

United States Department of Commerce

Plan for Orderly Shutdown
Due to Lapse of Congressional Appropriations

April 7, 2011

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1 Background

The current FY 2011 Continuing Resolution may expire without new budget authority. While it is not anticipated that there will be a lapse in appropriations, the Department must be prepared for a potential lapse in funding that would necessitate a significant reduction in operations.

Prior to a potential lapse in funding, the Office of Management and Budget (OMB) requires the Department to submit a draft plan for agency operations in the absence of appropriations (a “shutdown plan”). This plan will likely be modified with additional guidance from the Office of Personnel Management and OMB, as the situation develops, and may be changed by the Department, as circumstances warrant.

This plan complies with the guidance provided by the Office of Management and Budget, the Department of Justice and the Department of Commerce.

All employees who are presidentially appointed and Senate confirmed will remain on duty.

2 Authority

The Anti-Deficiency Act (The Act) restricts the conduct of business by agencies during a lapse of appropriations. The Act generally prohibits agency heads and their employees from:

- Making or authorizing expenditures or obligations in excess of appropriations;
- Making or authorizing expenditures or obligations of funds required to be sequestered under Section 252 of the Balanced Budget and Emergency Deficit Control Act of 1985; and
- Accepting voluntary services for the United States or employing others to perform personal services in excess of that authorized by law, except in cases of emergency involving the safety of human life or the protection of property.

Certain functions may be continued even in the absence of an annual appropriations bill or continuing resolution. The principal guidance on the types of functions that may be continued during a lapse in appropriations is found in the Attorney General’s opinion dated January 16, 1981, as updated by the Office of Legal Counsel in an August 16, 1995 Memorandum. Those opinions authorize continuation of agency functions which satisfy any of the following criteria (referred to “excepted” functions):

- Those that have a continuing source of funding;
- Those that are expressly authorized by Congress to continue even without funding;
- Those that are necessary to prevent an imminent and significant threat to the safety of human life or the protection of property;
- Those that are necessary for the discharge of the President’s constitutional duties; and
- Activities necessary for a short period in order to ensure an orderly shutdown of operations.

Personnel performing non-excepted functions should report to work for no more than four hours on the first business day following a lapse in appropriations to perform short-term, administrative functions to prepare for an orderly transition (such as setting an out-of-office message, etc.).

3 OMB Circular No A-11, Section 124.2 Requirements Met

This plan meets the requirements set out in OMB Circular Number A-11, Section 124.2. OMB Circular A-11 requires the following:

Agency heads must develop and maintain plans for an orderly shutdown in the event of the absence of appropriations. These plans must be submitted to OMB when they are either first prepared or revised. We have included these plans in detail for each of our bureaus. Additionally, we include the summary of excepted DOC employees by category as follows:

- Number of employees expected to be on-board before implementation of the plan: 46,761
- Total number of employees to be excepted under the plan: 16,743. This total number of employees is categorized as follows:
 1. They are engaged in military, law enforcement, or direct provision of health care activities: 258
 2. Their compensation is financed by a resource other than annual appropriations: 11,020
 3. Number of employees, not otherwise exempt, to be retained to protect life and property: 5,060
 4. Number of employees otherwise authorized by law: 405

Additionally, as per the requirements, we have submitted detailed bureau plans for any orderly shutdown activity that would take more than one half day. In total, DOC has 678 employees who would remain on duty for more than one half day but no more than three days in total to effect an orderly shutdown.

**DEPARTMENT OF COMMERCE
FY11 Lapse in Appropriations Contingency Plan**

Organization	Total Number of Employees	Exception 1	Exception 2	Exception 3	Exception 4	Total Number Excepted	% Excepted Employees of Total Employees
Office of the Secretary	883	0	0	55	5	60	7%
Economic Development Administration	232	0	0	1	1	2	1%
Bureau of Economic Analysis	534	0	0	7	0	7	1%
National Oceanic and Atmospheric Administration	13,066	159	429	4,786	335	5,709	44%
International Trade Administration	1,568	0	55	2	4	61	4%
US Patent and Trademark Office	10,363	0	10,362	0	1	10,363	100%
National Institute of Standards and Technology	3,216	0	58	173	1	232	7%
Minority Business Development Agency	86	0	0	0	0	0	0%
National Telecommunications and Information Administration	292	0	0	3	1	4	1%
National Technical Information Service	114	0	114	0	0	114	100%
Bureau of the Census	15,833	0	2	29	6	37	0%
Office of the Inspector General	179	4	0	3	1	8	4%
Economics and Statistics Administration	39	0	0	1	0	1	3%
Bureau of Industry and Security	356	95	0	0	50	145	41%
Total	46,761	258	11,020	5,060	405	16,743	36%

Key:

Exception 1: Employees engaged in military, law enforcement, or direct provision of health care activities

Exception 2: Employees whose compensation is financed by a resource other than annual appropriations

Exception 3: Employees, not otherwise exempt, retained to protect life and property

Exception 4: Number of employees otherwise authorized by law (including presidentially appointed, Senate confirmed employees)

4 Services Available During a Lapse in Funding

In compliance with the restrictions of the Anti-Deficiency Act, the Department of Commerce will maintain the following services and activities during a lapse in FY11 appropriations:

- Weather forecasting and alerts
- Law enforcement activities for the protection of marine fisheries
- Essential aircraft and vessel mission support for Deepwater Horizon activities
- Support for the Japan tsunami relief and nuclear incident
- Water level data for ships entering U.S. ports, critical nautical chart updates and accurate position information.
- Operation of the national timing and synchronization infrastructure as well as the National Vulnerability Database
- Maintenance and protection of certain research property
- All services of the National Technical Information Service
- All services of the US Patent and Trademark Office for six days
- Export enforcement – the ongoing conduct of criminal investigations, and prosecutions, and coordination with other law enforcement and intelligence agencies in furtherance of our national security

The following services and activities will not be available during a lapse in FY11 appropriations:

- Most research activities at NIST and NOAA
- Assistance and support to recipients of grant funding
- Services and activities provided by:
 - Bureau of Economic Analysis
 - Economic Development Administration
 - Economics and Statistics Administration
 - Minority Business Development Administration
 - Bureau of the Census
- Most services and activities provided by the International Trade Administration

4.1 Departmental Offices Base Plan

4.1.1 Shutdown Preparation

4.1.1.1 Employee Notification Procedures in Advance of a Shutdown

Required Offices

- Office of Chief Financial Officer and Assistant Secretary for Administration (CFO/ASA)
- Office of General Counsel (OGC)

Required Actions

- Issuance of Furlough Notices and
- Shutdown of operations.

Preparation:

- DOC bureaus and offices will send employee lists to OGC and OHRM to indicate the excepted employees and the reason for their excepted status.
- OGC and OHRM will compile the lists of employees assigned as Excepted or Non-Excepted and will confirm that Excepted status is appropriate for employees so designated.
- OHRM will draft furlough letter language and OGC will approve language.
- OHRM will distribute furlough letters to Servicing HR Offices (SHROs) for distribution along with processing instructions.

Notice Issuance:

- On the first business day following the lapse in appropriations, all employees will report to work.
- SHROs will establish a process to ensure non-excepted employees are properly notified (e.g., sign and date their notice of furlough letter to confirm receipt of notice or by other accepted method) and keep a record.
- Management will meet with employees within the employee's first hour of reporting to work to review the furlough process and issues notices. The supervisor will keep a record of employees notified.
- All managers will submit complete list of notified employees to SHRO for confirmation of completion.
- Employees will shut down their offices and must leave the workplace within four hours of their arrival on the effective date.

4.1.1.2 Contractor Notification Procedures in Advance of a Shutdown

The applicable Contracting Officer will issue Stop Work Orders on all contracts requiring work stoppages. For the excepted services performed under contract, assigned Contract Officer Technical Representatives (COTRs) will identify the portion of the contract covered by the exception and in collaboration with the Contracting Officer provide technical direction to the contractor for any required continued performance.

4.1.2 Reactivation of Functions

- Upon notification that employees may return to duty, the Department of Commerce hotline and main website will be updated and office phone lists will be activated.
- Employees will report back to work at their regularly scheduled time on the next scheduled work day.

4.2 Individual Departmental Offices Shutdown Plans

4.2.1 Office of the Secretary (OS)

4.2.1.1 OS Orderly Shutdown Needs

Position	Duty Station	# of Employees	Time Needed	Justification
Director, OPA	Washington, DC	1	2.5 days	Devise shut down communication plan (CP) need time for clearance with OMB and WH communications. Other CPs cleared on suspended policy/ press items. List of reporters and stories underway at time of shutdown. Auto reply for incoming. Email out to press list
Director, New Media, OPA	Washington, DC	1	1 days	Web message cleared. Work with CIO on taking down websites.
Director, Office of Exec Sec	Washington, DC	1	1.5 days	Brief Secretary and/or CoS on how mail will be handled. List of outstanding clearance items/ reports NOT cleared at start of shutdown. Last bills submitted for payment for obligations incurred prior to appropriations lapse
Executive Secretariat	Washington, DC	1	1.5 days	Last briefing book with executable meetings, list of bureau contacts
Deputy Director, Office of Policy and Strategic Planning (OPSP)	Washington, DC	1	1 days	Consult with individual bureaus to determine if there are any policy initiatives or regulatory actions that must occur during the shutdown period and provide guidance to the Secretary and bureaus on OPSP clearance; perform administrative actions to inform customers about the shutdown. Provide Secretary and Office of Legislative and Intergovernmental Affairs (OLIA) with issue papers on priority policy issues in order to prepare for the Secretary's upcoming appropriations hearings (from bureaus)
Director, Office of Advance and Scheduling	Washington, DC	1	1 days	Cancel all upcoming meetings and events on the Secretary's calendar and reach out to stakeholders. Pull down all travel.
Director, Office of Business Liaison	Washington, DC	1	1 days	Cancel all meetings with businesses.
	Total	7		

4.2.1.2 OS Excepted Positions

Key for justification of exceptions:

- 1 = Employees engaged in military, law enforcement, or direct provision of health care activities
- 2 = Financed by other than FY11 appropriations
- 3 = Necessary to protect the safety of human life or the protection of property
- 4 = Authorized by law

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Secretary	Washington, DC	1	PAS	OS			Presidential Appointee
Chief of Staff	Washington, DC	1	3	OS			Assist Presidential Appointee in Administration, coordination, and executive support of Emergency Functions
Executive Assistant	Washington, DC	1	3	OS			
Deputy Secretary	Washington, DC	1	PAS	OS	Dep Sec		Presidential Appointee
Senior Advisor to the Deputy Secretary	Washington, DC	1	3	OS	Dep Sec		Assist Presidential Appointee in Administration, coordination, and executive support of Emergency Functions
Assistant Secretary	Washington, DC	1	PAS	OS	OLIA		Presidential Appointee
Deputy Director	Washington, DC	1	3	OS	OLIA		Assist Presidential Appointee in Administration, coordination, and executive support of Emergency Functions
	Total	7					

4.2.1.3 OS Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Desktops/ Laptops/ Microsoft Office
- Printers
- Internet
- Network
- Phones and Fax
- TSDN equipment and connectivity
- TFIN equipment and connectivity
- Secure Phone equipment and connectivity
- Secure Fax equipment and connectivity

4.2.2 Office of the Chief Financial Officer (OCFO/ASA)

4.2.2.1 CFO/ASA Orderly Shutdown Needs

Position	Duty Station	# of Employees	Time Needed	Justification
Director, OFM	Washington, DC	1	3 days	To ensure orderly shutdown of financial management operations and systems.
Director, Financial Mgt Systems, OFM	Washington, DC	1	1 days	
Deputy Director of Budget	Washington, DC	1	3 days	
Supervisory IT Manager, OFM	Washington, DC	1	1 days	
WebTA Program Manager, OHRM	Washington, DC	1	2 days	Managing transmission of Time and Attendance (T&A) data of pay period
HR Specialist	Washington, DC	5	3 days	Managing notification of furlough process and payroll operation
Associate Director, Office of Commerce Services	Washington, DC	1	2 days	Mail letters to employees who do not come in on Monday
Chief, Travel Management Division	Washington, DC	1	2 days	Oversight of travel contractor; travel card issues; and support return travel issues
Department Mail Manager	Washington, DC	1	2 days	Mail letters to employees who do not come in on Monday
OS Mail Manager	Washington, DC	1	2 days	Mail letters to employees who do not come in on Monday
	Total	14		

4.2.2.2 CFO/ASA Excepted Positions

Key for justification of exceptions:

- 1 = Employees engaged in military, law enforcement, or direct provision of health care activities
- 2 = Financed by other than FY11 appropriations
- 3 = Necessary to protect the safety of human life or the protection of property
- 4 = Authorized by law

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Chief Financial Officer and Assistant Secretary for Administration	Washington, DC	1	PAS	OS	OCFO		PAS
Senior Director for Administration	Washington, DC	1	3	OS	OCFO		Schedule C, serving on an intermittent basis to support the CFO/ASA in oversight of emergency functions of the Department. Will share this responsibility with the DASA.
Deputy Assistant Secretary for Administration	Washington, DC	1	3	OS	OCFO		Non Career SES, Deputy Assistant Secretary, serving on an intermittent basis to support the CFO/ASA in oversight of emergency functions of the Department. Will share this responsibility with Senior Advisor for Administration
Senior Procurement Executive	Washington, DC	1	3	OS	OCFO	OAM	These employees will be retained to protect life or property as may be required through exercise of responsibilities as the Senior Procurement Executive (SPE) for the Department of Commerce (Director, OAM) and as a Warranted Contracting Officer (Director, CAS). The SPE alone has been delegated authority to approve Emergency Acquisition Flexibilities, without further delegation. Only a Warranted Government Contracting Officer (Director, CAS) may award or modify government contracts to protect life or
Director, Commerce Acquisition Solutions Division (CAS)	Washington, DC	1					

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
							property.
Director for Administrative Services	Washington, DC	10	3	OS	OCFO	OAS	Senior official responsible for providing oversight of building operations, responding to requests concerning facilities, travel, mail and other administrative issues across the DOC and HCHB.
HVAC Personnel	Washington, DC	1					Employee will rotate/participate in shift work, approximately 18 -27 hours per week, to maintain coverage, provide oversight of 24/7 building operations and on-site services for essential personnel.
Director, OHRM	Washington, DC	1	3	OS	OCFO	OHRM	Primary POC for the Department to administer the furlough and to assist the Department leadership in bringing employees back to work as emergency or essential functions are identified during the furlough. Role would be to maintain the list of furloughed employees and coordinate with Office of Security and other support functions in returning employees back to work as needed to continue to sustain property and safety during the furlough period.
Director for Security	Washington, DC	1	3	OS	OCFO	OSY	Front Office - Security Leadership & Policy
Supervisory Security Specialist	Washington, DC	1	3	OS	OCFO	OSY	Security protection for the Secretary
Security Specialist (Executive Protection)	Washington, DC	2	3	OS	OCFO	OSY	Security protection for the Secretary
Security Specialist	Washington, DC	2	3	OS	OCFO	OSY	Client Security Service Division (HQ) - CORs, Guards/Access Control
Supervisory Security Specialist	Silver Spring, MD	1	3	OS	OCFO	OSY	Supervisory client security service division (field) - CORs, guards/Access Control
Security Specialist	Silver Spring, MD	1	3	OS	OCFO	OSY	Client Security Service Division (field) - CORs, Guards/Access Control
Supervisory Security Specialist	Suitland, MD	1	3	OS	OCFO	OSY	Supervisory client security service division (field) - CORs, guards/Access Control
Security Specialist	Suitland, MD	1	3	OS	OCFO	OSY	Client Security Service Division (field) - CORs, Guards/Access Control
Supervisory Security Specialist	Jeffersonville, IN	1	3	OS	OCFO	OSY	Supervisory client security service division (field) - CORs, guards/Access Control
Security Specialist	Jeffersonville, IN	1	3	OS	OCFO	OSY	Client Security Service Division (HQ and field) - CORs, Guards/Access Control
Supervisory Security Specialist	Seattle, WA	1	3	OS	OCFO	OSY	Supervisory client security service division (field) - CORs, guards/Access Control
Supervisory Criminal Investigator	Washington, DC	1	3	OS	OCFO	OSY	Investigations & Intelligence Division - Investigations and Intelligence
Criminal Investigator	Washington, DC	2	3	OS	OCFO	OSY	Investigations & Intelligence Division - Investigations and Intelligence
Supervisory Security Specialist	Washington, DC	1	3	OS	OCFO	OSY	Continuity & Emergency Preparedness Division - Emergency Operations Center Staffing (COG, COOP, OEP)
Security Specialist	Washington, DC	1	3	OS	OCFO	OSY	Continuity & Emergency Preparedness Division - Emergency Operations Center Staffing (COG, COOP, OEP)
	Total	35					

4.2.2.3 CFO/ASA Excepted IT Requirements & Contracts

- Email
- File Shares

- BlackBerry
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Internet
- Network

4.2.3 Office of the Chief Information Officer (OCIO)

4.2.3.1 OCIO Orderly Shutdown Needs

OCIO will not require any non-excepted personnel to work more than half a day in order to conduct an orderly shutdown of the bureau.

