recommend FTA ensure the Department complies with the Reporting Requirements.	FTA			Concur	2/17/2016
370	SA2015060 City of Albuquerque, New Mexico	6/17/2015	We recommend FTA ensure the City complies with the Equipment and Real Property Management Requirements.	FTA			Concur	2/17/2016
371	SA2015060 City of Albuquerque, New Mexico	6/17/2015	We recommend FTA ensure the City complies with the Procurement and Suspension and Debarment Requirements.	FTA			Concur	2/17/2016
372	SA2015060 City of Albuquerque, New Mexico	6/17/2015	We recommend FTA ensure the City complies with the Allowable Costs/Cost Principles Requirements.	FTA			Concur	2/17/2016
373	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FTA ensure the State complies with the Activities Allowed or Unallowed and/or Allowable Costs/Cost Principles Requirements.	FTA			Concur	12/17/2015
374	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	We recommend FTA recover \$268,352 (\$258,022 and \$10,330) from the State, if applicable.	FTA		\$268,352	Concur	6/17/2016
375	SA2015062 New Mexico Department of Transportation, Santa Fe, New Mexico	6/17/2015	We recommend FTA ensure the Department complies with the Reporting Requirements.	FTA			Concur	12/17/2015
376	SA2015068 State of Nebraska, Lincoln, Nebraska	7/20/2015	We recommend FTA ensure the State complies with the Subrecipient Monitoring Requirements.	FTA			Concur	1/20/2016
377	SA2015068 State of Nebraska, Lincoln, Nebraska	7/20/2015	We recommend FTA ensure the State complies with the Earmarking Requirements.	FTA			Concur	1/20/2016
378	SA2015068 State of Nebraska, Lincoln, Nebraska	7/20/2015	We recommend FTA recover \$79,629 from the State, if applicable.	FTA		\$79,629	Concur	1/20/2016
379	SA2015069 City of El Paso, Texas	7/20/2015	We recommend FTA ensure the City complies with the Subrecipient Monitoring Requirements.	FTA			Concur	1/20/2016
380	SA2015069 City of El Paso, Texas	7/20/2015	We recommend FTA recover \$130,930 (\$27,690 on Finding 002 and \$103,240 on Finding 003) from the City, if applicable.	FTA		\$130,930	Concur	1/20/2016
381	SA2015070 Capital Metropolitan Transit Authority, Austin, Texas	7/20/2015	We recommend FTA ensure the Authority complies with the Reporting Requirements.	FTA			Concur	1/20/2016
382	SA2015087 State of California, Sacramento, California	9/14/2015	We recommend FTA ensure the State complies with the Reporting Requirements.	FTA			Concur	4/14/2016
383	SA2015087 State of California, Sacramento, California	9/14/2015	We recommend FTA ensure the State complies with the Subrecipient Monitoring Requirements.	FTA			Concur	4/14/2016

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384	SA2015087 State of California, Sacramento, California	9/14/2015	We recommend FTA ensure the State complies with the Equipment and Real Property Management Requirements.	FTA			Concur	4/14/2016
385	SA2015092 State of North Carolina, Raleigh, North Carolina	9/14/2015	We recommend FTA ensure the State complies with the Special Tests and Provisions Requirements.	FTA			Concur	3/14/2016
386	SA2015092 State of North Carolina, Raleigh, North Carolina	9/14/2015	We recommend FTA ensure the State complies with the Reporting Requirements.	FTA			Concur	3/14/2016
387	SA2015092 State of North Carolina, Raleigh, North Carolina	9/14/2015	We recommend FTA ensure the State complies with Subrecipient Monitoring Requirements.	FTA			Concur	3/14/2016
388	SA2015095 State of Florida, Tallahassee, Florida	9/15/2015	We recommend FTA ensure the State complies with the Reporting Requirements.	FTA			Concur	3/15/2016
389	SA2015099 Metropolitan Council of the Twin Cities Area, St Paul, Minnesota	9/15/2015	We recommend FTA ensure the Council complies with the Reporting Requirements.	FTA			Concur	3/15/2016
390	SA2015106 State of Oklahoma, Oklahoma City, Oklahoma	9/21/2015	We recommend FTA ensure the State complies with the Reporting Requirements.	FTA			Concur	3/21/2016
391	SA2015108 Southern CA Regional Rail Authority, Los Angeles, California	9/22/2015	We recommend FTA ensure the State complies with the Equipment and Real Property Management Requirements.	FTA			Concur	3/22/2016
392	SA2015110 Commuter Rail Division of the Regional Transportation Authority and the Northeast Illinois Regional Commuter Rail Corporation, Chicago, Illinois	9/22/2015	We recommend FTA ensure METRA complies with the Reporting Requirements.	FTA			Concur	3/22/2016
393	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2014 - Department of Transportation	11/16/2015	KPMG recommends that the Chief Information Officers of DOT and FTA develop policies, procedures and controls to address the provisioning of IT access, vulnerability management, system audit log review and change management control deficiencies identified in the FTA financial IT systems.	FTA			Concur	Pending
394	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2014 - Department of Transportation	11/16/2015	We recommend that the Chief Information Officers of DOT and FTA monitor progress to ensure that procedures and controls are appropriately designed, implemented, and maintained.	FTA			Concur	Pending
395	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2014 - Department of Transportation	11/16/2015	KPMG recommended that DOT improve its general information technology controls at FTA, as noted above, to ensure that DOT's financial management systems comply with the requirements of the FFMIA.	FTA			Concur	Pending

