

**DEPARTMENT OF TRANSPORTATION**

**Operations During a Lapse in Annual Appropriations  
Plans by Operating Administration**



**April 8, 2011**

**Office of the Assistant Secretary for Budget and Programs, and CFO**

**DEPARTMENT OF TRANSPORTATION**  
**SUMMARY OF POSITIONS AFFECTED BY A LAPSE IN ANNUAL APPROPRIATIONS**

	Excepted Positions					Furloughed Staff	Total Positions
	Life/Safety	Other Funding 1/	Support Positions 2/	Total Staff at Work			
Operating Administration							
Federal Aviation Administration	29,966	829	2,755	33,550	14,913	48,463	
Federal Highway Administration	0	3,009	0	3,009	0	3,009	
National Highway Traffic Safety Administration	0	207	3	210	381	591	
Federal Motor Carrier Safety Administration	0	1,080	0	1,080	0	1,080	
Federal Transit Administration	0	51	3	54	521	575	
Federal Railroad Administration	405	0	9	414	440	854	
Pipeline and Hazardous Materials Safety Administration	167	0	9	176	248	424	
Research and Innovative Technology Administration	0	691	2	693	25	718	
Maritime Administration	27	381	13	421	421	842	
Saint Lawrence Seaway Development Corporation	0	128	0	128	0	128	
Surface Transportation Board	0	0	2	2	139	141	
Office of the Secretary (excludes Working Capital Fund)	13	66	46	125	403	528	
Working Capital Fund	0	201	0	201	0	201	
Inspector General	2	73	3	78	379	457	
<b>Total</b>	<b>30,580</b>	<b>6,716</b>	<b>2,845</b>	<b>40,141</b>	<b>17,870</b>	<b>58,011</b>	

1/ Positions funded by other sources, including multi-year appropriations, indefinite appropriations, or contract authority.

2/ Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions).

## FEDERAL AVIATION ADMINISTRATION (FAA)

### Personnel Summary

#### Staff at Work

• Life and Safety excepted positions: (Air Traffic Organization – 25,352; Office of Aviation Safety – 3,705; Office of Security and Hazardous Materials – 242; Office of Regions and Centers – 520; and Other – 147)	29,966
• Positions funded by multi-year appropriations, indefinite appropriations, or contract authority: (Airport Improvement Program (AIP) – 554; Research Engineering & Development – 270; Aviation Insurance – 5)	829
• Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions):	<u>2,755</u>
Total Positions at Work	33,550

Positions to be Furloughed: 14,913

Total Positions: 48,463

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### Summary of Continuing Operations

The following operations will continue to be performed during a lapse in annual appropriations:

- Air traffic control services;
- Aircraft certification services (limited);
- Department of Homeland Security liaison services;
- Maintenance and operation of navigational aids and other facilities necessary to ensure safe and efficient operation of the NAS;
- Flight Standards field inspections;
- Airmen medical certifications;

- Hazardous materials safety inspections;
- Security information communication services;
- Continuity of Operations Planning;
- Regulator investigation of airmen and aircraft;
- Law enforcement assistance support;
- Air traffic controller medical clearances;
- Employee drug testing program;
- Air traffic safety oversight (limited);
- Accident investigation;
- Command, control, and communications (i.e. Regions and Headquarters Operations Centers);
- Foreign relations on aviation safety related matters (limited);
- Safety and continuity of operation oversight for deployment of ERAM;
- Air Traffic Safety Action Program (ATSAP);
- Legal services vital to the FAA's safety mission (such as enforcement);
- National aviation research, engineering and development funded by multi-year appropriations;
- Airport inspections;
- Airport Improvement Program (AIP) grants;
- Passenger facility charge approvals; and
- Airport planning and environmental services.

In addition, certain personnel are required to provide support services to safety personnel and to provide for the orderly shutdown of FAA activities. Employees needed to ensure an orderly shutdown could remain at work for three to five days and placed on furlough once the shutdown is successfully complete. These employees include contracting officers, human resources, and budget/finance personnel. Individuals providing support services to safety positions will report to work to provide employees excepted for the purpose directly protecting life and property with necessary legal, information technology, labor relation, and contract support services.

