



**U.S. Department of  
Transportation**

The Inspector General

Office of Inspector General  
Washington, DC 20590

November 23, 2016

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, dated February 27, 2015, to the Department of Transportation (DOT) Office of Inspector General (OIG) requesting information semiannually on the status of OIG open audit recommendations.<sup>1</sup> Specifically, you requested the following: (1) the current number of open recommendations, their dates, and cumulative estimated cost savings; (2) a description of all audits and investigations provided to the Agency for comment that did not receive a response within 60 days; (3) a report on each investigation involving GS-15 level employees (or equivalent) and above where misconduct was found but no prosecution resulted; (4) a description of any instances of whistleblower retaliation and any consequences imposed by the Agency; (5) a description of any attempts to interfere with our independence, including restricting our communications with Congress and budgetary constraints designed to limit our capabilities; (6) a description of any instances where the Department restricted or significantly delayed our access to information; and (7) a description of all closed audits and investigations that were not disclosed to the public. Unless otherwise indicated below, the following responses relay information concerning the second semiannual reporting period for fiscal year 2016.<sup>2</sup>

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<sup>1</sup> 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) nonconcurrent.

<sup>2</sup> April 1, 2016, through September 30, 2016.

## **OIG Open Recommendations and Associated Estimated Cost Savings**

As of October 1, 2016, we identified 540 open recommendations, which were included in 191 audit reports issued between July 18, 2007, and September 19, 2016. Of these, 45 recommendations (from 33 reports) carry an estimated monetary benefit or cost savings totaling over \$6 billion.<sup>3</sup> The enclosure provides detailed information on these 540 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 11 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 did not close any investigations during the reporting period that involved GS-15 level employees (or equivalent) and above where misconduct was found but no prosecution resulted.

## **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**

If 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. We have no such instances to report for this period.

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<sup>3</sup> This figure includes funds that could be put to better use and questioned costs.

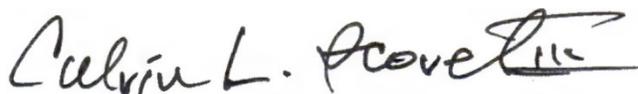
## Closed Audits and Investigations Not Disclosed to the Public

It is our practice to post all closed non-sensitive audits and evaluations on our public Web site.<sup>4</sup> Consequently, we have no previously undisclosed audits and evaluations to report. Additionally, we include information concerning closed, non-public investigations in our *Semiannual Report to Congress*, 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.

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 prominent flourish at the end.

Calvin L. Scovel III  
Inspector General

Enclosure

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<sup>4</sup> OIG reports are available on our Web site: <https://www.oig.dot.gov>.

*Department of Transportation, Office of Inspector General — Non-Sensitive Open Recommendations as of October 1, 2016*

No.	Report Number/Title	Report Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Recommendation State
1	CR2007074 Amtrak's Board Of Directors Provides Leadership to the Corporation But Can Improve How it Carries Out Its Oversight Responsibilities	9/14/2007	Amend its Statement of Policy to require at least an annual review of (a) the adequacy and timeliness of the information it receives and (b) its own effectiveness in carrying out its fiduciary responsibilities.	Amtrak	\$0	\$0	Resolved
2	CR2007074 Amtrak's Board Of Directors Provides Leadership to the Corporation But Can Improve How it Carries Out Its Oversight Responsibilities	9/14/2007	Amend its Statement of Policy to provide better guidance and more flexibility with respect to the types of actions requiring Board approval.	Amtrak	\$0	\$0	Resolved
3	CR2007074 Amtrak's Board Of Directors Provides Leadership to the Corporation But Can Improve How it Carries Out Its Oversight Responsibilities	9/14/2007	Amend its Statement of Policy to require management to submit for the Board's approval an annual, multi-year strategic plan with measurable goals and performance objectives.	Amtrak	\$0	\$0	Resolved
4	CR2007074 Amtrak's Board Of Directors Provides Leadership to the Corporation But Can Improve How it Carries Out Its Oversight Responsibilities	9/14/2007	Amend its Statement of Policy to require Amtrak to publish an annual evaluation of its performance against the previous year's goals.	Amtrak	\$0	\$0	Resolved
5	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	Resolved
6	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	Resolved
7	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	Resolved
8	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	Resolved
9	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	Resolved
10	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	Resolved

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11	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	Resolved
12	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	Resolved
13	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	Resolved
14	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	Resolved
15	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	Resolved
16	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	Resolved
17	ZA2011148 FAA Policies and Plans Are Insufficient to Ensure an Adequate and Effective Acquisition Workforce	8/3/2011	That FAA's Director of Acquisition Policy, Workforce Development, and Evaluation determine the best mix of labor resources by identifying the proper roles of both contractors and Federal employees, along with the skills sets and expertise needed for each group.	FAA	\$0	\$0	Resolved
18	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	Resolved
19	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	Resolved
20	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	That FAA's Vice President of Business and Acquisition Services: Require the SE-2020 program office to (a) develop policies and procedures to ensure timely reconciliations and corrections to acquisition databases and (b) revise its cost monitoring spreadsheets to ensure accurate data for effective cost control of SE-2020 contracts.	FAA	\$0	\$0	Resolved

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21	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	That FAA's Vice President of Business and Acquisition Services: Require FAA's contracting and program staff to use performance-based acquisition principles in their SE-2020 task orders and ensure staff is adequately trained to develop and monitor such awards.	FAA	\$0	\$0	Resolved
22	ZA2012082 FAA's Contracting Practices Are Insufficient to Effectively Manage Its System Engineering 2020 Contracts	3/28/2012	That FAA's Vice President of Business and Acquisition Services: Revise AMS to include guidance on how to identify and mitigate risks of potential OCIs prior to contract or task order award.	FAA	\$0	\$0	Resolved
23	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	Resolved
24	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	Resolved
25	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	Unresolved
26	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	Resolved
27	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	Resolved
28	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	Resolved
29	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	Resolved
30	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	Unresolved

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31	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	Resolved
32	AV2013046 FAA's Efforts to Track and Mitigate Air Traffic Losses of Separation Are Limited by Data Collection and Implementation Challenges	2/27/2013	Include high-risk TCAS warning events in its Risk Analysis Process and System Risk Event Rate when the separation between two converging aircraft is maintained at 66 percent or more.	FAA	\$0	\$0	Resolved
33	AV2013097 FAA's Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Develop a requirements document for TAMR Phase 3 Segment 1 to ensure the operational and technical requirements for the 11 large TRACONs are specific, pertinent, and focused on requirements needed to transition CARTS to STARS.	FAA	\$0	\$0	Resolved
34	AV2013097 FAA's Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Develop and implement a formal process to effectively manage, budget for, and incorporate new requirements (gaps) as they arise in the terminal modernization acquisition strategy.	FAA	\$0	\$0	Resolved
35	AV2013097 FAA's Acquisition Strategy for Terminal Modernization is at Risk for Cost Increases, Schedule Delays, and, Performance Shortfalls	5/29/2013	Develop a comprehensive approved baseline schedule for TAMR Phase 3, Segment 1 that includes: (a) Initial Operating Capability and Operational Readiness dates for each of the 11 sites that STARS will replace; (b) timeframes for testing and validating new software and hardware requirements to support STARS deployment; and (c) software testing to the maximum extent possible to ensure products are suitable for deployment.	FAA	\$0	\$0	Resolved
36	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	Resolved
37	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	Resolved
38	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	Resolved
39	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	Resolved

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40	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	Resolved
41	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	Resolved
42	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	Resolved
43	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	Resolved
44	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	Resolved
45	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	Resolved
46	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	Resolved
47	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	Resolved
48	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	Resolved
49	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	Resolved

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50	SA2013133 Federated States of Micronesia National Government	9/13/2013	Ensure the Micronesia National Government complies with Equipment and Real Property Management requirements.	FAA	\$0	\$0	Resolved
51	SA2013133 Federated States of Micronesia National Government	9/13/2013	Recover \$37,094 from the Micronesia National Government.	FAA	\$0	\$37,094	Resolved
52	FI2013136 DOT Does Not Fully Comply with the Requirements of the Reducing Over-Classification Act	9/19/2013	Update FAA's policy to conform to the requirements of EO 13526.	FAA	\$0	\$0	Resolved
53	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	Resolved
54	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	Resolved
55	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	Resolved
56	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	Resolved
57	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 cause(s) 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	Resolved
58	AV2014036 Further Actions Are Needed to Improve FAA's Oversight of the Voluntary Disclosure Reporting Program	4/10/2014	Require inspectors to evaluate the root causes(s) determination to ensure repeat self-disclosure does not go undetected and potential systemic issues are identified.	FAA	\$0	\$0	Resolved
59	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	Resolved
60	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	Resolved

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61	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	Resolved
62	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	Resolved
63	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	Resolved
64	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	Unresolved
65	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	Resolved
66	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	Resolved
67	AV2014060 AA 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	Resolved
68	AV2014060 AA 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	Resolved
69	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	Resolved
70	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	Resolved

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71	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	Resolved
72	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	Resolved
73	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	Resolved
74	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	Resolved
75	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	Resolved
76	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	Resolved
77	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	Resolved
78	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	Resolved
79	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	Resolved
80	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	Resolved

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No.	Report Number/Title	Report Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Recommendation State
81	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	Resolved
82	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	Resolved
83	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	Resolved
84	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	Unresolved
85	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	Unresolved
86	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	Resolved
87	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	Resolved
88	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	Resolved
89	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	Resolved
90	AV2015012 Planning For High Priority NextGen Capabilities Underway but Much Work Remains for Full Realization of Benefits	11/20/2014	Develop a risk mitigation strategy for missed milestones or as commitments change.	FAA	\$0	\$0	Resolved

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91	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	Resolved
92	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	Resolved
93	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	Resolved
94	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	Resolved
95	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	Resolved
96	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 strengthen password complexity configurations for LIS and SOAR, in accordance with the DOT Cyber Security Compendium.	FAA	\$0	\$0	Resolved
97	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 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	Resolved
98	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	Resolved

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99	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 granting physical access to the data center.	FAA	\$0	\$0	Resolved
100	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	Resolved
101	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	Resolved
102	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	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	Resolved
103	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	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	Resolved
104	AV2015039 Delays in Meeting Statutory Requirements and Oversight Challenges Reduce FAA's Opportunities to Enhance HEMS Safety	4/8/2015	Conduct a workforce assessment that includes a determination of whether: a. inspectors are at the right locations to provide adequate surveillance of the growing number of HEMS certificates, b. it has the correct number of inspectors with the required specialized knowledge, and c. district office inspector workload is adequately measured in complexity ratings and balanced between district offices.	FAA	\$0	\$0	Resolved
105	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	Resolved
106	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	Resolved

