**FGDC.GOV**
FEDERAL GEOGRAPHIC DATA COMMITTEE

# 2020 Covered Agency Annual Report
# and Self-Assessment

*for*

## Department of Transportation

## Geospatial Data Act of 2018
## Section 759(a) Requirements

March 19, 2021

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# Acronyms

| Acronym | Definition |
|---|---|
| ATO | Authorization to Operate |
| CA | Covered Agency |
| FGDC | Federal Geographic Data Committee |
| GDA | Geospatial Data Act |
| NGAC | National Geospatial Advisory Committee |
| NGDA | National Geospatial Data Asset(s) |
| NSDI | National Spatial Data Infrastructure |
| OIG | Office of the Inspector General |
| OMB | Office of Management and Budget |
| **Agency Acronym** | **Agency** |
| DHS | Department of Homeland Security |
| DOC | Department of Commerce |
| DOD | Department of Defense |
| DOE | Department of Energy |
| DOI | Department of the Interior |
| DOJ | Department of Justice |
| DOL | Department of Labor |
| DOS | Department of State |
| DOT | Department of Transportation |
| ED | Department of Education |
| GSA | General Services Administration |
| HHS | Department of Health and Human Services |
| HUD | Department of Housing and Urban Development |
| NASA | National Aeronautics and Space Administration |
| Treasury | Department of Treasury |
| USDA | U.S. Department of Agriculture |
| USEPA | Environmental Protection Agency |
| VA | Department of Veterans Affairs |

*Table of Acronyms.*

# Introduction

Section 759 (b) of the Geospatial Data Act (GDA) requires each covered agency[1] to submit to the Federal Geographic Data Committee (FGDC) "an annual report regarding the achievements of the covered agency in preparing and implementing the strategy described in subsection (a)(1) and complying with the other requirements under subsection (a)." [https://fgdc.gov/gda/online]

This document serves as the Department of Transportation's baseline annual report to the FGDC covering the period from October 5, 2018 – when the GDA was enacted – through Fiscal Year 2020 (September 30, 2020). The report was developed through a self-assessment template developed by the FGDC agencies. Subsequent annual reports will each span one fiscal year. The report includes a rating for each covered agency responsibility of "meets expectations," "made progress toward expectations," or "fails to meet expectations," as required by the GDA. A summary and evaluation of all of the covered agency reports will be generated by FGDC and provided to the National Geospatial Advisory Committee (NGAC) for review and comment. The summary reports, along with the NGAC comments, will also become part of the biennial FGDC GDA report to Congress and will be published online.

This report is based on a standardized questionnaire and self-assessment score for each covered agency responsibility. The Department of Transportation has maintained documentation supporting the responses provided for this assessment. This information may be reviewed as part of the biennial Inspector General (IG) audits of covered agencies.

A recommended self-assessment key has been provided for each responsibility. In some cases, optional text is provided for additional insights or to justify a self-assessment selection. Any optional responses provided are not a factor in the self-assessment. Please note that covered agencies are not expected to "meet expectations" in all areas for this first reporting cycle.

Where data or datasets are referenced,[2] information relates to all geospatial datasets owned or managed by the Department of Transportation that are, or should be, available to the public.

To support a more comprehensive picture of agency compliance and related activities, each agency had the option to submit up to a 2-page document, using the survey, as part of the agency's submission. If provided, the document may include highlights and examples that can supplement the FGDC report to Congress, support the feedback process with the NGAC, or provide context to Office of the Inspector General (OIG) findings.

The Department of Transportation self-assessment GDA Covered Agency Annual Report was initially submitted during February 2021.

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[1] GDA definition of *agency*: https://www.fgdc.gov/gda/online#the-term-''covered-agency''—means—an-executive-department-as-def

[2] GDA definition of *geospatial data*: https://www.fgdc.gov/gda/online#the-term-%E2%80%98%E2%80%98geospatial-data%E2%80%99%E2%80%99%E2%80%94means-information-that-is-tied-to-a

# Self-Assessment for Department of Transportation

## 759(a)(1) Covered Agency Geospatial Strategies

| GDA Requirement | Prepare, maintain, publish, and implement a strategy for advancing geographic information and related geospatial data and activities appropriate to the mission of the covered agency, in support of the strategic plan for the National Spatial Data Infrastructure |
|---|---|
| **Agency Self-Assessment** | **Made Progress Towards Expectations** |
| **KEY to Self-Assessment** | • **Meets expectations =** <br> ○ Yes to Question 1.4 <br> • **Made progress toward expectations =** <br> ○ Yes to Questions 1.1, 1.2, or 1.3 <br> • **Fails to meet expectations =** <br> ○ No to Questions 1.1, 1.2, 1.3, and 1.4 |

**Clarifying Text:** FGDC developed and released a new national strategic plan for the development of the National Spatial Data Infrastructure (NSDI) [GDA Sec. 755(c)], which was approved by the FGDC Steering Committee in November 2020. Covered Agency Geospatial Strategies [GDA Sec. 759(a)(1)], which will support the goals in the NSDI strategic plan, are due to be completed and submitted for agency approval by February 26, 2021, per FGDC guidance. For more information, please visit http://fgdc.gov/nsdi-plan.