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396	CR2013117 MARAD Has Taken Steps To Develop a Port Infrastructure Development Program But Is Challenged in Managing Its Current Port Projects	8/2/2013	Provide a comprehensive action plan for developing a congressionally mandated Port Infrastructure Development Program (PIDP), including milestones for incorporating each of the preceding recommendations into the program. The plan should also require MARAD to prepare clear and specific budget requests that specify how the Agency would use all Federal funding received for PIDP purposes.	MARAD			Concur	12/15/2015
397	CR2013117 MARAD Has Taken Steps To Develop a Port Infrastructure Development Program But Is Challenged in Managing Its Current Port Projects	8/2/2013	Implement procedures to help ensure that MARAD's contract planning efforts comply with Federal acquisition regulations and requirements. These procedures should include establishing acquisition plans and contract administration plans in a timely manner, and maintaining supporting documentation for their rationale; and developing independent Government cost estimates, and validating cost estimates provided by entities other than MARAD.	MARAD			Concur	7/31/2015
398	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update policies and procedures to require Program and Performance Office staff to review risk profiles to ensure program managers thoroughly document risks and mitigation strategies.	MARAD			Concur	1/29/2016
399	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Provide additional training to both program managers and Internal Control Officers on thoroughly documenting risks and mitigation strategies in risk profiles.	MARAD			Concur	12/31/2015
400	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Create and implement a plan—including tasks, actions, timelines, and responsible personnel—to fully implement comprehensive competency models for mission-critical occupations.	MARAD			Concur	9/30/2016
401	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Align Headquarters' and field offices' onboarding policies and procedures to ensure consistent implementation and provision of critical information across the Agency.	MARAD			Concur	6/30/2016

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402	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update the training policies to reflect the current operating environment and to include a control mechanism to ensure all completed training is tracked in a comprehensive training repository.	MARAD			Concur	6/30/2016
403	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Contingent upon HHS' response, finalize the expansion of the number of testing-designated positions at fleet sites.	MARAD			Concur	12/29/2017
404	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Develop supplemental policies and procedures and train fleet supervisors on MARAD's procedures to handle suspected drug use.	MARAD			Concur	3/31/2016
405	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update existing MAOs in accordance with established timelines.	MARAD			Concur	12/28/2018
406	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update the MAO governing the internal directive system to assign responsibility for monitoring implementation.	MARAD			Concur	7/29/2016
407	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Develop or update policies and procedures to carry out MARAD's ship disposal responsibilities under Title 40 U.S.C. Section 548, including policies and procedures for: (a.) identifying the universe of Government-owned vessels that meet the statutory criteria for MARAD to serve as the disposal agent; (b.) notifying agencies that own these vessels of MARAD's disposal agent role; (c.) specifying into what accounts MARAD should deposit ship disposal proceeds; and (d.) specifying when and how the Maritime Administrator determines what portion of funds MARAD retains for its heritage property.	MARAD			Concur	12/30/2016

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408	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update policies and procedures for the Historic Preservation Program to include controls to prevent asset loss.	MARAD			Concur	12/31/2015
409	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Dispose of excess non-heritage assets identified in the heritage asset inventory.	MARAD			Concur	3/31/2016
410	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update VTO policies and procedures to reflect the current range of program responsibilities and processes.	MARAD			Concur	3/31/2016
411	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Modify policies and procedures to strengthen controls for Gateway Directors' oversight of TIGER grants.	MARAD			Concur	3/31/2016
412	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Provide additional guidance to fleet sites to standardize NDRF Reserve Fleet Operations' KPI data inputs, and provide more uniform measures of fleet performance.	MARAD			Concur	6/30/2016
413	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update the MARAD Internal Control Program directive to include mechanisms for communicating all management control deficiency information to the Program and Performance Office staff for entry into the tracking system.	MARAD			Concur	1/29/2016
414	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors develop and implement a dual reporting structure for the Office of Audit to both the Board and CEO in accordance with IIA standards.	MWAA			Concur	12/31/2015