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107	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Develop guidance and provide training to FAA inspectors that clarify their current roles and responsibilities as country coordinators.	FAA	\$0	\$0	Resolved
108	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Revise the Maintenance Annex Guidance to require FAA inspectors to review and accept corrective action plans resulting from aviation authority sampling inspections.	FAA	\$0	\$0	Resolved
109	AV2015066 FAA has not Effectively Implemented Repair Station Oversight in the European Union	7/16/2015	Require FAA inspectors to obtain all level 1 and level 2 findings from EASA Part 145 inspections to enhance FAA's ability to conduct more accurate risk assessments of EU repair stations.	FAA	\$0	\$0	Resolved
110	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Implement an oversight process for monitoring compliance with AMS closeout requirements.	FAA	\$0	\$0	Resolved
111	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Issue additional AMS guidance on the contract closeout process. At a minimum, this guidance should include requirements for: file retention and storage, contract closeout file documentation, initial funds reviews, timely submission of adequate evidence of physical completion, and safeguards to prevent the destruction of contract files before closeout is completed.	FAA	\$0	\$0	Resolved
112	AV2015079 FAA Delays in Establishing a Pilot Records Database Limit Air Carriers' Access to Background Information	8/20/2015	Establish the FAA-records portion of the database and develop a single process for air carriers to request and obtain records currently available through PRIA, notices of disapproval, and summaries of enforcement actions in accordance with the Act.	FAA	\$0	\$0	Resolved
113	AV2015079 FAA Delays in Establishing a Pilot Records Database Limit Air Carriers' Access to Background Information	8/20/2015	Develop a clearly defined and expedited schedule for the development and implementation of a PRD, including cost estimates and project timelines.	FAA	\$0	\$0	Resolved
114	AV2015081 FAA Has Not Effectively Deployed Controller Automation Tools That Optimize Benefits of Performance-Based Navigation	8/20/2015	Establish firm milestones and follow through with all action items required to address TBFM Study Team report recommendations and a process to account for their completion.	FAA	\$0	\$0	Resolved
115	AV2015081 FAA Has Not Effectively Deployed Controller Automation Tools That Optimize Benefits of Performance-Based Navigation	8/20/2015	Establish a NAS-wide TBFM user collaboration and information sharing database or tracking system to capture lessons learned by facilities and subject matter experts during TBFM implementation and use.	FAA	\$0	\$0	Resolved
116	AV2015081 FAA Has Not Effectively Deployed Controller Automation Tools That Optimize Benefits of Performance-Based Navigation	8/20/2015	Establish a process for creating agreements (e.g., Letters of Agreement), including corresponding procedures, between facilities to accommodate wider use of automation tools and establish a target date for implementing them.	FAA	\$0	\$0	Resolved

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117	ST2015080 Efficiency of FAA's Air Traffic Control Towers Ranges Widely	8/20/2015	Identify the factors contributing to greater resource use by the least efficient towers as compared with the relatively efficient towers that we identified, and develop a plan for addressing them.	FAA	\$853,000,000	\$0	Resolved
118	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Identify and implement changes needed to improve annual contingency training exercises to simulate more realistic scenarios.	FAA	\$0	\$0	Resolved
119	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Install a secure wireless network that can provide access to FAA's local area network (LAN) and connectivity to the internet at Center facilities.	FAA	\$0	\$0	Resolved
120	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Evaluate the feasibility and cost of physically separating primary and backup components of critical communication infrastructure when comparing alternative implementation options for all future investments.	FAA	\$0	\$0	Resolved
121	AV2015112 FAA's Contingency Plans and Security Protocols Were Insufficient at Chicago Air Traffic Control Facilities	9/29/2015	Develop an implementation plan and quantify all costs required for the implementation of each recommendation in FAA's 30-day Review of Contingency Plans.	FAA	\$0	\$0	Resolved
122	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Develop and implement system-based evaluation criteria and risk-based tools to aid ODA team members in targeting their oversight.	FAA	\$0	\$0	Resolved
123	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Require annual assessments of audit training provided to ODA oversight personnel for effectiveness, and report the results of the assessment on an annual basis to the Aircraft Certification Management Team.	FAA	\$0	\$0	Resolved
124	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Provide guidance on data that ODA team members should be analyzing on an ongoing basis, enhance its national summary of biennial audit results to include more specificity, and disseminate it to ODA teams to use in planning their oversight.	FAA	\$0	\$0	Resolved
125	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Determine what additional model inputs and labor distribution codes are needed to identify ODA oversight staffing needs, and report the results to the Aircraft Certification Management Team.	FAA	\$0	\$0	Resolved
126	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Develop a process to assess the model results at the office level for potential staffing shortages, determine the validity of the results, and include in a regular written report to the Aircraft Certification Management Team.	FAA	\$0	\$0	Resolved
127	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Develop agreements and a process for sharing resources to assure that ODA personnel performing certification and inspection work at supplier and company facilities receive adequate oversight.	FAA	\$0	\$0	Resolved

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128	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Clarify guidance to engineers and inspectors on actions to take in response to self-audits and develop a process to validate that the audits are being used to identify trends that warrant a need for oversight.	FAA	\$0	\$0	Resolved
129	AV2016001 FAA Lacks an Effective Staffing Model and Risk-Based Oversight Process for Organization Designation Authorization	10/15/2015	Provide guidance on the level of sampling required to achieve effective oversight of ODA company personnel performing key aircraft certification functions, and issue sampling guidance to field offices.	FAA	\$0	\$0	Resolved
130	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	Re-examine the most recent methodologies used to calculate ACDBE car rental participation goals for the Nation's 65 largest airports, and provide guidance on the goal setting principles to use in calculating ACDBE participation goals. For those airports that did not properly calculate their goals, take action to ensure compliance with DOT guidance.	FAA	\$0	\$0	Resolved
131	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	Implement a plan for encouraging the participation of ACDBE-certified "goods and services" firms in the car rental industry and promoting their use.	FAA	\$0	\$0	Resolved
132	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	Coordinate with OSDBU to make current Small Business Transportation Resource Center training and assistance accessible to airport DBEs, such as procurement and technical training.	FAA	\$0	\$0	Resolved
133	ZA2016002 New Disadvantaged Business Enterprise Firms Face Additional Barriers to Obtaining Work at the Nation's Largest Airports	11/3/2015	In coordination with FAA's Office of Airports, develop and implement a plan to address DBE prompt payment issues with airports and prime contractors.	FAA	\$0	\$0	Resolved
134	AV2016013 Enhanced FAA Oversight Could Reduce Hazards Associated With Increased Use of Flight Deck Automation	1/7/2016	Develop guidance defining pilot monitoring metrics that air carriers can use to train and evaluate pilots.	FAA	\$0	\$0	Unresolved
135	AV2016013 Enhanced FAA Oversight Could Reduce Hazards Associated With Increased Use of Flight Deck Automation	1/7/2016	Develop standards to determine whether pilots receive sufficient training opportunities to develop, maintain, and demonstrate manual flying skills.	FAA	\$0	\$0	Unresolved
136	AV2016014 FAA Continues to Face Challenges in Ensuring Enough Fully Trained Controllers At Critical Facilities	1/11/2016	Develop and implement a methodology with completion dates for determining en route staffing ranges, as suggested by the National Academy of Sciences.	FAA	\$0	\$0	Resolved
137	AV2016015 FAA Reforms Have Not Achieved Expected Cost, Efficiency, and Modernization Outcomes	1/15/2016	Identify and implement Agency-wide cost-saving initiatives and develop appropriate timelines and metrics to measure whether the initiatives are successful.	FAA	\$0	\$0	Resolved

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138	AV2016015 FAA Reforms Have Not Achieved Expected Cost, Efficiency, and Modernization Outcomes	1/15/2016	Review and identify Federal and industry best practices and guidance from OMB and the Federal CIO that may be incorporated into AMS for acquiring major capital investments and IT systems, including the use of successive contracts that are separately priced and the use of modular concepts when planning and purchasing IT, and determine which are appropriate for incorporation into AMS.	FAA	\$0	\$0	Resolved
139	FI2016016 FAA Lacks Effective Internal Controls for Oversight of Accountable Personal Property	1/20/2016	Establish a control that ensures that all IT assets acquired using the SAVES contract are recorded in FAA's property management system within 30 days.	FAA	\$0	\$0	Resolved
140	FI2016016 FAA Lacks Effective Internal Controls for Oversight of Accountable Personal Property	1/20/2016	Develop agency-wide procedures for the timely update of records for IT equipment exchanged via the ITAMS program.	FAA	\$0	\$0	Resolved
141	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA management revise policies and procedures to ensure proper segregation of duties over the processing of manual JVs at FAA HQ.	FAA	\$0	\$0	Resolved
142	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA management apply system patches for weaknesses identified in monthly vulnerability scans to strengthen patch management controls in the system environment.	FAA	\$0	\$0	Resolved
143	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA strengthen password complexity configurations for both systems, in accordance with the DOT Cyber Security Compendium; or,	FAA	\$0	\$0	Resolved
144	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that 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	Resolved
145	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA strengthen policies and procedures over the ER liability to include requirement to revalidate all key data inputs and assumptions on an annual basis.	FAA	\$0	\$0	Resolved
146	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA strengthen policies and procedures over the ER liability to include requirement to document the key assumptions applied in the calculation of the liability.	FAA	\$0	\$0	Resolved
147	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA strengthen policies and procedures over the estimation of the EC&D liability to include requirements to revalidate all key data inputs and assumptions on an annual basis.	FAA	\$0	\$0	Resolved

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148	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA strengthen policies and procedures over the estimation of the EC&D liability to include requirements to document the key assumptions applied in the calculation of the liability.	FAA	\$0	\$0	Resolved
149	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA strengthen policies and procedures over the estimation of the EC&D liability to include requirements to review the reasonableness of the formulas and calculations in the estimate.	FAA	\$0	\$0	Resolved
150	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA management develop and implement policies and procedures, including increasing the level of precision of the quarterly review of user access, to remove application access for separated employees and contractors immediately upon termination or when determined that a user's access is no longer required.	FAA	\$0	\$0	Resolved
151	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA management emphasize the timely de-obligation of inactive UCOs identified during management's monitoring and review process.	FAA	\$0	\$0	Resolved
152	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA finalize the policies and procedures that specify the number of days within which property identified for disposal should be retired and recorded in the fixed asset sub-ledger.	FAA	\$0	\$0	Resolved
153	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA provide training to the various regions and property owners on the new policies and procedures noted in recommendation.	FAA	\$0	\$0	Resolved
154	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommend that FAA continue to perform procedures to assess the amount of assets identified for retirement, by the various regions and property owners, which have not yet been recorded in the general ledger as of September 30th and record an accrual, as needed.	FAA	\$0	\$0	Resolved
155	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA develop and implement procedures requiring periodic independent reviews of audit logs. The procedures should require reviews to be documented, include the items being reviewed, and the frequency within which the reviews should occur.	FAA	\$0	\$0	Resolved
156	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA management develop and implement procedures requiring periodic reviews of audit logs for all platforms, including the database. The procedures should include the items being reviewed and the frequency within which the reviews should occur. Lastly, the System Security Plan (SSP) should be updated to reflect the new implementation.	FAA	\$0	\$0	Resolved
157	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA management completes the implementation of procedures for granting physical access to the data center.	FAA	\$0	\$0	Resolved