### **Summary of Suspended Activities**

- Development of new air traffic control specialists not certified to work a position;
- Aviation rulemaking;
- Facility security inspections, evaluations, audits and inspections;

- Routine personnel security background investigations;
- Development, operational testing, and evaluation of NextGen technologies;
- Development of NextGen safety standards;
- Air traffic performance analysis;
- Capital planning for FAA facilities and equipment;
- Investment planning and financial analysis;
- Dispute resolution;
- Audit and evaluation;
- Financial operations, controls, reporting and accountability;
- Most budgeting functions (except those necessary to provide necessary services to offices funded with multi-year appropriations and contract authority);
- Most administrative support functions not required for support of life and safety “excepted” positions;
- Congressional liaison services; and
- Commercial space activities.

#### **Assessment of Liquidating Cash** (Trust Fund Agencies Only)

The unused liquidating cash for AIP as of March 31, 2011, was approximately \$1 billion. AIP is the only FAA program that operates on Contract Authority.

#### **Special Circumstances**

Although the Office of Airports can continue to operate (including core functions such as critical airport inspections, review of airport plans and other key roles), because of the limited number of other resources needed beyond the Office of Airports to process either electronic or manual payments, FAA will not be able to process AIP grant payments during a lapse in annual appropriations.

#### **Shutdown Checklist** (For each item still in progress, give an expected completion date.)

- Are shutdown plans up-to-date and approved by the modal administrator? Yes.
- Has the OA’s Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Yes.

- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored?

Yes. FAA employees will be advised to listen to public broadcasts for information that a congressional action has been taken to fund the government, and they will be expected to return to work on their next regular duty day. In addition, FAA will place return to duty information on the FAA employee website, and FAA's toll-free number. FAA managers can also call employees to ensure staff members are aware they have been recalled to duty.

## FEDERAL HIGHWAY ADMINISTRATION

### Personnel Summary

#### Staff at Work

- Life and Safety excepted positions: 0
- Positions funded by multi-year appropriations, indefinite appropriations, or contract authority: 3,009
- Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions): 0

Total Positions at Work 3,009

Positions to be Furloughed: 0

Total Positions: 3,009

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### Summary of Continuing Operations

All operations continue as normal during a lapse in annual appropriations.

### Summary of Suspended Activities

None. Activities funded with contract authority.

### Assessment of Liquidating Cash (Trust Fund Agencies Only)

FHWA has sufficient liquidating cash to operate and has drawn down enough cash to operate for approximately one month without another drawdown.

## Special Circumstances

Not applicable.

### Shutdown Checklist (For each item still in progress, give an expected completion date.)

- Are shutdown plans up-to-date and approved by the modal administrator? Yes, the agency plans are up-to-date and approved by the Administrator. FHWA effectively implemented their shutdown plan during the March 2010 shutdown.
- Has the OA's Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Not applicable. However, prior to enactment of PL 112-5, FHWA did identify all employees subject to a potential furlough and made all necessary preparations to notify affected staff in writing.
- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored? Yes. As demonstrated during the shutdown in March 2010, FHWA has the ability to quickly recall employees and return to normal operations.

## FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

### Personnel Summary

#### Staff at Work

- Life and Safety excepted positions: 0
- Positions funded by multi-year appropriations, indefinite appropriations, or contract authority: 1,080
- Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions): 0

Total Positions at Work 1,080

Positions to be Furloughed: 0

Total Positions: 1,080

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### Summary of Continuing Operations

All operations continue as normal during a lapse in annual appropriations.

### Summary of Suspended Activities

None. Activities funded with contract authority.

### Assessment of Liquidating Cash (Trust Fund Agencies Only)

FMCSA has sufficient balances of liquidating cash to operate for a limited period during a lapse of annual appropriations.

## Special Circumstances

Once available liquidating cash is exhausted to support continuing operations, an agency shutdown plan consistent with procedures of March 2010 may need to be implemented.

