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July 24, 2024

Sent via email

**FOIA No.: OST-2021-0091 and OST-2023-0039**

This is in response to your Freedom of Information Act (FOIA) request received on January 1, 2021 and your FOIA request received on October 27, 2022. You requested a digital/electronic copy of the U.S. Department of Transportation Briefing document, involving the Biden Administration Transition Team from November 2020 to January 2021. I apologize for the delay in responding to your requests.

Pursuant to the FOIA, 5 U.S.C. § 552, enclosed is the DOT 2021 Presidential Transition Handbook, which is released to you in full.

I am the person responsible for this determination. If you are dissatisfied with this response, you may appeal to Judith S. Kaleta, Deputy General Counsel, U.S. Department of Transportation, 1200 New Jersey Avenue, S.E., Rm. W94-122, Washington, DC 20590. If you prefer, your appeal may be sent via electronic mail to ost.foia.appeals@dot.gov. An appeal must be received within 90 days of the date of this determination and should contain any information and arguments you wish to rely on. The Deputy General Counsel's determination will be administratively final.

You also have the right to seek dispute resolution services from the FOIA Public Liaison (contact information shown above) or the Office of Government Information Services (https://ogis.archives.gov) via phone –202-741-5770/ toll-free – 1-877-684-6448; fax- 202-741-5769; or email—ogis@nara.gov.

Sincerely,

MICHAEL CHARLES BELL

Digitally signed by MICHAEL CHARLES BELL
Date: 2024.07.24 12:17:28 -04'00'

Michael C. Bell
DOT FOIA Officer

Enclosure

# *Presidential Transition*

# Handbook

2021

# FOURTEEN PRINCIPLES OF ETHICAL CONDUCT FOR FEDERAL EMPLOYEES

## (EXECUTIVE ORDER 12674)

*These principles are provided for your general awareness. Onsite expert guidance is available to confer on ethics questions or circumstances.*

1. Public service is a public trust, requiring employees to place loyalty to the Constitution, the laws and ethical principles above private gain.

2. Employees shall not hold financial interests that conflict with the conscientious performance of duty.

3. Employees shall not engage in financial transactions using nonpublic Government information or allow the improper use of such information to further any private interest.

4. An employee shall not, except as permitted by the Standards of Ethical Conduct, solicit or accept any gift or other item of monetary value from any person or entity seeking official action from, doing business with, or conducting activities regulated by the employee's agency, or whose interests may be substantially affected by the performance or nonperformance of the employee's duties.

5. Employees shall put forth honest effort in the performance of their duties.

6. Employees shall not knowingly make unauthorized commitments or promises of any kind purporting to bind the Government.

7. Employees shall not use public office for private gain.

8. Employees shall act impartially and not give preferential treatment to any private organization or individual.

9. Employees shall protect and conserve Federal property and shall not use it for other than authorized activities.

10. Employees shall not engage in outside employment or activities, including seeking or negotiating for employment, that conflict with official Government duties and responsibilities.

11. Employees shall disclose waste, fraud, abuse, and corruption to appropriate authorities.

12. Employees shall satisfy in good faith their obligations as citizens, including all financial obligations, especially those – such as Federal, State, or local taxes – that are imposed by law.

13. Employees shall adhere to all laws and regulations that provide equal opportunity for all Americans regardless of race, color, religion, sex, national origin, age, or handicap.

14. Employees shall endeavor to avoid any actions creating the appearance that they are violating the law or the ethical standards set forth in the Standards of Ethical Conduct. Whether particular circumstances create an appearance that the law or these standards have been violated shall be determined from the perspective of a reasonable person with knowledge of the relevant facts.

# TABLE OF CONTENTS

***To ensure America has the safest, most efficient and modern transportation system in the world, which boosts our economic productivity and global competitiveness and enhances the quality of life in communities both rural and urban.***

*This Handbook provides an overview of the operations and programs within the U.S. Department of Transportation (USDOT). Organizational charts, resource tables, maps, and other helpful information are included as ready references.*

*We hope you find this Handbook beneficial as you begin your service at USDOT.*

# OVERVIEW

USDOT is among the largest and youngest of the Federal Cabinet Departments. While the focus areas of the Department change, USDOT's primary mission is to provide a safe and efficient transportation system for the American people.

The Department comprises of nine Operating Administrations (OA) and the Office of the Secretary (OST) which together carry out the oversight responsibilities for our Nation's transportation system. We are responsible for managing the National Airspace System, the systems of roads and bridges, ensuring safety across all modes of transportation, and facilitating the movement of goods and freight.

Transportation continues to be a cornerstone of our economy and funds jobs not only in the transportation sector, but in a wide variety of other economic sectors. In Fiscal Year (FY) 2020, the Department managed a $123 billion budget, $36 billion of which was provided in the Coronavirus Aid, Relief, and Economic Security (CARES) Act, and employed more than 54,000 employees.

***About this book:***

The following pages provide an overview of each of the Department's Operating Administrations, including its mission, a short history, recent accomplishments, and detailed budget information.

*A note on the Resources section:* The resources information contained in this document assumes a full year FY 2021 Continuing Resolution, or "CR," which is an extension of the programs and funding levels provided in the FY 2020 appropriation. At the time of the printing of this document, the current CR runs through December 11, 2020.

*Resources provided under the FAST Act:* The Fixing America's Surface Transportation Act, or "FAST Act," authorized over $305 billion in mandatory resources to the Department for surface transportation programs through FY 2020. Congress recently extended the FAST Act programs and authorities through the end of FY 2021 at the same levels as FY 2020. Several of the Department's agencies receive funding from the FAST Act, in the form of "contract authority" – a budgetary resource that is provided in authorization bills. Most of these programs are also subject to obligation limitations, which are set in appropriations acts and place a ceiling on the amount of contract authority that may be obligated in a fiscal year. A detailed description of the FAST Act can be found on the following pages, and a comprehensive table of the FAST Act authorization resource levels can be found at the end of this book.

**Technical Notes:**

*/ Tables presented in this document may not add up due to differences in rounding.
*/ The use of brackets in tables indicates a "non-add" entry.
*/ Time frames in this document represent fiscal years (FY).
*/ Full time equivalent employment is identified as FTE throughout this document and is equivalent to one employee working full time.

*/ The Department of Transportation has General Funds (GF), Trust Funds (TF), and Special Funds (SF). Tables in this document use GF, TF, and SF indicators to specify the source of funds in each account. Trust Funds include the Highway Trust Fund, the Airport and Airway Trust Fund, the Harbor Maintenance Trust Fund, and the Oil Spill Liability Trust Fund.

# THE HISTORY OF USDOT

Whether you travel by car, bus, train, motorcycle, airplane, or bicycle, the dedicated men and women of the Department of Transportation are working to make sure you do so safely. Across the country, 54,000 public servants are focused on building and maintaining a transportation system that enhances the quality of life for all Americans. The timeline highlights important events that have shaped USD●T over the past 50 years.

**1966: A New Cabinet Agency**
On October 15, 1966, President Lyndon B. Johnson signed into law the "Department of Transportation Act," creating a new Cabinet agency with five operating elements: the Federal Aviation Administration (FAA), the Federal Highway Administration (FHWA), the Federal Railroad Administration (FRA), the Saint Lawrence Seaway Development Corporation (SLSDC), and the U.S. Coast Guard. In his State of the Union address earlier that year, President Johnson urged Congress to "modernize and streamline the Federal Government" by creating D●T as the 12th Cabinet-level agency.

**1967: First Day of Business**
President Lyndon B. Johnson selected Alan S. Boyd, then Under Secretary of Transportation at the Department of Commerce, to lead a new Cabinet agency as the first Secretary of Transportation. On **April 1, 1967**, the Department of Transportation began operations.

**1970: Passenger Screening**
●n July 17, New Orleans' Moisant International Airport becomes the first U.S. airport to subject all passengers to the FAA-developed anti-hijacking screening system. The system is based on a behavioral profile used in conjunction with weapons detection by magnetometer.

**1976: National Speed Limit**
Congress imposes a national speed limit of 55 miles per hour by threatening to cut highway aid to states that do not comply. (The regulation is repealed in 1995.)

**1984: The Trifecta**
During her tenure, Secretary Elizabeth Dole led efforts that resulted in the "trifecta" – the first state safety belt laws, air bags in cars, and a national legal drinking age. The "trifecta" went into effect the week of July 11, 1984, and is credited with saving 450,000 lives to date.

**1986: Commercial Vehicle Safety Act**
The Commercial Vehicle Safety Act establishes the commercial driver's license (CDL) requirement for interstate and intrastate operations.

**1990: Disability Rights**
On July 26, 1990, President George H.W. Bush signed into the law the Americans with Disabilities Act (ADA). This landmark civil rights legislation prohibits discrimination and guarantees equal access to opportunity for persons with disabilities.

**1991: Federal Transit Administration**
The Urban Mass Transit Administration became the Federal Transit Administration (FTA) within the Department of Transportation.

**1991: Passenger Facility Charges**
On May 22, FAA issued a rule under which the agency could authorize airports to impose passenger facility charges (PFCs) to finance airport-related projects, in accordance with the Aviation Safety and Capacity Expansion Act. On January 31, 1992, FAA announces its first PFC program approval, which authorized Savannah International Airport to begin collecting a $3 fee on July 1.

**1992: The Interstate Highway System Completed**
On June 29, 1956, President Dwight D. Eisenhower signed the Federal-Aid Highway Act of 1956 into law, creating the Interstate System. The Interstate Highway System was completed with the opening of the I-70 near Denver in 1992.

**1993: Global Positioning System (GPS)**
On December 17, Continental Express began the first FAA-approved use of the Global Positioning System (GPS) for non-precision airport approaches in operations at Aspen and Steamboat Springs, Colorado.

**1995: Interstate Commerce Commission Sunset**
President Bill Clinton signed into law the ICC Termination Act of 1995, bringing to a close, effective December 31, the Nation's oldest regulatory commission. The ICC is replaced by the Surface Transportation Board, which assumes responsibility for railroad economic regulation.

**1999: Motor Carrier Safety Improvement Act**
The Motor Carrier Safety Improvement Act created the Federal Motor Carrier Safety Administration (FMCSA) effective January 1, 2000, the second founding of the agency. Congress believed FHWA had given insufficient attention to motor carrier safety; a single-focus safety agency was needed.

**2001: Aviation and Transportation Security Act**
On November 19, President George W. Bush signed into law the Aviation and Transportation Security Act (Public Law 107-71), which, among other things, calls for the establishment of the Transportation Security Administration (TSA) in the Department of Transportation, to be responsible for transportation security.

**2003: U.S. Coast Guard and Transportation Security Administration**
The Coast Guard and the Transportation Security Administration formally transferred from the Department of Transportation to the newly created Department of Homeland Security.

**2004: Next Generation Air Transportation System**
On January 27, Secretary of Transportation Norman Mineta announced plans for a new, next generation air transportation system with expanded capacity to relieve congestion, prevent gridlock, and secure America's place as a global leader in aviation's second century.

**2009: Distracted Driving**
When Secretary Ray LaHood was sworn in as the 16th Secretary of Transportation in 2009, only

18 states had laws against texting and driving. Today, 48 states, the District of Columbia, Puerto Rico, Guam, and the U.S. Virgin Islands ban texting behind the wheel.

**2014: Upgrade for 21st Century Air Navigation**

On April 14, 2014, Secretary Foxx and FAA Administrator Michael Huerta announced completion of the Automatic Dependent Surveillance-Broadcast (ADS-B) radio network upgrade, that will enable air traffic controllers to track aircraft with greater accuracy and reliability, while giving pilots more information in the cockpit. The upgrade is a key improvement in the Next Generation Air Transportation System.

**2014: Safer People, Safer Streets**

On September 10, 2014, Secretary Foxx announced the Department's *Safer People, Safer Streets Initiative* to enhance pedestrian and bicycle safety. As part of the initiative, Secretary Foxx issued the Mayors' Challenge for Safer People and Safer Streets in which mayors and other elected officials, and other local leaders from 245 communities across the U.S. signed on to improve safety for pedestrians and bicyclists in their communities.

**2014: Chemical Weapons in Syria**

To fulfill a United Nations Security Council Resolution, the most dangerous chemical weapons in Syria were taken to sea aboard the Maritime Administration Ready Reserve Force vessel CAPE RAY, crewed with U.S. civilian merchant mariners. It took 42 days aboard the ship to destroy 600 metric tons of chemical agents that would have been used to make deadly Sarin and mustard agent.

**2015: Drone Registration: A Safety Culture for Unmanned Aircraft**

On December 14, 2015, Secretary Foxx and FAA Administrator Huerta announced a streamlined and user-friendly web-based aircraft registration process for owners of small unmanned aircraft, or "drones." The innovative system was developed and implemented within just two months and, as a result, more than 584,000 people have registered their drones.

**2016: Cuba**

After more than half a century, in August 2016, the first scheduled flight between the U.S. and Cuba took place. In 2015, President Obama announced that it was time to "begin a new journey" with the Cuban people.

**2016: Integration of Unmanned Aircraft**

On June 21, 2016, Secretary Foxx and FAA Administrator Huerta announced the world's first comprehensive operational rules for routine use of small unmanned aircraft, or "drones," opening pathways towards fully integrating this burgeoning technology into the Nation's airspace. These brand-new regulations help harness new innovations safely, while spurring job growth and advancing critical scientific research and saving lives.

**2016: The Next Revolution in Roadway Safety**

Ninety-four percent of crashes on U.S. roadways are caused by human error or choice. In September 2016, the Department issued new Federal policy for the safe testing and deployment of automated vehicles, which have enormous potential for improving safety and mobility for Americans on the road.

**2017: Celebrating DOT's 50th Anniversary**
On April 1, 1967, DOT opened its doors and consolidated the operations of 31 separate transportation-related entities. Secretary Elaine L. Chao commemorated the Department's 50th Anniversary by hosting an "open house" to celebrate USDOT's achievements, and to reaffirm the Department's commitment to addressing the challenges of today and advancing the best possibilities for the future. The occasion brought together employees and honorable guests, including former Secretaries of Transportation Elizabeth Dole, Mary Peters, and Norman Mineta. The event was further enhanced by the presence of transportation icons (vintage cars, a semi-truck, a motorcycle), reminders of our core safety mission (crash test dummies), and examples of cutting-edge transportation technology (including autonomous vehicles and a drone).

**2018: Combat Human Trafficking**
USDOT established the Advisory Committee on Human Trafficking. The committee was tasked with providing information, advice, and recommendations to Secretary Elaine L. Chao on matters relating to human trafficking, and developing recommended best practices for states and local transportation stakeholders in combating human trafficking. USDOT continues to underscore the important role that transportation ministries have in combating human trafficking in the Asia Pacific Economic Cooperation Transportation Working Group (APEC-TPTWG), the International Transport Forum (ITF), and the International Civil Aviation Organization (ICAO). Over 50 ITF and APEC transportation ministers have committed to confronting the issue of human trafficking.

**2019: Non-Traditional and Emerging Transportation Technology Council**
The Department created the Non-Traditional and Emerging Transportation Technology (NETT) Council, an internal deliberative body at USDOT, to find ways to ensure that traditional modal "silos" do not impede the deployment of new technology, including with respect to safety oversight, environmental review, and funding issues. The NETT Council is tasked with identifying and resolving jurisdictional and regulatory gaps that may impede the deployment of new technology, such as tunneling, hyperloop, autonomous vehicles, and other innovations.

**2020: Response to Coronavirus (COVID-19) Pandemic**
USDOT played an active part in the United States Government's response to the coronavirus (COVID-19). Under the leadership of Secretary Elaine L. Chao, USDOT issued funding and regulatory relief, providing lifeline support for the most impacted industries and stakeholders. The Department distributed over $33 billion of its $36 billion in the Coronavirus Aid, Relief, and Economic Security (CARES) Act funding in less than two months, and aided the Department of Treasury with processing an additional $27 billion in loan disbursements. USDOT's Economic Rebuilding Task Force (ERTF) identified challenges facing the transportation industry as a result of the COVID-19 pandemic, as well as near and long-term solutions.

# FUNDING OVERVIEW TABLE (millions of dollars)

| | FY 2019 Enacted | FY 2020 Enacted | FY 2021 Full Year Continuing Resolution 1/ |
|---|---|---|---|
| **FEDERAL AVIATION ADMINISTRATION:** | **17,451,858** | **27,617,665** | **17,617,665** |
| OPERATIONS (D) | 10,410,758 | 10,630,000 | 10,630,000 |
| FACILITIES AND EQUIPMENT (D) | 3,000,000 | 3,045,000 | 3,045,000 |
| RESEARCH, ENGINEERING AND DEVELOPMENT (D) | 191,100 | 192,665 | 192,665 |
| GRANTS-IN-AID FOR AIRPORTS (AIP) (D) | 500,000 | 400,000 | 400,000 |
| GRANTS-IN-AID FOR AIRPORTS (AIP) (M) | 3,350,000 | 3,350,000 | 3,350,000 |
| OPERATIONS: CARES ACT (D) | | [25,000] | |
| GRANTS-IN-AID FOR AIRPORTS: CARES ACT (D) | | 10,000,000 | |
| **FEDERAL HIGHWAY ADMINISTRATION:** | **49,211,778** | **49,226,631** | **49,228,109** |
| FEDERAL-AID HIGHWAYS (M) | 45,268,596 | 46,365,092 | 46,365,092 |
| EXEMPT OBLIGATIONS (M) | 599,382 | 601,299 | 602,577 |
| EMERGENCY RELIEF (M) | 93,800 | 94,100 | 94,300 |
| HIGHWAY INFRASTRUCTURE PROGRAMS (D) | 3,250,000 | 2,166,140 | 2,166,140 |
| ADMIN EXPENSES (M) (Non-add) | 449,692 | 456,798 | 456,798 |
| Cancellation (D) [non-add] Misc. Appropriations, Other | - | -19,935 | |
| **FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION:** | **666,800** | **679,286** | **679,136** |
| OPERATIONS AND PROGRAMS (M) | 284,000 | 288,000 | 288,000 |
| MOTOR CARRIER SAFETY GRANTS (M) | 382,800 | 391,136 | 391,136 |
| OPERATIONS AND PROGRAMS: CARES ACT (D) | | 150 | |
| **FEDERAL RAILROAD ADMINISTRATION:** | **2,890,898** | **3,812,048** | **2,793,798** |
| NORTHEAST CORRIDOR GRANTS TO AMTRAK (D) | 650,000 | 700,000 | 700,000 |
| NATIONAL NETWORK GRANTS TO AMTRAK (D) | 1,291,600 | 1,300,000 | 1,300,000 |
| RAILROAD RESEARCH AND DEVELOPMENT (D) | 40,600 | 40,600 | 40,600 |
| SAFETY AND OPERATIONS (D) | 221,698 | 224,198 | 224,198 |
| CONSOLIDATED RAIL INFRASTRUCTURE AND SAFETY IMPROVEMENTS (D) | 255,000 | 325,000 | 325,000 |
| FED-STATE PARTNERSHIP FOR STATE OF GOOD REPAIR (D) | 400,000 | 200,000 | 200,000 |
| RESTORATION AND ENHANCEMENT GRANTS (D) | 5,000 | 2,000 | 2,000 |
| MAGNETIC LEVITATION TECHNOLOGY DEPLOYMENT PROGRAM (D) | 10,000 | 2,000 | 2,000 |
| RRIF CREDIT SUBSIDY (D) | 17,000 | - | - |
| NORTHEAST CORRIDOR GRANTS TO AMTRAK: CARES ACT (D) | | 492,000 | |
| NATIONAL NETWORK GRANTS TO AMTRAK: CARES ACT (D) | | 526,000 | |
| SAFETY AND OPERATIONS: CARES ACT (D) | | 250 | |

| | FY 2019 Enacted | FY 2020 Enacted | FY 2021 Full Year Continuing Resolution 1/ |
|---|---|---|---|
| **FEDERAL TRANSIT ADMINISTRATION:** | **13,460,232** | **37,910,348** | **12,910,348** |
| CAPITAL INVESTMENT GRANTS (D) | 2,552,687 | 1,978,000 | 1,978,000 |
| WASHINGTON METRO (D) | 150,000 | 150,000 | 150,000 |
| ADMINISTRATIVE EXPENSES (D) | 113,165 | 117,000 | 117,000 |
| TECHNICAL ASSISTANCE AND TRAINING (D) | 5,000 | 5,000 | 5,000 |
| TRANSIT INFRASTRUCTURE GRANTS (D) | 700,000 | 510,000 | 510,000 |
| TRANSIT FORMULA GRANTS (M) | 9,939,380 | 10,150,348 | 10,150,348 |
| Cancellation (D) [non-add] Inactive Transit Programs | -46,560 | - | - |
| TRANSIT INFRASTRUCTURE GRANTS: CARES ACT (D) | | 25,000,000 | |
| **MARITIME ADMINISTRATION:** | **1,115,372** | **1,052,003** | **1,047,869** |
| OPERATIONS AND TRAINING (D) | 149,442 | 152,589 | 152,589 |
| STATE MARITIME ACADEMY OPERATIONS (D) | 345,200 | 342,280 | 342,280 |
| SHIP DISPOSAL (D) | 5,000 | 5,000 | 5,000 |
| ASSISTANCE TO SMALL SHIPYARDS (D) | 20,000 | 20,000 | 20,000 |
| MARITIME SECURITY PROGRAM (D) [Defense] | 300,000 | 300,000 | 300,000 |
| MARITIME GUARANTEED LOANS (TITLE XI) (D) | 3,000 | 3,000 | 3,000 |
| PORT INFRASTRUCTURE DEVELOPMENT PROGRAM | 292,730 | 225,000 | 225,000 |
| OPERATIONS AND TRAINING: CARES ACT (D) | | 3,134 | |
| STATE MARITIME ACADEMY OPERATIONS: CARES ACT (D) | | 1,000 | |
| **NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION:** | **966,308** | **989,317** | **989,317** |
| OPERATIONS AND RESEARCH (D) | 190,000 | 194,000 | 194,000 |
| OPERATIONS AND RESEARCH: IMPAIRED DRIVING/GRADE CROSSING (D) | 14,000 | 17,000 | 17,000 |
| OPERATIONS AND RESEARCH (M) | 152,100 | 155,300 | 155,300 |
| HIGHWAY TRAFFIC SAFETY GRANTS (M) | 610,208 | 623,017 | 623,017 |
| **PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION:** | **275,028** | **281,533** | **281,533** |
| OPERATIONAL EXPENSES (D) | 23,710 | 24,215 | 24,215 |
| HAZARDOUS MATERIALS SAFETY (D) | 58,000 | 61,000 | 61,000 |
| EMERGENCY PREPAREDNESS GRANTS (M) | 28,318 | 28,318 | 28,318 |
| PIPELINE SAFETY (D) | 142,000 | 145,000 | 145,000 |
| PIPELINE SAFETY TRUST FUND (D) | 23,000 | 23,000 | 23,000 |
| **SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION (D):** | **36,000** | **38,000** | **38,000** |
| **INSPECTOR GENERAL (D):** | **92,600** | **94,600** | **94,600** |
| SALARIES AND EXPENSES: CARES ACT (D) | | 5,000 | |

| | FY 2019 Enacted | FY 2020 Enacted | FY 2021 Full Year Continuing Resolution 1/ |
|---|---|---|---|
| **OFFICE OF THE SECRETARY:** | **1,386,689** | **1,515,331** | **1,428,118** |
| SALARIES AND EXPENSES (D) | 113,910 | 115,490 | 115,490 |
| NATIONAL SURFACE TRANSPORTATION INNOVATIVE FINANCE BUREAU (D) | 5,000 | 5,000 | 5,000 |
| TRANSPORTATION PLANNING, RESEARCH AND DEVELOPMENT (D) | 7,879 | 10,879 | 10,879 |
| OFFICE OF CIVIL RIGHTS (D) | 9,470 | 9,470 | 9,470 |
| FINANCIAL MANAGEMENT CAPITAL (D) | 2,000 | 2,000 | 2,000 |
| ESSENTIAL AIR SERVICES (M) | 145,971 | 112,093 | 82,633 |
| PAYMENT TO AIR CARRIERS (D) | 175,000 | 162,000 | 162,000 |
| NATIONAL INFRASTRUCTURE INVESTMENT (BUILD) (D) | 900,000 | 1,000,000 | 1,000,000 |
| RESEARCH AND TECHNOLOGY (D) | 8,471 | 21,000 | 21,000 |
| CYBER SECURITY INITIATIVES (D) | 15,000 | 15,000 | 15,000 |
| OSDBU/MINORITY BUSINESS RESOURCE CENTER (D) | 3,988 | 4,646 | 4,646 |
| SALARIES AND EXPENSES: CARES ACT (D) | | 1,753 | |
| ESSENTIAL AIR SERVICES: CARES ACT (M) | | 56,000 | |
| **TOTAL GROSS** | **87,553,563** | **123,221,762** | **87,108,494** |
| REGULAR APPROPRIATIONS | 87,136,475 | 87,136,475 | 87,108,494 |
| CARES ACT | | 36,085,287 | |
| PHMSA USER FEES | -142,000 | -145,000 | -145,000 |
| CANCELLATIONS/RESCISSIONS | -46,560 | -19,935 | - |
| **TOTAL NET** | **87,365,003** | **123,056,827** | **86,963,494** |
| Non-Defense Discretionary Subtotal | 26,210,448 | 24,512,837 | 24,532,772 |
| Defense Discretionary Subtotal | 300,000 | 300,000 | 300,000 |
| Mandatory Subtotal | 60,854,555 | 62,158,703 | 62,130,721 |
| CARES Act Emergency Supplemental Appropriation | - | 36,085,287 | - |

**Technical Notes:**

D = Discretionary

M = Mandatory

1/ The current continuing resolution provides funding through December 11, 2020.

# FEDERAL AVIATION ADMINISTRATION

## Overview

The Federal Aviation Administration (FAA) constitutes the principal Federal agency responsible for providing the safest and most efficient aerospace system in the world. Since 1958, FAA has regulated and overseen all aspects of civil aviation in the United States, running the largest, most complex, and safest air traffic control system in the world and ensuring the safety of the traveling public. Today, the breadth of FAA's mission and capabilities is dedicated to achieving new levels of safety, efficiency, environmental responsibility, and global leadership. FAA remains deeply committed to providing the safest, most advanced, and efficient aviation system in the world and to ensuring air transportation remains safe and efficient wherever U.S. citizens travel.

## History

- On May 21, 1958, Senator A. S. "Mike" Monroney (D-OK) introduced a bill to create an independent Federal Aviation Agency to provide for the safe and efficient use of national airspace. Three months later, on August 23, 1958, the President signed the Federal Aviation Act, which transferred the Civil Aeronautics Authority's safety functions to a new independent Federal Aviation Agency responsible for civil aviation safety (Federal Aviation Act, P.L. 85-726, 72 Stat. 731, Aug. 23, 1958).

- On November 1, 1958, retired Air Force General Elwood "Pete" Quesada became the first FAA Administrator. Sixty days later, on December 31, 1958, FAA began operations.

- President Johnson, concerned about the lack of a coordinated transportation system, believed a single department was needed to develop and carry out comprehensive transportation policies and programs across all transportation modes.

- In 1966, Congress authorized the creation of a Cabinet department that would combine major Federal transportation responsibilities. This new U.S. Department of Transportation (USDOT) began full operations on April 1, 1967.

- On that day, the Federal Aviation Agency became one of several modal organizations within USDOT and received a new name, the Federal Aviation Administration. At the same time, Civil Aeronautics Board's accident investigation function was transferred to the new National Transportation Safety Board.

- The Airline Deregulation Act of 1978 (P.L. 95-504), signed on October 24, 1978, created a highly competitive airline industry. Deregulation increased FAA workload exponentially. FAA had to certify every new airline, and there were hundreds of applications after deregulation that FAA had to review and approve or disapprove. In the immediate years after the Deregulation Act, FAA flight standards and other offices focused primarily on the new applicants.

- On August 3, 1981, approximately 12,300 members of the 15,000-member Professional Air Traffic Controllers Organization went on strike, grounding about 35 percent of the

Nation's 14,200 daily commercial flights. Approximately four hours after the strike began, President Reagan issued the strikers a firm ultimatum—return to work within 48 hours or face permanent dismissal. After expiration of the grace period, FAA fired approximately 11,400 controllers.

- In November 1995, USDOT transferred the commercial space transportation office to FAA. Originally established within USDOT in 1984, the new FAA office regulated the U.S. commercial launch industry, licensed commercial launch operations to ensure public health and safety, and the safety of property during commercial launch operations. It also issued licenses for commercial launches of orbital and suborbital rockets.

- On November 19, 2001, President Bush signed the Aviation and Transportation Security Act, which, among other provisions, established a new agency responsible for aviation security—the Transportation Security Administration (TSA), within USDOT. FAA remained responsible for aviation security until February 13, 2002, when TSA took over those responsibilities.

- The FAA Modernization and Reform Act of 2012 (P.L. 112-95) directed FAA to create a plan to integrate unmanned aircraft into the Nation's airspace and to create rules that would allow for such integration.

- The FAA Reauthorization Act of 2018 (P.L. 115-254) included important legislative changes related to increasing the safety and pace of unmanned aircraft systems (UAS), "drones," and commercial space integration, expediting the financing and development of airport capital projects, directing FAA to advance leadership in the field of international supersonic aircraft policies, reforming the aircraft certification process, addressing aircraft noise, and ensuring safe lithium battery transport.

## What We Do

**FAA serves the flying public by operating a national airspace system that:**

- Operates **24 hours a day, seven days a week, 365 days a year** as the safest, most efficient aerospace system in the world, providing air traffic services to civil and military aircraft.

- Operates and maintains facilities and equipment at nearly **13,000 sites** Nationwide.

- Maintains FAA-operated or FAA-contracted towers **at more than 500 airports.**

- Inspects and certifies approximately **211,000 U.S. civil aircraft, 590,000 pilots, and approximately 522 airports.**

- Safely guides approximately 790 million passengers and **25 million flights** every year.

- Ensures that the Nation's airports are safe, efficient, and environmentally responsible and meet the needs of the traveling public.

**In addition, FAA provides:**

- Grants to improve **3,330 eligible public-use airports** in the U.S.
- Protection of the people and property and national security and foreign policy interests of the United States during **commercial space launch** and **reentry activities**.
- A roadmap and rules for the safe integration of unmanned aircraft into our Nation's airspace.
- A workforce of nearly **46,000 professionals** to operate and maintain the busiest, most complex national airspace system in the world. The **Air Traffic Organization (ATO),** which is the Nation's air navigation services provider, accounts for over **35,000** of FAA staff.

## What Are Our Resources?

*The President's FY 2022 Budget Request will be finalized in 2021. The following information describes funding that was provided in FY 2020 and that would also be provided under a potential FY 2021 full year Continuing Resolution scenario.*

**FEDERAL AVIATION ADMISTRATION**
**Budgetary Resources**
in millions of dollars

| Account | FY 2019 Actual | FY 2020 Actual | FY2021 Continuing Resolution |
|---|---|---|---|
| OPERATIONS (GF/TF) | 10,410.80 | 10,630.00 | 10,630.00 |
| FACILITIES & EQUIPMENT (TF) | 3,000.00 | 3,045.00 | 3,045.00 |
| RESEARCH, ENGINEERING & DEVELOPMENT (TF) | 191.1 | 192.7 | 192.7 |
| GRANTS-IN-AID FOR AIRPORTS (Obl(m) (TF) | 3,350.00 | 3,350.00 | 3,350.00 |
| GRANTS-IN-AID FOR AIRPORTS (GF) | 500 | 400 | 400 |
| **TOTAL** | **17,451.90** | **17,617.70** | **17,617.70** |
| CARES ACT: OPERATIONS (GF) | 0 | [25] | 0 |
| CARES ACT: GRANTS-IN-AID FOR AIRPORTS (GF) | 0 | 10,000.00 | 0 |
| **Full Time Equivalent Employment** | **44,103** | **44,375** | **44,375** |

The FY 2020 enacted funding level of **$17.6 billion** serves as the base funding level for the current services in FY 2021. This level will enable FAA to maintain staff, facilities and equipment, and ongoing programs and activities. This funding level does not include $10 billion in airport grant funding that was provided as part of the Coronavirus Aid, Relief, and Economic Security Act (CARES Act) (P.L. 116-136) relief for the public health emergency.

### Operations

The FY 2021 continuing resolution (CR) funding level for Operations is **$10.6 billion**. This account provides funds for the operation, maintenance, communications, and logistical support of the air traffic control and air navigation systems. It also covers administrative and managerial

costs for FAA's regulatory, international, medical, engineering, and development programs, as well as policy oversight and overall management functions.

**Facilities & Equipment (F&E)**

For FY 2021, the CR funding level for Facilities and Equipment (F&E) is **$3.045 billion**. The F&E account funds the procurement of new systems and technologies to increase the safety and efficiency of the national airspace system, supports the sustainment of vital infrastructure, and maintains FAA facilities.

**Research, Engineering and Development (RE&D)**

For FY 2021, the CR funding level for Research, Engineering and Development (RE&D) is **$192.7** million. The RE&D account funds the research and development of products and services that ensure a safe, efficient, and environmentally compatible air transportation system.

**Grants-in-Aid for Airports**

For FY 2021, the CR funding level for Grants-in-Aid for Airports is **$3.75 billion**. FAA's Airport Improvement Program (AIP) supports development of a nationwide system of public-use airports to meet the current needs and the projected growth of civil aviation. Funds will be used to continue our focus on safety-related development projects, including runway safety area improvements, runway incursion reduction, aviation safety management, and improving infrastructure conditions.

In addition to FAA's AIP grants, the Passenger Facility Charge program authorizes the collection of fees for airports to fund FAA-approved projects that enhance safety, security, or capacity; reduce noise; or increase air carrier competition. A total of $22.6 billion in collections has been authorized since 2017.

**Recent Accomplishments**

FAA is proud of the accomplishments achieved in recent years, which include:

- **Safety Record:** Aviation has never been safer. The U.S. commercial aviation industry is one of the safest in the world. The U.S. has made dramatic reductions to aviation fatalities. Key to this has been collaboration with the aviation industry. In recent years, FAA has implemented new rules for pilot training and certification, qualifications, and minimum rest requirements.

- **Safety Compliance Program:** The key to continuous improvement in aviation safety is to create a sustainable culture of safety through an open and transparent exchange of safety information and data between FAA and the aviation community. Safety culture is not just a set of programs and cannot simply be "established" or implemented. Rather, it requires the open and transparent exchange of information, mutual–cooperation, and trust. A just regulatory culture is essential to building effective, non–blaming, safety reporting and data–sharing programs. In keeping with this approach, the FAA

Compliance Program is the keystone of the Office of Aviation Safety (AVS) risk–based decision making strategic initiative. Documented in FAA Order 8000.373, the Compliance Program emphasizes the accountability of all stakeholders, and it clearly distinguishes between the goal—compliance (i.e., operating according to both the letter and the spirit of the law)—and enforcement, which is just one of many tools to gain compliance. The emphasis on compliance has improved communication with certificate holders and contributed to the kind of open, transparent, and robust safety culture FAA needs to collectively assure aviation safety. It has allowed the AVS workforce to address safety concerns in a faster and more efficient manner. Internal metrics show solid progress: voluntary reporting has increased; FAA has successfully used compliance tools to address most regulatory deviations; and we have freed up time and resources to address pressing safety concerns.

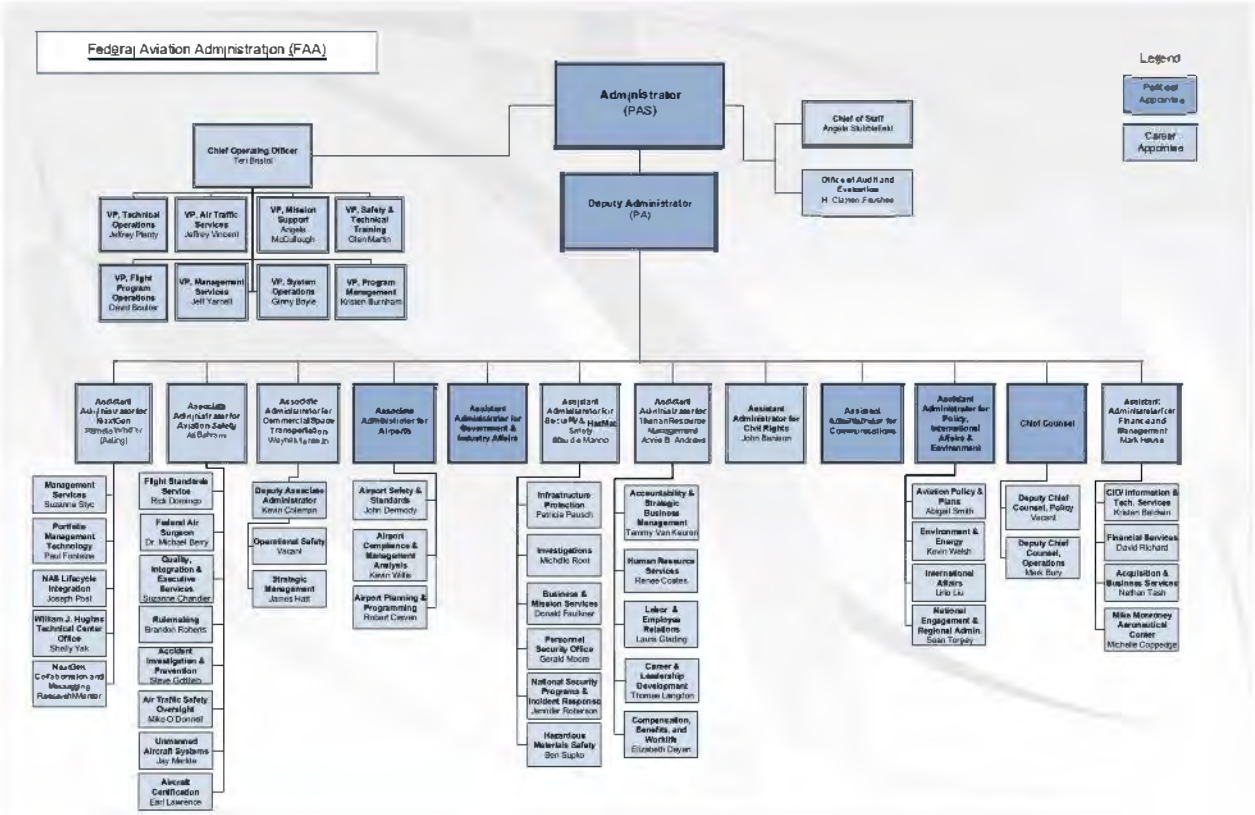
- **NextGen Implementation:** The Next Generation Air Transportation System (NextGen) is the FAA–led modernization of America's air transportation system to make flying even safer, more efficient, and more predictable. With the fundamental NextGen infrastructure in place, FAA is improving how the use of existing capabilities while introducing other innovations to realize a greater return on investment. As capabilities mature and the infrastructure is transformed to support the new concepts, FAA will implement additional improvements. To achieve operationalization and to realize the full range of NextGen improvements, additional work is required within FAA, as well as in industry to ensure interdependent investments are completed to realize full benefits of the integrated air–ground system. This is especially important as the deployment of NextGen has moved beyond fundamental infrastructure upgrades, and is now focusing on integrated operational changes for Trajectory Based Operations, enabled by new technologies on-ground and in the air.

  As FAA builds upon the benefits and continue to operationalize NextGen, FAA is also exploring how to adapt our strategies to accommodate increasing air traffic, expanding markets, changing technology, cybersecurity, and data–sharing needs in the future. FAA anticipates rapid growth in the coming years in unmanned aircraft systems and commercial space launch and re-entry vehicles. Remote towers, new aircraft materials, alternative jet fuels, unleaded aviation gasoline, and advanced cybersecurity are also being tested. FAA is working with industry and academia to ensure that new operations like these will be safely incorporated into the National airspace.

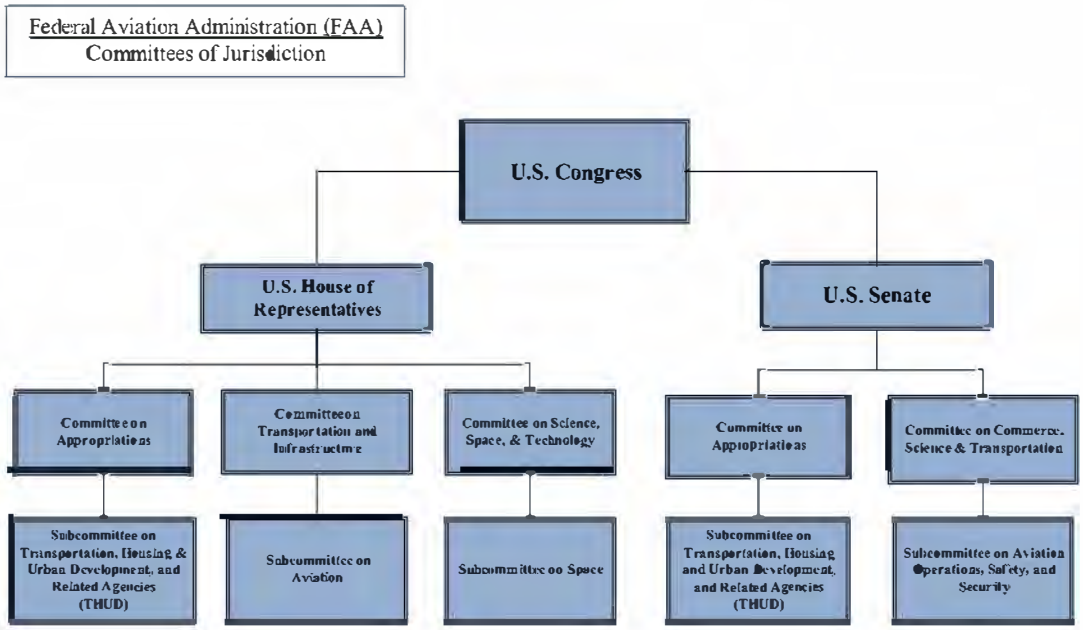
- **Unmanned Aircraft Systems (UAS) Integration:** UAS, or drones, are fundamentally changing not only aviation but also the way FAA lives and does business. UAS are reinventing industries and creating new ones every day. The promise of full integration of drones into the national airspace means a future where better health care, safer working conditions, faster commercial delivery, and so much more will be available to millions of Americans. But, the safe integration of unmanned aircraft is a significant challenge. FAA has made great strides in developing the technical and regulatory standards, policy guidance, and operational procedures on which successful UAS integration depends. FAA continues to tackle new challenges, such as safe, scalable, beyond visual line of sight operations.

- **Commercial Space Transportation:** The pace of launch and reentry operations has been quickly picking up. In 90 hours in August, four launches were supported, as many FAA licensed launches as were done in all of 2010. In the first two weeks of FY 2021, the FAA supported three licensed launches - the same number of launches that were supported in both FY 2010 and FY 2011. The Office of Commercial Space is preparing for a record year. FAA published a final Streamlined Launch and Reentry Licensing Requirements Rule. This rule combined four regulations into one, reducing regulatory text by over 85 percent. This new performance-based rule positions the FAA to continue to maintain its public safety record, while encouraging innovation in the commercial space industry.

# FAA's ORGANIZATIONAL CHART



# CONGRESSIONAL COMMITTEES WITH JURISDICTION OVER FAA



# FEDERAL HIGHWAY ADMINISTRATION

## Overview

The Federal Highway Administration (FHWA) delivers highway transportation programs in cooperation with States and other partners to make a positive contribution to the economic and social well-being of all Americans. With more than half of our approximately 2,700 employees working out of division offices in every State, the District of Columbia, and Puerto Rico, and consistently ranked in the top ten percent of the "best places to work in the Federal government," FHWA is well-positioned to deliver the Federally assisted, State-administered Federal-Aid Highway Program (FAHP) and Federal Lands Highway Program. FHWA's strategic goals align with the Department of Transportation's (USDOT) strategic goals relating to safety, infrastructure, innovation, and accountability to meet the Agency's mission to "enable and empower the strengthening of a world-class highway system that promotes safety, mobility, and economic growth while enhancing the quality of life of all Americans."

The FAHP provides Federal financial assistance to the States to construct and improve the National Highway System (NHS), urban and rural roads, and bridges.

The Federal Lands Highway Program provides access to and within Federal and Tribal lands by preparing plans and contracts, supervising construction facilities, and conducting bridge inspections and surveys.

FHWA also manages a comprehensive research, development, and technology program and provides substantial technical assistance and training to our transportation partners.

## History

- 1893 – General Roy Stone takes charge of the new Office of Road Inquiry, with a budget of $10,000 and a staff consisting of one stenographer. The organization was subsequently named the Office of Public Road Inquiries (1899–1905), Office of Public Roads (1905–1915) and the Office of Public Road and Engineering (1915–1918).

- 1916 – President Woodrow Wilson signs the Federal Aid Road Act, launching the FAHP.

- 1918 – The agency is renamed the Bureau of Public Roads (BPR). Although briefly named the Public Roads Administration (1939–1949), the agency remained the BPR until FHWA joined the Department of Transportation.

- 1956 – President Dwight D. Eisenhower signs the Federal-aid Highway Act of 1956. The Interstate Highway program begins. The Highway Trust Fund is established to provide stable funding for the Interstate System (and still provides resources today for FHWA to accomplish its mission).

- 1966 – FHWA is established as the successor to a series of earlier organizations dating back to 1893 that had worked to improve our Nation's public roads.

- Since 1966, FHWA has supported State and local governments in the design, construction, and maintenance of our Nation's highway system (Federal Aid Highway Program) and various federally and tribal owned lands (Federal Lands and Tribal Transportation Programs).

- 1995 – The NHS is established with the passage of the National Highway System Designation Act of 1995. The NHS, currently about 220,000 miles, consists of roadways important to the Nation's economy, defense, and mobility.

- 2015 – The Fixing America's Surface Transportation (FAST) Act establishes the National Highway Freight Network and a new formula program for freight projects on that network.

- 2020 – The FAST Act is extended through the end of Fiscal Year 2021.

