



U.S. Department of
Transportation

The Inspector General

Office of Inspector General
Washington, DC 20590

June 8, 2015

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

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

Dear Chairmen Johnson and Grassley:

This is in response to your letter to the Department of Transportation (DOT) Office of Inspector General (OIG) dated February 27, 2015, requesting information on the status of OIG open audit recommendations.¹ Specifically, you requested the following: (1) the current number of open recommendations, their dates, and cumulative estimated cost savings; (2) a description of all audits and investigations provided to the Agency for comment that did not receive a response within 60 days; (3) a report on each investigation involving GS-15 level employees (or equivalent) and above where misconduct was found but no prosecution resulted; (4) a description of any instances of whistleblower retaliation and any consequences imposed by the Agency; (5) a description of any attempts to interfere with our independence, including restricting our communications with Congress and budgetary constraints designed to limit our capabilities; (6) a description of any instances where the Department restricted or significantly delayed our access to information; and (7) a description of all closed audits and investigations that were not disclosed to the public. Unless otherwise indicated below, the following responses relay information concerning the first semiannual reporting period for fiscal year 2015.²

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

² October 1, 2014, through March 31, 2015.

OIG Open Recommendations and Associated Estimated Cost Savings

As of May 21, 2015, we identified 605 open recommendations, which were included in 191 audit reports issued between July 18, 2007, and May 15, 2015. Of these, 35 recommendations (from 29 reports) carry an estimated monetary benefit or cost savings totaling over \$1.17 billion.³ The enclosure provides detailed information on these recommendations.

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

We work closely with the Department to ensure timely responses to our draft audit reports. Of the 13 audit reports issued in draft for Agency comment during the reporting period, all agency responses were received within 60 calendar days.

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

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

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

Operating Administration	Referral Date ⁴	Declination Date ⁵
Federal Transit Administration (FTA)	N/A	N/A

Case Description

We investigated an allegation that contrary to FTA guidance, FTA management approved an appraisal for the acquisition of property in conjunction with a planned rail service project that did not account for hazardous contamination. Therefore, the complainant alleged, FTA should not participate in the contamination clean-up costs.

The Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally-Assisted Programs Act, Title 49 Code of Federal Regulations Part 24, requires that agencies (i.e., grantees) who are acquiring real property, appraise that property before they initiate negotiations. It states that the amount of just compensation to be provided for the real property shall not be less than the approved appraisal of the fair market value of the property. Grantees must have the appraisal examined by a qualified review appraiser to determine if the appraisal is an adequate basis for just compensation.

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

⁴ This date represents when the U.S. Department of Justice was initially consulted regarding this investigation.

⁵ This date represents when the U.S. Department of Justice decided not to seek criminal prosecution of the FTA employee.

The complainant alleged that the appraisal was overstated because it was appraised as residential instead of industrial property and contrary to FTA guidance, it did not account for known contamination. However, based on review of the appraisal, Federal regulations, FTA and Regional Transportation District guidance, and interviews of technical experts, we determined the property was not improperly appraised as residential and the appraisal justifiably excluded the cost of contamination cleanup in its value. However, we concluded that the lack of clear FTA guidance regarding the circumstances in which contamination would or would not affect property value contributed to management's and the complainant's conflicting interpretations of the guidance. In response to our report, FTA agreed to revise its guidance regarding how contamination affects the value of real property.

Whistleblower Retaliation and Agency Action

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

Interference with OIG Independence

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

Delays and Access to Information

When we encounter delays and lack of timeliness in obtaining Agency documents, we work with Department officials at the proper level to resolve them. When appropriate, access and delay issues and their impact on the scope of our work are documented in our reports. No such reports were issued during this reporting period.

Closed Audits and Investigations Not Disclosed to the Public

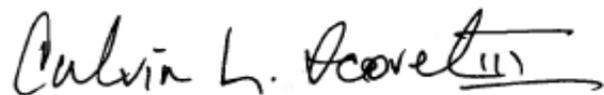
It is our practice to post all closed non-sensitive audits and evaluations on our public Web site.⁶ Consequently, we have no previously undisclosed audits and evaluations to report. Additionally, we have included information concerning closed, non-public investigations in our Semiannual Report to Congress for this reporting period, and we can provide additional information on any of these closed investigations upon request.

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

⁶ OIG reports are available on our Web site: <https://www.oig.dot.gov>.

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

Sincerely,

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

Calvin L. Scovel III
Inspector General

Enclosure

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
CR2007074 Effects of Amtrak's Poor On-Time Performance	9/14/2007	Amend its Statement of Policy to require at least an annual review of (a) the adequacy and timeliness of the information it receives and (b) its own effectiveness in carrying out its fiduciary responsibilities.	Amtrak	\$0	\$0	\$0	Resolved
CR2007074 Effects of Amtrak's Poor On-Time Performance	9/14/2007	Amend its Statement of Policy to provide better guidance and more flexibility with respect to the types of actions requiring Board approval.	Amtrak	\$0	\$0	\$0	Resolved
CR2007074 Effects of Amtrak's Poor On-Time Performance	9/14/2007	Amend its Statement of Policy to require management to submit for the Board's approval an annual, multi-year strategic plan with measurable goals and performance objectives.	Amtrak	\$0	\$0	\$0	Resolved
CR2007074 Effects of Amtrak's Poor On-Time Performance	9/14/2007	Amend its Statement of Policy to require Amtrak to publish an annual evaluation of its performance against the previous year's goals.	Amtrak	\$0	\$0	\$0	Resolved
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.	Department-Wide	\$0	\$0	\$0	Unresolved
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.	Department-Wide	\$0	\$0	\$0	Unresolved
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.	Department-Wide	\$0	\$0	\$0	Unresolved
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.	Department-Wide	\$0	\$0	\$0	Unresolved

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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.	Department-Wide	\$0	\$0	\$0	Unresolved
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.	Department-Wide	\$0	\$0	\$0	Unresolved
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 ongoing management requirements; and vulnerability scanning.	Department-Wide	\$0	\$0	\$0	Unresolved
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.	Department-Wide	\$0	\$0	\$0	Unresolved
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.	Department-Wide	\$0	\$0	\$0	Unresolved

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Open Recommendations, as of May 21, 2015*

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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.	Department-Wide	\$0	\$0	\$0	Unresolved
FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designee, take action to develop a plan to periodically review waived accounts to determine if they should be transitioned to PIV required status. Create a POA&M with a planned completion date to monitor and track progress.	Department-Wide	\$0	\$0	\$0	Unresolved
FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designee, take action to work with components to revise their plans to effectively transition the remaining users to require privileged PIV login. Create a POA&M with a planned completion date to monitor and track progress.	Department-Wide	\$0	\$0	\$0	Unresolved
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.	Department-Wide	\$0	\$0	\$0	Unresolved
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.	Department-Wide	\$0	\$0	\$0	Unresolved
QC2015011 Quality Control Review of the Audited Consolidated Financial Statements for Fiscal Year 2014 and 2013 Department of Transportation	11/17/2014	KPMG recommend that all other OAs continue to timely review and monitor grant and non-grant undelivered orders to ensure that the recorded undelivered orders represent goods and services ordered and obligated, but not yet received, or potential amounts still to be claimed.	Department-Wide	\$358,500,000	\$0	\$0	Resolved

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Open Recommendations, as of May 21, 2015*

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ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority For Its Contracting Officers	4/14/2015	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.	Department-Wide	\$0	\$0	\$0	Resolved
ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority For Its Contracting Officers	4/14/2015	Update departmental policies to (a) clearly require immediate revocation or modification of warrants upon expiration of FAC-C certifications and (b) define the role of the Operating Administrations' ACMs.	Department-Wide	\$0	\$0	\$0	Resolved
ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority For Its Contracting Officers	4/14/2015	Update departmental policies to require OSPE to conduct periodic reviews of Operating Administrations' compliance with DOT's AWF policy and to correct deficiencies identified during these reviews as necessary.	Department-Wide	\$0	\$0	\$0	Resolved
ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority For Its Contracting Officers	4/14/2015	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.	Department-Wide	\$0	\$0	\$0	Resolved
ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority For Its Contracting Officers	4/14/2015	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.	Department-Wide	\$0	\$0	\$0	Resolved
ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority For Its Contracting Officers	4/14/2015	Correct the FAITAS data inaccuracies noted in this report at FTA and MARAD.	Department-Wide	\$0	\$0	\$0	Resolved

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ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority For Its Contracting Officers	4/14/2015	Update departmental policies to require Operating Administrations monitor FAITAS data to ensure that CO warrant and certification data are current, complete, and accurate.	Department-Wide	\$0	\$0	\$0	Resolved
FI2015043 DOT's FY 2014 Improper Payment Reporting Generally Complies with IPERA Requirements	5/15/2015	We recommend that DOT's Assistant Secretary for Budget and Programs/Chief Financial Officer implement procedures to verify that FTA distributes guidance that increases grantee knowledge of documentation required to support a payment as proper in the FG program.	Department-Wide	\$0	\$0	\$0	Unresolved
FI2015043 DOT's FY 2014 Improper Payment Reporting Generally Complies with IPERA Requirements	5/15/2015	We recommend that DOT's Assistant Secretary for Budget and Programs/Chief Financial Officer implement procedures to verify that FRA distributes guidance that increases grantee knowledge of documentation required to support a payment as proper in the HSIPR program.	Department-Wide	\$0	\$0	\$0	Unresolved
FI2015043 DOT's FY 2014 Improper Payment Reporting Generally Complies with IPERA Requirements	5/15/2015	We recommend that DOT's Acting Assistant Secretary for Budget and Programs/Chief Financial Officer develop a process to provide greater oversight and review of contractors and employees that perform improper payment testing to ensure that the work has an audit trail and is accurate.	Department-Wide	\$0	\$0	\$0	Unresolved
FI2015043 DOT's FY 2014 Improper Payment Reporting Generally Complies with IPERA Requirements	5/15/2015	We recommend that DOT's Acting Assistant Secretary for Budget and Programs/ Chief Financial Officer implement procedures to ensure DOT employees and contractors are trained before performing or reviewing improper payment test procedures.	Department-Wide	\$0	\$0	\$0	Unresolved
AV2008090 Air Carriers' Outsourcing of Aircraft Maintenance	9/30/2008	Improve its maintenance data reporting system by (a) revising its guidance to include all maintenance providers performing repairs of critical components, not just the top 10 substantial maintenance providers, and (b) developing procedures for inspectors to validate the accuracy and consistency of reports.	FAA	\$0	\$0	\$0	Resolved
AV2008090 Air Carriers' Outsourcing of Aircraft Maintenance	9/30/2008	Reassess its definition of substantial maintenance to include critical components and ensure that air carriers and FAA offices consistently apply the definition.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

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AV2009039 Actions Taken and Needed To Improve FAA's Runway Safety Area Program	3/3/2009	Issue detailed guidance and conduct training for all field offices on the proper identification, tracking, and reporting of RSA status, including NAVAID.	FAA	\$0	\$0	\$0	Resolved
AV2009039 Actions Taken and Needed To Improve FAA's Runway Safety Area Program	3/3/2009	Implement quality control procedures to ensure the accuracy and integrity of RSA data. These procedures should (a) standardize documentation for field offices to use in making determinations, (b) electronically link determinations from FAA regional offices with the RSA Inventory, and (c) require periodic tests of data maintained in RSA Inventory.	FAA	\$0	\$0	\$0	Resolved
AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Revise current ASAP guidance to exclude accidents from the program.	FAA	\$0	\$0	\$0	Resolved
AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Clarify what constitutes an "intentional disregard for safety."	FAA	\$0	\$0	\$0	Resolved
AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Require that FAA representatives on ERCs receive ASAP reports in a timely manner and concurrently with other ERC members.	FAA	\$0	\$0	\$0	Resolved
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 ASAP is not an amnesty program and that employees submitting ASAP reports are subject to administrative action by FAA and corrective action by the air carrier.	FAA	\$0	\$0	\$0	Resolved
AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	Require inspectors to examine repetitive reports of safety concerns and enhancements to ensure that corrective actions are completed in a satisfactory manner.	FAA	\$0	\$0	\$0	Resolved
AV2009057 FAA is Not Realizing the Full Benefits of the Aviation Safety Action Program	5/14/2009	FAA needs to develop a central database of all air carriers ASAP reports that the Agency can use for trend analysis at a national level.	FAA	\$0	\$0	\$0	Resolved

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FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Configure MSS computer systems in compliance with applicable Government standards including ensuring vendor security updates are applied, the Web site locks the user account after three unsuccessful attempts, all passwords on the MSS database are in compliance with standards, and that the application will enforce a session lock after 15-minute inactivity for all users in accordance with OMB and DOT guidance.	FAA	\$0	\$0	\$0	Resolved
FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Work with SSA and other disability benefits providers to establish a target completion date for performing computer matching to identify airmen applying for, or holding, medical certificates and receiving disability benefits.	FAA	\$0	\$0	\$0	Resolved
FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Implement restrictions on AME access to inactive airman records based on a need to know.	FAA	\$0	\$0	\$0	Resolved
FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Encrypt sensitive airmen PII stored in MSS as well as MSS user passwords, and develop agreements as appropriate to ensure airmen PII provided to other systems is also encrypted.	FAA	\$0	\$0	\$0	Resolved
FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Require and validate that all AMEs and their staff participate in the DOT security and privacy awareness training as well as sign the DOT Rules of Behavior.	FAA	\$0	\$0	\$0	Resolved
FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Implement the audit and accountability recommendations received during the previous certification and accreditation process to help identify inappropriate access to sensitive PII (abuse of access privileges) and ensure data extract/query has been erased within 90 days from its creation date.	FAA	\$0	\$0	\$0	Resolved
FI2010069 Information Security and Privacy Controls Over the Airmen Medical Support Systems	6/18/2010	Implement multifactor user authentication, as required by OMB, and the Department's Secure Remote Access capability for all MSS users with remote access to sensitive PII.	FAA	\$0	\$0	\$0	Unresolved
AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Accelerate efforts to establish requirements for ADS-B and certify cockpit displays for enhancing pilot situational awareness to improve operations at high-density airports.	FAA	\$0	\$0	\$0	Resolved

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Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Work with the U.S. intelligence community to assess potential threats to the ADS-B system and ways to mitigate them.	FAA	\$0	\$0	\$0	Resolved
AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Update the cost benefit analysis for the acquisition to ensure that FAA's plan is still appropriate before committing the additional funds for a nationwide deployment of the ADS-B ground infrastructure.	FAA	\$0	\$0	\$0	Resolved
AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Clarify the use of ADS-B value-added services and reexamine assumptions about the ability of ITT to sell them in light of other planned NextGen efforts to greatly expand information sharing between FAA and stakeholders.	FAA	\$0	\$0	\$0	Resolved
AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Specify the cost and schedule for providing ADS-B critical services to all en route and airport surface domains over the life of the contract.	FAA	\$0	\$0	\$0	Resolved
AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Assess the technical readiness of ADS-R and any risks to its development and determine which locations will need ADS-R.	FAA	\$0	\$0	\$0	Resolved
AV2011002 FAA Faces Significant Risks in Implementing the Automatic Dependent Surveillance–Broadcast Program and Realizing Benefits	10/12/2010	Further quantify and validate controller productivity enhancements that can result from displaying ADS-B information on controller displays and the additional automation needed to maximize these ADS-B benefits.	FAA	\$0	\$0	\$0	Unresolved
AV2011007 New York Flight Delays Have Three Main Causes, but More Work Is Needed To Understand Their Nationwide Effect	10/28/2010	Reexamine flight caps at Kennedy, LaGuardia, and Newark airports, basing the caps on more realistic airport operating conditions, air carrier scheduling practices, and a goal towards reducing delays to an acceptable rate. In considering an acceptable rate and length of delay, FAA should incorporate the views of air carriers, the airport operator, and passenger groups as well as lessons learned from other slot-controlled airports.	FAA	\$0	\$0	\$0	Resolved

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AV2011025 FAA Needs To Implement More Efficient Performance-Based Navigation Procedures and Clarify the Role of Third Parties	12/10/2010	Clearly define the role of third parties in developing and implementing RNP procedures, determine where third parties could play a cost-beneficial role in advancing the implementation of new procedures, and issue a report with the results of this evaluation.	FAA	\$0	\$0	\$0	Resolved
AV2011025 FAA Needs To Implement More Efficient Performance-Based Navigation Procedures and Clarify the Role of Third Parties	12/10/2010	Improve the effectiveness of its approach for implementing new flight procedures by performing cost-benefit analyses in close coordination with stakeholders before and after implementing RNP procedures.	FAA	\$0	\$0	\$0	Resolved
AV2011057 FAA Did Not Ensure Revenue was Maximized at Denver International Airport	2/28/2011	Evaluate the current funding of the development of parks, open space, infrastructure, or any other federally prohibited diversions associated with Denver airport revenue and take action to cease such funding.	FAA	\$0	\$0	\$0	Unresolved
AV2011057 FAA Did Not Ensure Revenue was Maximized at Denver International Airport	2/28/2011	Assess the revenue diversions identified in our analysis of the sale of Stapleton property and seek full recovery as necessary, plus interest, of those diversions and any others identified by FAA.	FAA	\$0	\$0	\$0	Unresolved
AV2011057 FAA Did Not Ensure Revenue was Maximized at Denver International Airport	2/28/2011	Assess the difference between the amount that the Denver airport will receive from future sales of Stapleton property and the fair market value at the time of the sales and explore ways the City can provide the difference.	FAA	\$0	\$0	\$0	Unresolved
AV2011057 FAA Did Not Ensure Revenue was Maximized at Denver International Airport	2/28/2011	For future airport closures, require more than one appraisal, use of indices other than CPI, and/or other methods to determine fair market value of large land sales when the land is transferred from the airport sponsor to the buyer over an extended period of time.	FAA	\$0	\$0	\$0	Unresolved
AV2011131 FAA's Approach to SWIM Has Led to Cost and Schedule Uncertainty and No Clear Path for Achieving NextGen Goals	6/15/2011	Finalize SWIM requirements for Segment 1 and establish firm cost and schedule commitments.	FAA	\$0	\$0	\$0	Resolved