**Shutdown Checklist** (For each item still in progress, give an expected completion date.)

- Are shutdown plans up-to-date and approved by the modal administrator? Yes, the agency plans are up-to-date and approved by the Administrator. FMCSA effectively implemented their shutdown plan during the March 2010 shutdown.
- Has the OA's Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Not applicable. However, prior to enactment of PL 112-5, FMCSA identified all employees subject to a potential furlough and made all necessary preparations to notify affected staff in writing.
- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored? Yes. As demonstrated during the shutdown in March 2010, FMCSA has the ability to recall employees on short notice and return to normal operations.

## NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

### Personnel Summary

#### Staff at Work

- Life and Safety excepted positions: 0
- Positions funded by multi-year appropriations, indefinite appropriations, or contract authority 1/ 207
- Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions): 3

Total Positions at Work 210

Positions to be Furloughed: 381

Total Positions: 591

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1/ Includes the personnel directly associated with programs and activities funded in the HTF.

### Summary of Continuing Operations

- NHTSA Highway Safety Research & Development activities, e.g., occupant protection, alcohol, motorcycles.
- National Driver Register (NDR) program operations.
- Highway Safety Grant activities.

### Summary of Suspended Activities

- Vehicle Safety activities, e.g., rulemaking, enforcement, research, testing.
- Congressional deadlines on significant rulemakings may be delayed, e.g., CAFE.
- New car assessment testing and related star ratings to consumers may be delayed.
- Routine defects and recall information from manufacturers and consumers would not be reviewed.

**Assessment of Liquidating Cash** (Trust Fund Agencies Only)

- NHTSA has sufficient balances of liquidating cash on hand.

**Special Circumstances**

- None.

**Shutdown Checklist** (For each item still in progress, give an expected completion date.)

- Are shutdown plans up-to-date and approved by the modal administrator? Yes.
- Has the OA's Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Yes.
- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored? Yes.

## FEDERAL TRANSIT ADMINISTRATION

### Personnel Summary

#### Staff at Work

- Life and Safety excepted positions: 0
  
  - Positions funded by multi-year appropriations, indefinite appropriations, or contract authority:

ARRA	46
<u>Lower Manhattan Recovery Office</u>	<u>5</u>
Total	51
  
  - Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions): 3
- Total Positions at Work 54

Positions to be Furloughed: 521

Total Positions: 575

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### Summary of Continuing Operations

- In the absence of appropriations, only very limited functions that are funded from prior year appropriations would continue. These would include only oversight activities of already-awarded grants under the American Recovery and Reinvestment Act (ARRA) and activities in the Lower Manhattan Recovery Office.

### Summary of Suspended Activities

- FTA would not continue any of its unfunded core agency functions. No grants, cooperative agreements, contracts, purchase orders, travel authorizations, or other documents obligating funds would be executed.

- FTA customarily reimburses transit agencies for ongoing operations and construction projects to enable them to provide transit services and pay employees and contractors. In March of 2011, these payments exceeded \$270 million per week.
- FTA would not obligate grant funds for projects carried out by FTA's roughly 1,300 grantees throughout the country as FTA staff that perform these functions are not considered excepted employees. FTA grants primarily fund operating expenses and capital projects.
- FTA also would not obligate current year (FY 2011) funds for project oversight, which is primarily performed by FTA contractors.
- For projects under development, FTA staff would not carry out environmental, legal, civil rights, and other reviews essential for advancing projects to the point of obligation since these are not related to immediate issues of life and safety.
- FTA would not make grant payments using FTA's Financial Management Systems or vendor payments using the DELPHI accounting systems regardless of the fiscal year cited since appropriations would not be available to pay the salaries of the staff executing the payments. All FTA program funds would be suspended, including payments for Recovery Act projects.
- FTA would also not obligate or outlay funds for research and technical assistance activities because appropriations would not be available to pay the salaries of the staff executing the payments.

#### **Assessment of Liquidating Cash (Trust Fund Agencies Only)**

- FTA has sufficient liquidating cash. However, FTA would not outlay funds because appropriations would not be available to pay the salaries of staff executing payments.

#### **Special Circumstances**

- Certain contract support functions funded with prior year appropriations would continue.

