

April 8, 2011

Appendix B

FSA SHUTDOWN CONTINGENCY PLAN Designating Employees as Excepted

A. CURRENT LIST OF FUNCTIONS

Business unit managers have reviewed their Functional Activity/Program Office/Positions and determined whether employees are designated "Excepted" or "Non-Excepted" based on how their work activities are classified.

B. EXCEPTED ACTIVITIES

Category A: Authorized by Law and Funded

Excepted activities are those authorized by law and funded by multi-year, no-year, and revolving funds or advance appropriations and thus would not be affected by an annual appropriations lapse. The agency retains the discretion to determine whether employees funded by other than annual appropriations should continue to report to work when other functions funded by annual appropriations will be implementing shutdown plans. Revolving funds that operate almost entirely on offsetting collections from other Federal entities may also be forced to close, unless sufficient retained earnings are available to forestall shutdown. Certain activities could be implicitly authorized because of their connection with other operations which are mandated to continue by law or for which funds otherwise continue to be available. Plan distinctions under Category A:

- **Category A1** – funding other than annual appropriations is available to continue the function
Examples: User fees for Warehouse Examiners, Section 11 funding
- **Category A2** – funding is available through prior year appropriations and obligations funded from existing FY 2011 appropriations
Examples: Where IT contracts are fully obligated, COTRs and support personnel as designated
- **Category A3** – function is a mandated requirement
Examples: Limited number of commodity procurement

Category B: Necessary for the Safety of Human Life or Protection of Property

The Budget Enforcement Act of 1990 amends Section 1342 of Title 31 to make clear that "regular, ongoing functions whose suspension would not pose an imminent threat to life and property" would not qualify as excepted activities. The risk to life or property must be real, not hypothetical, so that a delay in activities is not permissible.

Appendix B

USDA FSA FY 2011 Shutdown Contingency Plan

EXAMPLES (Category B):

- Maintaining minimum staff necessary to handle budget matters related to the lapse in appropriations
- Maintaining minimum staff necessary to perform accounting functions and to prevent the loss of accounting data
- Administering contracts

Category C: Necessary to transition the shutdown of operations

Agencies are authorized to obligate funds during periods of lapsed appropriations to bring about the orderly close down of non-excepted activities. Activities of employees during this period must be wholly devoted to closing down the function and upon completion these employees would be released.

Examples (Category C):

- Shutdown notification activities such as processing furlough/RIF notices
- Performing payroll functions for the period just prior to the appropriation lapse
- Completing inventories of property
- Securing and storing equipment, records, files, and work in progress

Category D: Political Appointees

Individuals appointed by the President, with or without Senate confirmation.

C. NON-EXCEPTED ACTIVITIES

Non-excepted activities are all activities or programs other than those designated as "excepted" above. Positions in these functions would be furloughed, where "excepted" positions would remain on duty. This could also include positions that may have to be recalled at a later date, if the furlough continues for more than a week.

Appendix B
USDA FSA FY 2011 Shutdown Contingency Plan

LIST OF FUNCTIONS BY SHUTDOWN CATEGORY

(Footnotes include the detail of excepted positions by category)

FUNCTIONAL ACTIVITY/PROGRAM OFFICE	NUMBER OF POSITIONS BY CATEGORY	
	EXCEPTED	NON-EXCEPTED
Office of the Administrator		
Acting Administrator [1]	1	7
Staff Assistant	1	
Office of Civil Rights	0	40
Office of External Affairs	0	26
Economic and Policy Analysis Staff	0	34
Office of the Associate Administrator		
Associate Administrator for Operations and Management	0	2
Operations Review and Analysis Staff	0	7
Appeals and Litigation Staff	0	6
Total # excepted employees	2	122

Footnotes:

[1] Category D -- The Administrator and 1 Staff Assistants to provide executive oversight of operations

Appendix B
USDA FSA FY 2011 Shutdown Contingency Plan

LIST OF FUNCTIONS BY SHUTDOWN CATEGORY

FUNCTIONAL ACTIVITY/PROGRAM OFFICE	NUMBER OF POSITIONS BY CATEGORY	
	EXCEPTED	NON-EXCEPTED
Office of the Deputy Administrator for Field Operations		
<ul style="list-style-type: none"> • Deputy Administrator for Field Operations • Staff Assistant • State Executive Directors Subtotal DAFO Immediate Office Staff • DAFO Field Staff: <ul style="list-style-type: none"> ○ GS Federal Employees State and County Level: <ul style="list-style-type: none"> ▪ Permanent ▪ Temporary/Other ▪ FSA State Committee Members ○ CO Non-federal Employees: <ul style="list-style-type: none"> ▪ Permanent ▪ Temporary/Other [1] ▪ FSA County Committee Members 	0 0 0 0 0 0 0 0 0 0	52 73 3,478 77 228 8,707 1,921 7,800
Total # excepted employees	0	22,284

Footnotes:

Total (xx)

[1] Includes 1,615 Temporary Intermittent Employees who work, as needed, on an hourly basis.