4.2.3.2 OCIO Excepted Positions

Key for justification of exceptions:

1 = Employees engaged in military, law enforcement, or direct provision of health care activities

2 = Financed by other than FY11 appropriations

3 = Necessary to protect the safety of human life or the protection of property

4 = Authorized by law

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Director, OCIO	Washington, DC	1	3	OS	OCIO		Senior leadership for the Department's IT Infrastructure and IT operations for emergency functions
Deputy Director, OCIO	Washington, DC	1	3	OS	OCIO		Deputy CIO and Supervisor for staff required to carry-out operations support for emergency functions
IT Specialist	Washington, DC	3	3	OS	OCIO		Provide support for all Broadcast messages that need to be sent out. Provide Tier 3 Helpdesk support in troubleshooting all servers and workstation related issues. Computer Incident Response Team as mandated by DHS and OMB for response to possible computer security incidents
	TOTAL	5					

4.2.3.3 OCIO Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Internet
- Network

4.2.4 Office of the General Counsel (OGC)

4.2.4.1 OGC Orderly Shutdown Needs

Position	Duty Station	# of Employees	Time Needed	Justification
Deputy Chief, Employment & Labor Law Division	Washington, DC	1	5 days	Closing of Litigation cases, filing of motions to stay
Assistant General Counsel for Finance and Litigation	Washington, DC	1	2 days	
General Attorney	Washington, DC	1	3 days	
General Attorney	Washington, DC	1	3 days	
Assist. General Counsel for Legis. & Reg	Washington, DC	1	1 days	Closing of various files and legal matters
Chief Counsel for Regulation	Washington, DC	1	2 days	
Attorney Advisor	Washington, DC	1	2 days	
Chief Counsel for International Commerce	Washington, DC	1	1 days	Closing of Litigation cases, filing of motions to stay
Chief Counsel for Import Administration	Washington, DC	1	2 days	
Chief Counsel for Economic Affairs	Washington, DC	1	2 days	Closing of various files and legal matters
Chief Counsel for NIST	Washington, DC	1	1 days	
Chief Counsel for BIS	Washington, DC	1	2 days	Closing of various administrative services to OGC
Supervisory Management Analyst	Washington, DC	1	2 days	
	TOTAL	13		

4.2.4.2 OGC Excepted Positions

Key for justification of exceptions:

1 = Employees engaged in military, law enforcement, or direct provision of health care activities

2 = Financed by other than FY11 appropriations

3 = Necessary to protect the safety of human life or the protection of property

4 = Authorized by law

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
General Counsel	Washington, DC	1	PAS	OS	OGC		PAS
Deputy General Counsel	Washington, DC	1	3	OS	OGC		Provision of legal advice to the Secretary/Bureaus on Emergency matters continuing in the Department
Counsel	Washington, DC	1	3	OS	OGC		
Assistant General Counsel for Admin	Washington, DC	1	3	OS	OGC	AGC/ADM	Provision of legal advice to the Secretary/Bureaus on appropriations, ethics and Employment issues arising in Emergency matters continuing in the Department
Chief, General Law Division	Washington, DC	1	3	OS	OGC	AGC/ADM	Provision of legal advice to the Secretary/Bureaus on appropriations issues arising in Emergency matters continuing in the Department
Chief, Employment & Labor Law Division	Washington, DC	1	3	OS	OGC	AGC/ADM	Provision of legal advice to the Secretary/Bureaus on Employment issues arising in Emergency matters continuing in the Department
Attorney Advisor	Washington, DC	1	3	OS	OGC	AGC/ADM	Provision of legal advice to the Secretary/Bureaus on appropriations issues arising in Emergency matters continuing in the Department
Chief, Contract Law Division	Washington, DC	1	3	OS	OGC	AGC/Lit	Provision of legal advice to the Secretary/Bureaus on Emergency contract matters continuing in the Department
Intelligence Operations Specialist	Washington, DC	1	3	OS	OGC	Ex. Support	Dissemination of Intelligence to the Secretary/Bureaus
Chief Counsel BIS	Washington, DC	1	3	OS	OGC	Chief	Provision of Legal advice to BIS on matters of Emergency law

						Counsel for BIS	enforcement involving the protection of life and property and the otherwise authorized by law exception for expert licensing during international emergencies.
Attorney-Advisor	Washington, DC	3	3	OS	OGC	Chief Counsel for BIS	Provision of Legal advice to BIS on matters of Emergency law enforcement involving the protection of life and property and the otherwise authorized by law exception for expert licensing during international emergencies.
	TOTAL	13					

4.2.4.3 OGC Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Internet
- Network

4.2.5 Bureau of Economic Analysis (BEA)

4.2.5.1 BEA Orderly Shutdown Needs

Position	Duty Station	# of Employees	Time Needed	Justification
Division Chief, Communications	Washington, DC	1	1 day	Primary coordinator of contingency plan and communication of details to internal staff and external users and customers, press etc.
Chief Information Officer	Washington, DC	1	1 day	Oversee and coordinate IT systems shutdown
IT Specialist	Washington, DC	3	1 day	IT systems shutdown
Deputy Division Chief, Administrative Services	Washington, DC	1	1 day	Oversee and coordinate shutdown from Administrative perspective.
Lead, Workforce Services	Washington, DC	1	1 day	Time & Attendance Closeout
Management Analyst, Workforce Services	Washington, DC	2	1 day	Time & Attendance Closeout
	Total	9		

4.2.5.2 BEA Excepted Positions

Key for justification of exceptions:

1 = Employees engaged in military, law enforcement, or direct provision of health care activities

2 = Financed by other than FY11 appropriations

3 = Necessary to protect the safety of human life or the protection of property

4 = Authorized by law

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Director Deputy Director	Washington, DC	2	3	ESA	BEA		Director or Deputy Director will rotate to be available for overall management decisions and operations related to emergencies to BEA's property
IT Specialist	Washington, DC	3	3	ESA	BEA		Monitor network security and ensure the protection of the critical intellectual property within BEA's IT systems
Management Analyst, Physical Environment Group	Washington, DC	1	3	ESA	BEA		This individual serves as the Administrative Contracting Officer delegated by GSA for our leased space, which is also occupied by two other agencies which are not expected to be impacted by a government shutdown, and thus presence is needed to protect Government property.
Physical Security Officer	Washington, DC	1	3	ESA	BEA		Will remain on site to ensure the protection of property. Will manage mailroom operations as necessary to ensure the security of sensitive mail and other confidential deliveries of data to the agency which may occur. Necessary to make any modifications to the security system settings if additional staff becomes necessary or upon the resumption of activities.
	Total	7					

4.2.5.3 BEA Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Internet
- Network
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers

4.2.6 Bureau of Industry and Security (BIS)

BIS excepted personnel for national security operations during a funding lapse are defined to include the following:

- **Export Enforcement:** Personnel of the Office of the Assistant Secretary, Office of Enforcement Analysis, and Office of Anti-Boycott Compliance are not considered essential, with the exception of the Assistant Secretary and the Deputy Assistant Secretary. Personnel of the Office of Export Enforcement (OEE) are considered essential for national security operations. OEE special agents (all law enforcement-occupation code 1811) are essential to the ongoing conduct of criminal investigations, prosecutions, and other activities with other law enforcement and intelligence agencies in furtherance of our national security. The abrupt removal of OEE agents from participation in ongoing activities conducted by the Executive and Judicial Branches would jeopardize current criminal investigations, prosecutions (including testimony in grand jury and trial proceedings), and other activities (including interdiction measures conducted both domestically and abroad by Special Agents).
- **Export Administration:** certain minimal activities will remain operational during a shutdown for national security reasons. These activities, serviced by engineers and technical staff, include: processing export licenses essential to protecting the national security of the United States; evaluating transactions involving U.S. controlled items to ensure they are exported in accordance with export control requirements; drafting amendments to the Export Administration Regulations to address emergency foreign policy issues that warrant changes to dual-use export control policies, including export control sanctions ordered by the President as part of the United States’s response to ongoing and unanticipated international crises; negotiating changes to international export control lists; hosting international inspectors pursuant to U.S. non-proliferation treaty obligations; and processing emergency priorities and allocation requests to ensure national security programs have access to necessary items.
- **Leadership and Resource Support:** Skeletal legal, systems, and support—for essential services such as Mainframe and Local Area Network support needed for emergency licensing and enforcement actions.

4.2.6.1 BIS Orderly Shutdown Needs

BIS will not require any non-excepted personnel to work more than half a day in order to conduct an orderly shutdown of the bureau.

4.2.6.2 BIS Excepted Positions

Key for justification of exceptions:

1 = Employees engaged in military, law enforcement, or direct provision of health care activities

2 = Financed by other than FY11 appropriations

3 = Necessary to protect the safety of human life or the protection of property

4 = Authorized by law

Position	Duty Station	# of			Bureau	OU	Office	Narrative
		Employees	Exception					
Under Secretary	Washington, DC	1	PAS	BIS			PAS	

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Deputy Under Secretary	Washington, DC	1	3	BIS			Provide strategic and tactical support
Assistant Secretary for Export Enforcement	Washington, DC	1	PAS	BIS			PAS
Deputy Assistant Secretary for Export Enforcement	Washington, DC	1	3	BIS			Supervise/ coordinate enforcement activities
Director	Washington, DC	1	3	BIS			Approve/ coordinate activities relevant to ongoing criminal investigations
Senior Criminal Investigator	Washington, DC	2	3	BIS			Conduct ongoing criminal investigations
Supvy Criminal Investigator	Washington, DC	5	3	BIS			Manage/ conduct ongoing criminal investigations
Supvy Criminal Investigator	New York	2	3	BIS			Manage/ conduct ongoing criminal investigations
Supvy Criminal Investigator	Boston, MA	2	3	BIS			Manage/ conduct ongoing criminal investigations
Supvy Criminal Investigator	Miami, FL	2	3	BIS			Manage/ conduct ongoing criminal investigations
Supvy Criminal Investigator	Chicago, IL	2	3	BIS			Manage/ conduct ongoing criminal investigations
Supvy Criminal Investigator	Herndon	2	3	BIS			Manage/ conduct ongoing criminal investigations
Supvy Criminal Investigator	Los Angeles, CA	2	3	BIS			Manage/ conduct ongoing criminal investigations
Supvy Criminal Investigator	San Jose, CA	2	3	BIS			Manage/ conduct ongoing criminal investigations
Supvy Criminal Investigator	Dallas, TX	2	3	BIS			Manage/ conduct ongoing criminal investigations
Criminal Investigator	Washington, DC	8	3	BIS			Conduct ongoing criminal investigations
Criminal Investigator	New York	8	3	BIS			Conduct ongoing criminal investigations
Criminal Investigator	Boston, MA	8	3	BIS			Conduct ongoing criminal investigations
Criminal Investigator	Miami, FL	8	3	BIS			Conduct ongoing criminal investigations
Criminal Investigator	Chicago, IL	7	3	BIS			Conduct ongoing criminal investigations
Criminal Investigator	Herndon, VA	8	3	BIS			Conduct ongoing criminal investigations
Criminal Investigator	Los Angeles	7	3	BIS			Conduct ongoing criminal investigations
Criminal Investigator	San Jose, CA	8	3	BIS			Conduct ongoing criminal investigations
Criminal Investigator	Dallas, TX	4	3	BIS			Conduct ongoing criminal investigations
Criminal Investigator	Houston, TX	3	3	BIS			Conduct ongoing criminal investigations
Export Compliance Specialist	Washington, DC	1	3	BIS			Provide critical support in processing license determinations for investigations.
Assistant Secretary for Export Administration	Washington, DC	1	PAS	BIS			PAS
Deputy Assistant Secretary for Export Administration	Washington, DC	1	4	BIS			Supervise execution of export control and defense-related programs
Operating Committee Chairman	Washington, DC	1	4	BIS			White House liaison on national security policy issues
Director, Office of National Security and technology Transfer Controls	Washington, DC	1	4	BIS			License emergency export applications
Director, Office of Nonproliferation and Treaty Compliance,	Washington, DC	1	4	BIS			License emergency export applications
Supvy ElectronicS Engineer	Washington, DC	1	4	BIS			License emergency export applications; negotiate international control list changes
Supvy Export Policy Analyst	Washington, DC	2	4	BIS			License emergency export applications; draft emergency regulations
Trade and Industry Analyst	Washington, DC	1	4	BIS			Analyze export controlled transactions for compliance/foreign policy concerns
Senior Export Policy Analyst	Washington, DC	1	4	BIS			Administer Defense Priorities and Allocation System
General Engineer	Washington, DC	15	4	BIS			License emergency export applications; negotiate international control list changes

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Electronics Engineer	Washington, DC	8	4	BIS			License emergency export applications
Microbiologist	Washington, DC	1	4	BIS			License emergency export applications
Chemical Engineer	Washington, DC	2	4	BIS			License emergency export applications
Export Policy Analyst	Washington, DC	2	4	BIS			Negotiate international control list changes
Chemical Engineer	Washington, DC	1	4	BIS			Host international treaty inspections
Export Policy Analyst	Washington, DC	1	4	BIS			Host International treaty inspections
Business and Industry Specialist	Washington, DC	1	4	BIS			Provide logistics support for international treaty inspections
Chief Financial Officer and Director of Administration	Washington, DC	1	4	BIS			Provide administrative and resource support
Financial Manager	Washington, DC	1	4	BIS			Provide administrative and resource support
Supvy Telecommunication Specialist	Manassas, VA	1	4	BIS			Provide operational, network, and application support for Export Enforcement activities
Supvy Information Technology Specialist	Washington, DC	1	4	BIS			Provide customer service (help desk) for both internal (essential personnel working during the shutdown) and external BIS customers
Computer Scientist	Washington, DC	1	4	BIS			Support tasks and duties associated with processing emergency/urgent dual-use licenses
Acting Chief Information Officer	Washington, DC	1	4				Support emergency/urgent procurement and authorization of spending and staff adjustments to accommodate SIS needs
	TOTAL	145					

4.2.6.3 BIS Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Internet
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Network