**1.1 Has your agency reviewed the draft NSDI strategic plan?**

- Yes

**1.2 Has your agency developed a plan and timeline to complete development of the Covered Agency Geospatial Strategy appropriate to the agency's mission as required by GDA Sec.759(a)(1)?**

- Yes

**1.3 Is your Covered Agency Geospatial Strategy on schedule to be completed and submitted for agency approval by February 26, 2021?**

- Yes

**1.4 Has your agency completed and implemented your plan?**

- No

**1.5 If your plan is online? If yes, please provide the URL:**

- No

**1.6 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(1), "Prepare and implement a strategy for advancing geospatial data activities appropriate to the agency's mission."**

United State (U.S.) Department of Transportation (DOT) has had a Geospatial Strategic Plan in place since 2017. It is posted at:
https://www.transportation.gov/sites/dot.gov/files/docs/GISStrategicPlan_0831_final.pdf

On December 18, 2020, US DOT completed the Covered Agency Geospatial Strategy which is required by the Geospatial Data Act and which is effective for the years 2021-2024. It is with the acting US DOT CIO for a signature. After it is signed, it will be posted on DOT's website, replacing the 2017 document.

## 759(a)(2) Support Data Sharing

| | |
|---|---|
| **GDA Requirement** | Collect, maintain, disseminate, and preserve geospatial data such that the resulting data, information, or products can be readily shared with other federal agencies and non-federal users. |
| **Agency Self-Assessment** | **Made Progress Towards Expectations** |
| **KEY to Self-Assessment** | • **Meets expectations =**<br>   o *Data is currently shared* selections for **all** agency appropriate parties for Question 2.1 and Yes to Questions 2.2 and 2.3<br>• **Made progress toward expectations =**<br>   o *Data is currently shared* selections for **some** appropriate parties for Question 2.1, **or** Question 2.2 and 2.3 have a mix of answers<br>• **Fails to meet expectations =**<br>   o No to Questions 2.1, 2.2, and 2.3 |

**Clarifying text:**

- This section does not include efforts related to partners, which are covered under Question 7, Section 756(a)(7).
- Review the GDA definition of geospatial data to consider the questions in this section.
- Remember, your answers should include information about all geospatial datasets owned or managed by your agency that are, or should be, available to the public, not just National Geospatial Data Asset (NGDA) Datasets.
- Sharing standards-based data on the Internet using standard protocols and formats makes it part of the NSDI.
- Additional detail on the definition of geospatial data may be provided by OMB Circular A-16 when finalized.
- Data that will not or cannot be distributed to the public does not need to be considered for GDA-related responses.

**2.1 Does your agency ensure that all eligible geospatial data is managed so it can be shared and is it provided in standard formats, as appropriate? (This will include agency open government and transparency guidelines.)**

**The following items were selected from a picklist:[i]**

- Data is currently openly shared to the public.
- Data is currently shared on a limited basis with federal partners.
- Data is currently shared on a limited basis with non-federal users.

**2.2 Does your agency disseminate eligible geospatial data in a way that can be readily shared in open formats (for example using machine readable formats or searchable metadata)?**

- Yes, eligible geospatial data and metadata are shared in open formats.

**2.3 Are maintenance processes in place to ensure other Federal agencies and non-federal users have access to the most recent data in addition to data and metadata updates and corrections?**

- Some programs/datasets have maintenance processes in place.