**What We Do**

- **Making roads safer:** FHWA works with transportation agencies, safety advocacy groups, and other partners and stakeholders to identify safety needs, and deploy proven practices and innovations that improve the safety of all public roadways for all users. With a 1.7 percent reduction in the traffic fatality rate from 2009-2018, data tells us these efforts are working. Even though Vehicle Miles Traveled (VMT) increased between 2018 and 2019, preliminary data estimates show that the fatality rate for 2019 is at its second–lowest level since fatal crash data was first recorded in 1975.

- **Spurring the U.S. economy:** The State-administered FAHP, for which FHWA provides effective stewardship, oversight, and technical assistance, supports a transportation network that is a key driver of the U.S. economy. Our Nation's highways and bridges are critical to the effective movement of people and goods, including food, energy, and manufactured goods. An efficient, reliable freight network allows people and goods to be moved more quickly and reliably to their destinations, lowering costs and improving productivity across the Nation.

- **Moving people and goods more efficiently:** FHWA provides national leadership in the areas of congestion management, intelligent transportation systems, traffic operations, emergency management, and freight management and operations.

- **Improving highway and bridge conditions and performance:** FHWA is transforming the FAHP by supporting State DOT and Metropolitan Planning Organization (MP●) partners as they implement performance-driven practices that encourage the efficient and informed investment of Federal transportation funds. The share of travel on NHS pavements with good ride quality rose significantly from 48 percent in 2000 to 62 percent in 2018, thereby reducing wear and tear on vehicles, traveler delays, and crash rates. In

addition, the percentage of the deck area of bridges classified as in "Poor" condition dropped from 7.8 percent in 2012 to 5.5 percent in 2019, even as the total number of bridges in the Nation's inventory increased.

- **Creating jobs:** Besides providing for crucial investments in America's highway and bridge infrastructure, the FAHP also puts tens of thousands of Americans to work. Currently, the FAHP is supporting approximately 93,000 open projects, resulting in annual Federal highway expenditures of around $48 billion. This investment creates and supports good paying jobs in the construction industry throughout the Nation.

- **Spurring innovation:** FHWA has championed innovations throughout the history of the FAHP. Through the Every Day Counts (EDC) program, FHWA increases innovation at every stage of the highway project lifecycle. Launched in 2010 as a partnership with State and local agencies, EDC has initiated its sixth two-year cycle, focusing on "Innovation for a Nation on the Move." These innovations lead to better roads, bridges, and highways; reduced project delivery times; and more cost-effective transportation improvements.

- **Safeguarding taxpayer funds:** FHWA's stewardship and oversight approach includes risk-based program and project involvement, and data-driven evaluations and assessments, at the national and State levels. Additionally, through our Financial Integrity Review and Evaluation (FIRE) program, FHWA monitors how Federal funds are managed and whether they are safeguarded from fraud, waste, and abuse.

- **Advancing transportation research:** FHWA coordinates and conducts innovative highway research and development to address current and emerging needs facing the Nation's highway system. The entire innovation life cycle is covered under our research, technology and education (RT&E) program umbrella—including agenda setting, research and development, technology testing and evaluation, and deployment and impact evaluation of market-ready technologies and innovations. In 2019, FHWA hosted its first-ever Research Showcase featuring more than 25 innovations developed at the Turner-Fairbank Highway Research Center and other FHWA offices, and provided highway stakeholders with a first-hand look at the latest transportation technology.

## What Are Our Resources?

*The President's FY 2022 Budget Request will be finalized in 2021. The following information describes funding that was provided in FY 2020 and that would also be provided under a potential FY 2021 full year Continuing Resolution scenario.*

The one-year extension of the FAST Act through the end of FY 2021 provides FHWA **$46 billion** in contract authority and obligation authority for the FAHP. In addition to the funding for the FAHP, a full year FY 2021 continuing resolution would provide approximately $2.2 billion in General Funds for Highway Infrastructure Programs. Of the total funding, less than one percent, approximately $457 million, is reserved for FHWA's administrative expenses, to provide effective stewardship and oversight of highway programs and funding.

**FEDERAL HIGHWAY ADMISTRATION**
**Budgetary Resources**
in millions of dollars

| Account | FY 2019 Actual | FY 2020 Actual | FY2021 Continuing Resolution |
|---|---|---|---|
| FEDERAL-AID HIGHWAYS (Oblim) (TF) | 45,268.60 | 46,365.10 | 46,365.10 |
| FED AID EXEMPT FROM OBLIM (TF) 1/ | 599.4 | 601.3 | 602.6 |
| EMERGENCY RELIEF (TF) 1/ | 93.8 | 94.1 | 94.3 |
| HIGHWAY INFRASTRUCTURE PROGRAMS (GF) | 3,250.00 | 2,166.10 | 2,166.10 |
| LIMITATION ON ADMINISTRATIVE EXPENSES (TOTAL) (Non-add) | [449.7] | [456.8] | [456.8] |
| CANCELLATIONS (Non-add) | [0.0] | [-19.9] | [0.0] |
| **TOTAL** | **49,211.80** | **49,226.60** | **49,228.10** |
| EMERGENCY RELIEF (GF) | 1,650.00 | 0 | 0 |
| **Full Time Equivalent Employment** | **2,633** | **2,658** | **2,615** |
| 1/ Amounts reflect reductions due to Sequestration | | | |

## Recent Accomplishments

**Safer Roads:** FHWA works with transportation agencies, safety advocacy groups, and other partners and stakeholders to identify and deploy proven practices and innovations to increase safety for all road users. From 2016 to 2019, highway-related fatalities decreased 4.5 percent. Furthermore, the 2019 fatality rate—1.10 fatalities per 100 million VMT—was the lowest since 2014, and the second lowest since fatal crash data was first recorded in 1975. These declines coincide with the continued implementation of roadway safety infrastructure improvements, safety innovations, and the use of effective data and analytical tools.

FHWA has also focused on making roads safer for pedestrians—typically among the most vulnerable road users. FHWA has led collaborative efforts to improve pedestrian safety, including launching the Safe Transportation for Every Pedestrian (STEP UP) Campaign and hosting virtual summits on pedestrian safety. These efforts have yielded a Pedestrian Safety Action Plan, outlining actions USDOT intends to undertake to improve pedestrian safety across the country.

FHWA also works with the States on their State safety performance targets and implementation plans to help facilitate States' data-driven decision-making. In 2020, FHWA made safety target achievement determinations for the first time for all 50 States, Puerto Rico and the District of Columbia. FHWA continues to provide technical assistance and other support to States as they work to meet or make significant progress toward achieving their safety targets.

**Advanced use of innovative materials, practices, and technologies:** In September 2019, FHWA issued a final rule rescinding the long-standing regulatory provisions that limited the use of Federal funds in paying for patented or proprietary products on highway construction projects. The rule provided greater flexibility and encourages innovation in the selection of proprietary or patented materials. In September 2020, FHWA launched the sixth round of its Every Day Counts (EDC-6) collaboration with State, local, and Tribal transportation agencies, which promotes the accelerated use of tools, technologies and methods nationwide to improve road and bridge projects, reduce cost, and shorten project completion time. Since the inception of EDC, each State has advanced many of the 52 innovations developed to date, which has led to better roads,

bridges, and highways; reduced project delivery times; and contributed to more cost-effective transportation improvements.

**Enhanced delivery of projects:** FHWA continues to find ways to expedite project delivery, including flexibilities in environmental review practices and State assumption of program and project responsibilities. FHWA's efforts in this area have yielded clear results. For example, in 2018, FHWA signed the Record of Decision for the Sterling Highway Project in Alaska, a project which had been stalled for over 30 years due to controversy associated with complex land ownership. Other FHWA project delivery enhancements include adding, renewing or extending memoranda of understanding to allow seven State DOTs to cover portions of advanced Federal environmental review responsibilities.

FHWA also has led in implementing President Trump's Executive Order 13807, which requires agencies to process environmental reviews and authorization decisions for major infrastructure projects as One Federal Decision (●FD). For example, FHWA worked with the U.S. Environmental Protection Agency, U.S. Army Corps of Engineers, U.S. Fish and Wildlife Services, U.S. Coast Guard, and National Marine Fisheries Services to synchronize environmental reviews and permitting for major infrastructure projects under the OFD process. The Federal Permitting Improvement Steering Council highlighted FHWA's efforts as a best practice for implementing ●FD, and FHWA currently has seven active ●FD projects.

**Improved Performance and Conditions of Roads and Bridges:** As a first step in a long-term effort to better manage the performance of the Nation's highways, FHWA established and implemented 17 new performance measurements for States to self-assess their performance in the areas of safety, infrastructure condition, reliability, freight movement, emissions, and congestion. FHWA also carried out a wide range of activities to help States improve the safety and capacity of bridges across the country. Highlights of this included distributing by formula approximately $1.6 billion in dedicated bridge funding to States for use on eligible projects; competitively awarding $225 million for bridge projects, after an extensive technical and economic review of project merits; and providing national policy and technical guidance to support the safety, stewardship, and oversight of the nation's more than 610,000 highway bridges and approximately 500 tunnels.

**Effective and efficient response to emergencies:** From Fiscal Years 2017 through 2020, FHWA provided nearly $5.5 billion in Emergency Relief (ER) funding to repair damage caused by natural disasters, such as flooding in the Midwest, and Hurricanes Harvey, Irma, and Maria. This included support to 47 States, the District of Columbia, Puerto Rico, U.S. Virgin Islands, American Samoa, and the Northern Mariana Islands. FHWA also responded almost immediately after a fire in March 2017 destroyed a portion of an I-85 bridge in Atlanta that carried approximately 243,000 vehicles per day. This included $10 million in "quick-release" ER funds to support the State in removing more than 6,500 tons of debris and replacing about 700 feet of surrounding roadway and support columns. FHWA also collaborated with Georgia DOT to deploy EDC innovations, such as e-construction and flexibilities in contracting methods, resulting in the bridge reopening in just 43 days.

FHWA also responded to the October 2018 pedestrian bridge collapse on the campus of Florida International University (FIU) that tragically killed five motorists and one construction worker,

and injured 10 others. The FHWA provided extensive technical support to the National Transportation Safety Board (NTSB) throughout its investigation. After a review of the design calculations and released construction plans, as well as testing of the materials and equipment used in the construction, FHWA identified significant errors in the design of the bridge. In October 2019, NTSB concluded that the probable cause of the collapse was the design errors for the load and capacity of the bridge and the failure to identify and address the structural cracking observed prior to the collapse. On July 14, 2020, based on the NTSB findings, FHWA suspended and proposed to debar for 10 years FIGG Bridge Engineers, Inc.

**Leadership in cutting-edge research:** FHWA has coordinated and conducted a robust program of innovative highway research and development to address current and emerging needs facing the Nation's highway system. Highlights included the creation of platforms to test Cooperative Driving Automation; work on advances in artificial intelligence for transportation systems; and cutting-edge research on hydraulics, materials and human factors. In 2019, FHWA hosted its first–ever Research Showcase, which featured more than 25 innovations developed at FHWA's Turner–Fairbank Highway Research Center, and gave highway stakeholders a first-hand look at the latest transportation technology.

**Delivery of key projects across the country:** During the last four years, FHWA has helped fund key transportation projects across the Nation, including awarding more than $4.5 billion in discretionary grant funding to States, Tribes, Federal agencies, and other stakeholders. This funding helped improve the movement of freight, rehabilitated transportation facilities on Federal and Tribal lands, advanced transportation technologies, user-based alternative revenue mechanisms, enhanced transportation-related job training, and provided assistance to disadvantaged businesses.

●ver this period, FHWA also has delivered a broad portfolio of road and bridge improvements. This includes executing an average of $1.5 billion in projects in each of 2017 through 2019, which collectively built or improved more than 6,100 miles of roadways and 400 bridges in the Nation's parklands, national forests, and other Federal or Tribal lands. One particularly notable Federal lands accomplishment is the Foothills Parkway Capstone Project in the Great Smoky Mountains National Park, where FHWA made possible the completion of the 16 remaining miles of the "Missing Link."

**Effective response to COVID-19:** FHWA took a number of actions that responded to the COVID-19 public health emergency and contributed to economic recovery. Highlights include allowing States to use changeable message signs for COVID-19 notifications, coordinating with Congress to clarify that States can permit overweight vehicles during the national emergency, and providing support for maintaining the operation of rest areas, including permitting the operation of food trucks. FHWA also supported States to allow for the temporary use of sidewalks and public parking areas in the highway right-of-way as additional restaurant seating or retail space an innovative and safe way to reopen the economy while social distancing.

In terms of its own operations, units across FHWA took quick and thoughtful steps to remain responsive to customers and ensure that key activities continued during this period of uncertainty. Staff converted trainings and technical assistance to virtual delivery, provided resources and tutorials on newly acquired virtual collaboration applications, and created virtual

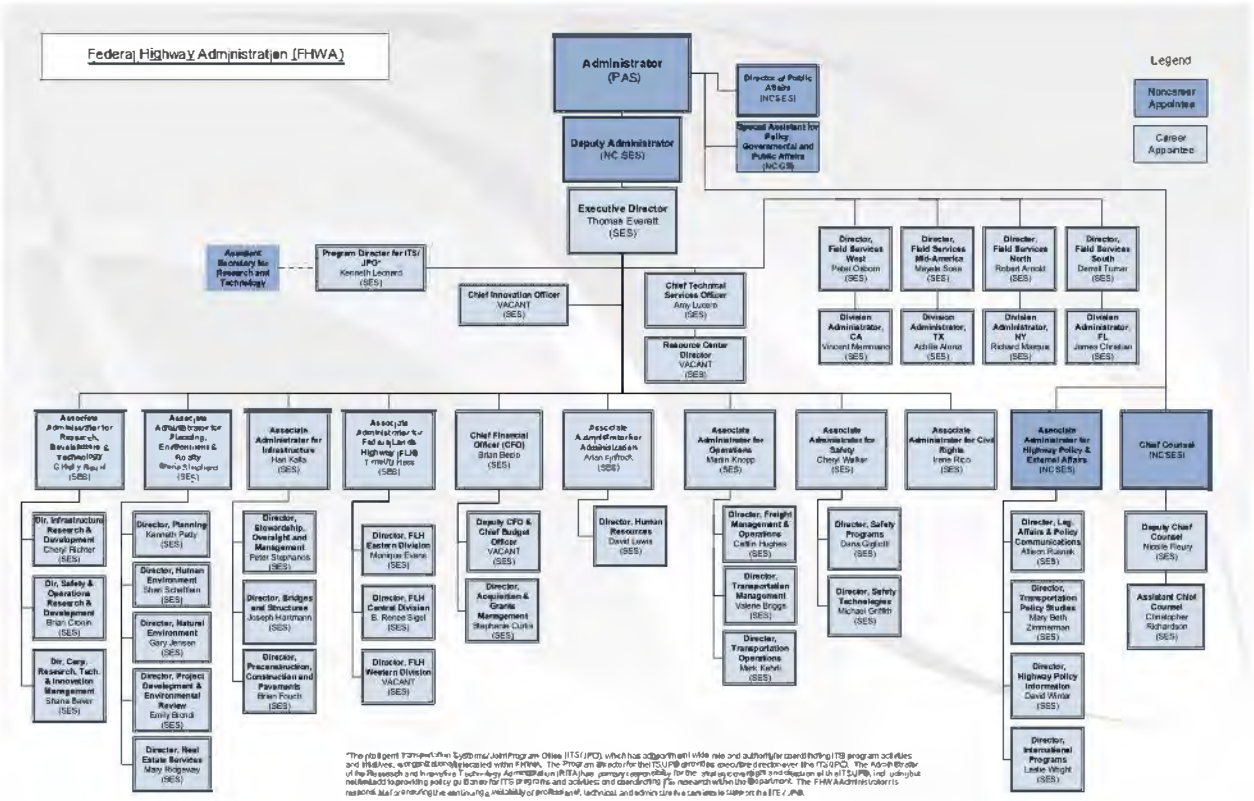
workspaces for staff to solve problems, to share best practices, and to respond to employee concerns. Existing in-person programs were quickly changed into virtual efforts instead of being canceled, and several new virtual learning opportunities were developed. Additionally, FHWA transformed its Summer Transportation Internship Program for Diverse Groups to a virtual internship program, providing 95 students from across the Nation the opportunity to gain transportation-related work experience, and to earn an income, at a time when many internships were cancelled by other organizations. These opportunities will complement existing in-person programs in the future.

**Improved accountability:** Beginning in 2017, FHWA established and implemented a framework for Enterprise Risk Management (ERM). The framework included the establishment of program objectives, a risk appetite statement for FHWA operations, a program assessment process, and the establishment of unit performance planning procedures to focus FHWA resources on strategies to respond to risks.

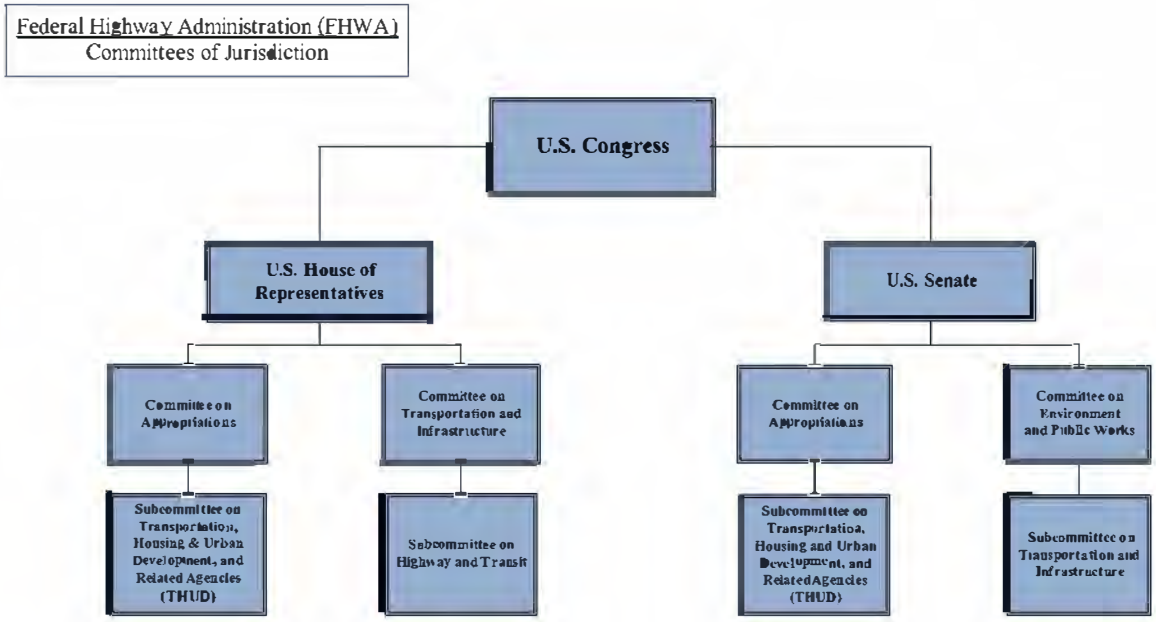
FHWA is the biggest financial component of USDOT, so the quality of its financial management and reporting has a direct effect on the Department's annual financial audit. For FY 2019, FHWA's audit enabled the Department to receive an unmodified (or "clean") audit opinion. This is particularly noteworthy since FHWA financial records are some of the most complex within the Federal Government.

FHWA also established a corporate initiative to reduce the backlog of Americans with Disabilities Act (ADA) complaints. FHWA closed over 50 ADA complaints in Fiscal Year 2020. This effort has been so successful that FHWA is extending the project for an additional year.

# FHWA'S ORGANIZATIONAL CHART



# CONGRESSIONAL COMMITTEES WITH JURISDICTION OVER FHWA



# FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

## Overview

The Federal Motor Carrier Safety Administration (FMCSA) was established within the Department of Transportation on January 1, 2000, pursuant to the Motor Carrier Safety Improvement Act of 1999 (49 U.S.C. 113). Formerly a part of the Federal Highway Administration, FMCSA's primary mission is to reduce crashes, injuries, and fatalities involving large trucks and buses. FMCSA's activities contribute to ensuring safety in motor carrier operations through strong enforcement of safety regulations; targeting high-risk carriers and commercial motor vehicle drivers; improving safety information systems and commercial motor vehicle technologies; strengthening commercial motor vehicle equipment and operating standards; and increasing safety awareness. To accomplish these activities, FMCSA works with Federal, State, and local enforcement agencies, the motor carrier industry, labor and safety interest groups, and others.

In carrying out its safety mandate, FMCSA: 1) develops and enforces data-driven regulations that balance motor carrier (truck and bus companies) safety with efficiency; 2) harnesses safety information systems to focus on high risk carriers in enforcing the safety regulations; 3) targets educational messages to carriers, commercial drivers, and the public; and 4) collaborates with stakeholders, including Federal, State, and local enforcement agencies, the motor carrier industry, safety groups, and organized labor on efforts to reduce bus and truck-related crashes.

FMCSA has approximately 1,100 employees to execute its mission, consisting of approximately 355 employees (31 percent) located at headquarters and approximately 795 employees (69 percent) located at field offices in each of the 50 States, the District of Columbia, and Puerto Rico who work with State, local, and other Federal transportation agencies.

## History

- Federal truck safety rules were first issued in 1936 by the Bureau of Motor Carriers, a division of the Interstate Commerce Commission (ICC).

- When the Department of Transportation (DOT) was established on October 15, 1966, the ICC's regulatory authority over truck and bus safety was transferred to DOT, delegated to the Federal Highway Administration (FHWA) and designated the Office of Motor Carrier Safety.

- In 2000, Congress established FMCSA as a stand-alone DOT agency pursuant to the Motor Carrier Safety Improvement Act of 1999.

- Since 2000, FMCSA has been responsible for establishing and enforcing safety regulations for commercial motor vehicle operators and drivers; regulating interstate transportation by large trucks, buses, and household goods operations and inter/intrastate hazardous materials transportation; establishing and enforcing standards that States must follow concerning the application and testing processes and procedures for all individuals seeking a commercial driver's license (CDL); and providing financial and technical

assistance to State and local governments, who enforce State safety programs based on FMCSA's regulations.

**What We Do**

- The FMCSA **regulates approximately 600,000 active interstate freight motor carriers, 12,000 passenger carriers, 35,000 intrastate-only hazardous materials carriers, and approximately 5 million active CDL holders**. In 2018, the Department estimated that:
  - There were approximately **13.2 million U.S. registered large trucks and 1 million registered buses, traveling more than 323 billion vehicle miles.**
  - The total miles traveled by all vehicles **grew 10 percent** from 2009 to 2018.
  - Large truck- and bus-related mileage **grew 7 percent** from 2009 to 2018, while registrations for large trucks and buses increased by about 20 percent.
- In FY 2019, FMCSA and States conducted approximately 3.5 million truck and bus roadside inspections. Twenty-one percent of trucks inspected were put out of service, 7 percent of buses inspected were put out of service, and 5 percent of drivers inspected were put out of service.
- Commercial motor vehicle roadside inspection and traffic enforcement programs are premised on the notion that correcting serious driver and vehicle violations at the roadside prevents future crashes and hence saves lives. Based on models that assess the number and type of violations found each year at the roadside, the Agency has previously estimated that it prevents roughly 14,000 crashes per year as a result of these programs and saves about 450 lives per year (These are estimated by the 2013 Roadside Intervention Effectiveness Model. External factors such as demographics, economic conditions, fuel prices, and the increased use of public transportation have also had an impact on reducing injuries and fatalities.)
  - In FY 2019, FMCSA Special Agents conducted approximately 7,600 investigations. State Partner Safety Investigators contributed approximately 5,500 investigations during the same time period. As a result of these investigations, 3,643 Notices of Claims (N●C), and 572 Unsatisfactory/Unfit Out-of-Service (●●S) Orders were issued.
  - Safety Auditors also conducted 39,491 new entrant safety audits.
- In 2019, 4,961 people were killed in large truck and bus crashes, and approximately 96,000 individuals were injured. **The estimated cost of commercial motor vehicle crashes resulting in fatalities and injuries was $110 billion in 2018.**

## What Are Our Resources?

*The President's FY 2022 Budget Request will be finalized in 2021. The following information describes funding that was provided in FY 2020 and that would also be provided under a potential FY 2021 full year Continuing Resolution scenario.*

**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**
**Budgetary Resources**
in millions of dollars

| Account | FY 2019 Actual | FY 2020 Actual | FY2021 Continuing Resolution |
|---|---|---|---|
| MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS (Oblim) (TF) | 284 | 288 | 288 |
| MOTOR CARRIER SAFETY GRANTS (Oblim) (TF) | 382.8 | 391.1 | 391.1 |
| **TOTAL** | **666.8** | **679.1** | **679.1** |
| CARES ACT: OPERATIONS & PROGRAMS (TF) | 0 | 0.15 | 0 |
| **Full Time Equivalent Employment** | **1,122** | **1,128** | **1,183** |

For Fiscal Year (FY) 2021, the full year continuing resolution funding level is **$675.8 million**. This funding level provides FMCSA with the necessary resources to fulfill the Agency's mission of preventing commercial motor vehicle and motor coach related fatalities and injuries. The Agency fulfills this mission through education, innovation, regulation, enforcement, and financial assistance.

### Motor Carrier Safety Operations and Programs

The Operations and Programs full year continuing resolution funding level is **$288 million**. This funding level will provide the necessary resources for more than 1,100 dedicated FMCSA staff to continue mission-critical operations. FMCSA's operations enable companies to register with the Agency, so that they can deliver our Nation's freight and passengers and keep our economy moving. This program funds both Congressionally mandated and Agency-initiated research programs that assess this very complex industry and its regulatory oversight, providing FMCSA with the latest data necessary to effect positive change and spur innovation.

These resources also allow highly-trained employees to identify unsafe operations that pose unnecessary risks to the traveling public through new entrant safety audits and investigations. Effective consumer campaigns, such as FMCSA's *Protect Your Move*, connect the American public with critical information to empower them to hire safe and responsible household goods companies to move their family treasures safely.

### Motor Carrier Safety Grants

With oversight of approximately 600,000 motor carrier companies and almost 5 million commercial CDL holders, FMCSA must work with State law enforcement agencies and other entities through motor carrier safety grant programs.

The full year continuing resolution funding level for Safety Grants is **$387.8 million.** This grant funding level will allow FMCSA to work with more than 12,000 State enforcement officers to continue its enforcement and safety capacity nationwide.

FMCSA issues grants through four main programs. Pursuant to the FAST Act, FMCSA's Motor Carrier Safety Grants programs were re-structured to allow for a more efficient use of grant funds. Through the Motor Carrier Safety Assistance Program (MCSAP) and High Priority (HP) grants, funds are made available for State-specific plans for targeting unsafe commercial motor vehicle driving in areas identified as high crash risk corridors. The MCSAP formula grants now include funding for border enforcement, new entrant safety audits, Performance Registration Information System Management (PRISM), and safety data improvement. The HP grant program was consolidated and now includes the traditional high priority activities related to motor carrier safety, but also PRISM and safety data activities, as well as the Innovative Technology Deployment grant program, to provide maximum flexibility to FMCSA's State stakeholders.

In addition, the Commercial Driver's License Program Implementation Grant (CDLPI) provides funding to the State Driver's License Agencies for the implementation of CDL program changes. Lastly, the Commercial Motor Vehicle Operator Safety Training grants provide funding to support training of new commercial drivers, with a focus on veterans and their family members.

The budget also includes funds to respond to the increasing economic ties between the United States and its neighbors and to comply with obligations under the United States-Mexico-Canada Agreement. FMCSA aims to ensure that foreign motor carriers entering the United States are held to the same high standards as American carriers. FMCSA is improving our border facilities to more effectively inspect foreign Commercial Motor Vehicles (CMVs) entering the country from Mexico.

**Recent Accomplishments**

- **Electronic Logging Devices (ELD)**
  The ELD rule was adopted in accordance with the Moving Ahead for Progress in the 21st Century Act (MAP-21). In response to the MAP-21 mandate, FMCSA published a final rule on December 16, 2015. That final rule required most motor carriers and drivers, who were required to prepare and retain paper records of duty status to comply with the hours-of-service (HOS) regulations under 49 CFR part 395, to use ELDs by December 18, 2017. Full implementation by motor carriers that were using Automatic On-Board Recorders (AOBRD) was required by December 16, 2019.

  To assist motor carriers, drivers, and vendors with compliance, FMCSA conducted numerous webinars, live question and answer sessions, and outreach efforts, and established an ELD-focused website that averages nearly 40,000 views per month. To support ELD equipment vendors, FMCSA deployed file validators to test and verify the functionality of the devices. In addition, a version of Electronic Records of Duty Status (eRODS), the software used to download data from the ELDs by law enforcement, is available for public use.

  Since the final rule's initial implementation, driver inspections with violations for not having a required ELD represent less than 1 percent of all driver inspections, down from 4.6 percent in December 2017. Additionally, violations of the daily and weekly HOS driving and working limits decreased by nearly 50 percent. The electronic transfer of

HOS data to law enforcement continues to improve. Over 95 percent of attempted data transfers are successful.

- **Hours of Service (HOS) Regulations Change**
  On June 1, 2020, FMCSA published the Hours of Service final rule that revised the HOS regulations in 49 CFR Part 395, which prescribe driving limits for CMV drivers. The rule includes four changes designed to offer drivers greater flexibility, while maintaining the highest safety standards on our Nation's roads, and was developed based on extensive public and industry input. The rule was effective on September 29, 2020, following extensive outreach to the industry and training of enforcement staff.

- **Drug and Alcohol Clearinghouse**
  Establishment of the Clearinghouse was required under Section 32402 of the MAP-21. FMCSA issued a final rule on December 5, 2016 to establish the CDL Drug and Alcohol Clearinghouse, which serves as a database housing CDL and CLP holders' positive controlled substances (drug) and alcohol test results, test refusals, actual knowledge violations, and completion of return-to-duty testing. The final rule took effect on January 6, 2020. FMCSA-regulated motor carrier employers, medical review officers, and consortia/third party administrators supporting USDOT testing programs are required to report verified positive, adulterated, and substituted drug test results, alcohol concentration of .04 or above test results, test refusals, negative return-to-duty test results, and actual knowledge violations, as outlined in 49 CFR 383.107.

  As of October 23, 2020, the Clearinghouse had nearly 1.5 million registered users, over 2.3 million queries completed, and 44,712 violations reported; nearly 40,000 individual CDL holders had at least 1 violation. And more than 35,000 of those drivers were listed in a prohibited status because they had not completed the return-to-duty process. Positive drug tests account for 82 percent of reported violations; the remaining violations are generally the result of refusals and positive alcohol tests.

- **Entry-Level Driver Training – Training Provider Registry (TPR)**
  FMCSA is implementing a rulemaking to establish new training standards for certain individuals applying for their initial CDL; an upgrade of their CDL (*e.g.*, a Class B CDL holder seeking a Class A CDL); or a hazardous materials, passenger, or school bus endorsement for their license. The initial TPR educational website is now available. Additional implementation work, including testing tools for the States, will be completed in fall 2020. The project is currently on schedule for a February 2022 effective date and is within budget. FMCSA is currently developing the Training Provider Registry information technology system and is developing communications and training materials to help the industry transition to these requirements.

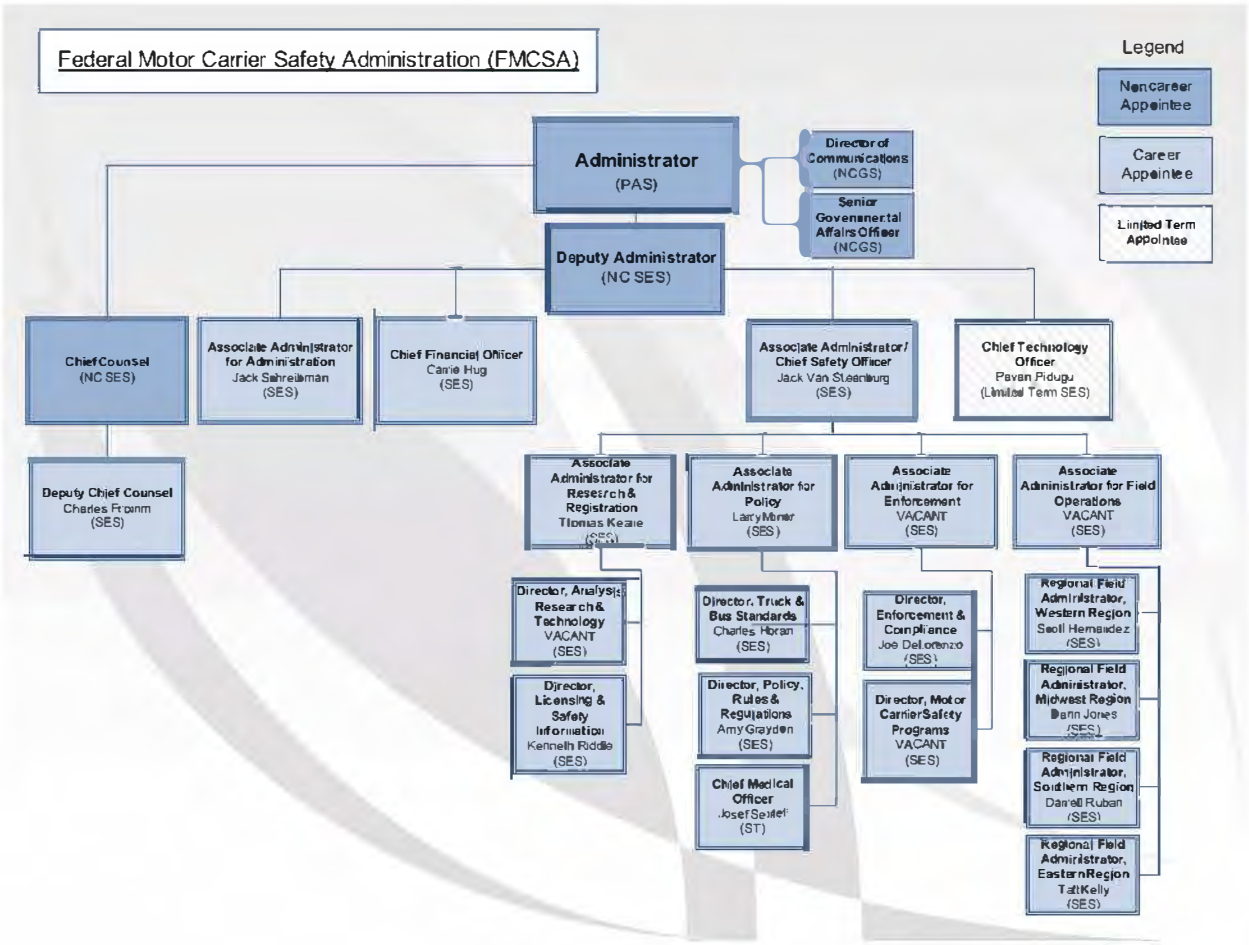
- **Identification of High Risk Carriers**
  Since the adoption of the new High-Risk definition in 2016, FMCSA has consistently investigated over 92 percent of High-Risk Carriers within 90 days of identification. Operational challenges, including locating motor carriers or motor carriers being unwilling to submit to Agency investigation, account for the majority of investigations outside the 90-day time frame. The new definition identifies a smaller number of carriers, but this group of

carriers has a higher crash rate (18.73) than the group of carriers identified under the prior high-risk definition (12.93).

- **Cracking Down on Distracted Driving**
  FMCSA developed a campaign against distracted driving, based on a significant FMCSA naturalistic driving study, generating a wealth of information on Commercial Motor Vehicle (CMV) drivers' activities in the cab. This served as a basis for FMCSA's regulatory actions to prohibit CMV drivers from texting and using handheld wireless phones.

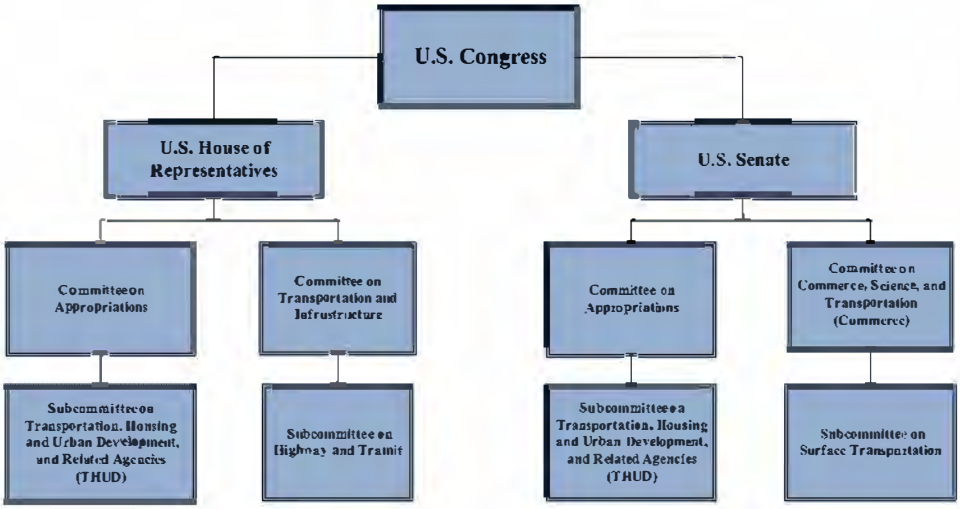
- **Our Roads, Our Responsibility**
  FMCSA developed a campaign to raise awareness among the general driving public about operating safely around and sharing the road with large trucks and buses. This campaign effort works toward the core mission of FMCSA–reducing crashes, injuries, and fatalities involving large trucks and buses on our roadways.

# FMCSA'S ORGANIZATIONAL CHART



# CONGRESSIONAL COMMITTEES WITH JURISDICTION OVER FMCSA

Federal Motor Carrier Safety Administration (FMCSA)
Committees of Jurisdiction



# FEDERAL RAILROAD ADMINISTRATION

## Overview

The Federal Railroad Administration's (FRA) mission is to enable the safe, reliable, and efficient movement of people and goods for a strong America, now and in the future. FRA executes this mission through development and enforcement of safety regulations, investment in passenger and freight rail services and infrastructure, and research into and development of innovations and technology solutions.

The United States needs a transportation system that supports a growing economy and a larger, more urbanized population. As the U.S. population grows, freight demand also rises and increases stress on our freight system, which moves about 63 tons of goods per American per year. In the face of the related transportation challenges of safety, congestion, and environmental sustainability, robust rail transportation is and will continue to be an integral component of the U.S. multimodal network.

While technology and safety advances have enabled record levels of safety improvement in rail transportation, safety performance has stagnated in some areas. From FY 2010 through FY 2019, total train accidents increased by four percent, and the number of highway-rail grade crossing collisions increased by 13 percent. However, the number of fatal accidents involving railroad employees declined by 43 percent. Although safety performance has improved, railroads must adopt system safety and risk reduction programs, foster strong safety cultures, and implement better operating practices and technologies, such as positive train control (PTC) and electronically controlled pneumatic brakes, to realize future safety improvements.

Beginning in March 2020, the passenger rail industry suffered significant declines due to the COVID-19 pandemic health emergency. In less than a month, Amtrak suffered ridership declines of 95 percent due to COVID-19. Prior to the March 27, 2020, passage of the Coronavirus Aid, Relief, and Economic Security (CARES) Act, FRA had begun negotiations with Amtrak to amend its FY 2020 grant to reflect the new provisions included in the supplemental legislation. Because of FRA and Amtrak's proactive, collaborative, and expeditious work, and frequent and early engagement with Congressional staff, Amtrak, and states, FRA obligated the $1.018 billion in supplemental funds on April 8, only 12 days after the passage of the CARES Act. While Amtrak ridership has improved to 28 percent of 2019 levels as of September 2020, it is still far below pre-COVID-19 levels and forecasts.

## History

- FRA, established by the Department of Transportation Act of 1966, is the consolidated successor to agencies previously housed in the Departments of Commerce and Interior and the Interstate Commerce Commission.

- FRA is one of several Operating Administrations within the U.S. Department of Transportation (USDOT) concerned with intermodal transportation. FRA promotes safe, environmentally sound, successful railroad transportation to meet the needs of all customers today and tomorrow.

- FRA employs approximately 900 professionals in three functional areas to fulfill FRA's mission: safety, policy and development, and executive leadership and support. Most employees report to the Office of Railroad Safety, with remaining staff in the Offices of Railroad Policy and Development, Administration, Chief Counsel, Chief Financial Officer, and the Administrator. More than half of FRA employees are deployed outside of Washington, D.C.

- FRA has multiple responsibilities regarding Amtrak (the National Railroad Passenger Corporation), which Congress established in 1970. Amtrak is an independent entity for day-to-day operations and corporate activities, while the Federal Government exercises long-term structural control through the Congressional charter, Board of Directors, and funding. Amtrak's rail network consists of more than 21,300 route-miles and serves more than 500 destinations in 48 states, the District of Columbia, and three Canadian provinces.

- The U.S. rail network is made up of 140,000 miles and will face increasing safety, infrastructure, and operational challenges as the U.S. adds 70 million residents and 37 percent more rail freight traffic between 2015 and 2045.

**What We Do**

- **Railroad Safety:** FRA's safety strategy includes ongoing analysis of railroad operational and accident data; comprehensive regulations that establish minimum levels of safety equipment and practice; rigorous oversight through routine and targeted inspections and audits; and progressively rising civil and criminal penalties when necessary to address noncompliance. FRA's safety promotion activities, such as programs to improve safety culture and to partner with local law enforcement agencies, augment regulatory oversight.

- **Federal Activities Regarding Amtrak:** FRA roles regarding Amtrak include supporting the Secretary of Transportation's membership on the Amtrak Board of Directors and other national rail transportation policy activities; administering Federal grants and ensuring adherence with grant agreement provisions; providing technical assistance and standards for Amtrak capital planning and equipment; and overseeing and enforcing Amtrak compliance with Federal rail safety regulations. FRA is also currently working with Amtrak to monitor and oversee additional funding authorized under the CARES Act to offset the impacts of lost revenue on State sponsors of Amtrak routes. Through the end of FY 2020, Amtrak has spent more than $700 million of the $1.018 billion provided under the CARES Act for operating costs and costs related to additional cleaning and healthcare supplies, employee salaries, and wages.

- **Investing in Passenger Rail Development:** Competitive discretionary and directed grant programs provide vital investment to the Nation's rail network, aimed at improving safety, expanding service, and upgrading infrastructure. FRA has invested its $15 billion grant portfolio in projects that deliver these public benefits. FRA's responsibilities include selection of grant recipients and projects; award, monitoring, and oversight of

grants; and, providing technical assistance to grant recipients to ensure completion on time and within budget.

- **Improving Project Delivery:** FRA has generated a framework and support for rail corridor planning at the multistate, state, and local levels. Such rail corridor planning yields more cost-effective investments, prioritizes uses of limited funding, and promotes engagement with more stakeholders. FRA has also implemented changes in accordance with Executive Orders that have culminated and been codified in the Council on Environmental Quality's (CEQ) regulations. These new CEQ regulations are designed to expedite the environmental review process mandated by the National Environmental Policy Act (NEPA) of 1969 for projects involving Federal grants or loans.

- **State Railroad Safety Participation Program:** FRA trains, certifies, and delegates to qualifying State agencies the authority to enforce Federal railroad safety laws. Thirty-one States employing nearly 200 safety inspectors currently participate. State programs generally emphasize compliance inspections; however, some undertake investigative and surveillance activities, depending on State needs and capabilities.

## What Are Our Resources?

*The President's FY 2022 Budget Request will be finalized in 2021. The following information describes funding that was provided in FY 2020 and that would also be provided under a potential FY 2021 full year Continuing Resolution scenario.*

**FEDERAL RAILROAD ADMINISTRATION**
**Budgetary Resources**
in millions of dollars

| Account | FY 2019 Actual | FY 2020 Actual | FY2021 Continuing Resolution |
|---|---|---|---|
| NORTHEAST CORRIDOR GRANTS TO AMTRAK (GF) | 650 | 700 | 700 |
| NATIONAL NETWORK GRANTS TO AMTRAK (GF) | 1,291.60 | 1,300.00 | 1,300.00 |
| **Subtotal, Amtrak Programs** | **1,941.60** | **2,000.00** | **2,000.00** |
| SAFETY & OPERATIONS (GF) | 221.7 | 224.2 | 224.2 |
| RAILROAD RESEARCH & DEVELOPMENT (GF) | 40.6 | 40.6 | 40.6 |
| CONSOLIDATED RAIL INFRASTRUCTURE AND SAFETY IMPROVEMENTS (GF) | 255 | 325 | 325 |
| FEDERAL-STATE PARTNERSHIP FOR STATE OF GOOD REPAIR (GF) | 400 | 200 | 200 |
| RESTORATION AND ENHANCEMENT GRANTS (GF) | 5 | 2 | 2 |
| MAGNETIC LEVITATION TECHNOLOGY DEPLOYMENT PROGRAM (GF) | 10 | 2 | 2 |
| RRIF CREDIT SUBSIDY (GF) | 17 | 0 | 0 |
| **TOTAL** | **2,890.90** | **2,793.82** | **793.8** |
| CARES ACT: NORTHEAST CORRIDOR GRANTS TO AMTRAK (GF) | 0 | 492 | 0 |
| CARES ACT: NATIONAL NETWORK GRANTS TO AMTRAK (GF) | 0 | 526 | 0 |
| CARES ACT: SAFETY & OPERATIONS (GF) | 0 | 0.3 | 0 |
| **Full Time Equivalent Employment** | **923** | **890** | **901** |

**FRA received $3.81 billion for FY 2020**, including more than $1 billion in emergency supplemental funding for Amtrak under the CARES Act. These funds support FRA's operations and safety programs, research and development initiatives, competitive grant programs, and grants to Amtrak. Together, these programs help to ensure the safety, reliability, and efficiency of our Nation's rail transportation system.