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Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2011131 FAA's Approach to SWIM Has Led to Cost and Schedule Uncertainty and No Clear Path for Achieving NextGen Goals	6/15/2011	Define requirements through SWIM's end-state by (a) developing an overall architectural design for the SWIM program identifying all the NAS systems that will be required to implement SWIM technology and (b) defining their respective costs and schedules for implementing planned capabilities.	FAA	\$0	\$0	\$0	Resolved
AV2011136 FAA Oversight and Implementation of the Organization Designation Authorization and Risk-Based Resource Targeting Programs	6/29/2011	Improve the RBRT tool by thoroughly testing and validating it to ensure that it is fully functional.	FAA	\$0	\$0	\$0	Resolved
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 identify the entire FAA acquisition workforce, including contracted and Federal employees for all lines of business and develop and implement tools and internal controls to ensure that FAA accurately identifies its acquisition workforce.	FAA	\$0	\$0	\$0	Resolved
ZA2011148 FAA Policies and Plans Are Insufficient To Ensure an Adequate and Effective Acquisition Workforce	8/3/2011	To ensure that FAA sufficiently addresses gaps in hiring and developing its acquisition workforce, we recommend that the Director establish processes for tracking workforce hiring, training, and certification and validate hiring data by requiring that service units identify the discipline fields for newly hired acquisition employees.	FAA	\$0	\$0	\$0	Resolved
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 determine the best mix of labor resources by identifying the proper roles of both contractors and Federal employees, along with the skills sets and expertise needed for each group.	FAA	\$0	\$0	\$0	Resolved
AV2011149 FAA Oversight Is Key for Contractor-Owned Air Traffic Control Systems That Are Not Certified	8/4/2011	Evaluate the number of FAA staff currently assigned to analyze the extensive volume of data the SBS monitoring system generates and require additional resources be allocated as appropriate.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2011176 FAA and Industry Are Taking Action To Address Pilot Fatigue, But More Information On Pilot Commuting Is Needed	9/12/2011	Ensure the collection and analysis of data regarding domicile and commuting length for all Part 121 flight crews. Specifically, information regarding the number of pilots and other flight-crewmembers who commute, their methods of transportation, and distances they commute, should be collected.	FAA	\$0	\$0	\$0	Resolved
AV2011176 FAA and Industry Are Taking Action To Address Pilot Fatigue, But More Information On Pilot Commuting Is Needed	9/12/2011	Review and analyze the Part 121 domicile and commuting data collected to determine if further changes to flight duty and domicile regulations are needed or if airlines need to take further mitigating actions in their fatigue management systems.	FAA	\$0	\$0	\$0	Resolved
AV2011180, More Rigorous Oversight Is Needed To Ensure Venice Municipal Airport Land Sales and Leases Are Used Appropriately	9/29/2011	Strengthen Agency policy to ensure that transfers of airport property acquired through Federal assistance are based on independent certified appraisals performed within 6 to 12 months of the transfer and reviewed by an independent real estate professional, especially when the parcel is unusual or the transfer is between an airport and its sponsor.	FAA	\$0	\$0	\$0	Resolved
AV2011180, More Rigorous Oversight Is Needed To Ensure Venice Municipal Airport Land Sales and Leases Are Used Appropriately	9/29/2011	Assess the adequacy of the Agency's policies and procedures for overseeing the transfer or lease of large or unusual airport properties to ensure that sponsor agreements are fair and equitable and protect the airport's self-sustainability.	FAA	\$0	\$0	\$0	Resolved
AV2011180, More Rigorous Oversight Is Needed To Ensure Venice Municipal Airport Land Sales and Leases Are Used Appropriately	9/29/2011	Require the City to complete the independent review appraisal of the property used by the Sharky's restaurant if sold, and any subsequent transfers of airport property.	FAA	\$0	\$493,070	\$0	Unresolved
AV2012027 New Approaches Are Needed To Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Require inspectors to select a representative sample of air carrier proficiency and line check rides each year to analyze the results for trends and take action if needed in accordance with FAA guidance.	FAA	\$0	\$0	\$0	Resolved
AV2012027 New Approaches Are Needed To Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Renew authority of check airmen every 2 years to increase accountability in the system and improve consistency in the manner in which flight checks are conducted and rated.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2012027 New Approaches Are Needed To Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Develop a standardized procedure for air carriers to report failures of pilot proficiency checks, as well as remedial and recurrent flight training to FAA, and require inspectors to monitor trends and target surveillance to highest risk areas.	FAA	\$0	\$0	\$0	Resolved
AV2012027 New Approaches Are Needed To Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Develop and implement standardized training for aviation safety inspectors on Part 121 air carrier pilot performance and administration of check rides and check airman observations.	FAA	\$0	\$0	\$0	Resolved
AV2012027 New Approaches Are Needed To Strengthen FAA Oversight of Air Carrier Training Programs and Pilot Performance	12/20/2011	Conduct a study of air carrier policies to determine whether controls should be in place to prevent pilots in remedial training programs from being paired together.	FAA	\$0	\$0	\$0	Resolved
SA2012031 City of Frederick, Maryland	12/21/2011	Ensure the City complies with Cash Management requirements.	FAA	\$0	\$0	\$0	Resolved
AV2012039 Enhanced Oversight of Staffing and Training at FAA's Critical Facilities Is Needed To Maintain Continuity of Operations	1/12/2012	Determine whether the skills assessment test implemented at several facilities would be beneficial at all critical terminal facilities.	FAA	\$0	\$0	\$0	Resolved
ZA2012082 FAA's Contracting Practices Are Insufficient To Effectively Manage Its Systems Engineering 2020 Contracts	3/28/2012	We recommend that FAA's Vice President of Business and Acquisition Services revise AMS to require that, when IGCEs exceed contractor proposals by 15 percent or more, program officials submit an explanation and recommended corrective actions to the CFO before contract award.	FAA	\$0	\$0	\$0	Resolved
ZA2012082 FAA's Contracting Practices Are Insufficient To Effectively Manage Its Systems Engineering 2020 Contracts	3/28/2012	We recommend that FAA's Vice President of Business and Acquisition Services require the SE-2020 program office to (a) develop policies and procedures to ensure timely reconciliations and corrections to acquisition databases and (b) revise its cost monitoring spreadsheets to ensure accurate data for effective cost control of SE-2020 contracts.	FAA	\$0	\$0	\$0	Resolved
ZA2012082 FAA's Contracting Practices Are Insufficient To Effectively Manage Its Systems Engineering 2020 Contracts	3/28/2012	We recommend that FAA's Vice President of Business and Acquisition Services require FAA's contracting and program staff to use performance-based acquisition principles in their SE-2020 task orders and ensure staff is adequately trained to develop and monitor such awards.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ZA2012082 FAA's Contracting Practices Are Insufficient To Effectively Manage Its Systems Engineering 2020 Contracts	3/28/2012	We recommend that FAA's Vice President of Business and Acquisition Services revise AMS to include guidance on how to identify and mitigate risks of potential OCIs prior to contract or task order award.	FAA	\$0	\$0	\$0	Resolved
AV2012094 Status of Transformational Programs and Risks to Achieving NextGen Goals	4/23/2012	Define and finalize the transformational programs' NextGen requirements.	FAA	\$0	\$0	\$0	Resolved
AV2012094 Status of Transformational Programs and Risks to Achieving NextGen Goals	4/23/2012	Synchronize program requirements between the Transformational Program Offices and NextGen Integration and Implementation Program Office to ensure Agency NextGen goals are aligned with the transformational programs' plans and to avoid schedule delays.	FAA	\$0	\$0	\$0	Resolved
AV2012094 Status of Transformational Programs and Risks to Achieving NextGen Goals	4/23/2012	Establish an integrated master schedule framework, policy, and standard operating procedures that include the Segment Implementation Plan and the transformational programs and a timeline for maturing this capability.	FAA	\$0	\$0	\$0	Resolved
AV2012094 Status of Transformational Programs and Risks to Achieving NextGen Goals	4/23/2012	Develop and set milestones for baselining each segment of the transformational programs through their end-state and identify the capabilities and benefits that will be delivered for each segment.	FAA	\$0	\$0	\$0	Unresolved
AV2012151 The Success of FAA's Long-Term Plan for Air Traffic Facility Realignments and Consolidations Depends on Addressing Key Technical, Financial, and Workforce Challenges	7/17/2012	Develop metrics that quantify the expected operational and cost efficiencies from future realignments and consolidations. At a minimum, these metrics should provide baseline data that can be used to measure whether these efficiencies in a timely manner as it moves forward with future realignments and consolidations.	FAA	\$0	\$0	\$0	Resolved
AV2012151 The Success of FAA's Long-Term Plan for Air Traffic Facility Realignments and Consolidations Depends on Addressing Key Technical, Financial, and Workforce Challenges	7/17/2012	Further assess the cost, technical, operational, and workforce risks associated with individual realignments and consolidations, and develop risk mitigation plans for them.	FAA	\$0	\$0	\$0	Resolved
AV2012152 Long Term Success of ATSAP Will Require Improvements In Oversight, Accountability, and Transparency	7/19/2012	Revise ATSAP guidance to exclude accidents from the program.	FAA	\$0	\$0	\$0	Unresolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2012152 Long Term Success of ATSAP Will Require Improvements In Oversight, Accountability, and Transparency	7/19/2012	Develop a process permitting ERCs to validate all reports submitted to ATSAP.	FAA	\$0	\$0	\$0	Unresolved
AV2012167 Challenges With Implementing Near-Term NextGen Capabilities at Congested Airports Could Delay Benefits	8/1/2012	Develop and commit to a plan with milestones for the more integrated and sophisticated metroplex capabilities as envisioned by airspace users and the task force.	FAA	\$0	\$0	\$0	Resolved
AV2012167 Challenges With Implementing Near-Term NextGen Capabilities at Congested Airports Could Delay Benefits	8/1/2012	Evaluate combining the metroplex study and design team processes to accelerate the completion of FAA's metroplex initiative.	FAA	\$0	\$0	\$0	Resolved
AV2012167 Challenges With Implementing Near-Term NextGen Capabilities at Congested Airports Could Delay Benefits	8/1/2012	Develop a comprehensive RNAV/RNP controller training program on applying new metroplex advanced procedures in a mixed-equipage environment.	FAA	\$0	\$0	\$0	Resolved
AV2012167 Challenges With Implementing Near-Term NextGen Capabilities at Congested Airports Could Delay Benefits	8/1/2012	Establish a formal process for reporting barriers identified by metroplex teams (i.e., policies, procedures, operational approval processes, training, criteria, and equipage and technology issues) and put in place a mechanism to ensure they are adequately resolved.	FAA	\$0	\$0	\$0	Resolved
AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Establish procedures to verify that airports check biologist qualifications prior to airports hiring them to conduct wildlife hazard assessments.	FAA	\$0	\$0	\$0	Resolved
AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	As regional airport inspector vacancies become available, staff those positions with inspectors with expertise in wildlife damage management and require those inspectors oversee the program to specifically (a) review and approve wildlife hazard assessments and management plans; (b) track the review and approval process to ensure airports complete all requirements; and (c) monitor wildlife strikes and, if needed, require airports to reassess their wildlife hazard management plans.	FAA	\$0	\$0	\$0	Resolved
AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Require that airports, as part of their wildlife hazard management plans, maintain reports of all wildlife strikes and submit the reports quarterly to FAA for review.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Develop and implement performance metrics to measure the effectiveness of FAA's target activities in achieving the Program goal of reducing wildlife hazards at or near airports.	FAA	\$0	\$0	\$0	Resolved
AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Establish notification procedures with other government agencies to notify FAA of project proposals that may increase hazardous wildlife populations within a 5-mile radius of airports.	FAA	\$0	\$0	\$0	Resolved
AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Require inspectors to verify that airports' quarterly wildlife strike reports contain key data fields, such as extent of damage, species of wildlife, phase of flight, altitude that the strike occurred, and effect on flight and to contact the airports with any incomplete or missing data to obtain the information, if available.	FAA	\$0	\$0	\$0	Unresolved
AV2012170 FAA Has Not Effectively Implemented its Wildlife Hazard Mitigation Program	8/22/2012	Reconcile the airports' quarterly reports with FAA's National Wildlife Strike Database and ensure any missing strikes are entered into the database.	FAA	\$0	\$0	\$0	Unresolved
AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Assess current testing capabilities and limitations at FAA's Technical Center and develop corrective action plans to more robustly test future complex software-intensive air traffic systems.	FAA	\$0	\$0	\$0	Resolved
AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Revise AMS to better define key milestones, such as Government Acceptance and initial operating capability, so that milestones are clear measures of progress for managing major acquisitions.	FAA	\$0	\$0	\$0	Resolved
AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Evaluate available options and take action to deploy an additional backup for ERAM until the system has become significantly more mature.	FAA	\$0	\$0	\$0	Resolved
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 defintize CLINs in a reasonable time period, such as FAR's 180-day benchmark. Ensure that future ERAM CLINs are defintized according to the new requirement.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Develop procedures in FAA's "Program Level Integrated Baseline Review Guide" to verify that integrated baseline reviews meet the requirements and to establish a time frame for conducting integrated baseline reviews after executing major contract modifications.	FAA	\$0	\$0	\$0	Resolved
AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Require complex software-intensive systems (that are interdependent on other systems, such as ERAM) to be successfully tested in a live, operational environment, at one or more FAA air traffic facilities, prior to Government Acceptance.	FAA	\$0	\$0	\$0	Unresolved
AV2012179 Weaknesses In Program And Contract Management Contribute To ERAM Delays And Put Other NextGen Initiatives At Risk	9/13/2012	Update the performance measurement baseline for ERAM's earned value management system to include all remaining work on the ERAM contract, including planned work that has not yet been priced and work performed by the Government.	FAA	\$0	\$0	\$0	Unresolved
AV2013009 Contract Towers Continue to Provide Cost-Effective and Safe Air Traffic Services, But Improved Oversight of the Program is Needed	11/5/2012	Modify FCT contracts to incorporate a voluntary reporting system, such as ATSAP, at contract towers to ensure more comprehensive reporting of safety incidents.	FAA	\$0	\$0	\$0	Resolved
AV2013037 FAA and Industry Are Advancing the Airline Safety Act but Challenges Remain To Achieve Its Full Measure	1/31/2013	Fully implement the Act-required ASAP and FOQA plan that assists smaller carriers in developing these safety programs.	FAA	\$0	\$0	\$0	Resolved
AV2013037 FAA and Industry Are Advancing the Airline Safety Act but Challenges Remain To Achieve Its Full Measure	1/31/2013	Require inspectors to determine if air carriers have modified policies, in accordance with the Act, to retain pilot records for the new, centralized electronic pilot records database.	FAA	\$0	\$0	\$0	Resolved
AV2013037 FAA and Industry Are Advancing the Airline Safety Act but Challenges Remain To Achieve Its Full Measure	1/31/2013	In developing the Pilot Records Database, require training records for all unsatisfactory pilot evaluation events to include written comments from the examiner to aid in identifying specific performance deficiencies.	FAA	\$0	\$0	\$0	Unresolved
AV2013045 Growth of Domestic Airline Code Sharing Warrants Increased Attention	2/14/2013	Publish best practices guidance for safety-sharing practices among Part 121 air carriers and their code share partners.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2013045 Growth of Domestic Airline Code Sharing Warrants Increased Attention	2/14/2013	Review code share agreement performance metrics, such as financial incentives for on-time performance, to ensure they do not have unanticipated or adverse impacts on safety.	FAA	\$0	\$0	\$0	Resolved
AV2013046 FAAs Efforts to Track and Mitigate Air Traffic Losses of Separation Are Limited by Data Collection and Implementation Challenges	2/27/2013	Include all losses of separation that are reported under ATSAP, but unknown to air traffic facilities, in its official count of such events.	FAA	\$0	\$0	\$0	Resolved
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	\$0	\$0	\$0	Resolved
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 extent to which ATO has successfully implemented its new orders (effective January 2012). This determination should include reviews of the quality of separation loss investigation reports, effectiveness of training, and additional actions or resources needed.	FAA	\$0	\$0	\$0	Resolved
AV2013046 FAAs Efforts to Track and Mitigate Air Traffic Losses of Separation Are Limited by Data Collection and Implementation Challenges	2/27/2013	Include high-risk TCAS warning events in its Risk Analysis Process and System Risk Event Rate when the separation between two converging aircraft is maintained at 66 percent or more.	FAA	\$0	\$0	\$0	Resolved
AV2013071 ARRA Lessons Learned: Opportunities Exist For FAA To Further Improve Its Oversight Of Airport Grant Payments	4/18/2013	Enhance Agency enforcement policies to ensure airport sponsors or contractors are held accountable for any cost increases due to errors in project description documents.	FAA	\$0	\$0	\$0	Resolved
AV2013071 ARRA Lessons Learned: Opportunities Exist For FAA To Further Improve Its Oversight Of Airport Grant Payments	4/18/2013	Improve the Agency's oversight and enforcement of airport grant recordkeeping by expanding ADO electronic access to sponsor project and grant files.	FAA	\$0	\$0	\$0	Resolved
AV2013097 FAAs Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Develop a requirements document for TAMR Phase 3 Segment 1 to ensure the operational and technical requirements for the 11 large TRACONs are specific, pertinent, and focused on requirements needed to transition CARTS to STARS.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2013097 FAAs Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Develop and implement a formal process to effectively manage, budget for, and incorporate new requirements (gaps) as they arise in the terminal modernization acquisition strategy.	FAA	\$0	\$0	\$0	Resolved
AV2013097 FAAs Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Develop a comprehensive approved baseline schedule for TAMR Phase 3, Segment 1 that includes (a) Initial Operating Capability and Operational Readiness dates for each of the 11 sites that STARS will replace, (b) timeframes for testing and validating new software and hardware requirements to support STARS deployment, and (c) software testing to the maximum extent possible to ensure products are suitable for deployment.	FAA	\$0	\$0	\$0	Resolved
AV2013097 FAAs Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Update, verify, and validate the accurate and complete cost, schedule, and benefits for TAMR Phase 3, Segment 1, as prescribed by AMS.	FAA	\$0	\$0	\$0	Resolved
AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Develop a plan with milestones to address the model's shortcomings and regularly report progress relative to plan milestones.	FAA	\$0	\$0	\$0	Resolved
AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Conduct and document a variance analysis of each model's results and assess staffing at field offices where the on-board staffing level varies widely from the current model projection to verify if immediate staffing action is needed in the interest of safety.	FAA	\$0	\$0	\$0	Resolved
AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Verify inspectors are following existing guidance to update and maintain the accuracy of databases prior to running iterations of the staffing model.	FAA	\$0	\$0	\$0	Resolved
AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Conduct a comprehensive assessment of the staffing model as compared to the NRC recommendations, assess the quality of the data in the model and identify the steps needed to make the staffing model more viable.	FAA	\$0	\$0	\$0	Resolved
AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Implement comprehensive and recurrent training for managers and inspectors on the staffing model.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2013099 FAA Lacks a Reliable Model for Determining the Number of Flight Standards Safety Inspectors It Needs	6/20/2013	Establish a comprehensive analyst training program with guidance clarifying their roles, responsibilities, and training needs and establish a method to determine an appropriate number of air carriers per analyst.	FAA	\$0	\$0	\$0	Resolved
FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Develop procedures to ensure that airman addresses are kept current.	FAA	\$0	\$0	\$0	Resolved
FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Implement the provisions of the Intelligence Reform and Terrorism Prevention Act's for pilot certifications.	FAA	\$0	\$0	\$0	Resolved
FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Ensure that the FAA contractor's computers and other third-party systems comply with information security controls required by FISMA and DOT policy.	FAA	\$0	\$0	\$0	Resolved
FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Mitigate contingency planning weaknesses by selecting an alternative processing site and periodically conducting comprehensive contingency tests at the alternate site in accordance with DOT policy.	FAA	\$0	\$0	\$0	Resolved
FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Develop procedures for periodic reassessments of aircraft and airman data to improve and maintain data integrity.	FAA	\$0	\$0	\$0	Unresolved
FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Issue policy or regulations that clarify informational requirements for registration of aircraft owned by trusts for non-citizens.	FAA	\$0	\$0	\$0	Unresolved
FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Implement access monitoring, user accounts, and multi-factor authentication for the Registry.	FAA	\$0	\$0	\$0	Unresolved
FI2013101 FAA's Civil Aviation Registry Lacks Information Needed for Aviation Safety and Security Measures	6/27/2013	Encrypt PII and mitigate the vulnerabilities on Registry computers. If controls cannot be implemented immediately then remove all PII or take other actions as appropriate, such as suspend the system's operation in accordance with FAA Order 1280.1B.	FAA	\$0	\$0	\$0	Unresolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2013120 FAA's Controller Scheduling Practices Can Impact Human Fatigue, Controller Performance, and Agency Costs	8/27/2013	Develop guidance for air traffic facility managers and workforce that specifically defines the criteria for compliance with rest policies, including an emphasis that the rest requirements only apply between operational shifts, and policies governing "recuperative breaks" during the midnight shift.	FAA	\$0	\$0	\$0	Resolved
AV2013120 FAA's Controller Scheduling Practices Can Impact Human Fatigue, Controller Performance, and Agency Costs	8/27/2013	Identify the terminal air traffic facilities that do not meet the established minimum criteria for midnight shift operations and (a) evaluate the safety risks and benefits of reducing their hours of operation and (b) develop milestones for implementation of the reduction of operating hours at the selected facilities and report the status and justification for each selected facility to the OIG in 180 days.	FAA	\$0	\$0	\$0	Resolved
AV2013120 FAA's Controller Scheduling Practices Can Impact Human Fatigue, Controller Performance, and Agency Costs	8/27/2013	Expand the required rest audits of 9-hour rest requirement violations to include the 8-hour rest requirements, and continue the audits until the automated "flag" has been implemented nationwide.	FAA	\$0	\$0	\$0	Resolved