**Shutdown Checklist** (For each item still in progress, give an expected completion date.)

- Are shutdown plans up-to-date and approved by the modal administrator? Yes.
- Has the OA's Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Yes.
- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored? Yes.

## FEDERAL RAILROAD ADMINISTRATION

### Personnel Summary

#### Staff at Work

- |  |          |
|--|----------|
| • Life and Safety excepted positions:  | 405      |
| • Positions funded by multi-year appropriations, indefinite appropriations, or contract authority:           | 0        |
| • Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions): | <u>9</u> |

Total Positions at Work 414

Positions to be Furloughed: 440

Total Positions: 854

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### Summary of Continuing Operations

#### *Office of Railroad Safety:*

- FRA headquarters and field staff manage all rail accident/incident investigations across the country. These investigations become the basis for the agency issuing Emergency Orders, Safety Advisories over the short-term and ultimately rail safety regulations. Data that is transmitted from the Investigators to headquarters staff is used to develop reports documenting the event.
- The continuous inspector presence on railroad property allows for the proactive review and identification of unsafe operations. Having FRA Inspectors on railroad property makes a difference in achieving industry compliance with Federal safety regulations. Data shows that when Inspectors are not visible, less compliance is more likely to occur, which may lead to higher accident/incident rate. When safety hazards are identified, headquarters staff assists Inspectors to ensure uniform and consistent feedback to railroads on noncompliance violations of Federal safety regulations.

***Office of the Administrator:***

- The Administrator provides executive direction over various headquarters and field organizations and is directly accountable to the DOT Secretary and Deputy Secretary for accomplishing FRA's mission, functions, and goals.

***Office of Chief Counsel:***

- The Deputy Chief Counsel and Deputy Assistant Chief Counsel for Safety Law are critical to the continuation of FRA's safety mission. Collectively these individuals provide continuing safety legal advice relative to FRA's safety laws and regulations.

***Office of Financial Management & Administration:***

- Various individuals within FRA's Office of Financial Management and Administration support FRA's safety activities.

**Summary of Suspended Activities:**

- The non-safety essential functions to be suspended during a lapse of appropriations include all activities assigned to the Office of Railroad Policy and Development (RPD). This includes the high-speed rail initiative. RPD is also the primary grantor of operating, capital and debt service grant payments to Amtrak. Furthermore, during this time (1) all grant and financial assistance activities are suspended. This includes: technical assistance to grantees and partners, grant obligations and payments to states, Railroad Rehabilitation and Improvement Financing (RRIF) loan payments and (2) all activities related to the intake, processing and evaluation of grant applications previously submitted to FRA.

**Shutdown Checklist:**

- Are shutdown plans up-to-date and approved by the modal administrator? Yes.
- Has the OA's Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Yes.
- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored? Yes.

## PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION (PHMSA)

### Personnel Summary

#### Staff at Work

- Life and Safety excepted positions: 167
- Positions funded by multi-year appropriations, indefinite appropriations, or contract authority: 0
- Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions): 9

Total Positions at Work: 176

Positions to be Furloughed: 248

Total Positions: 424

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### Summary of Continuing Operations

- Investigations of pipeline accidents to determine the causes and circumstances of failure, the need for corrective action, and any non-compliance that might have contributed to the accident.
- Inspections of pipeline operators and systems to determine compliance with the pipeline safety regulations.
- Enforcement of the pipeline safety regulations through corrective action orders, notices of probable violations and letters of warning.
- Investigations of hazardous materials accidents to determine the causes and circumstances of failure, the need for corrective action, and any non-compliance that might have contributed to the accident.
- Inspections of hazardous materials shippers, carriers, testing facilities and cylinder reconditioning facilities to determine compliance with the hazardous materials safety regulations.
- Enforcement of the hazardous materials safety regulations through the issuance of tickets or development of evidence for civil and criminal penalty actions.
- Hazardous Materials approvals and permits for emergencies affecting the safety of life and property only.

- Administrative support for the agency's shutdown plan and procedures, coordination with other DOT elements and OMB, ensuring the physical security of nonexpendable property, and supporting ongoing Field operations necessary for the protection of life and property.
- The Office of Human Resources requires six people to conduct orderly shutdown procedures and to restart PHMSA personnel activities, once funding is restored. All six are needed for the first two days of shutdown. Only one person is needed during the entire shutdown period for processing emergency actions.