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415	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	That MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement a procedure for periodic assessments of the Office of Audit's quality assurance and improvement program from an office independent from the Office of Audit. This procedure should include annually providing the results of the assessment and, if necessary, an action plan for addressing recommendations to senior management and the Board.	MWAA			Concur	12/31/2015
416	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement a policy to obtain an external peer review of MWAA's Office of Audit with senior management and the Board participation in the selection of the reviewer. The policy should include providing the results of the assessment and, if necessary, an action plan for addressing recommendations to senior management and the Board.	MWAA			Concur	12/31/2015
417	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement a procedure for issuing Office of Audit policies, including approval of the policies by senior management and the Board.	MWAA			Concur	12/31/2015

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418	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement Office of Audit policies to include the following: a. obtaining and tracking continuing professional development. b. documenting and controlling audit work paper files. c. documenting individual independence and reporting impairments and remediation of impairments. d. requiring supervisors to review and document the review of all work from planning to reporting, including the review of work papers.	MWAA			Concur	12/31/2015
419	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Amend and implement the Office of Audit's policy to cite conformance or nonconformance with standards in its audit reports.	MWAA			Concur	12/31/2015
420	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement processes for developing audit plans and conducting risk assessments, including the following: a. consulting with the CEO and other senior management officials when preparing the annual Risk Assessment and Audit Plans and ensuring that discussions and views on these matters are documented for future reference and shared with the Board of Directors. b. annually assessing and documenting auditable activities and their associated risks levels, the Office of Audit's priorities, and the basis for the prioritization.	MWAA			Concur	12/31/2015

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No.	Audit Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Management's Response	Target Action Date
421	MH2013040 NHTSA's Oversight of Mississippi's Management of Federal Highway Safety Grants Needs Strengthening	2/6/2013	Work with MOHS to develop an action plan, with milestones, to: a. Obtain technical assistance to identify and implement financial management internal controls to comply with the Grant Common Rule; Government Accountability Office Standards for Internal Control; and other applicable laws, regulations, and program compliance requirements. b. Implement improved processes to calculate reimbursement claims to NHTSA, such as an automated grants system used by other State highway safety offices. c. Obtain independent assurance that proper grant management controls and financial and accounting procedures are in place and working effectively. d. Develop guidance for monitoring the use of local officers as full-time driving under the influence officers to ensure appropriate use of Section 154 funds.	NHTSA			Concur	2/29/2016
422	MH2013040 NHTSA's Oversight of Mississippi's Management of Federal Highway Safety Grants Needs Strengthening	2/6/2013	Develop an action plan for monitoring Mississippi's grant agreements with sub-grantees, once the high-risk designation is removed, to ensure compliance with Federal requirements.	NHTSA			Concur	1/30/2017
423	SA2014099 State of Hawaii Department of Transportation Highway Division	9/10/2014	We recommend NHTSA ensure the Division complies with Cash Management Requirements.	NHTSA			Concur	2/29/2016
424	SA2015049 State of Delaware, Dover, Delaware	6/17/2015	We recommend NHTSA ensure the State complies with the Level of Effort Requirements.	NHTSA			Concur	12/16/2015
425	SA2015052 Wyoming Department of Transportation, Cheyenne, Wyoming	6/17/2015	We recommend NHTSA ensure the Department complies with the Reporting Requirements.	NHTSA			Concur	12/16/2015
426	SA2015056 Highways Division Department of Transportation, State of Hawaii	6/17/2015	We recommend NHTSA ensure the State complies with Cash Management Requirements.	NHTSA			Concur	12/16/2015
427	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop and implement a method for assessing and improving the quality of early warning reporting data.	NHTSA			Concur	5/30/2016
428	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Issue guidance or best practices on the format and information that should be included in non-dealer field reports to improve consistency and usefulness.	NHTSA			Concur	4/30/2016