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158	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA management completes the implementation of procedures for retaining authorizing documents and maintaining user listings of individuals that are granted access.	FAA	\$0	\$0	Resolved
159	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA management completes the implementation of procedures for performing periodic reviews of access rights for existing data center users.	FAA	\$0	\$0	Resolved
160	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA management complete the relocation of the system, as soon as possible, to a secure data center with strong physical access controls.	FAA	\$0	\$0	Resolved
161	QC2016023 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 FAA Financial Statements	2/25/2016	KPMG recommends that FAA update the SSP and relevant policies and procedures to ensure segregation of duties is maintained throughout the change management process. If restricting developers' access to production libraries and datasets is not technically feasible or not operationally practical, FAA should identify a compensating control, such as independently conducting and documenting a periodic review of audit logs to identify inappropriate and unauthorized changes implemented outside of the formal change management process.	FAA	\$0	\$0	Resolved
162	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Conduct annual functional contingency plan testing for FAA systems, including (1) Enhanced Flight Standards Automation System and (2) Web-based Operations Safety System.	FAA	\$0	\$0	Resolved
163	SA2016036 Federated States of Micronesia National Government, Palikir, Micronesia	3/11/2016	Ensure the Micronesia National Government complies with the Allowable Costs/Cost Principles Requirements.	FAA	\$0	\$0	Resolved
164	SA2016036 Federated States of Micronesia National Government, Palikir, Micronesia	3/11/2016	Ensure the Micronesia National Government Complies with the Reporting Requirements.	FAA	\$0	\$0	Resolved
165	SA2016036 Federated States of Micronesia National Government, Palikir, Micronesia	3/11/2016	Ensure the Micronesia National Government Complies with the Equipment and Real Property Management Requirements.	FAA	\$0	\$0	Resolved
166	SA2016036 Federated States of Micronesia National Government, Palikir, Micronesia	3/11/2016	Recover \$49,760 from the Micronesia National Government, if applicable.	FAA	\$0	\$49,760	Resolved
167	ZA2016065 FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	5/9/2016	Establish and implement a standard operating procedure to verify the accuracy of FAA's sole-source contract data submitted to OST for annual reporting to Congress.	FAA	\$0	\$0	Resolved
168	ZA2016065 FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	5/9/2016	Establish and implement additional actions to reduce the use of sole-source contracting, including the use of performance measures that are tracked periodically. At a minimum, these actions should include steps to address FAA's acquisition of proprietary technologies.	FAA	\$0	\$0	Resolved

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No.	Report Number/Title	Report Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Recommendation State
169	ZA2016065 FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	5/9/2016	Establish and implement a standardized process for identifying and assessing potential follow-on procurements, to improve FAA's ability to identify requirements that can be competed in the future.	FAA	\$0	\$0	Resolved
170	ZA2016065 FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	5/9/2016	Establish and implement an oversight process to adequately review sole-source procurements prior to award to ensure that they comply with AMS pre-award requirements.	FAA	\$0	\$0	Resolved
171	ZA2016065 FAA Lacks Adequate Controls To Accurately Track and Award Its Sole Source Contracts	5/9/2016	Update AMS policy and guidance to clarify pre-award requirements for sole-source awards. At a minimum, FAA should clarify policy and guidance related to procurement plans, conflict of interest agreements, pre-award public announcements, market analysis, sole-source justifications, IGCEs, and simplified acquisition procedures.	FAA	\$0	\$0	Resolved
172	AV2016067 FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	5/31/2016	Establish minimum requirements for inspectors' review of airports' compliance with Aircraft Rescue and Fire Fighting regulations.	FAA	\$0	\$0	Resolved
173	AV2016067 FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	5/31/2016	Update the inspection checklist for Airport Certification Inspections to include these requirements: a. determining whether airports have conducted tests of fire-extinguishing agents; b. reviewing vehicle maintenance records; c. reviewing training materials; and d. reviewing the type of foam airports use to ensure airports meet Federal requirements.	FAA	\$0	\$0	Resolved
174	AV2016067 FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	5/31/2016	Document what items were reviewed to determine airport compliance under the Aircraft Rescue and Fire Fighting requirements in the inspection checklist for Airport Certification Inspections to include: a. which vehicles were reviewed to determine compliance with each regulation, such as which vehicles were inspected for their ability to discharge agent and execute the response time tests; b. which personnel protective equipment were inspected; and c. dates of the full scale triennial emergency exercise and annual review of the Airport Emergency Plan.	FAA	\$0	\$0	Resolved
175	AV2016067 FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	5/31/2016	Provide training to inspectors on the updated inspection checklist for Airport Certification Inspections.	FAA	\$0	\$0	Resolved
176	AV2016067 FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	5/31/2016	Implement the requirement under FAA's Compliance and Enforcement Policy for FAA Headquarters to review regional inspection program activities of the Aircraft Rescue and Fire Fighting program on a 3-year cycle.	FAA	\$0	\$0	Resolved
177	AV2016067 FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	5/31/2016	Require inspectors to review airports' training materials and other documentation that shows the items taught during each of its training classes used for Aircraft Rescue and Fire Fighting personnel in each of the Aircraft Rescue and Fire Fighting areas required under 14 CFR Part 139 to ensure airports train personnel in a manner authorized by FAA.	FAA	\$0	\$0	Resolved
178	AV2016067 FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	5/31/2016	Identify and implement best practices regarding the content, length, and methods of teaching each of the 11 Aircraft Rescue and Fire Fighting subject areas.	FAA	\$0	\$0	Resolved

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179	AV2016067 FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	5/31/2016	Issue guidance to airport inspectors clarifying when inspectors should: (1) issue a formal Letter of Investigation and (2) investigate serious discrepancies to determine and document the cause of these discrepancies.	FAA	\$0	\$0	Resolved
180	AV2016067 FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	5/31/2016	Require FAA to periodically analyze Aircraft Rescue and Fire Fighting enforcement data nationwide to identify airports with serious Aircraft Rescue and Fire Fighting violations and verify they are corrected to prevent future discrepancies with the regulations. Document analysis and steps to ensure violations are corrected.	FAA	\$0	\$0	Resolved
181	AV2016067 FAA Lacks Sufficient Oversight of the Aircraft Rescue and Fire Fighting Program	5/31/2016	Develop a process to ensure the Office of Airports reports its Aircraft Rescue and Fire Fighting enforcement actions to FAA's Enforcement Information System database according to FAA Order 2150.3B.	FAA	\$0	\$0	Resolved
182	AV2016094 FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	8/25/2016	Establish and document a process with clear roles and responsibilities for identifying and prioritizing long-term R&D for air traffic management and related efforts.	FAA	\$0	\$0	Resolved
183	AV2016094 FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	8/25/2016	Link the long-term vision for NextGen, once completed, with current R&D efforts to identify any additional R&D that may be required.	FAA	\$0	\$0	Resolved
184	AV2016094 FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	8/25/2016	Have SPC's six high-priority NextGen capabilities validated by an external entity, such as the REDAC to ensure that they are on the critical path for NextGen development, as well as ensure that there are not other areas that warrant additional attention.	FAA	\$0	\$0	Resolved
185	AV2016094 FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	8/25/2016	Finalize the MOU that establishes the organizational structure and responsibilities for FAA and its partner agencies.	FAA	\$0	\$0	Resolved
186	AV2016094 FAA Lacks a Clear Process for Identifying and Coordinating NextGen Long-Term Research and Development	8/25/2016	Update the RTT document to include: a. Assignments by position instead of by name; b. Updated organization names and roles; and c. Current projects in an annex rather than in the main document to allow for easier updates.	FAA	\$0	\$0	Resolved
187	SA2016099 Territory of American Samoa, Pago Pago, American Samoa	9/12/2016	Ensure the Territory complies with the Equipment and Real Property Management Requirements.	FAA	\$0	\$0	Unresolved
188	SA2016104 State of Vermont, Montpelier, VT	9/19/2016	Ensure the State complies with Reporting Requirements.	FAA	\$0	\$0	Unresolved
189	SA2016107 State of Illinois, Springfield, IL	9/19/2016	Ensure the State complies with the Information System Requirements.	FAA	\$0	\$0	Unresolved
190	SA2016114 Virgin Islands Port Authority, St. Thomas, VI	9/19/2016	Ensure the Port Authority complies with Special Tests and Provisions (Wage Rate) Requirements. Requirements.	FAA	\$0	\$0	Unresolved

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191	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	Resolved
192	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	Resolved
193	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	By implementing the recommendations in this report, FHWA could put approximately \$30.2 million in future Federal-aid funds to better use.	FHWA	\$30,200,000	\$0	Resolved
194	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Establish a process for monitoring and ensuring that state DOTs implement Section 307.	FHWA	\$0	\$0	Resolved
195	ZA2009033 Oversight of Design and Engineering Firms' Indirect Costs Claimed on Federal-Aid Grants	2/5/2009	Recover the unallowed executive compensation costs and other unallowable expenses identified in this audit - \$2.8 million in unallowable executive compensation and \$1.6 million in other unallowable indirect charges.	FHWA	\$0	\$4,400,000	Resolved
196	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	Resolved
197	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	Resolved
198	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	Resolved
199	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	Resolved
200	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	Resolved

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201	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	Resolved
202	SA2012163 Mescalero Apache Tribe, New Mexico	7/30/2012	Ensure that the Tribe complies with Allowable Costs/Cost Principles requirements.	FHWA	\$0	\$0	Resolved
203	SA2012163 Mescalero Apache Tribe, New Mexico	7/30/2012	Ensure the Tribe complies with Reporting requirements.	FHWA	\$0	\$0	Resolved
204	SA2012164 St. Croix Chippewa Indians of Wisconsin	7/30/2012	Ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	FHWA	\$0	\$0	Resolved
205	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	Resolved
206	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	Resolved
207	SA2013022 Pueblo of Zia, New Mexico	11/19/2012	Ensure the Pueblo of Zia complies with ARRA Reporting requirements.	FHWA	\$0	\$0	Resolved
208	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	Resolved
209	SA2013105 Pueblo of Pojoaque, New Mexico	7/12/2013	Recover \$233,610 from the Pueblo, if applicable.	FHWA	\$0	\$233,610	Resolved
210	SA2013111 Cheyenne River Sioux Tribe, South Dakota	7/12/2013	Ensure the Tribe complies with Procurement, Suspension and Debarment requirements.	FHWA	\$0	\$0	Resolved
211	SA2013111 Cheyenne River Sioux Tribe, South Dakota	7/12/2013	Recover \$199,333 from the Tribe, if applicable.	FHWA	\$0	\$199,333	Resolved
212	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	Resolved
213	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	Resolved
214	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	Resolved

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215	SA2014045 Spirit Lake Tribe, North Dakota	5/21/2014	Recover \$17,190 from the Tribe, if applicable.	FHWA	\$0	\$17,190	Resolved
216	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	Resolved
217	SA2014084 State of Georgia	8/1/2014	Ensure the State complies with Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	Resolved
218	SA2014123 United States Virgin Island	9/17/2014	Ensure the USVI complies with Cash Management Requirements.	FHWA	\$0	\$0	Resolved
219	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	Resolved
220	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	Resolved
221	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	Resolved
222	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	Resolved
223	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	Resolved
224	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Revise the quality assurance review process to fully communicate the results of the annual reviews to appropriate Division Offices and track the actions taken to address its recommendations.	FHWA	\$0	\$0	Resolved