AV2013121 FAA is Making Progress But Improvements in Its Air Traffic Controller Facility Training Are Still Needed	8/27/2013	Develop and implement a formal policy to identify and disseminate locally developed training initiatives for use as best practices nationwide.	FAA	\$0	\$0	\$0	Resolved
AV2013121 FAA is Making Progress But Improvements in Its Air Traffic Controller Facility Training Are Still Needed	8/27/2013	Organize FAA controller training data into a single source that allows for detailed analysis of all training records for each controller.	FAA	\$0	\$0	\$0	Resolved
AV2013121 FAA is Making Progress But Improvements in Its Air Traffic Controller Facility Training Are Still Needed	8/27/2013	Evaluate the Operational Assessment Program to determine if it can be used to improve staffing composition at all critical air traffic facilities.	FAA	\$0	\$0	\$0	Resolved
SA2013133 Federated States of Micronesia National Government	9/13/2013	We recommend FAA ensure the Micronesia National Government complies with Equipment and Real Property Management requirements.	FAA	\$0	\$0	\$0	Resolved
SA2013133 Federated States of Micronesia National Government	9/13/2013	We recommend FAA recover \$37,094 from the Micronesia National Government.	FAA	\$0	\$37,094	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2014014 Quality Control Review of Audited Financial Statements for Fiscal Years 2013 and 2012, Federal Aviation Administration	12/13/2013	KPMG LLP recommended that FAA design and implement policies and procedures to ensure transactions recorded properly in the general ledger.	FAA	\$0	\$0	\$0	Resolved
QC2014014 Quality Control Review of Audited Financial Statements for Fiscal Years 2013 and 2012, Federal Aviation Administration	12/13/2013	KPMG LLP recommended that FAA design and implement policies and procedures to validate the completeness and accuracy of key inputs and assumptions that are the basis for transactions recorded to the general ledger.	FAA	\$0	\$0	\$0	Resolved
AV2014016 More Comprehensive Data Are Needed To Better Understand the Nation's Flight Delays and Their Causes	12/18/2013	Complete ongoing efforts to identify the underlying causes of delays attributed to late arriving aircraft and make them available on BTS's public Web site.	FAA	\$0	\$0	\$0	Resolved
AV2014016 More Comprehensive Data Are Needed To Better Understand the Nation's Flight Delays and Their Causes	12/18/2013	Establish and implement a policy to periodically update and publish the capacity benchmarks.	FAA	\$0	\$0	\$0	Resolved
AV2014017 FAA's Safety Data Analysis and Sharing System Shows Progress, but More Advanced Capabilities and Inspector Access Remain Limited	12/18/2013	Identify the FAA office with responsibility for disseminating aggregated de-identified ASIAs trends to both field and headquarters levels.	FAA	\$0	\$0	\$0	Resolved
AV2014017 FAA's Safety Data Analysis and Sharing System Shows Progress, but More Advanced Capabilities and Inspector Access Remain Limited	12/18/2013	Establish a mechanism for providing access to aggregated, de-identified ASIAs trends to each level of Flight Standards in a protected manner, including specific reporting frequency.	FAA	\$0	\$0	\$0	Resolved
AV2014017 FAA's Safety Data Analysis and Sharing System Shows Progress, but More Advanced Capabilities and Inspector Access Remain Limited	12/18/2013	Develop and issue guidance on how inspectors are to use aggregated, de-identified ASIAs trends to enhance air carrier safety risk identification and mitigation, including how ASIAs will interact with SAS.	FAA	\$0	\$0	\$0	Resolved
ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Create a training plan that clearly defines all air traffic controller training requirements, including proficiency training and training for new systems. The plan should also specify the training requirements to be performed by FAA certified professional controllers and those to be performed by the contractor.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Modify the award fees to (a) develop performance measures that motivate contractors to achieve program goals and (b) ensure that fees are paid only for performance that links to key training goals and does not conflict with other contract objectives.	FAA	\$0	\$0	\$0	Resolved
ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Implement a procedure to identify costs related to internal training performed by FAA controllers, such as a timekeeping code to record hours that controllers spend teaching classroom and simulator training, including any overtime hours accrued for training.	FAA	\$0	\$0	\$0	Resolved
ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Develop a plan to assess internal resources and verify that controllers will be available to teach training at each facility.	FAA	\$0	\$0	\$0	Resolved
ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Update cost estimates, and determine whether (a) training requirements can be met within the current contract value of \$859 million, (b) the acquisition should be rebaselined and/or recompeted, or (c) the remaining contract options should be exercised.	FAA	\$0	\$0	\$0	Resolved
ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Develop a process to ensure the contract files are maintained as required by FAA's Acquisition Management System.	FAA	\$0	\$0	\$0	Resolved
ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Perform an integrated baseline review to (a) identify the training requirements that should be included in the budget baseline, (b) identify the risks for maintaining the budget and plans for adequately mitigating those risks, and (c) determine whether resources are sufficient for completing the work.	FAA	\$0	\$0	\$0	Resolved
ZA2014018 FAA Needs to Improve ATCOTS Contract Management to Achieve Its Air Traffic Controller Training Goals	12/18/2013	Determine whether FAA should eliminate the cost incentive fee and modify the contract to a cost-plus-award-fee type.	FAA	\$14,100,000	\$0	\$0	Unresolved
AV2014031 Addressing Underlying Causes for NextGen Delays Will Require Sustained FAA Leadership and Action	2/25/2014	Develop criteria for high-priority decisions. The criteria should, at a minimum, consider those decisions critical to NextGen implementation and the related impact if a decision slips.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2014031 Addressing Underlying Causes for NextGen Delays Will Require Sustained FAA Leadership and Action	2/25/2014	Update the NextGen Management Board's charter to clearly define its oversight role for NextGen.	FAA	\$0	\$0	\$0	Resolved
AV2014031 Addressing Underlying Causes for NextGen Delays Will Require Sustained FAA Leadership and Action	2/25/2014	Document in its NAS Enterprise Architecture decision point database all decisions that are needed to achieve NextGen capabilities.	FAA	\$0	\$0	\$0	Unresolved
AV2014031 Addressing Underlying Causes for NextGen Delays Will Require Sustained FAA Leadership and Action	2/25/2014	Document in the updates to the NAS Enterprise Architecture roadmaps the rationale for pushing out, deleting, or changing a decision and its impact on other related decisions in the critical path of NextGen.	FAA	\$0	\$0	\$0	Unresolved
AV2014031 Addressing Underlying Causes for NextGen Delays Will Require Sustained FAA Leadership and Action	2/25/2014	Define and communicate the specific relationships and decision making authority among the Deputy Administrator, Assistant Administrator for NextGen, JPDO, and NextGen Management Board.	FAA	\$0	\$0	\$0	Unresolved
AV2014031 Addressing Underlying Causes for NextGen Delays Will Require Sustained FAA Leadership and Action	2/25/2014	Develop performance indicators to measure the progress of NextGen in meeting the intended goals from the reorganization. These indicators should include progress with regard to collaboration and coordination across Agency lines of business, the ability to set NextGen's strategic direction, and program performance.	FAA	\$0	\$0	\$0	Unresolved
AV2014035 FAA Oversight Is Inadequate To Ensure Proper Use of Los Angeles International Airport Revenue for Police Services and Maximization of Resources	4/8/2014	Determine the amount of diverted revenue, if any, from payments of unsupported or unauthorized police services that are recoverable by Los Angeles World Airports and require Los Angeles World Airports to recover these costs, plus interest, from the City of Los Angeles.	FAA	\$0	\$0	\$0	Resolved
AV2014036 Further Actions Are Needed To Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Add dedicated data fields in the VDRP electronic system for air carriers to describe the root causes associated with the non-compliance and identify whether the violation occurred due to the actions of an individual or a systemic problem.	FAA	\$0	\$0	\$0	Resolved
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 cause(s) determination to ensure repeat self-disclosure does not go undetected and potential systemic issues are identified.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2014036 Further Actions Are Needed To Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Require inspectors to use the dedicated field within the VDRP electronic system to document the surveillance performed as a result of self-disclosures.	FAA	\$0	\$0	\$0	Resolved
AV2014036 Further Actions Are Needed To Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Require inspectors to ensure that air carriers track any revisions to programs and procedures resulting from VDRP disclosures to prevent future modification without consideration of VDRP requirements.	FAA	\$0	\$0	\$0	Resolved
AV2014036 Further Actions Are Needed To Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Provide familiarization training to inspectors and office managers regarding VDRP guidance that allow the ASAP corrective actions to be used as the comprehensive fix for a voluntary disclosure when certain conditions are met.	FAA	\$0	\$0	\$0	Resolved
AV2014036 Further Actions Are Needed To Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Develop a mechanism to assist inspectors with surveillance planning, identification of safety issues, and monitoring trends for Part 121 air carrier.	FAA	\$0	\$0	\$0	Resolved
AV2014036 Further Actions Are Needed To Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Ensure that inspector's ability to obtain safety data is not further restricted through efforts to streamline voluntary safety programs.	FAA	\$0	\$0	\$0	Unresolved
AV2014036 Further Actions Are Needed To Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Analyze VDRP data from a national perspective to aid in the identification of system-wide trends and patterns that represent risks.	FAA	\$0	\$0	\$0	Unresolved
FI2014052 Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System	6/5/2014	Develop a process and timeline to ensure that all TFMS software and databases receive the most up-to-date software patches and releases supported by the vendors.	FAA	\$0	\$0	\$0	Resolved
FI2014052 Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System	6/5/2014	Prioritize and remediate all critical and high impact vulnerabilities identified in vulnerability scans and share information obtained from the vulnerability scans with designated TFMS personnel.	FAA	\$0	\$0	\$0	Resolved
FI2014052 Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System	6/5/2014	Prioritize and remediate all TFMS scheduled POAMs.	FAA	\$0	\$0	\$0	Resolved
FI2014052 Weaknesses Exist in FAA's Security Controls for the Traffic Flow Management System	6/5/2014	Enforce password complexity requirements for all TFMS accounts.	FAA	\$0	\$0	\$0	Unresolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2014056 Weak Processes Have Led to a Backlog of Flight Standards Certification Applications	6/12/2014	Require Northwest Mountain Regional Office to evaluate resources across its district offices and determine whether certification services can be shifted to other offices with greater resources availability and assess the extent to which this applies to other offices.	FAA	\$0	\$0	\$0	Unresolved
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, ensure that the replacement system for DOORS provides improved data entry, processing, and validation capabilities.	FAA	\$0	\$0	\$0	Resolved
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, provide airports with a list of best practices— including those identified in this report—for promoting the use of new DBE/ACDBE firms.	FAA	\$0	\$0	\$0	Resolved
ZA2014055 New Disadvantaged Business Enterprise Firms Face Barriers to Obtaining Work at the Nation's Largest Airports	6/12/2014	We recommend that FAA's Office of Civil Rights, in coordination with the Departmental Office of Civil Rights, require airports to annually report the number of new DBE/ACDBE participants as part of their existing data collection efforts.	FAA	\$0	\$0	\$0	Unresolved
AV2014057, FAA Faces Significant Obstacles in Advancing the Implementation and Use of Performance-Based Navigation Procedures	6/17/2014	Complete an action plan to address the Agency's report on "Obstacles to Performance Based Navigation Implementation" and develop milestones for when these solutions can be implemented.	FAA	\$0	\$0	\$0	Resolved
AV2014057, FAA Faces Significant Obstacles in Advancing the Implementation and Use of Performance-Based Navigation Procedures	6/17/2014	Establish firm requirements and schedules for all NAV Lean initiatives that will provide a basis and justification for future funding requests.	FAA	\$0	\$0	\$0	Resolved
AV2014057, FAA Faces Significant Obstacles in Advancing the Implementation and Use of Performance-Based Navigation Procedures	6/17/2014	Establish a process to measure the benefits of the NAV Lean initiatives on an ongoing basis to determine whether NAV Lean is achieving the desired outcomes.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2014059 FAA Is Not Effectively Managing Air Traffic Controller Mid-Term Bargaining Agreements	6/19/2014	Revise standard operating procedures to strictly enforce the involvement of Labor Relations Office (AHR-LMR) representatives during all mid-term bargaining prior to committing the Agency.	FAA	\$0	\$0	\$0	Resolved
AV2014059 FAA Is Not Effectively Managing Air Traffic Controller Mid-Term Bargaining Agreements	6/19/2014	Clarify the roles and responsibilities of the Labor Relations Office (AHR-LMR) and the Labor Technical Liaison.	FAA	\$0	\$0	\$0	Resolved
AV2014059 FAA Is Not Effectively Managing Air Traffic Controller Mid-Term Bargaining Agreements	6/19/2014	Provide refresher training to air traffic managers that interact with NATCA on labor relations management, including legal responsibilities and negotiation skills.	FAA	\$0	\$0	\$0	Resolved
AV2014060 FAA Operational and Programmatic Deficiencies Impede Integration of Runway Safety Technologies	6/26/2014	Develop and finalize timetables as to when ADS-B can be expected to impact surface surveillance systems through the use of moving map information in cockpit displays and surface alerts for pilots.	FAA	\$0	\$0	\$0	Resolved
AV2014060 FAA Operational and Programmatic Deficiencies Impede Integration of Runway Safety Technologies	6/26/2014	Develop specific milestones for integrating ASDE-X, ASSC, RWSL, and ADS-B based on coordination between offices involved in runway safety; identify the offices accountable for achieving these milestones; and publish this information in the FAA National Runway Safety Plan.	FAA	\$0	\$0	\$0	Resolved
AV2014061 FAA Faces Significant Barriers To Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Publish a report annually detailing ongoing research activities and progress FAA and other entities are making in their respective areas of responsibility to resolve technical challenges to safe integration of UAS.	FAA	\$0	\$0	\$0	Resolved
AV2014061 FAA Faces Significant Barriers To Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Establish a more detailed implementation plan with milestones and prioritized actions needed to advance UAS integration in the near, mid, and long term.	FAA	\$0	\$0	\$0	Resolved
AV2014061 FAA Faces Significant Barriers To Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Establish metrics to define progress in meeting implementation milestones as a basis for reporting to Congress.	FAA	\$0	\$0	\$0	Resolved
AV2014061 FAA Faces Significant Barriers To Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Establish milestones for the work needed to determine the appropriate classification system for unmanned aircraft as a basis for developing the UAS regulatory framework.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2014061 FAA Faces Significant Barriers To Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Establish a timeline for developing standardized training and procedures for air traffic controllers responsible for UAS operations.	FAA	\$0	\$0	\$0	Resolved
AV2014061 FAA Faces Significant Barriers To Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Assess and determine the requirements for automated tools to assist air traffic controllers in managing UAS operations in the NAS.	FAA	\$0	\$0	\$0	Resolved
AV2014061 FAA Faces Significant Barriers To Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Develop and implement a consistent process to review and approve COAs across FAA regions, adopt measures that increase process efficiency and oversight, and provide necessary guidance and training to inspectors.	FAA	\$0	\$0	\$0	Resolved
AV2014061 FAA Faces Significant Barriers To Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Complete airspace simulation and safety studies of the impact of UAS operations on air traffic control across all segments of the NAS.	FAA	\$0	\$0	\$0	Resolved
AV2014061 FAA Faces Significant Barriers To Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Develop a mechanism to verify that the UAS Integration Office, all FAA lines of business, and field safety inspectors are effectively coordinating their UAS efforts.	FAA	\$0	\$0	\$0	Resolved
AV2014061 FAA Faces Significant Barriers To Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Create a standardized framework for data sharing and analysis between FAA and UAS operators by (a) validating a sample of the data it currently receive from UAS operators; (b) finalizing an agreement with DoD for pertinent UAS operational data; and (c) completing development of a sharing and analysis database.	FAA	\$0	\$0	\$0	Unresolved
AV2014061 FAA Faces Significant Barriers To Safely Integrate Unmanned Aircraft Systems Into the National Airspace System	6/26/2014	Determine the specific types of data and information needed from each of the six planned test ranges to facilitate safe integration of UAS into the NAS.	FAA	\$0	\$0	\$0	Unresolved
AV2014062 FAA Lacks the Metrics and Data Needed To Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Ensure that all facilities implement and use new Cru X/ART task codes designed to better differentiate the tasks that controllers are completing.	FAA	\$0	\$0	\$0	Resolved
AV2014062 FAA Lacks the Metrics and Data Needed To Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Assess current controller productivity initiatives to determine whether they will achieve anticipated cost savings or productivity gains and document the results of this assessment.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2014062 FAA Lacks the Metrics and Data Needed To Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Develop a process to ensure future controller productivity initiatives include measurable milestones and cost and productivity goals.	FAA	\$0	\$0	\$0	Resolved
AV2014062 FAA Lacks the Metrics and Data Needed To Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Analyze its operational and financial data to identify opportunities to increase controller productivity and reduce operating costs.	FAA	\$0	\$0	\$0	Resolved
AV2014062 FAA Lacks the Metrics and Data Needed To Accurately Measure the Outcomes of Its Controller Productivity Initiatives	7/9/2014	Require controllers to maintain their own time-on-position records by signing in and out in Cru-X/ART.	FAA	\$0	\$0	\$0	Resolved
AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Resolve performance problems identified during FAA's independent operational testing on ADS-B. Also, conduct end-to-end testing of the ADS-B system to determine how it can be used by controllers and pilots to safely manage and separate traffic in the NAS during all phases of flight.	FAA	\$0	\$0	\$0	Unresolved
AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Develop a schedule and plan to expedite the continued development and deployment of SBS Monitor and ensure that the system is adequately staffed and funded so it can effectively access the performance and integrity of the ADS-B system now and as it evolves.	FAA	\$0	\$0	\$0	Unresolved
AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Develop and implement a plan to improve communications with the aviation community to ensure it understands the intended use of ADS-B services and applications being provided, including that ADS-B initial capabilities are for advisory use only.	FAA	\$0	\$0	\$0	Unresolved
AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Determine when FAA will be in a position to introduce and support ADS-B In capabilities for congested airports, and identify the changes that may be required for ADS-B ground and air components for using advanced ADS-B In capabilities.	FAA	\$0	\$0	\$0	Unresolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Develop a clearly defined and expedited schedule for determining the end-state for the ADS-B program with cost and schedule baselines, and provide written notification to Congress and other decision makers so that they have more complete information on the total program cost, schedule, and expected services.	FAA	\$0	\$0	\$0	Unresolved
AV2014105 ADS-B Benefits Are Limited Due to a Lack of Advanced Capabilities and Delays in User Equipage	9/11/2014	Determine whether cost savings could be realized by delaying payment of subscription fees for ADS-B services at locations where (a) users are not equipped with rule-compliant avionics to provide and receive ADS-B services at those locations and (b) air traffic control automation systems have not been modernized to support ADS-B services.	FAA	\$0	\$0	\$0	Unresolved
FI2014129 Actions Needed To Enhance Controls Over Travel Cards	9/18/2014	Work with the Department to implement an automated solution, which reduces the costs associated with the labor-intensive process of comparing cardholder travel card activity to travel claims.	FAA	\$0	\$0	\$0	Resolved
AV2014130 Management Limitations May Hinder FAA's Ability To Fully Implement and Assess the Effectiveness of Its Runway Safety Initiatives	9/25/2014	Expedite the development of metrics to determine whether runway incursions are actually increasing and to assess the effectiveness of implemented runway safety initiatives.	FAA	\$0	\$0	\$0	Resolved
AV2014130 Management Limitations May Hinder FAA's Ability To Fully Implement and Assess the Effectiveness of Its Runway Safety Initiatives	9/25/2014	Realign the Runway Safety Group outside of FAA's operational lines of business to ensure the office effectively provides oversight and coordinates activities for investigating and mitigating runway incursions.	FAA	\$0	\$0	\$0	Unresolved
FI2015009 FISMA 2014: DOT Has Made Progress, but Significant Weaknesses in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designee, take action to work with FAA to ensure automated scripts are properly configured to disable inactive user accounts in a timely manner. Create a POA&M with a planned completion date to monitor and track progress.	FAA	\$0	\$0	\$0	Unresolved
FI2015009 FISMA 2014: DOT Has Made Progress, but Significant Weaknesses in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designee, take action to work with FAA to revise their plan to effectively transition the remaining 32,266 users to require unprivileged PIV login. Create a POA&M with a planned completion date to monitor and track progress.	FAA	\$0	\$0	\$0	Unresolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2015010 Quality Control Review of the Audited Financial Statements for Fiscal Years 2014 and 2013 - Federal Aviation Administration	11/14/2014	KPMG recommended that the FAA improve existing processes and internal controls to ensure that PP&E retirements are identified, documented, and recorded timely.	FAA	\$0	\$0	\$0	Resolved
SA2015030 City of Kansas City, Missouri	3/2/2015	Ensure the City complies with Reporting Requirements. This Finding caused the Airport Improvement Program to receive a Qualified Opinion.	FAA	\$0	\$0	\$0	Resolved
AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Combine Hazardous Materials Voluntary Disclosure Reporting Program data with data from other sources, such as inspections, to identify trends signifying safety risk.	FAA	\$0	\$0	\$0	Resolved
AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Close Hazardous Materials Voluntary Disclosure Reporting Program cases only after air carriers provide evidence of completion of corrective actions and self-audits.	FAA	\$0	\$0	\$0	Resolved
AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Require air carriers to provide FAA with sufficient evidence of completion of corrective actions and self-audits.	FAA	\$0	\$0	\$0	Resolved
AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Clarify how Hazardous Materials Voluntary Disclosure Reporting Program requirements are to be met, such as defining what constitutes serious violations and determining under what circumstances repeat violations could be accepted.	FAA	\$0	\$0	\$0	Resolved
AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Provide training to the FAA Regions on Hazardous Materials Voluntary Disclosure Reporting Program requirements or policies.	FAA	\$0	\$0	\$0	Resolved
AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Verify that FAA Regions consistently meet the requirements of the Hazardous Materials Voluntary Disclosure Reporting Program.	FAA	\$0	\$0	\$0	Resolved
AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Require Regions to enter data from Hazardous Materials Voluntary Disclosure Reporting Program cases into the Aviation Hazmat Portal database.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Verify that FAA Regions record detailed information on voluntary disclosure cases into the Aviation Hazmat Portal database.	FAA	\$0	\$0	\$0	Resolved
AV2015034 Program and Data Limitations Impede the Effectiveness of FAA's Hazardous Materials Voluntary Disclosure Reporting Program	3/13/2015	Develop an automated system, such as a Web site, to allow air carriers to report potential violations under the Hazardous Materials Voluntary Disclosure Reporting Program.	FAA	\$0	\$0	\$0	Unresolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommends that FAA ensure that all security weaknesses identified during reviews performed by or on behalf of the agency, including Government Accountability Office audits, financial audits, system status reports, and critical infrastructure vulnerability assessments are included in the Cyber Security Assessment Manager POA&M tracker for LIS.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG continues to recommend that FAA develop and implement a process to formally identify, assess, and document the impact of errors, misclassifications and departures from GAAP in the financial statements and accompanying notes, including an assessment as to whether the errors are material in relation to the financial statements as a whole, both in current and future periods. The assessment should be reviewed by an appropriate level of management.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended FAA develop and implement monitoring controls to ensure costs and revenues are mapped to the appropriate strategic priority.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA enhance policies and procedures related to the review of journal vouchers to include a requirement that the initial review of journal vouchers occur before the journal voucher is posted to the general ledger.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA revise policies and procedures to clarify or remove the second-level review requirement.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA continue to emphasize the timely de-obligation of inactive UDOs through training and communication to the various lines of business.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA continue to perform quarterly obligation reviews to monitor the validity of inactive UDOs.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA correct the set-up of the GSA vendor in the vendor table.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA develop and implement policies and procedures to accumulate a listing of new sites identified during the Environmental Site Cleanup Report (ESCR) preparation period and to assess the impact of the new sites to the Environmental Remediation (ER) liability.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA develop and implement policies and procedures to specify the number of days within which the checklists related to new sites should be reviewed.	FAA	\$0	\$0	\$0	Resolved
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 management enhance their policies and procedures to include the nature and extent of monitoring procedures to be performed by the RO/ADO during their quarterly review of payments made by sponsors with a nominal risk level.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA enhance monitoring procedures to ensure that expenses are recorded in the proper period and accruals are complete.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommends that the FAA Oklahoma City Shared Service Center enhance its monitoring controls to ensure that someone other than the HR Specialist who prepares the SF50 (Notification of Personnel Action) review the SF50 to verify the information from the employee election form is properly recorded.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA design and implement procedures to validate the completeness and accuracy of key inputs provided by other organizations within FAA, including a periodic review of the key assumptions.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA fully research and document its conclusions on the proper treatment of the sick leave buyback provisions in accordance with SFFAS No. 5.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended that FAA strengthen password complexity configurations for LIS and SOAR, in accordance with the DOT Cyber Security Compendium.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended FAA obtain a waiver from the DOT Chief Information Officer to relieve FAA of the implementation requirements within the DOT Cyber Security Compendium.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommends that FAA update the LIS SSP to reflect the current security audit log mechanisms in place, and develop and implement procedures requiring periodic reviews of LIS audit logs. The procedures should include the items being reviewed and the frequency within which the reviews should occur.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommend that FAA perform semi-annual reviews of all privileged user accounts, and their associated access levels, in accordance with the DOT Cyber Security Compendium, and include documented approval(s).	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommend that FAA develop and implement procedures for granting physical access to the data center.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommends that FAA develop and implement procedures for retaining authorizing documents for those individuals that are granted access.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommends that FAA develop and implement procedures for performing periodic reviews of access rights for existing data center users.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommend that the FAA management develop and implement procedures that require the timely notification of LIS administrator(s) when LIS users are terminated and/or it is determined that a user's access to LIS is no longer required.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended to finalize the policies and procedures that specify the number of days within which property identified for disposal should be retired and recorded in the general ledger.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended to provide training to the various regions and property owners once the policies and procedures noted in recommendations 1 above are finalized and implemented.	FAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended to continue to perform alternative procedures to assess the materiality of depreciation expense and loss on retirements for assets that were retired in prior years but have not been recorded in the general ledger until the current year.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommended FAA complete a more detailed review of manual journal entries to verify the entry was made in accordance with the appropriate USSGL transaction code.	FAA	\$0	\$0	\$0	Resolved
QC2015037 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Federal Aviation Administration	3/31/2015	KPMG recommends FAA identify all procedures previously provided by Bureau of Fiscal Services (BFS) to account for the activities of the AATF and incorporate those procedures into the FAA's financial reporting process.	FAA	\$0	\$0	\$0	Resolved
AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Develop helicopter-specific accident reduction goals and communicate them in FAA planning documents and business plans.	FAA	\$0	\$0	\$0	Unresolved
AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Expand the criteria for dedicated certificate management teams and use of SEP for HEMS operators with 20 to 24 aircraft.	FAA	\$0	\$0	\$0	Unresolved
AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Conduct a workforce assessment that includes a determination of whether: <ul style="list-style-type: none"> a. inspectors are at the right locations to provide adequate surveillance of the growing number of HEMS certificates, b. it has the correct number of inspectors with the required specialized knowledge, and c. district office inspector workload is adequately measured in complexity ratings and balanced between district offices. 	FAA	\$0	\$0	\$0	Unresolved
AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Review and revise inspector hiring and training policies so that they provide sufficient flight and aircraft systems experience and training needed for inspectors to successfully accomplish their surveillance duties.	FAA	\$0	\$0	\$0	Unresolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Develop and implement a plan to provide inspectors access to new technology training opportunities and leverage both airplane and helicopter training if needed in their surveillance requirements.	FAA	\$0	\$0	\$0	Unresolved
MH2009013 National Bridge Inspection Program: Assessment of FHWA's Implementation of Data-Driven, Risk-Based Oversight	1/12/2009	Increase FHWA's use of element-level data by incorporating AASHTO's updated standards into the NBIS through the rulemaking process.	FHWA	\$0	\$0	\$0	Resolved
MH2009013 National Bridge Inspection Program: Assessment of FHWA's Implementation of Data-Driven, Risk-Based Oversight	1/12/2009	Increase FHWA's use of element-level data by developing and implementing a plan to collect element-level data after AASHTO's updated standards have been incorporated into the NBIS.	FHWA	\$0	\$0	\$0	Resolved
ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Revise the CFR to require D&E firms to certify that all indirect costs claimed on Federal-aid contracts are allowable.	FHWA	\$0	\$0	\$0	Resolved
ZA2009033 Review of Contractor Overhead and Compensation Under Grants, FHWA	2/5/2009	Revise the CFR to provide state DOTs authority to assess penalties when contractors knowingly claim expressly unallowable costs.	FHWA	\$0	\$0	\$0	Resolved
ZA2009033 Review of Contractor Overhead and Compensation Under Grants, FHWA	2/5/2009	Revise the CFR to assign specific responsibility and accountability for overseeing audit work performed by CPA firms hired by D&E firms.	FHWA	\$0	\$0	\$0	Resolved
ZA2009033 Review of Contractor Overhead and Compensation Under Grants, FHWA	2/5/2009	Recover the \$2.8 million in unallowable executive compensation and \$1.6 million in other unallowable indirect charges.	FHWA	\$0	\$4,400,000	\$0	Resolved
ZA2009033 Review of Contractor Overhead and Compensation Under Grants, FHWA	2/5/2009	Establish a process for monitoring and ensuring that State DOTs implement Section 307.	FHWA	\$0	\$0	\$0	Resolved
ZA2009033 Review of Contractor Overhead and Compensation Under Grants, FHWA	2/5/2009	By implementing the recommendations in this report, FHWA could put approximately \$30.2 million in future Federal-aid funds to better use.	FHWA	\$30,200,000	\$0	\$0	Resolved
MH2010039 Assessment of FHWA Oversight of the Highway Bridge Program and the National Bridge Inspection Program	1/14/2010	Collect and analyze HBP expenditure data on a regular basis to identify activities undertaken by states such as bridge replacement and rehabilitation to improve the condition of the Nation's deficient bridges.	FHWA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
MH2010039 Assessment of FHWA Oversight of the Highway Bridge Program and the National Bridge Inspection Program	1/14/2010	Report regularly to internal and external stakeholders on the effectiveness of states' efforts to improve the condition of the Nation's deficient bridges based on the analysis of HBP expenditure data and an evaluation of progress made in achieving performance targets.	FHWA	\$0	\$0	\$0	Resolved
SA2011154 Government of Guam	8/18/2011	We recommend that FHWA ensure the Government of Guam complies with Equipment and Real Property Management requirements, and conduct a physical inventory of all equipment.	FHWA	\$0	\$0	\$0	Resolved
ZA2012084 Lessons Learned From ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Complete a nationwide assessment to determine current levels of competition for Federal-aid contracts; evaluate factors affecting competition; identify State DOT contract award practices that may need improvement; and address perceived barriers to State DOT implementation of FHWA, AASHTO, and other best practices for improving competition.	FHWA	\$179,000,000	\$0	\$0	Resolved
ZA2012084 Lessons Learned From ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Mandate the confidentiality of potential and actual bidders' names and engineer's estimates, as currently recommended in FHWA's competitive bidding and contract award guidance.	FHWA	\$0	\$0	\$0	Resolved
ZA2012084 Lessons Learned From ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Implement policies and procedures for ensuring that each State DOT establishes and uses a written, FHWA-approved plan for evaluating competition. These plans should address assessing bidder interest levels, evaluating and documenting decisions on bids that vary significantly from the engineer's estimate, conducting and documenting bid analysis, identifying and mitigating perceived barriers to increasing competition, and adequately documenting final award decisions.	FHWA	\$0	\$0	\$0	Resolved
ZA2012084 Lessons Learned From ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Develop and implement effective performance measures and metrics to assess and trend State DOT contract award practices, document concerns, and share best practices with other State DOTs.	FHWA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ZA2012084 Lessons Learned From ARRA: Improved FHWA Oversight Can Enhance States' Use of Federal-aid Funds	4/5/2012	Establish standard FHWA Division Office requirements for performing and documenting oversight of State contracting activity, including stewardship agreement requirements for (a) FHWA approval of procurement policies and procedures and (b) FHWA verification that State DOTs have determined a potential winning bidder's status on the Excluded Parties Listing System list prior to contract award.	FHWA	\$0	\$0	\$0	Resolved
SA2012093 Salt River Pima-Maricopa Indian Community, Arizona	4/23/2012	Ensure the Community complies with Procurement, Suspension and Debarment requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2012163 Mescalero Apache Tribe, New Mexico	7/30/2012	Ensure that the Tribe complies with Allowable Costs/Cost Principles requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2012163 Mescalero Apache Tribe, New Mexico	7/30/2012	Ensure the Tribe complies with Reporting requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2012164 St. Croix Chippewa Indians of Wisconsin	7/30/2012	Ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2012171 State of Illinois	8/30/2012	Ensure the State accurately reports Federal Expenditures on the SEFA.	FHWA	\$0	\$0	\$0	Resolved
SA2012183 Confederated Tribes of the Urban Springs Reservation of Oregon	9/17/2012	Ensure the Tribes comply with Federal Financial Reporting requirements.	FHWA	\$0	\$0	\$0	Resolved
MH2013001 Improvements to Stewardship and Oversight Agreements Are Needed To Enhance Federal-aid Highway Program Management	10/1/2012	Establish basic Agreement requirements and standards that include Federal requirements, FHWA program risks, and priorities.	FHWA	\$0	\$0	\$0	Resolved
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 require Division Offices to document their rationale for not addressing significant requirements, risks, and priorities in their Agreements.	FHWA	\$0	\$0	\$0	Resolved
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 require DFS approval for such actions.	FHWA	\$0	\$0	\$0	Resolved
MH2013001 Improvements to Stewardship and Oversight Agreements Are Needed To Enhance Federal-aid Highway Program Management	10/1/2012	Implement a coordinated and effective data-driven, risk-based approach for Division Offices and Directors of Field Services to review Agreements annually and make timely revisions when appropriate.	FHWA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
MH2013001 Improvements to Stewardship and Oversight Agreements Are Needed To Enhance Federal-aid Highway Program Management	10/1/2012	Enforce the requirement for Directors of Field Services to sign Agreements, as specified in FHWA's Delegation and Organization Manual, or change the Delegation and Organization Manual to allow Division Administrators to sign the Agreements and require Directors of Field Services to formally document elsewhere that they reviewed and approved the Agreements.	FHWA	\$0	\$0	\$0	Resolved
MH2013012 FHWA Has Opportunities to Improve Oversight of ARRA High Dollar Projects and the Federal-Aid Highway Program	11/14/2012	Verify that Division Offices review each State's procedures for estimating costs, including procedures to conduct periodic reviews and to address significant changes in market conditions.	FHWA	\$0	\$0	\$0	Resolved
SA2013022 Pueblo of Zia, New Mexico	11/19/2012	Ensure the Pueblo of Zia complies with ARRA Reporting requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2013041 Government of the United States Virgin Islands	2/12/2013	Ensure the Government of the U.S. Virgin Islands complies with Cash Management requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2013105 Pueblo of Pojoaque, New Mexico	7/12/2013	Recover \$233,610 from the Pueblo, if applicable.	FHWA	\$0	\$233,610	\$0	Resolved
SA2013111 Cheyenne River Sioux Tribe, South Dakota	7/12/2013	Ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2013111 Cheyenne River Sioux Tribe, South Dakota	7/12/2013	Recover \$199,333 from the Tribe, if applicable.	FHWA	\$0	\$199,333	\$0	Resolved
MH2013122 FHWA Is Monitoring Unexpended Recovery Act Highway Funds, but Some Funds May Remain Unused	9/4/2013	Implement a process to obtain more complete data and determine more accurately how much recovered funding States need in excess of the authority FHWA has provided to obligate recovered funds.	FHWA	\$0	\$0	\$0	Resolved
MH2013122 FHWA Is Monitoring Unexpended Recovery Act Highway Funds, but Some Funds May Remain Unused	9/4/2013	Revise its August 26, 2010, policy regarding the treatment of recovered ARRA funds for upward adjustments to clearly state that (a) upward adjustments that do not constitute a contract change are not subject to the \$25 million notification limitation, (b) pay claims and increases under escalation clauses are eligible for ARRA recovered funds, and (c) the \$25 million limitation applies to the individual ARRA programs and not to the entire ARRA appropriations account.	FHWA	\$0	\$0	\$0	Unresolved
SA2013127 Government of Guam	9/13/2013	Ensure the Government of Guam complies with Equipment and Real Property Management requirements.	FHWA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
MH2014003 Opportunities Exist To Strengthen FHWA's Coordination, Guidance, and Oversight of the Tribal Transportation Program	10/30/2013	Coordinate with BIA to update the Memorandum of Agreement and Stewardship Plan to reflect FLH's role to directly assist tribes, and define coordination between FLH and BIA regional offices.	FHWA	\$0	\$0	\$0	Resolved
MH2014003 Opportunities Exist To Strengthen FHWA's Coordination, Guidance, and Oversight of the Tribal Transportation Program	10/30/2013	Create a centralized database to capture financial and status information for tribal transportation projects.	FHWA	\$0	\$0	\$0	Resolved
MH2014003 Opportunities Exist To Strengthen FHWA's Coordination, Guidance, and Oversight of the Tribal Transportation Program	10/30/2013	Coordinate with BIA to revise the TTP regulation to reflect FLH's role to directly assist tribes and clarify the requirements for allowable uses of funds.	FHWA	\$0	\$0	\$0	Resolved
MH2014003 Opportunities Exist To Strengthen FHWA's Coordination, Guidance, and Oversight of the Tribal Transportation Program	10/30/2013	Revise Tribal Transportation Improvement Program guidance to ensure consistent definitions of key terminology, particularly financial constraint, and require tribes to provide more detailed information on project scope and funding sources.	FHWA	\$0	\$0	\$0	Resolved
SA2014045 Spirit Lake Tribe North Dakota	5/21/2014	We recommend FHWA recover \$17,190 from the Tribe, if applicable.	FHWA	\$0	\$17,190	\$0	Resolved
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, base on its guidance.	FHWA	\$0	\$0	\$0	Resolved
SA2014072 Klawock Cooperative Association, Alaska	8/1/2014	Recover \$19,004 from the Association, if applicable.	FHWA	\$0	\$19,004	\$0	Resolved
SA2014073 Commonwealth of the Northern Mariana Island	8/1/2014	Recover \$12,515 from the Commonwealth, if applicable.	FHWA	\$0	\$12,515	\$0	Resolved
SA2014077 Wyoming Department of Transportation	8/1/2014	Ensure the Department complies with Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014077 Wyoming Department of Transportation	8/1/2014	Ensure the Department complies with Cash Management Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014077 Wyoming Department of Transportation	8/1/2014	Ensure the Department complies with Davis-Bacon Act Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014077 Wyoming Department of Transportation	8/1/2014	Ensure the Department complies with Reporting Requirements.	FHWA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
SA2014077 Wyoming Department of Transportation	8/1/2014	Ensure the Department complies with the Procurement, Suspension and Debarment Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014081 Government of the United States Virgin Islands	8/1/2014	Ensure the Government of the U.S. Virgin Islands complies with Cash Management Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014082 State of Florida	8/1/2014	We recommend FHWA ensure the State complies with the Activities Allowed or Unallowed and Allowable Cost/Cost Principles Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014084 State of Georgia	8/1/2014	Ensure the State complies with Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	\$0	Resolved
MH2014089 FHWA Has Not Fully Implemented All MAP-21 Bridge Provisions and Prior OIG Recommendations	8/21/2014	Establish a target date for completing the asset management plan final rule.	FHWA	\$0	\$0	\$0	Resolved
MH2014089 FHWA Has Not Fully Implemented All MAP-21 Bridge Provisions and Prior OIG Recommendations	8/21/2014	Included a summary of the cost to replace structurally deficient bridges as part of FHWA's required bridge inventory report to Congress	FHWA	\$0	\$0	\$0	Resolved
SA2014096 State of Connecticut	9/8/2014	We recommend FHWA ensure the State complies with Reporting Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014099 State of Hawaii Department of Transportation Highway Division	9/10/2014	We recommend FHWA ensure the Division complies with Cash Management Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014099 State of Hawaii Department of Transportation Highway Division	9/10/2014	We recommend FHWA ensure the Division complies with Davis-Bacon Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014099 State of Hawaii Department of Transportation Highway Division	9/10/2014	We recommend FHWA ensure the Division complies with Allowable Costs/Cost Principles Requirements and recover \$111,284 from the Division, if applicable.	FHWA	\$0	\$111,284	\$0	Resolved
SA2014100 State of California	9/10/2014	We recommend FHWA ensure the State complies with Special Tests and Provisions Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014111 Government of Guam	9/12/2014	We recommend FHWA ensure the Government of Guam complies with Equipment and Real Property Management Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014112 National Academy of Sciences, D.C.	9/12/2014	We recommend FHWA ensure the Academy complies with Reporting Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014112 National Academy of Sciences, D.C.	9/12/2014	We recommend FHWA ensure the Academy complies with Cash Management Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014115 State of Texas	9/12/2014	We recommend FHWA ensure the State complies with Davis-Bacon Act Requirements.	FHWA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
SA2014115 State of Texas	9/12/2014	We recommend FHWA ensure the State complies with Special Tests and Provisions Requirements and recover \$13,700 from the State, if applicable.	FHWA	\$0	\$13,700	\$0	Resolved
SA2014116 State of Illinois	9/12/2014	We recommend FHWA ensure the State complies with Reporting Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014116 State of Illinois	9/12/2014	We recommend FHWA ensure the State complies with Special Tests and Provisions Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014116 State of Illinois	9/12/2014	We recommend FHWA ensure the State complies with Procurement and Suspension and Debarment Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014116 State of Illinois	9/12/2014	We recommend FHWA ensure the State complies with Information System Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014116 State of Illinois	9/12/2014	We recommend FHWA ensure the State complies with Davis-Bacon Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014116 State of Illinois	9/12/2014	We recommend FHWA ensure the State complies with Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014123 United States Virgin Island	9/17/2014	We recommend FHWA ensure the USVI complies with Cash Management Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2014128 Cheyenne River Sioux Tribe, South Dakota	9/17/2014	We recommend FHWA recover \$152,057 from the Tribe, if applicable.	FHWA	\$0	\$152,057	\$0	Resolved