**2.4 Optional Question: Use the following section to document up to 5 key examples of ongoing or planned activities that ensure eligible geospatial data and associated metadata can be easily shared, understood, and re-used by others, now and in the future.**

| Title | Description |
|---|---|
| **National Transportation Atlas Database (NTAD)** | A publicly available Geospatial Data Catalog is maintained at https://data-usdot.opendata.arcgis.com/ and updated regularly by US DOT. In September 2020, it contained approximately 60 datasets. |
| **US DOT GIS Shared Service (Portal)** | A publicly available portal is maintained at https://maps.dot.gov/portal/home/. US DOT is working with the operating administrations to add more data and applications. |
| **Metadata requirements and maintenance documentation** | US DOT is developing comprehensive documentation on geospatial metadata requirements for geospatial data owned or maintained by US DOT. |

**2.5 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(2), "collect, maintain, disseminate, and preserve geospatial data such that the resulting data, information, or products can be readily shared with other Federal agencies and non-Federal users."**

The National Transportation Atlas Database (NTAD), published by the Bureau of Transportation Statistics (BTS), is a set of nationwide geographic databases of transportation facilities, transportation networks, and associated infrastructure. These datasets include spatial information for transportation modal networks and intermodal terminals, as well as the related attribute information for these features. There are approximately three dozen point, line and polygon "data themes," comprising about 60 total

datasets. Metadata documentation, as prescribed by the Federal Geographic Data Committee (FGDC), is also provided for each dataset. These data support research, analysis, and decision-making across all modes of transportation and at regional, state, and local scales. The current NTAD datasets are designed for use within a GIS; however, the attribute data for each dataset can be accessed in any database, spreadsheet, or other software package. Updates are made on a continuous basis.

## 759(a)(3) Promote Data Integration

| GDA Requirement | Promote the integration of geospatial data from all sources |
|---|---|
| **Agency Self-Assessment** | **Meets Expectations** |
| **KEY to Self-Assessment** | • **Meets expectations =** <br>     o Yes to Question 3.1 <br> • **Made progress toward expectations =** <br>     o Partial to Question 3.1 <br> • **Fails to meet expectations =** <br>     o No to Question 3.1 |

**3.1 Has your agency taken action to promote integration of data from multiple sources?**

- Yes. The agency has taken appropriate action to promote data integration.

**3.1.a If yes or partial to Question 3.1, in what ways does your agency promote data integration from multiple sources?**

**The following items were selected from a picklist:[ii]**

- Hosts a data sharing infrastructure where partners and/or data users can share and discover data.
- Develops a data integration toolkit or APIs to promote integration of agency data in external applications.
- Develops data integration processes to promote integration of non-agency data into applications.
- Provides data in openly standardized readable formats or as downloadable file packages.
- Develops data sharing agreements or Memoranda Of Agreement (MOA) with public and private partners for ingest or sharing of data.

**3.2 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(3), "promote the integration of geospatial data from all sources."**

The DOT GIS Shared Service (https://maps.dot.gov/portal/home/) is a portal where users can discover data; internal users can share data as well. The Shared Service as well as the NTAD provide data in open formats and as downloadable packages. For examples of data sharing with public and private partners: 1) State highway departments share road data with US DOT, which has developed integration processes

to include that data in Federal Highway Administration (FHWA) applications; 2) the Federal Railroad Administration (FRA) receives geospatial rail data from rail operators and from FRA enforcement staff and integrates that data into their public-facing applications; 3) the Pipeline and Hazardous Materials Safety Administration (PHMSA) integrates geospatial pipeline data collected from every regulated pipeline operator with gas transmission or hazardous liquid pipeline operations per the Code of Federal Regulations (CFR). PHMSA also integrates Federal inspection records into the geospatial data to improve record keeping, data visualization and data driven decision making.

## 759(a)(4) Ensure Records Retention Schedule for Geospatial Data

| GDA Requirement | Ensure that data information products and other records created in geospatial data and activities are included on agency record schedules that have been approved by the National Archives and Records Administration |
|---|---|
| Agency Self-Assessment | **Made Progress Towards Expectations** |
| KEY to Self-Assessment | • **Meets expectations =**<br>   o Yes to Questions 4.1 and 4.2<br>• **Made progress toward expectations =**<br>   o Yes or Partial to Questions 4.1 and 4.2 **or**<br>   o No to either 4.1 or 4.2<br>• **Fails to meet expectations =**<br>   o No to Questions 4.1 and 4.2 |

**4.1 To ensure approved National Archives and Records Administration (NARA) schedules are in place, does the appraisal process for your agency to determine which data is archived include geospatial data?**

• Partial.  Some agency programs are included in the archiving appraisal process for data information products and other records created in geospatial data and activities.

**4.2 Are geospatial data assets included on agency record schedules?**

- Partial. Some agency record schedules are inclusive of data information products and other records created in geospatial data and activities.

**4.3 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(4), "ensure that data information products and other records created in geospatial data and activities are included on agency record schedules that have been approved by the National Archives and Records Administration."**

Eight of US DOT's nine geospatially-enabled modal administrations have completed their record schedules for geospatial data as of 9/30/20. We expect all of these records schedules to be complete by Q3 of FY21.