4.2.7 U.S. Census Bureau

4.2.7.1 Census Orderly Shutdown Needs*

Position	Duty Station	# of Employees	Time Needed	Justification
Supervisory HR Specialist	Suitland, MD	3	3 days	Payroll processing; 1 day to confirm salary payments of previous pay period and resolve any issues; 2 days to respond to NFC concerns, monitor payments, and rectify errors
Assistant HR Officer		1	3 days	
HR Specialist		3	3 days	
IT Specialist (APPSW)		1	3 days	
IT Specialist (INET)		1	3 days	IT Support for HR
Supervisory HR Specialist		1	3 days	
IT Specialist (APPSW)		1	3 days	IT Support for DAPPS payroll processing
IT Specialist, Chief & PS Admin		1	3 days	
Mail Room Supervisor	Suitland, MD	1	3 days	Mail required employee communications
Mail Room Clerk	Suitland, MD	2	3 days	Mail required employee communications
HR Assistants	Suitland, MD	6	2 days	Identify and prepare required employee communications
ADMV Specialist	Atlanta RCC	2	3 days	FLD Admin and Payroll; Field staff in both RO and RCC key in paper 308 T&A forms over two days; verification and corrections on third day
ADMV Specialist	Atlanta RO	1	3 days	
ADMV Technician OA/Clerk		4	3 days	
Survey Coordinator		1	3 days	
Regional Director	Boston RO	1	3 days	Responsible for checking RO & RCC building and property
ADM COOR	Boston RCC	1	3 days	FLD Admin and Payroll; Field staff in both Regional Office (RO) and Regional Census Center (RCC) key in paper 308 T&A forms over two days; verification and corrections made on third day
ADMV Officer	Boston RO	1	3 days	
Admin Tech/Clerk	Boston RO/RCC	5	3 days	
ADMV Specialist	Charlotte RCC	2	3 days	
Sup Info Spec		1	3 days	
ADMV Officer	Charlotte RO	1	3 days	
ADMV Technician OA/Cerk		3	3 days	
Regional Director	Charlotte RO	1	3 days	
Regional Director	Chicago RO	1	3 days	FLD Admin and Payroll; Field staff in both Regional Office (RO) and Regional Census Center (RCC) key in paper 308 T&A forms over two days; verification and corrections made on third day
ADMV Technician OA/Clerk	Chicago RO	4	3 days	
Admin Support		1	3 days	
HR Specialist	Chicago RCC	1	3 days	
ADM COOR	Chicago RCC	1	3 days	Responsible for checking RO & RCC building and property
Assistant Regional Director	Dallas RO/RCC	1	3 days	
Regional Director		1	3 days	
Admin Specialist	Dallas Ro/RCC	1	3 days	
Admin Officer	Dallas RO/RCC	1	3 days	FLD Admin and Payroll; Field staff in both RO and RCC key in paper 308 T&A forms over two days; verification and corrections made on third day
Admin Technician/Clerk	Dallas RO/RCC	5	3 days	
Regional Director	Denver RO	1	3 days	FLD Admin and Payroll; Field staff in both Regional Office (RO) and Regional Census Center (RCC) key in paper 308 T&A forms over two days; verification and corrections made on third day
Administrative Officer	Denver RO	1	3 days	
Administrative Supervisor	Denver RCC	1	3 days	
Admin Tech/Clerk	Denver RO/RCC	5	3 days	
Crew Leader	Denver RO	5	3 days	Drive to Navajo preservation and contact enumerators to furlough who do not have telephones; size of reservation requires many employees
FOS	Denver RO	3	3 days	

Position	Duty Station	# of Employees	Time Needed	Justification
Enumerator	Denver RO	2	3 days	
Administrative Coordinator	Detroit RCC	1	3 days	FLD Admin and Payroll; Field staff in both Regional Office (RO) and Regional Census Center (RCC) key in paper 308 T&A forms over two days; verification and corrections made on third day
Supervisory Administrative Officer	Detroit RO	1	3 days	
Admin Tech/Clerk	Detroit RO/RCC	5	3 days	FLD Admin and Payroll; Field staff in both Regional Office (RO) and Regional Census Center (RCC) key in paper 308 T&A forms over two days; verification and corrections made on third day
Assistant Regional Census Manager	Detroit RCC	1	3 days	Responsible for checking RO & RCC building and property
Regional Director	KC RO	1	3 days	
Administrative Officer	KC RO	1	3 days	FLD Admin and Payroll; Field staff in both Regional Office (RO) and Regional Census Center (RCC) key in paper 308 T&A forms over two days; verification and corrections made on third day
ADM COOR	KC RCC	1	3 days	
ADM Specialist	KC RO/RCC	1	3 days	
Admin Tech/Clerk	KC RO/RCC	4	3 days	
Supervisory Survey Statistician	LA RO	2	3 days	
Regional Director	LA RO/RCC	1	3 days	Responsible for checking RO & RCC building and property
ADM Officer	LA RO/RCC	1	3 days	FLD Admin and Payroll; Field staff in both Regional Office (RO) and Regional Census Center (RCC) key in paper 308 T&A forms over two days; verification and corrections made on third day
ADM Specialist	LA RO/RCC	1	3 days	
ADM Tech/Clerk	LA RO/RCC	5	3 day	
Regional Director	NY RO	1	3 days	
Assistant Regional Director	NY RO	1	3 days	
Payroll Administrative Officer	NY RO/RCC	1	3 days	FLD Admin and Payroll; Field staff in both Regional Office (RO) and Regional Census Center (RCC) key in paper 308 T&A forms over two days; verification and corrections made on third day
ADM Tech/Clerk	NY RO/RCC	5	3 days	
Assistant Regional Census Manager	NY RCC	1	3 days	
Deputy Regional Director	NY RCC	1	3 days	
Payroll Administrative Officer	NY RCC	1	3 days	
ADM COOR	Philadelphia	1	3 days	FLD Admin and Payroll; Field staff in both Regional Office (RO) and Regional Census Center (RCC) key in paper 308 T&A forms over two days; verification and corrections made on third day
ADM Specialist	Philadelphia	1	3 days	
ADM Tech/Clerk	Philadelphia	4	3 days	
ADM COOR	Philadelphia	1	3 days	
Regional Director	RO/RCC	1	3 days	
Regional Director	Seattle RO	1	3 days	Responsible for checking RO & RCC building and property
ADMV Officer	Seattle RO	1	3 days	FLD Admin and Payroll; Field staff in both Regional Office (RO) and Regional Census Center (RCC) key in paper 308 T&A forms over two days; verification and corrections made on third day
ADMV Specialist	Seattle RCC	1	3 days	
ADM Tech/Clerk	Seattle RO/RCC	5	3 days	
Supervisory Program Analyst	Suitland, MD	1	3 days	
Budget Officer	NPC , Indiana	1	3 days	
Supervisory Management Analyst	NPC , Indiana	1	3 days	Fiscal Services Staff and one HR person will process T & A forms, verification and corrections for payroll
Civilian Pay Technician	NPC , Indiana	7	3 days	
Management Assistant	NPC , Indiana	2	3 days	
Human Resources Assistant OA	NPC , Indiana	1	3 days	
IT Specialist	NPC , Indiana	1	3 days	
Peripheral Equipment Operator	NPC , Indiana	7	3 days	For printing and FedExing Employee letters
Lead Peripheral Equipment Operator	NPS, Indiana	1	3 days	
Electronics Worker	NPC , Indiana	1	3 days	
Supervisory Document Service Specialist	NPC , Indiana	1	3 days	Preparing Employee letter for FedExing
Materials Handler	NPC, Indiana	5	3 days	
Electronics Mechanic Supervisor	NPC, Indiana	1	3 days	
				Maintenance of the Ink-Jet equipment to prevent the "ink" from drying and

Position	Duty Station	# of Employees	Time Needed	Justification
				minimizing start-up time upon return. Without this, ink-jet printers will take days to restart.
	Total	164		

* Note that time may vary by activity. Staff will be sent home as tasks are completed. Times shown are maximum and shutdown will not take more than 3 days.

4.2.7.2 Census Excepted Positions

The Bureau of the Census is keeping those employees minimally necessary to protect Census property and to oversee or support emergency contracts. Five employees will remain on duty at the request of the Department of Homeland Security, Customs and Border Patrol.

Key for justification of exceptions:

- 1 = Employees engaged in military, law enforcement, or direct provision of health care activities
- 2 = Financed by other than FY11 appropriations
- 3 = Necessary to protect the safety of human life or the protection of property
- 4 = Authorized by law

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Director	Suitland, MD	1	PAS	ESA	Census	DIR	PAS
Deputy Director	Suitland, MD	1	3	ESA	Census	DIR	Overall management for emergency protection of Census property
Div. Chief	Suitland, MD	1	3	ESA	Census	ACQ	Perform all necessary emergency contract actions
Assistant Div. Chief	Suitland, MD	2	3	ESA	Census	ACQ	
Program Manager	Suitland, MD	1	3	ESA	Census	DMD	This employee is a COTR for an excepted contract
COTOR/Program Manager	Suitland, MD	1	3	ESA	Census	DSCMO	This employee is a COTR for an excepted contract
Div. Chief	Suitland, MD	1	3	ESA	Census	ACSD	Facility EMO
Facilities Manager	Suitland, MD	1	3	ESA	Census	ACSD	Coordinate facility services with GSA
Boiler Plant Operator	Indiana	4	3	ESA	Census	NPC	Boiler plant
Pipefitter	Indiana	1	3	ESA	Census	NPC	Boiler plant
Director	Indiana	1	3	ESA	Census	NPC	Pick up Title 13 mail and secure at NPC
Supervisory Facility Ops Spec	Indiana	1	3	ESA	Census	NPC	Safety of NPC water supply; needed for excepted employees
Supervisory Facility Ops Spec	Indiana	1	3	ESA	Census	NPC	Safety of NPC water supply; needed for excepted employees
Section Chief	Suitland, MD	1	3	ESA	Census	LTSO	IT helpdesk for desktops for emergency personnel
IT	Suitland, MD	1	3	ESA	Census	LTSO	IT helpdesk for servers for emergency personnel

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Technical security	Suitland, MD	4	3	ESA	Census	ITSO	Monitoring of security devices for indications of malicious or abnormal behavior consistent with system compromise;
Technical security	Suitland, MD	1	3	ESA	Census	ITSO	Oversight and management of SOC, situational awareness and incident response activities
Br. Chief	Suitland, MD	1	3	ESA	Census	TCO	Managerial oversight for all network, security, voice
Manager/COR COTR	Suitland, MD	1	3	ESA	Census	TCO	COTR for telecom contractors
Detailee to ARAB	Wash DC	1	2	ESA	Census	GOVT	Detailed to AM REC ACT Board; paid with multi year funding
ADC Systems COTR	Bowie, MD	1	3	ESA	Census	CSvD	COTR to manage HP System Administrator contractors
ADC Facilities COTR	Bowie, MD	1	3	ESA	Census	CSvD	COTR to manage Bowie facilitators contractors
Installation Manager COTR	Bowie, MD	1	3	ESA	Census	CSvD	COTR for IBM and Egenera Blade contractors
Power Manager	Bowie, MD	1	3	ESA	Census	CSvD	Facilities & Installation Management
Survey Stat	Suitland, MD	3	4	ESA	Census	FTD	Supporting enforcement of export laws and monitoring national security related activities; 5 employees to oversee contractors, answer inquiries from exporters, and other export filing issues allows continued enforcement of law and regulations.
IT Specialist		1	4				
Chief, FTD		1	4				
Survey Statistician	Bangladesh	1	2	ESA	Census	NPC	Assisting Bangladesh Bureau of Statistics with extremely critical activities- setting up the iCADE scanning system. Paid by USAID multi year funds
	Total	37					

4.2.7.3 Census Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Internet
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Network

4.2.8 Economic Development Administration (EDA)

4.2.8.1 EDA Orderly Shutdown Needs

EDA will not require any personnel to work more than half a day in order to conduct an orderly shutdown of the bureau.

4.2.8.2 EDA Excepted Positions

Key for justification of exceptions:

1 = Employees engaged in military, law enforcement, or direct provision of health care activities

2 = Financed by other than FY11 appropriations

3 = Necessary to protect the safety of human life or the protection of property

4 = Authorized by law

Position	Duty Station	# of			Bureau	OU	Office	Narrative
		Employees	Exception					
Assistant Secretary	Washington, DC	1	PAS		EDA			PAS
Chief Counsel	Washington, DC	1	3		EDA			Assistance for PAS to ensure emergency protection of EDA property
	Total	2						

4.2.8.3 EDA Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Internet
- Network

4.2.9 Economics and Statistics Administration (ESA)

4.2.9.1 ESA Orderly Shutdown Needs

Position	Duty Station	# of Employees	Time Needed	Justification
Chief Economist	Washington, DC	1	1 day	Overall management of shutdown implementation.
Associate U/S for Management	Washington, DC	1	1 day	Overall management of shutdown implementation
CFO	Washington, DC	1	1 day	Oversee and coordinate IT systems shutdown, Time and Attendance Closeout
Associate U/S for Communications	Washington, DC	1	1 day	Assist with coordination of communication of details to internal staff and external users and customers, press etc.
	Total	4		

4.2.9.2 ESA Excepted Positions

Key for justification of exceptions:

1 = Employees engaged in military, law enforcement, or direct provision of health care activities

2 = Financed by other than FY11 appropriations

3 = Necessary to protect the safety of human life or the protection of property

4 = Authorized by law

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Deputy Under Secretary	Washington, DC	1	3	ESA			Be available for overall management of emergency protection of property and decisions related to operations in ESA, Census Bureau, and BEA.
	Total	1					

4.2.9.3 ESA Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Internet
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Network

4.2.10 International Trade Administration (ITA)

4.2.10.1 ITA Orderly Shutdown Needs

ITA will not require any personnel to work more than half a day in order to conduct an orderly shutdown of the bureau.

4.2.10.2 ITA Excepted Positions

Key for justification of exceptions:

- 1 = Employees engaged in military, law enforcement, or direct provision of health care activities
- 2 = Financed by other than FY11 appropriations
- 3 = Necessary to protect the safety of human life or the protection of property
- 4 = Authorized by law

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Under Secretary for International Trade	Washington, DC	1	PAS	OS	ITA		PAS
Deputy Under Secretary for International Trade	Washington, DC	1	3	OS	ITA		Assist Presidential Appointee in administration, coordination, and executive support of emergency functions.
Special Assistant to the Under Secretary for International Trade	Washington, DC	1	3	OS	ITA		
Asst. Secretary for Market Access and Compliance	Washington, DC	1	PAS	OS	ITA	MAC	PAS
Asst. Secretary for Manufacturing and Services	Washington, DC	1	PAS	OS	ITA	MAS	PAS
Asst. Secretary for Import Administration	Washington, DC	0	PAS	OS	ITA	IA	PAS; Position currently not filled
Asst. Secretary for Trade Promotion and Director-General of the Commercial Service	Washington, DC	1	PAS	OS	ITA	USFCS	PAS
Commercial Specialist	Latin America, Asia, Middle East	14	2	OS	ITA	USFCS	Financed by other than FY11 appropriations
Commercial Specialists/Commercial Assistant/Chauffer	India: Mumbai, Delhi, Chennai	25	2	OS	ITA	USFCS	Financed by other than FY11 appropriations
Commercial Specialists	Mexico: Mexico City, Monterrey, Guadalajara	16	2	OS	ITA	USFCS	Financed by other than FY11 appropriations
	TOTAL	61					

4.2.10.3 ITA Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax

- Printers
- Internet
- Network

4.2.11 Minority Business Development Agency (MBDA)

4.2.11.1 MBDA Orderly Shutdown Needs

MBDA will not require any personnel to work more than half a day in order to conduct an orderly shutdown of the bureau.

4.2.11.2 MBDA Excepted Positions

MBDA will not require any excepted positions during a shutdown.