ZA2015002 FHWA's Federal Lands Highway Program Lacks Adequate Processes for Thoroughly Evaluating Contract Bid Prices	10/9/2014	Develop and implement policies and procedures instructing that FAR requirements, and FHWA and AASHTO guidance are followed for evaluating bids to determine price reasonableness.	FHWA	\$0	\$0	\$0	Resolved
ZA2015002 FHWA's Federal Lands Highway Program Lacks Adequate Processes for Thoroughly Evaluating Contract Bid Prices	10/9/2014	Establish internal controls to ensure that FLH Division personnel adhere to such policies and procedures to establish price reasonableness.	FHWA	\$0	\$0	\$0	Resolved
QC2015011 Quality Control Review of the Audited Consolidated Financial Statements for Fiscal Year 2014 and 2013 Department of Transportation	11/17/2014	KPMG recommend that FHWA work with OMB to develop and document policies and procedures on the appropriate accounting treatment for the execution and year-end reporting of UCOs entered into with non-Federal entities without an advance of funds.	FHWA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ST2015018 FHWA Met Basic Requirements But Can Strengthen Guidance and Controls For Financial and Project Management Plans	1/27/2015	Develop and implement controls to ensure that FHWA reviews and accepts the initial financial plan before authorizing Federal funds for major project construction.	FHWA	\$0	\$0	\$0	Resolved
ST2015018 FHWA Met Basic Requirements But Can Strengthen Guidance and Controls For Financial and Project Management Plans	1/27/2015	Develop and implement controls to ensure that all Division Offices follow FHWA's financial plan and project management plan guidance when overseeing major projects. Specifically, these controls should ensure that (a) cost estimate reviews assess all major project cost elements, and these cost elements are documented in detail; (b) any changes to major project costs between the cost estimate review workshop and the approval of the initial financial plan are documented; (c) States submit integrated project schedules that clearly identify the project's critical path, and FHWA uses them to monitor project progress; and (d) annual financial plan updates provide updated information on project risks and mitigation strategies.	FHWA	\$0	\$0	\$0	Resolved
ST2015018 FHWA Met Basic Requirements But Can Strengthen Guidance and Controls For Financial and Project Management Plans	1/27/2015	Develop and implement controls to ensure that FHWA Division Offices verify that there is reasonable assurance of sufficient toll-based financing, if applicable, before accepting a project's initial financial plan.	FHWA	\$0	\$0	\$0	Resolved
ST2015018 FHWA Met Basic Requirements But Can Strengthen Guidance and Controls For Financial and Project Management Plans	1/27/2015	Clarify financial plan guidance by (a) defining when States are required to develop baseline project cost estimates and baseline project schedules, as well as specify the level of detail required for these baselines, and (b) defining when guidance requirements apply to specific project delivery methods or projects involving alternative financing mechanisms, such as TIFIA loans.	FHWA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ST2015018 FHWA Met Basic Requirements But Can Strengthen Guidance and Controls For Financial and Project Management Plans	1/27/2015	Strengthen project management plan guidance by (a) defining what constitutes a significant change that would trigger a project management plan update, including examples and (b) requiring periodic, documented assessments of States' implementation of their project management plans to ensure that States fulfill commitments detailed in their plans.	FHWA	\$0	\$0	\$0	Resolved
SA2015021 Klawock Cooperative Association, Klawock, Alaska	2/6/2015	We recommend FHWA ensure the Association complies with the Activities Allowed/Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2015021 Klawock Cooperative Association, Klawock, Alaska	2/6/2015	We recommend FHWA recover \$13,869 from the Association, if applicable.	FHWA	\$0	\$13,869	\$0	Resolved
SA2015021 Klawock Cooperative Association, Klawock, Alaska	2/6/2015	We recommend FHWA ensure the Association complies with Cash Management Requirements.	FHWA	\$0	\$0	\$0	Resolved
SA2015021 Klawock Cooperative Association, Klawock, Alaska	2/6/2015	We recommend FHWA recover \$16,653 from the Association, if applicable.	FHWA	\$0	\$16,653	\$0	Resolved
SA2015024 Jicarilla Apache Nation, Dulce, New Mexico	2/6/2015	We recommend FHWA recover \$9,548 from Jicarilla Apache Nation, if applicable.	FHWA	\$0	\$9,548	\$0	Resolved
ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risks	2/18/2015	Revise the quality assurance review process to fully communicate the results of the annual reviews to appropriate Division Offices and track the actions taken to address its recommendations.	FHWA	\$0	\$0	\$0	Resolved
ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risks	2/18/2015	Revise Bridge Program Manual guidance to specify how Division Offices should combine and report results when separate assessments of the National Bridge Inspection Standards oversight metrics are performed.	FHWA	\$0	\$0	\$0	Resolved
ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risks	2/18/2015	Establish a process for Division Offices to promptly inform the FHWA Headquarters Office of Bridges and Structures when additional resources are needed to complete a review of the State's bridge inspection program and for the Office of Bridges and Structures to coordinate the necessary support.	FHWA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risks	2/18/2015	Develop and implement a comprehensive risk management process for NBIPOT to identify, report, and track mitigation actions for high-priority risks to bridge safety at the national level. The process should incorporate best practices consistent with FHWA's risk management framework.	FHWA	\$0	\$0	\$0	Resolved
ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risks	2/18/2015	Establish a consolidated source of guidance on documenting the National Bridge Inspection Standards oversight reviews in the Assessment Reporting Tool that allows Division Offices to easily identify or locate relevant information.	FHWA	\$0	\$0	\$0	Resolved
ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Implement a national plan that outlines steps for Division Offices to expedite ARRA project closeouts. This plan should include a mechanism to ensure up-to-date estimates of project completion and close-out dates for the remaining active ARRA projects.	FHWA	\$0	\$0	\$0	Resolved
ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Develop and implement a mechanism to track States' backlogs of project closeouts for both ARRA and non-ARRA Federal-aid projects.	FHWA	\$0	\$0	\$0	Resolved
ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Develop and implement a national strategy to work with the States to reduce annual backlogs of project closeouts.	FHWA	\$0	\$0	\$0	Resolved
ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Address all project close-out recommendations made in the 2013 and 2014 PMIT reviews.	FHWA	\$0	\$0	\$0	Resolved
ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Monitor project close-out timeliness by developing and implementing national close-out timeframes and performance measures.	FHWA	\$0	\$0	\$0	Resolved
ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	After implementation of national close-out timeframes and performance measures, review each Division Office's Standard Operating Procedures to assess consistency with FHWA's national policy.	FHWA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ST2015029 Most FHWA ARRA Projects Will Be Closed Out Before Funds Expire, but Weaknesses in the Project Close-out Process Persist	3/2/2015	Develop and implement a standard definition for the project completion date field in FMIS and require States to manually enter the project completion date into FMIS.	FHWA	\$0	\$0	\$0	Resolved
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommend that FHWA strengthen its controls for removing access of separated employees and contractors to ensure that access is removed immediately upon termination or at the point in time when access is no longer required, and ensure that other DOT components are aware of the requirement to immediately notify FHWA of separations.	FHWA	\$0	\$0	\$0	Resolved
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommend that FHWA management increase the precision of the FMIS user access review to include a review performed at the division level over the appropriateness of user access and access rights.	FHWA	\$0	\$0	\$0	Resolved
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommend that FHWA review the inputs into the cash flow model to ensure that the inputs are complete and accurate and agree to the underlying supporting documentation.	FHWA	\$0	\$0	\$0	Resolved
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommend that FHWA review the consolidated financial statements and footnote disclosures to ensure that they are prepared in accordance with the applicable accounting standards and contain all required disclosures.	FHWA	\$0	\$0	\$0	Resolved
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommend that FHWA continue to take appropriate measures to ensure the audit logs are reviewed timely and documentation of the review is maintained.	FHWA	\$0	\$0	\$0	Resolved
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommend that FHWA management increase the level of precision of the monthly user access review process to evaluate user access based on "least privileged" necessary to perform their assigned tasks.	FHWA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
MH2012087 Timely and Targeted FMCSA Action Is Needed To Fully Address National Transportation Safety Board Recommendations for Improving Passenger Carrier Oversight	4/17/2012	Publish a final rule on passenger carrier leasing with requirements similar to those for property carriers.	FMCSA	\$0	\$0	\$0	Resolved
MH2012087 Timely and Targeted FMCSA Action Is Needed To Fully Address National Transportation Safety Board Recommendations for Improving Passenger Carrier Oversight	4/17/2012	Work with the National Highway Traffic Safety Administration and U.S. Customs and Border Protection to develop and implement a risk-based solution, in compliance with the National Traffic and Motor Vehicle Safety Act of 1966, to target enforcement against U.S.-domiciled passenger carriers whose vehicles do not meet Federal Motor Vehicle Safety Standards.	FMCSA	\$0	\$0	\$0	Resolved
MH2014007 Improvements Needed in FMCSA's Plan for Inspecting Buses at the United States-Mexico Border	11/26/2013	Negotiate a written agreement with United States Customs and Border Protection, at the Headquarters level, to establish standard inspection protocols for safe and efficient bus inspections across the border.	FMCSA	\$0	\$0	\$0	Resolved
MH2014032 Actions Are Needed To Strengthen FMCSA's Compliance, Safety, Accountability Program	3/5/2014	Develop a comprehensive plan to fully implement CSA enforcement interventions in the remaining 41 States. The plan should include an estimated completion date and milestones for releasing Senti software, developing and delivering training, and using the enforcement interventions.	FMCSA	\$0	\$0	\$0	Resolved
CR2012072 FRA Has Made Progress in Implementing PRIIA Responsibilities But Challenges for Long-Term HSIPR Remain	3/6/2012	Complete the National Rail Plan and include in it measurable performance goals and clear stakeholder roles.	FRA	\$0	\$0	\$0	Resolved
CR2012072 FRA Has Made Progress in Implementing PRIIA Responsibilities But Challenges for Long-Term HSIPR Remain	3/6/2012	Publish final rules for PRIIA grant programs that include clear, detailed directions for prospective applicants.	FRA	\$0	\$0	\$0	Resolved
QC2013020 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2012 and 2011	11/15/2012	KPMG recommended that FRA perform the required retrospective review or look back analysis to validate its grant accrual methodology in accordance with generally accepted accounting principles and the DOT Financial Management Policies Manual.	FRA	\$0	\$0	\$0	Resolved
SA2013134 National Railroad Passenger Corporation, AMTRAK	9/13/2013	We recommend FRA ensure that AMTRAK complies with Cash Management requirements.	FRA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
SA2013134 National Railroad Passenger Corporation, AMTRAK	9/13/2013	We recommend FRA ensure that AMTRAK complies with Special Tests and Provisions requirements.	FRA	\$0	\$0	\$0	Resolved
CR2014010 National Environmental Policy Act: FRA Coordinates As Required But Opportunities Exist to Modernize Procedures and Improve Project Delivery	12/5/2013	Update NEPA implementing procedures to reflect applicable environmental law and requirements and CEQ guidance, including the development of processes and timelines for updating categorical exclusions according to CEQ recommendations.	FRA	\$0	\$0	\$0	Resolved
FI2014033 Inadequate Planning, Limited Revenue, and Rising Costs Undermine Efforts To Sustain Washington, DC's Union Station	4/1/2014	We also recommend that the Federal Railroad Administrator: Define and communicate the extent of FRA's authority in the authority having jurisdiction (AHJ) role to the appropriate parties; designate individuals or offices within FRA to assume responsibility for AHJ tasks; and oversee compliance with building and safety codes, and their process for reviewing and enforcing building code and safety issues that may arise.	FRA	\$0	\$0	\$0	Resolved
FI2014033 Inadequate Planning, Limited Revenue, and Rising Costs Undermine Efforts To Sustain Washington, DC's Union Station	4/1/2014	We recommend that the Secretary and the Federal Railroad Administrator, or their designees, as Chair and member of the Union Station Redevelopment Corporation Board of Directors pursue actions to: Update Union Station Redevelopment Corporation's Union Station Master Plan to include coordination with Amtrak, Akridge, and other related stakeholders.	FRA	\$0	\$0	\$0	Resolved
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 complete a thorough reserve study for Union Station.	FRA	\$0	\$0	\$0	Resolved
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 conduct a building assessment to identify and quantify deficiencies on nonstructural components.	FRA	\$0	\$0	\$0	Resolved
FI2014033 Inadequate Planning, Limited Revenue, and Rising Costs Undermine Efforts To Sustain Washington, DC's Union Station	4/1/2014	We also recommend that the Federal Railroad Administrator: As the authority having jurisdiction, direct USRC to perform a full structural analysis on the building's structural components.	FRA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
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: Evaluate all possibilities to maximize revenues.	FRA	\$0	\$0	\$0	Resolved
SA2014096 State of Connecticut	9/8/2014	We recommend FRA ensure the State complies with Reporting Requirements.	FRA	\$0	\$0	\$0	Unresolved
SA2014108 State of Michigan	9/12/2014	We recommend FRA ensure the State complies Matching, Level of Effort, and Earmarking Requirements.	FRA	\$0	\$0	\$0	Resolved
SA2014108 State of Michigan	9/12/2014	We recommend FRA ensure the State complies with Reporting Requirements.	FRA	\$0	\$0	\$0	Resolved
SA2014114 State of Missouri	9/12/2014	We recommend OST ensure the State complies with Davis-Bacon Act Requirements.	FRA	\$0	\$0	\$0	Resolved
SA2014116 State of Illinois	9/12/2014	We recommend FRA ensure the State complies with Reporting Requirements.	FRA	\$0	\$0	\$0	Resolved
QC2015011 Quality Control Review of the Audited Consolidated Financial Statements for Fiscal Year 2014 and 2013 Department of Transportation	11/17/2014	KPMG recommend that DOT complete the investigation into potential additional Anti-Deficiency Act violations at the FRA.	FRA	\$0	\$0	\$0	Resolved
QC2015011 Quality Control Review of the Audited Consolidated Financial Statements for Fiscal Year 2014 and 2013 Department of Transportation	11/17/2014	KPMG recommend that DOT implement appropriate policies and procedures to prevent future violations.	FRA	\$0	\$0	\$0	Resolved
SA2015032 National Railroad Passenger Corporation and Subsidiaries (Amtrak), Washington, D.C.	3/2/2015	We recommend FRA ensure that Amtrak complies with Equipment and Real Property Management Requirements.	FRA	\$0	\$0	\$0	Resolved
SA2015032 National Railroad Passenger Corporation and Subsidiaries (Amtrak), Washington, D.C.	3/2/2015	We recommend FRA ensure that Amtrak complies with Cash Management Requirements.	FRA	\$0	\$0	\$0	Resolved
SA2015032 National Railroad Passenger Corporation and Subsidiaries (Amtrak), Washington, D.C.	3/2/2015	We recommend FRA ensure that Amtrak complies with Special Tests and Provisions Requirements.	FRA	\$0	\$0	\$0	Resolved
SA2015032 National Railroad Passenger Corporation and Subsidiaries (Amtrak), Washington, D.C.	3/2/2015	We recommend FRA ensure that Amtrak complies Reporting Requirements.	FRA	\$0	\$0	\$0	Resolved
ST2015038 FRA Improved Its Guidance on High Speed Rail Grant Agreements, but Policies and Procedures for Amending and Monitoring Grants Remain Incomplete	4/1/2015	Document Agency policy and procedures for prevention of Antideficiency Act violations in HSIPR grant amendments.	FRA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2007057 Washington Metropolitan Area Transit Authority	7/18/2007	We recommend that FTA ensure the Authority update and modify the security controls at the bus divisions to prevent or detect unauthorized entry.	FTA	\$0	\$0	\$0	Resolved
SA2011069 Washington Metropolitan Area Transit Authority	3/23/2011	We recommend FTA ensure the Authority implement security controls and devices to ensure that equipment is properly safeguarded. This finding affects ARRA funds.	FTA	\$0	\$0	\$0	Resolved
SA2011124 State of Tennessee	6/13/2011	We recommend FTA recover \$23,511 from the State.	FTA	\$0	\$23,511	\$0	Resolved
SA2011124 State of Tennessee	6/13/2011	We recommend that FTA determine the allowability of the reimbursement requests and recover \$79,021 from the State, if applicable.	FTA	\$0	\$79,021	\$0	Resolved
SA2012042 Omnitrans, California	1/18/2012	We recommend FTA ensure Omnitrans complies with Allowable Costs/Cost Principles requirements.	FTA	\$0	\$0	\$0	Resolved
SA2012103 State of Tennessee	5/2/2012	We recommend FTA recover \$17,867 from the State.	FTA	\$0	\$17,867	\$0	Resolved
SA2012112 Puerto Rico Metropolitan Bus Authority	5/3/2012	We recommend that FTA ensure the Authority maintains perpetual inventory records.	FTA	\$0	\$0	\$0	Resolved
MH2012155 Actions Needed To Improve FTA's Oversight of the Dulles Corridor Metrorail Project's Phase 1	7/26/2012	Require the Metropolitan Washington Airport Authority to resolve potential funding risks by funding the \$200 million for the Capital Reserve Account.	FTA	\$0	\$0	\$0	Resolved
SA2012157 Metropolitan Council of the Twin Cities Area, Minnesota	7/30/2012	We recommend FTA ensure that the Council complies with Subrecipient Monitoring requirements.	FTA	\$0	\$0	\$0	Resolved
MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Federal Transit Administrator develop guidance with uniform review data collection and reporting procedures that, at a minimum, will enable FTA to identify common or systemic findings and compare findings across reviews for a particular grantee, conduct trend analysis, and evaluate outcomes from the overall Oversight Program.	FTA	\$0	\$0	\$0	Resolved
MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Federal Transit Administrator establish more robust methods for assessing contractor performance.	FTA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
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	\$0	\$0	\$0	Resolved
MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Federal Transit Administrator develop policies and procedures, including oversight mechanisms, to verify that regions do not close findings before they receive documentation showing that a finding has been resolved fully.	FTA	\$0	\$0	\$0	Resolved
MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Federal Transit Administrator revise and finalize policies and procedures for using remedies and sanctions, including application of a risk-base approach for their use.	FTA	\$0	\$0	\$0	Resolved
MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Federal Transit Administrator require FTA Headquarter staff to track and oversee each region's use of remedies and sanctions.	FTA	\$0	\$0	\$0	Resolved
SA2013015 Commuter Rail Division of the Regional Transportation Authority and the Northeast Illinois Regional Commuter Railroad Corporation, METRA	11/15/2012	Work with MOHS to develop an action plan, with milestones.	FTA	\$0	\$1,267,845	\$0	Resolved
SA2013016 Gary Public Transportation Corporation, Indiana	11/15/2012	We recommend FTA ensure the Corporation tracks ARRA funds separately from non-ARRA funds.	FTA	\$0	\$0	\$0	Resolved
SA2013129 City of Madison, Wisconsin	9/13/2013	We recommend FTA ensure the City complies with Reporting requirements.	FTA	\$0	\$0	\$0	Resolved
SA2013131 City of Middletown, Ohio	9/13/2013	We recommend FTA recover \$70,795 from the City, if applicable.	FTA	\$0	\$70,795	\$0	Resolved
SA2013131 City of Middletown, Ohio	9/13/2013	We recommend FTA ensure the City complies with Reporting requirements.	FTA	\$0	\$0	\$0	Resolved
MH2014008 Initial Assessment of FTA's Oversight of the Emergency Relief Program and Hurricane Sandy Relief Funds	12/3/2013	Finalize ERP guidance that incorporates, as appropriate, lessons learned from emergency and best practices from Departmental and other Federal emergency relief guidance.	FTA	\$0	\$0	\$0	Resolved
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	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Prior to that implementation, we recommend that FTA implement policies and procedures to formally document and track audit logs reviews of FMS, including a date and time stamp with the reviewers' electronic signature.	FTA	\$0	\$0	\$0	Resolved
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 auditors' inquiries and requests.	FTA	\$0	\$0	\$0	Resolved
QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	We recommend that DOT or FTA: Perform a review of FTA's control environment using one of the various tools (available from the GAO, or organizations such as the Committee of Sponsoring Organizations of the Treadway Commission – COSO) to assess entity level control effectiveness at FTA. Based on the outcome of this review, take steps to improve the control environment of FTA, including establishing management oversight functions that ensure effective internal controls over financial reporting.	FTA	\$0	\$0	\$0	Resolved
ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	Conduct a Financial Management Oversight Review of MWAA, to include a review of financial reporting, general accounting, and allowable costs related to procurement and payroll.	FTA	\$0	\$0	\$0	Resolved
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 in FTA's Financial Management Oversight reviews.	FTA	\$0	\$36,119,000	\$0	Resolved
ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	Revises previously submitted claims for reimbursement to eliminate inadequately supported and unallowable costs.	FTA	\$0	\$2,000	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	Implement a process to maintain sufficient required accounting documents, including: a. A checklist for required supporting documentation - such as checks, payrolls, invoices, contracts, and other documents related to the project - for use prior to submitting claims; b. Procedures to store documents in a manner that will be readily accessible; and c. A process to maintain an accurate list of federally funded contracts and to ensure these contracts include FTA requirements.	FTA	\$0	\$0	\$0	Resolved
ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	Implement a revised claim preparation process, so that requests for reimbursement are based on complete, accurate accounting data that adequately identify the use of all grant funds. This process should provide instructions to staff on the appropriate use of project codes and include periodic reviews to ensure that staff appropriately charge the project codes.	FTA	\$0	\$0	\$0	Resolved
ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	Revise its policies for travel reimbursement, purchase cards transactions, and rail project invoices to include FTA requirements; and provides training to MWAA staff on these policy revisions.	FTA	\$0	\$0	\$0	Resolved
ZA2014021 MWAA's Financial Management Controls Are Not Sufficient to Ensure Eligibility of Expenses on FTA's Dulles Rail Project Grants	1/16/2014	Implement a process, using the accounting system, to (a) track reversals made to reimbursement claims, (b) reconcile reversals and related claims to determine if the amounts reversed are equal to the actual amounts FTA reimbursed MWAA for the claims, and (c) recover any overpayments.	FTA	\$0	\$0	\$0	Resolved
SA2014023 Puerto Rico Highways and Transportation Authority	1/23/2014	We recommend FTA ensure the Authority prepares its SEFA in a timely manner.	FTA	\$0	\$0	\$0	Resolved
SA2014023 Puerto Rico Highways and Transportation Authority	1/23/2014	We recommend FTA ensure the Authority submits its DCF and its Single Audit report in a timely manner.	FTA	\$0	\$0	\$0	Resolved