### **Summary of Suspended Activities**

- Strategic Planning and Program Evaluation
- Public Affairs
- Civil Rights
- Pipeline Program Development
- Pipeline Standards and Rulemaking
- Pipeline Engineering and Research
- Pipeline State Programs (Grants)
- Pipeline Enforcement Policy, Procedures and Guidance
- Pipeline Training and Qualifications
- Emergency Response Planning and Drills
- Hazardous Materials Program Development
- Hazardous Materials Standards and Rulemaking
- Hazardous Materials Engineering and Research
- Hazardous Materials Approvals and Permits (except for emergency)
- Hazardous Materials Outreach, Training and Grants
- Hazardous Materials Special Investigations
- Hazardous Materials Training and Qualifications
- Legal Services and Representation
- Regulatory Analysis and Planning
- Freedom of Information Act and Privacy Act Processing
- Budget and Financial Planning and Operations (except those related to protection of life and property)
- Acquisition Services
- Human Resources (except for those related to executing the orderly shutdown)

- Information Resources Management
- Administrative Services

**Assessment of Liquidating Cash** (Trust Fund Agencies Only)

- Not applicable.

**Special Circumstances**

- PHMSA's Safety Inspectors and Safety Investigators in the field will continue to protect the safety of life and property by identifying and addressing pipeline and hazardous materials safety violations.

**Shutdown Checklist** (For each item still in progress, give an expected completion date.)

- Are shutdown plans up-to-date and approved by the modal administrator? Yes.
- Has the OA's Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Yes.
- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored? Yes.

## RESEARCH AND INNOVATIVE TECHNOLOGY ADMINISTRATION

### Personnel Summary

#### Staff at Work

• Life and Safety excepted positions:	0
• Positions funded by multi-year appropriations, indefinite appropriations, or contract authority:	69
• Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions):	2
• Other Personnel (reimbursable-funded staff at Volpe and Transportation Safety Institute (TSI)):	<u>622</u>
Total Positions at Work	693

Positions to be Furloughed: 25

Total Positions: 718

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### Summary of Continuing Operations

- All program activities associated with the Bureau of Transportation Statistics (BTS) account and the administrative overhead staff and functions supported from the BTS account would continue.
- Within RITA, there are two fee-for-service organizations funded by reimbursable agreements: Transportation Safety Institute, Oklahoma City, OK and the Volpe Center, Cambridge, MA. Both of these organizations have adequate resources to fund staff for a limited period beyond April 8, 2011.

### Summary of Suspended Activities

- All program activities funded from the Research and Development (R&D) General Fund would be suspended, including RD&T Coordination, Alternative Fuels, Positioning, Navigation and Timing and the Nationwide Differential Global Positioning System. All administrative overhead staff and functions supported from the R&D account would be furloughed.

### **Assessment of Liquidating Cash**

- RITA has adequate liquidating cash to continue operations for several weeks.

### **Special Circumstances**

- None.

### **Shutdown Checklist** (For each item still in progress, give an expected completion date.)

- Are shutdown plans up-to-date and approved by the modal administrator? Yes.
- Has the OA's Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Yes.
- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored? Yes.

## MARITIME ADMINISTRATION (MARAD)

### Personnel Summary

#### Staff at Work

• Life and Safety excepted positions:	27
• Positions funded by multi-year appropriations, indefinite appropriations, or contract authority:	381
• Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions):	<u>13</u>
Total Positions at Work	421

Positions to be Furloughed: 421

Total Positions: 842

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### Summary of Continuing Operations

- MARAD functions that would continue during a lapse in appropriations extend to maritime life safety, securing vessels of the U.S. Government, and safety and welfare of U.S. Merchant Marine Academy (USMMA) midshipmen both on campus and at sea. All other functions will not be continued, including: Environment and Compliance; Intermodal System Development; Business and Finance development programs; USMMA operations; and administrative support programs, other than those sustaining continuing operations.
- Life and Safety support for the midshipmen at the USMMA could continue as well as limited Life and Safety activities at Headquarters. Under a short-term shutdown, midshipmen would remain at the USMMA, but they would not attend classes.
- Emergency and disaster assistance involving the safety of human life or protection of property would continue.
- The no-year funded Ship Disposal Program could continue operations utilizing carry-over balances.