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225	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Revise Bridge Program Manual guidance to specify how Division Offices should combine and report results when separate assessments of the National Bridge Inspection Standards oversight metrics are performed.	FHWA	\$0	\$0	Resolved
226	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Establish a process for Division Offices to promptly inform the FHWA Headquarters Office of Bridges and Structures when additional resources are needed to complete a review of the State's bridge inspection program and for the Office of Bridges and Structures to coordinate the necessary support.	FHWA	\$0	\$0	Resolved
227	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Develop and implement a comprehensive risk management process for NBIPOT to identify, report, and track mitigation actions for high-priority risks to bridge safety at the national level. The process should incorporate best practices consistent with FHWA's risk management framework.	FHWA	\$0	\$0	Resolved
228	ST2015027 FHWA Effectively Oversees Bridge Safety, but Opportunities Exist To Enhance Guidance and Address National Risk	2/18/2015	Establish a consolidated source of guidance on documenting the National Bridge Inspection Standards oversight reviews in the Assessment Reporting Tool that allows Division Offices to easily identify or locate relevant information.	FHWA	\$0	\$0	Resolved
229	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	Resolved
230	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	Resolved
231	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	Resolved
232	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	Resolved
233	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	Resolved
234	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	Resolved

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235	SA2015055 State of Texas, Comptroller of Public Accounts, Austin, Texas	6/17/2015	Ensure the State complies with the Davis-Bacon Act Requirements.	FHWA	\$0	\$0	Resolved
236	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	Ensure the State complies with the Procurement and Suspension and Debarment Requirements.	FHWA	\$0	\$0	Resolved
237	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	Ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
238	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	Recover \$431,821 from the State, if applicable.	FHWA	\$0	\$431,821	Resolved
239	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	Recover \$8,399 from the State, if applicable.	FHWA	\$0	\$8,399	Resolved
240	SA2015061 State of Tennessee, Nashville, Tennessee	6/17/2015	Recover \$3,626,721 from the State, if applicable.	FHWA	\$0	\$3,626,721	Resolved
241	ST2015083 FHWA's FIRE Program is Addressing State Vulnerabilities But Opportunities Exist to Make Improvements	9/1/2015	Require Division Offices to clearly document how the financial management reviews responded to the risk assessments or other internal control weaknesses.	FHWA	\$0	\$0	Resolved
242	ST2015083 FHWA's FIRE Program is Addressing State Vulnerabilities But Opportunities Exist to Make Improvements	9/1/2015	Require Division Offices to transfer open, pre-existing FMR recommendations and corrective action plans to INPUT.	FHWA	\$0	\$0	Resolved
243	SA2015088 State of Georgia, Atlanta, Georgia	9/14/2015	Ensure the State complies with the Davis-Bacon Act Requirements.	FHWA	\$0	\$0	Resolved
244	SA2015088 State of Georgia, Atlanta, Georgia	9/14/2015	Ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	Resolved
245	SA2015095 State of Florida, Tallahassee, Florida	9/15/2015	Ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
246	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	KPMG recommends that FHWA establish procedures and controls over the accrual period revalidation process, including policies to regularly revalidate the accrual periods.	FHWA	\$0	\$0	Resolved
247	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	KPMG recommends that FHWA develop survey questions that more closely align with the relevant data necessary to determine the accrual periods for the four expenditure categories.	FHWA	\$0	\$0	Resolved
248	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	KPMG recommends that FHWA document the methodology of how the survey responses are used to determine the accrual period. When a deviation from the standard methodology is necessary; document the reasoning and maintain evidence to support the deviation.	FHWA	\$0	\$0	Resolved
249	QC2016022 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommends that FHWA continue to emphasize the timely de-obligation of all stale obligations identified through the revised Supplemental Internal Procedures for the Review, Validation, and Testing of Inactive Obligations.	FHWA	\$108,687,594	\$0	Resolved

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250	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Update the contingency plans for the two FHWA systems: (1) Fiscal Management Information System and (2) Rapid Approval and State Payment System (RASPS) by: a. Developing a Business Impact Analysis for their two selected systems. b. Identifying allowable system unavailability timelines such as Maximum Tolerable Downtime (MTD) and Recovery Time Objective (RTO) for their system contingency plans. c. Reevaluating both systems' alternate backup data storage sites so they are geographically dispersed from the primary system operational site as required by DOT policy. d. Implementing a process for ensuring the encryption of backup data prior to transferring the data offsite.	FHWA	\$0	\$0	Resolved
251	SA2016027 Regional Transportation District, Denver, CO	3/8/2016	Ensure the District complies with the Period of Availability Requirements.	FHWA	\$0	\$0	Resolved
252	SA2016027 Regional Transportation District, Denver, CO	3/8/2016	Ensure the District complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
253	SA2016027 Regional Transportation District, Denver, CO	3/8/2016	Recover \$162,010 from the District, if applicable.	FHWA	\$0	\$162,010	Resolved
254	SA2016027 Regional Transportation District, Denver, CO	3/8/2016	Recover \$93,184 from the District, if applicable.	FHWA	\$0	\$93,184	Resolved
255	SA2016039 Crow Tribe of Indians, Crow Agency, MT	3/11/2016	Ensure the Tribe complies with the Cash Management Requirements.	FHWA	\$0	\$0	Resolved
256	SA2016039 Crow Tribe of Indians, Crow Agency, MT	3/11/2016	Recover \$2,773,489 from the Tribe, if applicable.	FHWA	\$0	\$2,773,489	Resolved
257	SA2016047 Klawock Cooperative Association, Klawock, AK	3/16/2016	Ensure the Association complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	Resolved
258	SA2016047 Klawock Cooperative Association, Klawock, AK	3/16/2016	Recover \$10,719 from the Association, if applicable.	FHWA	\$0	\$10,719	Resolved
259	SA2016050 State of New York, Albany, NY	3/16/2016	Ensure the State of New York complies with the Reporting Requirements.	FHWA	\$0	\$0	Resolved
260	SA2016051 Joint Programs of the Shoshone and Arapaho Tribes of the Wind River Reservation, Fort Washakie, WY	3/16/2016	Ensure the Shoshone and Arapaho Tribes comply with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
261	SA2016053 Nanwalek IRA Council, Nanwalek, AK	3/16/2016	Ensure the Council complies with the Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	Resolved
262	SA2016053 Nanwalek IRA Council, Nanwalek, AK	3/16/2016	Recover \$255,941 from the Council, if applicable.	FHWA	\$0	\$255,941	Resolved
263	SA2016062 State of Louisiana, Baton Rouge, LA	4/27/2016	Ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	Resolved
264	SA2016062 State of Louisiana, Baton Rouge, LA	4/27/2016	Ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
265	SA2016062 State of Louisiana, Baton Rouge, LA	4/27/2016	Recover \$639,030 from the State, if applicable.	FHWA	\$0	\$639,030	Resolved

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266	SA2016070 State of Georgia, Atlanta, GA	6/16/2016	Ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	Resolved
267	SA2016084 State of North Carolina, Raleigh, NC	8/5/2016	Ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
268	SA2016085 State of Tennessee, Nashville, TN	8/5/2016	Ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
269	SA2016085 State of Tennessee, Nashville, TN	8/5/2016	Recover \$83,782 from the State, if applicable.	FHWA	\$0	\$83,782	Resolved
270	ST2016095 FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	8/26/2016	Obtain a legal determination from the Office of the Secretary to permit SPES projects and similar funding agreements and establish internal controls to ensure compliance with Federal requirements. Implementing this recommendation could put the \$1.1 billion in PE funds to better use.	FHWA	\$1,100,000,000	\$0	Resolved
271	ST2016095 FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	8/26/2016	Develop and implement financial controls and processes to monitor PE projects exceeding the 10-year limit, approved extensions, and reimbursements not pursued when PE projects do not progress within the 10-year limit. Implementing this recommendation could put \$3.3 billion in PE funds to better use.	FHWA	\$3,300,000,000	\$0	Resolved
272	ST2016095 FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	8/26/2016	Conduct an assessment of the risks and existing controls associated with the Division Offices' oversight of State's processes to track PE projects, and identify improvements to Division Office oversight.	FHWA	\$0	\$0	Resolved
273	ST2016095 FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	8/26/2016	Conduct an assessment of the accuracy and completeness of PE project authorizations. Correct any errors in FMIS projects that should be coded as PE as a result of this assessment.	FHWA	\$0	\$0	Resolved
274	ST2016095 FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	8/26/2016	Update FHWA Order 5020.1 or develop Agency guidance to state FHWA's policy concerning compliance with Title 23 U.S.C. Section 102(b), including the following: a) Define when a project progresses to right-of-way or construction; b) Describe accurate coding parameters for PE projects in FMIS; c) Define the means of tracking the 10-year limit for PE projects, including those involving multiple Federal project numbers; d) Define recordkeeping and documentation expectations for tracking reimbursements, extending the 10-year limit, and decisions not to pursue reimbursements; e) Define roles and responsibilities for Division Offices and FHWA Headquarters for consistent oversight and enforcement of PE requirements before and after the 10-year limit; f) Define FHWA Headquarters' policy on resolving differences arising between Division Offices and States regarding required PE actions.	FHWA	\$0	\$0	Resolved
275	ST2016095 FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	8/26/2016	Develop performance measures that track compliance with the 10-year limit and report progress.	FHWA	\$0	\$0	Resolved

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276	ST2016095 FHWA Does Not Effectively Ensure States Account for Preliminary Engineering Costs and Reimburse Funds As Required	8/26/2016	For the \$143 million in PE projects questioned in this report without adequate justification for time extensions or avoided repayments, obtain from the States appropriate support or repayment of PE expenditures as required.	FHWA	\$0	\$143,000,000	Resolved
277	SA2016100 State of Indiana, Indianapolis, IN	9/12/2016	Ensure the State complies with Special Tests and Provisions (Wage Rate) Requirements.	FHWA	\$0	\$0	Resolved
278	SA2016101 State of Florida, Tallahassee, FL	9/12/2016	Ensure the State complies with Matching, Level of Effort, and Earmarking Requirements.	FHWA	\$0	\$0	Resolved
279	SA2016101 State of Florida, Tallahassee, FL	9/12/2016	Ensure the State complies with Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
280	SA2016101 State of Florida, Tallahassee, FL	9/12/2016	Recover \$26,110 from the State, if applicable.	FHWA	\$0	\$26,110	Resolved
281	SA2016102 State of Alaska, Juneau, AK	9/12/2016	Ensure the State complies with Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	Resolved
282	SA2016102 State of Alaska, Juneau, AK	9/12/2016	Recover \$43,045 (Question Cost of \$42,557 related to finding 2015-040 and \$488 related to 2015-041) from the State, if applicable.	FHWA	\$0	\$43,045	Resolved
283	SA2016103 State of Rhode Island Providence Plantations, Providence, RI	9/19/2016	Ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Resolved
284	SA2016106 State of West Virginia, Charleston, WV	9/19/2016	Ensure the State complies with the Activities Allowed or Unallowed and Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	Resolved
285	SA2016106 State of West Virginia, Charleston, WV	9/19/2016	Recover \$29,901 from the State, if applicable.	FHWA	\$0	\$29,901	Resolved
286	SA2016107 State of Illinois, Springfield, IL	9/19/2016	Ensure the State complies with the Allowable Costs/Cost Principles Requirements.	FHWA	\$0	\$0	Unresolved
287	SA2016107 State of Illinois, Springfield, IL	9/19/2016	Ensure the State complies with the Special Tests and Provisions Requirements.	FHWA	\$0	\$0	Unresolved
288	SA2016107 State of Illinois, Springfield, IL	9/19/2016	Ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	Unresolved
289	SA2016107 State of Illinois, Springfield, IL	9/19/2016	Ensure the State complies with the Information System Requirements.	FHWA	\$0	\$0	Unresolved
290	SA2016107 State of Illinois, Springfield, IL	9/19/2016	Ensure the State complies with the Reporting Requirements.	FHWA	\$0	\$0	Unresolved
291	SA2016109 State of Colorado, Denver, CO	9/19/2016	Ensure the State complies with the Reporting Requirements.	FHWA	\$0	\$0	Resolved
292	SA2016109 State of Colorado, Denver, CO	9/19/2016	Ensure the State complies with the Subrecipient Monitoring Requirements.	FHWA	\$0	\$0	Resolved
293	SA2016110 State of Michigan, Lansing, MI	9/19/2016	Ensure the State complies with the Activities Allowed or Unallowed Requirements.	FHWA	\$0	\$0	Unresolved
294	SA2016111 Assiniboine and Sioux Tribes of the Fort Peck Indian Reservation, Poplar, MT	9/19/2016	Ensure the Tribes comply with Davis-Bacon Act Requirements.	FHWA	\$0	\$0	Resolved