FI2014034 ARRA Lessons Learned: FTA Needs To Improve Its Grant Oversight To Prevent Improper Payments	4/2/2014	Implement preventive measures to guard against improper payments, such as periodically requesting payment documentation (i.e. force account plans and current contracts), prior to reimbursing grantees for expenditures.	FTA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
SA2014043 Washington Metropolitan Area Transit Authority	5/21/2014	We recommend FTA ensure the Authority complies with Equipment and Real Property Management requirements.	FTA	\$0	\$0	\$0	Resolved
SA2014047 State of Maryland	5/21/2014	We recommend FTA recover \$140,428 from the State, if applicable.	FTA	\$0	\$140,428	\$0	Resolved
SA2014049 Southeastern Pennsylvania Transportation Authority	5/21/2014	We recommend FTA ensure the Authority complies with Reporting requirements.	FTA	\$0	\$0	\$0	Resolved
SA2014095 State of Tennessee	9/8/2014	We recommend FTA ensure the State complies with Allowable Costs/Cost Principles Requirements and recover \$ 46,167 from the State; if applicable.	FTA	\$0	\$46,167	\$0	Resolved
SA2014096 State of Connecticut	9/8/2014	We recommend FTA ensure the State complies with Reporting Requirements.	FTA	\$0	\$0	\$0	Resolved
SA2014096 State of Connecticut	9/8/2014	We recommend FTA ensure the State complies with Procurement and Suspension and Debarment Requirements.	FTA	\$0	\$0	\$0	Resolved
SA2014096 State of Connecticut	9/8/2014	We recommend FTA determine the allowability of the transaction and recover \$1,179,304 from the State, if applicable.	FTA	\$0	\$1,179,304	\$0	Resolved
MH2014117 FTA's National Transit Database: Data Used for Allocating Transit Grants Were Generally Supported	9/16/2014	Revise triennial review procedures to include an assessment of transit agencies' supporting documentation and controls for NTD data used in the Urbanized Area Formula Program.	FTA	\$0	\$0	\$0	Resolved
SA2014121 Livingston County Michigan	9/17/2014	We recommend FTA recover \$128,931 from the County, if applicable.	FTA	\$0	\$128,931	\$0	Resolved
SA2014121 Livingston County Michigan	9/17/2014	We recommend FTA recover \$60,292 from the County, if applicable.	FTA	\$0	\$60,292	\$0	Resolved
SA2014127 Utah Transit Authority	9/17/2014	We recommend FTA ensure the Authority complies with Equipment and Real Property Management Requirements.	FTA	\$0	\$0	\$0	Resolved
SA2014127 Utah Transit Authority	9/17/2014	We recommend FTA ensure the Authority complies with Cash Management Requirements and recover \$10,862 from the Authority, if applicable.	FTA	\$0	\$10,862	\$0	Resolved
QC2015011 Quality Control Review of the Audited Consolidated Financial Statements for Fiscal Year 2014 and 2013 Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of FTA develop procedures and controls to address the provisioning of access and system audit log review control deficiencies identified in the FTA financial IT systems.	FTA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2015011 Quality Control Review of the Audited Consolidated Financial Statements for Fiscal Year 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	\$0	\$0	\$0	Resolved
QC2015011 Quality Control Review of the Audited Consolidated Financial Statements for Fiscal Year 2014 and 2013 Department of Transportation	11/17/2014	KPMG recommend that FTA revise their process for monitoring obligations in order to timely identify and de-obligate stale obligations.	FTA	\$0	\$0	\$0	Resolved
QC2015011 Quality Control Review of the Audited Consolidated Financial Statements for Fiscal Year 2014 and 2013 Department of Transportation	11/17/2014	KPMG recommend that DOT improve its general information technology controls at FTA, as noted above, to ensure that DOT's financial management systems comply with the requirements of the FFMIA.	FTA	\$0	\$0	\$0	Resolved
ST2015017 FTA Transit Research Program Plan is Outdated	1/13/2015	We recommend that the FTA Administrator direct the Associate Administrator for Research, Demonstration, and Innovation to reassess transit technology priorities and update FTA's multi-year transit research program plan.	FTA	\$0			Resolved
SA2015022 King County Washington	2/6/2015	We recommend FTA ensure the County complies with the Reporting Requirements.	FTA	\$0	\$0	\$0	Resolved
SA2015023 Island County Public Transportation Benefit Area Coupeville, Washington	2/6/2015	We recommend FTA recover \$69,692 from the Island County Public Transportation Benefit Area, if applicable.	FTA	\$0	\$69,692	\$0	Resolved
SA2015023 Island County Public Transportation Benefit Area Coupeville, Washington	2/6/2015	We recommend FTA recover \$24,825 from the Island County Public Transportation Benefit Area, if applicable.	FTA	\$0	\$24,825	\$0	Resolved
SA2015025 Licking County Ohio	2/6/2015	We recommend FTA ensure the County complies with the Cash Management Requirements.	FTA	\$0	\$0	\$0	Resolved
SA2015031 Metropolitan Atlanta Rapid Transit Authority, Atlanta, Georgia	3/2/2015	We recommend FTA ensure the Authority complies with the Reporting Requirements.	FTA	\$0	\$0	\$0	Resolved
SA2015031 Metropolitan Atlanta Rapid Transit Authority, Atlanta, Georgia	3/2/2015	We recommend FTA ensure the Authority complies with Special Tests and Provisions Requirements.	FTA	\$0	\$0	\$0	Resolved
SA2015033 Orange County Transportation Authority Orange, California	3/2/2015	We recommend FTA ensure the Authority complies with the Subrecipient Monitoring Requirements.	FTA	\$0	\$0	\$0	Unresolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommends that FTA revise its grant accrual retrospective review to ensure that the retrospective review is performed with the appropriate level of precision and all data inputs (FFR reporting, UDO balances, grant disbursements) are reasonable and based on relevant and reliable data in order to ensure that all adjustments to the grant accrual or methodology are properly calculated and supported.	FTA	\$0	\$0	\$0	Resolved
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommend that FTA implement re-authentication requirements, in accordance with the DOT Cyber Security Compendium, in the grant management system utilized by FTA.	FTA	\$0	\$0	\$0	Resolved
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommend that FTA implement procedures to remove application access for separated employees and contractors immediately upon termination.	FTA	\$0	\$0	\$0	Resolved
CR2013117 MARAD Has Taken Steps To Develop a Port Infrastructure Development Program but Is Challenged in Managing Its Current Port Projects	8/2/2013	Develop guidance for port project management plans and organizational charts that outline the roles, responsibilities, and relationships of public and private stakeholders.	MARAD	\$0	\$0	\$0	Resolved
CR2013117 MARAD Has Taken Steps To Develop a Port Infrastructure Development Program but Is Challenged in Managing Its Current Port Projects	8/2/2013	Consistently define and document MARAD's oversight responsibilities for port infrastructure development.	MARAD	\$0	\$0	\$0	Resolved
CR2013117 MARAD Has Taken Steps To Develop a Port Infrastructure Development Program but Is Challenged in Managing Its Current Port Projects	8/2/2013	Develop formal risk management policies and procedures consistent with industry best practices.	MARAD	\$0	\$0	\$0	Resolved
CR2013117 MARAD Has Taken Steps To Develop a Port Infrastructure Development Program but Is Challenged in Managing Its Current Port Projects	8/2/2013	Provide a comprehensive action plan for developing a congressionally mandated Port Infrastructure Development Program (PIDP), including milestones for incorporating each of the preceding recommendations into the program. The plan should also require MARAD to prepare clear and specific budget requests that specify how the Agency would use all Federal funding received for PIDP purposes.	MARAD	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
CR2013117 MARAD Has Taken Steps To Develop a Port Infrastructure Development Program but Is Challenged in Managing Its Current Port Projects	8/2/2013	Implement procedures to help ensure that MARAD's contract planning efforts comply with Federal acquisition regulations and requirements. These procedures should include establishing acquisition plans and contract administration plans in a timely manner, and maintaining supporting documentation for their rationale; and developing independent Government cost estimates, and validating cost estimates provided by entities other than MARAD.	MARAD	\$0	\$0	\$0	Resolved
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 administration and oversight efforts comply with Federal acquisition regulations and requirements. These procedures should include issuing timely contracting officer's technical representative (COTR) designation letters with appropriate descriptions of their roles and responsibilities; maintaining complete contract files, including COTR files; and conducting semiannual or interim contractor performance evaluations.	MARAD	\$0	\$0	\$0	Resolved
ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors: Develop and implement a dual reporting structure for the Office of Audit to both the Board and CEO in accordance with IIA standards.	MWAA	\$0	\$0	\$0	Resolved
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 periodic assessments of the Office of Audit's quality assurance and improvement program from an office independent from the Office of Audit. This procedure should include annually providing the results of the assessment and, if necessary, an action plan for addressing recommendations to senior management and the Board.	MWAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement a policy to obtain an external peer review of MWAA's Office of Audit with senior management and the Board participation in the selection of the reviewer. The policy should include providing the results of the assessment and, if necessary, an action plan for addressing recommendations to senior management and the Board.	MWAA	\$0	\$0	\$0	Resolved
ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement a procedure for issuing Office of Audit policies, including approval of the policies by senior management and the Board	MWAA	\$0	\$0	\$0	Resolved
ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement Office of Audit policies to include the following: a. obtaining and tracking continuing professional development. b. documenting and controlling audit work paper files. c. documenting individual independence and reporting impairments and remediation of impairments. d. requiring supervisors to review and document the review of all work from planning to reporting, including the review of work papers.	MWAA	\$0	\$0	\$0	Resolved
ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Amend and implement the Office of Audit's policy to cite conformance or nonconformance with standards in its audit reports.	MWAA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	We recommend that MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement processes for developing audit plans and conducting risk assessments, including the following: a. consulting with the CEO and other senior management officials when preparing the annual Risk Assessment and Audit Plans and ensuring that discussions and views on these matters are documented for future reference and shared with the Board of Directors. b. annually assessing and documenting auditable activities and their associated risks levels, the Office of Audit's priorities, and the basis for the prioritization.	MWAA	\$0	\$0	\$0	Resolved
MH2013040 NHTSA's Oversight of Mississippi's Management of Federal Highway Safety Grants Needs Strengthening	2/6/2013	Work with MOHS to develop an action plan, with milestones, to: a. Obtain technical assistance to identify and implement financial management internal controls to comply with the Grant Common Rule; Government Accountability Office Standards for Internal Control; and other applicable laws, regulations, and program compliance requirements. b. Implement improved processes to calculate reimbursement claims to NHTSA, such as an automated grants system used by other State highway safety offices. c. Obtain independent assurance that proper grant management controls and financial and accounting procedures are in place and working effectively. d. Develop guidance for monitoring the use of local officers as full-time driving under the influence officers to ensure appropriate use of Section 154 funds.	NHTSA	\$0	\$0	\$0	Resolved
MH2013040 NHTSA's Oversight of Mississippi's Management of Federal Highway Safety Grants Needs Strengthening	2/6/2013	Develop an action plan for monitoring Mississippi's grant agreements with sub-grantees, once the high-risk designation is removed, to ensure compliance with Federal requirements.	NHTSA	\$0	\$0	\$0	Resolved
SA2014077 Wyoming Department of Transportation	8/1/2014	We recommend NHTSA ensure the Department complies with Reporting Requirements.	NHTSA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
SA2014077 Wyoming Department of Transportation	8/1/2014	We recommend NHTSA ensure the Department complies with Earmarking Requirements.	NHTSA	\$0	\$0	\$0	Resolved
SA2014077 Wyoming Department of Transportation	8/1/2014	We recommend NHTSA ensure the Department complies with Level of effort Requirements.	NHTSA	\$0	\$0	\$0	Resolved
MH2014088 Enhanced Monitoring Tools Are Needed To Improve NHTSA's Oversight of Highway Safety Grants	8/21/2014	Develop and implement a national strategy for addressing delays in States' use of highway safety grant funds. This strategy should, at a minimum, promote more timely expenditures and use performance measures to monitor States' progress.	NHTSA	\$0	\$0	\$0	Resolved
MH2014088 Enhanced Monitoring Tools Are Needed To Improve NHTSA's Oversight of Highway Safety Grants	8/21/2014	Develop and implement an electronic database, with guidance to regional offices, for identifying and monitoring recurrent or systemic grant oversight findings.	NHTSA	\$0	\$0	\$0	Resolved
SA2014099 State of Hawaii Department of Transportation Highway Division	9/10/2014	We recommend NHTSA ensure the Division complies with Cash Management Requirements	NHTSA	\$0	\$0	\$0	Resolved
FI2010023 Audit of Information Security Program, Department of Transportation	11/18/2009	Ensure accurate information is used to monitor Operating Administrations progress in correcting security weaknesses.	OST	\$0	\$0	\$0	Resolved
FI2010023 Audit of Information Security Program, Department of Transportation	11/18/2009	Improve its quality assurance checks on the Operating Administrations certifications and accreditations by increasing the frequency and scope of its checks, communicating results and expected actions to the Operating Administrations, requiring updated plan of actions and milestones to address weaknesses noted (including those found in the Inspector General reviews), and follow-up on resolution of weaknesses noted.	OST	\$0	\$0	\$0	Resolved
FI2011006 ARRA Websites Are Vulnerable to Hackers and Carry Security Risks	10/22/2010	Take immediate actions to correct the high-risk vulnerabilities found on ARRA-related Websites and databases.	OST	\$0	\$0	\$0	Resolved
FI2011006 ARRA Websites Are Vulnerable to Hackers and Carry Security Risks	10/22/2010	Ensure that the planned corrections of other weaknesses identified during this audit are tracked and monitored in the OAs' Plan of Actions and Milestones (POA&M) system.	OST	\$0	\$0	\$0	Resolved
FI2011022 Timely Actions Needed To Improve DOT's Cybersecurity	11/15/2010	Identify and implement automated tools to better track contractors and training requirements.	OST	\$0	\$0	\$0	Resolved
FI2011022 Timely Actions Needed To Improve DOT's Cybersecurity	11/15/2010	Review the results of OA assessments to determine an accurate inventory of contractor systems.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
FI2011022 Timely Actions Needed To Improve DOT's Cybersecurity	11/15/2010	Implement the use of PIV cards as the primary authentication mechanism to support multi-factor authentication at the system and application level for all DOT's employees and contractors.	OST	\$0	\$0	\$0	Resolved
QC2011021 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2010 and 2009	11/15/2010	Clifton Gunderson recommended DOT management ensure MARAD continues to implement and monitor the implementation of the recommendations made by GAO in the aforementioned GAO report.	OST	\$0	\$0	\$0	Resolved
FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information Systems	11/14/2011	Enhance existing policy to address security awareness training for non-computer users, address security costs as part of capital planning, correct the definition of "government system", and address the identification, monitoring, tracking and validation of users and equipment that remotely access DOT networks and applications.	OST	\$0	\$0	\$0	Resolved
FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information Systems	11/14/2011	In conjunction with the Component CIOs, execute a strategy to ensure that sufficient procedural guidance exists for DOT and the Components.	OST	\$0	\$0	\$0	Resolved
FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information Systems	11/14/2011	In conjunction with OA CIO's establish incident monitoring and detection capabilities to include all of the Department's systems and facilitate central and real-time reporting.	OST	\$0	\$0	\$0	Resolved
FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information Systems	11/14/2011	In conjunction with OA CIOs, create, complete or test contingency plans for deficient systems.	OST	\$0	\$0	\$0	Resolved
FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information Systems	11/14/2011	In conjunction with OA CIOs, verify that minimum security controls are adequately tested for deficient systems.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2010	11/15/2011	Clifton Gunderson recommended that DOT management direct FMCSA to revise its grant management manual so that the agency has a consistent, standardized, documented and well-reconciled process for grants awards the recommendations include enhancing documentation of FMCSA's state billing process reviews and requiring division offices to reconcile GrantSolutions to Delphi on a monthly basis and to resolve any differences within 60 days in order to maintain an accurate fund status for grants.	OST	\$0	\$0	\$0	Resolved
QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2011	11/15/2011	Clifton Gunderson recommended that DOT management direct FMCSA to ensure sufficient and prompt legal counsel involvement when program funds are first appropriated, and ensure legal counsel's review of FMCSA's policies regarding grant programs before disseminating information to the states.	OST	\$0	\$0	\$0	Resolved
QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2012	11/15/2011	Clifton Gunderson recommended that DOT management direct FMCSA to complete development and implementation of the new training structure for CVISN staff referenced in the GAO report so that the staff has adequate training to manage the program.	OST	\$0	\$0	\$0	Resolved
QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2013	11/15/2011	Clifton Gunderson recommended that DOT management incorporate the internal review of OA's fund control monitoring and grant reconciliation processes into DOT's A-123, Appendix A implementation efforts.	OST	\$0	\$0	\$0	Resolved
FI2012086 DOT Does Not Have an Effective Enterprise Architecture Program for Management of Information Technology Changes	4/17/2012	Develop a plan and work with the components to identify redundancy in current operations and technology use across the Department.	OST	\$0	\$0	\$0	Resolved
FI2012086 DOT Does Not Have an Effective Enterprise Architecture Program for Management of Information Technology Changes	4/17/2012	Develop a process to measure components EA programs maturity and effectiveness using key framework elements outlined in OMB's Enterprise Architecture, and develop a plan to remediate any gaps or deficiencies found.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
FI2012086 DOT Does Not Have an Effective Enterprise Architecture Program for Management of Information Technology Changes	4/17/2012	Identify and report EA performance measure results, outcomes and progress to DOT's Governance groups and decision makers to ensure that they have the proper information to make EA and related information security decisions.	OST	\$0	\$0	\$0	Resolved
FI2012086 DOT Does Not Have an Effective Enterprise Architecture Program for Management of Information Technology Changes	4/17/2012	Develop and implement a Departmentwide data management practice that provides a common data dictionary that reflects commonalities in data and processes and provides methods for sharing information across the Department.	OST	\$0	\$0	\$0	Resolved
FI2012086 DOT Does Not Have an Effective Enterprise Architecture Program for Management of Information Technology Changes	4/17/2012	Assist components in the selection and implementation of compatible EA tools that will facilitate the creation of a Departmentwide EA.	OST	\$0	\$0	\$0	Resolved
FI2012086 DOT Does Not Have an Effective Enterprise Architecture Program for Management of Information Technology Changes	4/17/2012	Input the required data (such as business processes, workflows, and technology in use) in the selected EA tools to develop or update current and future architectures and transition plans.	OST	\$0	\$0	\$0	Resolved
FI2012086 DOT Does Not Have an Effective Enterprise Architecture Program for Management of Information Technology Changes	4/17/2012	Create a Departmentwide EA that is consistent with OMB and GAO's frameworks and meets the requirements of the Clinger-Cohen Act.	OST	\$0	\$0	\$0	Resolved
MH2012188 DOT Established Timely Controls for the TIGER Discretionary Grants Program, But Opportunities Exist to Strengthen Oversight	9/20/2012	Establish a methodology to identify program outcomes from grantee performance data for each TIGER project.	OST	\$0	\$0	\$0	Resolved
MH2012188 DOT Established Timely Controls for the TIGER Discretionary Grants Program, But Opportunities Exist to Strengthen Oversight	9/20/2012	Establish a comprehensive methodology to aggregate performance measures to assess the overall impact of the TIGER program.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2013006 MWAA's Weak Policies and Procedures Have Led to Questionable Procurement Practices Mismanagement and a Lack of Overall Accountability	11/1/2012	Implement a plan with milestones to revise contracting policies and procedures to reflect Federal and other best practices, including the following: a. Publicly announce intent to award sole source contracts. b. Minimize categorical exceptions to full and open competition and explicitly state the conditions under which an exception can be used. c. Limit the involvement of the Board of Directors and individual Board members in contracting and prohibit their ability to bypass contracting officers. d. Ensure fair opportunity in the awarding of task orders under multiple-award contracts and ensure contracting officers adequately justify their selections of contractors. e. Limit and monitor delegations of procurement authority. f. Require program offices to prepare annual forecasts of their acquisition needs.	OST	\$0	\$0	\$0	Resolved
AV2013006 MWAA's Weak Policies and Procedures Have Led to Questionable Procurement Practices Mismanagement and a Lack of Overall Accountability	11/1/2012	Define and assess the size and skills of the acquisition workforce and implement an appropriate acquisition certification program, including acquisition and ethics training.	OST	\$0	\$0	\$0	Resolved
FI2013014 FISMA 2012: Ongoing Weaknesses Impede DOT's Progress Toward Effective Information Security	11/14/2012	Work with Operating Administrations to enhance and develop their internal procedures for inheriting controls, continuous monitoring, and capital planning to better address key NIST requirements.	OST	\$0	\$0	\$0	Resolved
FI2013014 FISMA 2012: Ongoing Weaknesses Impede DOT's Progress Toward Effective Information Security	11/14/2012	Remove inactive computer devices from the Active Directory databases by (a) requiring the OAs to develop a POA&M to address the removal of such devices in a timely manner, (b) reviewing the adequacy of the POA&Ms, and (c) monitoring the OA's clean-up process through completion.	OST	\$0	\$0	\$0	Resolved
FI2013014 FISMA 2012: Ongoing Weaknesses Impede DOT's Progress Toward Effective Information Security	11/14/2012	Develop, document and approve an enterprise-wide risk management program and strategy as defined by NIST 800-39.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
FI2013014 FISMA 2012: Ongoing Weaknesses Impede DOT's Progress Toward Effective Information Security	11/14/2012	Identify and work with common control providers to develop and implement a security plan that will ensure that systems that inherit common controls are adequately protected and C&A'd.	OST	\$0	\$0	\$0	Resolved
FI2013053 DOT's FY 2012 Improper Payment Reporting Generally Complies with IPERA	3/14/2013	Provide specific documentation requirements and greater oversight and review of contractors that perform improper payment testing to ensure that the work has an audit trail and is accurate.	OST	\$0	\$0	\$0	Resolved
ZA2013057 Improvements to DOT's Governance Processes Are Needed To Enhance Oversight of Major IT Investments	3/27/2013	Develop a comprehensive implementation plan for its proposed IT governance framework, which includes all DOT Operating Administrations' IT investments and clearly assigns organizational responsibilities, accountability and authority, milestones to complete activities, and written policies and procedures. This implementation plan should integrate and coordinate Policy Order 1351.39, "Departmental Information Technology Governance Policy"; DOT's draft, updated IRB Charter; and any other documents integral to the framework.	OST	\$0	\$0	\$0	Resolved