### Safety and Operations

FRA received **$224.45 million in FY 2020 for the Safety and Operations account (S&O)**. The S&O account funds many of FRA's programs to improve railroad safety. It also funds FRA's organizational infrastructure—payroll, rent, telecommunications, information technology, and contract support—that enables the agency to achieve its safety and infrastructure development goals. In FY 2020, these funds supported approximately 880 FTE. Included in the FY 2020 funding is $0.25 million provided under the CARES Act to help FRA prevent, prepare for, and respond to the coronavirus. FRA used the S&O CARES Act funds to purchase equipment to allow FRA's inspector workforce to perform inspections across multiple safety disciplines, reducing travel and potential exposure to COVID-19.

### Amtrak

FRA received **$3.02 billion in FY 2020 for grants to Amtrak**, including a $2 billion base appropriation and an additional $1.02 billion in the CARES Act. Funds are appropriated to a Northeast Corridor account ($1.19 billion) and a National Network account ($1.83 billion). These funds provide capital, operating, and debt service funding to Amtrak, as well as support FRA's management and oversight of Amtrak. These funds support Amtrak's three primary service lines–Northeast Corridor, State-Supported, and Long Distance–and costs associated with managing other passenger and freight rail operator access to Amtrak's infrastructure and Amtrak corporate operations. Amtrak's CARES Act funding was provided to offset revenue reductions from steep ridership declines caused by COVID-19.

### Research and Development

FRA received **$40.60 million in FY 2020 for research and development (R&D)**. FRA's R&D program provides the scientific and engineering support for the agency's safety enforcement and regulatory rulemaking efforts. Funds are also used to identify and develop emerging technologies for the rail industry to adopt voluntarily, to research rail safety issues, and to support intercity passenger rail development by providing technical assistance, equipment specifications, proposal evaluations, and Buy America compliance research.

### Competitive Grants

FRA received **$529 million in FY 2020 for four competitive grant programs**:

- **Consolidated Rail Infrastructure and Safety Improvements (CRISI)–$325 million** – The CRISI program is intended to improve the safety, efficiency, and reliability of passenger and freight rail systems. Eligible activities include a wide range of freight and passenger rail capital, safety technology deployment, planning, environmental analyses, research, workforce development, and training projects. Eligible recipients include States, local governments, Class II and Class III railroads, Amtrak and other intercity passenger rail operators, rail carriers and equipment manufacturers that partner with an eligible public-sector applicant, the Transportation Research Board, University Transportation Centers, and non-profit rail labor organizations.

- **Federal-State Partnership for State of Good Repair (Partnership)–$200 million –** The Partnership program provides funding for capital projects to repair, replace, or rehabilitate qualified railroad assets to reduce the state of good repair backlog and improve intercity passenger rail performance. Eligible recipients include States, local governments, and Amtrak.

- **Restoration and Enhancement Grants (R&E)–$2 million–**The R&E program funds operating assistance grants for initiating, restoring, or enhancing intercity rail passenger transportation. Eligible recipients include States, local governments, Amtrak and other rail carriers that provide intercity passenger rail transportation, and any other rail carriers in combination with an eligible public-sector recipient.

- **Magnetic Levitation (Maglev) Deployment Grants–$2 million**–The Maglev program funds eligible capital project costs and preconstruction planning activities for the deployment of magnetic levitation transportation projects. Only States or authorities designated by one or more States are eligible recipients.

**Recent Accomplishments**

- **Improving Rail Safety:** From FY 2010 through FY 2019, total train accidents increased by 4 percent, and the number of highway-rail grade crossing collisions increased by 13 percent. However, the number of fatal accidents involving railroad employees declined by 43 percent.

- **Using Every Tool to Eliminate Collisions at Highway-Rail Grade Crossings:** In 2017, FRA launched *GX Dash!*, an online data visualization tool to assist with the analysis of highway-rail grade crossing collisions, deaths, and injuries over the past ten years. *GX Dash!* presents a cohesive and easily digestible snapshot of GX collisions in the United States. This tool has been critical to railroad stakeholders to target key areas for crossing improvements, and develop strategic planning, implementation, public education, and research. In 2018, FRA developed the National Strategy for Trespass Prevention on Railroad Property (National Strategy). FRA's National Strategy is organized around four strategic focus areas; data gathering and analysis; community site visits; Federal funding to assist communities in implementing trespass deterrence strategies; and building partnerships with communities, law enforcement, railroads, and other organizations to leverage resources, expertise, and local knowledge. Two years into implementation of FRA's Nation Strategy, FRA and its stakeholder partners have completed 16 of the 20 National Strategy tasks and have work in process on the four remaining tasks.

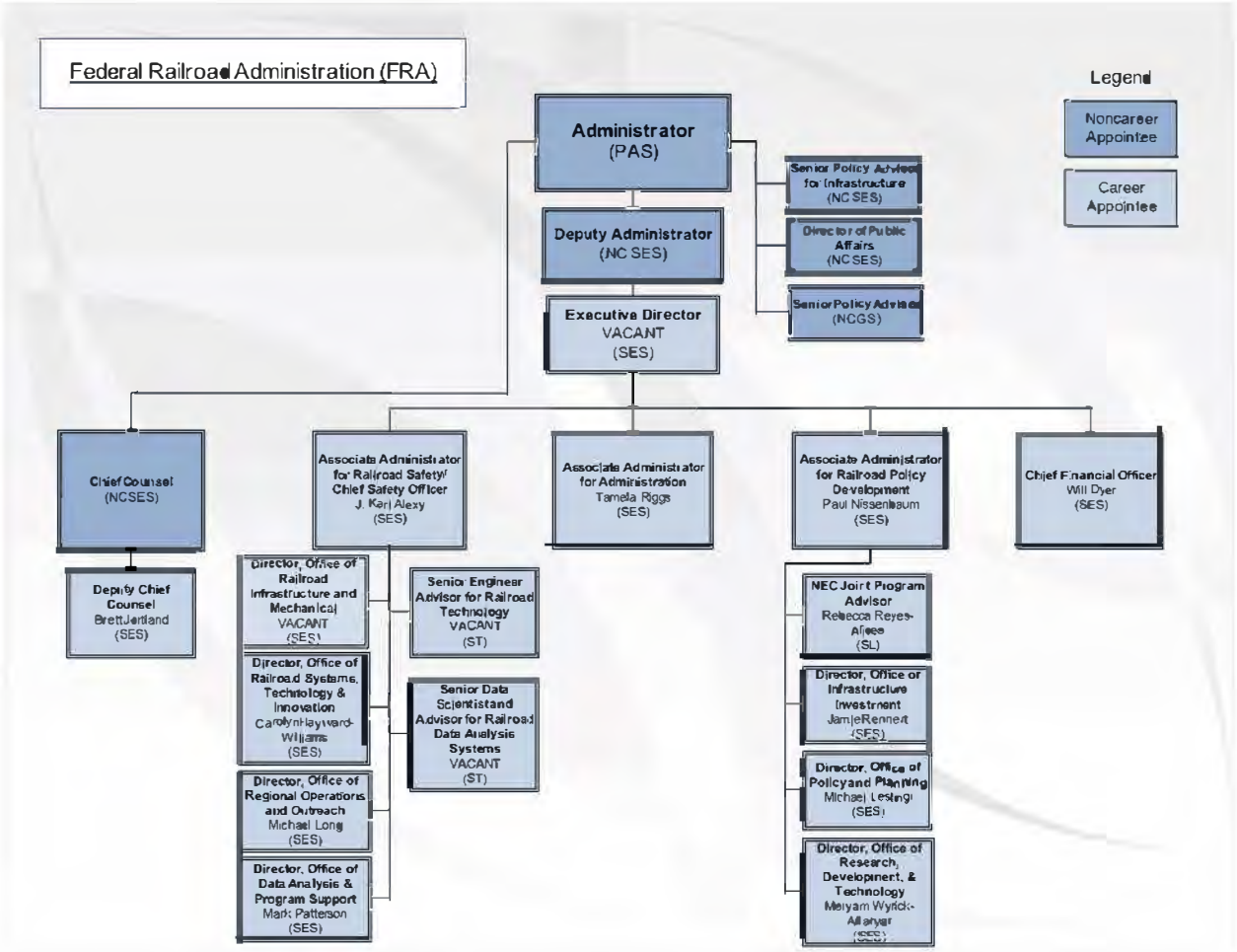
- **Pushing Railroads to Implement Life-Saving Positive Train Control (PTC):** To prevent accidents and saves lives, FRA is urging railroads to implement PTC before the December 31, 2020, statutory deadline. FRA has provided more than $650 million to commuter railroads and awarded an almost $1 billion loan to fund PTC on two of the most heavily used U.S. commuter railroads (Long Island Rail Road and Metro-North). In addition, FRA is providing hundreds of hours of technical assistance, funding research projects to resolve technical challenges, and using enforcement actions when necessary to achieve regulatory compliance.

- **Stronger Safety Requirements for Rail Transportation of Energy Products:** Requirements for better tank cars, slower operating speeds, and modern brake system are among dozens of actions FRA has taken, in conjunction with the Pipeline and Hazardous Materials Safety Administration (PHMSA) to increase the safety of rail transportation of energy products, primarily crude oil and ethanol. Other actions include targeted track safety compliance inspections on crude oil rail routes and voluntary agreements with railroad associations to implement additional safety measures.

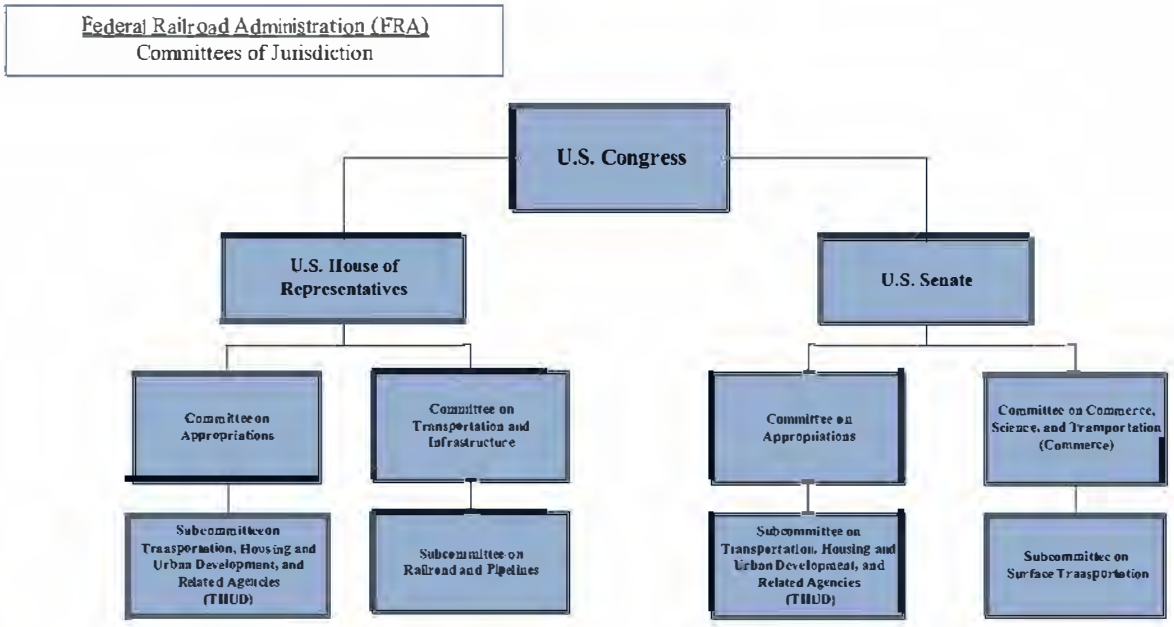
- **Improving Passenger Rail Service:** Because of FRA investments, intercity rail passengers are beginning to experience shorter trip times, better reliability and frequency, and more accessible and efficient stations and equipment. These projects also enhance safety through track and bridge improvements, grade crossing protection and separations, PTC, and signal system upgrades. During the last four years, FRA has selected 264 projects across 46 States, awarding $2.35 billion in discretionary grant funding. Of those, 117 projects have benefited rural areas.

- **Solving Rail Safety and Service Challenges through Research and Development:** Safety is DOT's primary strategic goal and the principal driver of FRA's Research, Development, and Technology (RD&T) program. Research by RD&T is responsible for such programs as the Confidential Close Call Reporting System and the Short Line Safety Institute, which are helping railroads to improve their safety cultures to reduce the number of accidents caused by human factor. Further, RD&T is developing better technology to identify deficient track conditions. RD&T modeling and full-scale testing has supported rulemakings to improve the crashworthiness of locomotives, tank cars, and passenger cars. Through its safety research, FRA also contributes to other DOT strategic goals for infrastructure, innovation, and accountability. FRA's research and development strategy over the next five years is to continue to develop and deploy new technologies in collaboration with public and private industry partners. At the same time, FRA will continue to improve research project evaluation and technology transfer reporting.

# FRA'S ORGANIZATIONAL CHART



# CONGRESSIONAL COMMITTEES WITH JURISDICTION OVER FRA



# FEDERAL TRANSIT ADMINISTRATION

## Overview

The Federal Transit Administration (FTA) provides financial and technical assistance to more than 1,000 local public transit systems that operate buses, subways, light rail, commuter rail, trolleys, and ferries. FTA also oversees transit safety measures and helps to develop next-generation technology research.

Since 1964, FTA has partnered with State and local governments to create and enhance public transportation systems, investing more than $12 billion annually to support and expand public rail, bus, trolley, ferry, and other transit services. These investments have helped to modernize our public transportation network and has extended service into small cities and rural communities that previously lacked any transit options. This has resulted in more than 10.4 billion annual trips on public transit nationwide, prior to the COVID-19 public health emergency.

## History

- For over 56 years, FTA has partnered with State and local governments to create and improve public transportation systems. FTA currently provides more than $12 billion annually to support and expand public transportation bus, rail, ferry, and other transit services.
- In 2012, FTA's safety regulatory authority was significantly expanded by changes in Federal law, and FTA carries out the safety regulatory framework, oversight program, and technical assistance associated with the safety authority.
- In 2015, Congress enacted a five-year surface transportation authorization, the Fixing America's Surface Transportation Act (FAST Act), amending permanent Federal transit law (49 U.S.C. §5301 *et seq.*). The FAST Act provided predictable funding over five years (FY 2016-2020) with a renewed focus on reinvesting in and modernizing transit assets, partially addressing the backlog of recapitalization investment required to bring the Nation's transit systems into a state of good repair. In September 2020, a law was enacted extending the funding authorization by one year through the end of FY 2021.
- Prior to the COVID-19 public health emergency, public transportation ridership was at historically high levels. In recent years, **U.S. transit ridership exceeded 10.4 billion annual trips, some of the highest levels seen since 1956.** The United States will see a population increase of approximately 80 million new residents by 2050. Transit service will be a key part of the transportation solution to moving more riders while managing congestion and air pollution. Despite the impacts of the COVID-19 public health emergency, trends based on census and other demographic data sources indicate transit ridership demand growth in the future.

## What We Do

- FTA delivers its mission to improve public transportation for America's communities through policy innovation, funding, technical assistance and oversight. FTA programs fund construction of new public transit systems, purchase and maintenance of transit vehicles and equipment, public transit operations, regional transportation planning, and transit technology and service methods research and innovation.
- FTA works closely with State and local governments and transportation planning organizations to provide Federal grant funding for transit services across the Nation. **This Federal investment helps to modernize public transportation systems, extends service into small cities and rural communities that previously lacked any transit options, helps manage traffic congestion, and promotes safe travel by transit.** Whether transit is used out of necessity or by choice, it continues to offer an effective, important transportation service that links people to jobs, schools, health care services, and recreation.
- FTA **provides Federal oversight of transit safety** in coordination with the States. FTA has an established safety regulatory framework and can issue nationwide or targeted safety directives and perform direct oversight of rail transit operators when required. FTA may also issue restrictions and prohibitions to address unsafe conditions or practices, and may withhold or direct Federal funds for non-compliance with safety requirements.
- FTA Capital Investment Grants **enable municipalities to invest in major transit infrastructure projects that yield benefits, such as fostering the development of more economically vibrant communities**. Many transit investments promote walkable land uses that help municipalities make better use of valuable real estate, and to provide opportunities for transit operators to realize higher revenues from increased patronage and from the sale or rent of agency-owned properties. Bus rapid transit (BRT) and streetcar systems can benefit corridors that do not have the ridership demand to support higher capacity rail service.
- FTA recently reviewed the impacts of 199 capital investment grants from a timespan covering 44 years. Since 1976, FTA has supported the **construction of over 1,225 miles of fixed guideway BRT and rail lines, the purchase of over 3,727 related transit vehicles,** and most importantly, **fostered the creation of walkable, transit-oriented neighborhoods around more than 2,182 new transit stations** with convenient access to goods and services.
- FTA funding supports transit systems that provide **substantial public benefits, including improving mobility and accessibility, particularly for low-income individuals, the elderly, and people with disabilities.** FTA is improving mobility for seniors and individuals with disabilities by supporting the removal of barriers to transportation service and fostering the expansion of transportation mobility options. This is done via programmatic support for transportation services planned, designed for, and carried out to specifically meet the transportation needs of seniors and people with disabilities.
- Several FTA programs provide funding for transit operators to **improve the condition and performance of their systems and help bring our Nation's infrastructure into a**

**state of good repair**. According to FTA research, the Nation's transit systems have over a $100 billion maintenance backlog that continues to grow. These systems require additional investments to be brought into a state of good repair to provide the high-quality transit service that the public expects. FTA and the transit industry have advanced new asset management requirements to help guide transit agency investment and decision-making.

## What Are Our Resources?

*The President's FY 2022 Budget Request will be finalized in 2021. The following information describes funding that was provided in FY 2020 and that would also be provided under a potential FY 2021 full year Continuing Resolution scenario.*

**FEDERAL TRANSIT ADMINISTRATION**
**Budgetary Resources**
in millions of dollars

| Account | FY 2019 Actual | FY 2020 Actual | FY2021 Continuing Resolution |
|---|---|---|---|
| TRANSIT FORMULA GRANTS (Obligm) (TF) | 9,939.40 | 10,150.30 | 10,150.30 |
| CAPITAL INVESTMENT GRANTS (GF) | 2,552.70 | 1,978.00 | 1,978.00 |
| WASHINGTON METRO (GF) | 150 | 150 | 150 |
| ADMINISTRATIVE EXPENSES (GF) | 113.2 | 117 | 117 |
| TECHNICAL ASSISTANCE & TRAINING (GF) | 5 | 5 | 5 |
| TRANSIT INFRASTRUCTURE GRANTS (GF) | 700 | 510 | 510 |
| CANCELLATIONS (non-add) | | [-46.6] | [0.0] |
| **TOTAL** | **13,460.20** | **12,910.30** | **12,910.30** |
| PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM (GF) | 10.5 | 0 | 0 |
| CARES ACT; TRANSIT INFRASTRUCTURE GRANTS (GF) | 0 | 25,000.00 | 0 |
| **Full Time Equivalent Employment** | **555** | **561** | **602** |

The FY 2021 continuing resolution budget of **$13.3 billion** will support the Nation's aging public transit systems and help to reduce the $100 billion backlog of transit assets that continues to grow by $2.5 billion per year through rail and bus repairs and the purchase and maintenance of all types of transit vehicles and equipment.

**Transit Formula and Bus Grants:** The FY 2021 continuing resolution funding level for Transit Formula Grants is **$10.2 billion**. These funds enable transit agencies to better manage long-term assets and address the backlog of state of good repair needs. The funding also includes competitive grant programs for buses and bus facilities, innovative transportation coordination, and public transportation research activities.

**Capital Investment Grants:** The FY 2021 continuing resolution funding level for Capital Investment Grants is **$2 billion**. The program was authorized for each year of the FAST Act authorization period at $2.3 billion, with the appropriated amount varying between $1.97 billion and $2.65 billion during the five-year period. This funding supports FTA's primary grant program for funding major transit capital investments, including heavy rail, commuter rail, light rail, streetcars, and bus rapid transit.

**Washington Metro:** The FY 2021 continuing resolution funding level for Washington Metro is **$150 million**. This funding supports WMATA's effort to address the current reinvestment and maintenance backlog and to improve the safety and service reliability of the Washington Metrorail system.

**Administrative Expenses:** The FY 2021 continuing resolution funding level for FTA administrative expenses is **$117 million**. These funds support FTA oversight of transit safety, project and program administration, regional transportation planning efforts. These funds also help to improve the technology and delivery methods for the tens of millions of individuals that rely on and use public transportation every day to get to work, medical appointments, retail stores, and other destinations.

**Technical Assistance & Training:** The FY 2021 continuing resolution funding level for Technical Assistance & Training is **$5 million**. FTA sponsors several organizations created to provide technical assistance to Federal, State and local jurisdictions and public transit providers and operators. The National Transit Institute and the Transportation Research Board's Transit Cooperative Research Program (TCRP) were designed to provide technical training and promote the exchange of valuable information related to the planning, design, operation and management of transportation resources between industry professionals, agency leaders and their staffs and other organizations. Information and technical assistance is also provided by staff in the 10 FTA Regional Offices and FTA Headquarters staff in the form of informational and technical conferences, webinars and publications.

**Transit Infrastructure Grants:** The FY 2021 continuing resolution funding level for Transit Infrastructure Grants is **$510 million**. These grants supplement FTA's State of Good Repair formula grant program that focuses primarily on rail transit systems and support the Bus and Bus Facilities competitive grant program, which supports state of good repair investments for bus transit systems.

**Recent Accomplishments**

- **Responding to COVID-19 Public Health Emergency:** Due to COVID-19, transit agencies experienced sharp reductions in non-Federal funding due to the loss of passenger fares and other revenue sources, and action was required to ensure the safety of the transit workforce and passengers. FTA delivered the $25 billion in CARES Act funding–69 percent of all USDOT CARES funds–to its grant recipients, offered administrative relief, helped obtain and distribute over 14 million face coverings, and shared technical assistance to the industry. FTA actions include:

  - ***Emergency Relief Flexibility:*** In March 2020, FTA authorized all transit providers to use their FTA formula funds for operating expenses directly related to responding to COVID-19, in addition to capital expenses. FTA increased the Federal share to 100 percent for both operating assistance and capital grants directly related to responding to COVID-19. In addition, FTA opened an Emergency Relief Docket to request temporary relief from Federal requirements.
  - ***Implementation of the Coronavirus Aid, Relief, and Economic Security (CARES) Act:*** The CARES Act provided FTA with $25 billion for the transit industry to

respond to the COVID-19 public health emergency. As of September 30, 2020, FTA has made 758 CARES Act awards, obligating $23.3 billion (93 percent) of the available funding.

- ***Resources, Guidance, and Technical Assistance Provided to the Transit Industry:*** FTA has taken the following actions to provide regulatory relief and technical assistance to the transit industry:
  - Posted 121 FAQs in response to more than 1,100 questions regarding the CARES Act and COVID-19 response;
  - Provided administrative relief by extending deadlines for competitive grant applications, extending due dates for reporting requirements, postponing onsite oversight reviews until FY 2021, and postponing certain National Transit Database administrative requirements;
  - Issued Safety Advisory 20-1: *Recommended Actions to Reduce the Risk of COVID-19 Among Transit Employees and Passengers*;
  - Coordinated the distribution of more than 14 million cloth face coverings to 2,200 transit systems to protect transit employees and passengers;
  - Deferred enforcement of the Public Transportation Safety Plans (PTASP) regulation deadline for over 750 grant recipients from July to December 2020; and
  - Supported a COVID-19 Resource Website, including links to guidance from other Federal agencies, and a vendor list of suppliers for products related to COVID-19 recovery.

- **Transit Safety Program to Make Transit Travel Safer:** FTA has implemented statutory safety authority provided by Congress in 2012 and strengthened by the FAST Act in 2015, to help ensure the safety and reliability of transit systems nationwide. This was a notable addition to FTA's statutory role. FTA has finalized new rules on transit safety and state of good repair, and strengthened the ability of State Safety Oversight Agencies to ensure the safety of rail systems. Today, FTA carries out a national public transportation safety program to improve the safety of all public transportation systems that receive Federal funding. The safety program includes:
  - The National Public Transportation Safety Plan, detailing safety performance criteria and minimum transit safety standards;
  - The Safety Certification Training Program, a safety training regime for personnel who conduct transit safety audits;
  - The Public Transportation Agency Safety Plan, a requirement for each transit agency to detail what it will do to ensure the safety of its system; and
  - The State Safety Oversight Program, which establishes independent state-based rail transit safety oversight agencies, with enforcement authority to compel the rail public transit agency to complete necessary safety actions.

  The 2018 issuance of the Public Transportation Agency Safety Plan final rule and the Safety Certification Training Program final rule completed the regulatory framework for the National Public Transportation Safety Program. The early 2019 certification of all 31 State Safety Oversight Programs was another notable safety program milestone.

- **Capital Investment Grants Project Investments:** The Capital Investment Grants (CIG) program provides funding for fixed guideway capital investments such as new and expanded rapid rail, commuter rail, light rail, streetcars, bus rapid transit, and ferries. FTA has advanced multiple recent Capital Investment Grants (CIG) projects to construction grant agreements. For example, during calendar year 2020, through September, FTA executed 11 construction grant agreements, with $4.46 billion in CIG funding for projects with budgets totaling $12.1 billion.
- **Expedited Project Delivery Pilot (EPD) Program:** The EPD Pilot Program, authorized by Section 3005(b) of the FAST Act, is aimed at expediting delivery of new fixed guideway capital projects, small starts projects, or core capacity improvement projects. These projects must utilize public-private partnerships, be operated and maintained by employees of an existing public transportation provider, and have a Federal share not exceeding 25 percent of the project cost. In 2019, FTA allocated funding for the Bay Area Rapid Transit (BART) Berryessa to San Jose rail extension project, with the funds available to the project sponsor upon completion of all eligibility requirements. In July 2020, FTA issued a Notice of Funding Availability seeking additional EPD project proposals.
- **Streamlining Project Management Oversight (PMO) regulations:** A final rule published in September 2020 amended FTA regulations for Project Management Oversight (PMO) of transit capital investments. The final rule streamlined the PMO regulation by reducing the number of projects subject to FTA project management oversight, and modified the regulation to make it consistent with statutory changes. The rule redefined a "major capital project" as a new fixed guideway project—or an expansion, rehabilitation or modernization of an existing fixed guideway system—with a total project cost of $300 million or more and with a Federal investment of $100 million or more. A previous $100 million total project cost threshold had been in effect and unadjusted for inflation since 1989.
- **Competitive Grant Programs:** During FY 2020, FTA delivered nearly $1.1 billion in allocations through its statutory competitive grant programs:

| Statutory Competitive Grant Programs | Amount ($ in millions) | Notes |
|---|---|---|
| FY 2019 Buses and Bus Facilities | $ 423 | 94 projects in 42 States and Territories. |
| FY 2020 Buses and Bus Facilities | $ 464 | 96 projects in 49 States and Territories. |
| FY 2020 Low and No Emission | $ 130 | 42 projects in 40 States and Territories. |
| FY 2020 Passenger Ferry | $ 47.5 | 12 projects in 12 States. |
| FY 2019–20 Transit Oriented Development | $ 23 | 24 projects in 14 States. |

| | | |
|---|---|---|
| FY 2020 Mobility for All | $ 3.5 | 17 projects in 16 States. |
| FY 2019 Tribal Transit | $ 5.0 | 39 projects in 20 States. |
| FY 2020 Tribal Transit | $ 5.0 | Notice of Funding ●pportunity published. |
| Integrated Mobility Innovation | $ 20 | 25 projects in 23 States. |
| Accelerating Innovative Mobility | $ 14 | 25 projects in 14 States and one Territory. |
| FY 2020 Safety Research Demonstrations | $ 7.5 | Funding made available through N●F●. |
| Bus Compartment Redesign | $ 1.6 | Funding made available through N●F●. |
| Real-time Asset Management | $ 1.25 | Funding made available through N●F● |

*Data as of Sept. 2020*

- **Accelerating Innovative Mobility (AIM):** FTA created the Mobility on Demand (M●D) initiative in 2015, and built on it with the Integrated Mobility Innovation (IMI) program and Accelerating Innovative Mobility (AIM) Initiative. FTA utilizes these initiatives to support a multimodal, integrated, automated, and connected transportation system. Through these initiatives, FTA has competitively awarded funds that allow for improved mobility and payment options. FTA has provided $8 million through the M●D program, $20.3 million through the IMI program, and in September 2020, $11 million through the AIM program.

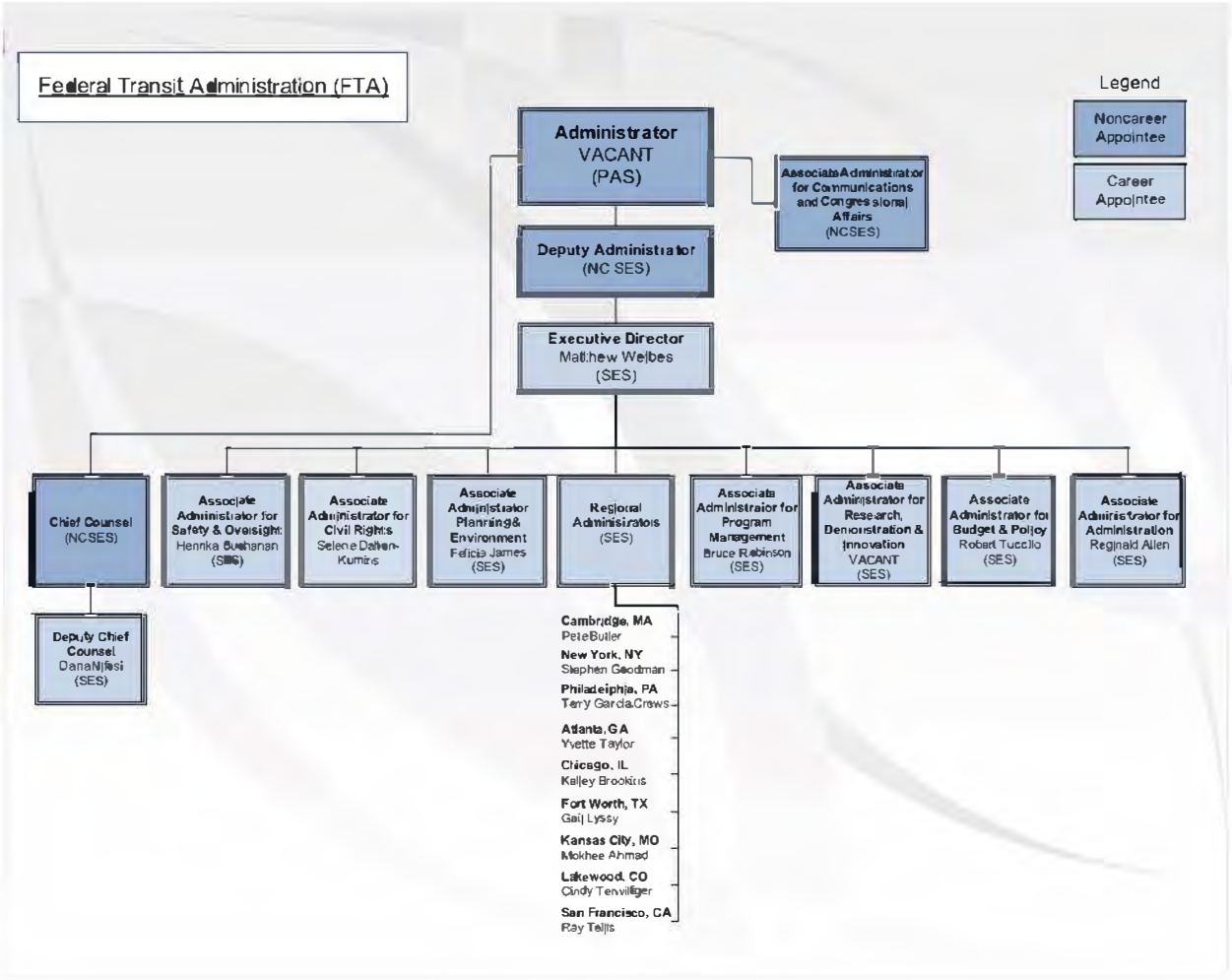
- **Improving Human Service Transportation through the Coordinating Council on Access and Mobility (CCAM):** FTA actively participates in the CCAM. Recently its members examined 61 programs of the 130 Federal programs that can provide funding for human service transportation for people with disabilities, older adults, and/or low-income individuals. Based on the input from each participating agency, a guide was released in 2020 that defines Federal fund braiding for local match and program eligibility, which will enable Federal agencies and Federal grant recipients to more effectively manage Federal funds and coordinate human service transportation. In October 2020, the CCAM issued a final report required by law that identifies challenges and barriers to improving access to transportation for people with disabilities, older adults, and individuals of low income. The report also outlines activities that the CCAM has undertaken to improve coordination across Federally-funded transportation services for these populations.

- **Safety Research Demonstrations (SRD):** The SRD Program will improve safety in public transit systems through technologies that provide collision avoidance, collision mitigation, suicide prevention, trespasser detection, and transit worker safety protection.

The SRD program N●F● was released on February 10, 2020, closed on March 24, 2020, and resulted in 10 eligible applications requesting a total of $8.4 million. On October 8, 2020, FTA announced the awards of eight programs in eight States for a total of $7.5 million.

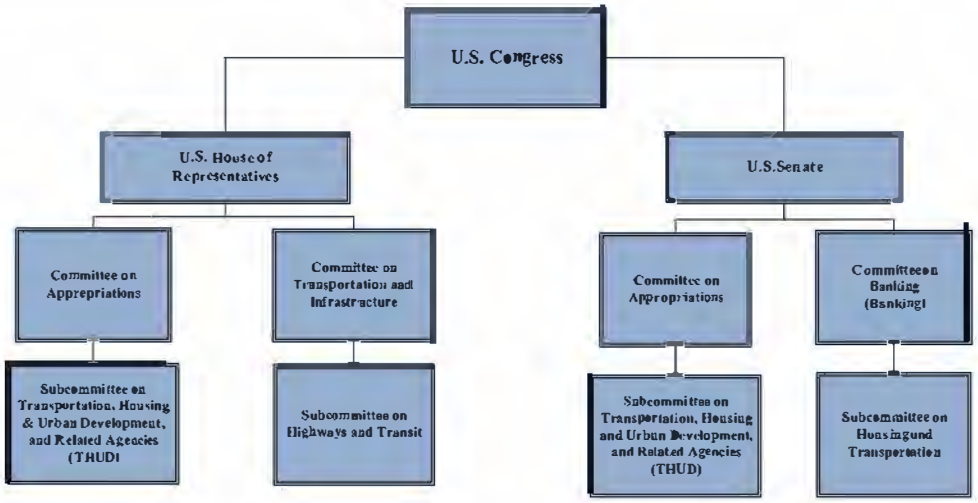
- **Bus Compartment Redesign Program (BCP):** The BCP will develop new bus compartment cockpit designs to help protect operators from assault, improve their view of the road, and still allow them to interact with passengers. The NOFO for BCP was released on February 11, 2020, closed on March 24, 2020, and resulted in two applications for a total of $1.6 million. On October 8, 2020, FTA announced the awards of two projects in two states for a total of $1.6 million.

# FTA'S ORGANIZATIONAL CHART



# CONGRESSIONAL COMMITTEES WITH JURISDICTION OVER FTA

Federal Transit Administration (FTA)
Committees of Jurisdiction



# MARITIME ADMINISTRATION

## Overview

The Maritime Administration (MARAD) promotes the economic competitiveness, efficiency, and productivity of the U.S. maritime transportation system, and helps to ensure that sealift capability and capacity is available to support the national and economic security needs of the Nation. MARAD works in a variety of areas involving ships and shipping, port operations, vessel operations, national security and strategic mobility, ship disposal, and environment and education.

MARAD is responsible for maintaining the health of the merchant marine, as commercial mariners, vessels, and intermodal facilities are vital for supporting national security. Through the United States Merchant Marine Academy (USMMA) and support for six State Maritime Academies (SMAs), MARAD educates the majority of the Nation's new generation of highly skilled Merchant Marine officers who, through service obligations, are committed to national service during times of war and peace.

MARAD maintains a fleet of cargo ships in reserve to provide surge sealift during war and national emergencies, and is responsible for disposing of the ships in that fleet, as well as other non-combatant Government ships, as they become obsolete.

## History

- Established in 1950 under the auspices of President Harry S. Truman's Reorganization Plan No. 21, MARAD traces its origins to the Shipping Act of 1916, which established the U.S. Shipping Board, the first Federal agency tasked with promoting a U.S. merchant marine and regulating U.S. commercial shipping.

- Congress passed the Merchant Marine Act of 1936, creating the U.S. Maritime Commission, which governs many of the programs that support the American maritime industry to this day.

- The 1936 Merchant Marine Act also established the U.S. Merchant Marine Cadet Corps. The U.S. Merchant Marine Academy's permanent site at Kings Point, New York was dedicated by President Franklin D. Roosevelt on September 30, 1943, who noted that "the Academy serves the Merchant Marine as West Point serves the Army and Annapolis the Navy."

- In 1981, MARAD was transferred to the Department of Transportation from the Department of Commerce, completing the consolidation of all Federal transportation programs into one Cabinet-level department.

## What We Do

- MARAD's mission is to foster, promote, and develop the maritime industry of the United States to meet the Nation's economic and security needs.

- **National Security and Strategic Sealift:** MARAD is responsible for ensuring that there are enough vessels and volunteer commercial mariners to meet the Nation's military strategic sealift needs. MARAD maintains a fleet of Government-owned vessels in the National Defense Reserve Fleet (NDRF), which includes 46 Ready Reserve Force (RRF) vessels that are partially crewed and maintained to be ready for operation within five days. All RRF ships are crewed with civilian merchant mariners adhering to commercial vessel standards. Upon activation, RRF ships are fully crewed to provide strategic sealift support for DOD, or for national emergencies, including severe weather events. MARAD also provides stipends to 60 oceangoing commercial US-flag vessels in the Maritime Security Program (MSP) trading internationally that provide assured access to global logistics capabilities for DOD in peace and conflict or a national emergency.

- **Cargo:** MARAD supports the ability of U.S.-flag operators to carry the maximum amount of commercial and government-impelled cargo, while overseeing the compliance of various statutes preferencing their employment for cargo carriage. The health of the U.S.-flag merchant marine is directly tied to the cargo the industry carries, as "cargo is king."

- **Ship Disposal:** MARAD is the exclusive disposal agent for U.S. government-owned merchant-type vessels, or vessels that could be converted to merchant-type use greater than 1,500 gross tons in size.

- **Mariner Education and Training:** MARAD operates the USMMA and supports six SMAs to educate most of the Nation's Merchant Marine officers. Upon graduation, these officers serve on commercial or government sealift ships during times of war and peace, or serve in the U.S. Armed Forces.

- **Port Infrastructure and Intermodal Development:** MARAD, through its Port Infrastructure Development Program (PIDP) and America's Marine Highways Program, assists American ports in meeting national needs for freight movement that support the overall health and growth of the Nation's economy and expanding the use of America's navigable waterways through the critical linkage of surface and water transport modes. MARAD facilitates the Nation's import and export of oil and liquefied natural gas (LNG) through implementation of the Deepwater Port Licensing Program, by administering the application review and licensing process for the ownership, construction, and operation of offshore deep water ports. MARAD also supports the development and expansion of the Nation's port infrastructure through implementation of the Port Conveyance Program which facilities the transfer of surplus federal property to States and local governments for use as port facilities. MARAD also administers the Strategic Seaport program to ensure ready access and capacity to expedite flowing military forces through these gateways during deployments.

- **U.S. Commercial Shipbuilding Base and Coastwise Trade:** The Merchant Marine Act of 1920, Public Law 66-261, codified in 46 U.S.C. Chapter 551, also known as the Jones Act, is the law in place to support America's commercial shipbuilding industrial base and coastwise trade. MARAD manages several programs to support shipbuilding for coastwise trade, including the Title XI Loan Guarantee Program, Small Shipyard Grants Program, the Capital Construction Fund Program, and the Construction Reserve Fund.

- **Environmental and Technical Assistance: MARAD's Maritime Environmental and Technical Assistance (META) Program** promotes the research and development of emerging technologies, and practices that improve the maritime industrial environment, including the control of aquatic invasive species transported by vessels, and reduction in vessel and port air emissions.

- **Advocacy, Communication, and Outreach:** MARAD engages with other Federal maritime-related agencies, such as U.S. Coast Guard, U.S. Army Corps of Engineers, and the U.S. Committee on the Marine Transportation System (CMTS), to facilitate improved awareness and coordination on matters that affect the maritime industry. MARAD is also the voice within the Department for advocacy and outreach to the wide spectrum of stakeholders, from industrial repairs to supply chain management, to the financial market places that support the critical U.S. maritime industry.

## What Are Our Resources?

*The President's FY 2022 Budget Request will be finalized in 2021. The following information describes funding that was provided in FY 2020 and that would also be provided under a potential FY 2021 full year Continuing Resolution scenario.*

**MARITIME ADMINISTRATION**
**Budgetary Resources**
in millions of dollars

| Account | FY 2019 Actual | FY 2020 Actual | FY2021 Continuing Resolution |
|---|---|---|---|
| OPERATIONS AND TRAINING (GF) | 149.4 | 152.6 | 152.6 |
| STATE MARITIME ACADEMY OPERATIONS (GF) | 345.2 | 342.3 | 342.3 |
| SHIP DISPOSAL (GF) | 5 | 5 | 5 |
| ASSISTANCE TO SMALL SHIPYARDS (GF) | 20 | 20 | 20 |
| MARITIME SECURITY PROGRAM (D) [Defense] | 300 | 300 | 300 |
| MARITIME GUARANTEED LOANS (TITLE XI) (GF) | 3 | 3 | 3 |
| PORT INFRASTRUCTURE DEVELOPMENT PROGRAM (GF) | 292.7 | 225.0 | 225.0 |
| **TOTAL** | **1,115.40** | **1,047.90** | **1,047.90** |
| CARES ACT: OPERATIONS AND TRAINING (GF) | 0 | 3.1 | 0 |
| CARES ACT: STATE MARITIME ACADEMY OPERATIONS (GF) | 0 | 1 | 0 |
| **Full Time Equivalent Employment** | **733** | **756** | **785** |

Under a full year continuing resolution for FY 2021, MARAD would receive **$1.048 billion** to support the Department's maritime program activities and initiatives. This funding is summarized by account below.

**Operations and Training**
A funding level of **$152.6 million** will support MARAD's headquarters operations and programs, as well as mariner education and training at the USMMA. This amount includes $67.2 million to support personnel at MARAD headquarters and its associated administrative expenses, and for maritime industry investments for the America's Marine Highways grant program and the Maritime Technical Assistance program. The remaining $85.4 million is for continued USMMA operations and ongoing capital improvement to the campus buildings and infrastructure.

**State Maritime Academy (SMA) Operations**
A funding level of **$342.3 million** for the SMAs will provide Federal assistance to support maritime education and training of merchant mariners that support the U.S. marine transportation infrastructure. Within this funding level, $300 million will continue the recapitalization of the aging training ships, $30.1 million will support the maintenance and repair of the six current SMA training ships on loan to the SMAs, and training ship capacity-sharing measures to allow uninterrupted availability of mandatory at-sea training requirements. Additionally, $6 million is for direct payments to the schools for maintenance and support, $2.4 million for student tuition assistance, and $3.8 million for training ship fuel assistance.

**Ship Disposal**
A funding level of **$5 million** will provide for ship disposal activities and support, and funding to maintain the Nuclear ship SAVANNAH in protective storage, per Nuclear Regulatory Commission license requirements, while ongoing decommissioning of the vessel's defueled nuclear reactor, components, and equipment is in progress.

**Maritime Security Program (MSP)**
A funding level of **$300 million** for the MSP will provide support for the 60 vessels enrolled in the program at $5 million each. Because MARAD has sufficient funding available from MSP carryover of unobligated balances, MARAD will be able to fund each vessel at the $5.2 million authorized for FY 2021. Funds will be used to ensure the maintenance of a commercial fleet of militarily useful vessels capable of supporting a U.S. presence in foreign commerce, while also ensuring the military's ability to obtain ensured access to these commercial vessels and mariners to globally deploy and sustain our Armed Forces.

**Maritime Guaranteed Loan Program (Title XI)**
A funding level of **$3 million** will support administrative expenses related to Title XI loan portfolio administration. This program promotes the growth and modernization of the U.S. Merchant Marine and U.S. shipyards by providing additional opportunities for vessel construction and modernization.

**Port Infrastructure Development Grants (PIDG) Program**
A funding level of **$225 million** will provide for planning, operational and capital financing, and project management assistance to improve port capacity and efficiency.

**Recent Accomplishments**

- **Maritime Transportation COVID-19 Response:** As the U.S. maritime industry continues to evolve and adapt in the aftermath of the COVID-19 public health emergency, MARAD continues to conduct outreach efforts and monitor industry hurdles and liaising with the CDC and other Federal partners to sustain continued operations through COVID-19. This includes regular calls on COVID-19 mitigation and response efforts with industry, including inland waterway and international carriers, RRF ship managers, offshore service vessel operators, maritime labor, dredgers, ports, and shipyards, along with stakeholders at USTRANSCOM, Navy, Coast Guard, State and Homeland Security Departments, and others. MARAD also partnered with the Federal Emergency Management Agency (FEMA) to provide 2.3 million face coverings in over 550 ports and other maritime related companies, schools and organizations. Additionally, MARAD continues to work with the U.S. Coast Guard (USCG) to provide flexibility for continued execution of the USCG's mariner credentialing program in licensing and crew requirements for U.S. mariners. Sustaining the U.S. Maritime Transportation System to survive through this unprecedented crisis is critical to maintaining the Nation's economic and national security, which are overwhelmingly dependent on the ability to move commercial goods and military capabilities by water.