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429	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Require manufacturers to develop and adhere to procedures for complying with early warning reporting requirements; and require ODI to review these procedures periodically.	NHTSA			Concur	1/31/2016
430	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop and implement internal guidance that identifies when and how to use oversight tools to enforce manufacturers' compliance with early warning reporting data requirements.	NHTSA			Concur	4/30/2016
431	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Periodically assess the performance of the early warning reporting data tests using out-of-sample testing.	NHTSA			Concur	6/30/2016
432	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Implement a supervisory review process to ensure that all early warning reporting data are analyzed according to ODI policies and procedures.	NHTSA			Concur	1/31/2016
433	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Update standardized procedures for identifying, researching, and documenting safety defect trends that consider additional sources of information beyond consumer complaints, such as special crash investigation reports and early warning data.	NHTSA			Concur	6/30/2016
434	FI2010023 Audit of DOT's Information Security Program and Practices	11/18/2009	Ensure accurate information is used to monitor Operating Administrations progress in correcting security weaknesses.	OST			Concur	9/28/2012
435	FI2010023 Audit of DOT's Information Security Program and Practices	11/18/2009	Improve its quality assurance checks on the Operating Administrations certifications and accreditations by increasing the frequency and scope of its checks, communicating results and expected actions to the Operating Administrations, requiring updated plan of actions and milestones to address weaknesses noted (including those found in the Inspector General reviews), and follow-up on resolution of weaknesses noted.	OST			Concur	9/28/2012
436	FI2011022 Timely Actions Needed to Improve DOT's Cybersecurity	11/15/2010	Review the results of OA assessments to determine an accurate inventory of contractor systems.	OST			Concur	9/28/2012
437	FI2011022 Timely Actions Needed to Improve DOT's Cybersecurity	11/15/2010	Identify and implement automated tools to better track contractors and training requirements.	OST			Concur	6/29/2013

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438	FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	11/14/2011	Enhance existing policy to address security awareness training for non-computer users, address security costs as part of capital planning, correct the definition of "government system", and address the identification, monitoring, tracking and validation of users and equipment that remotely access DOT networks and applications.	OST			Concur	10/31/2012
439	FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	11/14/2011	In conjunction with the OA CIOs, execute a strategy to ensure that sufficient procedural guidance exists for DOT and the Components.	OST			Concur	10/31/2012
440	FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	11/14/2011	In conjunction with OA CIOs, verify that minimum security controls are adequately tested for deficient systems.	OST			Concur	10/31/2012
441	QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2010	11/15/2011	Clifton Gunderson recommended that DOT management direct FMCSA to revise its grant management manual so that the agency has a consistent, standardized, documented and well-reconciled process for grants awards the recommendations include enhancing documentation of FMCSA's state billing process reviews and requiring division offices to reconcile GrantSolutions to Delphi on a monthly basis and to resolve any differences within 60 days in order to maintain an accurate fund status for grants.	OST			Concur	4/1/2013
442	QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2010	11/15/2011	Clifton Gunderson recommended that DOT management direct FMCSA to ensure sufficient and prompt legal counsel involvement when program funds are first appropriated, and ensure legal counsel's review of FMCSA's policies regarding grant programs before disseminating information to the states.	OST			Concur	4/1/2013
443	QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2010	11/15/2011	Clifton Gunderson recommended that DOT management direct FMCSA to complete development and implementation of the new training structure for CVISN staff referenced in the GAO report so that the staff has adequate training to manage the program.	OST			Concur	4/1/2013

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444	QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2010	11/15/2011	Clifton Gunderson recommended that DOT management incorporate the internal review of OA's fund control monitoring and grant reconciliation processes into DOT's A-123, Appendix A implementation efforts.	OST			Concur	4/1/2013
445	MH2012188 DOT Established Timely Controls for TIGER Discretionary Grants Program, But Opportunities Exist to Strengthen Oversight	9/20/2012	Establish a methodology to identify program outcomes from grantee performance data for each TIGER project.	OST			Partial Concur	7/29/2016
446	MH2012188 DOT Established Timely Controls for TIGER Discretionary Grants Program, But Opportunities Exist to Strengthen Oversight	9/20/2012	Establish a comprehensive methodology to aggregate performance measures to assess the overall impact of the TIGER program.	OST			Partial Concur	7/29/2016
447	FI2013014 FISMA 2012: Ongoing Weaknesses Impede DOT's Progress Toward Effective Information Security	11/14/2012	Work with Operating Administrations to enhance and develop their internal procedures for inheriting controls, continuous monitoring, and capital planning to better address key NIST requirements.	OST			Concur	9/30/2013
448	FI2013014 FISMA 2012: Ongoing Weaknesses Impede DOT's Progress Toward Effective Information Security	11/14/2012	Develop, document and approve an enterprise-wide risk management program and strategy as defined by NIST 800-39.	OST			Concur	3/29/2013
449	FI2013014 FISMA 2012: Ongoing Weaknesses Impede DOT's Progress Toward Effective Information Security	11/14/2012	Identify and work with common control providers to develop and implement a security plan that will ensure that systems that inherit common controls are adequately protected and C&A'd.	OST			Concur	9/30/2013
450	FI2013053 DOT's FY 2012 Improper Payment Reporting Generally Complies with IPERA	3/14/2013	Provide specific documentation requirements and greater oversight and review of contractors that perform improper payment testing to ensure that the work has an audit trail and is accurate.	OST			Concur	12/31/2015
451	ZA2013072 Weaknesses in the Department's Disadvantaged Business Enterprise Program Limit Achievement Of Its Objectives	4/23/2013	Develop program performance measures to regularly assess the DBE program and evaluate whether it is achieving its objectives.	OST			Concur	12/31/2015
452	ZA2013072 Weaknesses in the Department's Disadvantaged Business Enterprise Program Limit Achievement Of Its Objectives	4/23/2013	Develop an oversight and compliance plan with the Operating Administrations to identify specific, required oversight processes and reviews and ensure that a sufficient number of reviews are performed based on assessed risk.	OST			Partial Concur	12/31/2015