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295	SA2016112 Government of Guam, Hagatna, Guam	9/19/2016	Ensure the Government of Guam complies with Equipment and Real Property Management Requirements.	FHWA	\$0	\$0	Resolved
296	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Conduct annual functional contingency plan testing for the FMCSA Enforcement Management Information System.	FMCSA	\$0	\$0	Resolved
297	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Develop, document, and implement user and system-level data backup processes for the FMCSA Enforcement Management Information System.	FMCSA	\$0	\$0	Resolved
298	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Specify alternate telecommunications services including necessary agreements for the FMCSA Enforcement Management Information System contingency plan.	FMCSA	\$0	\$0	Resolved
299	SA2016108 State of New Mexico, Department of Public Safety, Santa Fe, NM	9/19/2016	Ensure the State complies with the Allowable Costs/Cost Principles Requirements.	FMCSA	\$0	\$0	Unresolved
300	SA2016108 State of New Mexico, Department of Public Safety, Santa Fe, NM	9/19/2016	Ensure the State complies with the Reporting Requirements.	FMCSA	\$0	\$0	Unresolved
301	SA2016108 State of New Mexico, Department of Public Safety, Santa Fe, NM	9/19/2016	Determine their portion of the \$59,000 in Questioned Costs and recover from the State, if applicable.	FMCSA	\$0	\$29,500	Unresolved
302	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	Resolved
303	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	Resolved
304	FI2014033 Inadequate Planning, Limited Revenue, and Rising Costs Undermine Efforts to Sustain Washington, DC's Union Station	4/1/2014	Direct USRC to perform a full structural analysis on the building's structural components.	FRA	\$0	\$0	Resolved
305	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Conduct annual functional contingency plan testing for the FRA Railroad Safety Information System.	FRA	\$0	\$0	Resolved

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306	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Develop, document, and implement user and system-level data backup processes for the FRA Railroad Safety Information System.	FRA	\$0	\$0	Resolved
307	SA2016028 North Coast Railroad Authority, Ukiah, CA	3/8/2016	Ensure the Authority complies with the Reporting Requirements.	FRA	\$0	\$0	Resolved
308	ST2016059 FRA Lacks Guidance on Overseeing Compliance with Bridge Safety Standards	4/21/2016	Develop and implement a plan to identify and regularly update a comprehensive list of entities regulated by FRA's bridge safety standards.	FRA	\$0	\$0	Resolved
309	ST2016059 FRA Lacks Guidance on Overseeing Compliance with Bridge Safety Standards	4/21/2016	Issue guidance for specialists to implement a data-driven, risk-based methodology for prioritizing bridge safety reviews.	FRA	\$0	\$0	Resolved
310	ST2016059 FRA Lacks Guidance on Overseeing Compliance with Bridge Safety Standards	4/21/2016	Issue guidance that defines how bridge safety specialists should conduct their oversight reviews.	FRA	\$0	\$0	Resolved
311	ST2016059 FRA Lacks Guidance on Overseeing Compliance with Bridge Safety Standards	4/21/2016	Issue guidance that defines how bridge safety specialists should track and follow-up on identified issues of regulatory non-compliance to verify that owners take remedial actions.	FRA	\$0	\$0	Resolved
312	SA2016082 State of California, Sacramento, CA	8/5/2016	Ensure the State complies with the Special Tests and Provisions Requirements.	FRA	\$0	\$0	Resolved
313	SA2016084 State of North Carolina, Raleigh, NC	8/5/2016	Ensure the State complies with the Special Tests and Provisions Requirements.	FRA	\$0	\$0	Resolved
314	SA2016087 North Coast Railroad Authority, Ukiah, CA	8/5/2016	Ensure the Authority Complies with Reporting Requirements.	FRA	\$0	\$0	Resolved
315	SA2016087 North Coast Railroad Authority, Ukiah, CA	8/5/2016	Ensure the Authority complies with Fixed Charge Coverage Ratio Requirements.	FRA	\$0	\$0	Resolved
316	SA2016107 State of Illinois, Springfield, IL	9/19/2016	Ensure the State complies with the Reporting Requirements.	FRA	\$0	\$0	Resolved
317	QC2007057 Washington Metropolitan Area Transit Authority	7/18/2007	Ensure the Authority update and modify the security controls at the bus divisions to prevent or detect unauthorized entry.	FTA	\$0	\$0	Resolved
318	SA2011069 Washington Metropolitan Area Transit Authority	3/23/2011	Ensure the Authority implement security controls and devices to ensure that equipment is properly safeguarded.	FTA	\$0	\$0	Resolved
319	SA2011124 State of Tennessee	6/13/2011	Recover \$23,511 from the State.	FTA	\$0	\$23,511	Resolved
320	SA2011124 State of Tennessee	6/13/2011	Determine the allowability of the reimbursement requests and recover \$79,021 from the State, if applicable.	FTA	\$0	\$79,021	Resolved
321	SA2012103 State of Tennessee	5/2/2012	Recover \$17,867 from the State.	FTA	\$0	\$17,867	Resolved
322	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Develop policies and procedures, including oversight mechanisms, to verify that regions do not close findings before they receive documentation showing that a finding has been resolved fully.	FTA	\$0	\$0	Resolved
323	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Revise and finalize policies and procedures for using remedies and sanctions, including application of a risk-base approach for their use.	FTA	\$0	\$0	Resolved
324	MH2012168 Improvements Needed in FTA's Grant Oversight Program	8/2/2012	Require FTA Headquarter staff to track and oversee each region's use of remedies and sanctions.	FTA	\$0	\$0	Resolved

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325	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	Resolved
326	SA2014095 State of Tennessee	9/8/2014	Ensure the State complies with Allowable Costs/Cost Principles Requirements and recover \$ 46,167 from the State; if applicable.	FTA	\$0	\$46,167	Resolved
327	MH2014117 FTA's Oversight of the National Transit Database	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	Resolved
328	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of FTA develop procedures and controls to address the provisioning of access and system audit log review control deficiencies identified in the FTA financial IT systems.	FTA	\$0	\$0	Resolved
329	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of FTA monitor progress to ensure that procedures and controls are appropriately designed, implemented, and maintained.	FTA	\$0	\$0	Resolved
330	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that DOT improve its general information technology controls at FTA, as noted above, to ensure that DOT's financial management systems comply with the requirements of the FFMIA.	FTA	\$0	\$0	Resolved
331	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	Resolved
332	ST2015046 FTA Has Not Full Implemented Key Internal Controls for Hurricane Sandy Oversight and Future Emergency Relief Efforts	6/12/2015	Formalize FTA's process for coordination with FEMA to avoid duplicative payments in providing emergency and disaster-related assistance.	FTA	\$0	\$0	Resolved
333	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	KPMG recommends that the Chief Information Officers of DOT and FTA develop policies, procedures and controls to address the provisioning of IT access, vulnerability management, system audit log review and change management control deficiencies identified in the FTA financial IT systems.	FTA	\$0	\$0	Resolved
334	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	That the Chief Information Officers of DOT and FTA monitor progress to ensure that procedures and controls are appropriately designed, implemented, and maintained.	FTA	\$0	\$0	Resolved

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335	QC2016008 Quality Control Review of Audited Financial Statements for Fiscal Years 2015 and 2016 - Department of Transportation	11/16/2015	KPMG recommends 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	Resolved
336	QC2016022 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommends that FTA revise its grant accrual retrospective review procedures to ensure that the retrospective review is performed at the appropriate level of precision using relevant and reliable data inputs (including FFR reporting, UDO balances, and grant disbursements) and any resulting material adjustments are properly made to the grant accrual methodology.	FTA	\$0	\$0	Resolved
337	QC2016022 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommends that FTA revise its policies and procedures for monitoring obligations in order to more timely identify and de-obligate stale obligations.	FTA	\$0	\$0	Resolved
338	SA2016038 City of Kansas City, Kansas City, MO	3/11/2016	Ensure the City complies with the Activities Allowed or Unallowed Requirements.	FTA	\$0	\$0	Resolved
339	SA2016042 Washington Metropolitan Area Transit Authority, Washington, DC	3/11/2016	Ensure the Authority complies with the Reporting Requirements.	FTA	\$0	\$0	Resolved
340	SA2016042 Washington Metropolitan Area Transit Authority, Washington, DC	3/11/2016	Ensure the Authority complies with the Activities Allowed or Unallowed and Allowable Costs/Cost Principles Requirements.	FTA	\$0	\$0	Resolved
341	SA2016042 Washington Metropolitan Area Transit Authority, Washington, DC	3/11/2016	Ensure the Authority complies with the Equipment and Real Property Management Requirements.	FTA	\$0	\$0	Resolved
342	SA2016042 Washington Metropolitan Area Transit Authority, Washington, DC	3/11/2016	Ensure the Authority complies with the Procurement and Suspension and Debarment Requirements.	FTA	\$0	\$0	Resolved
343	SA2016042 Washington Metropolitan Area Transit Authority, Washington, DC	3/11/2016	Ensure the Authority complies with the Special Tests and Provisions Requirements.	FTA	\$0	\$0	Resolved
344	SA2016043 Jacksonville Transportation Authority, Jacksonville, FL	3/11/2016	Ensure the Authority complies with the Procurement and Suspension and Debarment Requirements.	FTA	\$0	\$0	Resolved
345	SA2016043 Jacksonville Transportation Authority, Jacksonville, FL	3/11/2016	Recover \$289,780 from the Authority, if applicable.	FTA	\$0	\$289,870	Resolved
346	SA2016045 PACE, the Suburban Bus Division of the Regional Transportation Authority, Arlington Heights, IL	3/11/2016	Recover \$222,972 from PACE, if applicable.	FTA	\$0	\$222,972	Resolved