## 759(a)(5) Allocate Resources for Geospatial Data Management Responsibilities

| | |
|---|---|
| **GDA Requirement** | Allocate resources to fulfill the responsibilities of effective geospatial data collection, production, and stewardship with regard to related activities of the covered agency, and as necessary to support the activities of the Committee |
| **Agency Self-Assessment** | **Meets Expectations** |
| **KEY to Self-Assessment** | <ul><li>**Meets expectations =**<ul><li>Yes to Question 5.1</li></ul></li><li>**Made progress toward expectations =**<ul><li>Partial to Question 5.1</li></ul></li><li>**Fails to meet expectations =**<ul><li>No to Question 5.1</li></ul></li></ul> |

**5.1 Are adequate geospatial program resources (including full- or part-time federal employees or contractors) allocated to fulfill the responsibilities of effective geospatial data collection, production, and stewardship with regard to related activities of the covered agency, and as necessary to support the activities of the Committee?**

**Clarifying text**: Analyses of the requirements for the GDA are ongoing and it is anticipated that agencies will answer based on currently understood or anticipated requirements. Additional details can be provided in the 5.2 Brief Summary and in your agency's 2-page PDF.

- Yes.

**5.2 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(5), "allocate resources to fulfill the responsibilities of effective geospatial data collection, production, and stewardship with regard to related activities of the covered agency, and as necessary to support the activities of the Committee."**

US DOT has established a Geospatial Management Office (GMO) as part of the Office of the Chief Information Officer (OCIO). It is comprised of the Chief GIO, a Deputy GIO, a GSS Manager, and contractor staff. As of 9/30/20, US DOT was in the process of designating modal GIOs for each DOT operating administration with geospatial data. The staff resources work to fulfill the responsibilities of effective geospatial data collection, production, and stewardship with regard to related activities of the covered agency, and as necessary to support the activities of the Committee. The operating administrations allocate financial resources which are adequate to support their geospatial programs. Our resources as of 9/30/20 are adequate. Our 2021-2024 GIS Strategic Plan lays out optimal resourcing scenarios based on our understanding of evolving mission requirements as well as pending OMB & FGDC guidance implementing the GDA. The adequacy of our resources may change depending on these factors.

## 759(a)(6) Use Data Standards

| | |
|---|---|
| **GDA Requirement** | Use the geospatial data standards, including the standards for metadata for geospatial data, and other appropriate standards, including documenting geospatial data with the relevant metadata and making metadata available through the GeoPlatform |
| **Agency Self-Assessment** | **Made Progress Towards Expectations** |
| **KEY to Self-Assessment** | • **Meets expectations =**<br>  ○ Yes to Questions 6.1, 6.2 and 6.3<br>• **Made progress toward expectations =**<br>  ○ Any other combination of Yes, No, and Partial to Questions 6.1, 6.2, and 6.3<br>• **Fails to meet expectations =**<br>  ○ No to Questions 6.1, 6.2, and 6.3 |

**6.1. Are defined data standards used in collecting, processing, and/or disseminating the data being addressed?**

**The following items were selected from a picklist:[iii]**

- Partial.  Some Eligible geospatial datasets use data standards that comply with OMB Circular A-119.

**6.2 Does your agency maintain its metadata in an FGDC-endorsed, or ISO-compliant geospatial metadata standard format?**

**Clarifying text**: Question does not include legacy datasets that are static and no longer modified or otherwise managed. Also, see the list of endorsed FGDC-endorsed standards https://www.fgdc.gov/standards/.

**The following items were selected from a picklist:[iv]**

- Yes. Eligible datasets have well maintained FGDC-endorsed or current ISO-compliant geospatial metadata.

**6.3 Is your agency geospatial metadata available through GeoPlatform.gov?**

**Clarifying Text**: For the scope of the requirement, Section 758(b)(1)(A)(iv) provides for "includ[ing] download access to all open geospatial data directly or indirectly collected by covered agencies" and Section 759(a)(6) requires that "metadata [be] available through the GeoPlatform."

- Yes. Metadata for all public datasets are available via GeoPlatform.gov.

**6.4 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(6), "use the geospatial data standards, including the standards for metadata for geospatial data, and other appropriate standards, including documenting geospatial data with the relevant metadata and making metadata available through the GeoPlatform."**

US DOT is researching published standards for transportation geospatial data to determine which are best suited for the its geospatial data. US DOT has posted FGDC-endorsed or ISO-compliant metadata for all publicly available geospatial datasets on GeoPlatform.gov.