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453	ZA2013072 Weaknesses in the Department's Disadvantaged Business Enterprise Program Limit Achievement Of Its Objectives	4/23/2013	Require that recipients track and regularly report utilization data to the Operating Administrations, including each DBE's number of years in the program and the number of DBE subcontracts or prime contracts received since first becoming certified.	OST			Concur	7/31/2016
454	FI2013123 Security Weaknesses in DOT's Common Operating Environment Expose Its Systems and Data to Compromise	9/10/2013	Develop and maintain a complete inventory (current registry) of authorized network devices (including wireless) accessible to staff who monitor departmental networks.	OST			Concur	5/29/2015
455	FI2013123 Security Weaknesses in DOT's Common Operating Environment Expose Its Systems and Data to Compromise	9/10/2013	Ensure the system owners perform regular vulnerability assessments and scans of all internal systems to identify known vulnerabilities and common misconfigurations, and establish a practice to ensure that OAs and OCIO are collaborating and agreeing on remediation plans.	OST			Concur	5/31/2015
456	FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain and review specialized training statistics and verify, as part of the compliance review process, that all employees with significant security responsibilities have completed the number of training hours required by policy. Report results to management and obtain evidence of corrective actions.	OST			Concur	9/30/2014
457	FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Increase oversight of OA's processes for configuration management and verify that mitigating activities and initiated, executed, and completed in accordance with DOT policy and NIST guidance. Report exceptions to OA management.	OST			Concur	9/30/2014
458	FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain and review plans from FMCSA, MARAD, OST, and RITA to authorize systems with expired accreditations. Perform security reviews of unauthorized systems to determine if the enterprise is exposed to unacceptable risk.	OST			Concur	9/30/2014
459	FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain a schedule and action plan from Operating Administrations to enhance and develop their internal procedures for continuous monitoring in accordance with NIST guidance. Report to OA management any delays in completing the procedural guidance.	OST			Concur	9/30/2014

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460	FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Review systems to determine which ones are contractor operated and update CSAM accordingly. As part of the compliance review process, review new systems to determine if they are contractor operated.	OST			Concur	1/31/2014
461	FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain a schedule and action plan for OAs to develop procedures for comprehensive cloud computing agreements to include security controls roles and responsibilities. Report to OA management any delays in completing the procedures.	OST			Concur	9/30/2014
462	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	We recommend that DOT: Complete the investigation into potential additional Anti-Deficiency Act violations at FRA.	OST			Concur	9/30/2014
463	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	We recommend that DOT: Follow established protocol that has been designed to prevent Anti-Deficiency Act violations.	OST			Concur	9/30/2014
464	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Continue to provide department-wide training related to grants management, including the monitoring and close-out process.	OST			Concur	9/30/2014
465	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Require that FHWA emphasize the timely review and de-obligation of stale obligations in accordance with the revised Financial Integrity Review and Evaluation (FIRE) program.	OST			Concur	9/30/2014
466	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Require that FTA review their processes for monitoring obligations in order to more timely identify and de-obligate stale obligations.	OST			Concur	9/30/2014
467	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Develop a report that reflects a complete population of open UCO balances, by agreement number, as of a period-end date.	OST			Concur	9/30/2014
468	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Implement policies and procedures, whereby the DOT OAs, with material unfilled customer order balances, monitor and review its open UCO balances using the above report for completeness, accuracy, and validity.	OST			Concur	9/30/2014