- **The Maritime Security Program (MSP):** MARAD continues to manage the MSP efficiently, providing the Nation with cost-effective assured access to a fleet of modern internationally-sailing U.S.-flag ships and the global logistics capabilities of MSP carriers to meet DOT contingency requirements. The commercial cargo vessel and global intermodal resources available to the U.S. Government through the MSP are valued at an estimated $52 billion, while costing the Government only $314 million per year for stipends paid to vessel operators. The MSP fleet enjoyed a net increase of 80,000 square feet of militarily useful roll-on/roll-off (RO/RO) deck space with the completion of three vessel replacements in October 2019. In addition, the MSP Expedited Reflag program brought four additional vessels into the internationally-sailing U.S.-flag merchant marine. With 60 vessels enrolled in the MSP, the program sustains the employment of skilled personnel in the form of 2,400 U.S. Merchant Mariners and 5,000 shore side maritime professionals.

- **Ready Reserve Force (RRF):** MARAD maintains an RRF fleet of 46 cargo ships, berthed at 17 different ports around the country, to provide surge sealift capability for the Department of Defense during war and national emergencies. This program is funded by the Department of Defense through reimbursable agreements. MARAD's RRF ships are expected to be fully operational within their assigned 5-day readiness status to support military operations (*e.g.*, Iraq and Afghanistan). The RRF vessels have been also used to provide disaster relief and support humanitarian missions. The primary challenge with RRF readiness is the recapitalization of the existing fleet, with a service life of 50 years, some ships have reached the end of their useful lives. To recapitalize the RRF, MARAD is using a commercial ship operator as a Vessel Acquisition Manager (VAM) to identify candidate vessels, develop a business case analysis for the purchase, procurement, and modernization of seven ships for integration into the RRF fleet.

Previous humanitarian mission support included Haiti (2010), disaster response to Hurricanes Katrina and Rita (2005), Superstorm Sandy (2012), and Hurricanes Harvey, Irma, and Maria (2017), the medical mission to Liberia for Ebola (2014), and mobilized the RRF ship CAPE RAY (2014) to support the international effort to eliminate Syrian chemical weapons at sea.

- **United States Merchant Marine Academy (USMMA):** The USMMA graduated the Class of 2020 on time in June, despite the challenges posed by COVID-19. The Class of 2020 was one of the most diverse classes in Academy history, composed of 19.7 percent women and 24 percent minority midshipmen. Additionally, the Class of 2020 achieved one of the best first-time license pass rates on the US Coast Guard License Exam in recent memory, with a 97 percent pass rate for Deck officers and 99 percent pass rate for Engineering officers—the best of any mariner licensing program in the country. USMMA also continues to renovate and improve its aging facilities and, in 2020 began the process for upgrading its academic buildings with the awarding of a multi-million-dollar contract to update Samuel Hall into a state-of-the-art educational building and simulation center.

- **National Security Multi-Mission Vessel (NSMV):** Construction of the NSMV supports the next generation of training ships to provide a modern training platform for the State Maritime Academies to train mariners. In addition to training future mariners, these ships can be deployed and respond to a variety of national emergency or humanitarian relief efforts. MARAD developed and implemented an acquisition strategy, incorporated industry feedback into the ship design, and contracted with a Vessel Construction Manager (VCM), to build the ships. The VCM awarded the shipyard contract to Philly Shipyard in April 2020 for construction of two NSMVs, and is on schedule to begin cutting steel on the lead ship in December 2020. Construction of the NSMV is critical for sufficient at-sea training capacity to ensure that our Nation has enough highly qualified and trained merchant mariners.

- **Ship Disposal Program:** This program accomplishes the timely and environmentally sound recycling of obsolete government-owned ships, thereby reducing public environmental risk and cleanup costs. It has successfully removed 102 obsolete vessels from MARAD reserve fleet sites since 2009, including removal of 57 vessels from the Suisun Bay Reserve Fleet (SBRF) as required by a California Court Consent Decree, ahead of the removal schedule.

- **Nuclear Ship Savannah (NSS) Decommissioning (DECON):** MARAD completed Phase 1 of NSS DECON activities in 2020 for the defueled and inactive nuclear power plant vessel. DECON encompasses a 3-phase, seven-year project culminating in termination of the Nuclear Regulatory Commission (NRC) license and release of the vessel for final disposition. The ship remained in safe storage condition during cessation of Phase I activities. The DECON-License Termination award, which marks the beginning of Phase II, is scheduled for the 1st quarter of FY 2021. Per the NRC, NSS DECON and license termination must be completed by December 2031.

- **Maritime Technical Assistance (MTA (Formerly the Maritime Environmental and Technical Assistance Program)):** MARAD administers the MTA program, which is

designed to foster innovation, research, demonstration, and development of technologies and processes that improve maritime industry performance and competitiveness. Among other things, MARAD partners with Federal, State, and local agencies, the maritime industry and academia, on projects that serve to demonstrate, validate, and assess costs and benefits of maritime technology innovation. Originally focused on maritime environmental issues, starting in January 2020, the MTA program was expanded to include safety, efficiency, and underwater noise.

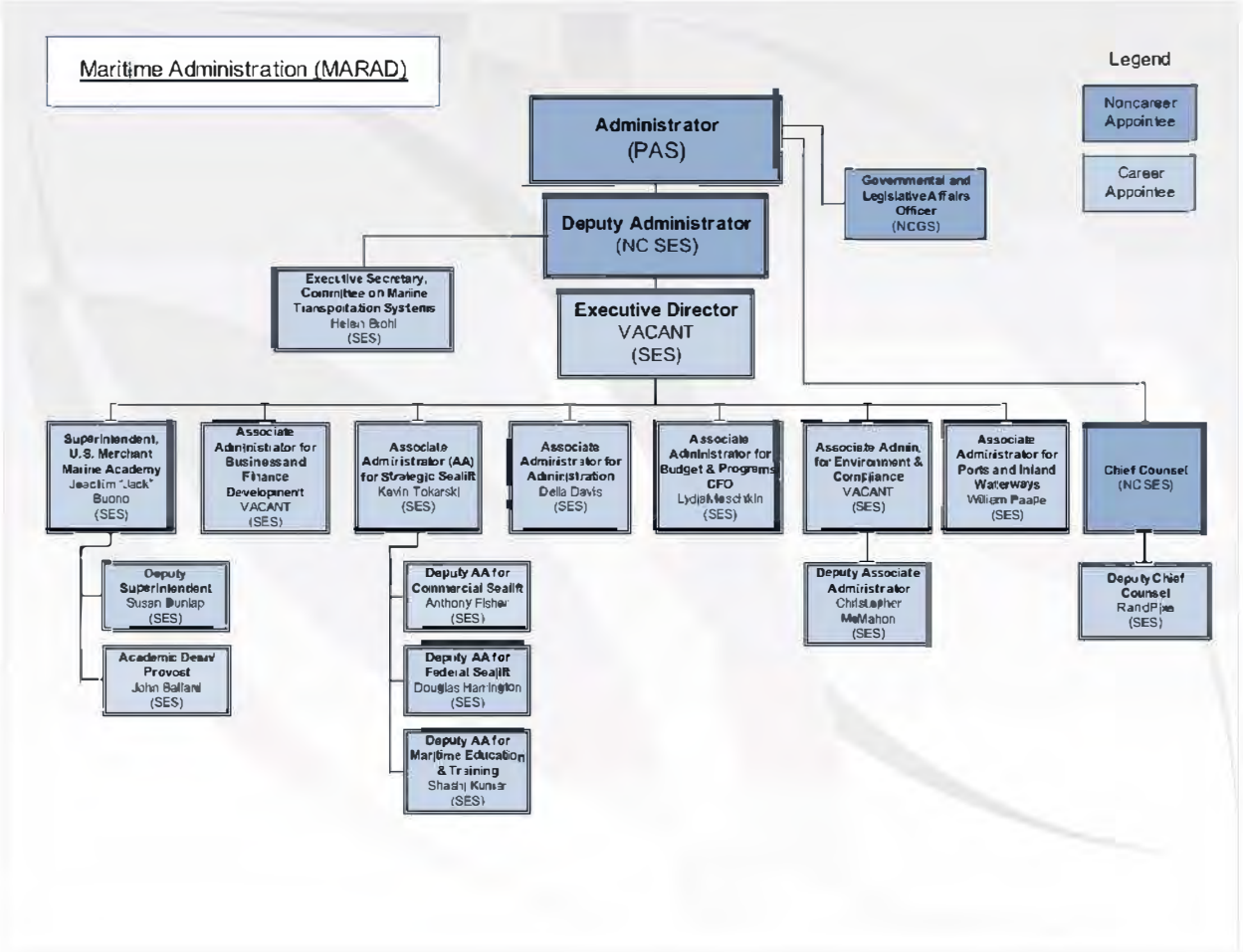
- **Support to the Nation's Ports:** MARAD has worked within DOT to raise the profile of the Nation's ports, all of which, support the national freight transportation system. DOT has awarded 75 grants to ports since 2009 from the National Infrastructure Investments Grant Program (TIGER/BUILD). Also, under the Fostering Advancements in Shipping and Transportation for the Long-term Achievement of National Efficiencies (FASTLANE), and Infrastructure for Rebuilding America (INFRA) programs, 14 port projects have been awarded. These programs have provided more than $1.3 billion in funding to ports in 35 States and territories to improve efficiencies in capacity, connectivity and freight throughput. Finally, in recognition of the need for dedicated port infrastructure grant funding, funding was appropriated by Congress in FY 2019 and FY 2020 for the Port Infrastructure Development Grant (PIDG) program. To date, MARAD has awarded 33 grants totaling more than $508 million to assist in the improvement of port facilities at inland ports, coastal and Great Lakes seaports.

- **America's Marine Highway (AMH) Program:** Under the authority of the Energy Independence and Security Act of 2007, MARAD established the AMH program to expand the use of waterway transportation routes to relieve land-side transportation congestion and provide new alternatives. Since August 2010, the Secretary has designated 26 Marine Highway routes that serve as extensions of the surface transportation system as well as 35 Marine Highway projects that are concepts for new services or expansion of existing services for movement of freight.

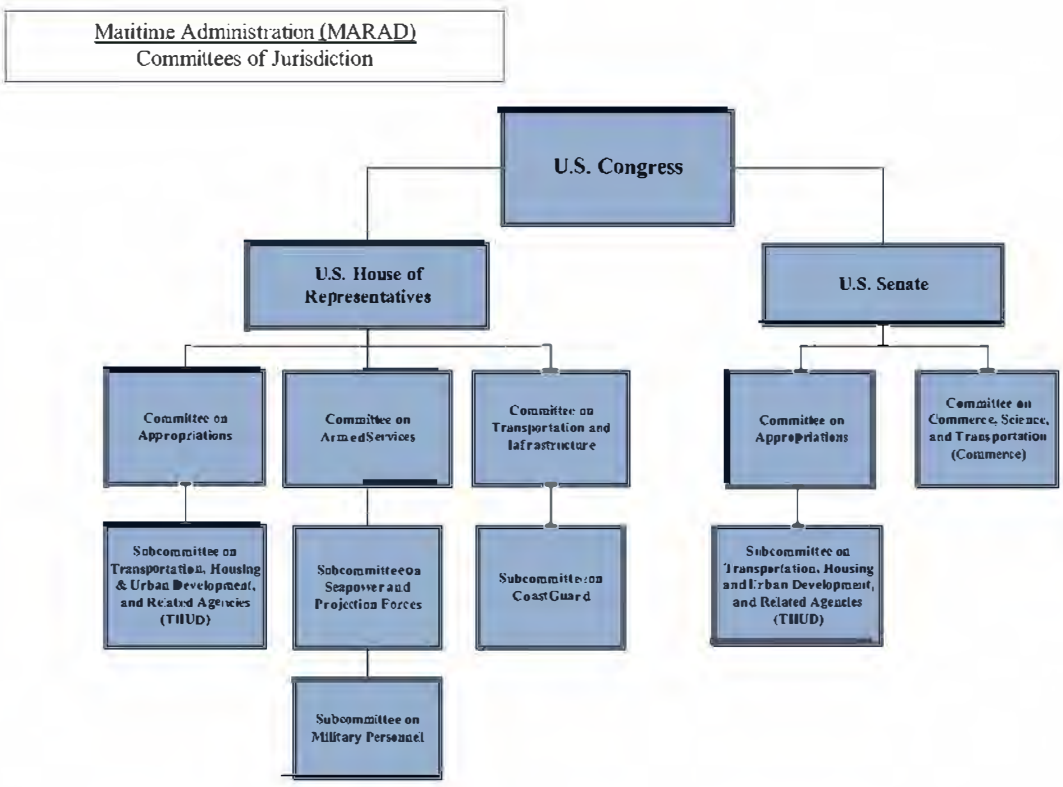
- **Assistance to Small Shipyards Grant Program:** Congress authorized Federal assistance to the Nation's small shipyards in the National Defense Act of 2006. Under this program, MARAD provides grants for capital improvements, equipment, and training programs to foster efficiency, competitive operations, as well as quality ship construction, repair, and reconfiguration. To date, MARAD has awarded 268 grants totaling $243 million.

- **Maritime Guaranteed Loan Program (Title XI):** The Title XI program provides for a full faith and credit guarantee by the United States Government to promote the growth and modernization of the U.S. merchant marine and U.S. shipyards. MARAD has issued 112 loan guarantee contracts since credit reform in 1993, totaling $7 billion in loan guarantees. The program currently has $1.65 billion in outstanding loan guarantees and 36 individual loan guarantee contracts.

# MARAD'S ORGANIZATIONAL CHART



# CONGRESSIONAL COMMITTEES WITH JURISDICTION OVER MARAD



# NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

## Overview

The National Highway Traffic Safety Administration (NHTSA) was established by the Highway Safety Act of 1970 as an agency within the U.S. Department of Transportation to carry out highway safety programs. NHTSA's mission is to save lives, prevent injuries, and reduce economic costs due to road traffic crashes, through education, research, safety standards, and enforcement.

Over the past five decades, numerous Federal motor vehicle safety standards and public outreach campaigns addressing driver behaviors have contributed to historic reductions in motor vehicle fatalities and injuries. Despite more vehicles traveling on roadways since 1970, the combination of advances in technology, consumer education, and highway safety programs have reduced fatality rates by 75 percent. However, NHTSA recognizes that more than 36,000 deaths, annually, on U.S. roads is unacceptable and that more work needs to be done. This is why NHTSA works every day to promote vehicle safety innovations, root out vehicle defects, set safety standards for motor vehicles, and educate Americans to help them make safer choices when driving, riding, or walking.

## History

- On September 9, 1966, the *National Traffic and Motor Vehicle Safety Act* and the *Highway Safety Act* were enacted into law. These laws created the National Highway Safety Bureau, the precursor to NHTSA.

- Fifty years ago, NHTSA was established by the Highway Safety Act of 1970 to carry out safety programs under the National Traffic and Motor Vehicle Safety Act of 1966 and the Highway Safety Act of 1966. The Vehicle Safety Act was subsequently recodified under Title 49 of the U.S. Code in Chapter 301, Motor Vehicle Safety. NHTSA also carries out consumer programs established by the Motor Vehicle Information and Cost Savings Act of 1972, which was recodified in various Chapters under Title 49.

- On December 4, 2015, the Fixing America's Surface Transportation (FAST) Act (Pub. L. No. 114-94) was enacted into law, providing long-term funding certainty for highway and motor vehicle safety. These laws have led to one of the most effective public health and safety efforts of the past half century. NHTSA's efforts have led to hundreds of thousands of lives saved by making vehicles safer and helping people choose to drive, ride, and walk more safely. The following is a list of some of the most important milestones marking advances in traffic and vehicle safety:

    - Between 1960 –2012, over 600,000 lives were saved by vehicle safety technologies mandated by Federal Motor Vehicle Safety Standards, including seat belts, air bags, child safety seats, electronic stability control, and others. [1]

[1] Kahane, C. J. (2014, September). Lives saved by vehicle safety technologies and associated Federal Motor Vehicle Safety Standards, 1960 to 2012 – Passenger cars and LTVs – With reviews of 26 FMVSS and the effectiveness of

- In 1971, NHTSA's Office of Emergency Medical Services (EMS) offered the first national guidelines for training emergency medical technicians. NHTSA continues to provide national leadership on issues involving emergency medical services, including the prompt care of vehicle crash victims.

- Since 1975, NHTSA has set corporate average fuel economy (CAFE) standards for the light vehicle fleet in the United States. NHTSA also has fuel efficiency standards for medium- and heavy-duty vehicles.

- In 1978, Tennessee passed the first child passenger safety law. All States enacted child passenger safety laws by 1985.

- In 1979, the New Car Assessment Program (NCAP) was established to provide crashworthiness ratings for new vehicles. 5-Star Safety Ratings were offered in 1993 to help consumers compare ratings and safety features of new cars and trucks. In 2020, efforts are underway to update the NCAP program to accommodate emerging vehicle safety technologies.

- In 1982, the Commission on Drunk Driving was established. That same year, the first dedicated national grant program to combat drunk driving began.

- In 1984, New York State enacted the first seat belt laws.

- In 1985, NHTSA launched the Vince and Larry *You Could Learn A Lot From A Dummy* media campaign to boost seat belt use. The passive motor vehicle restraints rule, which requires all vehicles to be equipped with seat belts, took effect during vehicle model year 1987. In 2002, NHTSA launched the first nationwide *Click It or Ticket* seat belt campaign. By 2019, seat belt use across the United States reached an all-time high rate of 90.7 percent.

- All States had 21-year-old minimum drinking age laws by 1988, zero-tolerance drunk driving laws for drivers under 21 by 1998, and .08 Blood Alcohol Content (BAC) drunk driving laws by 2005. In 2003, NHTSA launched the first national media campaign to fight drunk driving. By 2018, as a result of the .08 BAC laws, high-visibility enforcement, and media efforts, drunk driving fell 22 percent.

- In the last decade, NHTSA has broadened its work across traffic safety. Some of its efforts include:

  - Issuing a rear visibility rule requiring backup cameras to prevent injuries and deaths;

  - Engaging in outreach and education programs aimed at preventing distracted, drowsy, and drug-impaired driving by launching the *If You Feel Different, You Drive Different* media campaign;

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their associated safety technologies in reducing fatalities, injuries, and crashes. (Report No. DOT HS 812 069). Washington, DC: National Highway Traffic Safety Administration.

- Overseeing the largest automotive recall in history, involving approximately 63 million Takata air bag inflators; and

- Increasing the focus on vulnerable road users by establishing the first national pedestrian safety month.

**What We Do**

- NHTSA's mission is to save lives, prevent injuries, and reduce economic costs due to road traffic crashes, through education, research, safety standards and enforcement activity. NHTSA is a data-driven agency that works to help Americans drive, ride, and walk safely.

- NHTSA sets performance standards by issuing Federal Motor Vehicle Safety Standards (FMVSS) for new motor vehicles and motor vehicle equipment. Manufacturers self-certify to applicable safety standards that aim to protect the public against unreasonable risk of vehicle crashes resulting from poor design, construction, or performance.

- NHTSA investigates potential safety defects and oversees the recall of vehicles and motor vehicle equipment that pose an unreasonable risk to safety. On average, NHTSA receives and reviews over 6,000 consumer complaints per month regarding potential safety issues. From 1966 through 2019, NHTSA oversaw the recalls of more than 766 million cars, trucks, buses, recreational vehicles, and motorcycles, as well as 120 million tires, 61 million child car seats, and 180 million other items of motor vehicle equipment, due to safety defects or noncompliance with FMVSS.

- Through NHTSA's regional program operations, the Agency delivers formula funds directly to the States as grants to help them target their individual traffic safety problems. These grants comprise about two-thirds of NHTSA's annual budget. NHTSA works with State and local law enforcement to promote roadway safety. That work includes cracking down on drunk, drugged, and distracted driving; enforcing seat belt and helmet laws; discouraging drowsy driving; promoting proper child car seat use, wearing bicycle helmets, and other efforts that save lives and prevent injuries.

- The national high-visibility safety campaigns, *Click It or Ticket*, *Drive Sober or Get Pulled Over*, and *U Drive. U Text. U Pay.* have had a substantial impact on traffic safety. NHTSA also created the *Safe Cars Save Lives* campaign to educate consumers on the importance of quickly addressing vehicle recalls. NHTSA makes its traffic campaign marketing materials available on its Traffic Marketing Safety website for free use by interested safety partners. Furthermore, NHTSA's 5-Star Safety Ratings, under the NCAP, assist consumers with the safety data they need when purchasing a vehicle. Through NCAP, NHTSA encourages the adoption of technologies that could help drivers to avoid crashes and could better protect people in a crash.

- NHTSA works to increase the fuel economy of cars and trucks to help consumers save money at the pump, in coordination with the Environmental Protection Agency's (EPA)

regulation of greenhouse gases. NHTSA has fuel economy standards in place for light vehicles through Model Year 2026, as established in a 2020 final rule. NHTSA, with EPA, has also established fuel efficiency standards for medium- and heavy-duty vehicles through Model Year 2027.

- NHTSA works to facilitate the safe development, testing, and deployment of Advanced Driver Assistance Systems (ADAS) and Automated Driving Systems (ADS). These advanced vehicle technologies have the potential to save lives and to transform personal mobility and open doors to people and communities–people with disabilities, aging populations, and communities where vehicle ownership is prohibitively expensive.

- NHTSA collects and analyzes data from States and other government agencies to support a wide range of analytical and statistical activities. The Agency issues a number of publications, such as Research Notes, CrashStats, Traffic Safety Fact Sheets and reports, which support the highway safety community. The collection and analysis of traffic safety data is essential to ensuring that NHTSA's resources are directed to the most pressing issues in the most effective manner.

## What Are Our Resources?

*The President's FY 2022 Budget Request will be finalized in 2021. The following information describes funding that was provided in FY 2020 and that would also be provided under a potential FY 2021 full year Continuing Resolution scenario.*

**NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION**
**Budgetary Resources**
in millions of dollars

| Account | FY 2019 Actual | FY 2020 Actual | FY2021 Continuing Resolution |
|---|---|---|---|
| OPERATIONS AND RESEARCH (GF) | 204 | 211 | 211 |
| OPERATIONS AND RESEARCH (Oblim) (TF) | 152.1 | 155.3 | 155.3 |
| HIGHWAY TRAFFIC SAFETY GRANTS (Oblim) (TF) | 610.2 | 623 | 623 |
| **TOTAL** | **966.3** | **989.3** | **989.3** |
| **Full Time Equivalent Employment** | **576** | **599** | **620** |

For Fiscal Year (FY) 2021, the full year continuing resolution (CR) funding level is **$989.3 million**. These funds will be used to continue ongoing work to establish and enforce safety standards for motor vehicles and motor vehicle equipment, to research vehicle and behavioral safety, to develop and launch public awareness campaigns to promote safe driving behavior, and to provide consumers with independent and reliable information about the crash-worthiness and safety features of new vehicles. Funds are also used to operate the National Driver Register and administer a comprehensive safety program of safety grants to States.

The FY 2021 full year CR funding level is **$366.3 million** for Operations and Research activities to reduce highway fatalities, prevent injuries, improve fuel economy and significantly reduce the societal costs related to unsafe motor vehicles and equipment.

This program funds activities to promote **vehicle safety activities,** including research involving electronics, advanced crash avoidance and mitigation technologies, crash worthiness and alternative fuels. Funds within this program are also used to test emerging technologies and to issue and enforce fuel economy and efficiency standards. Under a full year CR, the budget for vehicle safety portion would be $211 million.

●perations and Research also includes **highway safety research and development activities** and the **National Driver Register**. At the full year CR level, the highway safety portion would be funded at $155.3 million.

Activities in the highway safety research program include data collection and analysis, research into highway safety issues, and the development of effective countermeasures. The data collection, data system development and analytical work performed by the National Center for Statistics and Analysis supports the full range of vehicle, highway and behavioral research, and are extensively utilized by NHTSA and many other safety organizations worldwide.

**Highway Traffic Safety Grants**

FY 2021 full year CR funding level is **$623 million**. States use NHTSA grant funds to implement their Highway Safety Plans. Using performance metrics, states identify emerging highway safety problems and direct resources to the most promising countermeasures to save lives and prevent injuries. Grant funds directly support the Department's safety goals by providing funds to support programs on alcohol and other impaired countermeasures, police traffic enforcement, occupant protection, child passenger safety, traffic records, emergency medical services, motorcycle safety, pedestrian and bicycle safety, speed management, driver distraction, drowsy driving, and other safety countermeasures to address roadway safety problems documented in States' Highway Safety Plans.

**Rccent Accomplishments**

- NHTSA works to help Americans drive, ride, and walk safely. NHTSA's recent accomplishments include:

**SAFE DRIVING**

- **Drug-Impaired Driving Initiative:** NHTSA implemented a Drug-Impaired Driving Initiative to facilitate stakeholder outreach and involvement; to raise public awareness; and to provide state-of-the-art training and education to law enforcement, prosecutors, judges, toxicologists, heath care providers, parole officers, and recovery treatment providers.

- **Law Enforcement Impaired-Driving Curricula Updates and Training:** NHTSA updated impaired-driving training curricula for law enforcement in the areas of: Standardized Field Sobriety Testing (SFST), Advanced Roadside Impaired Driving Enforcement (ARIDE), and Drug Recognition Experts (DRE).

- **Drug Recognition Experts (DRE):** The agency also funded $2.3 million for the International Association of Chiefs of Police (IACP) to issue grants to States and local jurisdictions to train law enforcement officers and prosecutors in ARIDE and as DREs.

- **Driver Alcohol Detection System for Safety (DADSS):** NHTSA continued work with the Automotive Coalition for Traffic Safety (ACTS) to advance and promote the DADSS program, including launching a field operational pilot to test 40 vehicles equipped with breath-based alcohol sensor technology. NHTSA also distributed guidelines to States regarding how they might use NHTSA highway safety grant funds for DADSS technology deployments, as part of an effort to encourage State participation in the DADSS program.

- **Motorcycles:** NHTSA's Motorcycle Safety 5-Year Plan was published on the NHTSA website, providing a comprehensive framework for improving motorcycle safety in the coming years.

- **Emergency Medical Services:** In 2019, NHTSA and the U.S. Department of Commerce awarded more than $109 million in grants to 33 States, the District of Columbia, and two tribal Nations through the 911 Grant Program. These grants help 911 call centers upgrade to Next Generation 911 (NG911) capabilities.

- **Occupant Protection:** In addition to NHTSA's *Click It or Ticket* high-visibility enforcement campaign and national enforcement mobilization in June, NHTSA also focused on child occupant protection by supporting development of a standardized National Digital Car Seat Check Form to capture data electronically at car seat check events.

- **Teen Driver Safety:** NHTSA continues to address teen driver safety. It published a Peer-to-Peer Teen Traffic Safety Program Guide, which examines the benefits of peer-to-peer teen traffic safety programs and provides a compendium of essential program elements based on research and expert panels.

- **Hyperthermia:** In 2019, 52 children died from heatstroke after being left in a hot car or gaining access to a car on their own. NHTSA has strengthened its media campaign to help prevent pediatric vehicular heatstroke by updating campaign messages, increasing media buy funding, and ensuring a robust social media presence, including Facebook and Instagram stories and live Tweetups. NHTSA also hosted a Child Passenger Safety event (September 2019) and roundtable meeting (December 2019) with several stakeholders to explore ways to prevent pediatric injuries in motor vehicles, discuss technical solutions to help prevent child heatstroke in vehicles, and solidify plans for the 2020 campaign season.

  Following automakers' announcement on November 15, 2019, of a voluntary agreement to install child hyperthermia prevention technologies in new vehicles by model year 2025, NHTSA opened a docket to invite interested parties to provide voluntary information about these technological innovations and efforts to help prevent injuries and fatalities from vehicle-related heatstroke.

## SAFE VEHICLES

- **Automation Legal Framework:** Automated driving systems (ADS) continue to hold great promise to prevent or mitigate vehicle crashes. At the June 2019 World Forum for Harmonization of Vehicle Regulations (WP.29) meeting, the contracting parties approved a framework document to guide the future work of the United Nations on ADS. The framework is based on DOT's *Automated Driving Systems 2.0: A Vision for Safety*. The framework was drafted by NHTSA staff in close cooperation with Japan, China, and the European Union.

- **Research Public Meeting:** In 2019, NHTSA hosted a public meeting to discuss the Agency's broad safety research programs. NHTSA's research portfolio covers program areas pertaining to vehicle and road user safety, including advanced driver safety systems, pedestrians and bicyclists, vehicle cybersecurity and electronics, drug-impaired driving, crash test dummies, and much more.

- **Removing Unintended Barriers to Automated Driving Systems Technologies:** As an important step in preparing for the future of transportation, NHTSA published an Advance Notice of Proposed Rulemaking (ANPRM) on May 28, 2019, requesting comment on removing unintended and unnecessary barriers in NHTSA's crash avoidance standards and providing alternative compliance verification methods for ADS-equipped vehicles.

- **NHTSA's New Car Assessment Program:** NHTSA announced its plan to propose significant updates and upgrades to the NCAP in 2020. NCAP celebrated its 40th anniversary in 2019, and NHTSA is working to improve the program to make the 5-Star Safety Ratings Program even more dynamic, and to accelerate NCAP modernization to keep pace with advancements in safety technology. Drawing in part from the comments and feedback received late last year from a public meeting, NHTSA plans to propose major upgrades to NCAP in 2020. These will involve new technologies, new test procedures, updates to vehicle labeling, advancements in crash test dummies, and continued consumer research to ensure that NCAP's products are effectively meeting the public's needs. NHTSA will consider new technologies tied to the safety of pedestrians and other vulnerable road users such as cyclists.

- **Advanced Driver Assistance Systems (ADAS) Test Procedures:** NHTSA posted nine draft research test procedures related to ADAS in a docket and solicited public input on whether the test procedures may objectively and practically assess the performance of these technologies.

- **Electronic Odometer Disclosures:** NHTSA published its Final Rule on Electronic ●dometer Disclosures, establishing standards under which States may allow for odometer disclosures in an electronic format. ●dometer fraud is a Federal crime, and NHTSA has required sellers to disclose vehicle odometer readings at the time of sale for decades. However, most vehicle transfers have been subject to a requirement that odometer disclosures be made in a paper format with handwritten names and wet ink signatures.

The Final Rule removes the paper requirement by allowing for electronic disclosure systems that have robust security and authentication. This action removes the last remaining Federal impediment to paperless motor vehicle transfers and opens the door for State Departments of Motor Vehicles to move toward paperless transactions. Paperless transactions will save time and reduce costs for consumers and industry, create economic efficiencies, and improve security.

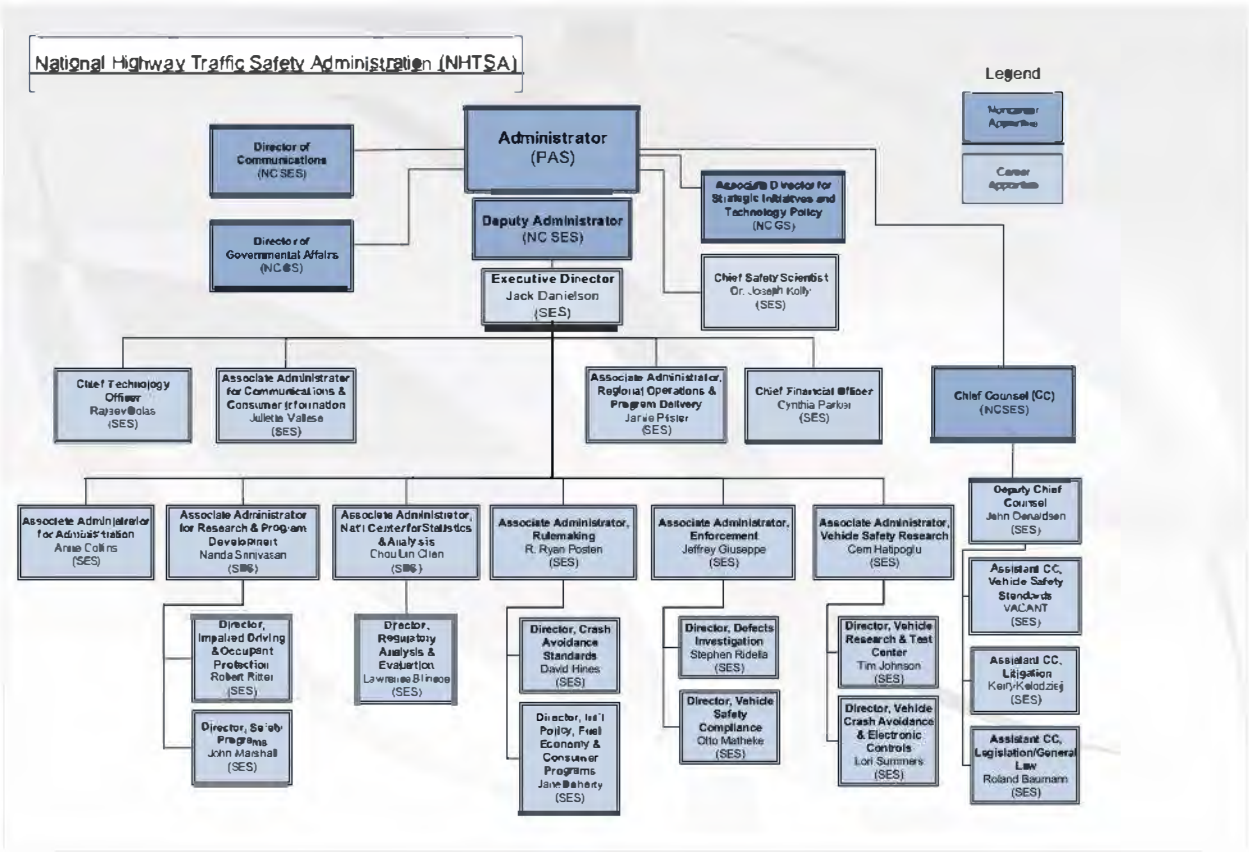
## DATA

- **Data Collection Systems:** NHTSA continues to enhance its crash data collection systems, providing the foundation for its vehicle and behavioral safety programs. A multi-year modernization of the Crash Investigation Sampling System was completed in 2019, and NHTSA developed and deployed a newly modernized crash data query tool known as the Fatality and Injury Reporting System Tool (FIRST), when releasing the 2018 Fatality Analysis Reporting System and Crash Report Sampling System files in fall 2019.

## HIGHWAY SAFETY GRANT PROGRAMS AND STATE OUTREACH

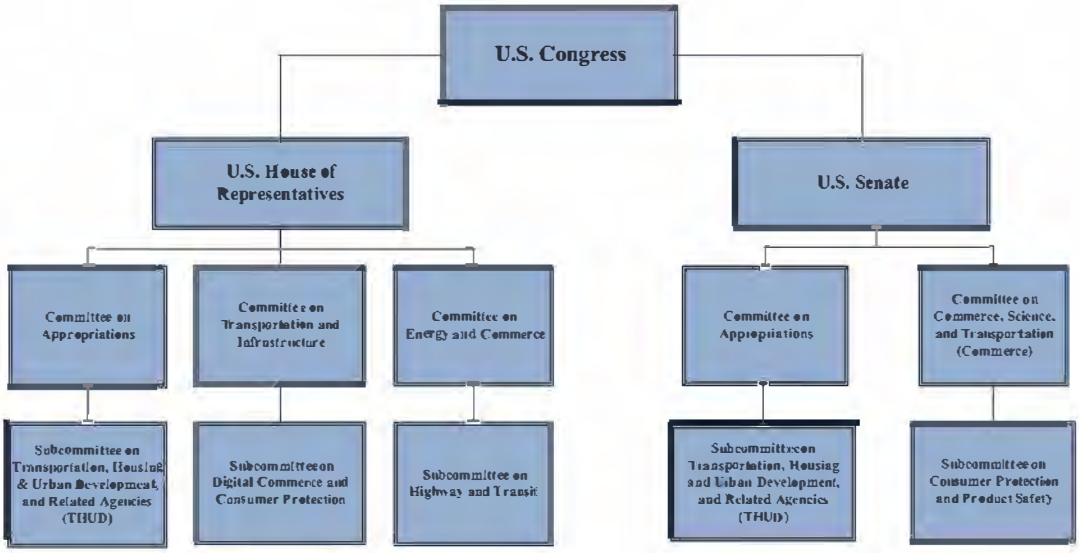
- In 2019, NHTSA provided $650 million in highway safety grant funds to address dangerous driving behaviors and, ultimately help States reduce crashes and fatalities. NHTSA provided technical assistance to the States to assist them in using these funds to participate in high-visibility enforcement mobilizations, to conduct educational programs, and to engage a multitude of organizations to reach high-risk and other audiences. NHTSA continued its extensive oversight program to ensure proper stewardship of the Federal funds and delivered 30 traffic safety courses, attended by nearly 500 State and Federal highway safety specialists, to educate them on program management, use of highway safety data, and management of Federal finances.

# NHTSA'S ORGANIZATIONAL CHART



# CONGRESSIONAL COMMITTEES WITH JURISDICTION OVER NHTSA

National Highway Traffic Safety Administration (NHTSA)
Committees of Jurisdiction



# PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION

## Overview

The Pipeline and Hazardous Materials Safety Administration's (PHMSA) mission is to protect people and the environment by advancing the safe transportation of energy and other hazardous materials that are essential to our daily lives. PHMSA implements its safety mission through the ●ffice of Pipeline Safety (●PS) and the Office of Hazardous Materials Safety (●HMS).

●PS helps to ensure the safe transportation of gas and hazardous liquids through the Nation's more than 2.8 million miles of pipeline. Pipelines transport and supply more than two-thirds of the fuel used to heat, cool, and operate American homes, cars, and businesses. Pipelines also transport energy products for import and export. In addition, crude oil and natural gas liquids are used to manufacture petrochemicals. Thousands of products are made from petrochemicals including plastic, pharmaceuticals, and clothing.

●HMS helps to oversee the safe and secure shipment of more than 1.2 million daily movements of hazardous materials carried by air, highway, rail, and waterway. These materials are essential to the American economy for use in farming, medical applications, manufacturing, mining, and other industrial processes, and include everyday items such as perfume, hand sanitizer, and cleaning products.

PHMSA personnel are positioned in PHMSA's headquarters in Washington, D.C., five regional offices, and a training center located in ●klahoma City, Oklahoma.

## History

- ●n November 30, 2004, the 108th Congress passed the Norman Y. Mineta Research and Special Programs Improvement Act (Mineta Act) (Pub. L. 108-426), which created PHMSA. The Mineta Act transferred the duties and responsibilities of the Research and Special Programs Administration related to pipeline and hazardous materials safety to the Administrator for PHMSA. In establishing PHMSA, the Mineta Act specifically stated that safety is the agency's highest priority.

- ●n December 4, 2015, the President signed the Fixing America's Surface Transportation (FAST) Act (Pub. L. 114-94), the most recent law authorizing the hazardous materials safety program. The FAST Act was scheduled to lapse on September 30, 2020, but was extended for one year through September 30, 2021.

- On June 22, 2016, the President signed the Protecting our Infrastructure of Pipelines and Enhancing Safety (PIPES) Act of 2016 (Pub. L. 114-183), stand–alone legislation that authorized the pipeline safety program. However, that authorization expired on September 30, 2019. Subsequently, Congress has effectively authorized PHMSA's pipeline safety program through annual appropriations legislation.

## What We Do

- **Data and Risk Analysis:** PHMSA analyzes safety performance and continuously improves data quality and analytic capabilities to identify, assess, and manage safety risks. PHMSA utilizes data to track the frequency of failures, incidents, and accidents. It analyzes the causes and resulting consequences incidents and reports this data in various categories such as year, state, type, cause, and result.
- **Outreach:** An important component of PHMSA's mission is to promote pipeline and hazardous materials safety through education, safety awareness, and outreach. All stakeholders share responsibility for pipeline and hazardous materials safety. Safety is improved through active stakeholder participation, especially with regard to public awareness, damage prevention, risk-informed land use planning, and emergency management efforts.
- **Research and Development:** Many of the root causes of incidents are best addressed through research and technological innovation. PHMSA's Research and Development (R&D) programs focus on the search for solutions to current and future problems that will yield immediate and measurable improvement of the safety of the Nation's transportation systems and protection of the environment. PHMSA awards funding for: University-based research through the Competitive Academic Agreement Program (CAAP) program; Cooperative research with industry and Federal partners; and Other Federal research contracts to inform safety standards and safety policy.
- **Regulations and Standards:** As technology and the markets evolve, PHMSA's safety programs must evolve with them. This means constantly reviewing and updating regulations to improve safety and encourage a strong safety culture while minimizing regulatory burdens. PHMSA focuses its safety mission on the promulgation of needed and sensible regulations that help to enable the safe movement of energy products and other hazardous materials by pipeline and other modes of transportation.
- **Training:** PHMSA provides safety and inspection training for Federal and State inspectors through a joint training center located in Oklahoma City, Oklahoma. PHMSA also educates stakeholder groups—including the general public—through outreach initiatives and training. PHMSA also funds State regulatory authorities, emergency responders, and representatives of communities affected by hazardous materials transportation.
- **Grants:** PHMSA administers grant programs designed to improve damage prevention, to develop new technologies, and to improve hazardous materials transportation safety. Both pipeline and hazardous materials safety grants help to foster partnerships with local communities and universities to promote public awareness campaigns, provide resources for emergency preparedness, share data and other information about pipeline and hazardous materials safety, and implement best practices regarding pipeline and hazardous materials safety.
- **Inspection and Enforcement:** More than 215 PHMSA pipeline inspectors and enforcement staff work throughout the United States—including in some of the most remote areas of the Nation—to help ensure pipelines that function without leaks or spills. In addition, PHMSA has 70 hazardous materials investigators that inspect hazardous

materials shipments and packaging manufacturing facilities across the country for compliance with the regulations.

- **Accident Investigation:** PHMSA's reviews approximately 650 incident reports from the National Response Center per week, and completes approximately 2-6 on-site investigation deployments per month. PHMSA's participation in accident investigations helps to ensure that emergency responders and other personnel involved have the benefit of PHMSA's hazardous materials transportation expertise, especially relating to pipeline safety and hazardous materials classification, communication, and packaging.

## What Are Our Resources?

*The President's FY 2022 Budget Request will be finalized in 2021. The following information describes funding that was provided in FY 2020 and that would also be provided under a potential FY 2021 full year Continuing Resolution scenario.*

**PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION**
**Budgetary Resources**
in millions of dollars

| Account | FY 2019 Actual | FY 2020 Actual | FY2021 Continuing Resolution |
|---|---|---|---|
| OPERATIONAL EXPENSES (GF) | 23.7 | 24.2 | 24.2 |
| HAZARDOUS MATERIALS SAFETY (GF) | 58.0 | 61.0 | 61.0 |
| EMERGENCY PREPAREDNESS GRANTS (SF) | 28.3 | 28.3 | 28.3 |
| PIPELINE SAFETY (SF) | 142.0 | 145.0 | 145.0 |
| PIPELINE SAFETY (TF) | 23.0 | 23.0 | 23.0 |
| **TOTAL** | **275.0** | **281.5** | **281.5** |
| **Full Time Equivalent Employment** | **555** | **552** | **582** |

For FY 2021, the agency-wide funding level under a full year Continuing Resolution (CR) is **$281.5 million**. Industry user fees and a contribution from the Oil Spill Liability Trust Fund, make up 69 percent of PHMSA's funding while general funds account for 31 percent of resources. This funding level enables PHMSA to maintain staff and programs to fulfill its safety mission.

### Pipeline Safety

For FY 2021, the funding level under a full year CR for Pipeline Safety is **$168 million**. These funds enable PHMSA to carry out activities to help limit pipeline failures and to reduce their consequences. Funds in the pipeline safety account support data analysis, damage prevention, education, and training; the development and enforcement of regulations; and R&D projects. In addition, the pipeline safety program provides grants to support up to 80 percent of the cost of State pipeline safety programs, as well as emergency planning and response activities. At current funding levels, States are reimbursed for 52 percent of their pipeline safety programs. However, in FY 2020, PHMSA reallocated $4.9 million in funds towards the State pipeline safety programs to increase the State reimbursement level to 57 percent.

**Hazardous Materials Safety**

For FY 2021, the funding level under a full year CR for Hazardous Materials Safety is **$89.3 million**. These funds enable PHMSA to help protect the safe and efficient movement of essential hazardous materials across the country and to respond to emerging risks, such as the transport of energy products by rail and the containment of and safe passage of other dangerous and often highly volatile products. In addition, the hazardous materials safety program provides grants to support first responders engaged in reducing the risk of incidents involving the transport of hazardous materials throughout the Nation's communities.

**Operational Expenses**

For FY 2021, the funding level under a full year CR for PHMSA's Operational Expenses account is **$24.2 million**. These funds enable PHMSA to sustain current operational levels and support the administrative functions that assist both the pipeline safety and hazardous materials safety programs in their day-to-day activities.

**Recent Accomplishments**

As a relatively small modal administration with an oversized safety mission, PHMSA is a highly responsive and agile organization that adjusts quickly to meet the demands of new challenges and emerging priorities. The following are some of PHMSA's recent accomplishments.

- **Emergency Response and Preparedness:** The Nation's transportation system has had to cope with unforeseen stresses, including the COVID-19 public health emergency, the devastating impacts of the Atlantic hurricanes, and wildfires on the West Coast. PHMSA has taken several actions to assist pipeline operators and hazardous materials shippers, carriers and packaging manufacturers affected by the COVID-19 public health crisis and natural disaster events. These actions include: (1) the issuance of temporary stays of enforcement, special permits, and waivers for certain pipeline and hazardous materials requirements; as well as a shift to the use of virtual inspections, affording operators the ability to support procedural and records reviews via the Internet; (2) the reallocation of $4.9 million to the Pipeline Safety Base Grant Program so State safety inspections could be expanded; (3) a shift to the use of virtual inspections, affording pipeline operators the ability to support procedural and records reviews via Internet meetings; providing a "Transporting Infectious Substances Guidance and COVID-19" resource page to assist medical facilities, clinical laboratories, and hazardous waste carriers in their efforts to move COVID-19 specimens, cultures, isolates, and medical wastes; and (4) providing virtual training to more than 400 Federal and State inspectors through PHMSA's Virtual Inspector Lead Training (VILT) sessions, covering critical safety topics.