Appendix B
USDA FSA FY 2011 Shutdown Contingency Plan

LIST OF FUNCTIONS BY SHUTDOWN CATEGORY

FUNCTIONAL ACTIVITY/PROGRAM OFFICE	NUMBER OF POSITIONS BY CATEGORY	
	EXCEPTED	NON-EXCEPTED
Office of the Deputy Administrator Farm Programs		
Deputy Administrator	0	6
Production Emergencies and Compliance Division	0	50
Price Support Division	0	16
Conservation Environmental Programs Division	0	35
Aerial Photography Field Office	0	69
Total # excepted employees	0	176

Appendix B

USDA FSA FY 2011 Shutdown Contingency Plan

FUNCTIONAL ACTIVITY/PROGRAM OFFICE	NUMBER OF POSITIONS BY CATEGORY	
	EXCEPTED	NON-EXCEPTED
Office of the Deputy Administrator for Management		
Deputy Administrator	0	3
Management Services Division		
<ul style="list-style-type: none"> • Director MSD [1] • Chief Information Management Section [2] 	2	83
Preparedness Emergency Division		
<ul style="list-style-type: none"> • Director EPD [3] 	1	12
Deputy Director [3]	1	
Acquisition Management Division		
<ul style="list-style-type: none"> • Head Contracting Authority Designee/Director AMD[1] • Chief of Contracts/ WDC [1] • Contract Specialist/KC[1] 	3	16
Total	7	114

Footnotes:

[1] **Category A2** - Funding is available through authorization to obligate in advance of appropriations

Director MSD - Provide executive oversight of operations.

Head Contracting Authority Designee/Director AMD - Contract administration, monitoring and oversight where funding has been obligated

Chief of Contracts/ WDC - Contract administration, monitoring and oversight where funding has been obligated

Contract Specialist/KC- Contract administration, monitoring and oversight where funding has been obligated

[2] **Category B** – Necessary for the Safety of Human Life or Protection of Property

Chief Information Management Section

[3] **Category A3** – Function is a mandated requirement

Director and Deputy Director EPD

Coordinate reporting of disasters occurring nationwide

- Kickoff emergency notification and initial actions with FSA Leadership and Continuity Personnel
- Manage emergency operations should need be required
- Apply priorities and allocations authorities as required under APAS
- Provide physical security, personnel security, homeland security, and emergency management expertise during period of reduced operations
- Maintain contact with National Security partners including USDA Operations Center and DHS/FEMA

[4] **Category C** – Necessary to transition the shutdown of operations

Appendix B

USDA FSA FY 2011 Shutdown Contingency Plan

FUNCTIONAL ACTIVITY/PROGRAM OFFICE	NUMBER OF POSITIONS BY CATEGORY	
	EXCEPTED	NON-EXCEPTED
Human Resources Division		
Office of the Director <ul style="list-style-type: none"> • Director, HRD ^[1] • Administrative Specialist ^[6] 	2	2
Office of the Associate Director <ul style="list-style-type: none"> • Senior HR Specialist ^[2] 	1	1
Policy and Accountability Branch <ul style="list-style-type: none"> • HR Specialist ^[3] • HR Assistant ^[6] 	2	5
HRIS Branch <ul style="list-style-type: none"> • HR Systems Specialist ^[4] 	1	3
Leadership and Employee Development Branch <ul style="list-style-type: none"> • Chief, LEDB ^[5] • HR Specialist ^[6] 	2	13
Human Capital Strategic Planning and Initiatives Branch	0	9
Foreign Agricultural Service Branch <ul style="list-style-type: none"> • HR Specialist ^[6] • HR Assistant ^[6] 	2	6
Office of the Operations Chief <ul style="list-style-type: none"> • Operations Chief ^[6] 	1	1
Talent Acquisition Branch	0	2
Classification & Position Management Section	0	6
Delegated Examining Section <ul style="list-style-type: none"> • Chief, DES ^[6] 	1	7
FSA & RMA Services Section <ul style="list-style-type: none"> • Chief, FRSS ^[7] • HR Assistant ^[8] 	2	7
State & County Services Section	0	10
Employee Relations & Labor Relations Branch <ul style="list-style-type: none"> • Chief, E&LRB ^[9] 	1	8
Benefits and Performance Management Section <ul style="list-style-type: none"> • HR Specialist ^[10] 	1	10
Total # excepted employees	16	90