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469	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Perform a reconciliation of reimbursable expenditures to reimbursable revenue, at the agreement level, to ensure reimbursable revenue is properly recognized in the appropriate accounting period and all material reconciling items are investigated.	OST			Concur	9/30/2014
470	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Provide training on the execution, monitoring and reporting of UCOs in accordance with the newly established policies and procedures.	OST			Concur	9/30/2014
471	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Follow the established policies and procedures and finish development of a business intelligence (BI) report to monitor Fund 15X015P633 monthly. In addition, record any necessary year-end accrual and adjusting entries to ensure the full cost recovery program reports a zero balance at year-end.	OST			Concur	9/30/2014
472	AV2014016 More Comprehensive Data Are Needed to Better Understand the Nation's Flight Delays and Their Causes	12/18/2013	Expand the required reporting of on-time performance data to include flights by the code share partners of the reporting carriers.	OST			Partial Concur	6/30/2016
473	AV2014016 More Comprehensive Data Are Needed to Better Understand the Nation's Flight Delays and Their Causes	12/18/2013	Increase the number of carriers required to report on-time performance data by reducing the reporting threshold below 1 percent of all domestic passenger revenues.	OST			Partial Concur	6/30/2016
474	FI2014037 Accuracy and Reliability of DOT's Improper Payment Reporting Can Be Improved	4/15/2014	That DOT's Assistant Secretary for Budget and Programs/ Chief Financial Officer provide specific documentation requirements and greater oversight of contractors who perform improper payment testing to ensure that the work performed tests actual payments and verifies that each transaction has an audit trail and proper support.	OST			Concur	12/31/2015
475	SA2014116 State of Illinois	9/12/2014	Ensure the State complies with Information System Requirements.	OST			Concur	4/1/2016
476	FI2014129 Actions Needed To Enhance Controls Over Travel Cards	9/18/2014	Develop and implement automated controls to detect unauthorized cash advances and purchases.	OST			Concur	3/31/2016
477	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Conduct and document quarterly internal S&D meetings with all Operating Administrations and S&D stakeholders, as established in the DOT S&D Order.	OST			No Decision	Pending

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478	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Implement a detailed process for OSPE staff to regularly evaluate Operating Administrations' compliance with departmental and Federal timeframes for reporting to SAM (3 days for procurement actions; 5 days for non-procurement actions). This process should include follow-up actions to correct instances of noncompliance.	OST			Concur	1/29/2016
479	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Require all Operating Administrations to establish or update their S&D procedures to implement Federal S&D requirements and the DOT S&D Order, including a) requiring recipients to report exclusions and b) strongly recommending that recipients of non-procurement agreements check SAM before awarding third-party assistance agreements or contracts.	OST			Concur	1/29/2016
480	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Implement detailed procedures for regularly verifying the accuracy and completeness of the data reported to the DOT S&D system—including, at a minimum, the key data fields needed for OSPE to assess the timeliness of decisions and reporting.	OST			Concur	11/30/2015
481	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Develop a data dictionary for the DOT S&D system that defines each data field and identifies which fields to populate. Make this data dictionary available to all relevant stakeholders and include it in DOT S&D system training.	OST			Concur	11/30/2015
482	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Revise the DOT S&D Order to reflect the transition to SAM—including revised Federal timeframes for entering data into SAM.	OST			Concur	12/31/2015
483	ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Implement a detailed process for OSPE staff to regularly reconcile data in the DOT S&D system and SAM—including steps for identifying and correcting data discrepancies. Using this new process, complete a comprehensive reconciliation of data in the DOT S&D system and SAM, and correct any discrepancies.	OST			Concur	11/30/2015

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484	AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	Require carriers to keep and maintain records documenting when they: a) Notify passengers about the status of the flight delay; b) Notify passengers when they have the opportunity to deplane; and c) Provide food and water to passengers.	OST			No Decision	Pending
485	AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	Revise DOT regulations to require carriers - when calculating the length of tarmac delays for reporting purposes - to include the time when an aircraft is at the gate with passengers on board and the crew has not made an announcement to deplane.	OST			No Decision	Pending
486	AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	Revise DOT regulations and the FAQ to indicate that U.S. and foreign air carriers provide food and water service within 2 hours after passengers no longer have the opportunity to deplane.	OST			No Decision	Pending
487	AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	Define comfortable cabin temperature and include the requirement in DOT regulations. In the interim, issue guidance to the industry that defines comfortable cabin temperature.	OST			No Decision	Pending
488	AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	OST to develop a process for periodically reviewing a sample of the contingency plans that U.S. and foreign carriers have posted on their Web sites to ensure all of the required assurances are included.	OST			Concur	9/30/2015
489	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take the following action to revise the Department's AECM policy to develop procedural requirements that document activities components must complete to report and mitigate deficiencies identified through continuous monitoring.	OST			Concur	6/30/2016
490	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take action to work with components to develop a plan to address NIST 800-53 revision 4 requirements for their systems. Create a POA&M with planned completion date to monitor and track progress.	OST			Concur	12/31/2015