4.2.11.3 MBDA Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Internet
- Network

4.2.12 National Oceanic and Atmospheric Administration (NOAA)

4.2.12.1 NOAA Orderly Shutdown Needs

Office	Duty Station	# of Employees	Time Estimate	Bureau	Narrative
Office of the Chief Administrative Officer		1	2 days	NOAA	Manage NOAA-wide execution of Shutdown Plan
Office of the Chief Administrative Officer	Boulder, CO	1	1-2 days	NOAA	Coordinate termination of freight deliveries, stop freight pick-ups and to terminate mail service
Office of the Chief Administrative Officer	Seattle, WA	1	1-2 days	NOAA	Coordinate termination of freight deliveries, stop freight pick-ups, terminate mail service and notify public that reservations for the auditorium are being canceled due to shutdown
Office of Oceanic and Atmospheric Research		11	1-2 days	NOAA	To assist with orderly termination of NOAA functions, actions include personnel actions, manage procurement actions, modifying or terminate contracts impacted by the shutdown, cancel NOAA-sponsored meetings/events for several of our field locations
Office of Oceanic and Atmospheric Research		8	1 day	NOAA	Lead the OAR HQ planning efforts for OAR's orderly termination of activities
Office of Oceanic and Atmospheric Research		1	1 day	NOAA	ASD Chief to ensure all staff have returned to their duty station and the orderly shutdown of all CPO activities takes place
Office of Oceanic and Atmospheric Research		18	2 days	NOAA	Federal IT computer staff required for planning and executing an orderly system shutdown
Office of Oceanic and Atmospheric Research		15	2 days	NOAA	Systems contract staff required for planning and executing orderly system shutdown
Office of Oceanic and Atmospheric Research		2	3-5 days	NOAA	Facility operations staff for orderly shutdown and "winterization"
Office of Oceanic and Atmospheric Research		1	1-2 days	NOAA	IT staff to verify that no critical data sets are lost and minimal functionality is maintained during shutdown
Office of Oceanic and Atmospheric Research		1	1-2 days	NOAA	Return of radar systems
Office of Oceanic and Atmospheric Research	Boulder, CO	14	1-2 days	NOAA	Staff time (in Boulder) required to: shutdown high-precision instrumentation and calibration systems and place these instruments into a "hold" status, notify global partners of closure and request shipment holds on samples, shutdown computer support services including automation routines, storage servers, and website infra-structure
Office of Oceanic and Atmospheric Research		16	1 day	NOAA	TDY Scientists to return to their duty station (estimate: 1-day; scientists on NOAA vessels: TBD)
Office of Oceanic and Atmospheric Research		1	2 days	NOAA	Shutting down Engineering Development work in association with April field experiment
Office of Workforce Management Office		7	1-2 days	NOAA	Cancelling Personnel Actions, Payroll Processing, Time and Attendance Processing
Office of the CIO and High Performance Computing and Communications		2	1-2 days	NOAA	Shutdown: personnel actions and general administrative
Office of the CIO and High Performance Computing and Communications		3	2 days	NOAA	Shutdown Information Technology Center
Office of the CIO and		4	1-2 days	NOAA	Shutdown High Performance Computing Centers (GFDL; NCEP)

Office	Duty Station	# of Employees	Time Estimate	Bureau	Narrative
High Performance Computing and Communications					
Office of the CIO and High Performance Computing and Communications	Norfolk, Kansas City, Boulder, Seattle	4	1-2 days	NOAA	Shutdown field systems operations
NOAA Headquarters		2	2-4 days	NOAA	Lawyers to file stays and motions for extension of time as part of the orderly shutdown
NOAA Headquarters		2	1-2 days	NOAA	Legislative Affairs: To conduct orderly shutdown of operations
NOAA Headquarters		2	1-2 days	NOAA	External and internal communications: To conduct orderly shutdown of operations
NOAA Headquarters		2	1-2 days	NOAA	Shutdown planning: Implementation policy and planning for the Under Secretary to conduct orderly shutdown of operations
NOAA Headquarters		2	1 day	NOAA	Orderly termination of administrative/personnel activities
Office of Education		3	1 day	NOAA	Attending Conference;. Return to their duty stations.
Office of Education		1	1 day	NOAA	Graduate scientist traveling during shutdown to return to duty station
NOAA Environmental Satellite and Data Information Service		3	2 days	NOAA	Administrative activities to address personnel, contract and acquisition functions
NOAA Environmental Satellite and Data Information Service		2	1 day	NOAA	Termination of all (archive and access) functions
NOAA Environmental Satellite and Data Information Service		3	1 day	NOAA	Employees on domestic travel; to return to their duty station
NOAA Environmental Satellite and Data Information Service		13	2 days	NOAA	Employees on foreign travel; to return to their duty station
Office of the Chief Financial Officer		1	1 day	NOAA	CBS Training Classes being conducted in Seattle from 2/28 - 3/11; return from travel
Office of the Chief Financial Officer		2	1 day	NOAA	Ensure that a full backup of CBS/DW was successful the last night of operations; then power down servers
Office of Acquisition and Grants		1	1-2 days	NOAA	System Administrator
Office of Acquisition and Grants		1	2 days	NOAA	Small Purchase Contracting Officer
Office of Acquisition and Grants		1	2 days	NOAA	Executive - manage shutdown operations
National Marine Fisheries Service		16	1-2 days	NOAA	Contracts actions required to effect shutdown
National Marine Fisheries Service		12		NOAA	NMFS Employees on NOAA Vessels (estimate: TBD based on location of vessel and time to return to port)
National Marine Fisheries Service		1	1-2 days	NOAA	Ensure National Seafood Inspection labs and samples are secure and properly stored -- not part of reimbursable-funded Seafood Inspection Program identified above
National Marine Fisheries Service		73	1 day	NOAA	Employees return from travel status
National Marine Fisheries Service		10	1-2 days	NOAA	Place lab and field studies and equipment in appropriate condition for shutdown
Office of Marine and		14	2-5 days	NOAA	Henry B. Bigelow: Ship Operations/Personnel at Sea (Wage Marine and

Office	Duty Station	# of Employees	Time Estimate	Bureau	Narrative
Aviation Operations					CAPS) necessary to return ship to Homeport. Transit time dependent on location in OP area.
Office of Marine and Aviation Operations		10	5 days	NOAA	Oscar Elton Sette: Ship Operations/Personnel at Sea (Wage Marine and CAPS) necessary to return ship to Homeport.
Office of Marine and Aviation Operations		12	5-6 days	NOAA	Nancy Foster: Ship Operations/Personnel at Sea (Wage Marine and CAPS) necessary to return ship to Homeport.
Office of Marine and Aviation Operations		15	1 day	NOAA	Hi'ialakai: Ship Operations/Personnel at Sea (Wage Marine and CAPS) necessary to return ship to Homeport.
Office of Marine and Aviation Operations		8	1 day	NOAA	Oregon II: Ship Operations/Personnel at Sea (Wage Marine and CAPS) necessary to return ship to Homeport.
Office of Marine and Aviation Operations		11	1 day	NOAA	Gordon Gunter: Ship Operations/Personnel at Sea (Wage Marine and CAPS) necessary to return ship to Homeport.
National Ocean Service		40	1-2 days	NOAA	(NOS-wide) Up to 2 days of short term activities necessary to support an orderly shutdown administrative activities at each of the NOS programs across the country including modify/cancel contracts; adjust payroll, recall persons on travel status, cancel federal led conferences, interviews and communication with external constituents regarding shutdown status
	Total	395			

4.2.12.2 NOAA Excepted Positions

The following are the activities by organization that must continue during a lapse in appropriations. NOAA has made every effort to minimize the number of employees excepted (for reasons other than continuing source of funding and exempted by legislation) in supporting emergency operations that protect against a significant and imminent threat to the safety of human life and property. Given the critical nature of NOAA's research, science and operational missions to the protection of life and property as described below, NOAA believes the following levels of federal support of these missions are necessary. Detailed explanations are included in the table following this narrative.

Office of Oceanic and Atmospheric Research (80 employees) - employees required to maintain climate monitoring research to ensure continuity of crucial long-term historical climate records, and research to support ongoing weather and air quality prediction services; ongoing operations at several sites defined by the Department of Energy for support for safe operation at these sites; as well as NOAA's role in support of the United States' response and monitoring of the Japan tsunami and nuclear incident.

Environmental Satellite and Data Information Service (188 employees) – employees required to support secure command and control of NOAA and DOD operational environmental satellites and data/imagery. These activities include satellite tracking and control, ground systems, communications equipment, space-based alert systems, anomaly mitigation, data recovery, and critical incident response. These activities, operated on a 24-hour basis, ensure that critical satellite data for weather forecasts and events is not disrupted or degraded.

National Marine Fisheries Service (654 employees) – 313 employees are funded by other than annual appropriations. Of the remaining 341, 159 are law enforcement officers and the others are required to fulfill law enforcement activities to protect federal trust resources, including the protection of endangered species, critical habitat, and protected areas; fisheries management activities including quota monitoring and observer

activities, and regulatory actions to prevent overfishing; and protection of Federal property, including aquaria, experimental cultures, facilities, and living marine resources (including endangered species).

Office of Marine and Aviation Operations (489 employees) – 315 are members of the NOAA corps and 16 are members of the US Health Service and are therefore authorized by law to continue. 38 others are funded by other than annual appropriations to support Deepwater Horizon. The other 120 employees are required to gather and support observational data for weather forecasting and severe weather warnings; and to protect the fleet.

National Ocean Service (250 employees) – 69 employees are funded by other than annual appropriations for Deepwater Horizon and other programs. The remaining 181 employees are required to protect against imminent and significant threats to life and property by supporting safe maritime commerce in U.S. waters, including real-time water level data for ships entering U.S. ports, critical nautical chart updates, and accurate position information. These activities also maintain Deepwater Horizon response activities that are essential for collecting critical and perishable data needed for damage assessment activities; as well as supporting harmful algal bloom forecasting, protecting living marine resources at national sanctuaries and protecting key long-term research studies, the interruption of which would destroy the value of the Government data, and living marine animals; as well as NOAA’s role in support of the United States’ response and monitoring of the Japan tsunami and nuclear incident.

National Weather Service (4,016 employees) – employees required to continue to provide the nation with weather, water, and air quality forecasts and warnings to imminent threats to protect life and property; as well as NOAA’s role in support of the United States’ response and monitoring of the Japan tsunami and nuclear incident.

All Other (32 employees) – employees required to provide support and protection of other excepted employees.

Key for justification of exceptions:

- 1 = Employees engaged in military, law enforcement, or direct provision of health care activities
- 2 = Financed by other than FY11 appropriations
- 3 = Necessary to protect the safety of human life or the protection of property
- 4 = Authorized by law

Office	Duty Station	# of Employees	Exception	Bureau	Narrative
Office of the Chief Administrative Officer		4	2	NOAA	Project Management Oversight of Pacific Regional Center construction project
Office of Oceanic and Atmospheric Research		5	2	NOAA	Science On a Sphere contract support to ensure installations will continue on time using reimbursable funding
Office of Oceanic and Atmospheric Research	Idaho National Laboratory and Nevada National Security Site	2	3	NOAA	Ensure ongoing operation of measurement networks required to support safe operations to support ongoing weather warnings and forecast operations.
Office of Oceanic and Atmospheric Research		1	3	NOAA	PSD is currently engaged in a number of research programs in support of excepted activities; these programs require the continuous ingest and recording of field data, and must be

Office	Duty Station	# of Employees	Exception	Bureau	Narrative
					maintained to ensure a continuous weather and climate record (especially west coast storms and radar data).
Office of Oceanic and Atmospheric Research		11	3	NOAA	Safety & Security of Property. Staff time at NOAA facilities requiring safety/security. This includes the six Baseline Observatories to maintain site safety/security at remotely operated field locations.
Office of Oceanic and Atmospheric Research		1	3	NOAA	Continued operations of the David Skaggs Research Center (DSRC) Boulder Network Operations Center (BNOC). The BNOC central network is the link for all network services within the DSRC. Like the ESRL DO network the BNOC must remain in operations to support excepted activities conducted by ESRL during a shutdown.
Office of Oceanic and Atmospheric Research		1	3	NOAA	Continued operations of the Earth Systems Research Laboratory (ESRL) Computer Network and Remote Access Systems. The ESRL DO computer is the central network link for all network services within the ESRL, and must remain in operation to support excepted activities at ESRL during a shutdown.
Office of Oceanic and Atmospheric Research		1	3	NOAA	Testbed model ensemble is being used for atmospheric river experiments in California by NWS River Forecast Offices. These staff support the continuous operation of the GPS-Met measurement network, data are critical for safety of life/property as they provide the input data for operational weather modeling.
Office of Oceanic and Atmospheric Research		4	3	NOAA	MADIS surface observations, including distribution of data from the wind profiler network, are used by NCEP operational models and NWS WFOs for weather forecasting.
Office of Oceanic and Atmospheric Research		2	3	NOAA	High Resolution Rapid Refresh (HRRR) model is used extensively by WFO forecasters and NCEP Severe Storm Prediction Center. These staff support the operation of the HRRR model. As the name suggests, the model is the now-range operational model used in decision-making for warnings of severe thunderstorms/tornadoes, affecting safety of life/property.
Office of Oceanic and Atmospheric Research		22	3	NOAA	Support for critical data systems and operations: including 24/7 monitoring of high performance computing and central computer services, required to support continued model runs (RUC, HRRR) and high performance computing systems in support of PMEF DOC 2 -- weather forecast models. Maintain continuity of backup Rapid Update Cycle (RUC) model 1-h cycle running at GSD on jet supercomputer in case NCEP operational RUC crashes.
Office of Oceanic and Atmospheric Research		13	3	NOAA	Ongoing support to monitor and secure data archive environment/IT infrastructure/facility at GFDL for the Supercomputers, required to protect critical data assets and data sets
Office of Oceanic and Atmospheric Research		2	3	NOAA	Ongoing Hazmat mitigation and monitoring of reactive chemicals that have to be maintained in low temperature storage
Office of Oceanic and Atmospheric Research		1	3	NOAA	Coastwatch - Caribbean/Gulf of Mexico Regional Node is one of several sites throughout the United States set up for the processing and distribution of data to monitor sea-surface-

Office	Duty Station	# of Employees	Exception	Bureau	Narrative
					temperature, surface currents and algal blooms, study fish and marine mammal distributions, and to aid in atmospheric forecasting.
Office of Oceanic and Atmospheric Research		2	3	NOAA	Ensure Data is being collected and IT systems are functioning at AOML for multiple 24/7 operations and systems such as AMVER/SEAS System, Data Buoy data, Pirata, etc. that support the continuous operations of oceanic measurement networks;
Office of Oceanic and Atmospheric Research		12	3	NOAA	Japan Tsunami Response and Impact Management: Ongoing emergency response and monitoring activities critical to support the US Government's response to the Japan tsunami, including plume modeling, impact on oceans and fisheries, and ongoing impact to both the Japanese and potential impact on US resources. NOAA is designated the lead agency for ocean and plume modeling of radioactive material from the Fukushima nuclear power plant.
Office of the CIO and High Performance Computing and Communications	Seattle, WA, Dallas, TX, and Norman, OK	2	3	NOAA	OCIO NOAA0300 - Messaging Operations Center (MOC) and supporting systems. critical to supporting excepted activities under a shutdown
Office of the CIO and High Performance Computing and Communications		1	3	NOAA	Web Operations Center to support critical weather warning and events information during a shutdown
Office of the CIO and High Performance Computing and Communications		1	3	NOAA	OCIO NOAA0200 - Network Operations Center (NOC) to support ongoing excepted/exempted operations during a shutdown
Office of the CIO and High Performance Computing and Communications		3	3	NOAA	Security Operations Center and OCIO NOAA0100 - N-CIRT NOAA Computer Incident Response Team to maintain security operations and incident response during shutdown
Office of the CIO and High Performance Computing and Communications		1	3	NOAA	HCHB IT Support for excepted/exempted activities during shutdown
Office of the CIO and High Performance Computing and Communications		1	3	NOAA	OCIO NOAA1200 CORPSERV LAN NOAA1200 LAN and IT Support for excepted/exempted activities during shutdown
Office of the CIO and High Performance Computing and Communications		1	3	NOAA	OCIO NOAA0500 - R&D High-Performance Computer System (ARCHIVE ONLY to continue archiving and prevent loss or compromise of critical data)
Office of the CIO and High Performance Computing and Communications		1	3	NOAA	Operation of NOAA Information Technology Center
NOAA Headquarters		2	4	NOAA	EMPLOYEES EXEMPTED BY LEGISLATION Command and control of NOAA (PAS)
NOAA Headquarters		3	3	NOAA	Assist Presidential Appointee in Administration, coordination, and executive support of Emergency Functions & Operations
NOAA Headquarters		2	3	NOAA	Provide legal service and guidance for all matters that may arise in the conduct of NOAA's missions
NOAA Environmental Satellite and Data Information Service		Office by office breakdown below			Support secure and efficient command and control of NOAA/DoD operational environmental satellites and data/imagery. Satellite operations (tracking and control, ground systems, communications equipment, space-based alert systems, anomaly mitigation, data recovery, critical incident response) to support the nation's operational environmental satellite systems. Systems provide critical data and imagery for early warning of major weather events and for weather forecasts. In order to ensure that these multibillion assets are not lost or degraded, and that critical data for