- **Improved Safety and Reduced Regulatory Costs:** Since 2017, PHMSA issued a succession of rulemakings to significantly advance the safety of hazardous materials transportation by all modes, including pipelines, while reducing regulatory burdens. PHMSA completed 19 final rules, including 12 deregulatory actions that support productivity and economic growth while maintaining safety. One such rule included the Plastic Pipe final rule (83 FR 58694), which addressed petitions from industry, as well as

safety issues identified by PHMSA staff, inspectors, and standard development committee members, by incorporating improved technologies and updated standards and practices related to the installation and operation of plastic gas piping.

In 2019 alone, PHMSA published three significant final rules to improve hazardous liquid and natural gas pipeline safety and to provide enhanced emergency order procedures for pipeline safety. In March 2019, PHMSA also issued an interim final rule (IFR) enhancing the safety of the transportation of lithium batteries by air (84 FR 8006). In February 2020, PHMSA finalized permanent minimum safety standards for underground natural gas facilities (85 FR 8104) that had been introduced by an earlier IFR issued following the Aliso Canyon, California, incident. In July 2020, PHMSA published a final rule (85 FR 44994) authorizing transportation of Liquefied Natural Gas (LNG) by rail in enhanced DOT-113 tank cars, subject to certain operational controls (including route restrictions and advanced braking requirements). The rulemaking addressed the directive in Executive Order 13868, "Promoting Energy Infrastructure and Economic Growth," to develop regulations, consistent with applicable law, that "treat LNG the same as other cryogenic liquids and permit LNG to be transported in approved rail tank cars." On October 30, 2020, PHMSA published a final rule (85 FR 68790) that amends the requirements of the requalification periods for certain DOT 4-series specification cylinders in non-corrosive gas service in response to a petition. This final rule provides regulatory relief by reducing requalification-related costs for propane marketers, distributors, and others in non-corrosive gas service without reducing safety. PHMSA is also awaiting publication of additional final rules, currently at the Federal Register, that address a variety of provisions to update, clarify, improve the safety of, or provide relief from various regulatory requirements.

- **Awarded Safety Grants and Financial Assistance:** In FY 2020, PHMSA announced a combined total of over $97.0 million in awards for ten separate pipeline and hazardous materials safety grant programs. PHMSA awarded grants to States, local communities, Tribal entities, territories, universities, emergency responders, and non-profit organizations to support various safety programs at the State and local levels.

- **Strengthened Safety Review and Permitting Process for Liquefied Natural Gas (LNG) Facility Proposals:** In 2018, PHMSA and FERC signed an MOU agreement to coordinate siting and safety reviews for LNG facilities that fall under FERC's jurisdiction. The MOU established a framework for coordination between FERC and PHMSA that will allow for the expeditious processing of LNG applications, while ensuring decision-makers remain informed regarding the public safety impacts that proposed facilities may pose. The agencies' coordination has assisted in streamlining the environmental review schedules on several LNG export terminal applications pending before FERC. Since the release of the MOU, PHMSA has issued 17 Letters of Determination (LODs) of a proposed LNG facility's ability to comply with PHMSA's siting requirement and safety standards pursuant to 49 CFR Part 193, Subpart B.

- **Fostered Innovation and New Safety Technologies:** PHMSA's Research and Development (R&D) programs focus on the search for solutions to current and future problems that will improve the safety of the Nation's transportation systems and protect

the environment. PHMSA awards funding for: University-based research through the Competitive Academic Agreement Program (CAAP) program; cooperative research with industry and Federal partners; and other Federal research contracts to inform safety standards and safety policy. Since FY 2018, PHMSA has received a total of $65.7 million in R&D funding for sponsoring critical research projects to improve pipeline and hazardous materials safety and to reduce environmental impacts of pipeline and hazardous materials incidents.

Building on the success of its R&D programs, PHMSA proposes to expand pipeline research, development, and testing capabilities at the DOT Transportation Technology Center (TTC) in Pueblo, Colorado, a 52-square-mile railroad testing and training facility owned by the Federal Railroad Administration, and known as one of the world's top transportation research centers. Establishing a Pipeline Safety Research Program at the TTC will enable effective collaboration to enhance pipeline safety, develop comprehensive solutions, augment current programs, and catalyze private-sector and university innovation by hosting pipeline research projects in a centralized location.

- **Improved Organizational Efficiency and Effectiveness:** To leverage the expertise of all PHMSA employees, and create a more efficient and responsive organization. The agency fostered a "One-PHMSA" initiative to identify opportunities to consolidate or share responsibilities of the hazardous materials and pipeline safety programs. Successful outcomes include the creation of a single Preparedness, Emergency Support and Security Division (PESS). PESS allows PHMSA to improve and streamline emergency preparedness and security functions, to build cross-modal incident management assistance capability, to raise the level of situational awareness and reporting, and to ensure readiness of the PHMSA Continuity of Operations Plan (COOP) for headquarters and regional offices. Also, through a series of Process Improvement Initiatives (PIIs), PHMSA is harnessing the knowledge of its employees to improve a wide variety of internal processes and procedures to facilitate the success of PHMSA's safety mission. The PIIs also encourage regular across-the-agency interaction and build employee trust and engagement.

- **Established New Program to Develop PHMSA Leaders:** Recognizing the importance of preparing the next generation of versatile PHMSA leaders, PHMSA embarked on a bold new leadership training program under the guidance of the Executive Director. Building on the success of the 2019 Advanced Leadership Development Program's inaugural course, PHMSA developed and launched its first Intermediate Leadership Development Course for employees at the GS-11, 12 and 13 levels in September 2020. In addition, PHMSA expects to roll out a Basic Leadership Development Program, which will be offered to a broad range of employees, later in 2021.

- **Issued Emergency Response Guide (ERG) 2020:** In August 2020, PHMSA published and distributed more than 1.8 million copies of the newly revised 2020 Emergency Response Guidebook (ERG) to firefighters, emergency medical technicians, and law enforcement officers across the Nation. The ERG is the go-to manual for first responders. It provides guidance on what to do during the critical first 30 minutes of a hazmat transportation accident. The guide contains an indexed list of dangerous goods and their associated ID numbers, general hazards they pose, and recommended safety precautions.

The ERG is available for free to public safety agencies in all States and territories through designated State emergency management coordinators. Additionally, PHMSA in partnership with the National Library of Medicine provides the ERG as a free mobile app. The mobile app provides emergency responders with fast, easily accessible information to help them manage hazardous material incidents. The ERG mobile app is available on iOS and Android and has over 2.25 million downloads.

- **Increased Public Awareness to Prevent Incidents:**

  - **Call Before You Dig/811:** In 2019, PHMSA intensified its stakeholder engagement and outreach efforts across all five regions to reduce excavation damages to underground pipelines. These efforts included amplifying the importance of calling the national 811 telephone number before excavating. PHMSA developed a risk-based approach to address damage prevention in the 15 States with the greatest challenges, and focused resources on the "Call Before You Dig/811" message in those States. In addition, PHMSA promoted safe digging through public safety announcements, social media, transit/transportation messaging, an 811 student poster/video contest for elementary school students, and public meetings, leading to over 400 million total impressions in English and Spanish.

  - **Check the Box:** In August 2018, PHMSA rolled out the *Check the Box* campaign to raise awareness of the risks involved in shipping undeclared hazardous materials. As part of this campaign, PHMSA created a dedicated website with a host of resources, such as brochures, videos, and fact sheets to safely ship hazardous materials (https://www.transportation.gov/check-the-box). Since the campaign kick-off, PHMSA has promoted the safety message at numerous stakeholder conferences and forums. PHMSA also ran a 6-week digital media campaign that generated more than 9 million impressions and almost 21,000 clicks to the CHECK THE BOX landing page. Additionally, PHMSA entered into an interagency agreement with the United States Postal Service to promote the safety message on its website and to display a hazmat video at approximately 4,000 of the busiest Post Offices. Lastly, PHMSA submitted trademark applications for the *Check the Box* slogan and "Hazardous Matt" character, which are expected to be approved in late 2020.

- **Enhanced Oversight of Facilities:**

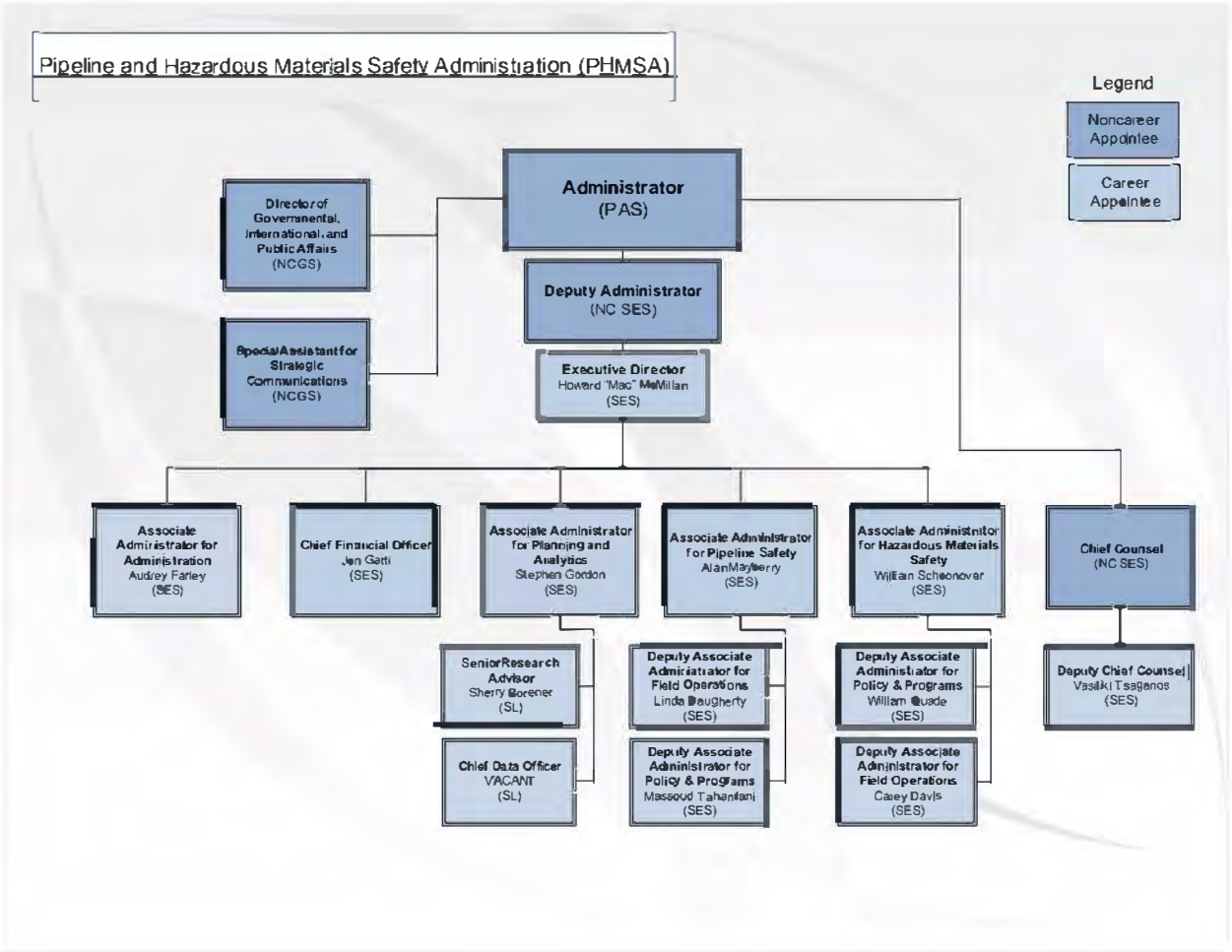
  - **LNG Facilities:** PHMSA has embraced a holistic approach to LNG safety oversight as part of an effort to increase effectiveness and efficiency. PHMSA created a HQ-Field divisional relationship where PHMSA HQ's Engineering Division staff perform all engineering design approvals and LOD coordination activities with FERC and a single Field Region office in Houston, Texas, which oversees all LNG facility construction and operations. The consolidation of LNG oversight from five Field Region Offices to a single Region Office enhances communications among staff overseeing LNG facilities from the design phase to full operations. This holistic approach provides PHMSA with greater insight into

the operational safety of these critical components of the energy export infrastructure.

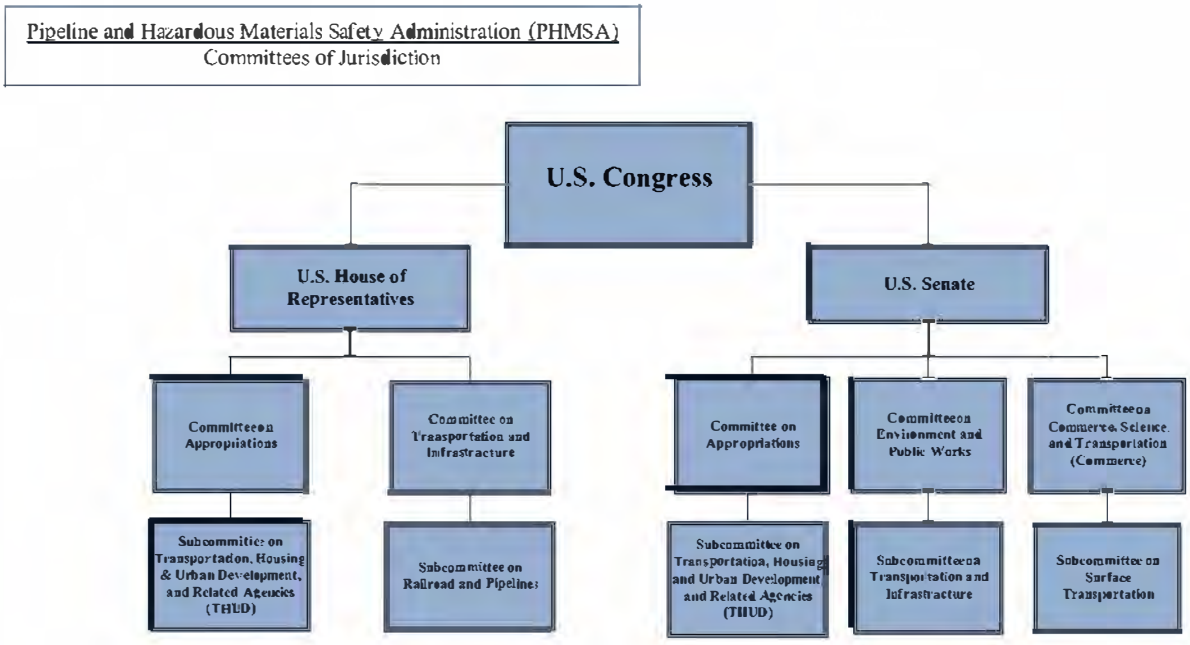
- **Underground Natural Gas Storage Facilities:** In 2018, PHMSA dedicated a group of inspectors to provide safety oversight of almost 400 underground natural gas storage (UNGS) facilities across the Nation. Of the 400 facilities, PHMSA's State partners are currently responsible for inspecting approximately 80 UNGS fields. These facilities had not previously been subject to federal safety oversight. Inspections began in mid-March of 2018. Since then, 160 UNGS facilities have been inspected, including a total of approximately 10,200 wells. For calendar year 2020, PHMSA's UNGS team has inspected over 60 facilities, which include approximately 2600 storage wells to date.

- **New Advisory Committee on Lithium Batteries:** In 2019, PHMSA established a Lithium Battery Air Safety Advisory Committee and a Lithium Battery Safety Working Group in response to the FAA Reauthorization Act of 2018 (Pub. L. 115-254). The Lithium Battery Air Safety Advisory Committee is comprised of 20 industry leaders with expertise in battery design and testing, packaging, consumer electronic devices and automotive manufacturers, retailers, aircraft design, air operators, and emergency response. The Committee is responsible for considering recommendations on the safe transport of lithium batteries. The Lithium Battery Working Group is comprised of Federal agency partners. It is designed to share information on new technologies, to identify best transportation safety practices, and to consider activities to improve the global enforcement for air transportation of lithium batteries. The establishment of the Lithium Battery Working Group will help facilitate the transfer of knowledge and expertise among the USDOT, the Consumer Product Safety Commission, the National Institute on Standards and Technology, and the Food and Drug Administration.

# PHMSA'S ORGANIZATIONAL CHART



# CONGRESSIONAL COMMITTEES WITH JURISDICTION OVER PHMSA



# SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

## Overview

The Saint Lawrence Seaway Development Corporation (SLSDC), a wholly-owned Government Corporation within the USDOT, was created by the Congress in 1954 as the Federal agency responsible for the operations and maintenance of the U.S. portion of the St. Lawrence Seaway between Montreal and Lake Erie. The SLSDC headquarters is located in Washington, D.C., and operations are located in Massena, New York. The agency maintains 143 full-time equivalent (FTE) employees.

The St. Lawrence Seaway is a binational waterway and lock system, which connects the Great Lakes to the Atlantic Ocean for commercial waterway trade and is jointly operated by the United States (SLSDC) and Canada (St. Lawrence Seaway Management Corporation, SLSMC). By law and treaty, SLSDC is required to operate and maintain its portion of the St. Lawrence Seaway, with an identical legislative mandate in Canada for SLSMC. In addition to these legislative authorities, both Nations also executed an Exchange of Notes in 1952 and 1954 establishing the terms of constructing, managing, and operating the Seaway jointly. These diplomatic notes, which have the full force and effect of a treaty between the two countries, have remained in effect since their official exchange.

SLSDC is primarily responsible for maintaining and operating the two U.S. Seaway locks located in Massena, N.Y., and controlling commercial vessel traffic in areas of the St. Lawrence River and Lake Ontario. Primary activities include U.S. lock operations and maintenance, vessel traffic control, vessel safety and environmental inspections, trade promotion and economic development, and capital infrastructure renewal. In addition, SLSDC performs trade and economic development functions designed to enhance Great Lakes St. Lawrence Seaway System utilization.

## History

- SLSDC was created in 1954 as a wholly government-owned corporation. SLSDC is an Operating Administration within the USDOT and is responsible for the operations and maintenance of the U.S. portion of the St. Lawrence Seaway between Montreal and mid-Lake Erie.

- The St. Lawrence Seaway is a binational waterway that opened in 1959. SLSDC's primary operational responsibilities include managing vessel navigation in the U.S. waters of the St. Lawrence River and Lake Ontario, as well as maintaining and operating the two U.S. Seaway locks located in Massena, N.Y.

- SLSDC coordinates its activities closely with its Canadian counterpart, SLSMC, to ensure that the U.S. portion of the St. Lawrence Seaway is available for commercial transit during the navigation season (typically late March to late December each year).

- Since the 15-lock binational waterway's opening in 1959, nearly 3 billion metric tons of cargo, valued at $450 billion, has moved on the St. Lawrence Seaway. In addition,

maritime commerce on the Great Lakes Seaway System provides shippers with approximately $3.6 billion in annual transportation cost savings compared to the next least expensive mode of transportation.[2]

## What We Do

- The St. Lawrence Seaway directly serves an **eight-State region** that accounts for 30 percent of the combined U.S.-Canadian economic activity, as well as over one half of U.S.-Canadian cross-border trade, and is home to nearly one-quarter of the continent's population. The **Great Lakes region is the world's third largest economy,** with an annual economic output of nearly $6 trillion.

- SLSDC operational and capital infrastructure initiatives supporting Great Lakes Seaway System commercial trade **support 147,500 U.S. jobs** and generates associated **annual economic benefits of $26 billion in economic activity**, $11 billion in personal income and local consumption expenditures, and $5 billion in Federal, State, and local tax revenue.

- Annual commerce on the Great Lakes Seaway System typically exceeds **180 million metric tons** and serves U.S. miners, farmers, factory workers, and commercial interests from the Great Lakes region. Virtually **every type of bulk and general cargo commodity moves on the Great Lakes Seaway System**, including **iron ore** for the U.S. steel industry; **limestone** for construction and steel industries; coal for power generation and steel production; **grain** exports from U.S. farms; general cargo, such as **iron and steel products** and **heavy machinery**; and **cement, salt, and stone aggregates** for agriculture and industry.

- The Great Lakes Seaway System is America's green transportation corridor. With superior fuel efficiency and fewer greenhouse gas emissions per metric ton than trucking or rail, Seaway shipping leads the way in environmentally smart transportation. The **Great Lakes/Seaway fleet** is nearly **7 times more fuel-efficient than trucks** and **1.14 times more fuel-efficient than rail**. Moreover, it would take 3 million railcars or 7.1 million trucks to carry the total cargo transported by the Great Lakes/Seaway fleet.

- SLSDC works with the U.S. Coast Guard, Transport Canada, and SLSMC to inspect commercial vessels entering the Seaway to ensure their operational safety and environmental performance.

[2] Great Lakes Navigation System: Economic Strength to the Nation, U.S. Army Corps of Engineers, January 2009.

## What Are Our Resources?

*The President's FY 2022 Budget Request will be finalized in 2021. The following information describes funding that was provided in FY 2020 and that would also be provided under a potential FY 2021 full year Continuing Resolution scenario.*

SLSDC's FY 2020 enacted funding level was $38 million. Within this appropriated total, $22 million was for SLSDC operations and maintenance activities, including funding for 144 employees, while $16 million was allocated for Seaway infrastructure projects.

**SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION**
**Budgetary Resources**
in millions of dollars

| Account | FY 2019 Actual | FY 2020 Actual | FY2021 Continuing Resolution |
|---|---|---|---|
| Operations and Maintenance (HMTF) | 36 | 38 | 38 |
| **Full Time Equivalent Employment** | **127** | **129** | **143** |

## Recent Accomplishments

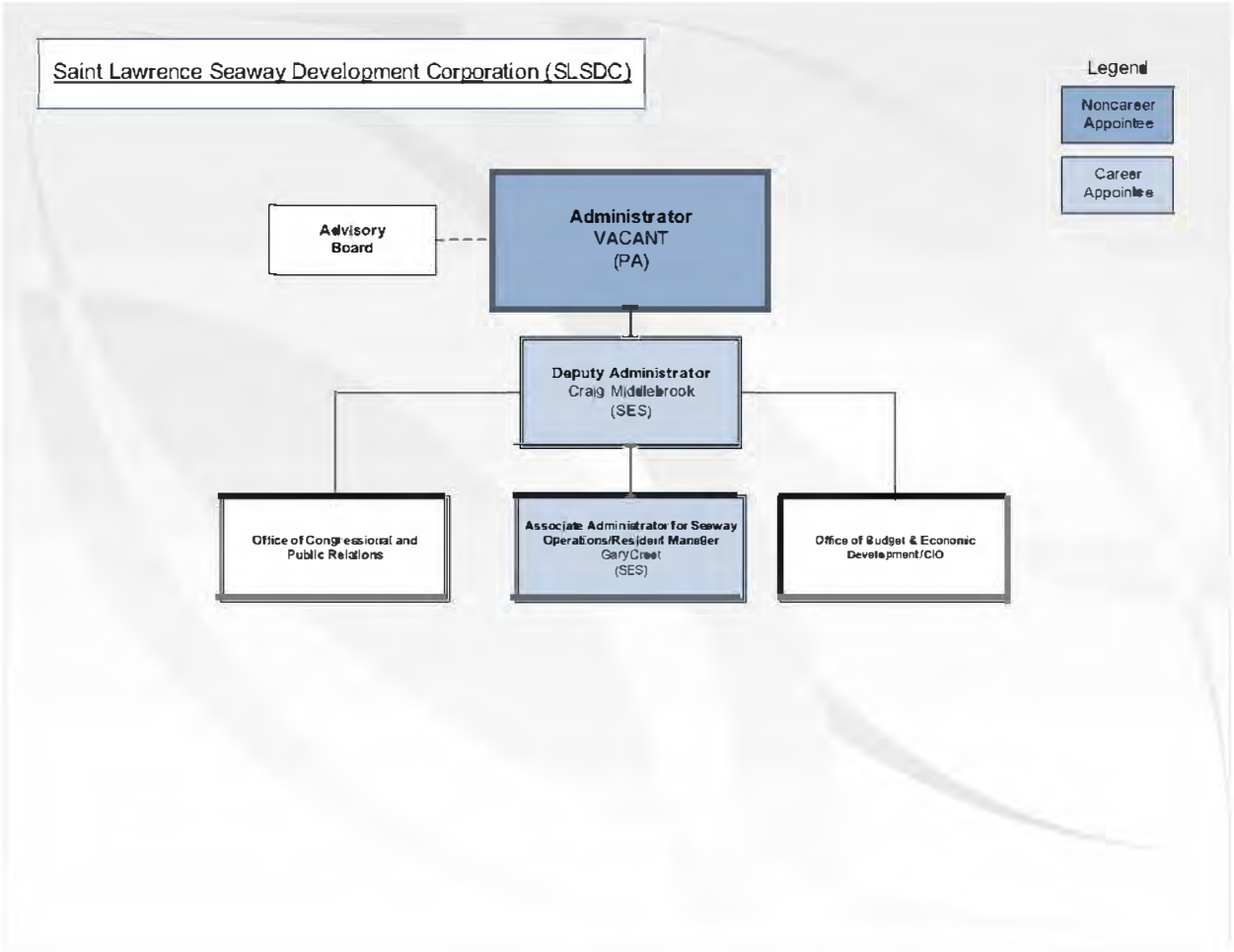
- **SLSDC Infrastructure Asset Renewal:** Started in 2009, SLSDC's infrastructure program has resulted in significant investment and renewal of U.S. Seaway assets in Massena, N.Y. As a Federal government corporation, the SLSDC owns and is responsible for all its infrastructure maintenance and renewal, including locks, channels, buildings, vessels, vehicles, heavy equipment, roadways, and a public vehicular tunnel and bridge. Through the first 12 years of its infrastructure renewal program (FYs 2009-2020), the SLSDC spent $179 million on 59 separate projects. SLSDC's infrastructure program was renamed the "Seaway Infrastructure Program (SIP)" as part of the FY 2021 President's Budget request to build upon the success of the initial multi-year Asset Renewal Program that ended in FY 2020, and to affirm the Federal Government's continued need for and commitment toward annual capital asset investments in the Seaway.

- **Invasive Species Monitoring:** SLSDC, in conjunction with the U.S. Coast Guard, Transport Canada, and SLSMC, has prevented the introduction and establishment of new aquatic invasive species by ships' ballast water discharged in the Great Lakes. In 2007, SLSDC issued new ballast water management regulations for international vessels entering the Great Lakes. Since 2006, no new invasive species that could have been introduced via shipping have become established in the Great Lakes–the longest period of non-establishment on record. This is an indication that the current regulatory regime is working to protect the Great Lakes from new aquatic invaders via the shipping vector.

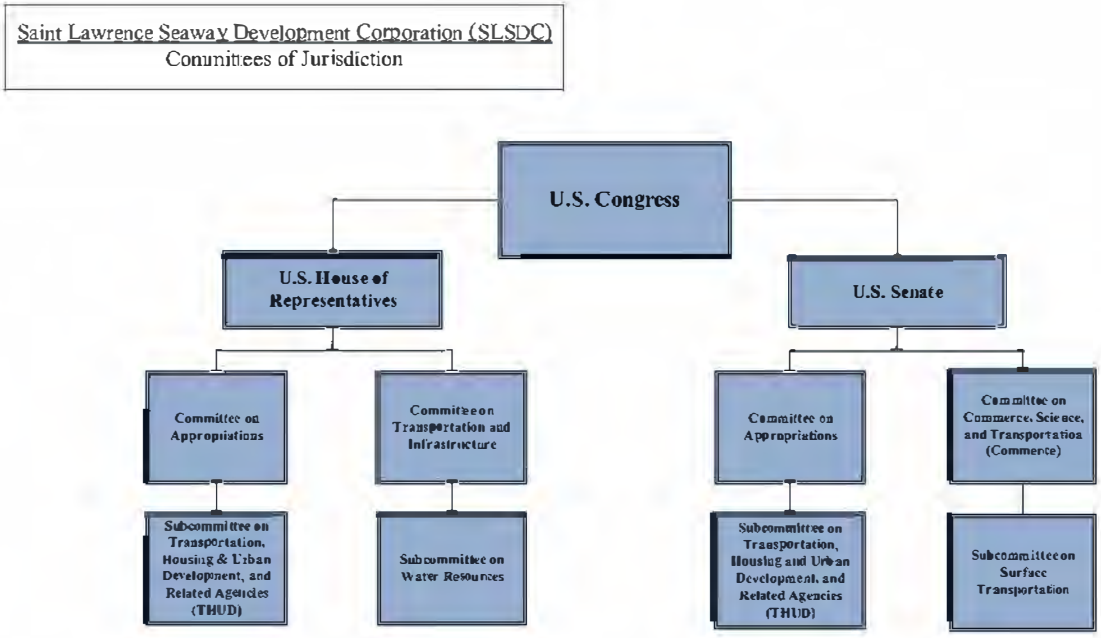
- **Hands Free Mooring (HFM):** In 2019, SLSDC completed infrastructure upgrades to its two locks to incorporate hands-free mooring (HFM) technology. The Seaway's HFM project is the first use of this technology for an inland waterway to move commercial vessels safely and efficiently without the use of mooring lines, while also enhancing workplace safety and improving operational efficiency. The Canadian SLSMC began full operations of the HFM at their Seaway locks during the 2017 navigation season. Now fully implemented at the U.S. and Canadian Seaway locks, the HFM technology produces significant benefits involving improved workplace safety, reduced carrier operating costs, lower emissions, transit efficiencies, and increased system competitiveness.

- ***Seaway Guardian* Tugboat Construction/Delivery:** In August 2020, SLSDC took delivery of its new ice class tugboat, *Seaway Guardian,* to perform its icebreaking, vessel assistance, and buoy commissioning and decommissioning responsibilities. The $24 million tugboat was constructed by Gulf Island Shipyards of Houma, Louisiana, and replaces the SLSDC's 1958 tug *Robinson Bay*. The new tugboat will further enhance the SLSDC's ability to quickly respond and effectively to emergency operational incidents on the St. Lawrence Seaway. The new tug was designed to break up to 36 inches of ice while maintaining a speed of 3 knots.

# SLSDC'S ORGANIZATIONAL CHART



# CONGRESSIONAL COMMITTEES WITH JURISDICTION OVER SLSDC



# OFFICE OF INSPECTOR GENERAL

## Overview

The Office of Inspector General (OIG) remains committed to fulfilling its statutory responsibilities under the Inspector General Act of 1978, as amended (IG Act), while supporting the Secretary, senior DOT officials, the Office of Management and Budget, members of Congress, and the American public in achieving a safe, efficient, and effective transportation system.

OIG fulfills a unique role as the Department's in-house source for objective examination of its programs. OIG is dedicated to providing independent and objective reviews regarding the efficiency and effectiveness of DOT programs and operations in order to detect and prevent fraud, waste, and abuse.

OIG audit recommendations lead to substantial financial and program improvements, including those that enhance safety. In addition, OIG investigations enhance safety by thwarting criminal activities that put lives at risk and protect taxpayer investments through fines, restitutions, and recoveries.

## History

Since Congress established OIG in 1978, OIG has been dedicated to providing independent and objective reviews of the efficiency and effectiveness of programs and operations, and to detecting and preventing fraud, waste, abuse, and violations of law related to DOT.

## What We Do

- OIG's mission is unique within the Department. OIG conducts audits and investigations to provide an independent source of recommendations leading to recoveries of significant amounts of improper payments, cost-saving opportunities, and program improvements that directly enhance the safety, efficiency, and effectiveness of the Nation's transportation system. By law, the Inspector General reports to the Secretary of Transportation and Congress.

- OIG has statutory law enforcement authority permitting our special agents to carry firearms, execute searches, and make arrests. OIG often collaborates with other Federal, State, and local law enforcement entities and must report potential criminal violations to the Attorney General. OIG's Office of Investigations also manages a Hotline Complaint Center that is staffed 24 hours a day, seven days a week. This office is also responsible for investigating whistleblower complaints, including those referred to the Department by the U.S. Office of Special Counsel.

- The Office of Auditing and Evaluations is comprised of auditors, analysts, information technology experts, economists, statisticians, and engineers. Besides conducting program oversight, our audit staff also specialize in financial management and acquisition and contract management.

## What Are Our Resources?

*The President's FY 2022 Budget Request will be finalized in 2021. The following information describes funding that was provided in FY 2020 and that would also be provided under a potential FY 2021 full year Continuing Resolution scenario.*

**Salaries and Expenses:** The FY 2020 enacted funding level for OIG was $94.6 million in support of 400 full-time equivalents (FTE). Of this amount, over 75 percent supported personnel compensation and benefits costs, with the remaining budget made up of mostly fixed operating costs largely beyond control, such as rent and Working Capital Fund costs. OIG also supported three FTEs with carryover funding from the Disaster Relief Appropriations Act of 2013 (DRAA) and received $5 million in supplemental appropriations from the Coronavirus Aid, Relief, and Economic Security Act of 2020 (CARES Act), which remains available until expended.

OIG has consistently demonstrated a commitment to achieving a significant return on investment (ROI). For every dollar appropriated to OIG in FY 2016, $54 was returned—a cumulative result of the following body of work: 118 audit reports containing 341 recommendations, and investigations resulting in 93 indictments and 72 convictions. This work led to five Congressional testimonies in FY 2016; produced more than $4.7 billion in financial recommendations, including fines, restitutions, and recoveries. Over the most recent five fiscal years, from FY 2012 through FY 2016, OIG achieved an average ROI of $35 for every appropriated dollar.

**OFFICE OF INSPECTOR GENERAL**
**Budgetary Resources**
in millions of dollars

| Account | FY 2019 Actual | FY 2020 Actual | FY2021 Continuing Resolution |
|---|---|---|---|
| Salaries and Expenses | 92.6 | 94.6 | 94.6 |
| CARES Act | 0 | 5 | 0 |
| **Full Time Equivalent Employment** | **406** | **400** | **400** |

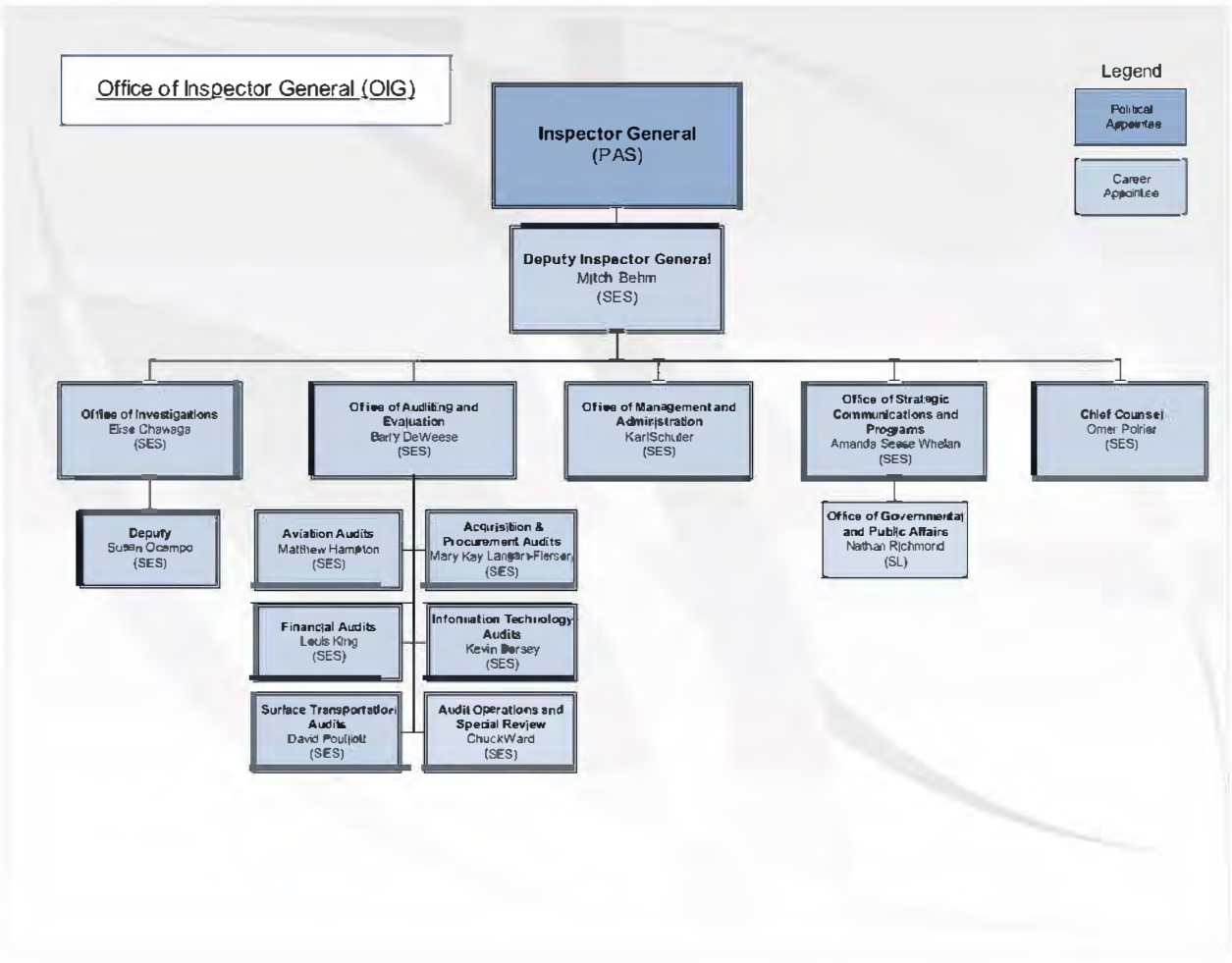
## Recent Accomplishments

- **Financial Impact of Oversight:** OIG has consistently demonstrated a commitment to achieving a significant return on investment (ROI). For every dollar appropriated to OIG between FYs 2016 and 2020, OIG achieved an average ROI of $33 to $1. In FY 2020, this was a cumulative result of the following work: 51 audit reports containing 215 recommendations, and investigative work resulted in 71 indictments and 47 convictions. This work produced over $7 billion in financial recommendations and $130 million in fines, restitutions, recoveries, and forfeitures.

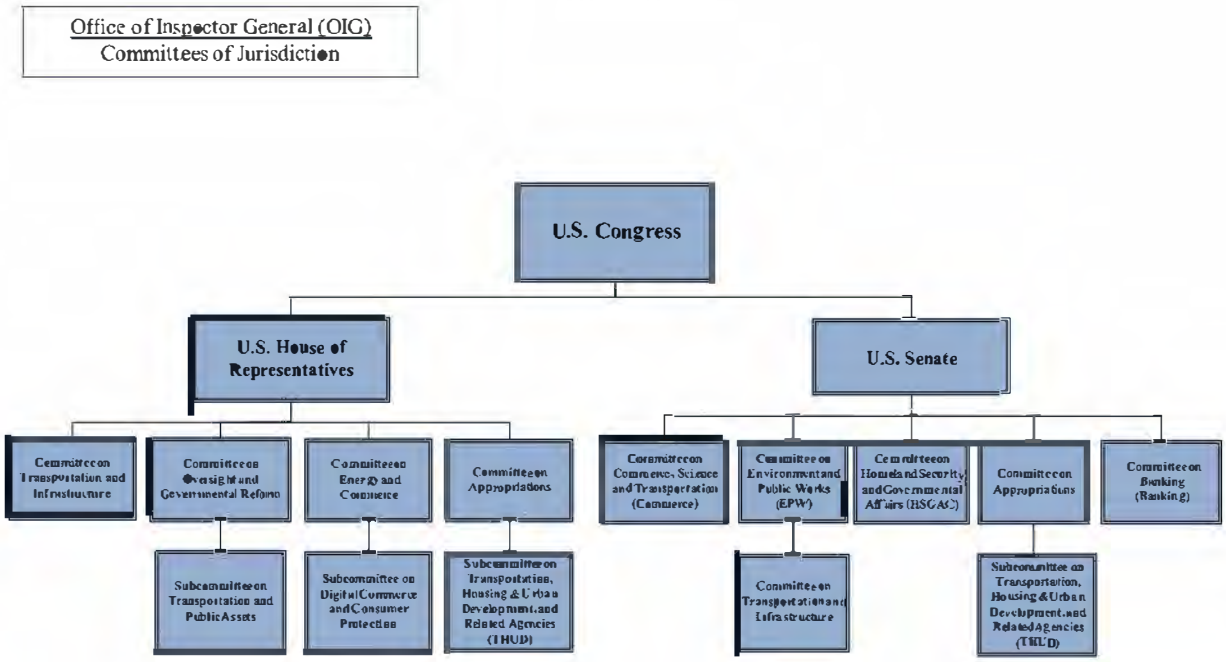
- **Program and Safety Oversight:** In addition to monetary recoveries, many of OIG's audits and investigations are aimed at achieving nonfinancial benefits. These include identifying efficiencies; recommending improvements to programs; and conducting criminal, civil, and administrative investigations of fraud and other allegations affecting Department programs. Our audits and investigations support the Department's strategic goals, including transportation safety, its number one priority. For example, OIG's audit work includes the assessment of key safety areas, ranging from oversight of air carrier safety and maintenance by the Federal Aviation Administration (FAA), oversight of States' compliance with commercial driver's license programs and monitoring of certified medical examiners conducting physical examinations of drivers by the Federal Motor Carrier Safety Administration (FMCSA), oversight of railroads' drug and alcohol testing programs by the Federal Railroad Administration, aging pipeline infrastructure maintenance by the Pipeline and Hazardous Materials Safety Administration (PHMSA), and the National Highway Traffic Safety Administration's efforts to identify safety-related vehicle defects and monitor safety recalls.

- **Investigations:** OIG investigations support improved transportation safety by pursuing cases of suspected reincarnated motor carriers attempting to evade commercial trucking out-of-service orders, trafficking of substandard aviation parts, falsification of aviation maintenance records, transportation of hazardous materials, and falsification of medical certificates for pilots and holders of commercial driver's licenses. Our investigations also continue to engage in a number of multimodal outreach efforts. These include working with PHMSA and its State partners to ensure timely referrals regarding violations of the Pipeline Safety Act, working with FMCSA to protect consumers from fraudulent household goods moving companies, and coordinating with FAA in the criminal enforcement of unmanned aviation systems.

# OIG'S ORGANIZATIONAL CHART



# CONGRESSIONAL COMMITTEES WITH JURISDICTION OVER OIG



# OFFICE OF THE SECRETARY OF TRANSPORTATION

## Overview

The Office of the Secretary (OST) oversees the formulation of national transportation policy and promotes intermodal transportation. OST is responsible for overall policy development, planning, direction, and oversight of the Department, as well as the administration of a broad array of programs. Other responsibilities include negotiation and implementation of international transportation agreements, assuring the fitness of U.S. airlines, executing programs for airline service to rural communities, diplomatic outreach to foreign governments on transportation issues, issuing and enforcing airline consumer protection regulations, issuance of regulations to prevent alcohol and illegal drug misuse in transportation systems, and providing expertise and support in the crafting of transportation legislation. OST also implements key infrastructure grant programs, including the Better Utilizing Investments to Leverage Development (BUILD) and the Infrastructure for Rebuilding America (INFRA) discretionary grant programs. The National Surface Transportation and Innovative Finance Bureau, also known as the Build America Bureau, broadens the availability of funding and financing through the Transportation Infrastructure Finance and Innovation Act (TIFIA) loan program for infrastructure.

## History

- Since the Department's inception in 1966, the Office of the Secretary has provided oversight and direction to the other Operating Administrations throughout the Department.

- Over the past 53 years, 18 Secretaries have led the Department through many key events in the history of transportation including:

    - The creation of the Department in 1966 and its opening in 1967;
    - The implementation of the first state safety belt laws, air bags in cars, and a national legal drinking age in 1984;
    - The passage of the Air Carrier Access Act of 1986;
    - The Exxon Valdez oil spill response in 1989, and the subsequent passage of the Oil Spill Response Act;
    - The passage of the Americans with Disabilities Act in 1990;
    - The completion of the Interstate Highway System in 1992;
    - The response to the attacks of September 11, 2001;
    - The creation of the Transportation Security Administration (TSA);
    - The departure of the U.S. Coast Guard and TSA to the newly created Department of Homeland Security in 2003;
    - The negotiation of liberalized air transport agreements with 130 open-skies partners around the world;
    - The implementation of the FAA's Next Generation Air Transportation System to improve the daily operations of the entire National Airspace System beginning in 2004;
    - Leadership in recent emerging safety issues such as distracted driving and the safe transport of energy products by rail; and

- The emergence of new transportation technologies, such as automated vehicles and unmanned aerial systems.

- In FY 2016, the Build America Bureau was officially launched. Established by the Fixing America's Surface Transportation (FAST) Act (Public Law (P.L.) 114-94), the Bureau consolidated the Transportation Infrastructure Financing and Innovation Act (TIFIA, previously in the Federal Highway Administration), Railroad Rehabilitation and Improvement Financing (RRIF, previously in the Federal Railroad Administration), and Private Activity Bonds (PABs) programs into the Office of the Under Secretary of Transportation for Policy.

- In FY 2019, the Office of the Assistant Secretary for Research and Technology was reorganized into the Office of the Under Secretary of Transportation for Policy to better coordinate research across the Department.

- In March 2020, the General Services Administration (GSA) purchased the DOT Headquarters building. On October 30, 2020, DOT received delegated authority from GSA to manage building operations and maintenance.

**What We Do**

- **Oversight of the Department's Operations:** OST is responsible for overall policy development, planning, direction, and oversight of the Department as well as the administration of a broad array of programs, ranging in size from the BUILD competitive grant program to the Small Business Transportation Resource Center (SBTRC) cooperative agreement program. In addition to formulating national transportation policy and promoting intermodal transportation, OST has programmatic responsibilities, such as negotiating and implementing international transportation agreements; enforcing aviation consumer protection, civil rights and economic regulations; administering Essential Air Service subsidies; and issuing regulations to prevent alcohol and illegal drug misuse in transportation systems.