Footnotes:

- [1] Category A - The FSA HRD Director will provide executive oversight of shutdown, support of excepted employees, and recall activities.

Appendix B

USDA FSA FY 2011 Shutdown Contingency Plan

- [2] Category C – This employee will support the orderly shutdown process over the first three days, and will remain on call to provide HR support operations for all overseas Foreign Service and Provincial Reconstruction Team employees since they are designated “excepted”.
- [3] Category C – This employee will provide policy and tactical support for shutdown activities over the first three days and will remain on call to provide extended policy analysis in support of all excepted employees, as well as policy analysis and guidance regarding changes to the furlough status of non-excepted employees.
- [4] Category C – This employee will support the orderly shutdown process over the first three days, and will remain on call to provide data reporting and analysis in support of all excepted HRD functions.
- [5] Category C – This employee will support the orderly shutdown process over the first three days, and will remain on call to support ongoing excepted operations as needed.
- [6] Category C - These employees will support the orderly shutdown process over the first three days.
- [7] Category A – The Chief, FSA/RMA Services Section, will conduct all complex NFC processing and staffing-related activities in support of all FFAS excepted employees.
- [8] Category A – This employee will process all employee actions related to the shutdown, and will be retained throughout the shutdown to provide support for all excepted employees.
- [9] Category A – The Chief, Employee/Labor Relations and Benefits Branch, will conduct all shutdown activities related to FFAS bargaining units, including I&I bargaining, and will continue activities related to bargaining unit employees who are designated excepted.
- [10] Category A – This employee will complete time-sensitive benefits and time & attendance support for shutdown activities and will be retained to provide ongoing support to all FFAS excepted employees as needed.

Appendix B
USDA FSA FY 2011 Shutdown Contingency Plan

LIST OF FUNCTIONS BY SHUTDOWN CATEGORY

FUNCTIONAL ACTIVITY/PROGRAM OFFICE	NUMBER OF POSITIONS BY CATEGORY	
	EXCEPTED	NON-EXCEPTED
Office of Budget and Finance		
Office of the Director	0	19
Budget Division	0	27
Financial Management Division	0	240
Total # excepted employees	0	286

FUNCTIONAL ACTIVITY/PROGRAM OFFICE	NUMBER OF POSITIONS BY CATEGORY	
	EXCEPTED	NON-EXCEPTED
Deputy Administrator for Farm Loan Programs		
Farm Loan Programs	0	62
Total # excepted employees	0	62

Appendix B
USDA FSA FY 2011 Shutdown Contingency Plan

LIST OF FUNCTIONS BY SHUTDOWN CATEGORY
(Footnotes include the detail of excepted positions by category)

FUNCTIONAL ACTIVITY/PROGRAM OFFICE	NUMBER OF POSITIONS BY CATEGORY	
	EXCEPTED	NON-EXCEPTED
Office of the Chief Information Officer		
<ul style="list-style-type: none"> • Chief Information Officer ^[3] ^[4] • Deputy Chief Information Officer ^[3] ^[4] • Deputy Chief Information Officer ^[3] ^[4] • Technical Assistant ^[3] ^[4] 	0 fulltime 4 total	2
Web Services		
<ul style="list-style-type: none"> • National Web Manager ^[1] ^[2] • Content Management ^[3] ^[4] 	1 fulltime 2 total	2
MIDAS Project Office		
<ul style="list-style-type: none"> • MIDAS Program Director ^[1] • COTR ^[2] • COTR ^[2] 	3 fulltime 3 total	32
Budget and Acquisition Office (BAO)		
<ul style="list-style-type: none"> • Director Budget and Acquisition Office ^[3] ^[4] • Budget, Acquisitions and Payments ^[4] • Budget, Acquisitions and Payments ^[4] 	0 fulltime 3 total	13
Information Security Office (ISO)		
<ul style="list-style-type: none"> • Chief information Security Officer ^[3] ^[4] • ISSPM Manager/Incident Response Coordinator ^[4] COTR ^[2] • Disaster Recovery/COOP Lead: ^[4] • Operations/Incident Response Lead: ^[4] • Operations/Incident Response Lead: ^[4] 	1 fulltime 6 total	17
Geospatial Information & Executive Management Systems Center (GIEMSC)		
<ul style="list-style-type: none"> • Director GIEMSC ^[2] 	1 fulltime 1 total	2
Geospatial Information Systems Office (GISO)		
<ul style="list-style-type: none"> ○ Chief GISO ^[1] ○ Technical Support ^[3] ^[4] ○ Technical Support ^[4] ○ COTR ^[2] 	1 fulltime 3 total	5
Executive Management Systems Office (EMSO)		
<ul style="list-style-type: none"> ○ Chief EMSO ^[1] ^[2] 	1 fulltime	6