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347	SA2016046 Metropolitan Transportation Authority, New York, NY	3/11/2016	Ensure the Authority complies with the Procurement Requirements.	FTA	\$0	\$0	Resolved
348	SA2016046 Metropolitan Transportation Authority, New York, NY	3/11/2016	Recover \$2,029,701 from the Authority, if applicable.	FTA	\$0	\$2,029,701	Resolved
349	ST2016058 FTA Monitored Grantees' Corrective Actions but Lacks Policy and Guidance to Oversee Grantees with Restricted Access to Federal Funds ST2016058	4/12/2016	Develop and issue policies and guidance for overseeing grantees under Federal funding restrictions. At a minimum, these policies and guidance should address: a. reviewing grantee invoices; b. tracking corrective actions for grantees who have been placed on Federal funding restriction, including roles and responsibilities of those involved in monitoring and oversight; c. improving documentation of grantees' actions used to justify closure of recommendations; and d. centrally documenting FTA's oversight of grantees under Federal Funding restrictions in a manner that allows it to identify and address common problems and nationwide trends.	FTA	\$0	\$0	Resolved
350	SA2016061 Washington Metropolitan Area Transit Authority, Washington DC	4/27/2016	Ensure the Authority complies with the Allowable Costs/Cost Principles Requirements.	FTA	\$0	\$0	Resolved
351	SA2016061 Washington Metropolitan Area Transit Authority, Washington DC	4/27/2016	Ensure the Authority complies with the Special Tests and Provisions Requirements.	FTA	\$0	\$0	Resolved
352	SA2016061 Washington Metropolitan Area Transit Authority, Washington DC	4/27/2016	Ensure the Authority complies with the Cash Management Requirements.	FTA	\$0	\$0	Resolved
353	SA2016061 Washington Metropolitan Area Transit Authority, Washington DC	4/27/2016	Ensure the Authority complies with the Equipment and Real Property Management Requirements.	FTA	\$0	\$0	Resolved
354	SA2016071 State of Nebraska, Lincoln, NE	6/16/2016	Ensure the State complies with the Subrecipient Monitoring Requirements.	FTA	\$0	\$0	Resolved
355	SA2016071 State of Nebraska, Lincoln, NE	6/16/2016	Ensure the State complies with the Reporting Requirements.	FTA	\$0	\$0	Resolved
356	SA2016071 State of Nebraska, Lincoln, NE	6/16/2016	Recover \$111,807 from the State, if applicable.	FTA	\$0	\$111,807	Resolved
357	SA2016072 State of South Dakota, Pierre, SD	6/16/2016	Ensure the State complies with the Subrecipient Monitoring Requirements.	FTA	\$0	\$0	Resolved
358	SA2016072 State of South Dakota, Pierre, SD	6/16/2016	Recover \$237,996 from the State, if applicable.	FTA	\$0	\$237,996	Resolved
359	SA2016073 City of Dubuque, Dubuque, IA	6/16/2016	Ensure the City complies with the Matching, Level of Effort, and Earmarking Requirements.	FTA	\$0	\$0	Resolved
360	SA2016074 Yolo County Transportation District, Woodland, CA	6/16/2016	Ensure the District complies with the Allowable Costs/Cost Principles Requirements.	FTA	\$0	\$0	Resolved

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361	SA2016074 Yolo County Transportation District, Woodland, CA	6/16/2016	Recover \$11,641 from the District, if applicable.	FTA	\$0	\$11,641	Resolved
362	ZA2016077 FTA Can Improve Its Oversight of Hurricane Sandy Relief Funds	7/21/2016	Implement oversight procedures to follow up on identified risks, such as expenditures denied for inclusion in a grant.	FTA	\$0	\$0	Resolved
363	ZA2016077 FTA Can Improve Its Oversight of Hurricane Sandy Relief Funds	7/21/2016	Implement procedures to ensure change order reviews conducted by FTA and integrity monitors include steps to evaluate whether change orders are approved in accordance with FTA policy.	FTA	\$0	\$0	Resolved
364	ZA2016077 FTA Can Improve Its Oversight of Hurricane Sandy Relief Funds	7/21/2016	Revise FTA's change order approval policy to address the use of blanket approvals to clearly state whether they are allowable or not. If allowable, establish parameters for their use.	FTA	\$0	\$0	Resolved
365	SA2016078 City and County of Honolulu, Honolulu, HI	8/5/2016	Ensure the City and County complies with the Special Tests and Provisions (Wage Rate) Requirements.	FTA	\$0	\$0	Resolved
366	SA2016080 Puerto Rico and Municipal Islands Maritime Transport Authority, San Juan, PR	8/5/2016	Ensure the Authority complies with the Equipment and Real Property Management Requirements.	FTA	\$0	\$0	Resolved
367	SA2016081 Puerto Rico Metropolitan Bus Authority, San Juan, PR	8/5/2016	Ensure that the Authority complies with the Equipment and Real Property Management Requirements.	FTA	\$0	\$0	Resolved
368	SA2016085 State of Tennessee, Nashville, TN	8/5/2016	Ensure the State complies with the Allowable Costs/Cost Principles Requirements.	FTA	\$0	\$0	Resolved
369	SA2016085 State of Tennessee, Nashville, TN	8/5/2016	Recover \$12,555 from the State, if applicable.	FTA	\$0	\$12,555	Resolved
370	SA2016086 San Francisco Bay Area Rapid Transit District, Oakland, CA	8/5/2016	Ensure the District complies with Special Tests and Provisions (Wage Rate) Requirements.	FTA	\$0	\$0	Resolved
371	SA2016088 Waccamaw Regional Transportation Authority, Conway, SC	8/5/2016	Ensure the Authority complies with the Cash Management Requirements.	FTA	\$0	\$0	Resolved
372	SA2016088 Waccamaw Regional Transportation Authority, Conway, SC	8/5/2016	Recover \$65,842 from the Authority, if applicable.	FTA	\$0	\$65,842	Resolved
373	SA2016098 City of Jackson, Jackson, MS	9/12/2016	Ensure the City complies with the Davis-Bacon Act (Wage Rate) Requirements.	FTA	\$0	\$0	Resolved
374	SA2016098 City of Jackson, Jackson, MS	9/12/2016	Ensure the City complies with the Procurement and Suspension and Debarment Requirements.	FTA	\$0	\$0	Resolved
375	SA2016101 State of Florida, Tallahassee, FL	9/12/2016	Ensure the State complies with Reporting Requirements.	FTA	\$0	\$0	Resolved
376	SA2016105 County of Lackawanna Transit System Authority, Scranton, PA	9/19/2016	Ensure the Authority complies with the Reporting Requirements.	FTA	\$0	\$0	Resolved

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377	SA2016105 County of Lackawanna Transit System Authority, Scranton, PA	9/19/2016	Ensure the Authority complies with the Cash Management Requirements.	FTA	\$0	\$0	Resolved
378	SA2016105 County of Lackawanna Transit System Authority, Scranton, PA	9/19/2016	Ensure the Authority complies with the Special Tests and Provisions Requirements.	FTA	\$0	\$0	Resolved
379	SA2016113 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure the TAPS complies with the Special Tests and Provisions Requirements.	FTA	\$0	\$0	Resolved
380	SA2016113 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with Activities Allowed or Unallowed, Allowable Costs/Cost Principles Requirements.	FTA	\$0	\$0	Resolved
381	SA2016113 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with Cash Management Requirements.	FTA	\$0	\$0	Resolved
382	SA2016113 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with Equipment and Real Property Management Requirements.	FTA	\$0	\$0	Resolved
383	SA2016113 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with Matching, Level of Effort, and Earmarking Requirements.	FTA	\$0	\$0	Resolved
384	SA2016113 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with Procurement and Suspension and Debarment Requirements.	FTA	\$0	\$0	Resolved
385	SA2016113 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with Reporting Requirements.	FTA	\$0	\$0	Resolved
386	SA2016115 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with the Special Tests and Provisions Requirements.	FTA	\$0	\$0	Resolved
387	SA2016115 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with Activities Allowed or Unallowed, Allowable Costs/Cost Principles Requirements.	FTA	\$0	\$0	Resolved
388	SA2016115 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with Cash Management Requirements.	FTA	\$0	\$0	Resolved
389	SA2016115 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with Equipment and Real Property Management Requirements.	FTA	\$0	\$0	Resolved
390	SA2016115 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with Matching, Level of Effort, and Earmarking Requirements.	FTA	\$0	\$0	Resolved
391	SA2016115 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with Procurement and Suspension and Debarment Requirements.	FTA	\$0	\$0	Resolved
392	SA2016115 Texoma Area Paratransit System, Inc., Sherman, TX	9/19/2016	Ensure TAPS complies with Reporting Requirements.	FTA	\$0	\$0	Resolved
393	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	Resolved

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No.	Report Number/Title	Report Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Recommendation State
394	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Create and implement a plan—including tasks, actions, timelines, and responsible personnel—to fully implement comprehensive competency models for mission-critical occupations.	MARAD	\$0	\$0	Resolved
395	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Align Headquarters' and field offices' onboarding policies and procedures to ensure consistent implementation and provision of critical information across the Agency.	MARAD	\$0	\$0	Resolved
396	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Contingent upon HHS' response, finalize the expansion of the number of testing-designated positions at fleet sites.	MARAD	\$0	\$0	Resolved
397	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update existing MAOs in accordance with established timelines.	MARAD	\$0	\$0	Resolved
398	ST2016011 Weaknesses in MARAD's Management Controls for Risk Mitigation, Workforce Development, and Program Implementation Hinder the Agency's Ability To Meet Its Mission	12/10/2015	Update the MAO governing the internal directive system to assign responsibility for monitoring implementation.	MARAD	\$0	\$0	Resolved
399	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	That MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement a procedure for periodic assessments of the Office of Audit's quality assurance and improvement program from an office independent from the Office of Audit. This procedure should include annually providing the results of the assessment and, if necessary, an action plan for addressing recommendations to senior management and the Board.	MWAA	\$0	\$0	Resolved

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400	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	That MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement a 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	Resolved
401	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	That MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement 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	Resolved
402	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	That MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Amend and implement the Office of Audit's policy to cite conformance or nonconformance with standards in its audit reports.	MWAA	\$0	\$0	Resolved
403	ZA2015035 MWAA's Office of Audit Does Not Have an Adequate Quality Assurance and Improvement Program	3/20/2015	That MWAA's Board of Directors ensure that the Vice President of the Office of Audit: Develop and implement 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	Resolved
404	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	Resolved