## 759(a)(7) Support Coordination and Partnerships

| | |
|---|---|
| **GDA Requirement** | Coordinate and work in partnership with other Federal agencies, agencies of State, tribal, and local governments, institutions of higher education, and the private sector to efficiently and cost-effectively collect, integrate, maintain, disseminate, and preserve geospatial data, building upon existing non-federal geospatial data to the extent possible |
| **Agency Self-Assessment** | **Meets Expectations** |
| **KEY to Self-Assessment** | • **Meets expectations =**<br>○ Yes to Questions 7.1 and Yes or Not applicable to Question 7.2<br>• **Made progress toward expectations =**<br>○ Any combination of Yes, Not applicable, Partial, or No to Questions 7.1 and 7.2<br>• **Fails to meet expectations =**<br>○ No to Questions 7.1 and 7.2 |

**7.1 Are there processes in place to ensure that, when appropriate, partners and stakeholders have visibility into agency geospatial data management activities (e.g., collection, integration, maintenance, dissemination and preservation)?**

- Yes. There are processes in place, but some mission areas do not have requirements for geospatial data management partnerships.

**7.1.a If yes or partial to Question 7.1, which external partners and stakeholders are involved in data management activities?**

**Clarifying text**: The selection list provided was taken from the GDA Section 754(b)(C).

- Other federal agencies
- States
- Local governments
- Regional governments
- Tribal governments
- Private sector entities
- Geospatial information user industries
- Professional associations
- Scholarly associations
- Nonprofit organizations
- Academia
- Licensed geospatial data acquisition professionals

**7.1.b If yes or partial to Question 7.1, what processes are in place to ensure partners and stakeholders are involved?**

**Clarifying text:** When answering this question think about activities such as using surveys, listening sessions, Request for Information, booths at stakeholder conferences.

- Market research
- Partnership outreach activities
- Expert consultations
- Advisory committee(s)
- Working group(s) and sub-committee(s)
- Steering committees
- Councils
- Engage with trade groups
- Feedback opportunities (e.g., contact email/phone, call center)
- Federal Register Notices
- Memoranda of Understanding
- Use other public comment processes

**7.2 Does your agency build upon existing non-federal geospatial data?**

- Yes. Agency builds upon existing non-federal geospatial data to the extent possible.

**7.2.a If yes or partial to Question 7.2, what ways do you build upon existing non-federal geospatial data?**

- Procurement/acquisition/grant
- Cooperative data collection or crowd sourcing
- Mission assignments or Interagency Agreements
- MOAs/data sharing agreements
- Other [textboxes provided below]

| Other Method |
| --- |
| FHWA's regulatory requirement that states send data to US DOT. |
| PHMSA's regulatory requirement that hazardous liquid and gas transmission pipeline operators submit data. |

**7.3 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(7), "coordinate and work in partnership with other Federal agencies, agencies of State, tribal, and local governments, institutions of higher education, and the private sector to efficiently and cost-effectively collect, integrate, maintain, disseminate, and preserve geospatial data, building upon existing non-Federal geospatial data to the extent possible."**

US DOT's partners include all US states and territories, tribal governments, and the private sector. One example of how we efficiently and cost-effectively collect, integrate, maintain, disseminate, and preserve geospatial data is the National Address Database (NAD). Through our participation in Advisory committees, working groups, and councils, we have collected address data from 25 states and multiple tribal governments without a regulation or mandate. Another example is FHWA's partnerships with the states, which facilitate creation of FHWA's roads geospatial datasets and network models. A third example is the Federal Aviation Administration's (FAA) Aeronautical Charting Meeting, which is the primary method of adding and modifying charting specifications. The Aeronautical Data Team works in partnership with Department of Defense (DOD), Department of Homeland Security (DHS), National Geodetic Survey (NGS), Airports, International Civil Aviation Organization (ICAO), and other aviation stakeholders to collect, validate, and quality control aeronautical information that is disseminated to support National Airspace System (NAS) operations.

## 759(a)(8) Promote Application of Geospatial Data Assets

| | |
|---|---|
| **GDA Requirement** | Use geospatial information to—<br>(A) make Federal geospatial information and services more useful to the public;<br>(B) enhance operations;<br>(C) support decision making; and<br>(D) enhance reporting to the public and to Congress; |
| **Agency Self-Assessment** | **Made Progress Towards Expectations** |
| **KEY to Self-Assessment** | • **Meets expectations =**<br>   o Yes to 8.1, 8.2 and 8.3<br>• **Made progress toward expectations =**<br>   o Any combination of Yes, Partial and No to Questions 8.1, 8.2 and 8.3<br>• **Fails to meet expectations =**<br>   o No to 8.1, 8.2 and 8.3 |

### 759(a)(8)(A) make Federal geospatial information and services more useful to the public;

**8.1 Does your agency leverage geospatial information to make federal geospatial information and services more useful to the public?**

- Partial.