Appendix B

USDA FSA FY 2011 Shutdown Contingency Plan

○ Technical Support [3][4]	3 total	
Desktop Applications Support Office (DASO)		
○ Chief DASO VACANT	0	2
Application Development Center (ADC)		
<ul style="list-style-type: none"> • Director ADC ^{[3][4]} VACANT • Enterprise Application Architect [3] [4] 	0 fulltime 1 total	2
Production Adjustment & Risk Management Office (PARMO)		
<ul style="list-style-type: none"> ○ Chief PARMO [3] [4] ○ COTR [2] ○ PARMO Mgr - [3] [4] ○ PARMO Mgr - [3] [4] ○ PARMO Mgr - [3] [4] ○ PARMO Architect - [3] [4] ○ Technical Support [3] [4] 	1 fulltime 9 total	19
Administrative & Financial Applications Office (AFAO)		
<ul style="list-style-type: none"> ○ Chief AFAO ^{[3][4]} ○ COTR ^[2] ○ COTR [2] ○ AFAO Mgr – [3] [4] ○ AFAO mgr – [3] [4] ○ AFAO Architect – [3] [4] ○ Technical support – [3] [4] 	2 fulltime 19 total	15
Price Support & Commodity Applications Office (PSCAO)		
<ul style="list-style-type: none"> ○ Chief PSCAO [3] [4] ○ COTR ^[2] ○ Technical support [3] [4] 	3 fulltime 13 total	28
Commodities Systems Office (CSO)		
<ul style="list-style-type: none"> ○ Chief CSO ^{[3][4]} ○ COTR [2] ○ Technical support – [3] [4] <ul style="list-style-type: none"> ▪ (COS) ▪ (PCIMS) ▪ CSO Mgr ▪ (WBSCM Master Data Production Support) 	1 fulltime 6 total	22
Farm Credit Applications office (FCAO)		
<ul style="list-style-type: none"> ○ Chief FCAO ^{[3][4]} ○ COTR ^[2] ○ Technical support – [3] [4] <ul style="list-style-type: none"> ▪ PM - FCAO Mgr 	1 fulltime 5 total	40
Operations & Testing Center		
<ul style="list-style-type: none"> • Director OTC VACANT 	0	1

Appendix B

USDA FSA FY 2011 Shutdown Contingency Plan

Information Processing & User Support Office (IPUSO)		
<ul style="list-style-type: none"> ○ Chief IPUSO [3][4] ○ Service Level Manager PM [3][4] ○ Chief IPG [3][4] ○ Chief ISG COTR [2] ○ Chief ASG [3][4] 	1 fulltime 5 total	28
Database Management Office (DBMO)		
<ul style="list-style-type: none"> ○ Chief DBMO [3][4] ○ COTR [2] ○ Technical support [3][4] <ul style="list-style-type: none"> ▪ (EDM) ▪ (ArcSDE) ▪ (Oracle DW, MIDAS COTS) ▪ (Replication) ▪ (FLP/Data Profiling) ▪ (BI) ▪ (PM)_ (DR, Break/fix, Prod Releases) 	1 fulltime 10 total	6
Testing & Certification Office (TCO)		
<ul style="list-style-type: none"> ○ Chief TCO [3][4] Vacant ○ COTR [2] ○ TCO Mgr – [3][4] ○ TCO Mgr - [3][4] ○ CERT Deployment support – [3][4] <ul style="list-style-type: none"> ▪ technical support 	1 fulltime 10 total	29
Architecture & Management Center		
<ul style="list-style-type: none"> • Director AMC [3][4] VACANT • COTR [2] • Technical support [3][4] <ul style="list-style-type: none"> ○ (EDMS) 	1 fulltime 3 total	0
Architecture Office (AO)		
<ul style="list-style-type: none"> ○ Chief AO [3][4] (EDW PM) ○ Technical support – 	0 fulltime 3 total	2
Program Management Office (PMO)		
<ul style="list-style-type: none"> ○ Chief PMO [3][4] 	0 fulltime 1 total	8
Common IT Solutions Office (CITSO)		
<ul style="list-style-type: none"> ○ Chief CITSO [3][4] ○ COTR [2] ○ Technical support – [3][4] 	1 fulltime 4 total	4
Total # excepted employees	114	286