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405	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	Resolved
406	SA2014099 State of Hawaii Department of Transportation Highway Division	9/10/2014	Ensure the Division complies with Cash Management Requirements.	NHTSA	\$0	\$0	Resolved
407	SA2015056 Highways Division Department of Transportation, State of Hawaii	6/17/2015	Ensure the State complies with Cash Management Requirements.	NHTSA	\$0	\$0	Resolved
408	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop and implement a method for assessing and improving the quality of early warning reporting data.	NHTSA	\$0	\$0	Resolved
409	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop an approach that will determine which early warning reporting test scores provide statistically significant indications of potential safety defects.	NHTSA	\$0	\$0	Resolved
410	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Periodically assess the performance of the early warning reporting data tests using out-of-sample testing.	NHTSA	\$0	\$0	Resolved
411	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Institute periodic external expert reviews of the statistical tests used to analyze early warning reporting data to ensure that these methods are up-to-date and in keeping with best practices.	NHTSA	\$0	\$0	Resolved
412	ST2015063 Inadequate Data and Analysis Undermines NHTSA's Efforts to Identify and Investigate Vehicle Safety Concerns	6/18/2015	Develop and implement a quality control process to help ensure complaints are reviewed thoroughly and within a specified timeframe.	NHTSA	\$0	\$0	Resolved
413	ST2016021 Additional Efforts Are Needed To Ensure NHTSA's Full Implementation of OIG's 2011 Recommendations	2/24/2016	Develop and implement enforcement mechanisms (internal controls) and periodically assess compliance with established policies. At a minimum, these mechanisms should address: a. retaining and storing pre-investigation documentation, b. linking each issue evaluation discussed at a Defects Assessment Panel meeting with the corresponding minutes for that meeting, c. assessing the need for third-party assistance prior to obtaining that assistance, d. assessing and adjusting timeliness goals, e. using the investigation documentation checklist, and f. protecting consumers' personally identifiable information.	NHTSA	\$0	\$0	Resolved
414	ST2016021 Additional Efforts Are Needed To Ensure NHTSA's Full Implementation of OIG's 2011 Recommendations	2/24/2016	Designate responsibility for executing ODI's training plan.	NHTSA	\$0	\$0	Resolved

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415	SA2016054 State of Hawaii, Department of Transportation, Highways Division, Honolulu, HI	3/16/2016	Ensure the State complies with the Cash Management Requirements.	NHTSA	\$0	\$0	Resolved
416	SA2016062 State of Louisiana, Baton Rouge, LA	4/27/2016	Ensure the State complies with the Subrecipient Monitoring Requirements.	NHTSA	\$0	\$0	Resolved
417	SA2016062 State of Louisiana, Baton Rouge, LA	4/27/2016	Ensure the State complies with the Period of Availability of Funds Requirements.	NHTSA	\$0	\$0	Resolved
418	SA2016062 State of Louisiana, Baton Rouge, LA	4/27/2016	Recover \$19,472 from the State, if applicable.	NHTSA	\$0	\$19,472	Resolved
419	SA2016062 State of Louisiana, Baton Rouge, LA	4/27/2016	Recover \$737,895 from the State, if applicable.	NHTSA	\$0	\$737,895	Resolved
420	SA2016083 State of New Jersey, Trenton, NJ	8/5/2016	Ensure the State complies with the Reporting Requirements.	NHTSA	\$0	\$0	Resolved
421	SA2016083 State of New Jersey, Trenton, NJ	8/5/2016	Ensure the State complies with the Allowable Costs/Cost Principles Requirements.	NHTSA	\$0	\$0	Resolved
422	SA2016083 State of New Jersey, Trenton, NJ	8/5/2016	Ensure the City complies with the Subrecipient Monitoring Requirements.	NHTSA	\$0	\$0	Resolved
423	SA2016108 State of New Mexico, Department of Public Safety, Santa Fe, NM	9/19/2016	Ensure the State complies with the Allowable Costs/Cost Principles Requirements.	NHTSA	\$0	\$0	Resolved
424	SA2016108 State of New Mexico, Department of Public Safety, Santa Fe, NM	9/19/2016	Ensure the State complies with the Reporting Requirements.	NHTSA	\$0	\$0	Resolved
425	SA2016108 State of New Mexico, Department of Public Safety, Santa Fe, NM	9/19/2016	Determine their portion of the \$59,000 in Questioned Costs and recover from the State, if applicable.	NHTSA	\$0	\$29,500	Resolved
426	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	Resolved
427	FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	11/14/2011	Enhance existing policy to address security awareness training for non-computer users, address security costs as part of capital planning, correct the definition of "government system", and address the identification, monitoring, tracking and validation of users and equipment that remotely access DOT networks and applications.	OST	\$0	\$0	Resolved
428	FI2012007 FISMA 2011: Persistent Weaknesses in DOT's Controls Challenge the Protection and Security of Its Information System	11/14/2011	In conjunction with OA CIOs, create, complete or test contingency plans for deficient systems.	OST	\$0	\$0	Resolved

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429	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	Resolved
430	QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2010	11/15/2011	Clifton Gunderson recommended that DOT management direct FMCSA to ensure sufficient and prompt legal counsel involvement when program funds are first appropriated, and ensure legal counsel's review of FMCSA's policies regarding grant programs before disseminating information to the states.	OST	\$0	\$0	Resolved
431	QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2010	11/15/2011	Clifton Gunderson recommended that DOT management direct FMCSA to complete development and implementation of the new training structure for CVISN staff referenced in the GAO report so that the staff has adequate training to manage the program.	OST	\$0	\$0	Resolved
432	QC2012009 Quality Control Review of the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2011 and 2010	11/15/2011	Clifton Gunderson recommended that DOT management incorporate the internal review of OA's fund control monitoring and grant reconciliation processes into DOT's A-123, Appendix A implementation efforts.	OST	\$0	\$0	Resolved
433	MH2012188 DOT Established Timely Controls for TIGER Discretionary Grants Program, But Opportunities Exist to Strengthen Oversight	9/20/2012	Establish a methodology to identify program outcomes from grantee performance data for each TIGER project.	OST	\$0	\$0	Resolved
434	MH2012188 DOT Established Timely Controls for TIGER Discretionary Grants Program, But Opportunities Exist to Strengthen Oversight	9/20/2012	Establish a comprehensive methodology to aggregate performance measures to assess the overall impact of the TIGER program.	OST	\$0	\$0	Resolved
435	FI2013053 DOTs 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	Resolved
436	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	Resolved

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437	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	Resolved
438	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	Resolved
439	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	Resolved
440	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	Resolved
441	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Complete the investigation into potential additional Anti-Deficiency Act violations at FRA.	OST	\$0	\$0	Resolved
442	QC2014015 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2013 and 2012, Department of Transportation	12/16/2013	Follow established protocol that has been designed to prevent Anti-Deficiency Act violations.	OST	\$0	\$0	Resolved
443	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	Resolved
444	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	Resolved
445	FI2014037 Accuracy and Reliability of DOT's Improper Payment Reporting Can Be Improved	4/15/2014	That DOT's Assistant Secretary for Budget and Programs/ Chief Financial Officer provide specific documentation requirements and greater oversight of contractors who perform improper payment testing to ensure that the work performed tests actual payments and verifies that each transaction has an audit trail and proper support.	OST	\$0	\$0	Resolved
446	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	Resolved

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447	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	Resolved
448	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	Resolved
449	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	Resolved
450	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	Resolved
451	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	Resolved
452	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take the action to work with the components to develop a plan to complete annual SAT training within plan milestones and improve tracking. Assess training periodically to determine if the component will meet SAT training plan.	OST	\$0	\$0	Resolved
453	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take action to work with the CSMC and individual components (including COE) to develop service level agreements needed to define responsibilities between CSMC and the components. These agreements should include a detailed description of services between parties, and at a minimum contain: CSMC and component responsibilities, frequency of periodic scans of DOT networks; access privileges to networks, devices, and monitoring tools; hardware and software asset discovery and on-going management requirements; vulnerability scanning.	OST	\$0	\$0	Resolved
454	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	The Deputy Secretary, or his designees, take the following action to start planning and assessing the impact of the security requirements that will be affected by NIST SP 800-53 revision 4 and NIST 800-53A revision 4.	OST	\$0	\$0	Resolved
455	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	Work with components to develop or revise their plans to effectively transition the remaining information systems to required PIV login. Create a POA&M with planned completion dates to monitor and track progress.	OST	\$0	\$0	Resolved

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456	FI2015009 FISMA 2014: DOT Has Made Progress but Significant Weakness in Its Information Security Remain	11/14/2014	Work with the Director of DOT Security to develop or revise their plan to effectively transition the remaining facilities to required PIV cards.	OST	\$0	\$0	Resolved
457	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of DOT develop procedures and controls to address the provisioning of access and system audit log review control deficiencies identified in the FTA financial IT systems.	OST	\$0	\$0	Resolved
458	QC2015011 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2014 and 2013 - Department of Transportation	11/17/2014	KPMG recommend that the Chief Information Officer of DOT Monitor progress to ensure that procedures and controls are appropriately designed, implemented, and maintained.	OST	\$0	\$0	Resolved
459	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	Resolved
460	ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority for its Contracting Office	4/9/2015	That the Office of the Senior Procurement Executive address the cases of noncompliance with CO certification and warrant requirements at FMCSA, FRA, MARAD, and NHTSA, as noted in this report. Specifically, the Operating Administrations should ensure that (a) CO warrants are issued in compliance with Federal and departmental requirements and (b) COs obtain and maintain their FAC-C certifications.	OST	\$0	\$0	Resolved
461	ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority for its Contracting Office	4/9/2015	That the Office of the Senior Procurement Executive direct the Heads of Contracting Activity at each Operating Administration to: (a) develop and implement, oversight procedures to ensure compliance with DOT's AWF policy including procedures for annual reviews of level I and II CO warrants and reviews of level III warrants at least every 2 years to determine if COs remain qualified to perform their duties and there is a continued need for warrants and (b) report to OSPE on their oversight procedures.	OST	\$0	\$0	Resolved
462	ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority for its Contracting Office	4/9/2015	That the Office of the Senior Procurement Executive direct the Heads of Contracting Activity at each Operating Administration to (a) review CO warrants to ensure they include required elements and restrictions specified in DOT's AWF policy, (b) address any instances of noncompliance, and (c) report their planned and implemented corrective actions to OSPE within established timeframes.	OST	\$0	\$0	Resolved
463	ZA2015041 Some Deficiencies Exist in DOT's Enforcement and Oversight of Certification and Warrant Authority for its Contracting Office	4/9/2015	That the Office of Senior Procurement Executive correct the FAITAS data inaccuracies noted in this report at FTA and MARAD.	OST	\$0	\$0	Resolved