### 759(a)(8) (B) enhance operations;759(a)(8) (C) support decision making

**8.2 Does your agency leverage geospatial information to improve operations and decision-making?**

- Partial. Agency leverages geospatial information in operations improvements or decision-making in some programs.

### 759(a)(8) (D) enhance reporting to the public and to Congress

**8.3 Does your agency leverage geospatial information to enhance reporting to the public or to Congress?**

- Partial. Agency leverages some geospatial information to enhance either public or Congressional reporting.

**8.3.a If yes or partial, for which of these audiences does your agency leverage geospatial information to enhance reporting?**

- Public reports (e.g., fact sheets, data briefs, Annual reports, other published Agency reports).
- Congressional Reports.
- Internal Agency and leadership plans, reports and communications.

**8.4 Optional Question: You may provide up to 5 key examples and links that demonstrate how geospatial data assets are used, internally and externally, to make federal geospatial information and services more useful to the public; enhance operations; support decision making; and/or enhance reporting to the public and to Congress.**

| Example |
| --- |
| BTS Transportation Statistics Annual Report - https://www.bts.gov/tsar |
| PHMSA Public Portal - https://portal.phmsa.dot.gov/analytics/saw.dll?Portalpages |
| Runway Safety Area Program - https://www.faa.gov/airports/runway_safety/ |
| Airport Data and Information Portal - https://adip.faa.gov/agis/public/#/public |
| Aeronautical Information Services - https://www.faa.gov/air_traffic/flight_info/aeronav/ |

**8.5 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(8), "use geospatial information to—**

**(A) make federal geospatial information and services more useful to the public;**
**(B) enhance operations;**
**(C) support decision making; and**
**(D) enhance reporting to the public and to Congress;"**

At PHMSA, multiple data products and web applications improve public usefulness of the National Pipeline Mapping System geospatial database; they are available promoted to government officials, pipeline industry and the general public on the NPMS website. Geospatial data is a critical component of PHMSA's rulemakings, resource and inspection planning activities, and risk assessment. Geospatial data and applications are used to support responses to Congress. At FRA, to assist in the oversight of hazardous materials shippers, all hazmat shippers have been geolocated and have been assigned to specific inspectors for all FRA districts. Having this information graphically displayed allows inspectors to provide better oversight of this regulated segment of the rail industry.

| GDA Requirement | Protect personal privacy and maintain confidentiality in accordance with Federal policy and law |
|---|---|
| Agency Self-Assessment | **Made Progress Towards Expectations** |
| KEY to Self-Assessment | • **Meets expectations =**<br>    ○ Yes to Questions 9.1 and 9.2<br>• **Made progress toward expectations =**<br>    ○ Yes or Partial to Questions 9.1 **or** 9.2<br>• **Fails to meet expectations =**<br>    ○ No to Questions 9.1 **or** 9.2 |

**9.1 Are agency Privacy Threshold Assessment or Privacy Impact Assessment (PTA/PIA) processes inclusive of your geospatial data?**

**Clarifying Text:** The Privacy Threshold Assessment/Analysis would be the mechanism that agencies use to determine if PII is, or is not collected, and whether a Privacy Impact Assessment needs to be done for an information system.

- Partial. The agency's PTA/PIA processes are inclusive of some agency data.

**9.2 Are the IT systems and applications that maintain and support your geospatial data covered by a current Authorization to Operate (ATO)?**

- Yes. All agency geospatial data is housed in a system covered by a current ATO and is appropriately protected in accordance with applicable laws and regulations.

**9.3 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(9), "protect personal privacy and maintain confidentiality in accordance with Federal policy and law."**

All ATOs are current. We are making progress towards full completion of PIAs for our geospatial data and systems.

| GDA Requirement | Participate in determining, when applicable, whether declassified data can contribute to and become a part of the National Spatial Data Infrastructure |
|---|---|
| Agency Self-Assessment | **Meets Expectations** |
| KEY to Self-Assessment | • **Meets expectations =**<br>    ○ Yes or Not applicable to Question 10.1<br>• **Fails to meet expectations =**<br>    ○ No to Question 10.1 |

**10.1 If your Agency handles classified geospatial datasets, does it have a process to review declassified datasets for inclusion in the NSDI?**

**Clarifying text**: Sharing standards-based data on the Internet using standard protocols and formats makes it part of the NSDI.