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491	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take the action to work with the components to develop a plan to complete annual SAT training within plan milestones and improve tracking. Assess training periodically to determine if the component will meet SAT training plan.	OST			Concur	9/30/2015
492	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take action to work with the CSMC and individual components (including COE) to develop service level agreements needed to define responsibilities between CSMC and the components. These agreements should include a detailed description of services between parties, and at a minimum contain: CSMC and component responsibilities, frequency of periodic scans of DOT networks; access privileges to networks, devices, and monitoring tools; hardware and software asset discovery and on-going management requirements; vulnerability scanning.	OST			Concur	12/31/2015
493	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take action to implement the revised AECM policy and procedural guidance and provide and work with components to establish planned action dates to mitigate deficiencies in their ISCM reporting and addressing security weaknesses.	OST			Concur	6/30/2016
494	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take the following action to start planning and assessing the impact of the security requirements that will be affected by NIST SP 800-53 revision 4 and NIST 800-53A revision 4.	OST			Concur	12/31/2015
495	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, should take action to revise DOT Cybersecurity policy and guidance to incorporate new or updated security requirements defined by NIST SP 800-53 revision 4 and NIST SP 800-53 revision 4.	OST			Concur	12/31/2015

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496	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take action to revise the Department's policy to address the mandatory use of a toolset and requisite processes to perform the Information Security Continuous Monitoring tasks outlined by OMB.	OST			Concur	6/30/2016
497	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take action to revise DOT policy to provide specific guidance for what data, format of data, and how often components should report system security status to the Authorizing Official throughout the continuous monitoring process.	OST			Concur	12/31/2015
498	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designee, take action to work with components to develop or revise their plans to effectively transition the remaining information systems to required PIV login. Create a POA&M with planned completion dates to monitor and track progress.	OST			Concur	12/31/2015
499	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take action to work with the Director of DOT Security to develop or revise their plan to effectively transition the remaining facilities to required PIV cards.	OST			Concur	12/31/2015
500	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of DOT develop procedures and controls to address the provisioning of access and system audit log review control deficiencies identified in the FTA financial IT systems.	OST			Concur	10/1/2016
501	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of DOT Monitor progress to ensure that procedures and controls are appropriately designed, implemented, and maintained.	OST			Concur	10/1/2016
502	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that DOT implement appropriate policies and procedures to prevent future violations.	OST			Concur	10/1/2016

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503	QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommends that DOT develop and implement guidance to formally document its assessments and recognition decisions, in accordance with Statement of Federal Financial Accounting Concept No. 5, as it relates to liabilities of exchange transactions, specifically those decisions to depart from GAAP based on materiality.	OST			Concur	10/1/2016
504	ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority for its Contracting Office	4/9/2015	We recommend that the Office of the Senior Procurement Executive address the cases of noncompliance with CO certification and warrant requirements at FMCSA, FRA, MARAD, and NHTSA, as noted in this report. Specifically, the Operating Administrations should ensure that (a) CO warrants are issued in compliance with Federal and departmental requirements and (b) COs obtain and maintain their FAC-C certifications.	OST			Concur	6/30/2016
505	ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority for its Contracting Office	4/9/2015	We recommend that the Office of the Senior Procurement Executive direct the Heads of Contracting Activity at each Operating Administration to: (a) develop and implement, oversight procedures to ensure compliance with DOT's AWF policy including procedures for annual reviews of level I and II CO warrants and reviews of level III warrants at least every 2 years to determine if COs remain qualified to perform their duties and there is a continued need for warrants and (b) report to OSPE on their oversight procedures.	OST			Concur	6/30/2016
506	ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority for its Contracting Office	4/9/2015	We recommend that the Office of the Senior Procurement Executive direct the Heads of Contracting Activity at each Operating Administration to (a) review CO warrants to ensure they include required elements and restrictions specified in DOT's AWF policy, (b) address any instances of noncompliance, and (c) report their planned and implemented corrective actions to OSPE within established timeframes.	OST			Concur	6/30/2016
507	ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority for its Contracting Office	4/9/2015	We recommend that the Office of Senior Procurement Executive correct the FAITAS data inaccuracies noted in this report at FTA and MARAD.	OST			Concur	6/30/2016