- The no-year funded Maritime Security Program could continue program operations using carry-over balances.
- The reimbursable National Defense Reserve Fleet (no-year DOD-funded), including the Ready Reserve Fleet, could continue program and administrative operations using carry-over balances.
- Under Title XI, MARAD employs private contractors or the Reserve Fleet facility in husbanding some defaulted Title XI assets. These services would continue, as a failure to maintain these services could jeopardize life and safety.

### **Summary of Suspended Activities**

- Administrative support functions would cease, other than those related to Life and Safety support and those associated with the no-year and reimbursable programs mentioned above.
- Program support for Environment and Compliance (MAR-400), Intermodal System Development (MAR-500), and Business and Finance Development (MAR-700) would cease.
- USMMA operations would cease, except midshipman Life and Safety support.

### **Assessment of Liquidating Cash (Trust Fund Agencies Only)**

- Not applicable.

### **Special Circumstances**

- The USMMA is in session year-round, with only limited breaks between terms. An extended lapse in appropriations could significantly disrupt the school's academic schedule, making adjustments difficult to accommodate.

**Shutdown Checklist** (For each item still in progress, give an expected completion date.)

- Are shutdown plans up-to-date and approved by the modal administrator? Yes.
- Has the OA's Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Yes.
- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored? Yes.

**SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION (SLSDC)**

**Personnel Summary**

Staff at Work

- Life and Safety excepted positions: 0
- Funded by other sources, including multi-year appropriations, indefinite appropriations, or contract authority: 128
- Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions): 0

Total Positions at Work 128

Staff to be Furloughed: 0

Total Positions: 128

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**Summary of Continuing Operations**

- The SLSDC will utilize its statutory authority to use reserve funding from its no-year revolving fund during any lapse in federal appropriations to operate and maintain the U.S. portion of the St. Lawrence Seaway without any adverse impact on staff levels or agency programs.

**Summary of Suspended Activities**

- No activities will be suspended.

**Special Circumstances**

- As was the case during the 1995-96 federal shutdowns, Seaway operations during any possible lapse in appropriations, including compensation and benefits for essential personnel, would be funded through the SLSDC's no-year revolving account, which currently includes \$11.9 million in reserve funding.

**Shutdown Checklist** (for each item still in progress, give an expected completion date)

- Are shutdown plans up-to-date and approved by the modal administrator? Yes.
- Has the OA's Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Yes.
- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored? Yes.

## **SURFACE TRANSPORTATION BOARD**

### **Personnel Summary**

#### Staff at Work

- Presidential appointees (Senate Confirmed): 2

Total Positions at Work 2

Positions to be Furloughed: 139

Total Positions: 141

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### **Summary of Continuing Operations**

- Brief orderly termination of agency functions and human resource/payroll activities to prepare for furlough period.

### **Summary of Suspended Activities**

- Receipt of filings and pleadings.
- Case processing.
- Suspension of procedural schedules and decisional activities.
- Oral arguments and voting conferences.
- Data collection and analysis.
- Tariff filings.
- Recordation filings and access by public.
- Site visits, meetings with local/State Government parties, and public hearings.
- Litigation and court appearances.

- Consumer hotline and responses to public inquiries.
- Congressional support and responses to Congressional inquiries.
- All administrative support activities.

**Assessment of Liquidating Cash** (Trust Fund Agencies Only)

- Not applicable.

**Special Circumstances**

- Litigation, court appearances, and assistance to Attorney General involving Court deadlines in cases brought before the U.S. as a result of agency decisions.
- Suspension of procedural schedule, and decisional activities involving cases with statutory deadlines.
- Directed Rail Service in certain emergency situations.