- **Credit Programs and Discretionary Grants:** The Build America Bureau drives transportation infrastructure development projects in the United States by streamlining credit opportunities and grants more quickly and transparently, while providing technical assistance and encouraging innovative best practices in project planning, financing, delivery, and monitoring. As of September 2020, the Bureau's combined TIFIA and RRIF loan portfolio totals over $30 billion, and has supported over $123 billion in overall project costs. Since 2009, we have awarded 609 BUILD grants, and since the inception of INFRA authorized under the FAST Act, 94 INFRA grants have been awarded, both totaling over $11.9 billion in grant funding.

- **Essential Air Service (EAS):** The EAS subsidizes approved air carriers to serve communities that otherwise may not receive any scheduled air service. As of September 2020, 170 communities across the country, including 60 in Alaska, receive subsidized scheduled air service. The FY 2020 program cost, including administration and subsidy obligations, was $327.8 million. The program is funded through a combination of

mandatory funding from overflight fees collected by the Federal Aviation Administration (*i.e.,* fees levied upon flights neither originating from or landing in the United States) and a discretionary "Payments to Air Carriers" appropriation. In FY 2020, the program received $56 million from the Coronavirus Aid, Relief, and Economic Security (CARES) Act (P.L. 116-136) "to prevent, prepare for, and respond to coronavirus."

- **Small Communities Air Service Development Program (SCASDP):** USDOT annually awards SCASDP grants to small and rural communities on a competitive basis for them to enhance their air service. SCASDP is a flexible grant aid funding program for small and rural communities, as it does not have pre-set eligible cities or minimal service requirements (as compared to EAS). The program has received $10 million annually in recent years, which is transferred from the Federal Aviation Administration Airport and Airway Trust Fund. The demand for grant funds always exceeds available resources. Under the last completed NOFO cycle, SCASDP awarded 18 grants in 18 states.

- **Opening International Markets for Air Services:** With interagency partners, the Department negotiates liberalized air transport agreements, such as those with our 130 open-skies partners, as well as incremental liberalization of air services in more restrictive aviation regimes.

- **Enforcement of Aviation Economic, Consumer Protection, and Civil Rights Requirements:** USDOT's Office of Aviation Consumer Protection assists, educates, and protects aviation consumers by: reviewing and responding to consumer complaints about air travel; investigating and enforcing as appropriate violations of aviation consumer protection, consumer protection, and civil rights and licensing requirements against airlines and ticket agents; and assessing the need for and drafting aviation regulations. The Department also publishes data on airline performance on a monthly basis and, as part of its outreach efforts, meets regularly with stakeholders including, disability, civil rights, and consumer advocates as well as airline representatives.

- **Multimodal Research, Technology, Statistics and Training:** The Office of the Assistant Secretary for Research and Technology (OST-R), within the Office of the Under Secretary of Transportation for Policy, provides opportunities for increased research collaboration and coordination across the Department by:

    - **Championing research, technology and planning for all modes of transportation;**

    - Enabling **increased access to research knowledge and data;**

    - Providing multi-disciplinary and multi-modal support across the Department and beyond through the **Volpe National Transportation Systems Center**, and

    - Providing multimodal safety training through the **Transportation Safety Institute**.

## What Are Our Resources?

*The President's FY 2022 Budget Request will be finalized in 2021. The following information describes funding that was provided in FY 2020 and that would also be provided under a potential FY 2021 full year Continuing Resolution scenario.*

**OFFICE OF THE SECRETARY**
**Budgetary Resources**
in millions of dollars

| Account | FY 2019 Actual | FY 2020 Actual | FY2021 Continuing Resolution |
|---|---|---|---|
| SALARIES AND EXPENSES (GF) | 113.9 | 115.5 | 115.5 |
| NAT'L SURFACE TRANSP. AND INNOVATIVE FINANCE BUREAU (GF) | 5 | 5 | 5 |
| TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT (GF) | 7.9 | 10.9 | 10.9 |
| OFFICE OF CIVIL RIGHTS (GF) | 9.5 | 9.5 | 9.5 |
| FINANCIAL MANAGEMENT CAPITAL (GF) | 2 | 2 | 2 |
| ESSENTIAL AIR SERVICE (SF) | 145.4 | 112.1 | 82.6 |
| PAYMENTS TO AIR CARRIERS (TF) | 175 | 162 | 162 |
| NATIONAL INFRASTRUCTURE INVEST. (BUILD) (GF) | 900 | 1,000.00 | 1,000.00 |
| RESEARCH AND TECHNOLOGY (GF) | 8.5 | 21 | 21 |
| CYBER SECURITY INITIATIVES (GF) | 15 | 15 | 15 |
| SMALL AND DISADVANTAGED BUSINESS UTILIZ. & OUTREACH (GF) | 4 | 4.6 | 4.6 |
| **TOTAL** | **1,386.10** | **1,457.60** | **1,428.10** |
| CARES ACT: SALARIES AND EXPENSES (GF) | 0 | 1.8 | 0 |
| CARES ACT: ESSENTIAL AIR SERVICE (GF) | 0 | 56 | 0 |
| **Full Time Equivalent Employment** | **1,404** | **1,436** | **1,430** |

The FY 2021 Continuing Resolution (CR) funding level, based on the FY 2020 enacted appropriations for OST, is $1.5 billion. This funding level supports the following existing programs and activities.

### Salaries and Expenses (S&E)–$115.5 million

The FY 2021 CR funding level supports salaries and expenses for the Secretarial offices, including operating expenses such as salaries and benefits, rent, utility, equipment, and communication services. In FY 2020, the S&E account received $1.753 million in CARES Act funding "to prevent, prepare for and respond to coronavirus."

### Financial Management Capital–$2.0 million

The Financial Management Capital program enhances DOT's financial systems and improves business processes. Examples include automation of manual processes, improvement of reporting compatibilities, and compliance with required mandates.

### Departmental Office of Civil Rights–$9.5 million

The Office of Civil Rights works to support and advance internal and external civil rights initiatives, to administer Federal civil rights statutes, and to investigate Equal Employment Opportunity complaints.

**Small and Disadvantaged Business Utilization and Outreach–$4.6 million**

The mission of the Office of Small and Disadvantaged Business Utilization (OSDBU) is to ensure the Small Business policies and goals of the Secretary of Transportation are implemented in a fair, efficient, and effective manner, and to ensure that effective outreach activities are in place to assist small businesses owned and controlled by socially and economically disadvantaged individuals. The Office administers the Small Business Transportation Resource Centers (SBTRC), which are established regionally through cooperative agreements with 501 (c)(3) and (6) organizations that provide business training and counseling, technical assistance, and disseminate information to transportation-related small business concerns.

**Transportation Planning, Research and Development (TPR&D)–$10.9 million**

The TPR&D program finances research and development activities and studies concerned with the planning, analysis, and information development needed to support the Secretary's responsibilities in the formulation of national transportation policies and international priorities. This program includes the Interagency Infrastructure Permitting Improvement Center (IIPIC), which focuses on improving the efficiency of the Federal permitting process for major infrastructure investments.

**National Infrastructure Investments (NII)–$1.0 billion**

The NII grants program, also known as the Better Utilizing Investments to Leverage Development (BUILD) discretionary grants program provides funding on a competitive basis for capital investments in surface transportation infrastructure projects that will have a significant local or regional impact.

**National Surface Transportation and Innovative Finance Bureau (The Bureau)–$5.0 million**

The Bureau was established pursuant to provisions of the Fixing America's Surface Transportation (FAST) Act of 2015. The Bureau facilitates targeted Federal investments in infrastructure by streamlining the USDOT's innovative finance programs. The Bureau also provides technical assistance and facilitates innovative best practices focused on expediency in procurement, environmental review, permitting, project delivery, and monitoring.

**Cyber Security Initiatives–$15.0 million**

This funding supports key program enhancements, infrastructure improvements, and contractual resources to enhance the security of the USDOT network and to reduce the risk of security breaches. The FY 2021 CR funding also supports USDOT's efforts to continue to improve the compliance of D●T's cyber security posture.

**Research and Technology (R&T)–$21.0 million**

This account provides funds for salaries and expenses supporting research and development activities and oversight, data collection and statistical analysis programs to support data-driven decision-making; Department-wide Research, Development and Technology Coordination;

Nationwide Differential Global Positioning System; and Positioning, Navigation and Timing programs. In FY 2020, funds were also appropriated for: Tier 1 University Transportation Centers grants ($5 million), Emergency Planning Transportation Data Initiative ($1 million), Transportation Resilience Metrics Study ($1 million), and the Highly Automated Systems Safety Center of Excellence ($5 million).

**Essential Air Service (EAS)/Payments to Air Carriers (PAC)–$312.7 million (combined)**

The EAS program provides subsidized commercial air service to 170 small and rural communities in the United States (as of September 2020) that otherwise may not receive any scheduled air service. The FY 2021 CR funding level for the EAS program is $244.6 million which includes an estimated $82.6 million of mandatory funding from the overflight fees collected by FAA and a $162 million PAC discretionary appropriation. The $82.6 million in projected fee revenue reflects FAA's current projections for reduced air travel in FY 2021 caused by COVID-19.

**Recent Accomplishments**

- **Automated Vehicles (AV):** In 2020, the Department released *Ensuring American Leadership in Automated Vehicle Technologies: Automated Vehicles 4.0*, which seeks to ensure a consistent Federal government approach to AV technologies, and to detail the authorities, research, and investments being made across the government so that the United States can continue to lead AV technology research, development, and integration. AV 4.0 builds upon *Preparing for the Future of Transportation: Automated Vehicles 3.0*, by expanding the scope to 38 relevant Federal government components that have equities in safe development and integration of AV technologies.

- **BUILD Grants:** Since 2009, the Program has provided a combined $7.9 billion to 609 projects in all 50 states, the District of Columbia, Puerto Rico, Guam, and the Virgin Islands. Over the last four years, USDOT has awarded $3.8 billion in BUILD grants.
    - DOT awarded 55 BUILD grants in FY 2019 to all 50 States, the District of Columbia. Puerto Rico, and the U.S. Virgin Islands.
    - DOT awarded 70 BUILD grants in FY 2020 to all 50 States, Guam, and the U.S. Virgin Islands.

- **Commodity IT Shared Services:** The Office of the Chief Information Officer (OCIO) has begun consolidating commodity information technology (IT) services provided by the Operating Administrations (OA) into the Departmental IT Shared Services program to streamline management, to capture efficiencies, to improve customer service, and to enable the OAs to focus on their core missions.
    - As of September 2020, $52 million in OA commodity IT has been transitioned to the OA help desk and IT support services contracts.
    - OCIO continues to work with the OAs to transition the remaining $111 million.
    - OCIO is currently transferring 31 IT positions from the OAs into OST to support the commodity IT Shared Services program.

- **Cyber Security:** OCIO has been enhancing the Departmental cyber security program and posture, leveraging the IT commodity consolidation to establish a strong foundation, and focusing on additional investment in FY 2021 and beyond to address specific capabilities, reduce risk, and mitigate vulnerabilities.
    - As of August 2020, the Department was assessed as "Managing Risk" in accordance with Federal criteria established by the Office of Management and Budget and the Department of Homeland Security.
    - USDOT experienced no major incidents or breaches within the last three fiscal years.
    - USDOT trained and tested more than 50,000 personnel in phishing awareness and response.
    - OCIO is in the process of implementing additional advanced capabilities to enable and protect DOT personnel working remotely and with services in the cloud.

- **Safety Data Initiative (SDI):** Started in 2017, the SDI seeks to better identify systemic factors contributing to safety risks, focusing on integrating data and leveraging private sector data sources, creating captivating and intuitive data visualizations, and using advanced analytic techniques and methods.
    - Data visualization work done in collaboration with NHTSA led to new interactive dashboards to better understand traffic deaths from Fatality Analysis Reporting System (FARS) data.
    - Pedestrian fatality research was published in the peer reviewed Accident Analysis & Prevention, and the visualization of the work was highlighted at the Transportation Research Board.
    - The Solving for Safety Data Visualization Challenge, sponsored by the Bureau of Transportation Statistics, led the Ford Motor Company to commercialize their Safety Insights product.
    - In June 2020, OST announced more than $3 million in awards to State, local, and Tribal governments to develop, implement, and refine safety tools to improve policy and decision–making among all partners, with the final work products intended to be blueprints that can be scaled and replicated in other jurisdictions.
    - In September 2020, OST announced awards for four contracts to explore approaches that use new data sources and/or data unavailable to the DOT to gain novel, usable, and actionable insights focused on precursors to crashes, pedestrians and bicyclists, and intersections.

- **Non-Traditional and Emerging Transportation Technology (NETT):** The NETT Council is tasked with identifying and resolving jurisdictional and regulatory gaps that may impede the deployment of new technology, such as tunneling, hyperloop, autonomous vehicles, and other innovations.
    - In July 2020, USDOT released *Pathways to the Future of Transportation*; this document provides guidance for hyperloop systems by stating that the Federal Railroad Administration has the necessary oversight authority for hyperloop systems that use maglev technology.
    - To support this document, USDOT released a Request for Comment (RFC) in 2019 to receive public input, and visited the Virgin Hyperloop test track outside of Las Vegas, Nevada, and the Hyperloop Transportation Technology showroom in Los Angeles, California in February 2020.

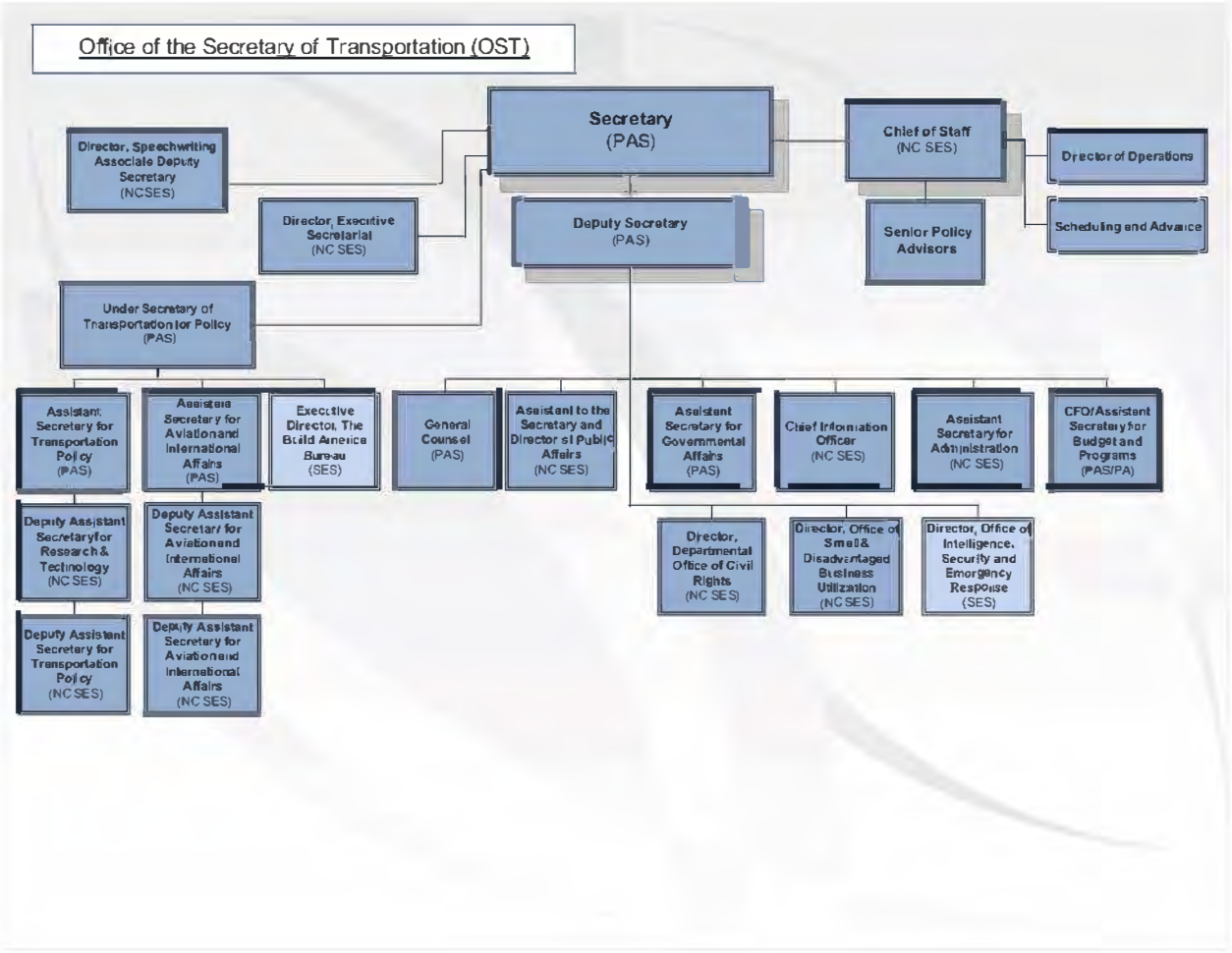
- In July 2020, USDOT released an RFC asking for feedback on the *Pathways* document and next steps for the NETT Council.

- **Executive and Political Resources Center:** A strategic goal of the Department of Transportation (DOT) and the Departmental Office of Human Resources (DOHRM) is its management objective centered upon *Excellence*. Among these management oriented priorities, we are striving to: 1) maximize efficiencies of our business processes and procedures through standardization and transparency; 2) leverage economies of scale; and 3) enhance service to our customers both internally and externally.

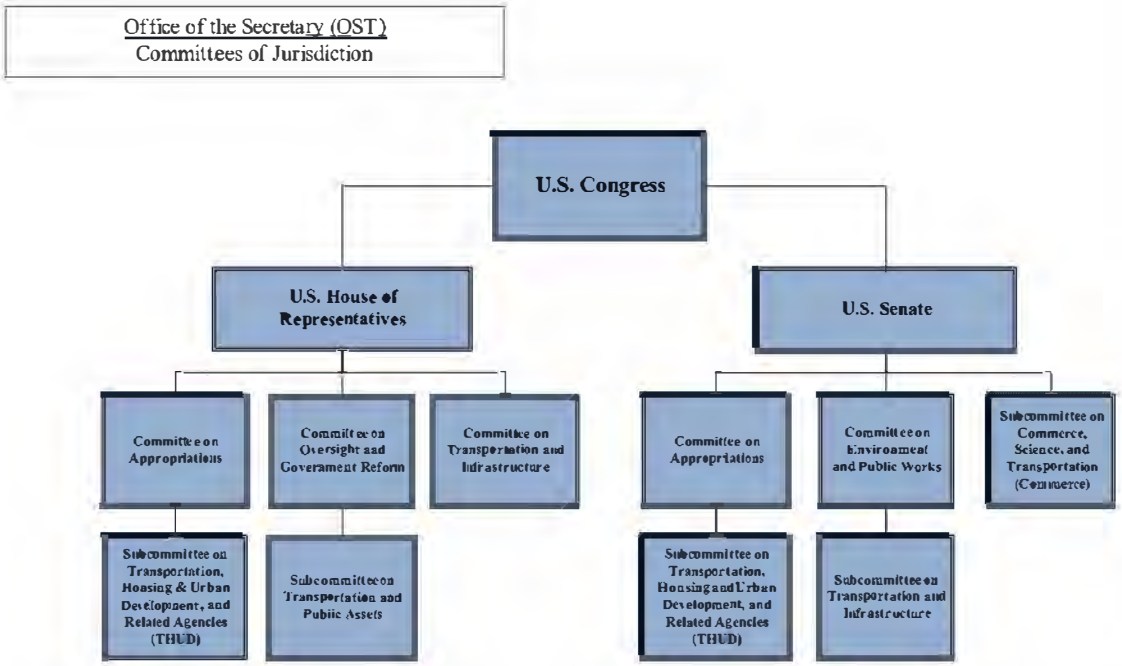
  Departmental senior leadership continues to support an effective business process road map critical for effective management of its executive resources service delivery model. To accomplish this, a Shared Services Center was established to provide operational services for all matters relating to Executive and Political Resources, including providing human resources services to all noncareer appointees. Under a consolidated Center of Excellence (COE), executive and political resources services include functions such as: position establishment and classification; performance management, bonuses and awards; recruitment and staffing; executive and professional development; benefits; and adverse/performance-based actions. In September 2019, USDOT received approval from the House and Senate to move forward with the permanent standup of the Executive and Political Resources Center.

- **Build America Bureau:** Over the past several years, the Bureau has made progress expanding access to Federal credit for infrastructure projects and other improvements to the administration of credit programs in USDOT:
  - Loan Financing: Over $11 billion in loan financing was approved for eligible projects between FY 2017 and FY 2020; these 28 loans funded nearly $36 billion in infrastructure cost and the borrowers are responsible to pay back the loans, with interest, using non-Federal revenues ultimately reducing Federal share in those projects.
  - Early Repayment: Over $8.2 billion of outstanding loan amounts was repaid early between FY 2017 and FY 2020; these 21 loans repaid Federal credit assistance years ahead of their final maturity, greatly reducing the Federal exposure and returning those funds to the U.S. Treasury.
  - Savings to Borrowers: Loans approved between FY 2017 and FY 2020 are projected to save project sponsors around $4-5 billion in financing costs compared to traditional financing in the capital markets; on average, this represents a 35-45 percent saving for eligible projects as compared to traditional alternatives.

# OST'S ORGANIZATIONAL CHART



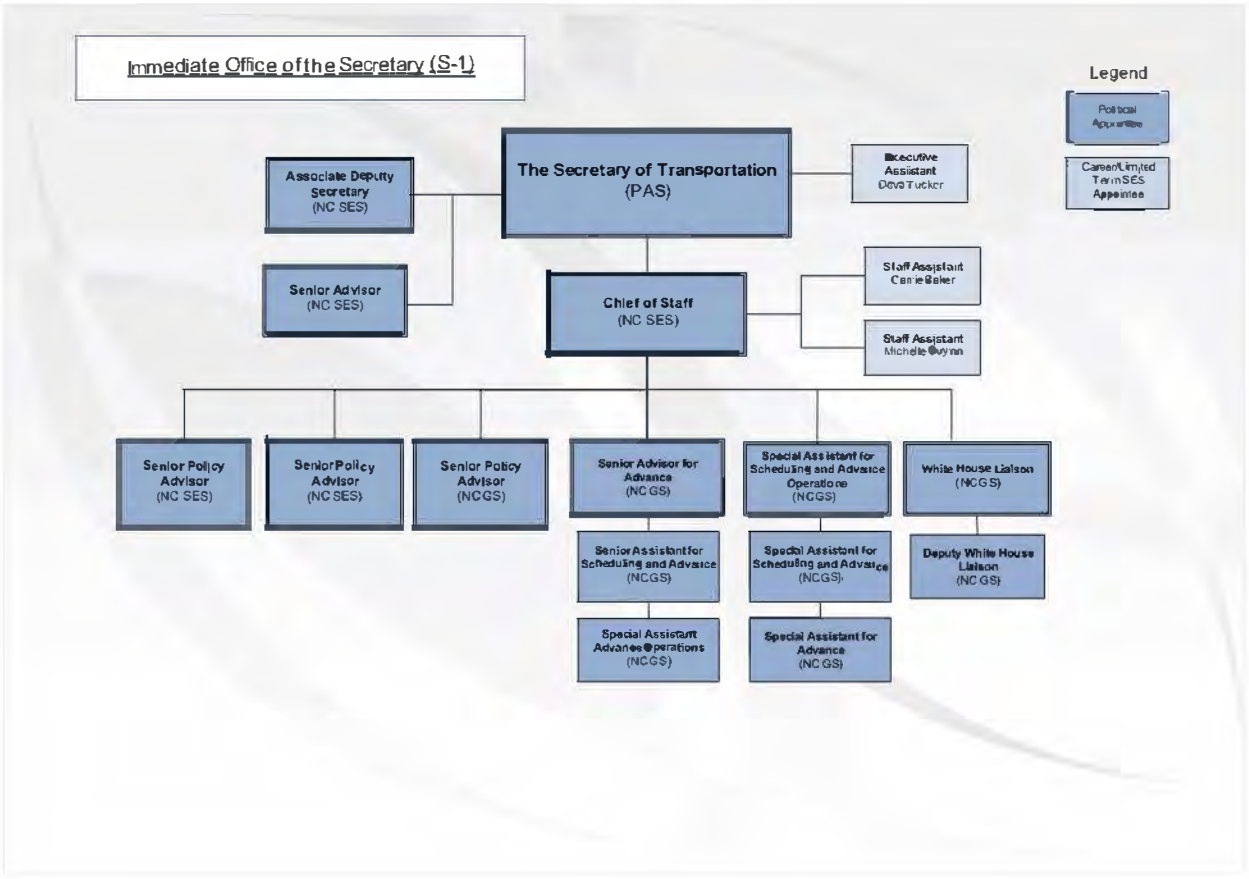
# CONGRESSIONAL COMMITTEES WITH JURISDICTION OVER OST



# INDIVIDUAL OST OFFICES

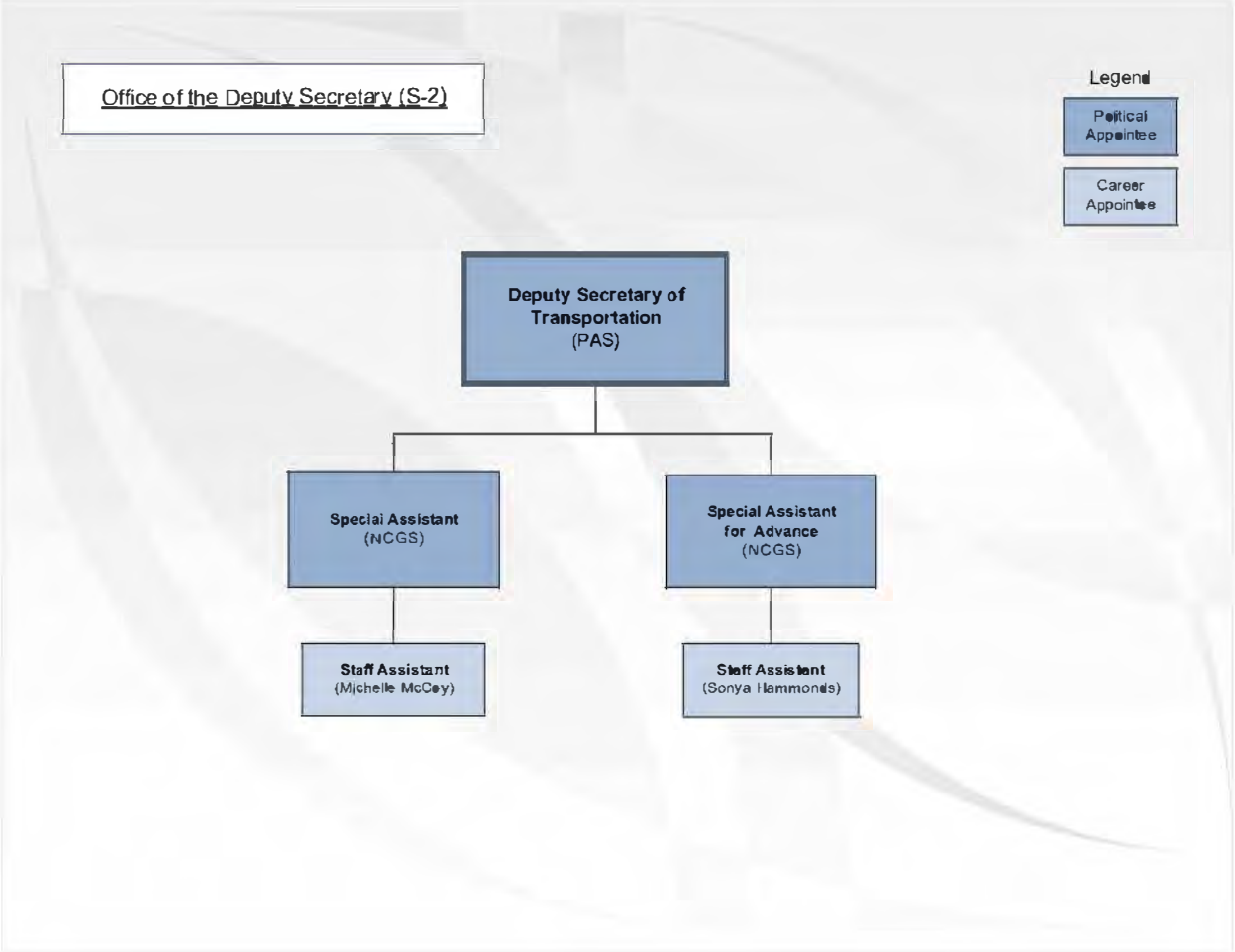
## OFFICE OF THE SECRETARY (S-1)

Leadership of the Department is provided by the Secretary of Transportation, who is the principal advisor to the President in all matters relating to federal transportation programs. The *Immediate Office of the Secretary* provides leadership to DOT and develops a shared understanding of DOT's mission, vision and strategic goals. The Office is responsible for the overall planning, direction and control of DOT's agenda.



## OFFICE OF THE DEPUTY SECRETARY (S-2)

The *Office of the Deputy Secretary* assists the Secretary in the overall planning, direction and control of D●T's agenda.



## OFFICE OF THE UNDER SECRETARY OF TRANSPORTATION FOR POLICY (S-3)

The *Under Secretary of Transportation for Policy* serves as a principal advisor to the Secretary and provides leadership in the development of policies for the Department, generating proposals and providing advice regarding legislative and regulatory initiatives across all modes of transportation. The Under Secretary ensures coordination between the Department's budget development and policy development functions. The Under Secretary also directs transportation policy development, and works to ensure that the Nation's transportation resources function as an integrated national system. By statute, the Under Secretary is third in the Department's order of succession.

The *Assistant Secretary for Transportation Policy (OST-P)* is responsible for recommending overall surface transportation policy initiatives to the Secretary. The Office coordinates multi-modal initiatives and processes, such as the development of USDOT's proposed reauthorization language, and the implementation of the President's Executive Order and Presidential Memoranda on improving the process for environmental reviews of transportation infrastructure projects.

- Within this office, the *Infrastructure Permitting Improvement Center* (IPIC) advances reforms to improve interagency coordination and expedite permitting and environmental review of major infrastructure projects while achieving improved community and environmental outcomes. The IPIC manages the Federal Permitting Dashboard, an online tool to track the Federal government's permitting and review process for large or complex infrastructure projects. The Dashboard is an element of a government-wide effort to streamline the Federal permitting and review process while increasing transparency, in addition to improving environmental and community outcomes.

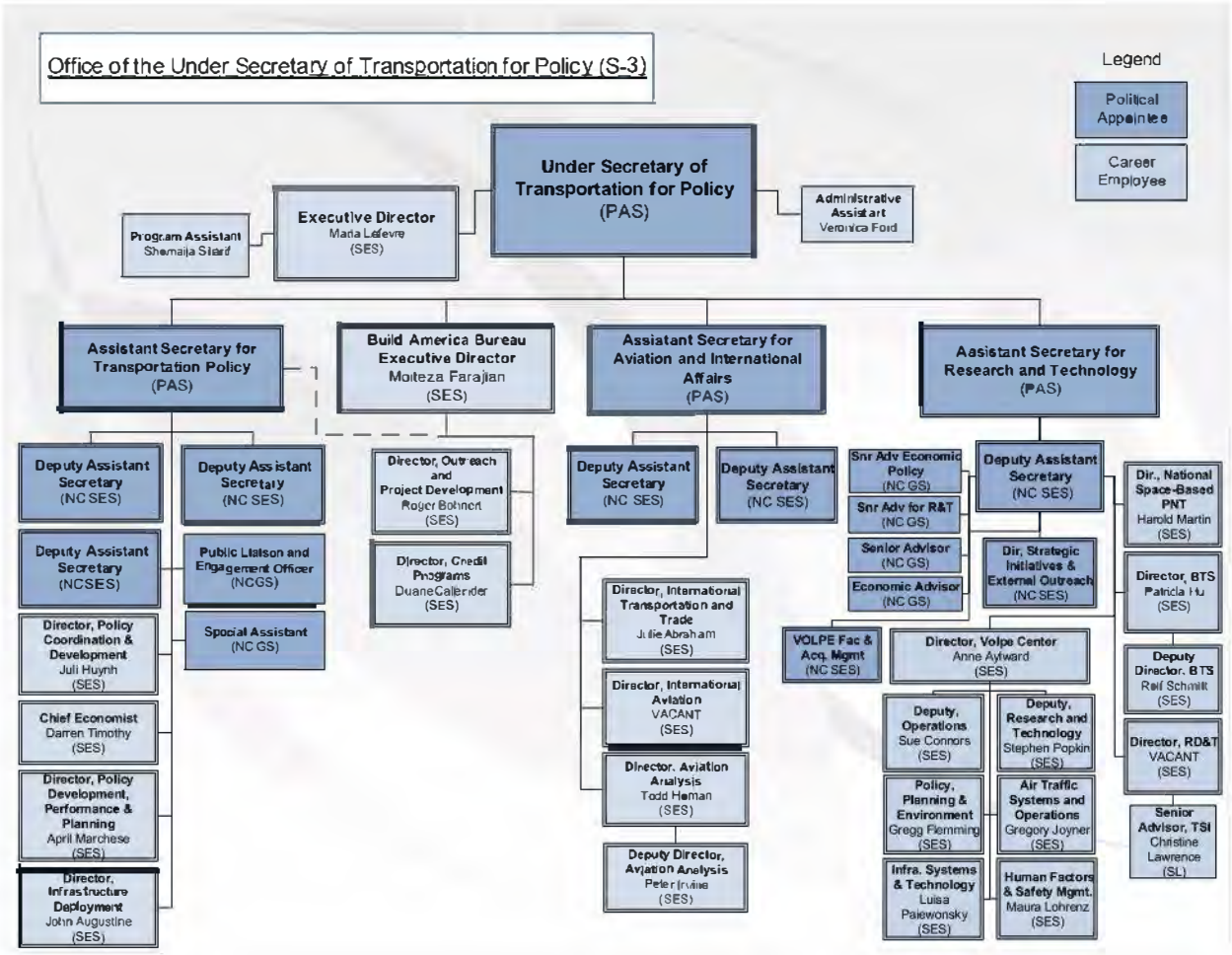
The *Assistant Secretary for Aviation and International Affairs (OST-X)* is the principal advisor to the Secretary on domestic and international economic aviation matters and international surface transportation policy and trade. The Assistant Secretary serves as the Departmental decision–maker in proceedings involving the allocation of international aviation route authority, licensing of air carriers, providing air services to rural communities, and grants of antitrust immunity for international aviation alliance activities. In addition, the Assistant Secretary leads the Department's efforts on international cooperation, export promotion, and trade facilitation in transportation.

The *Build America Bureau* (the "Bureau") is responsible for driving transportation infrastructure development projects in the United States. The Bureau streamlines credit opportunities and grants and provides access to the credit and grant programs with more speed and transparency, while also providing technical assistance and encouraging innovative best practices in project planning, financing, delivery, and monitoring. To achieve this vision, the Bureau draws upon the full resources of USDOT to best utilize the expertise of all the OAs within the Department while promoting a culture of innovation and customer service.

The *Assistant Secretary for Research and Technology* (OST-R) works at the dynamic intersection of new and emerging technologies, transportation data, policy, and research across

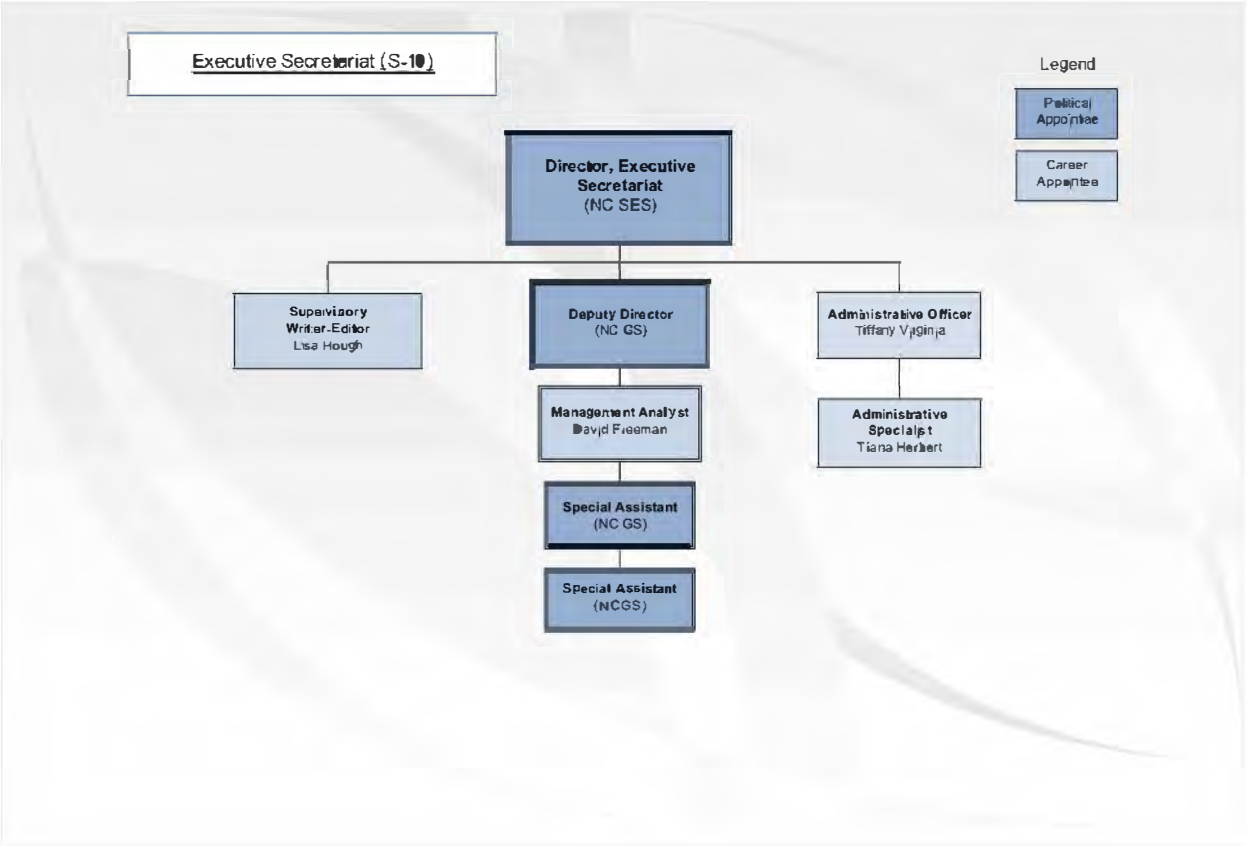
all modes of transportation. The OST-R mission is to advance innovation, technology transfer, and breakthrough knowledge; facilitate research and multimodal research collaboration; provide decision makers with useful statistics and information of the highest quality and integrity; and develop a skilled interdisciplinary transportation workforce for the Nation.
Within this office are six major program components:

- Bureau of Transportation Statistics (BTS)
- Intelligent Transportation Systems Joint Program Office (ITS JPO)
- Research, Development and Technology (RD&T)
- Positioning, Navigation and Timing & Spectrum Management (PNT)
- Transportation Safety Institute (TSI; Oklahoma City, OK)
- John A. Volpe National Transportation Systems Center (Volpe Center; Cambridge, Massachusetts)



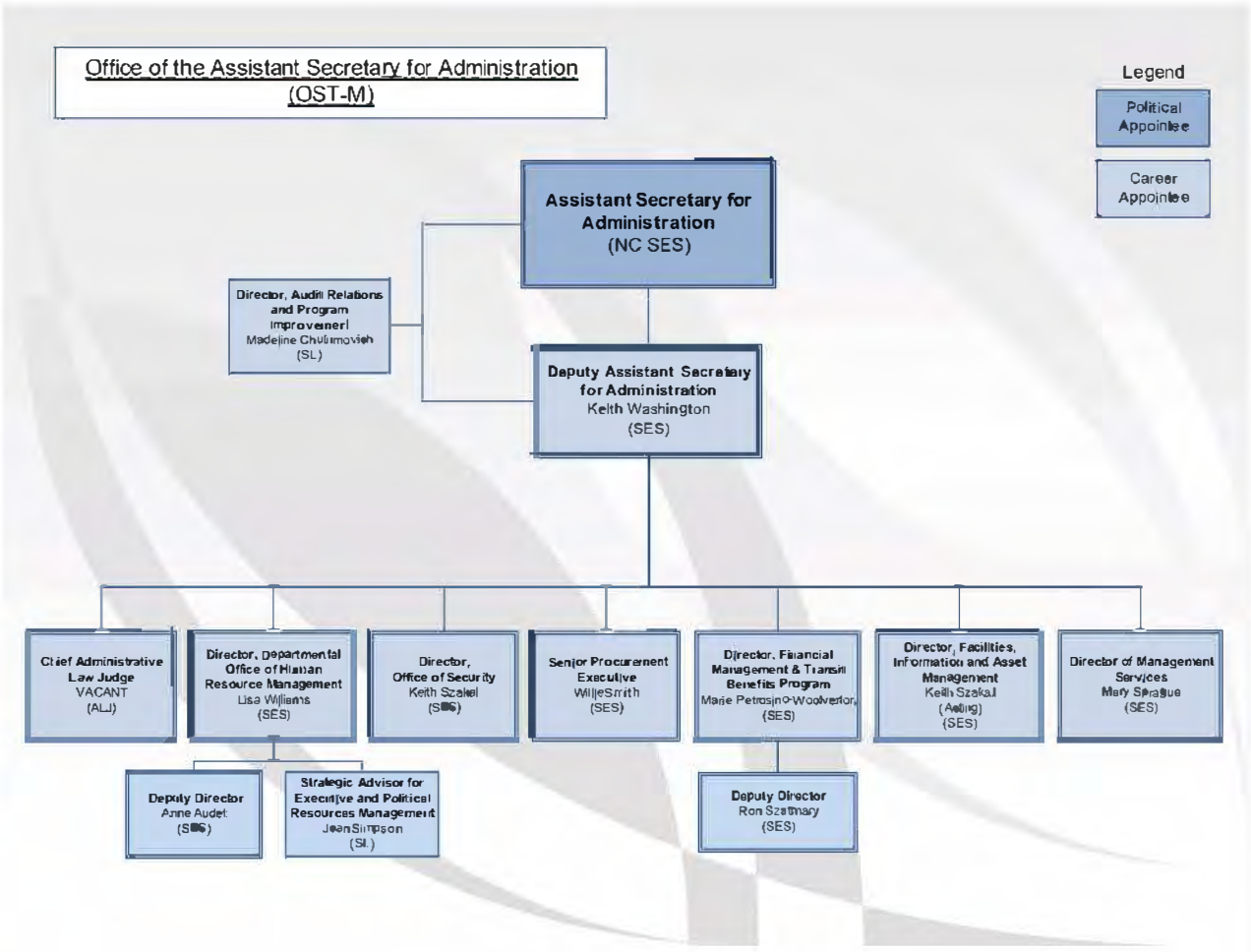
## OFFICE OF THE EXECUTIVE SECRETARIAT (S-10)

The Office of the Executive Secretariat provides organized staff services to the Secretary and the Deputy Secretary, including the editing and vetting of correspondence, Congressional reports, travel requests, and other documents for their signatures, committee management oversight, and directives management. The Office is necessary to provide staff support for controlling and coordinating the flow of correspondence to the Secretary and Deputy Secretary, in addition to administrative management services to their offices.



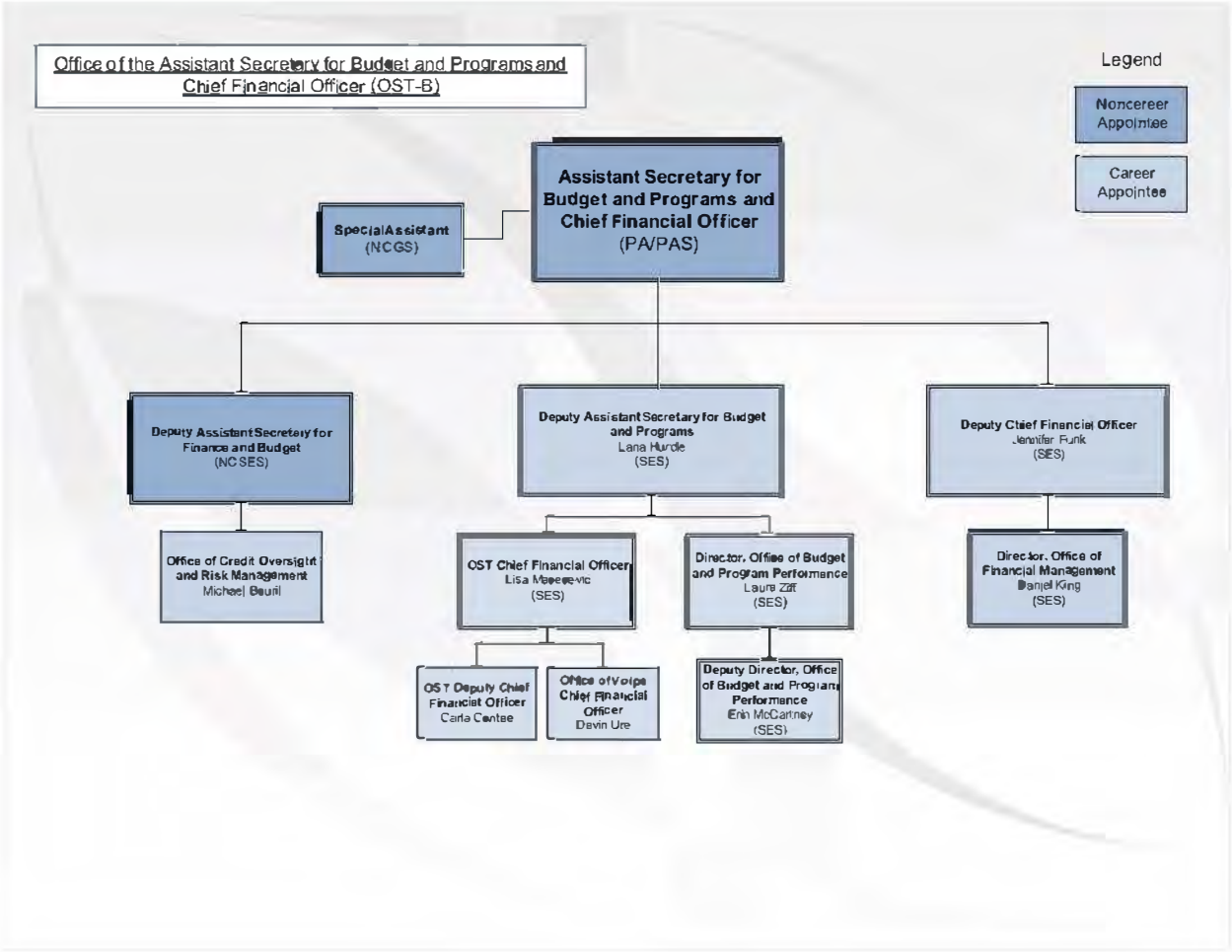
## OFFICE OF THE ASSISTANT SECRETARY FOR ADMINISTRATION (OST-M)

The Office of the Assistant Secretary for Administration provides Departmental leadership in human resources, security, acquisition, grants, information services, transportation and facilities, and space management. This leadership includes establishing policies, providing operational services, directing financial management of DOT's Working Capital Fund, and serving as the Department's liaison with the Inspector General and the U.S. Government Accountability Office.