Office	Duty Station	# of Employees	Exception	Bureau	Narrative
					weather forecasts and events is not disrupted, the satellites and associated systems must be operated on a 24-hour basis. Satellite Command and Control operates and acquires data from Polar Orbiting Operational Environmental Satellites (POES), Geostational Operational Environmental Satellites (GOES), DoD Meteorological Satellite Program (DMSP) and critical partnership satellite programs (MetOp, COSMIC, Jason): tracking satellites' health and safety, and acquiring and processing data delivered from the satellites.
	Suitland NSOF	101	3		Suitland/NSOF manages the 24x7 operations of environmental satellites, the acquisition and processing of environmental data in support of NOAA's mission, including the Search and Rescue Satellite Aided Tracking (SARSAT) system.
	Wallops/CDAS	53	3		Wallops/CDAS (53) supports POES and GOES operations, and non-NOAA satellite missions (NASA, US Air Force, and foreign space agencies), by executing spacecraft commands and schedules, and acquires, maintains, and distributes a continuous flow of environmental satellite data.
	Camp Springs/World Weather Bldg	17	3		Camp Springs/World Weather Building provides critical imagery by operating NOAA controlled associated systems.
	Fairbanks/CDAS	1	3		Fairbanks/CDAS provides mission support to POES, DMSP, and contingency support for GOES-west satellite. The Station also provides support to non-NOAA missions and includes agencies such as NASA, U.S. Geological Survey, Naval Research Laboratory, and foreign space agencies.
	Silver Spring	4	3		Silver Spring provides overall command control of the satellite program, IT security incident response, and collection of ocean climatology data, automated data ingest software for satellite oceanographic data.
	Boulder	2	3		Boulder provides space weather data collection and distribution to NWS for weather forecasting.
	Stennis	1	3		Stennis provides maintenance/ingest of data flow of high demand ocean model output (from DOD) used in multiple ongoing and event-driven applications including search and rescue, hazardous material spills and fish/mammal kills.
	Asheville/NCDC	8	3		Asheville/NCDC provides secure collection and storage of climate data.
NOAA Environmental Satellite and Data Information Service		1	3	NOAA	Direct federal oversight of contractor performance responsible for 24x7 operations of secure data imagery collection and storage.
Office of the Chief Financial Officer		3	3	NOAA	Financial and budget operations required to support excepted activities under a shutdown: Oversight of obligations occurring during government shutdown; Funds Control for Funds Available - Carryover, Reimbursable, Other; Reporting/Querying On Balances
Office of Acquisition and Grants		1	3	NOAA	Satellite Contracting Officer
Office of Acquisition and Grants		1	3	NOAA	Weather Contracting Officer
Office of Acquisition and Grants		1	3	NOAA	Executive Oversight
Office of Acquisition and Grants		2	3	NOAA	Contracting Officers (to serve ship construction and other ongoing contracting)
Office of Acquisition and Grants		1	3	NOAA	Small Purchase Contracting Officer

Office	Duty Station	# of Employees	Exception	Bureau	Narrative
Office of Acquisition and Grants		1	3	NOAA	Executive Oversight
National Marine Fisheries Service		23	2	NOAA	Natural Resource Damage Assessment/DWH - Assessment and Restoration Activity
National Marine Fisheries Service		14	2	NOAA	PRFA DWH
National Marine Fisheries Service		6	2	NOAA	Other Natural Resource Damage Assessment/DARRP - Ongoing restoration responsibilities
National Marine Fisheries Service		3	2	NOAA	Coastal Wetlands Planning Protection Restoration Act - Gulf of Mexico - Engineering and restoration responsibilities
National Marine Fisheries Service		168	2	NOAA	Seafood Inspection Program is a "Function that are funded under unobligated multi-year or no-year funds"
National Marine Fisheries Service		99	2	NOAA	Other Reimbursables [All have been confirmed as fully funded under reimbursable agreements with continuing funding]
National Marine Fisheries Service		67	3		Protection of the nation's Federal Trust resources from damage due to overfishing and bycatch by ensuring that fishing industry does not violate required catch levels; fisheries stocks through "take" monitoring (quota and vessel monitoring), operation of the observer program collect catch and "bycatch" (incidental capture of unintended fish and protected species) from commercial fishing and processing vessels to not harm Federally protected living marine resources (LMR), and discarded fishing catch is properly accounted for. Employees are performing excepted activities to monitor fisheries quotas (NMFS monitors how many fish are removed from the ocean. At a certain limit, set at a scientific point, the removal of additional fish causes damage to the fishery resource. Absent these activities, fishermen may violate required levels (and violate regulations) without knowing it, and the limits could be reached without the government knowing it, causing harm to the resource.
National Marine Fisheries Service		49	3	NOAA	Protection of the nation's Federal Trust resources from damage due to overfishing and bycatch by ensuring that fishing industry does not violate required catch levels; fisheries stocks through "take" monitoring (quota and vessel monitoring), operation of the observer program collect catch and "bycatch" (incidental capture of unintended fish and protected species) from commercial fishing and processing vessels to not harm Federally protected living marine resources (LMR), and discarded fishing catch is properly accounted for. Employees are performing excepted activities as part of the Observer program (Individuals go out on fishing vessels to monitor the number of species of fish, mammals, and turtles caught that were not targeted (bycatch), including species protected under the Endangered Species Act. Absent these activities, protection of these other species (including protected species) cannot be monitored and guaranteed.)
National Marine Fisheries Service		146	4	NOAA	Continue required enforcement of resource protection laws services required to protect Federal Trust resources by enforcing living marine resources (LMR) laws, habitat laws and requirements, and international requirements on imports and trade of LMR and protected resources; to support fishing activities, and to protect endangered species, critical habitat, and protected areas. Employees are Special Agents and

Office	Duty Station	# of Employees	Exception	Bureau	Narrative
					Enforcement Officers re-deployed to perform monitoring, patrol and inspections of current regulated activity to support catch limits, accurate reporting, collection of catch information, compliance with closed areas, and protection of endangered and protected species. While most routine investigative activities will be delayed, critical issues will be addressed based on legal requirements.
National Marine Fisheries Service		13	4	NOAA	Continue required enforcement of resource protection laws services required to protect Federal Trust resources by enforcing living marine resources (LMR) laws, habitat laws and requirements, and international requirements on imports and trade of LMR and protected resources; to support fishing activities, and to protect endangered species, critical habitat, and protected areas. Employees are Enforcement & VMS Technicians and staff - maintain critical support for enforcement operations through limited database searches as required by operational activity of Agents & Officers and maintain commercial fishing vessel monitoring for mandatory declarations, landing notifications, and closed areas.
National Marine Fisheries Service		1	3	NOAA	Protection of Federal trust resources by notifying mariners (fishing and transport) of presence of protected species and implementing speed limits and equipment use restrictions.
National Marine Fisheries Service	NE Regional Office	2	3	NOAA	Protection of Federal property such as aquaria, experimental cultures, and captured LMRs under Fisheries care
	NE Fisheries Science Ctr	7			
	SE Regional Office	3			
	SE Fisheries Science Ctr	2			
	NW Regional Office	9			
	NW Fisheries Science Ctr	15			
	SW Regional Office	2			
	SW Fisheries Science Ctr	4			
	Alaska Regional Office	2			
	Alaska Fisheries Science Ctr	12			
	Pacific Islands Regional Office	1			
	Pacific Islands Fisheries Science Center	4			
National Marine Fisheries Service		2	3	NOAA	Loan Servicing and Protection of Insured Property: Protection of collateral that is underwriting a Federal loan portfolio of some \$400 million
Office of Marine and Aviation Operations		18	2	NOAA	Pisces: Ship Operations/Personnel for NRDA Deepwater Horizon Response and Recovery activities
Office of Marine and Aviation Operations		20	2	NOAA	McArthur II: Ship Operations/Personnel for NRDA Deepwater Horizon Response and Recovery activities
Office of Marine and Aviation Operations		315	4		EMPLOYEES EXEMPTED BY LEGISLATION -NOAA Corps Officers*
Office of Marine and Aviation Operations		16	4		EMPLOYEES EXEMPTED BY LEGISLATION -US Public Health Service Officers*
Office of Marine and Aviation Operations		17	3	NOAA	Ka'imimoana: Ship Operations/Personnel at Sea (Wage Marine and CAPS) necessary to service TAO Array. TAO array is the in-situ operational observing network used to detect changes in ocean temperatures affecting the ENSO

Office	Duty Station	# of Employees	Exception	Bureau	Narrative
					cycle - used by NWS's NCEP through seasonal climate forecasts to predict onset and decay of El-Nino and La-Nina climate conditions.
Office of Marine and Aviation Operations		7	3	NOAA	Winter Storms Project (GIV Mission). Upper air observations in the north Pacific conducted by the GIV aircraft have demonstrated improvements to operational weather forecasts affecting North America. An interruption in the mission would degrade the accuracy of North American weather forecasts, especially forecasted placement of the jet stream which affects storm formation.
Office of Marine and Aviation Operations		3	3	NOAA	NOHRSC Snow Survey Project (Jetprop / Shrike Missions). The snow survey projects using Jetprop and Shrike aircraft measure the depth and extent of north American snowpack using gamma ray technology. These observations are critical inputs to NWS' hydrologic forecast models, specifically capturing volume of potential snow-melt runoff affecting river and flood forecasts and warnings nationwide.
Office of Marine and Aviation Operations		3	3	NOAA	Repair of Gulf Stream IV plane for 2011 hurricane season
Office of Marine and Aviation Operations	Marine Operations Center Atlantic, Pacific and Ketchikan	6	3	NOAA	Staff is necessary to protect and maintain NOAA's fleet. NOAA vessels are government assets valued in the hundreds of millions of dollars that must be secured and protected to avoid risk of damage or theft, and prevent their future use.
Office of Marine and Aviation Operations	Norfolk, VA	6	3	NOAA	NOAA Ships in Homeport to provide security and basic services while ship is in port. Staff is necessary to protect and maintain NOAA's fleet. NOAA vessels are government assets valued in the hundreds of millions \$ that must be protected to avoid risk of damage, theft, and/or deterioration that would create additional liabilities for the Government and prevent their future use.
	Charleston, SC	11			
	Seattle, WA	27			
	Pascagoula, MS	14			
	Woods Hole, MA	6			
	Honolulu, HI	13			
	Newport, RI	6			
San Francisco, CA	6				
Office of Marine and Aviation Operations		2	3	NOAA	Shore-side support necessary for the continued operation and maintenance of operational vessels assigned to conduct the excepted (PMEF) projects listed above. Ship provisioning, supplies, spare parts for ships underway to support 24X7 operations.
Office of Marine and Aviation Operations		1	3	NOAA	IT employee at marine operations center to keep essential servers and C12email service available for use by ships at sea and exempted employees in support of 24X7 operations. Operational IT systems must be continuously monitored to be Federal Information Security Management Act (FISMA) compliant; preventing IT security breaches.
National Ocean Service		26	2	NOAA	(NOS/ORR) Maintain time critical Deepwater Horizon Natural Resource Damage Assessment (NRDA) activities that are necessary to build case around the largest oil spill in US history. Failure to sustain these activities will impact case progress and ability to collect essential data to support case
National Ocean Service		2	2	NOAA	(NOS/ORR) IT support to time critical Deepwater Horizon communications - maintain IT communications while including management of servers, backups, secure FTP site and storage necessary to support time critical Response and NRDA activities
National Ocean Service		1	2	NOAA	(NOS/ONMS) Maintain current Deepwater Horizon Response

Office	Duty Station	# of Employees	Exception	Bureau	Narrative
					activities including Shoreline Cleanup and Assessment (SCAT) teams
National Ocean Service		1	2	NOAA	(NOS/ORR) Maintain essential Environmental Health and Safety Support for DWH Response/NRDA activities. It is imperative to maintain a safe work environment while gathering potentially hazardous material for analysis
National Ocean Service		1	2	NOAA	(NOS/ORR) Coordination and management of ongoing construction and outfitting of Gulf of Mexico Disaster Response Center. Outfitting material has been delivered and is ready for installation. Failure to proceed with outfitting Disaster Response Center will substantially delay occupancy and impair staff moves. [No-year PAC money]
National Ocean Service		37	2	NOAA	(NOS/NGS) Conduct critical geodetic positioning activities necessary to maintain public transportation safety --FAA and national airline safety depend on accurate geodetic positioning work. FAA Reimbursable (currently funded with carryover funds, are able to operate until funds expended. [Activities of these excepted personnel are fully funded under reimbursable funds that would continue during a lapse in appropriations.]
National Ocean Service		1	2	NOAA	(NOS/ORR) Travel support to return scientists on travel to duty station as well as support DWH Response/NRDA (Activity funded under reimbursable funds that would continue during a lapse in appropriations.)
National Ocean Service		13	3	NOAA	(NOS/NGS) Geopositioning services necessary to maintain public safety, transportation, and protection of Nation's critical infrastructure. Services include management of a network of Continuously Operating Reference Stations (CORS), maintain the Global Navigation Satellite System (GNSS) and support overall global positioning activities essential to support public transportation and safety. The Global Navigation Satellite System (GNSS) data supports three dimensional positioning, meteorology, space weather, and geophysical applications throughout the United States, its territories, and a few foreign countries.
National Ocean Service		51	3	NOAA	(NOS/COOPS) Maintain real-time and essential data needed for safe navigation of ships entering US ports. Without such data, shipping will be put at risk because limited channel depths and dredging backlogs have many large vessels pushing draft safety limits. The lack of real-time data regarding water level, wind, visibility and other critical data needed to allow ships safe enter US ports will put these vessels at risk, and increase the imminent threat to property loss/damage.
National Ocean Service		15	3	NOAA	(NOS/ORR) Maintain Deepwater Horizon response activities that are essential for collecting critical and perishable data needed to have an effective response. [Partially Funded Reimbursable Activity] The Deepwater Horizon spill was the largest in US history. The federal government's Deepwater response activities have not concluded and work must continue on the event without interruption in order to gather injury data that affects living marine resources, transportation,

Office	Duty Station	# of Employees	Exception	Bureau	Narrative
					commercial activities throughout the Gulf Coast; required to protect the government property and compensation rights.
National Ocean Service		40	3	NOAA	(NOS/OCS) Maintain safe navigation of ships in US (Exclusive Economic Zone) waterways by providing critical Nautical Chart Updates (dangers to navigation) including emergency response teams to identify maritime hazards to shipping/transportation and human life. This time-critical data is supplied to the USCG and NGA and is essential to support a safe Marine Transportation System (MTS) in US waters, and prevent imminent threats of loss or damage to commercial shipping.
National Ocean Service		2	3	NOAA	(NOS/NCCOS) Maintenance of the NOAA Operational Harmful Algal Bloom Forecast System (HAB-FS). The NCCOS HAB-FS group processes & analyzes satellite imagery daily to locate harmful algal blooms in support of state health and resource departments. HABs present risks to human health and fisheries, and currently NCCOS is assisting Ohio, Maryland, Virginia, Florida, and Texas in finding blooms, as well as helping other states with unexpected blooms.
National Ocean Service		10	3	NOAA	(NOS/ONMS) Protection of living marine resources at national sanctuary, including operation of sanctuary enforcement patrols, critical to public safety and protection at Florida Keys NMS. The Florida Keys sanctuary is near one of the most populated and heavily trafficked areas for a sanctuary; failure to conduct this ongoing enforcement and protection activity increases the threat to human safety and property (including marine resources).
National Ocean Service	NNCOS Charleston, SC Lab	6	3	NOAA	(NOS/NCCOS) Protects key science and research studies whose complete termination under a shutdown would result in loss of essential scientific data (CCEHBR, HML, CCFHR, and COL): 4 of the NCCOS Laboratories have LIVE ANIMAL holding facilities, 1 is listed as a BSL-3 Facility (this level is applicable to clinical, diagnostic, teaching, research, or production facilities in which work is done with indigenous or exotic agents which may cause serious or potentially lethal disease after inhalation), and one is contains a powerful Nuclear Magnetic Resonance (NMR) Imager that requires onsite storage and usage of stable radio-isotopes.
	Second Charleston, SC Lab	4			
	Oxford, MD Lab	5			
	Beaufort, NC Lab	2			
	Katsitna Bay Lab	7			
National Ocean Service		26	3	NOAA	Japan Tsunami Response and Impact Management: Ongoing emergency response and monitoring activities critical to support the US Government's response to the Japan tsunami, including plume modeling, impact on oceans and fisheries, and ongoing impact to both the Japanese and potential impact on US resources. NOAA is designated the lead agency for ocean and plume modeling of radioactive material from the Fukushima nuclear power plant.
National Weather Service	Eastern Region	654	3	NOAA	Providing the Nation with climate, water, weather forecasts and warnings to protect life and property. All staff in the WFOs, RFCs, WSOs, DCOs, CWSUs and Tsunami Warning Centers are required to perform excepted activities. These offices operate on a 24x7 schedule to provide forecasts, warnings data and critical expertise. The staff is comprised of
	Southern Region	925	3	NOAA	
	Central Region	969	3	NOAA	
	Western Region	692	3	NOAA	
	Alaska	216	3	NOAA	
	Pacific Region	120	3	NOAA	