NOTE: Only [1] [2] and [5] are fulltime essential. The [3] and [4] are partially essential.

Total Non-Excepted (286)

Appendix B

USDA FSA FY 2011 Shutdown Contingency Plan

Total Exempted (114) --- Fulltime (21) Partially (93)

Footnotes:

- [1] Category A2 – These positions provide Executive and Management oversight of operations. Have to be COTRs or PMs not just management role.
- [2] Category A2 – These positions provide COTR support for contractors.
- [3] Category C – These positions provide shutdown activities required before going on furlough.
- [4] Category A2 – These positions may be called back into work off furlough to perform functions that support essential categories. **This #4 will work for management too. Cannot use govt equipment like laptops or Blackberries so employees must provide personal email or phone for contact purposes. Once contacted the employee can use govt equipment for temp exempted activities, until function completed, then will return to furlough and call back status via personal contacts which is only as needed.**
- [5] Category A2 – These positions provide non-COTR technical oversight and support for essential systems and staff.

Except where noted below, shutdown activities require shutdown support Day 1 more than half-day to:

- Verifying completion of nightly data transmissions, web batch processes, and mainframe jobs
- Verify documents and source code have been checked in to repositories
- Verify administrative processes are complete and finalized

The following organizations require shutdown support through Day 1:

- IPUSO/IPG, IPUSO/ISG, CITSO, EMSO, WSO
 - Coordinate shutdown activities with ITS and NITC
 - Post "Sorry" page on the FSA Internet and Intranet
 - Post applications down status to the FP/FLP status webpages
 - Shutoff access to web applications
 - Verify completion of prior day transmission, mainframe, and web processes
 - Continue to re-plan contract work

The following organizations require shutdown support through Day 2:

- DBMO
 - Complete backups of databases
 - Shutdown data replication processes
- TCO-CMSG
 - Complete shutdown of scheduled web processes
- IPUSO/IPG, IPUSO/ISG, CITSO, EMSO, WSO
 - Continue coordination of shutdown activities with ITS and NITC
 - Backup databases
 - Shutdown scheduled jobs – web & mainframe
 - Shutdown data replication jobs to STL & FTC Web farms

Appendix B

USDA FSA FY 2011 Shutdown Contingency Plan

- Complete re-planning of contract work

Appendix B
USDA FSA FY 2011 Shutdown Contingency Plan

FUNCTIONAL ACTIVITY/PROGRAM OFFICE	NUMBER OF POSITIONS BY CATEGORY	
	EXCEPTED	NON-EXCEPTED
Deputy Administrator for Commodity Operations, Headquarters		
Deputy Administrator	0	20
DACO, KCCO Procurement		
International Food Aid	9	9 [1]
Domestic Food Assistance		22
Contract Administration Contingencies	4	3 [2]
HCAD/Procurement Management Oversight <ul style="list-style-type: none"> • GS 1102 15 Supvy Contract Specialist (1 staff) • GS 1146 14 Supvy Ag Mkting Specialist (1 staff) See Footnote [3]	2	0
All other KCCO functions		166
Total	15	220

Footnotes:

[1] Procure Food for International Food Assistance Programs – of the 18 employees shown as non-excepted, up to nine could be called in on an “as needed” basis to conduct purchases if this function is deemed essential during the shutdown.

[2] Contract Administration Contingencies – The seven employees shown as non-excepted could be called in on an “as needed” basis if it is determined that staff must be available to handle contract administration functions during the shutdown up to 4.

[3] Category A3 – Senior Management oversight to ensure effective operations for above activities.

Note: IT system support (Processed Commodities Inventory Management System - PCIMS) is included under the OCIO table.