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464	FI2015043 DOT FY 2014 Improper Payment Reporting Generally Complies with IPERA Requirements	5/15/2015	That DOT's Acting Assistant Secretary for Budget and Programs/Chief Financial Officer: Develop a process to provide greater oversight and review of contractors and employees that perform improper payment testing to ensure that the work has an audit trail and is accurate.	OST	\$0	\$0	Resolved
465	FI2015047 DOT Lacks an Effective Process For Its Transition to Cloud Computing	6/16/2015	Develop a process to verify that non-disclosure agreements and language regarding discovery and investigatory requirements are included in future cloud contracts.	OST	\$0	\$0	Resolved
466	FI2015047 DOT Lacks an Effective Process For Its Transition to Cloud Computing	6/16/2015	Establish FedRAMP compliance guidelines and oversight for the Department, and ensure that each Operating Administration put plans in place to meet FedRAMP requirements.	OST	\$0	\$0	Resolved
467	FI2015047 DOT Lacks an Effective Process For Its Transition to Cloud Computing	6/16/2015	Develop guidance for acquisition of cloud services, cost and savings analysis, and operational support for use of those services.	OST	\$0	\$0	Resolved
468	FI2015047 DOT Lacks an Effective Process For Its Transition to Cloud Computing	6/16/2015	Establish procedures to verify systems are accurately inventoried in CSAM.	OST	\$0	\$0	Resolved
469	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Develop and implement departmentwide policies and procedures for accurately identifying and reporting delinquent debt and recoveries, and collecting debts in a timely manner. Implementation of this recommendation could put \$494.1 million in funds to better use.	OST	\$494,100,000	\$0	Resolved
470	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Establish clear policies and guidance for overseeing delinquent debt collections made by Operating Administrations and ESC.	OST	\$0	\$0	Resolved
471	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Require relevant training for all personnel who are responsible for identifying, collecting, and reporting on delinquent debt.	OST	\$0	\$0	Resolved
472	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Direct Operating Administrations that must comply with legal requirements outside of DCIA to develop clear and effective debt collection policies and procedures for their unique requirements and to share these policies and procedures with ESC.	OST	\$0	\$0	Resolved
473	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Direct ESC to clarify its SOPs, including (a) delineating the different processes for administrative and loan debts and (b) identifying the Operating Administrations that the SOPs apply to.	OST	\$0	\$0	Resolved
474	FI2015065 Weak Internal Controls for Collecting Delinquent Debt Put Millions of DOT Dollars At Risk	7/9/2015	Direct Operating Administrations that have loan programs to develop or enhance policies and procedures for complying with their specific requirements for delinquent loan collections.	OST	\$0	\$0	Resolved
475	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Implement an oversight process for monitoring compliance with Federal and departmental closeout requirements.	OST	\$0	\$0	Resolved

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476	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Issue additional departmental guidance on the contract closeout process. At a minimum, this guidance should include requirements for: file retention and storage, contract closeout file documentation, initial funds reviews, closeout of individual task and delivery orders, timely submission of adequate evidence of physical completion, and safeguards to prevent the destruction of contract files before closeout is completed.	OST	\$0	\$0	Resolved
477	ZA2015071 The Department Does Not Fully Ensure Compliance With Contract Closeout Requirements	7/23/2015	Require Operating Administrations' acquisition offices to update or finalize all internal contract closeout policies, including references to key Federal and departmental requirements.	OST	\$0	\$0	Resolved
478	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	Work with OAs to develop internal controls to ensure network administrators are informed and action is taken to disable accounts when users no longer require access.	OST	\$0	\$0	Resolved
479	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	Work with the OCIO to develop a quality assurance process to ensure OAs and network administrators are following DOT Cybersecurity procedures that require them to periodically review user accounts and ensure they are effectively managing these accounts.	OST	\$0	\$0	Resolved
480	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	Work with the OAs to develop a formal transition plan to the proposed ISCM target architecture that includes but is not limited to: (1) continuously assessing security controls; (2) reviewing system configuration settings; and (3) assessing timely remediation of security weaknesses. During the transition period, establish processes and practices for effectively collecting, validating, and reporting ISCM data.	OST	\$0	\$0	Resolved
481	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	Work with the OAs to ensure they update open POA&Ms with the required data fields.	OST	\$0	\$0	Resolved
482	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	Ensure that the OCIO revises the Departmental policy to document its practice of prohibiting user-based waivers or exclusions for PIV required use for network and system access.	OST	\$0	\$0	Resolved
483	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	Ensure that FAA, FHWA, FMCSA, FRA, FTA, NHTSA, MARAD/USMMA, OST, and SLSDC perform actions to immediately disable user accounts that have been inactive for over 90 days, as required by the DOT compendium. Report completion of this effort to OCIO. Create a POA&M to track progress and verify completion of the action.	OST	\$0	\$0	Resolved
484	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	Revise DOT's existing Cybersecurity policy to incorporate specific requirements for review and cleanup of service accounts.	OST	\$0	\$0	Resolved

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No.	Report Number/Title	Report Date	Recommendation	Operating Administration	Funds Put to Better Use	Questioned Costs	Recommendation State
485	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	Work with the COE's management to ensure review and cleanup activities of service accounts are successfully completed.	OST	\$0	\$0	Resolved
486	FI2016001 FISMA 2015: DOT has Major Success in PIV Implementation, But Problems Persist In Other Cybersecurity Areas	11/5/2015	Work with FAA to improve its assessment process to meet DOT Cybersecurity Compendium and Security Authorization & Continuous Monitoring Performance Guide. DOT CIO in conjunction with the FAA CIO review the FAA quality assurance process to ensure all security documents are reviewed and updated to reflect the system controls, vulnerabilities, and that the current risks are clearly presented to the authorizing officials.	OST	\$0	\$0	Resolved
487	QC2016009 Quality Control Review of Audited Closing Package Financial Statements for Fiscal Years 2015 and 2014, Department of Transportation	11/19/2015	KPMG recommends that DOT improve controls over financial reporting for the closing package financial statements to ensure that the accompanying notes to the Closing Package are accurately prepared in accordance with the instructions contained in TFM Chapter 4700.	OST	\$0	\$0	Resolved
488	QC2016009 Quality Control Review of Audited Closing Package Financial Statements for Fiscal Years 2015 and 2014, Department of Transportation	11/19/2015	KPMG recommends that DOT improve controls over financial reporting for the closing package financial statements to ensure an appropriate supervisory review of the Closing Package prior to "lock down" with the Department of the Treasury.	OST	\$0	\$0	Resolved
489	QC2016022 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommend that the IT Shared Services enhance data center procedures to ensure all access requests and approvals are retained in accordance with applicable DOT policies.	OST	\$0	\$0	Resolved
490	QC2016022 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommends that OST management enhance account review processes and procedures to ensure that privileged service accounts are periodically reviewed for continued appropriateness, based on the principle of least privileged.	OST	\$0	\$0	Resolved
491	QC2016022 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommends that DOT management develop and implement policies and procedures, including increasing the level of precision of the quarterly review of Delphi access, to remove application access for separated employees and contractors immediately upon termination or when it is determined that a user's access is no longer required.	OST	\$0	\$0	Resolved
492	QC2016022 Quality Control Review of the Management Letter for the Audit of Fiscal Years 2015 and 2014 DOT Financial Statements	2/25/2016	KPMG recommend that DOT develop and implement guidance to formally document its assessments and recognition decisions, in accordance with SFFAC No. 5, as it relates to liabilities of exchange transactions, specifically those decisions to depart from GAAP based on materiality.	OST	\$0	\$0	Resolved
493	SA2016038 City of Kansas City, Kansas City, MO	3/11/2016	Ensure the City complies with the Activities Allowed or Unallowed Requirements.	OST	\$0	\$0	Resolved
494	ZA2016064 Weaknesses Identified in Volpe's Cost Accounting Practices for the V-TRIPS Contract	5/9/2016	Require Volpe to comply with the RMA limits specified in DOT Order 2300.6E, provide an annual accounting of the RMA, and work with the Office of General Counsel to establish a legally appropriate plan to resolve the excess \$5 million in the RMA as of 2015.	OST	\$4,960,165	\$0	Resolved

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495	ZA2016064 Weaknesses Identified in Volpe's Cost Accounting Practices for the V-TRIPS Contract	5/9/2016	Require Volpe to implement written cost accounting policies and procedures that comply with Federal accounting standards and DOT policies.	OST	\$0	\$0	Resolved
496	ZA2016064 Weaknesses Identified in Volpe's Cost Accounting Practices for the V-TRIPS Contract	5/9/2016	Work with Volpe to identify those recommendations deemed appropriate from the 2015 draft Deloitte report and take action to implement them.	OST	\$0	\$0	Resolved
497	ZA2016064 Weaknesses Identified in Volpe's Cost Accounting Practices for the V-TRIPS Contract	5/9/2016	Improve Volpe's internal management controls—including timely reconciliations (e.g., invoices to appropriate funding sources)—to prevent, detect, and correct billing errors, such as those identified in this report.	OST	\$0	\$0	Resolved
498	FI2016066 DOT's Fiscal Year 2015 Improper Payment Reporting Does Not Comply With IPERA Requirements	5/13/2016	Publish future year outlays in the AFRs that match the President's Budget as required by OMB A-136.	OST	\$0	\$0	Resolved
499	AV2016068 Improvements Needed in DOT's Process For Identifying Unfair or Deceptive Practices in Airline Frequent Flyer Programs	6/16/2016	Define what constitutes reasonable notice for consumers regarding changes to frequent flyer programs' terms and conditions, and require airlines to provide such notice.	OST	\$0	\$0	Resolved
500	SA2016069 City of Atlanta, Atlanta, GA	6/16/2016	Ensure the City complies with the Subrecipient Monitoring Requirements.	OST	\$0	\$0	Resolved
501	FI2016097 DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	9/8/2016	Develop and implement additional internal controls to help ensure Department-wide compliance with Federal laws, regulations, and OMB requirements on conference approval, reporting, and spending—including compliance with OMB Memorandum M-12-12, which prohibits incurring obligations prior to proper approval. Implementation of internal controls could have put \$856,009 in funds to better use.	OST	\$856,009	\$0	Resolved
502	FI2016097 DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	9/8/2016	Revise Department-wide policies and procedures to clarify how to accurately identify and report conferences and conference-related activities and require Operating Administrations to review their policies and procedures and revise as needed to align with the Department.	OST	\$0	\$0	Resolved
503	FI2016097 DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	9/8/2016	Develop and implement procedures for tracking, compiling, and maintaining conference costs data.	OST	\$0	\$0	Resolved
504	FI2016097 DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	9/8/2016	Require Operating Administrations to reconcile their conferences expenditures and publicly report actual conference costs incurred as required by OMB.	OST	\$0	\$0	Resolved
505	FI2016097 DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	9/8/2016	Revise the Department's travel reimbursement policy to clarify conference travel expenditures that can be claimed and enforce the revised policy to prevent double reimbursements, unentitled per diem reimbursements, and other overpayments.	OST	\$0	\$0	Resolved

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506	FI2016097 DOT's Conference Spending Policies Reflect Federal Requirements But Ineffective Controls Do Not Ensure Compliance	9/8/2016	Collect \$1,589 of overpaid per diem reimbursements from conference travelers as identified in this report.	OST	\$0	\$1,589	Resolved
507	SA2016107 State of Illinois, Springfield, IL	9/19/2016	Ensure the State complies with the Special Tests and Provisions Requirements.	OST	\$0	\$0	Unresolved
508	SA2016107 State of Illinois, Springfield, IL	9/19/2016	Ensure the State complies with the Information System Requirements.	OST	\$0	\$0	Unresolved
509	SA2016107 State of Illinois, Springfield, IL	9/19/2016	Ensure the State complies with the Reporting Requirements.	OST	\$0	\$0	Unresolved
510	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	Resolved
511	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	Resolved
512	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	Resolved
513	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Specify alternate telecommunications services including necessary agreements for the PHMSA Hazardous Materials Information System contingency plan.	PHMSA	\$0	\$0	Resolved
514	FI2016024 Multiple DOT Operating Administrations Lack Effective Information System Disaster Recovery Plans and Exercises	3/3/2016	Conduct annual functional contingency plan testing for the PHMSA Hazardous Materials Information System.	PHMSA	\$0	\$0	Resolved
					\$5,891,803,768	\$160,088,045	