

Office of Inspector General

Shutdown Plan in the Absence of Appropriations

The Office of Inspector General's (OIG) mission is to promote economy, efficiency, effectiveness, and integrity in the delivery of United States Department of Agriculture (USDA) programs. OIG auditors, investigators, and other staff work toward three primary goals.

1. Strengthen USDA's ability to implement safety and security measures to protect the public health, as well as agricultural and Departmental resources.
2. Reduce program vulnerabilities and strengthen program integrity in the delivery of program assistance.
3. Provide USDA with oversight to help it achieve its results-oriented performance.

Based on its mission, OIG has identified only activities needed to manage and continue orderly shutdown, residual continuing operations, and ensure safety and security against loss of life as those activities that would continue operations during any Government shutdown.

This document describes how these functions would be carried out during a shutdown and the procedures to be used to inform excepted employees and implement a shutdown due to a lapse of appropriations.

Implementation of Shutdown

- I. Identifying employees' excepted status (Excepted/Non-Excepted)
 - A. Excepted Employees (Excepted from Shutdown) – The following 11 employees will be the initial OIG employees working during the shutdown. The employees are:
 1. The Inspector General (IG), a Presidential Appointee, is exempted from a shutdown.
 2. The Assistant Inspector General for Management is responsible for managing the shutdown and residual continuing operations. This person will be assisted by an Office of Management Operational Team consisting of: the Human Resources Management Division (HRMD) Director, the Information Technology Division (ITD) Branch Chief for Telecommunications and Applications Branch, and one ITD Information Technology Specialist.
 3. The Assistant Special Agent-in-Charge, Investigations Liaison and Hotline Division, is responsible for monitoring incoming complaints to the USDA hotline for any allegations involving immediate loss of life and property.

4. Approximately five Criminal Investigators in the Office of Investigations who are required to work because of their involvement in specific law enforcement activities which occur during the period of the shutdown. These employees would work only for the duration of the specific activity in which they are involved.
- B. Non-Excepted Employees (Staff Furloughed)
1. IG's Staff (including Office of Counsel, Office of Compliance and Integrity, and Office of Diversity and Conflict Resolution) – All personnel except the Inspector General as identified in I.A., above.
 2. Audit – All personnel.
 3. Investigations – All personnel except those specifically identified in I.A.
 4. Office of Management – All personnel except those specifically identified in I.A.

II. Shutdown Procedures

- A. Identification of Excepted Employees – Each AIG/staff office head will provide HRMD, the day prior to the potential shutdown, a list of excepted employees along with an explanation for the exception.
- B. Initial notification that a shutdown appears likely will be given via one-on-one discussion, email, fax, and/or telephone, to all employees and contractors, including those in travel or training status, on the day prior to the potential shutdown. OIG will have all employees on travel return to their duty stations on the day after the shutdown. All offices within OIG will provide confirmation to HRMD by close of business the day before the potential shutdown that employees have been notified of their status during the shutdown period.
- C. Official notification and implementation will take place on the day after the shutdown. Non-excepted employees will receive a letter that will explain their rights and responsibilities during the shutdown and will only be allowed to work half of the day on shutdown activities. All employees will be asked to report to their official duty station except those on full-time telework who will “report” by telephone.
- D. Employees on extended or approved leave during the time of the shutdown will be notified of the change in their leave status, returned to duty, and placed in a nonpay furlough status. All approved paid leave will be returned to the employee's leave account.
- E. Per USDA guidance, excepted employees listed in I.A., will report to their supervisors at their regular start time on the day after the shutdown to receive

assignment of duties to complete. For those employees on prescheduled or full-time telework, “reporting” may be done by telephone.

- F. Each OIG manager is responsible for ensuring that each of his/her direct reports is aware of the shutdown and has been given the Letter of Information appropriate to the employee’s status under the shutdown. HRMD is responsible for preparing the Letter of Information and providing it to the OIG managers and supervisors the day after the shutdown.
- G. Contracting Officers in the Office of Management will notify contractors of the shutdown. OIG has not identified any of the current contractors as essential to OIG’s operations during a shutdown.
- H. All official OIG or USDA records, personal property, real property, and facilities within OIG’s control and custody will be maintained and protected until appropriate disposition is accomplished.
- I. When it is determined that an excepted employee is no longer needed to perform exempted activities, the employee will be notified and placed in a nonpay furlough status.
- J. Certain employees, whose function may prove to be excepted, will be placed in an “on call as needed” status while furloughed. “On call as needed” shall mean they may be contacted to return to duty to support the excepted functions and activities of OIG as needed. If requested to return to duty, the supervisor or manager will notify employees by contacting them using a personal phone number/email. These employees must return any contact by their supervisor or manager within 2 hours and, if requested, be available to return to duty as soon as possible. If they are requested to return to duty, their furlough notice will be corrected to reflect the dates during which they are not in a furlough status.
- K. Employees will be required to monitor the status of the government shutdown and agency operations via the Office of Personnel Management (OPM) Website (www.opm.gov), USDA operations website (www.dm.usda.gov/beprepared), news sources, and the OIG Emergency Number, at 877-644-8732, for updated information.
- L. Information Technology Operations