**Shutdown Checklist** (For each item still in progress, give an expected completion date.)

- Are shutdown plans up-to-date and approved by the Board? Yes.
- Has the OA's Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Yes.
- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored? Yes.

**OFFICE OF THE SECRETARY (OST)**

OST Office	Excepted Positions					Furloughed Staff	Total Positions
	Life/Safety	Other	Funding 1/	Support Positions 2/	Total Staff at Work		
Offices of the Secretary and Deputy Secretary	0	2	7	9	9	18	
Under Secretary for Transportation Policy	0	61	2	63	63	126	
Office of General Counsel	1	1	6	8	96	104	
Assistant Secretary for Budget and Programs, and CFO	0	1	9	10	38	48	
Assistant Secretary for Administration (excludes WCF positions)	0	0	5	5	60	65	
Chief Information Officer (excludes WCF positions)	2	0	2	4	20	24	
Working Capital Fund (CIO and Administration Support)	0	201	0	201	0	201	
Executive Secretariat	0	0	1	1	14	15	
Office of Governmental Affairs	0	1	0	1	13	14	
Office of Public Affairs	0	0	1	1	14	15	
Office of Civil Rights	0	0	0	0	40	40	
Office of Small and Disadvantaged Business Utilization	0	0	0	0	11	11	
Office of Drug and Alcohol Policy and Compliance	0	0	0	0	7	7	
Office of Intelligence, Security, and Emergency Response	10	0	13	23	18	41	
<b>OST Total (without Working Capital Fund)</b>	<b>13</b>	<b>66</b>	<b>46</b>	<b>125</b>	<b>403</b>	<b>528</b>	
<b>OST Total (including Working Capital Fund)</b>	<b>13</b>	<b>267</b>	<b>46</b>	<b>326</b>	<b>403</b>	<b>729</b>	

1/ Positions funded by multi-year appropriations, indefinite appropriations, contract authority, or otherwise authorized.

2/ Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions).

## **Summary of Continuing Operations**

Most continuing operations of the Office of the Secretary principally will be associated with the following activities:

- Life and safety and security functions of OST, including security of the headquarters buildings;
- Activities funded through the Working Capital Fund for which resources remain available;
- Staff support required for other lawful functions of the Department that will continue during a lapse in annual appropriations, including support activities required for the Secretary, Deputy Secretary and other Presidential appointees within OST to discharge their responsibilities; and
- Activities funded by multi-year or no-year appropriations.

## **Summary of Suspended Activities**

- Suspended activities during a lapse in annual appropriations will mainly be associated with support from staff offices that are not essential for excepted continuing activities.

## **Assessment of Liquidating Cash** (Trust Fund Agencies Only)

- Not applicable.

## **Special Circumstances**

- None.

## **Shutdown Checklist** (For each item still in progress, give an expected completion date.)

- Are shutdown plans up-to-date and approved by the Deputy Secretary? Yes.
- Has the Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Yes.
- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored? Yes.

**OFFICE OF INSPECTOR GENERAL (OIG)**

**Personnel Summary**

Staff at Work

• Life and Safety excepted positions:	2
• Positions funded by multi-year appropriations, indefinite appropriations, or contract authority:	73
• Positions supporting lawful continuation of other functions (e.g., support for Life and Safety positions):	<u>3</u>
Total Positions at Work	78

Positions to be Furloughed: 379

Total Positions: 457

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**Summary of Continuing Operations**

- Hotline and Crisis Management Center point of contact.
- Audits and investigations of ARRA-related issues funded by multi-year appropriations in place.

**Summary of Suspended Activities**

- Audits
- Investigations
- Legal, Legislative, and External Affairs
- Administrative Functions (Procurement & Administrative Services, Human Resources, Budget & Financial Management, and Information Technology).

**Assessment of Liquidating Cash** (Trust Fund Agencies Only)

- Not applicable.

**Special Circumstances**

- None

**Shutdown Checklist** (For each item still in progress, give an expected completion date.)

- Are shutdown plans up-to-date and approved by the Inspector General? Yes.
- Has the OA's Office of Human Resources identified each employee subject to a furlough and made necessary preparations to notify these staff? Yes.
- Are logistics in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored? Yes.