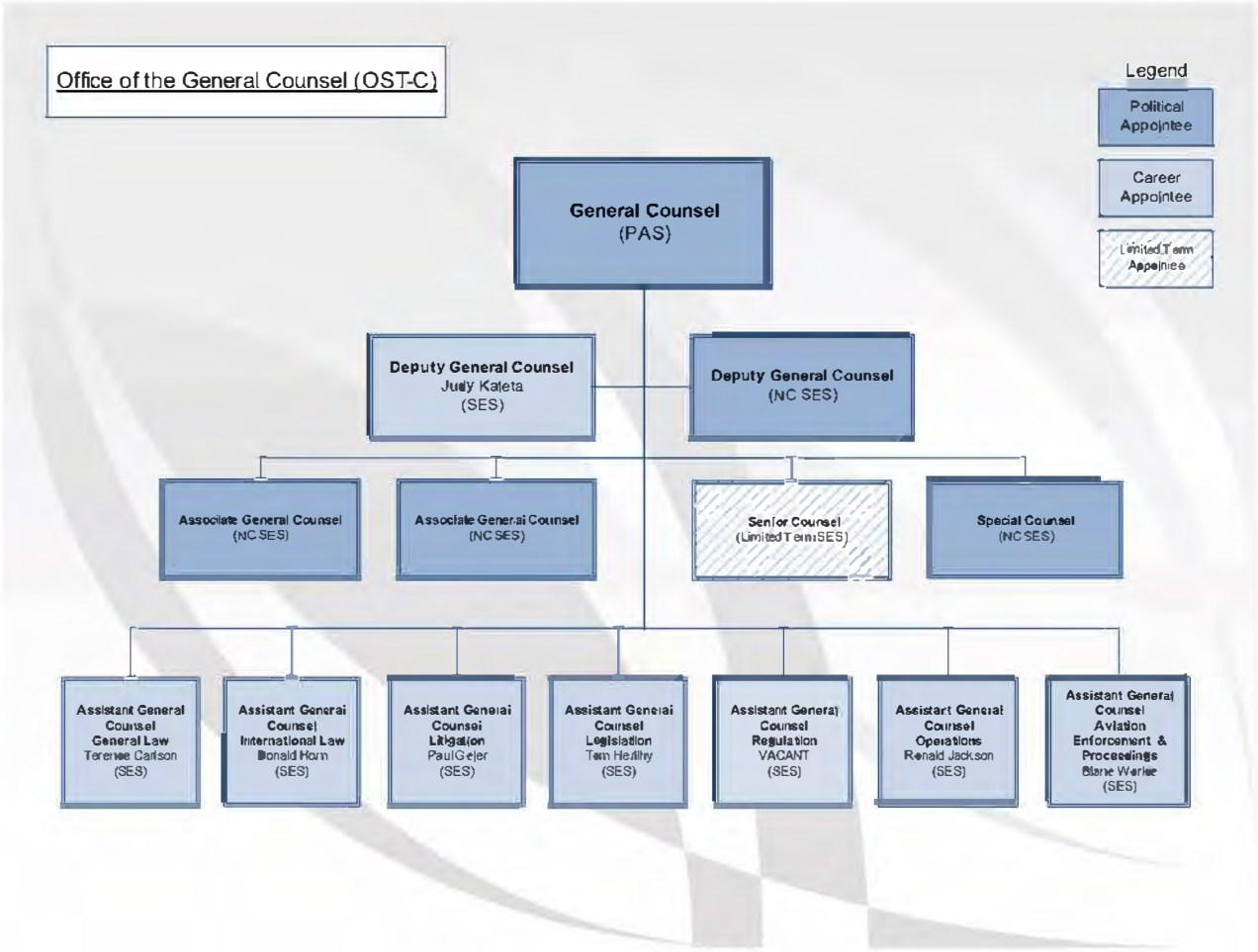
# OFFICE OF THE ASSISTANT SECRETARY FOR BUDGET AND PROGRAMS AND CHIEF FINANCIAL OFFICER (OST-B)

USDOT's budget, performance, and financial management activities are overseen by the Office of the Chief Financial Officer and Assistant Secretary for Budget and Programs, also known as the CFO's office. The CFO's Office directs and coordinates the development, execution, and oversight activities involving budget, performance, and finance for USDOT's programs and staff offices.



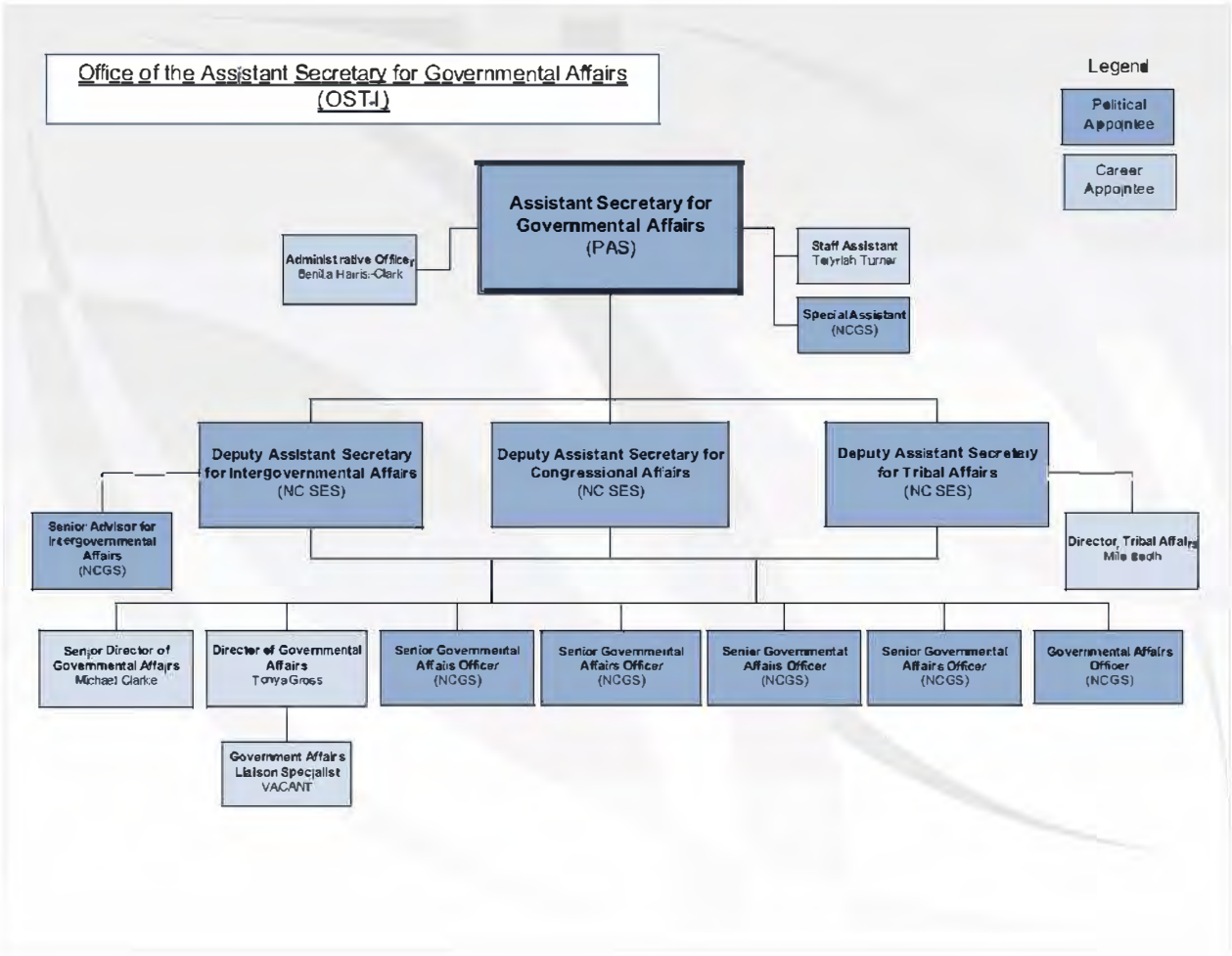
## OFFICE OF THE GENERAL COUNSEL (OST-C)

The General Counsel serves as the Chief Legal Officer of the Department, with final authority on questions of law. The General Counsel is the legal advisor to the Secretary and is responsible for the supervision, coordination, and review of the legal work of the almost 500 lawyers throughout USDOT. The General Counsel is responsible for the Office of Aviation Consumer Protection and Enforcement, and also coordinates the Department's legislative efforts, regulatory program, and involvement in legal proceedings before other agencies, as well as various operational and international legal matters. The immediate Office of the General Counsel (OGC) includes approximately 90 lawyers, analysts, and administrative professionals.



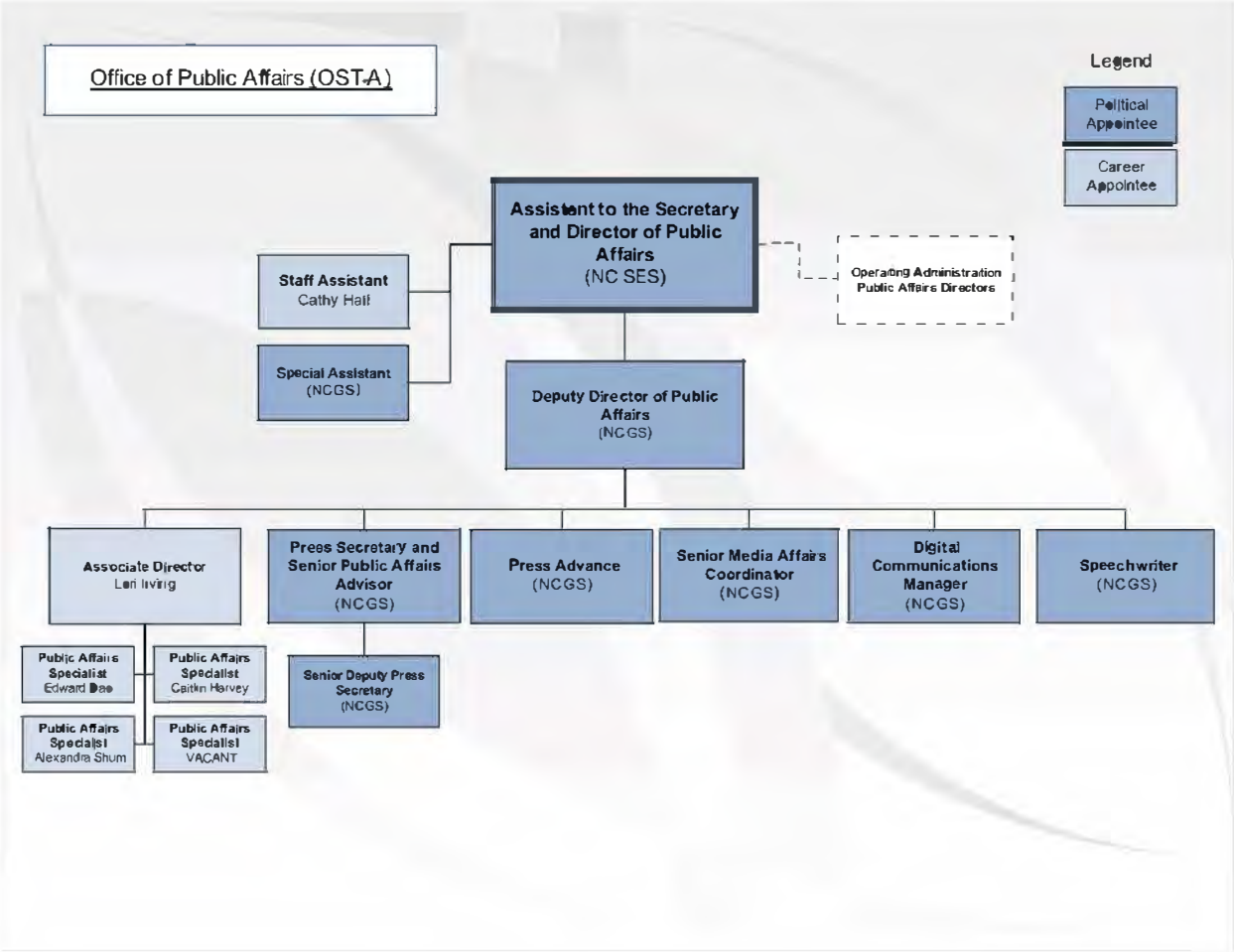
# OFFICE OF THE ASSISTANT SECRETARY FOR GOVERNMENTAL AFFAIRS (OST-I)

The Assistant Secretary for Governmental Affairs is the principal advisor to the Secretary, Deputy Secretary, and senior staff with respect to legislative affairs, Congressional relations, and policy matters affecting Federal, State and local governments, as well as public and private interest groups. The Office is responsible for coordinating Congressional and intergovernmental relations activities involving modal offices to ensure the effective and accurate presentation of the Department's views. The Office cooperates with the Office of the General Counsel, the Office of Transportation Policy, and modal offices in developing the Department's position on all relevant legislative matters.



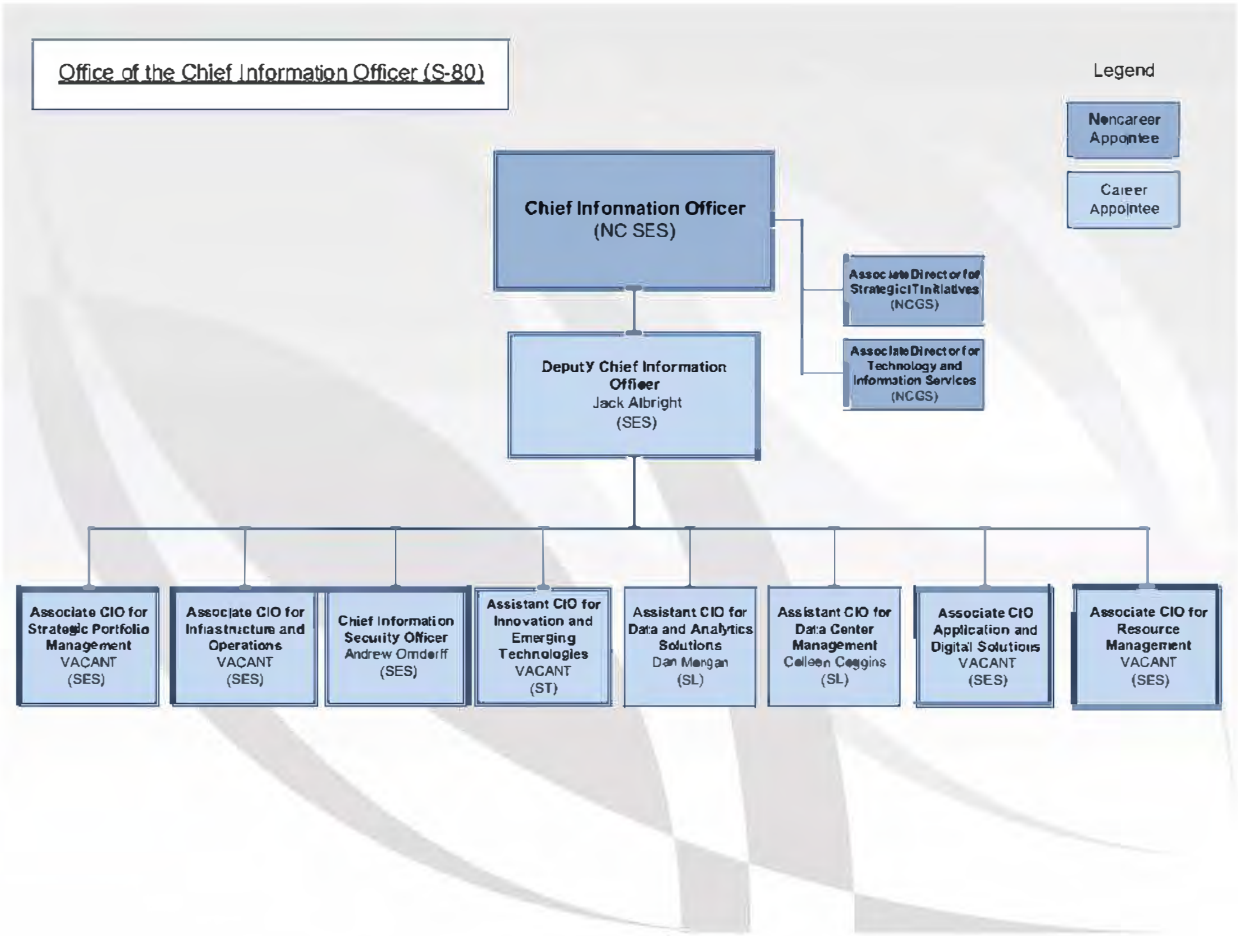
# OFFICE OF THE ASSISTANT TO THE SECRETARY AND DIRECTOR OF PUBLIC AFFAIRS (OST-A)

The Office of Public Affairs is the principal advisor to the Secretary and other senior officials and news media on public affairs questions. The Office prepares news releases and supporting media materials, articles, fact sheets, briefing materials, publications, by-line/op-ed articles for the Secretary and other senior Departmental officials. The Office oversees internal communications and maintains a digital media presence. The Office responds to news media and other inquiries, and provides information to the Secretary on opinions and reactions of the public and news media on programs and transportation issues. It arranges news conferences for significant public announcements and prepares speeches, statements and talking points for the Secretary and other Senior Departmental officials. The Office also provides guidance to and coordinates the activities of the Department's modal public affairs offices.



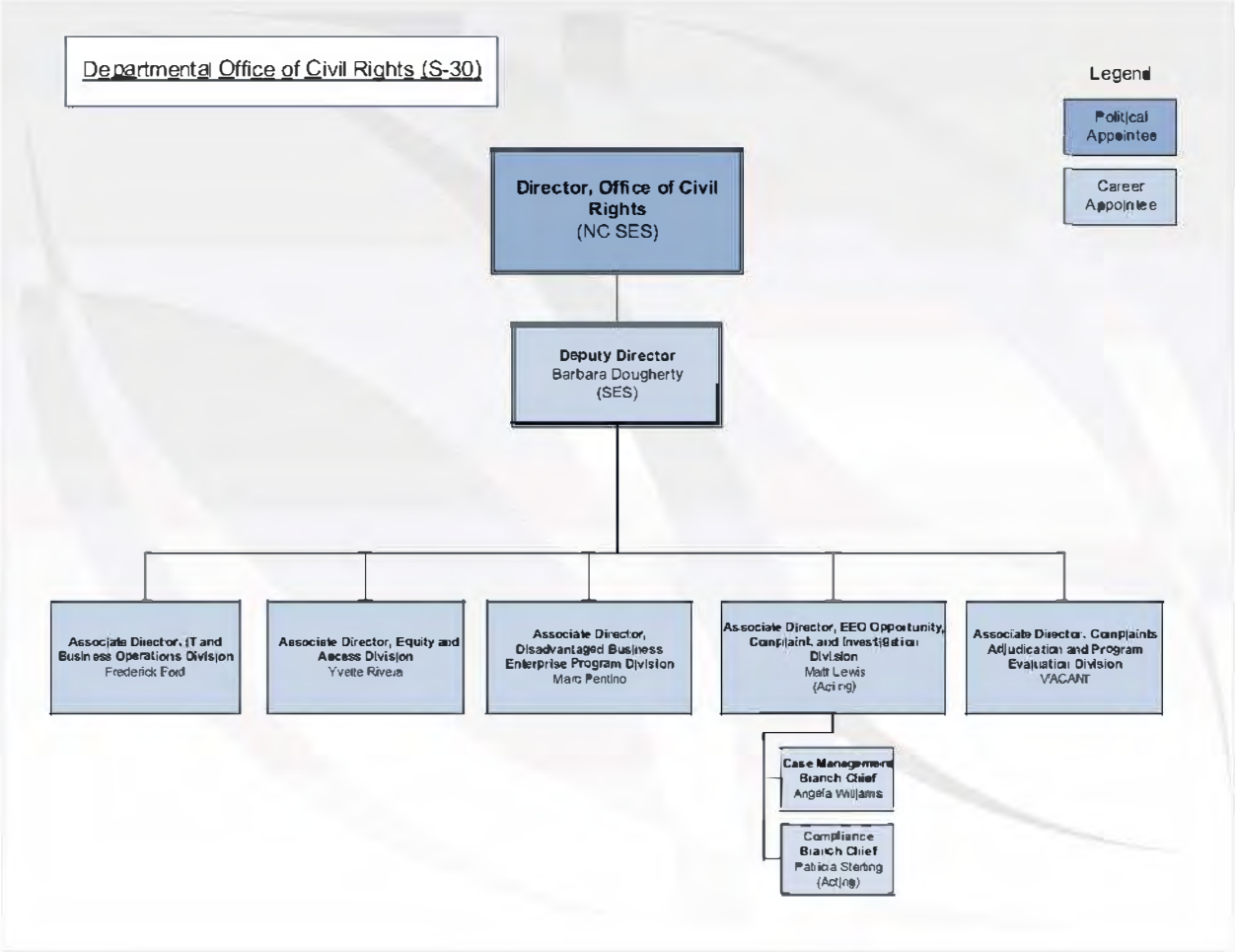
## OFFICE OF THE CHIEF INFORMATION OFFICER (OCIO)

The mission of the ●CI● is to enable the Department's Safety, Infrastructure, Innovation, and Accountability mission priorities through the delivery of effective digital services and solutions. OCIO serves as the principal advisor to the Secretary of Transportation on matters involving information and technology including: portfolio management, IT infrastructure and operations, cybersecurity, information assurance, innovation and emerging technologies, enterprise data management, and application and digital solutions. ●CI● also has oversight responsibility over the entire USDOT IT portfolio of over $3 billion annually, the 6th largest in the federal government. The Office of Strategic Portfolio Management (SPM) ensures the strategic alignment of IT resources to the mission of the Department.



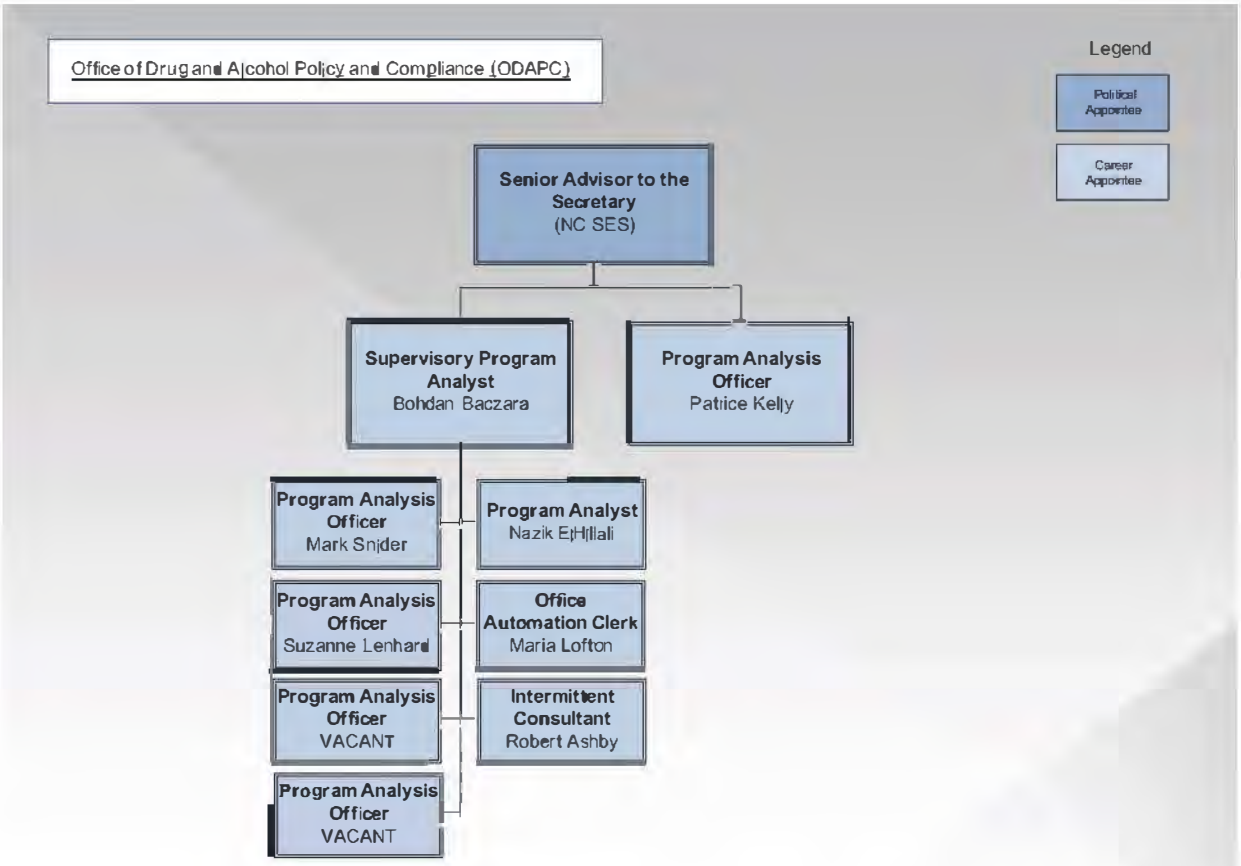
## DEPARTMENTAL OFFICE OF CIVIL RIGHTS (DOCR)

The Departmental Office of Civil Rights (DOCR) enforces civil rights laws and regulations that prohibit workplace discrimination on the basis of race, color, national origin, sex, disability, religion, age, genetic information, equal pay, and reprisal in employment and in the provision of government services.



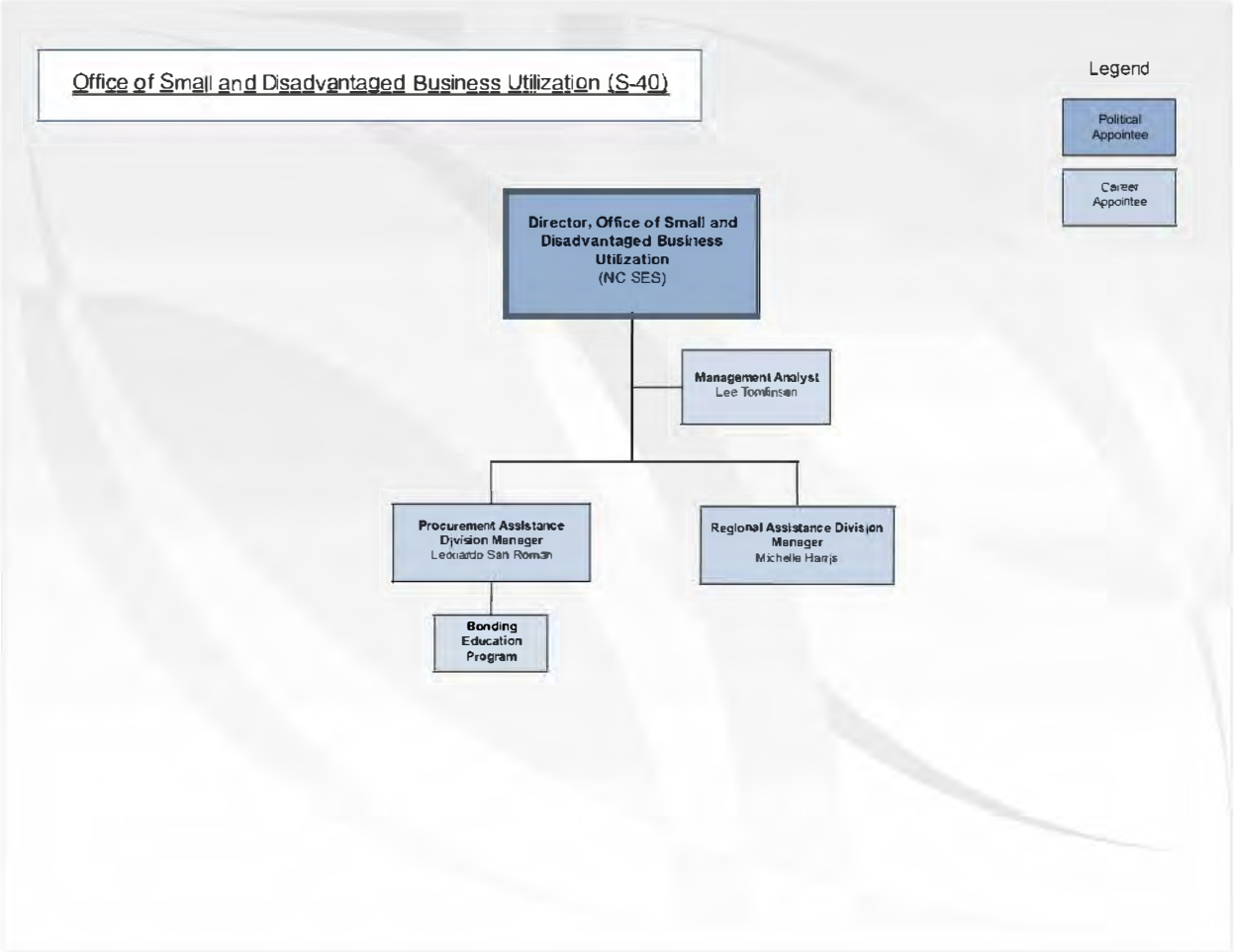
# OFFICE OF DRUG AND ALCOHOL POLICY AND COMPLIANCE (ODAPC)

The Office of Drug and Alcohol Policy and Compliance (ODAPC) advises the Secretary on national and international drug testing and control issues, and is the principal advisor to the Secretary on rules related to the drug and alcohol testing of safety-sensitive transportation employees in aviation, trucking, railroads, mass transit, pipelines, and other transportation industries. The Office publishes regulations and provides official interpretations on drug and alcohol testing, including how to conduct tests, and the evaluation and treatment procedures necessary for returning employees to duty after testing violations. The Office also coordinates the Department's involvement with the President's National Drug Control Strategy annually.



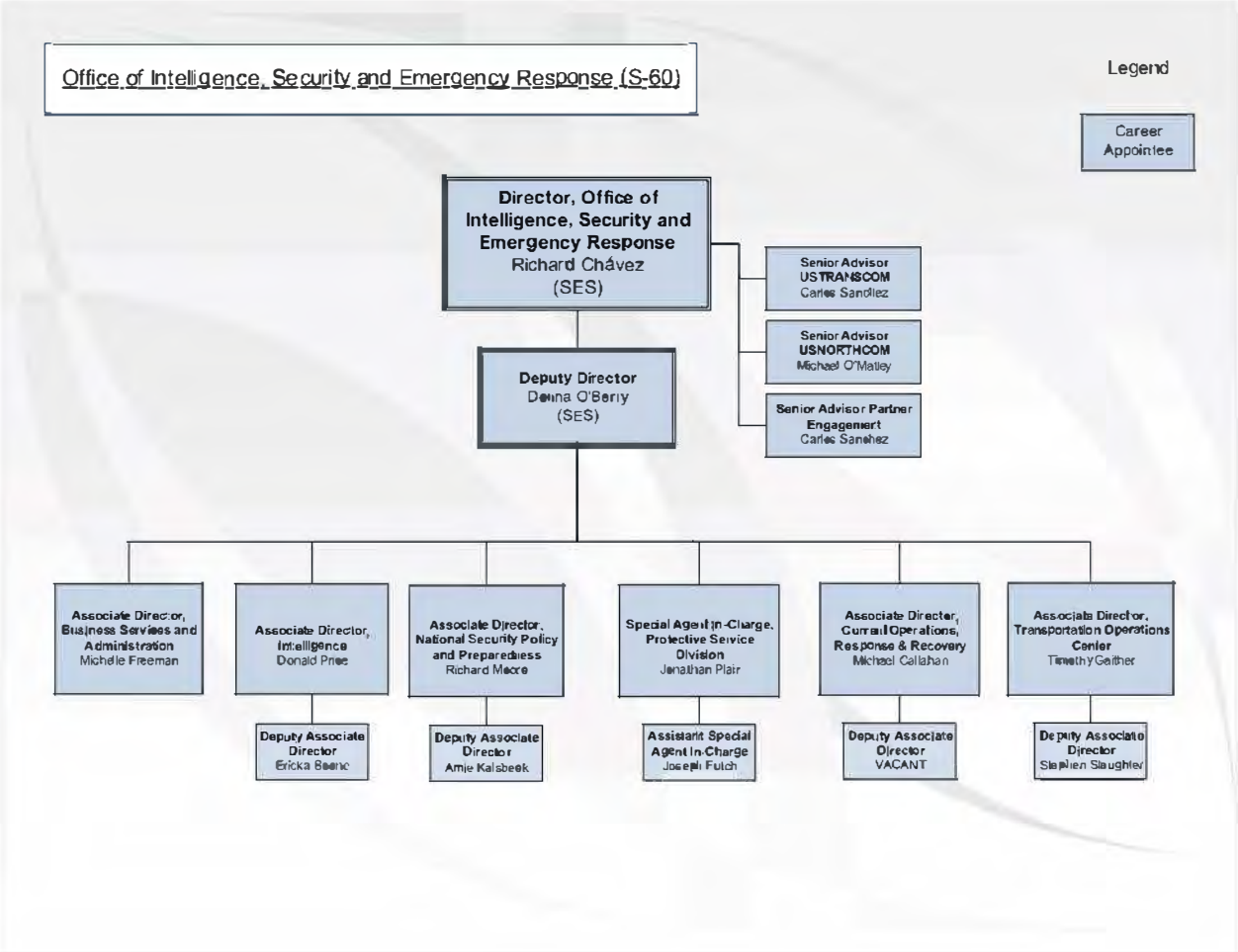
# OFFICE OF SMALL AND DISADVANTAGED BUSINESS UTILIZATION (OSDBU)

The ●ffice of Small and Disadvantaged Business Utilization (●SDBU) is responsible for ensuring that small businesses are treated fairly and have an opportunity to compete and to be selected for a fair amount of the agency's contracting and subcontracting dollars.



## OFFICE OF INTELLIGENCE, SECURITY AND EMERGENCY RESPONSE (S-60)

S-60 provides the Secretary with timely intelligence, situational awareness, decision support products, and personal security to facilitate the timely execution of the Department's roles and responsibilities to respond to, and recover from, all threats and all hazardous events, and incidents regardless of the operational environment.



# BUDGETARY RESOURCES 10-YEAR FUNDING HISTORY (Dollars in Millions)

| | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|---|---|---|---|---|---|---|---|---|---|---|
| **ANNUAL APPROPRIATIONS** | Actual | Actual | Actual | Actual | Actual | Actual | Actual | Actual | Actual | Actual |
| **FEDERAL AVIATION ADMINISTRATION:** | 15,931.70 | 15,901.70 | 15,235.70 | 15,760.20 | 16,847.30 | 16,280.70 | 16,847.30 | 18,000.70 | 17,451.90 | 17,617.7 |
| OPERATIONS (GF/TF) | 9,516.30 | 9,653.40 | 9,148.50 | 9,651.40 | 9,740.70 | 9,909.70 | 10,025.90 | 10,211.80 | 10,410.80 | 10,630.0 |
| FACILITIES & EQUIPMENT (TF) | 2,730.70 | 2,730.70 | 2,585.10 | 2,600.00 | 2,600.00 | 2,855.00 | 2,855.00 | 3,250.00 | 3,000.00 | 3,045.0 |
| RESEARCH, ENGINEERING & DEVELOPMENT (TF) | 169.7 | 167.6 | 158.8 | 158.8 | 156.8 | 166 | 176.5 | 188.9 | 191.1 | 192.7 |
| GRANTS-IN-AID FOR AIRPORTS (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1,000.00 | 500 | 400.0 |
| GRANTS-IN-AID FOR AIRPORTS (Oblim) (TF) | 3,515.00 | 3,350.00 | 3,343.30 | 3,350.00 | 3,350.00 | 3,350.00 | 3,350.00 | 3,350.00 | 3,350.00 | 3,350.0 |
| **FEDERAL HIGHWAY ADMINISTRATION:** | 41,846.50 | 41,846.50 | 38,776.20 | 40,941.80 | 40,941.10 | 43,100.00 | 43,954.10 | 47,449.40 | 49,211.80 | 49,226.6 |
| FEDERAL-AID HIGHWAYS (Oblim) (TF) | 41,106.50 | 39,143.60 | 38,074.90 | 40,256.00 | 40,256.00 | 42,361.00 | 43,266.10 | 44,234.20 | 45,268.60 | 46,365.1 |
| EXEMPT OBLIGATIONS (TF) | 739 | 739 | 701.3 | 685.8 | 685.1 | 739 | 594.9 | 596.8 | 599.4 | 601.3 |
| EMERGENCY RELIEF (TF) | 0 | 1,662.00 | 0 | 0 | 0 | 0 | 93.1 | 93.4 | 93.8 | 94.1 |
| HIGHWAY INFRASTRUCTURE PROGRAMS (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 2,525.00 | 3,250.00 | 2,166.1 |
| RESCISSION OF PRIOR YEAR BALANCES [non-add] | 0 | 0 | 0 | 0 | 0 | 0 | -857 | 0 | 0 | -19.9 |
| ADMIN EXPENSES [non-add] | 416.7 | 415.2 | 419.3 | 419.3 | 415 | 429 | 435.8 | 442.7 | 449.7 | 456.8 |
| **FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION:** | 555.1 | 554.7 | 559.9 | 585 | 572 | 580.4 | 644.2 | 644.8 | 666.8 | 679.1 |
| NATIONAL MOTOR CARRIER SAFETY PROGRAM (TF) | 0 | 0 | 0 | 13 | 0 | 0 | 0 | 0 | 0 | 0 |
| MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS (Oblim) (TF) | 245 | 247.7 | 250.5 | 259 | 259 | 267.4 | 277.2 | 283 | 284 | 288.0 |
| MOTOR CARRIER SAFETY GRANTS (Oblim) (TF) | 310.1 | 307 | 309.4 | 313 | 313 | 313 | 367 | 561.8 | 382.8 | 391.1 |
| **NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION:** | 872.5 | 799.9 | 940.5 | 819 | 810 | 869 | 911.4 | 947.2 | 966.3 | 989.3 |
| OPERATIONS AND RESEARCH (GF/TF) | 253 | 249.6 | 248.1 | 257.5 | 248.5 | 295.7 | 326 | 349.6 | 356.1 | 366.3 |
| HIGHWAY TRAFFIC SAFETY GRANTS (Oblim) (TF) | 619.5 | 550.3 | 692.4 | 561.5 | 561.5 | 573.3 | 585.4 | 597.6 | 610.2 | 623.0 |
| **FEDERAL TRANSIT ADMINISTRATION:** | 10,284.90 | 13,408.30 | 13,408.30 | 16,847.30 | 11,008.40 | 11,782.60 | 12,414.50 | 13,408.30 | 13,408.30 | 12,910.3 |
| CAPITAL INVESTMENT GRANTS (GF) | 1,584.10 | 1,955.00 | 1,855.00 | 1,942.90 | 2,120.00 | 2,177.00 | 2,412.60 | 2,645.00 | 2,552.70 | 1,978.0 |
| WASHINGTON METRO (GF) | 149.7 | 150 | 142.2 | 150 | 150 | 150 | 150 | 150 | 150 | 150 |
| ADMINISTRATIVE EXPENSES (GF) | 98.7 | 98.7 | 97.5 | 105.9 | 105.9 | 108 | 113.2 | 113.2 | 113.2 | 117.0 |
| TRANSIT RESEARCH (GF) | 0 | 0 | 0 | 43 | 33 | 0 | 0 | 0 | 0 | 0 |
| TECHNICAL ASSISTANCE & TRAINING (TF) | 0 | 0 | 0 | 5 | 4.5 | 0 | 5 | 5 | 5 | 5 |
| RESEARCH & UNIVERSITY RESEARCH CENTERS (TF) | 58.9 | 44 | 41.7 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| GREENHOUSE GAS & ENERGY REDUCTION (TF) | 49.9 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| TRANSIT INFRASTRUCTURE GRANTS (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 834 | 700 | 510.0 |
| TRANSIT FORMULA GRANTS (Oblim) (TF) | 8,343.70 | 8,360.60 | 8,866.80 | 8,595.00 | 8,595.00 | 9,347.60 | 9,733.70 | 9,733.40 | 9,939.40 | 10,150.3 |
| RESCISSION OF PRIOR YEAR BALANCES [non-add] | 0 | 0 | 0 | 0 | 0 | -25.4 | 0 | 0 | -46.6 | 0 |
| **FEDERAL RAILROAD ADMINISTRATION:** | 1,705.80 | 1,631.60 | 1,546.30 | 1,609.80 | 1,626.00 | 1,699.20 | 1,651.40 | 3,091.40 | 2,890.90 | 2,793.8 |
| OPERATING SUBSIDY GRANTS TO THE NATIONAL PASSENGER RAILROAD CORP (GF) | 561.9 | 466 | 441.6 | 340 | 250 | 288.5 | 0 | 0 | 0 | 0 |
| CAPITAL AND DEBT SERVICE GRANTS TO THE NATIONAL RAILROAD PASSENGER CORP. (GF) | 921.8 | 952 | 902.2 | 1,050.00 | 1,140.00 | 1,101.50 | 0 | 0 | 0 | 0 |
| NORTHEAST CORRIDOR GRANTS TO THE NATIONAL RAILROAD PASSENGER CORP. (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 328 | 650 | 650 | 700.0 |
| NATIONAL NETWORK GRANTS TO THE NATIONAL RAILROAD PASSENGER CORP (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 1,167.00 | 1,291.60 | 1,291.60 | 1,300.0 |
| RAIL LINE RELOCATION AND IMPROVEMENT PROGRAM (GF) | 10.5 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

| | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|---|---|---|---|---|---|---|---|---|---|---|
| RAILROAD RESEARCH & DEVELOPMENT (GF) | 35 | 35 | 33.2 | 35.3 | 39.1 | 39.1 | 40.1 | 40.6 | 40.6 | 40.6 |
| SAFETY & OPERATIONS (GF) | 176.6 | 178.6 | 169.3 | 184.5 | 186.9 | 199 | 218.3 | 221.7 | 221.7 | 224.2 |
| RAILROAD SAFETY GRANTS (GF) | 0 | 0 | 0 | 0 | 10 | 50 | 0 | 0 | 0 | 0 |
| NORTHEAST CORRIDOR IMPROVEMENT PROGRAM (GF) | 0 | 0 | 0 | 0 | 0 | 19.2 | 0 | 0 | 0 | 0 |
| CONSOLIDATED RAIL INFRASTRUCTURE AND SAFETY INVESTMENTS (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 68 | 592.5 | 255 | 325.0 |
| FEDERAL-STATE PARTNERSHIP FOR STATE OF GOOD REPAIR (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 25 | 250 | 400 | 200.0 |
| RESTORATION AND ENHANCEMENT GRANTS (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 5 | 20 | 5 | 2.0 |
| RRIF CREDIT SUBSIDY (GF) | 0 | 0 | 0 | 0 | 0 | 2 | 0 | 25 | 17 | 0 |
| MAGNETIC LEVITATION TECHNOLOGY DEPLOYMENT PROGRAM (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 10 | 2.0 |
| RESCISSION OF PRIOR YEAR BALANCES [non-add] | -400 | 0 | 0 | -6.4 | 0 | -21.1 | 0 | 0 | 0 | 0 |
| **RESEARCH & INNOVATIVE TECHNOLOGY ADMINISTRATION** | **13** | **16** | **0** | **0** | **0** | **0** | **0** | **0** | **0** | **0** |
| **PIPELINE & HAZARDOUS MATERIALS SAFETY ADMINISTRATION:** | **195.5** | **191.1** | **190.8** | **210** | **244.5** | **251.6** | **262.3** | **272.3** | **275** | **281.5** |
| OPERATIONAL EXPENSES (GF) | 20.5 | 20.4 | 19.3 | 20.2 | 20.7 | 21 | 22.5 | 23 | 23.7 | 24.2 |
| HAZARDOUS MATERIALS SAFETY (GF) | 39 | 42.3 | 40.1 | 45 | 52 | 55.7 | 57 | 59 | 58 | 61.0 |
| EMERGENCY PREPAREDNESS GRANTS (SF) | 28.3 | 18.1 | 26.9 | 26.3 | 26.3 | 28.3 | 28.3 | 28.3 | 28.3 | 28.3 |
| PIPELINE SAFETY (TF/SF) | 107.7 | 110.3 | 104.5 | 118.6 | 145.5 | 146.6 | 154.5 | 162 | 165 | 168.0 |
| **MARITIME ADMINISTRATION:** | **864.8** | **349.5** | **326.5** | **377.3** | **341.2** | **399.3** | **632.8** | **979.6** | **1,115.30** | **1,047.9** |
| OPERATIONS AND TRAINING (GF) | 157.2 | 156.3 | 148 | 148 | 148.1 | 171.2 | 175.6 | 513.6 | 149.4 | 152.6 |
| STATE MARITIME ACADEMY OPERATIONS (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | [300.0] | 345.2 | 342.3 |
| SHIP DISPOSAL (GF) | 15 | 5.5 | 5.2 | 4.8 | 4 | 5 | 34 | 116 | 5 | 5.0 |
| ASSISTANCE TO SMALL SHIPYARDS (GF) | 10 | 10 | 9.5 | 0 | 0 | 5 | 10 | 20 | 20 | 20.0 |
| MARITIME SECURITY PROGRAM (GF) [Defense] | 173.7 | 174 | 160.3 | 186 | 186 | 210 | 300 | 300 | 300 | 300.0 |
| MARITIME GUARANTEED LOANS (TITLE XI) (GF) | 9 | 3.7 | 3.5 | 38.5 | 3.1 | 8.1 | 3 | 30 | 3 | 3 |
| PORT INFRASTRUCTURE DEVELOPMENT PROGRAM (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 292.7 | 225.0 |
| **SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION** | **32.3** | **32.3** | **30.6** | **31** | **32** | **28.4** | **36** | **40** | **36** | **38.0** |
| **INSPECTOR GENERAL (GF)** | **77** | **79.6** | **75.5** | **85.6** | **86.2** | **87.5** | **90.2** | **92.2** | **92.6** | **94.6** |
| **OFFICE OF THE SECRETARY:** | **857.6** | **522.8** | **364.8** | **1,021.70** | **898** | **946.3** | **946.3** | **1,977.60** | **1,386.20** | **1,457.6** |
| SALARIES AND EXPENSES (GF) | 102.5 | 102.5 | 97.1 | 107 | 105 | 108.8 | 114 | 112.8 | 113.9 | 115.5 |
| TRANSPORTATION PLANNING, RESEARCH & DEVELOPMENT (GF) | 9.8 | 9 | 8.5 | 7 | 6 | 8.5 | 12 | 14 | 7.9 | 10.9 |
| OFFICE OF CIVIL RIGHTS (GF) | 9.6 | 9.4 | 8.9 | 9.6 | 9.6 | 9.7 | 9.8 | 9.5 | 9.5 | 9.5 |
| FINANCIAL MANAGEMENT CAPITAL (GF) | 5 | 5 | 4.7 | 7 | 5 | 5 | 4 | 6 | 2 | 2.0 |
| ESSENTIAL AIR SERVICE/PAYMENTS TO AIR CARRIERS | 199.7 | 193 | 233.2 | 267.9 | 250.3 | 288.4 | 271.8 | 288.7 | 320.4 | 274.1 |
| NATIONAL INFRASTRUCTURE INVESTMENTS (TIGER) (GF) | 526.9 | 500 | 473.8 | 600 | 500 | 500 | 500 | 1,500.00 | 900 | 1,000.0 |
| RESEARCH AND TECHNOLOGY (GF) | 0 | 0 | 15.1 | 14.8 | 13 | 13 | 13 | 23.5 | 8.5 | 21.0 |
| CYBER SECURITY INITIATIVE (GF) | 0 | 10 | 9.5 | 4.5 | 5 | 8 | 15 | 15 | 15 | 15.0 |
| NAT'L SURFACE TRANSP. AND INNOVATIVE FINANCE BUREAU (GF) | 0 | 0 | 0 | 0 | 0 | 0.9 | 3 | 3 | 5 | 5.0 |
| SMALL AND DISADVANTAGED BUSINESS UTILZ. & OUTREACH/MBRC (GF) | 4 | 4 | 3.8 | 4 | 4 | 3.1 | 5.6 | 5.1 | 4 | 4.6 |
| **SURFACE TRANSPORTATION BOARD** | **29** | **29.3** | **27.8** | **31** | **0** | **0** | **0** | **0** | **0** | **0** |
| **TOTAL BUDGETARY RESOURCES, Annual Appropriations** | **72,764.50** | **72,571.40** | **70,567.50** | **72,314.30** | **72,406.80** | **76,024.00** | **78,042.30** | **87,175.80** | **87,553.10** | **87,136.4** |

| | FY2011 | FY2012 | FY2013 | FY2014 | FY2015 | FY2016 | FY2017 | FY2018 | FY2019 | FY2020 |
|---|---|---|---|---|---|---|---|---|---|---|
| **SUPPLEMENTAL/DISASTER RELIEF APPROPRIATIONS** | **Actual** | **Actual** | **Actual** | **Actual** | **Actual** | **Actual** | **Actual** | **Actual** | **Actual** | **Actual** |
| **FEDERAL AVIATION ADMINISTRATION:** | **0** | **0** | **28.5** | **0** | **0** | **0** | **0** | **114.6** | **0** | **10,000.0** |
| OPERATIONS (GF/TF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 35 | 0 | 0 |
| FACILITIES AND EQUIPMENT (TF) | 0 | 0 | 28.5 | 0 | 0 | 0 | 0 | 79.6 | 0 | 0 |
| GRANTS-IN-AID TO AIRPORTS (GF) | 0 | **0** | **0** | 0 | 0 | 0 | 0 | 0 | 0 | 10,000.0 |
| **FEDERAL HIGHWAY ADMINISTRATION** | **0** | **1,662.00** | **1,920.90** | **0** | **0** | **0** | **1,532.00** | **1,374.00** | **1,650.00** | **0** |
| EMERGENCY RELIEF SUPPLEMENTAL (GF) | 0 | 1,662.00 | 1,920.90 | 0 | 0 | 0 | 1,532.00 | 1,374.00 | 1,650.00 | 0 |
| **FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION:** | **0** | **0** | **0** | **0** | **0** | **0** | **0** | **0** | **0** | **0.2** |
| OPERATIONS AND PROGRAMS (TF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0.2 |
| **FEDERAL TRANSIT ADMINISTRATION:** | **0** | **0** | **10,349.30** | **0** | **0** | **0** | **0** | **330** | **10.5** | **25,000.0** |
| PUBLIC TRANSPORTATION EMERGENCY RELIEF (GF) | 0 | 0 | 10,349.30 | 0 | 0 | 0 | 0 | 330 | 10.5 | 0 |
| TRANSIT INFRASTRUCTURE GRANTS (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 25,000.0 |
| **FEDERAL RAILROAD ADMINISTRATION:** | **0** | **0** | **112.1** | **0** | **0** | **0** | **0** | **0** | **0** | **1,018.3** |
| GRANTS TO THE NATIONAL RAILROAD PASSENGER CORPORATION (GF) | 0 | 0 | 112.1 | 0 | 0 | 0 | 0 | 0 | 0 | 1,018.0 |
| SAFETY & OPERATIONS (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0.3 |
| **MARITIME ADMINISTRATION:** | **0** | **0** | **0** | **0** | **0** | **0** | **0** | **10** | **0** | **4.1** |
| OPERATIONS AND TRAINING (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 10 | 0 | 3.1 |
| STATE MARITIME ACADEMIES (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1.0 |
| **INSPECTOR GENERAL (GF)** | **0** | **0** | **5.7** | **0** | **0** | **0** | **0** | **0** | **0** | **5.0** |
| **OFFICE OF THE SECRETARY:** | **0** | **0** | **0** | **0** | **0** | **0** | **0** | **0** | **0** | **57.8** |
| SALARIES AND EXPENSES (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1.8 |
| ESSENTIAL AIR SERVICES (GF) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 56.0 |
| **TOTAL BUDGETARY RESOURCES. Supplemental Appropriations** | **0** | **1,662.00** | **12,416.50** | **0** | **0** | **0** | **1,532.00** | **1,828.60** | **1,660.50** | **36,085.3** |
| **TOTAL, Annual and Supplemental Appropriations** | **72,764.50** | **74,233.40** | **82,984.00** | **72,314.30** | **72,406.80** | **76,024.00** | **79,574.30** | **89,004.40** | **89,213.60** | **123,221.7** |

Note: Includes Appropriations, Obligation Limitations, and FHWA Exempt Obligations. Subtotals exclude offsets from rescissions or user fees

# FIXING AMERICA'S SURFACE TRANSPORTATION (FAST) ACT AND ONE-YEAR EXTENSION

| Federal Highway Administration | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|---|---|
| Federal-Aid Highways: | | | | | | |
| Administrative Expenses | 453 | 460 | 467 | 474 | 481 | 481 |
| *General Operating Expenses [Non-Add]* | *429* | *436* | *443* | *450* | *457* | *457* |
| Apportioned Programs | 39,728 | 40,548 | 41,424 | 42,359 | 43,373 | 43,373 |
| *Freight (As part of Apportioned Programs) [Non-Add]* | *1,150* | *1,100* | *1,200* | *1,350* | *1,500* | *1,500* |
| *MAP-21 Base Apportioned Programs [Non-Add]* | *38,578* | *39,448* | *40,224* | *41,009* | *41,873* | *41,873* |
| Federal Lands and Tribal Transportation Programs | 1,050 | 1,075 | 1,100 | 1,125 | 1,150 | 1,150 |
| Research, Technology and Education Programs (Trust Funded) | 415 | 418 | 418 | 420 | 420 | 420 |
| Federal Allocation Programs (Includes $100M exempt) | 380 | 380 | 380 | 380 | 380 | 380 |
| TIFIA | 275 | 275 | 285 | 300 | 300 | 300 |
| Nationally Significant Freight and Highway Projects | 800 | 850 | 900 | 950 | 1,000 | 1,000 |
| Nationally Significant Federal Lands and Tribal Projects (General Funded) | 100 | 100 | 100 | 100 | 100 | 100 |
| Appalachian Regional Development Program (General Fund) | 110 | 110 | 110 | 110 | 110 | 110 |
| Regional Infrastructure Accelerator Demonstration Program (General Funded) | 12 | - | - | - | - | - |
| **Total, FHWA** | **43,322** | **44,215** | **45,183** | **46,218** | **47,314** | **47,314** |
| **Subtotal General Funded** | 222 | 210 | 210 | 210 | 210 | 210 |
| **Subtotal Trust Funded** | 43,100 | 44,005 | 44,973 | 46,008 | 47,104 | 47,104 |

| Federal Transit Administration | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|---|---|
| Formula Grants (Trust Funded) | 9,348 | 9,734 | 9,733 | 9,939 | 10,150 | 10,150 |
| Positive Train Control (Trust Funded) | - | *199* | - | - | - | - |
| Research Development Demonstration Deployment Projects (General Funded) | 20 | 20 | 20 | 20 | 20 | 20 |
| Technical Assistance / Standards Development (General Funded) | 5 | 5 | 5 | 5 | 5 | 5 |
| Capital Investment Grants (General Funded) | 2,302 | 2,302 | 2,302 | 2,302 | 2,302 | 2,302 |
| Administrative Expenses (General Funded) | 115 | 115 | 115 | 115 | 115 | 115 |
| **Total, FTA** | **11,789** | **12,375** | **12,175** | **12,381** | **12,592** | **12,592** |
| **Subtotal General Funded** | 2,442 | 2,442 | 2,442 | 2,442 | 2,442 | 2,442 |
| **Subtotal Trust Funded** | 9,348 | 9,933 | 9,733 | 9,939 | 10,150 | 10,150 |

| Federal Motor Carrier Safety Administration | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|---|---|
| Safety Operations & Programs | 267 | 277 | 283 | 284 | 288 | 288 |
| Motor Carrier Safety Grants | 313 | 367 | 375 | 382 | 388 | 388 |
| **Total, FMCSA** | **580** | **644** | **658** | **666** | **676** | **676** |
| **Subtotal General Funded** | - | - | - | - | - | - |
| **Subtotal Trust Funded** | 580 | 644 | 658 | 666 | 676 | 676 |

| Pipeline and Hazardous Materials Safety Administration | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|---|---|
| Transportation of Hazardous Materials | 53 | 55 | 57 | 58 | 60 | 60 |
| Hazardous Material Emergency Preparedness Fund Programs | 28 | 28 | 28 | 28 | 28 | 28 |
| **Total, PHMSA** | **81** | **83** | **85** | **86** | **88** | **88** |
| **Subtotal General Funded** | 53 | 55 | 57 | 58 | 60 | 60 |
| **Subtotal Hazardous Materials Emergency Preparedness Fund** | 28 | 28 | 28 | 28 | 28 | 28 |

| National Highway Traffic Safety Administration | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|---|---|
| Highway Safety Programs (Sec 402) (Trust Funded) | 244 | 252 | 261 | 270 | 280 | 280 |
| Highway Safety Research and Development (Sec 403) (Trust Funded) | 138 | 141 | 144 | 147 | 150 | 150 |
| National Priority Safety Programs (Sec 405) (Trust Funded) | 275 | 278 | 280 | 283 | 286 | 286 |
| National Driver Register (Trust Funded) | 5 | 5 | 5 | 5 | 6 | 6 |
| High Visibility Enforcement Program (Trust Funded) | 29 | 30 | 30 | 30 | 31 | 31 |
| Administrative Expenses (Trust Funded) | 26 | 26 | 26 | 27 | 27 | 27 |
| Vehicle Safety (Trust Funded) | | | | | | - |
| Vehicle Safety (General Funded) | 133 | 136 | 138 | 141 | 144 | 144 |
| Vehicle Safety (Subject to Certification) (General Funded) | 46 | 52 | 57 | 63 | 70 | 70 |
| **Total, NHTSA** | **895** | **918** | **942** | **967** | **992** | **992** |
| **Subtotal General Funded** | 179 | 187 | 196 | 204 | 214 | 214 |
| **Subtotal Trust Funded** | 716 | 731 | 747 | 762 | 778 | 778 |

| Federal Railroad Administration | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|---|---|
| Grants to Amtrak (General Funded) | 1,450 | 1,500 | 1,600 | 1,700 | 1,800 | 1,800 |
| Consolidated Rail Infrastructure and Safety Improvements | 98 | 190 | 230 | 255 | 330 | 330 |
| Federal-State Partnership for State of Good Repair | 82 | 140 | 175 | 300 | 300 | 300 |
| Restoration and Enhancement Grants | 20 | 20 | 20 | 20 | 20 | 20 |
| Amtrak Office of Inspector General (General Funded) | 20 | 21 | 21 | 22 | 22 | 22 |
| **Total, FRA** | **1,670** | **1,871** | **2,046** | **2,297** | **2,472** | **2,472** |
| **Subtotal General Funded** | 1,670 | 1,871 | 2,046 | 2,297 | 2,472 | 2,472 |
| **Subtotal Trust Funded** | - | - | - | - | - | - |

| | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|---|---|
| **Total Authorizations** | **58,338** | **60,106** | **61,090** | **62,614** | **64,135** | **64,135** |
| **General/Other Funded Bill Total** | 4,594 | 4,792 | 4,978 | 5,239 | 5,426 | 5,426 |
| **Trust Funded Bill Total** | 53,744 | 55,313 | 56,111 | 57,375 | 58,709 | 58,709 |

## FEDERAL TRAVEL FUNDAMENTALS

Be Prudent: Employees traveling on official Federal Government business are expected to exercise the same care in incurring expenses that a prudent person would exercise while on personal travel. Travelers may not be reimbursed for premium accommodations or obtain unnecessary services at the Government's expense.

Get Prior Approval: Except in emergencies, official Federal Government Travel must be authorized in advance using DOT's Electronic Travel System, E2. The authorization includes the purpose, places, dates, conditions, limitations, estimated travel costs, and accounting information. Airfare reservations will not be ticketed if an authorization is not approved 48 hours prior to departure. ***All official Federal Government travel reservations must be booked using E2*** and cannot be booked using a public travel site (*e.g.*, Expedia, Travelocity).

Frequent Flyer Programs and Oversold Flights: Travelers may accumulate frequent flyer benefits earned while on official Federal Government Travel for personal use. Travelers may also keep the resulting compensation for giving up their seat on an oversold flight as long as the official Federal Government travel is not adversely affected, and there is no increase in cost.

E2's Split Pay Feature: DOT's Electronic Travel System, E2, allows travelers to send all or a portion of the voucher reimbursement directly to US Bank. This functionality is referred to as Split Pay. Split Pay is the preferred method to pay the traveler's outstanding Government Travel Card balance.

**NOTE: All Travel Authorizations and Vouchers are subject to audit and the Freedom of Information Act (FOIA) requests.**

### TRAVEL AUTHORIZATION

- Travelers must establish an account in DOT's Electronic Travel System, E2.
- Travelers must receive electronic approval, using E2, before taking a trip.
- The approved E2 authorization allows travelers to incur official Federal Government Travel expenses, such as transportation, lodging, and rental car.
- Types of travel not available in E2 and require specialized approval:
  - First-class or business class travel
  - Using a foreign air carrier
  - Using premium train service
  - Accepting payment from a non-Federal source for travel expenses

### GOVERNMENT FARES

- The General Services Administration (GSA) has negotiated special Federal Government rate fares with airlines. These should be the first choice when selecting flights. A few exceptions include:
  - a government rate flight is not available in time to accomplish the purpose of the travel
  - a flight is not available during normal working hours

  - rail service is more cost-effective than air service
  - lower commercial fares are offered by non-contract carriers, and these fares are also offered to the public
- Generally, D●T travelers must fly coach. In very rare instances, business-class or first-class may be authorized in advance by the ●perating Administration (●A) CF●.

## PER DIEM AND MISCELLANE●US EXPENSES

- Per Diem is the daily allowance for lodging (excluding taxes), and meals and incidental expenses (M&IE). Per Diem rates vary by city, based on periodic surveys conducted by GSA.
- M&IE is expected to cover the cost of meals and all gratuities.
- To be eligible for Per Diem, the following conditions must be met:
  - travel is at least 50 miles from the employee's duty station, AND
  - travel duration is at least 12 hours.
- In addition to lodging, meals, and local transportation (taxis or rental cars), travelers may also be reimbursed for miscellaneous items such as baggage fees, internet usage, parking, lodging tax, and rental car gas.

## REIMBURSEMENT

- D●T travelers must submit a travel voucher in E2 ***within 5 business days*** after completing the trip or ***every 21 days*** for continuous travel.
- D●T travelers must personally review and sign their voucher, even if it is prepared by staff.
- Receipts are necessary for all transportation and miscellaneous expenses over $75. No receipts are required for the M&IE portion of Per Diem.
- E2's Split Pay Feature is the preferred method to pay the outstanding Government Travel Card balance. This feature can be used to send all or a portion of the voucher reimbursement directly to US Bank.

## USE ●F A G●VERNMENT TRAVEL CARD

- D●T travelers must use their Government Travel Card to pay for official travel expenses.
  - The card is issued in the traveler's name, and the liability for payment is their responsibility.
  - It is the traveler's responsibility to safeguard the Government Travel Card and to protect it from being lost or stolen.
- D●T travelers should track all expenses and save receipts while on official Federal Government Travel to file an accurate travel claim and easily reconcile their monthly bank statement.
- Misusing the Government Travel Card could result in disciplinary action.
- Contact US Bank customer service in a timely manner to dispute charges that are incorrect or if there are questions about the traveler's monthly bill.
  - Late payments could result in suspension or cancellation of the Government Travel Card.
- When using the Government Travel Card, **DOT travelers should not**:
  - Use the Government Travel Card for personal use ●R pay for other individuals' travel expenses. *Misuse of the Government Travel Card could result in disciplinary action.*

- Charge office supplies, training, conference fees, photocopies, postal services, or equipment on their Government Travel Card. If appropriate, they should use the purchase card or other acquisition procedures to procure non-travel services and products.
- Let *anyone* else use their Government Travel Charge Card.
- Wait for receipt of the monthly bill to file a travel claim.
- Allow the monthly bill to become overdue. Late payments could result in suspension or cancellation of the Government Travel Card. US Bank payment options include: by mail, by phone at 888-994-6722, or online at https://www.access.usbank.com/

## USEFUL TRAVEL WEBSITES AND CONTACT INFORMATION

- GSA Per Diem Rates: https://www.gsa.gov/travel/plan-book/per-diem-rates
- Lodging Services: https://www.fedrooms.com/home.html
- Online Banking: https://www.access.usbank.com/
- E2 Helpdesk Support: 866-641-3500 (Option 7)
- US Bank Customer Service: 888-994-6722

## GOVERNMENT TRAVEL CARD GUIDELINES

**DO** use your Government Travel Card (US Bank Visa) to pay for all *authorized official Federal Government travel expenses.* The Government Travel Card is issued in your name, and the liability for payment is your responsibility.

**DON'T** use your Government Travel Card for personal use ●R to pay for other individuals' travel expenses. *Misuse of the Government Travel Card could result in disciplinary action*.

**DON'T** charge office supplies, training, conference fees, photocopies, postal services, or equipment on your Government Travel Card. Use the purchase card or other acquisition procedures to procure non-travel services and products.

**DO** safeguard your Government Travel Card and protect it from being lost or stolen.

**DON'T** let *anyone* else use your Government Travel Card.

**DO** track your expenses and save receipts while on official travel to file an accurate travel claim and easily reconcile your monthly bank statement.

**DO** file your travel claim ***within 5 business days*** after completing your trip or ***every 21 days*** if you are on continuous travel.

**DON'T** wait for receipt of your monthly bill to file your travel claim.

**DON'T** allow your monthly bill to become overdue. Late payments could result in the suspension or cancellation of your travel card. US Bank Payment Options Include: by Mail, by Phone at 888-994-6722 or online at https://www.access.usbank.com/

**DO** contact US Bank customer service (888-994-6722) in a timely manner to dispute charges that are incorrect or if you have questions about your monthly bill.

**NOTE: All Travel Authorizations and Vouchers are subject to audit and the Freedom of Information Act (FOIA).**

COVID-19 NATIONAL HEALTH EMERGENCY

# DOT HEADQUARTERS FACILITY FACT SHEET

## CLEANING AND FREQUENCY

Cubicle desktops are cleaned daily by the cleaning staff using EPA COVID-19 approved products. We are performing the following:

- Enhanced cleaning of high-touch areas of offices, such as door handles, cubicle and office desktops, and conference room tables are cleaned daily.
- Enhanced cleaning in public high traffic spaces - increased frequency (*morning, afternoon, and evening*) vs. daily cleaning:
  - ✓ Lobby turnstiles
  - ✓ Lobby desks, chairs, door handles
  - ✓ Elevator controls in each car and in the elevator lobbies
  - ✓ Restrooms
  - ✓ Handrails leading to the Concourse areas
- Enhanced cleaning of stairwell handrails and doorknobs three times a week vs. monthly cleaning.

## VENTILATION SYSTEM

The following engineering controls have been implemented or confirmed per the CDC Interim Guidance for Businesses and Employers Responding to Coronavirus Disease 2019 (COVID-19), May 2020.

- All building ventilation systems are operating properly, providing above standard indoor air quality for each space. Filtration levels are superior to the CDC recommendation.
- We have increased outdoor air ventilation significantly above pre COVID-19 levels and instituted a daily 100% outside air flush.

## WATER SYSTEM

All water systems have been regularly flushed and preventative maintenance has been conducted during the period of maximum telework at the DOT HQ.

- As part of the preventive maintenance program, all the water filters in the building will be replaced by the end of June.

# HOW YOU CAN HELP

**WASH YOUR HANDS**

**WEAR YOUR MASK**


**STAY HOME IF YOU'RE SICK**

# QUESTIONS or NEED ASSISTANCE?

**Email: Facilitiesmanagement@dot.gov**

# How to Safely Wear and Take Off a Mask

Accessible: https://www.cdc.gov/coronavirus/2019-ncov/prevent-getting-sick/how-to-wear-cloth-face-coverings.html

## WEAR YOUR FACE MASK CORRECTLY

- Wash your hands before putting on your mask
- Put it over your nose and mouth and secure it under your chin
- Try to fit it snugly against the sides of your face
- Make sure you can breathe easily
- Do not place a mask on a child younger than 2


## USE THE MASK TO HELP PROTECT OTHERS

- Wear a mask to help protect others in case you're infected but don't have symptoms
- Keep the mask on your face the entire time you're in public
- Don't put the mask around your neck or up on your forehead
- Don't touch the mask, and, if you do, clean your hands

## FOLLOW EVERYDAY HEALTH HABITS

- Stay at least 6 feet away from others
- Avoid contact with people who are sick
- Wash your hands often, with soap and water, for at least 20 seconds each time
- Use hand sanitizer if soap and water are not available


## TAKE OFF YOUR MASK CAREFULLY, WHEN YOU'RE HOME

- Untie the strings behind your head or stretch the ear loops
- Handle only by the ear loops or ties
- Fold outside corners together
- Place covering in the washing machine
- Wash your hands with soap and water

CS316488A 10/07/2020

**Personal masks are not surgical masks or N-95 respirators, both of which should be saved for health care workers and other medical first responders.**

For instructions on making a cloth face covering, see: **cdc.gov/coronavirus**

# Stop the Spread of Germs

**Help prevent the spread of respiratory diseases like COVID-19.**


Stay at least 6 feet (about 2 arms' length) from other people.

Cover your cough or sneeze with a tissue, then throw the tissue in the trash and wash your hands.

When in public, wear a mask over your nose and mouth.

Do not touch your eyes, nose, and mouth.

Clean and disinfect frequently touched objects and surfaces.

Stay home when you are sick, except to get medical care.

Wash your hands often with soap and water for at least 20 seconds.

CDC

cdc.gov/coronavirus

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# What Your Test Results Mean

Accessible version available at https://www.cdc.gov/coronavirus/2019-ncov/testing/diagnostic-testing.html

## If you test positive for COVID-19

**TAKE STEPS TO HELP PREVENT THE SPREAD OF COVID-19**

**STAY HOME.**
Do not leave your home, except to get medical care. Do not visit public areas.

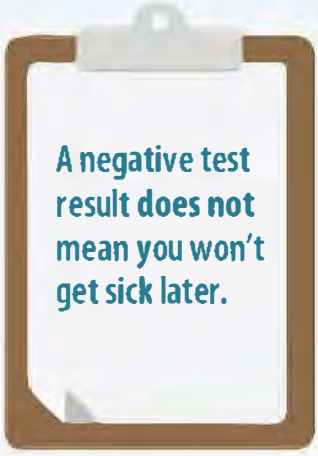
**STAY IN TOUCH WITH YOUR DOCTOR.**

**GET REST AND STAY HYDRATED.**
Take over-the-counter medicines, such as acetaminophen, to help you feel better.

**SEPARATE YOURSELF FROM OTHER PEOPLE.**
As much as possible, stay in a specific room and away from other people and pets in your home.

## If you test negative for COVID-19

- You probably were not infected at the time your sample was collected.
- However, that **does not** mean you will not **get sick**.
- It is possible that you were very early in your infection when your sample was collected and that you **could test positive** later.

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CDC.GOV/CORONAVIRUS

# COVID-19: Quarantine vs. Isolation

## QUARANTINE keeps someone who was in close contact with someone who has COVID-19 away from others.

**If you had close contact with a person who has COVID-19**

- Stay home until 14 days after your last contact.

- Check your temperature twice a day and watch for symptoms of COVID-19.

- If possible, stay away from people who are at higher-risk for getting very sick from COVID-19.

## ISOLATION keeps someone who is sick or tested positive for COVID-19 without symptoms away from others, even in their own home.

**If you are sick and think or know you have COVID-19**

- Stay home until after
  - At least 10 days since symptoms first appeared **and**
  - At least 24 hours with no fever without fever-reducing medication **and**
  - Symptoms have improved

**If you tested positive for COVID-19 but do not have symptoms**

- Stay home until after
  - 10 days have passed since your positive test

If you live with others, stay in a specific "sick room" or area and away from other people or animals, including pets. Use a separate bathroom, if available.

**cdc.gov/coronavirus**

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# TRANSIT OVERVIEW

USDOT encourages its employees to commute to work by public transportation and carpools. The nearest Metrorail station to the DOT Building is Navy Yard, which is located on New Jersey Avenue and M Street. There is a Metro Bus accessible also on the M Street side of the DOT Building. Additional information about the Metro System may be obtained by contacting the Washington Metropolitan Area Transit Authority (WMATA) at 1-888-762-7874.

## Transit Benefits

USDOT seeks to maintain a program with extensive Federal employee participation and encourages the use of mass transit, in line with its strategic goal for congestion reduction, while having effective and useful controls in place to ensure that the program accomplishes its intended results. Benefits are provided electronically either through the WMATA SmarTrip Card® or the TRANServe Credit Card. WMATA now offers virtual SmarTrip cards that work, in conjunction, with iPhones, and offers contactless exit and entry into WMATA's rail and buses. For more virtual card information, please visit https://www.wmata.com/fares/mobilepay/.

## Approved Public Transportation Modes

- Rail (subway, commuter and light)
- Bus (transit authority and commuter)
- Ferry—approved form of public transportation when used as walk on fares or on bicycle
- Qualified vanpools

## Eligibility

The USDOT transit benefit is available to all DOT employees working in a full or part-time paid status, to include interns. Eligibility for enrollment in the Transit Benefit Program begins after all processes are completed, including: Transit Benefit Integrity Awareness Training and submission of transit benefit application. The transit benefit is tied to the calendar month and will not be issued retroactively. For more information on USDOT's Transit Benefit Policy, please visit: TRANServe | US Department of Transportation

## Access to Metro Rail

USDOT's main entrance on New Jersey Avenue, S.E., is approximately 400 linear feet from the Green Line Navy Yard exit.

## Access to Metro Bus

Due to frequent changes in bus routes and services, USDOT employees are advised to visit the WMATA trip planner website prior to commuting to identify the real-time, on-going changes in services and available bus lines that best meet their commuting needs: To access WMATA's trip planner, please visit: https://www.wmata.com/service/index.cfm.

# PARKING OVERVIEW–REGISTRATION AND PAYMENT INSTRUCTIONS

**Due to the COVID-19 public health emergency, the Department of Transportation (DOT) has suspended employee parking fees and employees do not have to pay to park in the DOT headquarters garage. Upon completion of DOT's headquarters phased return to normal operations, employees that use the Parking Facility will have to pay either monthly or daily parking fees to occupy a space in the garage. This document provides the instruction for a return to normal Parking Facility operations.**

DOT's Parking Facility Policy requires all drivers occupying a space in the garage to pay either monthly or daily parking rates. The current DOT garage parking rates are:

- Monthly Parking Rate: $155 per month per space
- Daily Parking Rate: $12 per day per space
- Motorcycle Rates: $25.50 Monthly, $5 daily

## Parking Registration Instructions

In accordance with the DOT Headquarters Parking Policy, all daily, weekly, and monthly parkers must register for a parking permit. Parking permit approvals are for a one-year period. Proof of registration is a valid DOT hang-tag issued from the Parking and Transit office. Registration is separate from parking payment.

Action required for registering vehicles:

1. Establish an account by using the following link: https://parkingapp.ost.dot.gov/
   a. If you experience issues using Internet Explorer, copy and paste the link into an alternate browser (*i.e.*, Chrome or Firefox).
   b. Please note that logon is your DOT email address and the password must be Federal Information Security Management Act (FISMA) compliant.
2. Pick the Recertify/Enroll option and complete the on-line parking application.
3. After receiving confirmation of your successful parking recertification, you will receive an email with instruction on when to pick up your hang tag.

## Parking Payment Instructions

1. Purchase of parking permits may be completed online by visiting https://www.pay.gov/paygov/home
   a. All monthly parkers must self-register for an account with pay.gov.
   b. Payments must be applied to a registered credit card, no cash is accepted.
   c. Employees will receive the annual decal or daily pass upon payment from the PTRAN customer representative, the garage attendant, or via email (applies to daily only).
   d. The Parking and Transit Benefit Office may be reached at parking.transitoffice@dot.gov.
   e. Detailed instruction for processing electronic payments are available at the following link: https://www.transportation.gov/transerve/directions-paygov-parking-payments.

# ACRONYMS

| | Acronym Name |
|---|---|
| AATF | Airport and Airway Trust Fund (AKA Aviation Trust Fund) |
| ADA | Americans with Disabilities Act of 1990 |
| ADA | Antideficiency Act |
| ADA | Assistant Division Administrator |
| ADHS | Appalachian Development Highway System |
| AIP | Airport Improvement Program |
| Amtrak | National Railroad Passenger Corporation |
| ANPRM | Advanced Notice of Proposed Rulemaking |
| ARC | Appalachian Regional Commission |
| ATC | Air Traffic Control |
| ATO | Air Traffic Organization |
| ATS | Air Traffic System |
| BAC | Blood Alcohol Concentration (or Content) |
| BCA | Benefit-Cost Analysis |
| BGAN | Broadband Global Area Network |
| BRT | Bus Rapid Transit |
| CA | Contract Authority |
| CAFÉ | Corporate Average Fuel Economy |
| CAHSR | California high-speed rail |
| CDL | Commercial Driver's License |
| CE | Categorical Exclusion |
| CFR | Code of Federal Regulations |

| | |
|---|---|
| CJ | Congressional Justifications |
| CMAQ | Congestion Mitigation and Air Quality Improvement Program |
| CMV | Commercial Motor Vehicle |
| COG | Continuity of Government |
| COOP | Continuity of Operation Plan |
| COR | Contracting Officer's Representative |
| COTR | Contracting Officer's Technical Representative |
| CSA | Compliance, Safety, Accountability |
| CS● | Chief Safety Officer |
| CVISN | Commercial Vehicle Information Systems and Network |
| DBE | Disadvantaged Business Enterprise |
| DGPS | Differential Global Positioning System |
| EA | Environmental Assessment |
| EA | Enterprise Architecture |
| EAS | Essential Air Service |
| ECP Brakes | Electronically Controlled Pneumatic Brakes |
| EDC | Every Day Counts |
| EEO | Equal Employment Opportunity |
| EIS | Environmental Impact Study |
| EIS | Environmental Impact Statement |
| ELD | Electronic Logging Devices |
| EMS | Emergency Medical Services |
| ENS | Emergency Notification System |
| EO | Executive Order |

| | |
|---|---|
| **EOBRs** | **Electronic On-Board Recorders** |
| **ER** | **Emergency Relief** |
| **ERAM** | **En Route Automation Modernization** |
| **ERG** | **Emergency Response Guidebook** |
| **ERM** | **Enterprise Risk Management** |
| **ERP** | **Emergency Response Plan** |
| **ESC** | **Enterprise Service Center** |
| **EXCOM** | **Executive Committee** |
| **FACA** | **Federal Advisory Committee Act** |
| **FAHP** | **Federal-Aid Highway Program** |
| **FARS** | **Fatal Accident Reporting System** |
| **FEIS** | **Final Environmental Impact Statement** |
| **FFGA** | **Full Funding Grant Agreement** |
| **FONSI** | **Finding of No Significant Impact** |
| **FOSC** | **Federal On-Scene Coordinator** |
| **FOUO** | **For Official Use Only** |
| **FTE** | **Full-time Equivalent** |
| **FTP** | **Full-time Permanent** |
| **GA** | **General Aviation** |
| **GOE** | **General Operating Expense** |
| **GPRA** | **Government Performance and Results Act of 1993** |
| **GPS** | **Global Positioning System** |
| **HAZMAT** | **Hazardous Material** |
| **HOS** | **Hours of Service** |

| | |
|---|---|
| HOT | High-occupancy toll |
| HOV | High Occupancy Vehicle |
| HPP | High Priority Projects |
| IAA | Inter-Agency or Intra-Agency Agreement |
| ICAO | International Civil Aviation Organization |
| ICC | Interstate Commerce Commission |
| ICM | Integrated Corridor Management |
| IDIQ | Indefinite Delivery Indefinite Quantity |
| IFR | Interim Final Rule |
| IMO | International Maritime Organization |
| IPAC | Intra-Governmental Payment and Collection |
| IPIC | Infrastructure Permitting Improvement Center |
| IRB | Investment Review Board |
| ITS | Intelligent Transportation System |
| JPO | Joint Program Office |
| LAE | Limitation on Administrative Expenses |
| LAN | Local Area Network |
| LIP | Legislative Implementation Plan |
| LNG | Liquefied natural gas |
| LOI | Letter of Interest |
| LRT | Light Rail Transit |
| LRV | Light Rail Vehicle |
| MAGLEV | Magnetic Levitation |
| MOA | Memorandum of Agreement |

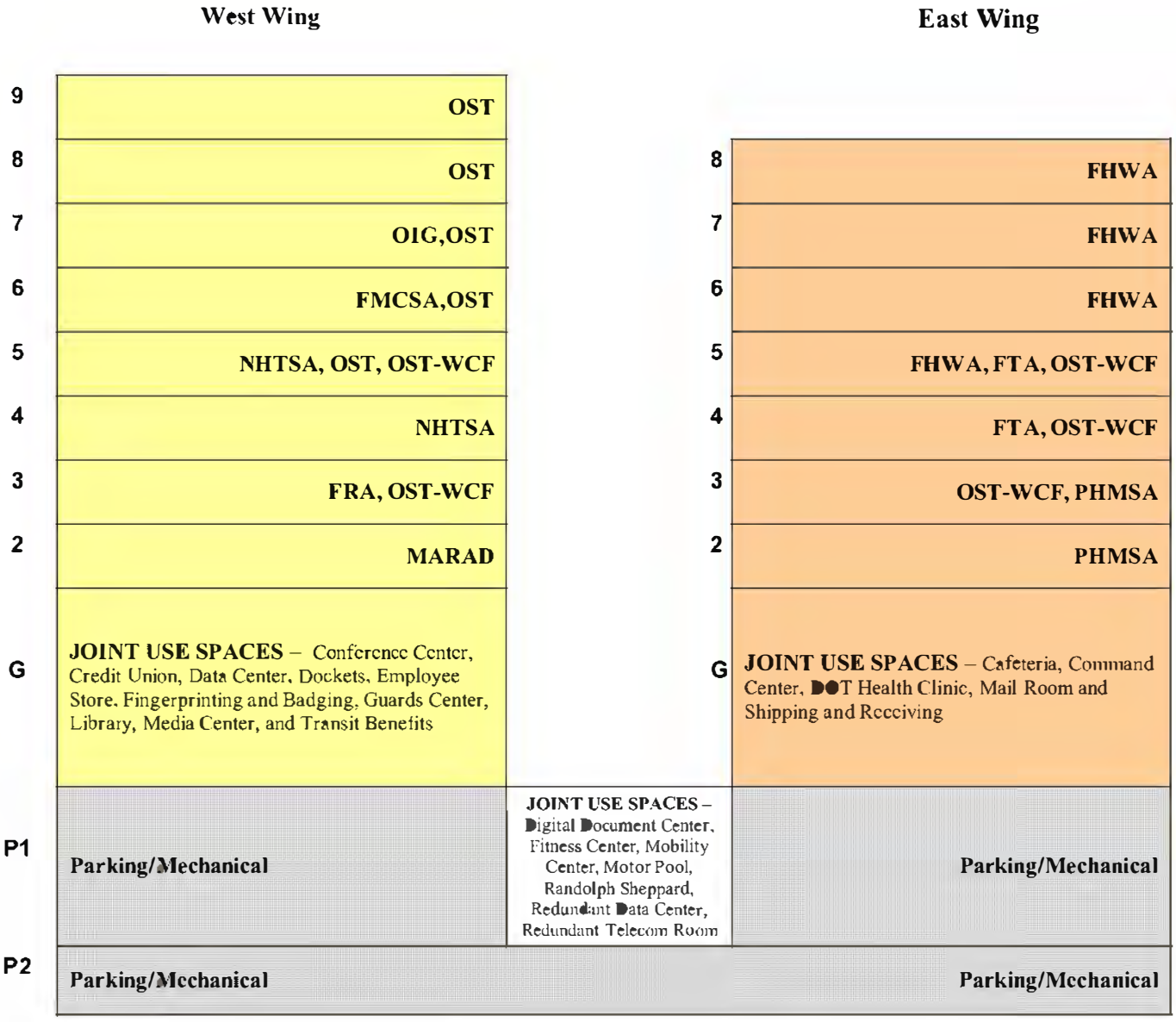
| | |
|---|---|
| MOU | Memorandum of Understanding |
| MPO | Metropolitan Planning Organization |
| MUTCD | Manual on Uniform Traffic Control Devices |
| MWAA | Metropolitan Washington Airports Authority |
| NAS | National Airspace System |
| NATCA | National Air Traffic Controllers Association |
| NDGPS | Nationwide Differential Global Positioning System |
| NEC | Northeast Corridor |
| NEPA | National Environmental Policy Act |
| NextGen | Next Generation Air Transportation System |
| NHS | National Highway System |
| NOFA | Notice of Funding Availability |
| NOFO | Notice of Funding Opportunity |
| NOI | Notice of Intent |
| NPRM | Notice of Proposed Rulemaking |
| OA | Operating Administration |
| OA | Obligation Authority |
| Oblim | Obligation Limitation |
| OJT | On-the-Job Training |
| PE | Preliminary Engineering |
| PII | Personally-Identifiable Information |
| PLA | Project Labor Agreement |
| PNT | Positioning, Navigation, and Timing |
| PPP | Public-Private Partnership |

| | |
|---|---|
| PTC | Positive Train Control |
| RD&T | Research, Development, and Technology |
| RFP | Request for Proposal |
| RFQ | Request for Quotation |
| ROD | Record of Decision |
| ROI | Record of Investigation |
| ROW | Right-of-Way |
| RRF | Ready Reserve Force |
| RRIF | Railroad Rehabilitation and Improvement Financing |
| SaDIP | Safety Data Improvement Program |
| SAP | Statement of Administrative Policy |
| SBU | Sensitive But Unclassified |
| SCASDP | Small Community Air Service Development Program |
| SHSA | State Highway Safety Agency |
| SHSO | State Highway Safety Office |
| SHSP | Strategic Highway Safety Plan |
| SID | Side Impact Dummy |
| SITREP | Situational Report |
| SLSMC | St. Lawrence Seaway Management Corporation |
| SOW | Statement of Work |
| SSGA | Small Starts Grant Agreement |
| SS● | State Safety Oversight |
| SSOA | State Safety Oversight Agency |
| STARS | Standard Terminal Automation Replacement System |

| | |
|---|---|
| **STEM** | **Science, Technology, Engineering, and Mathematics** |
| **STIP** | **Statewide Transportation Improvement Program** |
| **TAMR** | **FAA Terminal Modernization** |
| **TIP** | **Transportation Improvement Program** |
| **TOD** | **Transit-Oriented Development** |
| **TRACON** | **Terminal Radar Approach Control** |
| **TRANSCOM** | **US Transportation Command** |
| **TRB** | **Transportation Research Board** |
| **TSI** | **Transportation Safety Institute** |
| **TWIC** | **Transportation Worker Identification Credential** |
| **UAS** | **Unmanned Aircraft Systems** |
| **UDO** | **Undelivered Order** |
| **ULEV** | **Ultra-low Emission Vehicle** |
| **URS** | **Unified Registration System** |
| **UTC** | **University Transportation Center** |
| **V2G** | **Vehicle-to-Grid** |
| **V2I** | **Vehicle-to-Infrastructure** |
| **V2V** | **Vehicle-to-Vehicle** |
| **V2X** | **Vehicles and Infrastructure are all Interconnected** |
| **VAPI** | **Vehicle Application Programming Interface** |
| **VIN** | **Vehicle Identification Number** |
| **VMT** | **Vehicle Miles Traveled** |
| **VOLPE** | **Volpe National Transportation Systems Center** |
| **WAAS** | **Wide Area Augmentation System** |

| | |
|---|---|
| **WCF** | **Working Capital Fund** |
| **WMATA** | **Washington Metropolitan Area Transit Authority** |

# DEPARTMENT'S FACILITY DIAGRAM



## HEADQUARTERS GROUND FLOOR


## KEY PHONE NUMBERS

| | |
|---|---|
| **MAIN DOT LINE** | (202) 366-4000 |
| **24 HOUR SECURITY** | (202) 366-0333 or (202) 366-0337 |
| **ETHICS OFFICE** | JUDY KALETA (202) 493-0092<br>TERENCE CARLSON (202) 366-9152 |
| **HUMAN RESOURCES** | LISA WILLIAMS (202) 366-1728<br>ANNE AUDET (202) 366-2478 |
| **IT HELP DESK** | (202) 385-5357 "CALL 5-HELP" |
| **OFFICE OF FACILITIES** | KEITH SZAKAL (202) 302-5026<br>JAMES USUAL (202) 366-0024 |
| **TRAVEL QUESTIONS** | ARNIE LINARES (202) 366-0520 |

# EMERGENCY CONTACT INFORMATION/EVACUATION MAP

For any medical, fire, or other emergency situations, **CALL 9-911**.
***THEN CALL THE SECURITY FORCE.***

**Emergency Phone Numbers**

FPS: 9-1 (877) 437-7411

MPD: 9-911

DCFEMS: 9-911

**DOT Security Force**

DOT HQs - SEFC: (202) 366-0333 or (202) 366-0337

FAA HQs - 10A: (202) 267-8829 or (202) 267-8833

FAA HQs - 10B: (202) 267-0326 or (202) 267-0366

**DOT Health Unit**

SEFC: (202) 366-1187 or (202) 366-1312

FAA: (202) 267-3405

**Other Important Numbers**

Office of Security: (202) 366-4677

Facilities Management Services: (202) 366-2458

## Primary Evacuation Assembly Point—Yards Park

## Alternate Evacuation Assembly Point—Canal Park


THE YARDS

THEYARDSDC.COM

## MERIT SYSTEMS PRINCIPLES

1. Recruitment should be from qualified individuals from appropriate sources in an endeavor to achieve a work force from all segments of society, and selection and advancement should be determined solely on the basis of relative ability, knowledge and skills, after fair and open competition which assures that all receive equal opportunity.

2. All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights.

3. Equal pay should be provided for work of equal value, with appropriate consideration of both national and local rates paid by employers in the private sector, and appropriate incentives and recognition should be provided for excellence in performance.

4. All employees should maintain high standards of integrity, conduct, and concern for the public interest.

5. The Federal work force should be used efficiently and effectively.

6. Employees should be retained on the basis of adequacy of their performance, inadequate performance should be corrected, and employees should be separated who cannot or will not improve their performance to meet required standards.

7. Employees should be provided effective education and training in cases in which such education and training would result in better organizational and individual performance.

8. Employees should be--
   A. protected against arbitrary action, personal favoritism, or coercion for partisan political purposes, and
   B. prohibited from using their official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for election.

9. Employees should be protected against reprisal for the lawful disclosure of information which the employees reasonably believe evidences--
   A. a violation of any law, rule, or regulation, or
   B. mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety.

U.S. Department
of Transportation