- Yes. The agency has a process to review declassified datasets for inclusion in the NSDI.

**10.2 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(10), "participate in determining, when applicable, whether declassified data can contribute to and become a part of the National Spatial Data Infrastructure."**

DOT's regulations regarding classified information are at 49 CFR Part 8 and the declassification process is generally explained at https://www.federalregister.gov/documents/2016/07/15/2016-16565/classified-information-classificationdeclassificationaccess-authority-to-classify-information-rrr. FAA processes classified data primarily through the DHS Homeland Secure Data Network (HSDN) and the Joint Worldwide Intelligence Communications System (JWICS). These classified networks are not interconnected with any of the FAA's three unclassified networks/domains (NAS Operations, Mission Support, and R&D). Any classified geospatial data utilized by the FAA, normally for the purposes of intelligence analysis and senior leadership situational awareness, is generally originally classified and declassified by an intelligence agency with cognizance over the data, such as the National Geospatial-Intelligence Agency.

| GDA Requirement | Search all sources, including the GeoPlatform, to determine if existing Federal, State, local, or private geospatial data meets the needs of the covered agency before expending funds for geospatial data collection |
|---|---|
| Agency Self-Assessment | **Made Progress Towards Expectations** |
| KEY to Self-Assessment | • **Meets expectations =**<br>   o No to Question 11.1 **or**<br>   o Yes to Questions 11.1 and 11.2 and all agency appropriate responses to Question 11.3<br>• **Made progress toward expectations =**<br>   o Yes to Question 11.1 and Partial or No to Question 11.2 and agency appropriate responses to Question 11.3<br>• **Fails to meet expectations =**<br>   o Yes to Question 11.1 and No to Question 11.2 and *No additional assessments are done* selected for Question 11.3 |

**11.1 Has your agency expended funds for geospatial data collection for the reporting period?**

**Clarifying text**: "Expended funds" may include grant distribution, agency collection, or procurement of data.

- Yes

**11.2 As per OMB Circular A-11 Guidance (Section 25, Page 3), has your agency searched the GeoPlatform Marketplace prior to making planned geospatial data investments to determine if an existing source for that data is available and meets mission requirements?**

- Partial.  Agency has searched GeoPlatform Marketplace prior to some geospatial data investments.

**11.3 Has your agency searched other sources to determine if data necessary to meet requirements already exists (either within or outside the agency) before collecting or acquiring new data?**

**The following items were selected from a picklist:[v]**

- Market research
- Cross-agency or partner coordination
- Expert consultation
- Database search
- Agency follows a documented process or official policy

**11.4 Optional Question: You may provide examples of cases where the agency did find existing data that met its needs or partnered on a joint data acquisition.**

- Not applicable.

**11.5 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(11), "Search all sources, including the GeoPlatform, to determine if existing Federal, State, local, or private geospatial data meets the needs of the covered agency before expending funds for geospatial data collection."**

USDOT is developing a department-wide policy that will require geospatial programs to search the GeoPlatform marketplace before expending funds on data acquisition or development.

## 759(a)(12) Ensuring High-Quality Data

| GDA Requirement | To the maximum extent practicable, ensure that a person receiving Federal funds for geospatial data collection provides high-quality data |
|---|---|
| **Agency Self-Assessment** | **Meets Expectations** |
| **KEY to Self-Assessment** | • **Meets expectations =**<br>   o No to Question 12.1 **or**<br>   o Yes to Question 12.1 and **all** appropriate selections for Question 12.2<br>• **Made progress toward expectations =**<br>   o Yes to Question 12.1 and **some** agency appropriate selections for Question 12.2<br>• **Fails to meet expectations =**<br>   o Yes to Question 12.1 and *No official documented Quality Assurance/Quality Control (QA/QC) process is in place for acquisition of geospatial data* selected for Question 12.2 |

**12.1 Has your agency expended funds for geospatial data collection from non-federal sources during the reporting period?**

**Clarifying text**: The requirement for "a person receiving Federal funds" has been interpreted to mean non-federal organizations or corporations who are, for example, contract or grant recipients.

- Yes.

**12.2 What methods does your agency employ to ensure quality in geospatial data collected from non-federal sources?**

**The following items were selected from a picklist:[vi]**

- Evaluate data for quality prior to any acquisition.
- Geospatial data quality standards are specified in contract documents.
- Independent verification and validation (IV&V).
- Staff data experts review and approve geospatial data deliverables.
- Data standards are enforced through automated processes such as database controls or script tools.
- The Agency acquires data from another federal Agency that is responsible for QA/QC.