Office	Duty Station	# of Employees	Exception	Bureau	Narrative
	NCEP National Center	298	3	NOAA	Meteorologists, Hydrologists, Geophysicists, Meteorological Technicians, Electronic Technicians, IT Specialists, and Administrative Support Assistants (ASAs), who provide these excepted services. Logistics support provided by the ASAs is necessary to complete the full complement of services needed for these offices to issue timely forecasts and warnings.
National Weather Service		2	3	NOAA	Providing critical hydrometeorological support and services to NWS field offices for their localized forecasts through the Hydrometeorological Automated Data System (HADS) and the Community Hydrologic Prediction System (CHPS).
National Weather Service		4	3	NOAA	Providing remotely-sensed and modeled hydrology products from the National Operational Hydrologic Remote Sensing Center (NOHRSC) for the coterminous U.S. and Alaska for the protection of life and property. The NOHRSC produces snow products and information that include estimates of: snow water equivalent, snow depth, snow pack temperatures, snow sublimation, snow evaporation, and estimates of blowing snow.
National Weather Service		7	3	NOAA	Providing critical, 24x7 support for Weather Forecast Office and River Forecast Office hydrologic forecast/warning generation and dissemination applications and the AHPS web pages to ensure the continuity of NWS forecast and warning operations.
National Weather Service		82	3	NOAA	Ten (10) excepted employees provide 24/7 operational support to the NWS Telecommunications Gateway (NWSTG) that is an integral component for the collection and distribution of weather data and products necessary to protect the safety of human life and property. The NWSTG provides national and global real-time exchange services using automated communications resources to collect and distribute a wide variety of environmental data such as observations, analysis and forecast products
National Weather Service		30	3	NOAA	Provides critical 24/7 operational support via the Radar Operations Center (ROC) for the Nation's network of early warning weather NEXRAD Weather surveillance radars including support for DOD and FAA Network radars; required to support weather forecast and severe weather events prediction, and to support safe commercial aircraft and military operations.
National Weather Service		8	3	NOAA	Operates and maintains the National Data Bouy Network which provides to NWS forecasters and NCEP modelers, real-time meteorological/environmental data in the open ocean and coastal zones surrounding the United States.
National Weather Service		3	3	NOAA	Provide critical, 24x7 operations support for weather information concerning situations that pose imminent threats to life and property and potential environmental hazards to Emergency Managers and national leadership. Coordinates with subject matter experts at NWS Weather Forecast Offices (WFOs), River Forecast Centers (RFCs), Center Weather Service Units (CWSUs), and National Centers to provide weather information critical to protect the safety of human life

Office	Duty Station	# of Employees	Exception	Bureau	Narrative
					and property and to managed events potentially posing imminent threats to life and property to FEMA and national level emergency managers.
National Weather Service		6	3	NOAA	Japan Tsunami Response and Impact Management: Ongoing emergency response and monitoring activities critical to support the US Government's response to the Japan tsunami, including plume modeling, impact on oceans and fisheries, and ongoing impact to both the Japanese and potential impact on US resources. NOAA is designated the lead agency for ocean and plume modeling of radioactive material from the Fukushima nuclear power plant.
TOTAL		5709			

4.2.12.3 NOAA Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Internet
- Network

4.2.13 National Telecommunications and Information Administration (NTIA)

4.2.13.1 NTIA Orderly Shutdown Needs

Position	Duty Station	# of Employees	Time Needed	Justification
CFO	Washington, DC	1	2 days	Financial issues
Management Specialist	Washington, DC	1	2 days	Employee questions
Attorney Advisor	Washington, DC	1	2 days	Legal questions
Senior Advisor	Washington, DC	1	2 days	Financial issues
	Total	4		

4.2.13.2 NTIA Excepted Positions

Key for justification of exceptions:

1 = Employees engaged in military, law enforcement, or direct provision of health care activities

2 = Financed by other than FY11 appropriations

3 = Necessary to protect the safety of human life or the protection of property

4 = Authorized by law

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Assistant Secretary	Washington, DC	1	PAS	NTIA			PAS
Domestic Spectrum Manager	Washington, DC	1	3	NTIA			Emergency protection of spectrum management
Supervisory Telecomm. Specialist	Washington, DC	1	3	NTIA			Emergency protection of spectrum management
Telecomm. Policy Specialist	Washington, DC	1	3	NTIA			Emergency protection of Internet Management (ICANN)
	Total	4					

4.2.13.3 NTIA Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Internet
- Network

4.2.14 National Institute of Standards and Technology (NIST)

4.2.14.1 NIST Orderly Shutdown Needs

Position	Duty Station	# of Employees	Time Needed	Justification
Construction Representative	Gaithersburg, MD	2	1 day	To allow for construction project sites to be left in an acceptable, safe and secure manner.
General Engineer	Gaithersburg, MD	1	1 day	
Contracting Officer	Gaithersburg, MD	6	1 day	To ensure that all stop work orders and suspension notices are given to contractors as needed. The list of contract analysis cannot be determined by the date of this request. The AMD management team will have to send all of the contract notices via electronic means in order for the contractors to receive the stop work order notices timely so they do not incur cost immediately after the shutdown. One or two AMD staff members may need to be available after the 8 hour day if contractors are involved in the orderly shutdown lasting longer than one day. (Reactor or Construction).
Contracting Officer	Boulder, CO	1	1 day	To ensure that all stop work orders and suspension notices are given to contractors as needed. The list of contract analysis cannot be determined by the date of this request. The AMD management team will have to send all of the contract notices via electronic means in order for the contractors to receive the stop work order notices timely so they do not incur cost immediately after the shutdown. One or two AMD staff members may need to be available after the 8 hour day if contractors are involved in the orderly shutdown lasting longer than one day. (Construction).
Grants Specialist	Gaithersburg, MD	3	2 days	To send official notifications to Grantees where Guest Researchers, Postdocs, etc., are supported through grants and cooperative agreements who utilize NIST campus facilities.
4 HR Specialists (201) 1 HR Assist (203)	Boulder, CO	5	1 day	Manual Issuance of Furlough letters
1 SES 3 Supervisory HR Specialists 9 HR Specialists (201) 7 HR Assistants (203)	Gaithersburg, MD	20	1 day	
Physicist	Gaithersburg, MD	6	1 day	Complex cryogenic equipment must be brought to room temperature slowly to avoid serious damage to unique instrumentation and to avoid hazardous conditions associated with large volumes of liquid helium.
Physicist	Gaithersburg, MD	4	14 days	Need to periodically check liquid helium cryogenic systems during shutdown, about 1 hr/day ; complete shutdown requires 2 weeks; anything less risks permanent damage to costly instrumentation.
Physicist	Gaithersburg, MD	10	7 days	Need to periodically check LN ₂ cooled ultra high vacuum systems during shutdown, about 1hr/day; complete shutdown requires 1 week; anything less risks damage to costly equipment.
Physicist	Boulder, CO	7	1 day	Boulder clean room and nanofab needs one day to put system into "standby" or "sleep" mode.
	Total	65		

4.2.14.2 NIST Excepted Positions

The National Institute for Standards and Technology will keep minimal staff in an excepted status. Those that will continue to work in the event of a lapse in funding include personnel to:

- Ensure the safety and security of the NIST campuses in Gaithersburg, MD and Boulder, CO;
- Ensure appropriate monitoring and maintenance of the nuclear reactor and other critical research equipment that require specialized shutdown monitoring or that must be kept in an operational status even if not in use to avoid contamination or system failure;
- Ensure operation of the national timing and synchronization infrastructure as well as the National Vulnerability Database;

- Maintain irreplaceable biological cell lines;
- Conduct research or operations funded by non-expiring appropriations or fees; and,
- Maintain the NIST facility infrastructure including those with specialized environmental specifications.

Key for justification of exceptions:

1 = Employees engaged in military, law enforcement, or direct provision of health care activities

2 = Financed by other than FY11 appropriations

3 = Necessary to protect the safety of human life or the protection of property

4 = Authorized by law

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
NIST Director	Gaithersburg, MD	1	PAS	NIST	DO (100)		PAS- Leadership/Management of Bureau
Associate Director of Management & Resources	Gaithersburg, MD	1	3	NIST	ADMR (130)		Overall NIST Shutdown Coordinator and Gaithersburg Facilities Manager
Boulder Labs Site Manager	Boulder, CO	1	3	NIST	OBSM (131)		Senior DOC employee responsible for the safety, security and stewardship of the Department of Commerce Boulder Labs. Primary DOC Point of Contact with the community, Private and Public Sector.
Environmental Engineer	Gaithersburg, MD	1	3	NIST	OSHE (150)		1 HOUR PER WEEK Weekly inspections of hazardous waste storage facility as required by the U.S EPA and the Maryland Department of the Environment for the purpose of protecting life and property; hazardous waste by its nature is hazardous to both human health and the environment; in addition, it can undergo chemical reactions, generate heat and pressure, etc.
Environmental Engineer	Gaithersburg, MD	1	3	NIST	OSHE (150)		8 Hours in mid March Oversight of contractor in effecting scheduled shipment of stored hazardous waste offsite as required by the U.S EPA and the Maryland Department of the Environment for the purpose of protecting life and property; contract funded using FY 2010 funds
Environmental Engineer	Boulder, CO	1	3	NIST	OSHE (150)		1 Hour Per Week Weekly inspections of hazardous waste storage facility as required by the U.S EPA and the Colorado Department of Public Health and Environment for the purpose of protecting life and property
Environmental Engineer	Boulder, CO	1	3	NIST	OSHE (150)		Weekly inspections of hazardous waste satellite accumulation areas as required by the Colorado Department of Public Health and Environment for the purpose of protecting life and property
Contracting Officer	Gaithersburg, MD	1	3	NIST	OFRM - AMD (160)		During the shutdown where we have major contracts continuing on an emergency basis a warranted contracting officer will be required to work. Bureau Procurement Official (BPO) will also serve as the Competition Advocate as necessary.
HR Specialist for NTIS	Alexandria, VA	2	2	NIST	OWM (170)		NTIS - continued operations
Supervisory IT Specialist	Gaithersburg, MD	1	3	NIST	OISM Mgmt (180)		Supervisory functions for continuing IT operations.
Rotating 3 staff:	Gaithersburg, MD	3	3	NIST	OISM (181)		Monitoring NIST networks for intrusions. This is

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative		
IT Specialist	Boulder, CO						required to protect NIST networks, systems, and information and is necessary since NIST is leaving networks and systems running during a potential government shutdown. Please note 3 staff (in Gaithersburg and Boulder) members will rotate for this function.		
Supervisory IT Specialist Computer Assistant	Gaithersburg, MD	1	3	NIST	OISM (182)		iTAC, password resets and account management for staff on campus if there is a prolonged closure.		
Supervisory IT Specialist	Gaithersburg, MD	1	3	NIST	OISM (184)		Storage Area Network/Central File Services Administrator (Gburg)		
Computer Scientist IT Specialist	Gaithersburg, MD	2	3	NIST	OISM (184)		(2) Messaging System Administrators - Gburg		
IT Specialist	Gaithersburg, MD	1	3	NIST	OISM (184)		MS SQL DB Administrator/NVD Website Administrator - Gburg		
IT Spec-2210	Gaithersburg, MD	1	2	NIST	OISM (184)		Support of the NVLAP program (see line 80 below).		
IT Specialist	Boulder, CO	1	3	NIST	OISM (184)		Central File Services Administrator - Boulder		
Police Chief	Gaithersburg, MD	1	3	NIST	OFPM (190)		NIST Police - Provide for security and safety of personnel and property at NIST sites (Gaithersburg and Boulder). Police will staff one gate at each site for entry of essential staff; patrol the sites and buildings; manage dispatch; monitor alarm systems; monitor NCNR in Gaithersburg; monitor external security information; respond to emergencies. Three (3) shifts in each location.		
Canine Officer	Gaithersburg, MD	1		NIST	OFPM (190)				
Police - Lieutenant	Gaithersburg, MD	4		NIST	OFPM (190)				
Police Officer	Gaithersburg, MD	23		NIST	OFPM (190)				
Police Chief	Boulder, CO	1		NIST	OFPM (190)				
Police - Lieutenant	Boulder, CO	3		NIST	OFPM (190)				
Police Officer	Boulder, CO	7		NIST	OFPM (190)				
Firefighter - Captain	Gaithersburg, MD	2		3	NIST	OFPM (190)			NIST Fire Department - Provide fire, emergency and medical response at the Gaithersburg site. Two (2) shifts.
Firefighter	Gaithersburg, MD	12			NIST	OFPM (190)			
Central Plant Shift Supervisor	Gaithersburg, MD	5	3	NIST	OFPM (190)		Operate the Central Plant in Gaithersburg; provide necessary utilities to maintain adequate temperatures in the buildings to protect valuable government assets, incl. buildings, laboratory equipment and research materials. Five (5) shifts.		
Utility Systems Repair Operators	Gaithersburg, MD	10		NIST	OFPM (190)				
Maintenance Mechanic	Gaithersburg, MD	1		NIST	OFPM (190)				
Supervisory General Engineer	Gaithersburg, MD	1	3	NIST	OFPM (190)		Maintain the Gaithersburg building systems (mechanical, electrical including distribution, and plumbing) to prevent damage, failure or deterioration of NIST buildings, support systems and equipment. Perform daily servicing for specialty systems. Maintain electronic security, life safety and building management systems. Continually monitor systems and equipment; make necessary repairs; and respond to facility emergencies.		
HVAC Mechanic	Gaithersburg, MD	2		NIST	OFPM (190)				
HVAC Shop Supervisor	Gaithersburg, MD	1		NIST	OFPM (190)				
Engineering Technician (DDC)	Gaithersburg, MD	2		NIST	OFPM (190)				
Maintenance Mechanic (Electrical / High Voltage)	Gaithersburg, MD	2		NIST	OFPM (190)				
High Voltage Mechanic	Gaithersburg, MD	1		NIST	OFPM (190)				
Teletronics Mechanic	Gaithersburg, MD	1		NIST	OFPM (190)				
Pipefitter	Gaithersburg, MD	2		NIST	OFPM (190)				
Maintenance Mechanic Worker	Gaithersburg, MD	1		NIST	OFPM (190)				
Electrician	Gaithersburg, MD	1		NIST	OFPM (190)				
Custodial Worker Supervisor	Gaithersburg, MD	1	3	NIST	OFPM (190)		Maintain sanitary conditions in areas being utilized by staff on the Gaithersburg site (1/2 day twice a week).		
Custodial Worker	Gaithersburg, MD	1		NIST	OFPM (190)				
Supervisory General Engineer	Boulder, CO	1	3	NIST	OFPM (190)		Operate the Central Plant in Boulder; provide necessary utilities to maintain adequate temperatures in the buildings to protect valuable government assets, incl. buildings, laboratory equipment and research materials. Maintain the Boulder building systems (mechanical, electrical including distribution, and		
Electrician	Boulder, CO	1		NIST	OFPM (190)				
Supervisory Maintenance Mechanic	Boulder, CO	1		NIST	OFPM (190)				
Utility System Repair Operator	Boulder, CO	1		NIST	OFPM (190)				
Planner / Utility System Operator	Boulder, CO	1		NIST	OFPM (190)				
Electronic Mechanic	Boulder, CO	1		NIST	OFPM (190)				