If OIG needs to suspend operations and ITD is asked to perform a complete shutdown of all systems during a long-term furlough, this would require the following activity and time.

1. Headquarters – It would take 1 ITD staff 4 hours to remove user access to servers and applications in the St. Louis Data Center.

2. Kansas City, Missouri office:
 - i. It would take 1 ITD staff 4 hours to remove Headquarters user access to servers and applications in the Kansas City Regional Office.
 1. This staff would also be responsible for removing user access to and shutting down file servers in the six regional offices.

**UNITED STATES DEPARTMENT OF AGRICULTURE
FY 2016
SUMMARY OF EMPLOYMENT TO BE CONTINUED IN THE EVENT OF A GOVERNMENT SHUTDOWN**

<u>Agency</u>	Current On-Board Staff	Estimated Employment for Category One						Total After Day 20	Total % of Staff
		2nd Half Day One	Day 2	Day 5	Day 10	Day 15	Day 20		
Agency Name: Office of Inspector General Law enforcement activities which occur during the period of the shutdown.	480	5	5	5	5	5	5	5	1%

KEY:
Category I: Military, Law Enforcement, and Direct
Provision of Health

**UNITED STATES DEPARTMENT OF AGRICULTURE
 FY 2016
 SUMMARY OF EMPLOYMENT TO BE CONTINUED IN THE EVENT OF A GOVERNMENT SHUTDOWN**

	Current On-Board Staff	Estimated Employment for Category Two						Total After Day 20	Total % of Staff
		2nd Half Day One	Day 2	Day 5	Day 10	Day 15	Day 20		
Agency Name: <u>Agency</u>									
Description of activities to be continued	480							0	0%

KEY:
 Category II: Financed from Available Funds

**UNITED STATES DEPARTMENT OF AGRICULTURE
FY 2016
SUMMARY OF EMPLOYMENT TO BE CONTINUED IN THE EVENT OF A GOVERNMENT SHUTDOWN**

<u>Agency</u>	Current On-Board Staff	Estimated Employment for Category Three						Total After Day 20	Total % of Staff
		2nd Half Day One	Day 2	Day 5	Day 10	Day 15	Day 20		
Agency Name: Office of Inspector General Manage and continue orderly shutdown and residual operations	480	6	3	3	2	2	2	2	0%

KEY:

Category III: Protect Life and Property; Authorized by Law; Implied by Law; or Constitutional Duties and Powers

UNITED STATES DEPARTMENT OF AGRICULTURE
 FY 2016
 SUMMARY OF PROGRAM/ACTIVITIES TO BE CONTINUED IN THE EVENT OF A GOVERNMENT SHUTDOWN
 (Dollars in Thousands)

Program/Activity	Is the Program/ Activity Exempt	Funding Source	Amount Available	Number of Days Funds Support	Total Number of Staff Supported	Total Number of Employees Excepted	Program Impacts			
							One	Two	Three	Four
Continued Operations of Hotline	Y	Prior year funds, current year obligations, contingency reserve, or other funding strategies identified by OMB	Variable-depends on time and circumstances of shutdown	Variable, agency continues to provide funding as available.	1	Y	Variable depending on the time and circumstances.			
Law Enforcement Activities	Y	Necessary implications of exempt program-obligations accrued in advance of appropriation.	Variable-depends on time and circumstances of shutdown	Variable, agency continues to provide funding as available.	<or=5	Y	Variable depending on the time and circumstances.			
Orderly Shutdown	Y	Prior year funds, current year obligations, contingency reserve, or other funding strategies identified by OMB	Variable-depends on time and circumstances of shutdown	Variable, agency continues to provide funding as available.	<or=6	Y	Variable depending on the time and circumstances.			

*C - Contingent - Program may continue only for specific law enforcement activities which occur during the period of the shutdown.