**12.3 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(12), "to the maximum extent practicable, ensure that a person receiving Federal funds for geospatial data collection provides high-quality data."**

FAA Advisory Circular 150/5300-18B provides specifications for the collection of airport data through field and office methodologies in support of the FAA Airport Surveying – Geographic Information System (GIS) Program. Collected safety critical data is forwarded to the National Geodetic Survey (NGS) for independent verification and validation. PHMSA's contract for geospatial pipeline data processing includes PHMSA approved procedures such as: validation checks against other data sources and records, annual data accuracy reviews, and required updates by the pipeline operators who provide the data per the CFR. All deliverables are inspected and tested prior to acceptance and independent verification and validation is built into existing data maintenance procedures and acquisitions.

## 759(a)(13) Point of Contact

| | |
|---|---|
| **GDA Requirement** | Appoint a contact to coordinate with the lead covered agencies for collection, acquisition, maintenance, and dissemination of the National Geospatial Data Asset data themes used by the covered agency |
| **Agency Self-Assessment** | **Meets Expectations** |
| **KEY to Self-Assessment** | • **Meets expectations =**<br>  ○ Yes to Question 13.1<br>• **Fails to meet expectations =**<br>  ○ No to Question 13.1 |

**13.1 Has your agency appointed a POC to coordinate with the lead covered agencies for collection, acquisition, maintenance, and dissemination of the NGDA data themes used by the covered agency?**

**Clarifying text:** OMB Circular A-16 may include additional guidance on covered agency responsibilities for theme coordination.

- Yes. An agency POC has been appointed.

**13.2 Brief Summary (Limit 1000 characters, or approximately 150 words): Please provide a brief description of agency actions and accomplishments in addressing Sec. 759(a)(13), "appoint a contact to coordinate with the lead covered agencies for collection, acquisition, maintenance, and dissemination of the National Geospatial Data Asset data themes used by the covered agency."**

The DOT SAOGI is the POC to coordinate with the lead covered agencies.

# Appendix A: Survey Picklists

This appendix provides the full set of choices presented in the self-assessment survey as "check all that apply" responses used to generate this covered agency report.

[i] Question 2.1 Picklist

- Data is currently openly shared to the public.
- Data is currently shared on a limited basis with federal partners.
- Data is currently shared on a limited basis with non-federal users.
- No data is currently shared to other federal agencies or non-federal users. (Note: For some agencies, this may be an appropriate response).

[ii] Question 3.1.a. Picklist

- Hosts a data sharing infrastructure where partners and/or data users can share and discover data.
- Develops a data integration toolkit or APIs to promote integration of agency data in external applications.
- Develops data integration processes to promote integration of non-agency data into applications.
- Provides data in openly standardized readable formats or as downloadable file packages.
- Develops data sharing agreements or Memoranda Of Agreement (MOA) with public and private partners for ingest or sharing of data.
- Other (Textboxes provided)

[iii] Question 6.1 Picklist

- Yes.  Eligible geospatial datasets use FGDC-endorsed data standards.
- Yes.  Eligible geospatial datasets use data standards that comply with OMB Circular A-119.
- Partial.  Some eligible geospatial datasets use FGDC-endorsed data standards.
- Partial.  Some eligible geospatial datasets use data standards that comply with OMB Circular A-119.
- No.  Eligible agency geospatial datasets do not use FGDC-endorsed data standards or standards that comply with OMB Circular A-119.

[iv] Question 6.2 Picklist

- Yes.  Eligible non-legacy datasets have well maintained FGDC-endorsed or current ISO-compliant geospatial metadata.
- Partial.  Some eligible datasets have well maintained FGDC-endorsed or current ISO-compliant geospatial metadata.
- Partial.  Some eligible datasets have FGDC-endorsed or current ISO-compliant geospatial metadata, that needs to be reviewed or refreshed.
- No.  Agency datasets do not use FGDC-endorsed or current ISO-compliant geospatial metadata standards.

^v Question 11.3 Picklist
- Market research
- Cross-agency or partner coordination
- Expert consultation
- Database search
- Agency follows a documented process or official policy
- No additional assessments are done
- Other (Textboxes provided)

^vi Question 12.2 Picklist
- Evaluate data for quality prior to any acquisition.
- Geospatial data quality standards are specified in contract documents.
- Independent verification and validation (IV&V).
- Staff data experts review and approve geospatial data deliverables.
- Data standards are enforced through automated processes such as database controls or script tools.
- The agency acquires data from another federal agency that is responsible for QA/QC.
- No official documented QA/QC process is in place for acquisition of geospatial data.
- Other (Textboxes provided).