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
							plumbing) to prevent damage, failure or deterioration of NIST buildings, support systems and equipment. Perform daily servicing for specialty systems. Maintain electronic security, life safety and building management systems. Continually monitor systems and equipment; make necessary repairs; and respond to facility emergencies.
Project Manager	Boulder, CO	1	2	NIST	OFPM (190)		Minimal Government staff necessary to oversee 16 exterior construction projects, which will continue on the Gaithersburg and Boulder sites, and 24 construction grant projects continuing throughout the country. All of these projects were awarded prior to the start of FY 2011 using either ARRA or CRF funds. The project support staff are funded with prior year funds.
Mechanical Engineer	Boulder, CO	1		NIST	OFPM (190)		
Planner Estimator	Boulder, CO	1		NIST	OFPM (190)		
Architect	Boulder, CO	1		NIST	OFPM (190)		
Engineering Technician	Boulder, CO	1		NIST	OFPM (190)		
Construction Representative	Boulder, CO	2		NIST	OFPM (190)		
General Engineer (COTR)	Gaithersburg, MD	2		NIST	OFPM (190)		
Construction Representative	Gaithersburg, MD	4		NIST	OFPM (190)		
Mechanical Engineer (COTR)	Gaithersburg, MD	2		NIST	OFPM (190)		
Construction Grant Federal Program Officer	Gaithersburg, MD	1		NIST	OFPM (190)		
Chief Facilities Management Officer	Gaithersburg, MD	1	3	NIST	OFPM (190)		Oversee facility and security operations at the NIST sites; monitor site activities and emergencies; make decisions on need for closures or changes to construction, facility and security operations; call in additional staff as necessary to deal with unexpected events.
Nuclear Engineering Technician	Gaithersburg, MD	19	3	NIST	NCNR (610)		Reactor operators required for shutting down the reactor, monitoring the plant during cooldown, maintaining a presence on site while government contractors are working on construction on the building 235 site (exterior to the building) and responding to possible unforeseen circumstances related to the construction, and performing equipment repairs due to unforeseen circumstances related to reactor operations as necessary.
Supervisory Physical Scientist	Gaithersburg, MD	1	3	NIST	CNST (620)		Within CNST are several laboratories including the NanoFab with critical tools and infrastructure that need to be monitored by someone who would know how to recognize and respond to an emergency or critical tool malfunction that presents a serious safety hazard (including toxic gases) or risk of major damage to the facility infrastructure. There may also be emergency situations where internal or external researchers need to retrieve valuable materials from within laboratory space that can only be accessed by authorized personnel.
Physical Scientist Research Chemist	Gaithersburg, MD Boulder, CO	3	3	NIST	MML (630)		Cell lines in Gaithersburg and Boulder must be maintained in order to carry out mission related work. Staff in three MML Divisions would need to check on cell lines every 2 to 4 days
Research Chemist	Gaithersburg, MD Charleston, SC	3	3	NIST	MML (630)		NMRs in Holings Marine Laboratory, Buildings 224 and 227 in Gaithersburg. Cryogenic fluids need to

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
							maintained in the equipment weekly. If cryogenes are not maintained, the equipment could have major repair costs of \$300K - \$3M
Physical Scientist Technician, Supervisory Physical Scientist Research Chemist Biologist	Gaithersburg, MD Charleston, SC	4	3	NIST	MML (630)		Failure of refrigeration equipment or depletion of cryogenic fluids risks the loss of irreplaceable samples and hundreds of thousands of dollars worth of SRMs. SRMS represent national artifact-based standards for chemical, biological and material science. Samples in the Specimen Bank are used to allow critical retrospective analyses for assessing environment.
Physicist	Gaithersburg, MD	3	3	NIST	PML (680)		1 Hour Per Day Health & Safety: Operation must continue to avoid risk of either biological or chemical contamination of laboratories and equipment in the event of a system failure or if cell incubations are not regularly refreshed and maintained; operations would require about 1 hr/day for maintenance in case of shutdown.
Physicist	Boulder, CO	15	3	NIST	PML (680)		All 15 people for one day, every 3rd day. NIST time and frequency operations in Boulder, Ft. Collins, and Kauai are required to continue for reasons of national security (universal time coordination), national economy (e.g. Security Exchange Commission requirements), and national timing and synchronization infrastructure (e.g. millions of radio-controlled clocks).
Physicist	Boulder, CO	7	3	NIST	PML (680)		1 staff member for 2 hours twice a week cleanroom, nanofacility and MBE facility in Boulder can be shutdown in one day, but if air handling and cooling systems were to fail during shutdown, emergency access would be required to prevent major damage to multi-million dollar facility.
Physicist	Gaithersburg, MD	6	3	NIST	PML (680)		2 staff members for 2 hours twice a week. Important primary standards (electrical, length, and flow) cannot be replaced if equipment is damaged by loss of power, temperature, and humidity controls. Systems must function 24/7. Emergency access would be required in case of system failure.
Physicist	Gaithersburg, MD	1	3	NIST	PML (680)		1 staff member for one hour per day. Emergency access required in case of systematic support failures or disruptions, e.g. power and airflow failures; otherwise the servo system controlling the neutron interferometer system would fail and cause major damage (millions of dollars).
General Engineer (1) Physical Scientist (5) Op Rsrch Anlyst (1) Admin Spec (2) Admin Supp Asst (4)		13	2	NIST	PML (680)		The NIST National Voluntary Laboratory Accreditation Program (NVLAP) is fully supported by user-fees. Customers pay for NVLAP services in advance. NVLAP accredits over 700 laboratories annually. About 100 laboratories are scheduled for accreditation services in March.
Computer Scientist Phys Scientist	Gaithersburg, MD	3	2	NIST	ITL (770)		Continue efforts in health IT standards and testing using ARRA funds.
Computer Scientist IT Specialist	Gaithersburg, MD	2	2 & 3	NIST	ITL (773)		National Vulnerability Database (NVD) -- dependent on NIST e-mail & web servers being up & running

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Computer Scientist IT Specialist Information Specialist Electronics Engineer	Gaithersburg, MD	22	2	NIST	ITL (775)		OA (FY10); ARRA (FY09) funded -- individuals will be working on DHS, NSRL, CFTT, ARRA, and Semate projects
	Total	231					

4.2.14.3 NIST Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Internet
- Network

4.2.15 National Technical Information Service (NTIS)

4.2.15.1 NTIS Orderly Shutdown Needs

NTIS will remain fully operational during the shutdown (see section below) and will not require any personnel to conduct shutdown processes because NTIS operates totally on earned revenues generated from sales of products and services.

4.2.15.2 NTIS Excepted Positions

Key for justification of exceptions:

1 = Employees engaged in military, law enforcement, or direct provision of health care activities

2 = Financed by other than FY11 appropriations

3 = Necessary to protect the safety of human life or the protection of property

4 = Authorized by law (e.g., national security)

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Management Analyst	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Accountant	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Director	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Electronic Document	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Program Analyst	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Inventory Management Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Electronic Document	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Supervisor, Customer Service	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Materials Handler	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Technical Information Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Technical Information Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Lead, Supply Technician	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Accounting Technician	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Motor Vehicle Operator	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Accounting Technician	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Library Technician	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Library Technician	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Technical Information Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Administrator	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Electronic Document	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Program Analyst	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Supervisor, IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Budget Analyst	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Supervisor, Materials Handler	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Clerk	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Technical Information Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Supervisor, Business &	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Supervisor, IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Accounting Technician	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Materials Handler,	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Clerk	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Accountant	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Technical Information Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Production Analyst	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist (SysAdmin)	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Accounting Officer	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Support Services Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Program Analyst	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Program Analyst	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Technical Information Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Program Analyst	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Supervisor, IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Budget Analyst	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Library Technician	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Budget Analyst	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Senior Policy Analyst,	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist (SysAdmin)	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist (SysAdmin)	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist (APPSW)	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Lead, Inventory Management	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Supervisor, Accountant	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Product Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Supervisor, IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Accountant	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Supervisor, IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Materials Handler,	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Supervisor, Accountant	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Accountant	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Supervisor, IT Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Manager, Distribution Facilities	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Lead, Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Lead, Electronic	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Technical Information Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Library Technician	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist (INET)	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist (INFOSEC)	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Materials Handler,	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Library Technician	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Program Analyst	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist (INFOSEC)	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Business & Industry Specialist	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
IT Specialist (SysAdmin)	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Customer Service Rep	Alexandria, VA	1	2	NTIS			Non-Appropriated Agency
Total		114					

4.2.15.3 NTIS Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Internet

- Network

4.2.16 US Patent and Trademark Office (USPTO)

4.2.16.1 USPTO Orderly Shutdown Needs

Position	Duty Station	# of Employees	Time Needed	Justification
Human Resource Specialist	Alexandria, VA	1	1.5 days	Assisting with shut down of staffing and recruitment operations (placing notices on open vacancy announcements, answering public questions, processing time and attendance records, etc.).
Human Resource Specialist	Alexandria, VA	1	2 Full Days & 2 half days	Process Furlough NOA actions to NFC -- days must be sequential due to pay process. Time may flex based upon errors
Human Resource Specialist	Alexandria, VA	1	2 Full Days & 2 half days	Process Furlough NOA actions to NFC -- Process notifications as needed
Human Resource Specialist	Alexandria, VA	1	1 days	Place notices on Patent Experience Extern Program vacancy announcement, certify time,, respond to inquiries and place an auto-reply on DetroitHiring@USPTO.gov and the Recruitment@USPTO.gov email box, place voicemail out of office on EHB and Outreach 800 lines
Human Resource Specialist	Alexandria, VA	1	2.5 days	Time & Attendance transmission for the week ending PP04 & the transmission of T&A's for the 1st week of PP05
Human Resource Specialist	Alexandria, VA	1	1.5 days	Time & Attendance transmission & Suspense Resolution for the week ending PP04 & the transmission of T&A's for the 1st week of PP05
Admin Mgmt Specialist	Alexandria, VA	1	2 days	Cancel oral arguments, send out notices to counsel
Human Resource Specialist	Alexandria, VA	1	.5 days	Issue Broadcast Furlough Notice – Senior Management Oversight OHR Functions
	Total	7		

4.2.16.2 USPTO Excepted Positions

The USPTO has sufficient funds from other than FY11 appropriations to continue full operations for six days. Therefore, all 10,363 employees of the USPTO will be excepted for up to six days following a lapse in appropriations. After this six day period, the USPTO will execute the plan as described below.

The designated employees will ensure the functionality of processes and systems minimally necessary for the preservation of patent rights, to allow compliance with statutory provisions that cannot be waived. For example, under 35 USC 184, an applicant may file an application in a foreign country (i.e., has a license to file in a foreign country) six months after filing an application with the USPTO or by obtaining an express foreign filing license. If the USPTO is notified by a defense agency that disclosure of the invention would be detrimental to the national security, the USPTO issues a secrecy order and the applicant may not file an application disclosing the invention in a foreign country. The USPTO will need staff to process any notification from a defense agency that disclosure of an application would be detrimental to the national security and issue a secrecy order within the six-month time period to avoid the applicant having a license to file such an application in a foreign country. Also, applicants may need to obtain an express filing license under 35 USC 184 to be able to file an application in a foreign country where there is no US counterpart application or the applicant must file prior to the expiration of the six-month period to avoid being barred from obtaining a patent due to the laws of the foreign jurisdiction. A "shut-down" at the USPTO will not excuse the any time period for a foreign filing. The USPTO will need staff to process any request for a foreign filing license to avoid a loss of patent rights for such applicants.

The designated employees will ensure the functionality of processes and systems minimally necessary for the preservation of trademark rights, to allow compliance with statutory provisions that cannot be waived. For example, under 15 U.S.C. §1051(d), intent-to-use applicants must file statements of use within 36 months of the notice of allowance, and an inability to do so would result in the abandonment of the application, and thus the loss of any claim of priority over junior users based on the application filing date. The 36-month period cannot be extended. Also for example, 15 U.S.C. §44(d) implements the Paris Convention treaty, providing a right of priority in the United States based on a foreign application, but only where the U.S. application is filed within six months from the date of the foreign application. The six-month deadline for filing in the U.S. cannot be extended, and priority rights could therefore be lost if the USPTO could not accept these applications. In addition, the Madrid Protocol treaty and its implementing legislation, 15 U.S.C. §§1141-1141n, provide a right of priority through international registration, the application for which must be certified to the International Bureau by the USPTO, and impose certain obligations on the USPTO that involve non-waivable deadlines. The designated employees would facilitate the USPTO's ability to certify international applications to preserve rights of priority and to meet other treaty-related obligations.

Key for justification of exceptions:

- 1 = Employees engaged in military, law enforcement, or direct provision of health care activities
- 2 = Financed by other than FY11 appropriations
- 3 = Necessary to protect the safety of human life or the protection of property
- 4 = Authorized by law

Position	Duty Station	# of Empls	Exception	Bureau	OU	Office	Narrative
U/S and Director	Alexandria, VA	1	PAS	USPTO	OUS		PAS
Chief of Staff	Alexandria, VA	1	3	USPTO	OUS		Administration, coordination, and executive support for Agency Senior Leadership
Chief Administrative Officer	Alexandria, VA	1	3	USPTO	OCAO		Provide agency oversight and coordination for shutdown operations, Human Capital and Emergency operations, and reconstitution operations
Program Analyst	Alexandria, VA	1	3	USPTO	OCAO		USPS will continue to accept mail on a daily basis. In order to keep proper receipt and order to incoming mail, contract staff would perform minimal mail processing activities (e.g. date stamp, sort, etc.). A Federal employee is required to oversee the contract staff. Necessary for the protection of personal property.
Acting Director of Security	Alexandria, VA	1	3	USPTO	OCAO		These Office of Security employees would be necessary during the duration of the shutdown to monitor the contract guard force; physical access and security systems; campus, local and national events for potential impacts to the agency; and ensure the safety of the employees and contractors that remain on campus. They are necessary for the protection of life and property.
Emergency Management Specialist	Alexandria, VA	1					
Senior Security Specialist	Alexandria, VA	1					
Senior Security Specialist	Alexandria, VA	1					
Chief Administrative Patent Judge	Alexandria, VA	1	3	USPTO	BPAI		Ongoing contested cases will need orders signed by a judge and entered to preserve party rights. Contested proceedings proceed on a pre-set schedule independent of USPTO closing, and evidentiary rulings will need to be made in depositions and other discovery proceedings. Emergency motions will need to be decided as time periods between the parties pass. Stay orders will need to be entered and sent out to maintain the status quo of property rights between parties in contested cases as the preset deadlines pass.
Paralegal	Alexandria, VA	1	3	USPTO	BPAI		Ongoing contested cases will need orders signed by a judge and entered to