ZA2013072 Weaknesses in the Department's Disadvantaged Business Enterprise Program Limit Achievement Of Its Objectives	4/23/2013	We recommend that the accountable DBE lead program office or the Office of the Secretary develop program performance measures to regularly assess the DBE program and evaluate whether it is achieving its objectives.	OST	\$0	\$0	\$0	Resolved
ZA2013072 Weaknesses in the Department's Disadvantaged Business Enterprise Program Limit Achievement Of Its Objectives	4/23/2013	We recommend that the accountable DBE lead program office or the Office of the Secretary establish a centralized Departmental data system for collecting and tracking DBE commitment and award information and require that the Operating Administrations implement procedures to ensure that recipients are accurately reporting DBE award and other financial information.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ZA2013072 Weaknesses in the Department's Disadvantaged Business Enterprise Program Limit Achievement Of Its Objectives	4/23/2013	We recommend that the accountable DBE lead program office or the Office of the Secretary develop an oversight and compliance plan with the Operating Administrations to identify specific, required oversight processes and reviews and ensure that a sufficient number of reviews are performed based on assessed risk.	OST	\$0	\$0	\$0	Resolved
ZA2013072 Weaknesses in the Department's Disadvantaged Business Enterprise Program Limit Achievement Of Its Objectives	4/23/2013	We recommend that the accountable DBE lead program office or the Office of the Secretary require that recipients track and regularly report utilization data to the Operating Administrations, including each DBE's number of years in the program and the number of DBE subcontracts or prime contracts received since first becoming certified.	OST	\$0	\$0	\$0	Unresolved
ZA2013072 Weaknesses in the Department's Disadvantaged Business Enterprise Program Limit Achievement Of Its Objectives	4/23/2013	We recommend that the accountable DBE lead program office or the Office of the Secretary require that the Operating Administrations work with recipients to develop ways to improve utilization rates and require the establishment of Business Development Programs for firms that have not received DBE work for several years.	OST	\$0	\$0	\$0	Unresolved
FI2013116 Actions Needed to Enforce Controls Over Purchase Cards	7/25/2013	We recommend that DOT's Senior Procurement Executive revise purchase card policy to require Agency Program Coordinators to :a) verify that purchase cardholders have completed applicable refresher training requirements, and b) develop procedures to have cardholder privileges suspended when the requirement has not been met.	OST	\$0	\$0	\$0	Resolved
ZA2013118 DOT Does Not Fully Comply With Revised Federal Acquisition Regulations on the Use and Management of Cost-Reimbursement Awards	8/5/2013	We recommend that the Office of the Senior Procurement Executive update the Department's Transportation Acquisition Manual (TAM) to reflect the revised Federal Acquisition Regulation (FAR) requirements for the use of cost-reimbursement awards, including consideration of task orders.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ZA2013118 DOT Does Not Fully Comply With Revised Federal Acquisition Regulations on the Use and Management of Cost-Reimbursement Awards	8/5/2013	We recommend that the Office of the Senior Procurement Executive update the Department's Contracting Officer's Representative Program Guidance to reflect the revised FAR requirements for the use of cost-reimbursement awards.	OST	\$0	\$0	\$0	Resolved
FI2013123 Security Weaknesses in DOT's Common Operating Environment Expose Its Systems and Data to Compromise	9/10/2013	Use automated tools, such as vulnerability scanners or Web application scanners to monitor applications residing in the COE on a constant basis, and require each OA to mitigate vulnerabilities in its system or remove the systems from the network.	OST	\$0	\$0	\$0	Resolved
FI2013123 Security Weaknesses in DOT's Common Operating Environment Expose Its Systems and Data to Compromise	9/10/2013	Develop and maintain a complete inventory (current registry) of authorized network devices (including wireless) accessible to staff who monitor departmental networks.	OST	\$0	\$0	\$0	Resolved
FI2013123 Security Weaknesses in DOT's Common Operating Environment Expose Its Systems and Data to Compromise	9/10/2013	Ensure the system owners perform regular vulnerability assessments and scans of all internal systems to identify known vulnerabilities and common misconfigurations, and establish a practice to ensure that OAs and OCIO are collaborating and agreeing on remediation plans.	OST	\$0	\$0	\$0	Resolved
FI2013136 DOT Does Not Fully Comply with Requirements of the Reducing Over-Classification Act	9/19/2013	Update FAA's policy to conform to the requirements of EO 13526.	OST	\$0	\$0	\$0	Resolved
FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain and review specialized training statistics and verify, as part of the compliance review process, that all employees with significant security responsibilities have completed the number of training hours required by policy. Report results to management and obtain evidence of corrective actions.	OST	\$0	\$0	\$0	Resolved
FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Increase oversight of OAs' processes for configuration management and verify that mitigating activities and initiated, executed, and completed in accordance with DOT policy and NIST guidance. Report exceptions to OA management.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	In conjunction with FAA's CIO, institute periodic scanning for USGCB and baseline compliance for the FAA LANs to include analysis of results to remediate deficiencies. Create a POA&M to track progress and verify completion of the action.	OST	\$0	\$0	\$0	Resolved
FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain and review plans from FMCSA, MARAD, OST, and RITA to authorize systems with expired accreditations. Perform security reviews of unauthorized systems to determine if the enterprise is exposed to unacceptable risk.	OST	\$0	\$0	\$0	Resolved
FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain a schedule and action plan from Operating Administrations to enhance and develop their internal procedures for continuous monitoring in accordance with NIST guidance. Report to OA management any delays in completing the procedural guidance.	OST	\$0	\$0	\$0	Resolved
FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Review systems to determine which ones are contractor operated and update CSAM accordingly. As part of the compliance review process, review new systems to determine if they are contractor operated.	OST	\$0	\$0	\$0	Resolved
FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain a schedule and action plan for OAs to develop procedures for comprehensive cloud computing agreements to include security controls roles and responsibilities. Report to OA management any delays in completing the procedures.	OST	\$0	\$0	\$0	Resolved
FI2014006 FISMA 2013: DOT Has Made Progress But Its Systems Remain Vulnerable to Significant Security Threats	11/22/2013	Obtain and review existing cloud computing agreements to assess compliance with agency policy, including security requirements. Report exceptions to OA management.	OST	\$0	\$0	\$0	Resolved
QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Continue to enforce the department-wide requirement for the periodic operating administration certification of the open obligation balance that is inactive for twelve or more months (validity).	OST	\$518,000,000	\$0	\$0	Resolved
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	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
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	\$0	\$0	\$0	Resolved
QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Continue to provide department-wide training related to grants management, including the monitoring and close-out process.	OST	\$0	\$0	\$0	Resolved
QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Require that FHWA emphasize the timely review and de-obligation of stale obligations in accordance with the revised Financial Integrity Review and Evaluation (FIRE) program.	OST	\$0	\$0	\$0	Resolved
QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Require that FTA review their processes for monitoring obligations in order to more timely identify and de-obligate stale obligations.	OST	\$0	\$0	\$0	Resolved
QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Develop a report that reflects a complete population of open UCO balances, by agreement number, as of a period-end date.	OST	\$0	\$0	\$0	Resolved
QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Implement policies and procedures, whereby the DOT OAs, with material unfilled customer order balances, monitor and review its open UCO balances using the above report for completeness, accuracy, and validity.	OST	\$0	\$0	\$0	Resolved
QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Perform a reconciliation of reimbursable expenditures to reimbursable revenue, at the agreement level, to ensure reimbursable revenue is properly recognized in the appropriate accounting period and all material reconciling items are investigated.	OST	\$0	\$0	\$0	Resolved
QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Provide training on the execution, monitoring and reporting of UCOs in accordance with the newly established policies and procedures.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Follow the established policies and procedures and finish development of a business intelligence (BI) report to monitor Fund 15X015P633 monthly. In addition, record any necessary year-end accrual and adjusting entries to ensure the full cost recovery program reports a zero balance at year-end.	OST	\$0	\$0	\$0	Resolved
AV2014016 More Comprehensive Data Are Needed To Better Understand the Nation's Flight Delays and Their Causes	12/18/2013	Expand the required reporting of on-time performance data to include flights by the code share partners of the reporting carriers.	OST	\$0	\$0	\$0	Resolved
AV2014016 More Comprehensive Data Are Needed To Better Understand the Nation's Flight Delays and Their Causes	12/18/2013	Increase the number of carriers required to report on time performance data by reducing the reporting threshold below 1 percent of all domestic passenger revenues.	OST	\$0	\$0	\$0	Resolved
ZA2014019 DOT's Efforts To Reduce Spending on Management Support Services Contracts Have Been Delayed	1/15/2014	Develop a Departmentwide policy and comprehensive implementation plan to help DOT focus on its management support services spending and better manage its management support services contracts in Phases 2 and 3 of the Department's strategic sourcing initiative. At a minimum, this implementation plan should (a) contain targets and milestones for reducing and controlling management support services contract spending, (b) identify strategies and approaches to achieve these targets and milestones, and (c) define key stakeholders' roles and responsibilities for meeting these targets and milestones.	OST	\$0	\$0	\$0	Resolved
ZA2014019 DOT's Efforts To Reduce Spending on Management Support Services Contracts Have Been Delayed	1/15/2014	Implement additional internal controls, such as those cited in the Office of Management and Budget's November 2011 memorandum, to ensure efficient and effective spending on management support services contracts, orders, and options under existing contracts.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
FI2014037 Accuracy and Reliability of DOT's Improper Payment Reporting Can Be Improved	4/15/2014	We recommend that DOT's Assistant Secretary for Budget and Programs/ Chief Financial Officer: Provide specific documentation requirements and greater oversight of contractors who perform improper payment testing to ensure that the work performed tests actual payments and verifies that each transaction has an audit trail and proper support.	OST	\$0	\$0	\$0	Resolved
QC2014053 Quality Control Review for the Audit of DOT Protection of Privacy Information	6/5/2014	We recommend the DOT Departmental Privacy Officer conduct an annual review of DOT Privacy policies and practices to ensure policies and procedures reflect current regulations, guidance and policy.	OST	\$0	\$0	\$0	Resolved
QC2014053 Quality Control Review for the Audit of DOT Protection of Privacy Information	6/5/2014	We recommend the DOT Departmental Privacy Officer implement procedures that ensure oversight of PIAs, and communicates the requirements and expectations for such assessments and other activities, including but not limited to, improved recordkeeping conducted by the Operating Administration Privacy Officers necessary for program success.	OST	\$0	\$0	\$0	Resolved
QC2014053 Quality Control Review for the Audit of DOT Protection of Privacy Information	6/5/2014	We recommend the Operating Administration Privacy Officers ensure PIAs are completed, reviewed and approved by the Departmental Privacy Officer prior to the deployment of any system containing PII.	OST	\$0	\$0	\$0	Resolved
QC2014053 Quality Control Review for the Audit of DOT Protection of Privacy Information	6/5/2014	We recommend the DOT Chief Information Officer implements and monitors a process for ensuring information system security controls are implemented and operating according to federal requirements and DOT policy in order to assist with safeguarding the confidentiality of PII.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2014053 Quality Control Review for the Audit of DOT Protection of Privacy Information	6/5/2014	We recommend the Operating Administration Privacy Officers ensure ongoing validation of specific privacy related security controls for their systems are in effect, including those that safeguard confidentiality, provide secure remote access, encryption of back up media, follow up of unauthorized mobile devices, and proper user account and password settings in accordance with DOT policy. In addition, implement procedures requiring Operating Administrations to report non-compliance in their systems to the DOT Chief Privacy Officer.	OST	\$0	\$0	\$0	Resolved
QC2014053 Quality Control Review for the Audit of DOT Protection of Privacy Information	6/5/2014	Conduct an annual review their web sites ensuring proper and accurate posting of their Privacy policies.	OST	\$0	\$0	\$0	Resolved
SA2014116 State of Illinois	9/12/2014	We recommend OST ensure the State complies with Information System Requirements.	OST	\$0	\$0	\$0	Resolved
SA2014116 State of Illinois	9/12/2014	We recommend OST ensure the State complies with Procurement and Suspension and Debarment Requirements.	OST	\$0	\$0	\$0	Unresolved
SA2014116 State of Illinois	9/12/2014	We recommend OST ensure the State complies with Reporting Requirements.	OST	\$0	\$0	\$0	Unresolved
SA2014116 State of Illinois	9/12/2014	We recommend OST ensure the State complies with Davis-Bacon Requirements.	OST	\$0	\$0	\$0	Unresolved
FI2014129 Actions Needed To Enhance Controls Over Travel Cards	9/18/2014	Develop and implement controls to detect employees obtaining excessive cash advances.	OST	\$0	\$0	\$0	Resolved
FI2014129 Actions Needed To Enhance Controls Over Travel Cards	9/18/2014	Provide program officials with quarterly Intellilink reports to help identify cardholder cash advances taken while not on Government travel and develop other cost-beneficial methods to detect unauthorized cash advances.	OST	\$0	\$0	\$0	Resolved
FI2014129 Actions Needed To Enhance Controls Over Travel Cards	9/18/2014	Develop and implement automated controls to detect unauthorized cash advances and purchases.	OST	\$0	\$0	\$0	Resolved
ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Implement detailed procedures for regularly verifying the accuracy and completeness of the data reported to the DOT S&D system—including, at a minimum, the key data fields needed for OSPE to assess the timeliness of decisions and reporting.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Develop a data dictionary for the DOT S&D system that defines each data field and identifies which fields to populate. Make this data dictionary available to all relevant stakeholders and include it in DOT S&D system training.	OST	\$0	\$0	\$0	Resolved
ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Revise the DOT S&D Order to reflect the transition to SAM—including revised Federal timeframes for entering data into SAM.	OST	\$0	\$0	\$0	Resolved
ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Implement a detailed process for OSPE staff to regularly reconcile data in the DOT S&D system and SAM—including steps for identifying and correcting data discrepancies. Using this new process, complete a comprehensive reconciliation of data in the DOT S&D system and SAM, and correct any discrepancies.	OST	\$0	\$0	\$0	Resolved
ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Implement a detailed process for OSPE staff to regularly evaluate Operating Administrations' compliance with departmental and Federal timeframes for reporting to SAM (3 days for procurement actions; 5 days for non-procurement actions). This process should include follow-up actions to correct instances of noncompliance.	OST	\$0	\$0	\$0	Unresolved
ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Require all Operating Administrations to establish or update their S&D procedures to implement Federal S&D requirements and the DOT S&D Order, including a) requiring recipients to report exclusions and b) strongly recommending that recipients of non-procurement agreements check SAM before awarding third-party assistance agreements or contracts.	OST	\$0	\$0	\$0	Unresolved
ZA2015003 DOT's Suspension and Debarment Program Continues to Have Insufficient Controls	10/15/2014	Conduct and document quarterly internal S&D meetings with all Operating Administrations and S&D stakeholders, as established in the DOT S&D Order.	OST	\$0	\$0	\$0	Unresolved
AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	OST to develop a process for periodically reviewing a sample of the contingency plans that U.S. and foreign carriers have posted on their Web sites to ensure all of the required assurances are included.	OST	\$0	\$0	\$0	Unresolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	Clarify the meaning of "easily accessible" in the case of posting carrier contingency plans on their Web sites to ensure consumers can easily access airlines' and airports' obligations to passengers. Clarify the meaning of "easily accessible" in the case of posting carrier contingency plans on their Web sites to ensure consumers can easily access airlines' and airports' obligations to passengers.	OST	\$0	\$0	\$0	Unresolved
AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	Obtain supporting evidence from air carriers, and other entities (i.e., FAA, Customs, and TSA), to verify airline responses when investigating LOBFDs.	OST	\$0	\$0	\$0	Unresolved
AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	Require carriers to keep and maintain records documenting when they: a) Notify passengers about the status of the flight delay; b) Notify passengers when they have the opportunity to deplane; and c) Provide food and water to passengers.	OST	\$0	\$0	\$0	Unresolved
AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	Revise DOT regulations to require carriers - when calculating the length of tarmac delays for reporting purposes - to include the time when an aircraft is at the gate with passengers on board and the crew has not made an announcement to deplane.	OST	\$0	\$0	\$0	Unresolved
AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	Revise DOT regulations and the FAQ to indicate that U.S. and foreign air carriers provide food and water service within 2 hours after passengers no longer have the opportunity to deplane.	OST	\$0	\$0	\$0	Unresolved
AV2015001 Oversight Weaknesses Limit DOT's Ability to Ensure Passenger Protections During Long, On-Board Flight Delays	10/28/2014	Define comfortable cabin temperature and include the requirement in DOT regulations. In the interim, issue guidance to the industry that defines comfortable cabin temperature.	OST	\$0	\$0	\$0	Unresolved
QC2015011 Quality Control Review of the Audited Consolidated Financial Statements for Fiscal Year 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that DOT, in conjunction with FHWA, develop a report that reflects a complete population of open UCO balances, by agreement number, as of a period-end date and KPMG recommend that FHWA use the UCO report developed by OST to monitor and review its open UCO balances for completeness, accuracy, and validity.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2015011 Quality Control Review of the Audited Consolidated Financial Statements for Fiscal Year 2014 and 2013 Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of DOT develop procedures and controls to address the provisioning of access and system audit log review control deficiencies identified in the FTA financial IT systems.	OST	\$0	\$0	\$0	Resolved
QC2015011 Quality Control Review of the Audited Consolidated Financial Statements for Fiscal Year 2014 and 2013 Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of DOT Monitor progress to ensure that procedures and controls are appropriately designed, implemented, and maintained.	OST	\$0	\$0	\$0	Resolved
QC2015011 Quality Control Review of the Audited Consolidated Financial Statements for Fiscal Year 2014 and 2013 Department of Transportation	11/17/2014	KPMG recommend that DOT continues to provide training related to grants management, including the need for timely monitoring and close-out of projects.	OST	\$0	\$0	\$0	Resolved
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommend that DOT automate footnotes, where applicable, to ensure consistency across the Department.	OST	\$0	\$0	\$0	Resolved
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommend that DOT provide training and instruction, where necessary, to the OAs to ensure the financial reporting guidance is implemented consistently department-wide and to ensure the OAs understand the requirements of each line item on the financial statements and footnotes.	OST	\$0	\$0	\$0	Resolved
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommend that DOT revise the financial statement (including footnotes) review checklist to incorporate the financial reporting instruction in order to determine that the financial statements were consistently prepared.	OST	\$0	\$0	\$0	Resolved
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommend that DOT implement an independent review of the DOT Consolidated financial statements to ensure the financial statements are properly consolidated and that the financial reporting guidance has been consistently applied.	OST	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
QC2015036 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2014 and 2013 Financial Statements, Department of Transportation	3/31/2015	KPMG recommends that DOT develop and implement guidance to formally document its assessments and recognition decisions, in accordance with Statement of Federal Financial Accounting Concept No. 5, as it relates to liabilities of exchange transactions, specifically those decisions to depart from GAAP based on materiality.	OST	\$0	\$0	\$0	Resolved
AV2012140 Hazardous Liquid Pipeline Operators' Integrity Management Programs Need More Rigorous PHMSA Oversight	6/18/2012	Update IM requirements to mandate baseline and recurring assessments for non-line pipe facilities, given the availability of new assessment technologies and methodologies.	PHMSA	\$0	\$0	\$0	Resolved
AV2012140 Hazardous Liquid Pipeline Operators' Integrity Management Programs Need More Rigorous PHMSA Oversight	6/18/2012	Create a database of pipeline physical characteristics, accidents, and inspections—including geographic location—of individual pipeline units in order to identify and monitor at-risk pipelines.	PHMSA	\$0	\$0	\$0	Resolved
AV2012140 Hazardous Liquid Pipeline Operators' Integrity Management Programs Need More Rigorous PHMSA Oversight	5/7/2014	Revise the staffing formula so that it accounts for risk and non-standard inspections, and periodically analyze State-provided inspection unit data to validate staffing formula results.	PHMSA	\$0	\$0	\$0	Resolved
MH2014064 PHMSA Has Addressed Most Weaknesses We Identified in Its Special Permit and Approval Processes	7/17/2014	Include in the planned approvals desk guide a requirement to use technical safety evaluation forms to document analyses for explosive classification applications.	PHMSA	\$0	\$0	\$0	Resolved
MH2014064 PHMSA Has Addressed Most Weaknesses We Identified in Its Special Permit and Approval Processes	7/17/2014	Develop and implement a plan--including milestones and funding requirements--for resolving the company identifier issue.	PHMSA	\$0	\$0	\$0	Resolved
ZA2015040 Volpe Did Not Fully Comply With Federal Requirements When Planning and Administering Its V-TRIPS Contract	4/8/2015	We recommend that the Assistant Secretary, Office of the Assistant Secretary of Transportation for Research and Technology, ensure that Volpe take the following actions for the upcoming V-TRIPS follow-on contract. If cost-plus-award-fee task orders are used, define the performance targets for earning award fees, establish measurable standards for meeting the targets for each rating level, and document and maintain justifications for award fee payments.	RITA	\$0	\$0	\$0	Resolved