**Department of Transportation, Office of Inspector General
Open Recommendations, as of December 31, 2015**

No.	Audit Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Management's Response	Target Action Date
508	FI2015043 DOT FY 2014 Improper Payment Reporting Generally Complies with IPERA Requirements	5/15/2015	We recommend that DOT's Assistant Secretary for Budget and Programs/Chief Financial Officer: Implement procedures to verify that FTA distributes guidance which increases grantee knowledge of documentation required to support a payment as proper in the FG program.	OST			Concur	12/31/2015
509	FI2015043 DOT FY 2014 Improper Payment Reporting Generally Complies with IPERA Requirements	5/15/2015	We recommend that DOT's Assistant Secretary for Budget and Programs/Chief Financial Officer: Implement procedures to verify that FRA distributes guidance which increases grantee knowledge of documentation required to support a payment as proper in the HSIPR program.	OST			Concur	12/31/2015
510	FI2015043 DOT FY 2014 Improper Payment Reporting Generally Complies with IPERA Requirements	5/15/2015	We recommend that DOT's Acting Assistant Secretary for Budget and Programs/Chief Financial Officer: Develop a process to provide greater oversight and review of contractors and employees that perform improper payment testing to ensure that the work has an audit trail and is accurate.	OST			Concur	12/31/2015
511	SA2015052 Wyoming Department of Transportation, Cheyenne, Wyoming	6/17/2015	We recommend OST ensure the Department complies with the Reporting Requirements.	OST			Concur	3/1/2016
512	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Implement an oversight process for monitoring compliance with Federal and departmental closeout requirements.	OST			Concur	12/31/2015
513	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Issue additional departmental guidance on the contract closeout process. At a minimum, this guidance should include requirements for: file retention and storage, contract closeout file documentation, initial funds reviews, closeout of individual task and delivery orders, timely submission of adequate evidence of physical completion, and safeguards to prevent the destruction of contract files before closeout is completed.	OST			Concur	12/31/2015
514	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Require Operating Administrations' acquisition offices to update or finalize all internal contract closeout policies, including references to key Federal and departmental requirements.	OST			Concur	12/31/2015
515	SA2015097 City of Long Beach, California	9/15/2015	We recommend OST ensure the City complies with the Reporting Requirements.	OST			No Decision	Pending

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No.	Audit Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Management's Response	Target Action Date
516	SA2015104 State of Illinois, Springfield, Illinois	9/21/2015	We recommend OST ensure the State complies with the Davis-Bacon Act Requirements.	OST			Concur	3/21/2016
517	SA2015104 State of Illinois, Springfield, Illinois	9/21/2015	We recommend OST ensure the State complies with Reporting Requirements.	OST			Concur	3/1/2016
518	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	We recommend the Deputy Secretary, or his designees, take the following action to work with OAs to develop internal controls to ensure network administrators are informed and action is taken to disable accounts when users no longer require access.	OST			Concur	Pending
519	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	We recommend the Deputy Secretary, or his designees, take the following action to work with the OCIO to develop a quality assurance process to ensure OAs and network administrators are following DOT Cybersecurity procedures that require them to periodically review user accounts and ensure they are effectively managing these accounts.	OST			Concur	Pending
520	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	We recommend the Deputy Secretary, or his designees, take the following action to ensure that the OCIO revises the Departmental policy to document its practice of prohibiting user-based waivers or exclusions for PIV required use for network and system access.	OST			Concur	Pending
521	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	The Deputy Secretary, or his designees, take the following action to revise DOT's existing Cybersecurity policy to incorporate specific requirements for review and cleanup of service accounts.	OST			Concur	Pending
522	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	The Deputy Secretary, or his designees, take the following action to work with the COE's management to ensure review and cleanup activities of service accounts are successfully completed.	OST			Concur	Pending
523	AV2012140 Hazardous Liquid Pipeline Operators' Integrity Management Programs Need More Rigorous PHMSA Oversight	6/18/2012	Update IM requirements to mandate baseline and recurring assessments for non-line pipe facilities, given the availability of new assessment technologies and methodologies.	PHMSA			Concur	12/31/2017
524	AV2012140 Hazardous Liquid Pipeline Operators' Integrity Management Programs Need More Rigorous PHMSA Oversight	6/18/2012	Create a database of pipeline physical characteristics, accidents, and inspections—including geographic location—of individual pipeline units in order to identify and monitor at-risk pipelines.	PHMSA			Concur	12/31/2018

*Department of Transportation, Office of Inspector General
Open Recommendations, as of December 31, 2015*

No.	Audit Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Management's Response	Target Action Date
525	MH2014064 PHMSA Has Addressed Most Weaknesses We Identified in Its Special Permit and Approval Processes	7/17/2014	Develop and implement a plan - including milestones and funding requirements-for resolving the company identifier issue.	PHMSA			Concur	12/31/2016