Position	Duty Station	# of Emplo yees	Exception	Bureau	OU	Office	Narrative
							preserve party rights. Contested proceedings proceed on a pre-set schedule independent of USPTO closing, and evidentiary rulings will need to be made in depositions and other discovery proceedings. Emergency motions will need to be decided as time periods between the parties pass. Stay orders will need to be entered and sent out to maintain the status quo of property rights between parties in contested cases as the preset deadlines pass.
Chief Administrative Trademark Judge	Alexandria, VA	1	3	USPTO	TTAB		Ongoing contested cases will need orders signed by a judge and entered to preserve party rights. Contested proceedings proceed on a pre-set schedule independent of USPTO closing, and evidentiary rulings will need to be made in depositions and other discovery proceedings. Emergency motions will need to be decided as time periods between the parties pass. Stay orders will need to be entered and sent out to maintain the status quo of property rights between parties in contested cases as the preset deadlines pass.
Mgmt & Program Analyst	Alexandria, VA	1	3	USPTO	TTAB		Responsible for ensuring the availability of the functioning electronic system to issue the orders and reset dates. (The electronic filing system, ESTTA, sets many dates, the position has the permission to override the system, as needed, given direction from the Chief Judge and/or Technical Program Manager, as situations arise that require resetting of dates and issuance of orders contrary to what the system may have established
Technical Program Manager	Alexandria, VA	1	3	USPTO	TTAB		Ongoing contested cases will need orders signed by a judge and entered to preserve party rights. Contested proceedings proceed on a pre-set schedule independent of USPTO closing, and evidentiary rulings will need to be made in depositions and other discovery proceedings. Emergency motions will need to be decided as time periods between the parties pass. Stay orders will need to be entered and sent out to maintain the status quo of property rights between parties in contested cases as the preset deadlines pass.
General Counsel	Alexandria, VA	1	3	USPTO	OGC		General Counsel - Advise on the legal implications of a shutdown and continued protection of property - In the event of a lapse in appropriations, the General Counsel's Office will provide ongoing interpretations of law related to a shutdown of the USPTO and the continued protection of USPTO property, IP property, and employees. This office will also advise on the resumption of activities following the shutdown.
Deputy General Counsel/Director	Alexandria, VA	1	3	USPTO	OGC	Ofc of General Law	Deputy General Counsel/Director, Office of General Law - Advise on Government Shutdown - In the event of a lapse in appropriations, the General Counsel's Office and the Office of General Law will provide ongoing interpretations of law related to a shutdown of the USPTO and the continued protection of USPTO property, IP property, and employees. This office will also advise on the resumption of activities following the shutdown.
Senior Level Advisor (Special Counsel for Employment Litigation)	Alexandria, VA	1	3	USPTO	OGC	Ofc of General Law	Senior Level Advisor (Special Counsel for Employment Litigation) - Advise on Government Shutdown - In the event of a lapse in appropriations, the General Counsel's Office and the Office of General Law will provide ongoing interpretations of law related to a shutdown of the USPTO and the continued protection of USPTO property, IP property, and employees. This office will also advise on the resumption of activities following the shutdown.
Deputy General Counsel/Director	Alexandria, VA	1	3	USPTO	OGC	Ofc of Solicitor	Deputy General Counsel/Director, Office of the Solicitor - Advise on Government Shutdown - In the event of a lapse in appropriations, the General Counsel's Office and the Solicitor's Office will provide ongoing interpretations of law related to a shutdown of the USPTO and the

Position	Duty Station	# of Emplo yees	Exception	Bureau	OU	Office	Narrative
							continued protection of USPTO property, IP property, and employees. Specifically, the Solicitor's Office will (1) continue to provide legal advice as needed to protect intellectual property and to comply with the federal mandates during the shutdown, (2) prepare and submit court filings and extension requests as needed prior to and during the shutdown, and (3) prepare for resumption of activities following the shutdown.
Senior Level Advisor (Special Counsel for IP Litigation)	Alexandria, VA	1	3	USPTO	OGC	Ofc of Solicitor	Senior Level Advisor (Special Counsel for IP Litigation), Office of the Solicitor - Advise on Government Shutdown - In the event of a lapse in appropriations, the General Counsel's Office and the Office of the Solicitor will provide ongoing interpretations of law related to a shutdown of the USPTO and the continued protection of USPTO property, IP property, and employees. Specifically, the Solicitor's Office will (1) continue to provide legal advice as needed to protect intellectual property and to comply with the federal mandates during the shutdown, (2) prepare and submit court filings and extension requests as needed during the shutdown, and (3) prepare for resumption of activities following the shutdown.
Chief Financial Officer	Alexandria, VA	1	3	USPTO	OCFO		Perform POC role for Shutdown activities and provide Oversight of excepted functions. Task supports excepted activities of the OCFO
Budget Analyst	Alexandria, VA	1	3	USPTO	OCFO		Analyze budgetary accounts, amounts, fees, and spending. Task supports excepted activities of the OCFO that support mission related excepted functions. Task supports excepted activities of the OCFO that support mission related excepted functions.
Budget Analyst	Alexandria, VA	1	3	USPTO	OCFO		Process budgetary transactions in financial system. Task supports excepted activities of the OCFO that support mission related excepted functions. Task supports excepted activities of the OCFO that support mission related excepted functions.
Contract Specialist	Alexandria, VA	1	3	USPTO	OCFO		Issue delivery/task orders; Modify actions. Perform Contracting Officer's Technical Representatives (COTR) duties, including entering and approving receivers. Task supports excepted activities of the OCFO that support mission related excepted functions.
Contract Specialist	Alexandria, VA	1	3	USPTO	OCFO		Issue delivery/task orders; Modify actions. Perform Contracting Officer's Technical Representatives (COTR) duties, including entering and approving receivers. Task supports excepted activities of the OCFO that support mission related excepted functions.
Financial Systems Analyst	Alexandria, VA	2	3	USPTO	OCFO		Maintain Systems Availability. Task supports excepted activities of the OCFO that support mission related excepted functions.
Accountant	Alexandria, VA	1	3	USPTO	OCFO		Financial Reporting, reconciliation, and maintain minimum requirements for FY 2011 records. Task supports excepted activities of the OCFO that support mission related excepted functions.
Accounting Technician	Alexandria, VA	1	3	USPTO	OCFO		Process Fees: Process incoming maintenance fees. Task supports excepted activities of the OCFO that support mission related excepted functions.
Accountant	Alexandria, VA	1	3	USPTO	OCFO		
Commissioner for Patents	Alexandria, VA	1	3	USPTO	Patent s		Protection of mission critical Intellectual Property and oversight - remain on-site for all foreign activity. Patent Office collects fees for services and has them appropriated back to USPTO through Congress.
Deputy Commissioner for Patents	Alexandria, VA	1	3				
Senior Patent Attorney	Alexandria, VA	1	3				
Associate Commissioner for Patent Information Management	Alexandria, VA	1	3				
Associate Commissioner for Patent Resources and	Alexandria, VA	1	3				

Position	Duty Station	# of Empl yees	Exception	Bureau	OU	Office	Narrative
Planning							
Assistant Deputy Commissioner - Chemical and Design	Alexandria, VA	1	3				
Assistant Deputy Commissioner - Mechanical	Alexandria, VA	1	3				
Assistant Deputy Commissioner - Electrical I	Alexandria, VA	1	3				
Assistant Deputy Commissioner - Electrical II	Alexandria, VA	1	3				
Chief of Staff - Commissioner for Patents/Supervisory Patent Examiner Chemical Engineering	Alexandria, VA	1	3				
Chief of Staff - Deputy Commissioner for Patents/Supervisory Quality Assurance Specialist	Alexandria, VA	1	3				
Supervisory Information Technology Specialist	Alexandria, VA	1	3				
Supervisory Patent IT Program Manager	Alexandria, VA	1	3				
Supervisory IT Specialist	Alexandria, VA	1	3	USPTO	Trade marks		Madrid System Support - Provides technical and IT support for system necessary to meet legal obligations to the public and International treaties.
IT Specialist	Alexandria, VA	1	3	USPTO	Trade marks		Trademark In-House Photocomposition Support TMOG - Provides technical and IT support for system necessary to meet legal obligations to the public and International treaties.
IT Specialist	Alexandria, VA	1	3	USPTO	Trade marks		TRAM System Support and TMOG - Provides technical and IT support for system necessary to meet legal obligations to the public and International treaties.
Supv. Attorney Advisor	Alexandria, VA	1	3	USPTO	Trade marks		Trademark Electronic Filing System - Provides technical and program management for system necessary to meet legal obligations to the public and International treaties.
Attorney Advisor	Alexandria, VA	1	3	USPTO	Trade marks		Madrid Protocol - Provides technical and program management for system necessary to meet legal obligations to the public and International treaties.
Supervisory TM Specialist	Alexandria, VA	1	3	USPTO	Trade marks		Madrid Protocol - Provides technical and program management for system necessary to meet legal obligations to the public and International treaties.
SUPVY ITSPEC (NETWORK)	Alexandria, VA	1	3	USPTO	OCIO		CIO Command Center (C3) - 24x7 Network and security operations center providing event/incident and response management.
ITSPEC (INFOSEC)	Alexandria, VA	1	3	USPTO	OCIO		CIO Command Center (C3) - 24x7 Network and security operations center providing event/incident and response management.
ITSPEC (INFOSEC)	Alexandria, VA	1	3	USPTO	OCIO		CIO Command Center (C3) - 24x7 Network and security operations center providing event/incident and response management.
ITSPEC (INFOSEC)	Alexandria, VA	1	3	USPTO	OCIO		CIO Command Center (C3) - 24x7 Network and security operations center providing event/incident and response management.
IT SPECIALIST	Alexandria, VA	1	3	USPTO	OCIO		PATENTS SDL - PDX/TDA - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
IT SPECIALIST	Alexandria, VA	1	3	USPTO	OCIO		PATENTS SDL - EFS Web - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC	Alexandria, VA	1	3	USPTO	OCIO		PATENTS SDL - Private PAIR - Provides emergency response to systems

Position	Duty Station	# of Emplo yees	Exception	Bureau	OU	Office	Narrative
(SYSANALYSIS/APPSW)							necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		PATENTS SDL - PKI/True PASS/PALM - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		PATENTS SDL - IFW - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		PATENTS SDL - EAI Hub/CDS/Patent Supervisor - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		PATENTS SDL - SCORE - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
SUPVY ITSPEC (SYSANALYSIS/APPS)	Alexandria, VA	1	3	USPTO	OCIO		TRADEMARKS SDL - Trademark Supervisor - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		TRADEMARKS SDL - TEAS/TEASi - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		TRADEMARKS SDL- TRAM - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		TRADEMARKS SDL - TDR/Databridge/TARR - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		TRADEMARKS SDL - TESS - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		TRADEMARKS SDL - Cropped Images (TCIM)/STIS - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		TRADEMARKS SDL - Madrid - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		CORPORATE SDL - RAM - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		CORPORATE SDL - Assignments - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		CORPORATE SDL - OEMS - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		CORPORATE SDL - TTABVue - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (SYSANALYSIS/APPSW)	Alexandria, VA	1	3	USPTO	OCIO		CORPORATE SDL - WebTA - Time and Attendance tracking for emergency employees.
SUPERVISORY IT SPECIALIST	Alexandria, VA	1	3	USPTO	OCIO		Facilities - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
SUPVY ITSPEC	Alexandria, VA	1	3	USPTO	OCIO		Boyer/Data Loads - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
SUPVY ITSPEC	Alexandria, VA	1	3	USPTO	OCIO		Facilities - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
SUPVY IT SPEC(OS/SYSADMIN)	Alexandria, VA	1	3	USPTO	OCIO		Systems Support - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
SUPVY ITSPEC	Alexandria, VA	1	3	USPTO	OCIO		Server Admin - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.

Position	Duty Station	# of Empls	Exception	Bureau	OU	Office	Narrative
SUPVY ITSPEC	Alexandria, VA	1	3	USPTO	OCIO		Server Administration - Unix - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
COMPR SCNTST	Alexandria, VA	1	3	USPTO	OCIO		Middleware (EFS) - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (OS/SYSADMIN)	Alexandria, VA	1	3	USPTO	OCIO		Middleware (EFS) - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (APPSW)	Alexandria, VA	1	3	USPTO	OCIO		Storage - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (OS/SYSADMIN)	Alexandria, VA	1	3	USPTO	OCIO		Storage - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (OS/SYSADMIN)	Alexandria, VA	1	3	USPTO	OCIO		Storage - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (DATAMGT)	Alexandria, VA	1	3	USPTO	OCIO		Database - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (DATAMGT)	Alexandria, VA	1	3	USPTO	OCIO		Database - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (DATAMGT)	Alexandria, VA	1	3	USPTO	OCIO		Database - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
SUPVY ITSPEC	Alexandria, VA	1	3	USPTO	OCIO		Server Administration- Microsoft - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (OS/SYSADMIN)	Alexandria, VA	1	3	USPTO	OCIO		Server Administration- Trademarks - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (OS/SYSADMIN)	Alexandria, VA	1	3	USPTO	OCIO		Server Administration- Microsoft - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (OS/SYSADMIN)	Alexandria, VA	1	3	USPTO	OCIO		Server Administration- Microsoft - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
COMPR ENGR	Alexandria, VA	1	3	USPTO	OCIO		RAM Network - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (NETWORK)	Alexandria, VA	1	3	USPTO	OCIO		Network - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
COMPR ENGR	Alexandria, VA	1	3	USPTO	OCIO		Network - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (NETWORK)	Alexandria, VA	1	3	USPTO	OCIO		Network/Telecomm - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
COMPR ENGR	Alexandria, VA	1	3	USPTO	OCIO		PKI - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (OS/SYSADMIN)	Alexandria, VA	1	3	USPTO	OCIO		Category B: (long-term closures) - Back-up/recovery - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (DATAMGT)	Alexandria, VA	1	3	USPTO	OCIO		Category B: (long-term closures) - BRS – TESS - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
SUPVY ITSPEC (CUSTSPT)	Alexandria, VA	1	3	USPTO	OCIO		Service Desk - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
SUPVY ITSPEC	Alexandria, VA	1	3	USPTO	OCIO		Service Desk - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (CUSTSPT)	Alexandria, VA	1	3	USPTO	OCIO		Exec Support/Blackberries - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
ITSPEC (CUSTSPT)	Alexandria, VA	1	3	USPTO	OCIO		Service Desk - Hardware - Provides emergency response to systems

Position	Duty Station	# of Empl yees	Exception	Bureau	OU	Office	Narrative
							necessary to meet legal obligations to the public and International treaties.
ITSPEC (CUSTSPT)	Alexandria, VA	1	3	USPTO	OCIO		Service Desk - Hardware - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
SUPVY PROG MGR	Alexandria, VA	1	3	USPTO	OCIO		Web Services - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
SUPVY ITSPEC(INET)	Alexandria, VA	1	3	USPTO	OCIO		Web Services - Provides emergency response to systems necessary to meet legal obligations to the public and International treaties.
Supervisor Patent Examiner	Alexandria, VA	1	3	USPTO			Staff in Licensing and Review to process any request for a foreign filing license to avoid a loss of patent rights for such applicants.
Associate commissioner for Paten Innovation Development	Alexandria, VA	1	3	USPTO			Provide oversight of communications to stakeholders to avoid a loss of patent rights for applicants.
	Total	104					

4.2.16.3 USPTO Excepted IT Requirements & Contracts

- Private PAIR – public search of private application status
- PKI – portal authentications
- True PASS – Automated national security screening
- PALM – application data and status
- IFW – application images
- EFS Web – application filing
- EAI Hub – application routing
- TDA/PDX- trilateral partner sharing
- CDS - application classification
- Score- storage for mega bio-tech sequences
- PSIPS – site for issued and published sequences
- TEAS – Trademark Electronic Application System
- TEASi - TEAS International
- ESTTA - Trademark Board application filing
- TRAM – application data and status
- TDR - Trademark Document Retrieval
- DBRIDGE – Database sharing – TRAM to Oracle
- TARR – Trademark Application Registration and Retrieval
- TESS – Search System
- TTABVUE – Trademark Board Proceedings

- STIS – Image services
- Cropped Image Server – Trademark Image Retrieval
- Madrid – International Treaty sharing
- RAM – Revenue Accounting and Management (for filings and fee payments)
- Assignments (PTAS) – IP Assignment rights
- OEMS – Public order for certified copies for court proceedings

4.2.17 Office of the Inspector General (OIG)

4.2.17.1 OIG Orderly Shutdown Needs

OIG will not require any non-excepted personnel to work more than half a day in order to conduct an orderly shutdown of the bureau, provided that the shutdown is less than 30 days.

4.2.17.2 OIG Excepted Positions

Key for justification of exceptions:

1 = Employees engaged in military, law enforcement, or direct provision of health care activities

2 = Financed by other than FY11 appropriations

3 = Necessary to protect the safety of human life or the protection of property

4 = Authorized by law

Position	Duty Station	# of Employees	Exception	Bureau	OU	Office	Narrative
Inspector General	Washington, DC	1	PAS	OS	OIG		PAS
CIO	Washington, DC	1	3	OS	OIG		Support for PAS
Database Administrator	Washington, DC	1	3	OS	OIG		Maintenance and protection of OIG databases
IT Specialist	Washington, DC	1	3	OS	OIG		
Asst. Special Agent in Charge	Washington, DC	1	4	OS	OIG		Conduct of ongoing criminal investigation the interruption of which would lead to a risk of loss of life or property
Special Agent	Washington, DC	3	4	OS	OIG		
	TOTAL	8					

4.2.17.3 OIG Excepted IT Requirements & Contracts

- Email
- File Shares
- BlackBerry
- Desktops/ Laptops/ Microsoft Office
- Phones and Fax
- Printers
- Internet