*Department of Transportation, Office of Inspector General
Open Recommendations, as of May 21, 2015*

Report Number/Title	Report Issue Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Unsupported Costs	Recommendation State
ZA2015040 Volpe Did Not Fully Comply With Federal Requirements When Planning and Administering Its V-TRIPS Contract	4/8/2015	We recommend that the Assistant Secretary, Office of the Assistant Secretary of Transportation for Research and Technology, ensure that Volpe take the following actions for the upcoming V-TRIPS follow-on contract. Include a fair opportunity to compete for all task orders in accordance with the FAR. In the event that a competition exclusion affecting fair opportunity can be justified, Volpe should document the justification for the exclusion and ensure it is approved in accordance with the FAR.	RITA	\$27,600,000	\$0	\$0	Resolved
ZA2015040 Volpe Did Not Fully Comply With Federal Requirements When Planning and Administering Its V-TRIPS Contract	4/8/2015	We recommend that the Assistant Secretary, Office of the Assistant Secretary of Transportation for Research and Technology, ensure that Volpe take the following actions for the upcoming V-TRIPS follow-on contract. Conduct a cost-benefit analysis and adopt a single method for allocating Government resource costs.	RITA	\$0	\$0	\$0	Resolved
ZA2015040 Volpe Did Not Fully Comply With Federal Requirements When Planning and Administering Its V-TRIPS Contract	4/8/2015	We recommend that the Assistant Secretary, Office of the Assistant Secretary of Transportation for Research and Technology, ensure that Volpe take the following actions for the upcoming V-TRIPS follow-on contract. Establish internal controls to ensure that contracting officials develop, utilize, and maintain a central system for contract files in accordance with the FAR.	RITA	\$0	\$0	\$0	Resolved
ZA2015040 Volpe Did Not Fully Comply With Federal Requirements When Planning and Administering Its V-TRIPS Contract	4/8/2015	We recommend that the Assistant Secretary, Office of the Assistant Secretary of Transportation for Research and Technology, ensure that Volpe take the following actions for the upcoming V-TRIPS follow-on contract. Perform thorough acquisition planning, to include defining clear requirements, and conducting and documenting thorough market research (e.g., compare benefits and cost of on-site vs. off-site contractors and commercial vs. developmental products).	RITA	\$0	\$0	\$0	Resolved