

PLAN FOR OFFICE OF THE CHIEF FINANCIAL OFFICER (OCFO) HIATUS DUE TO LACK OF APPROPRIATIONS OR CONTINUING RESOLUTION

The Chief Financial Officer serves as the principal advisor to the Secretary, the Assistant Secretary for Administration and Senior Officials on all matters related to financial management, financial management systems, financial control and accounting, internal control and assessment and financial training.

Headquarters

Day One

All Headquarters employees will be directed to report to work on the first scheduled workday. Employees will then receive instructions to shutdown their activities and secure property in their offices. The OCFO Concur Travel Support Team will cancel any OCFO approved travel beginning after the first day of the hiatus.

All employees not necessary for protection of life and property, except those referenced below, would be released on furlough by mid-day of their work day:

- Chief Financial Officer
- Deputy Chief Financial Officer
- Associate Chief Financial Officer for Financial Systems (ACFO-FS)
- Associate Chief Financial Officer for Financial Operations (ACFO-FO)
- Associate Chief Financial Officer for Financial Policy and Planning (ACFO-FPP)
- Director, Customer Service Division (ACFO-FS)
- Director, Fiscal Policy Division (ACFO-FPP)
- Director, Administrative Management Division (ACFO-FPP)

Day Two

The following staff will report to work on day two to provide essential support to policy officials to manage the hiatus of government activities, and to provide essential staff support to policy officials and agency managers in the preservation of health and safety and the protection of property:

- Chief Financial Officer
- Deputy Chief Financial Officer
- Associate Chief Financial Officer for Financial Systems (ACFO-FS)
- Associate Chief Financial Officer for Financial Operations (ACFO-FO)
- Associate Chief Financial Officer for Financial Policy and Planning (ACFO-FPP)
- Director, Customer Service Division (ACFO-FS)
- Director, Fiscal Policy Division (ACFO-FPP)

The Deputy Chief Financial Officer will modify personnel needed consistent with the operational needs.

Day Three through Five

The following staff will report to work each day to provide essential support to policy officials to manage the hiatus of government activities, and to provide essential staff support to policy officials and agency managers in the preservation of health and safety and the protection of property:

- Chief Financial Officer
- Deputy Chief Financial Officer
- Director, Fiscal Policy Division (ACFO-FPP)

Thereafter

If the absence of appropriations continues, the Chief Financial Officer will reevaluate the status on the fifth day and thereafter to make decisions on the necessity for continued attendance by the employees identified above.

All other employees will continue on furlough.

PREPARATION AND HIATUS PLAN FOR OCFO MISSION OPERATIONS

Financial Operations, Controller Operations Division (COD)

The Associate Chief Financial Officer for Financial Operations (ACFO-FO), Controller Operations Division (COD) has responsibility for the Department's financial management and reporting, administrative payments processing and certification, customer liaison and training administration, and related regulatory and policy compliance. These services are provided to customer agencies and are further defined under the Memorandums of Understanding and Service Level Agreements established between COD and the agencies.

Day minus Five to minus One

Commence acceleration of vendor payments.

Day minus One

In consultation with the appropriate contracting officer, inform contractors that federal funding runs out at midnight, and if a new appropriations or additional continuing resolution is not passed, that they will not report to work until the hiatus ends.

Day One

All employees will be directed to report to work on the first scheduled workday. Employees will then receive instructions to shut down their activities and secure property in their offices.

Thereafter

The hiatus will halt all payment processing outside of payroll and program systems, including payment of Concur vouchers, contract payments, and payment of credit cards under Fleet and Smartpay2. In order to process payments from funds not subject to the funding hiatus or other payments under the approved exclusions, if the hiatus is projected to continue more than 12 days, the Director, COD will recall ten employees for payment processing.

After the three days of operations required for a payment cycle with Treasury, the financial systems will be returned to a shutdown state and the recalled employees will be released. This cycle of 12 days down followed by four days of minimum operations will be continued for the duration of the hiatus period.

Key COD management personnel will utilize the Division call tree to maintain communication, as needed.

Financial Systems

The Associate Chief Financial Officer for Financial Systems (ACFO-FS) provides executive leadership and management vision to manage, direct and implement corporate financial management and other corporate administrative systems delegated to Chief Financial Officer (CFO) in order to maintain current systems, ensure compliance with external mandates, and enhance financial information dissemination and financial accountability. The ACFO serves as the Chief Information Officer for financial management and administrative systems.

Upon Expiration of Appropriations

If appropriations have expired, the ACFO-FS technical staff will initiate a graceful shutdown of all financial systems the next calendar day. This will require 8 government FTEs and five contractor staff to work approximately ½ day to accomplish. The shutdown will halt all payment processing outside of payroll and program systems, including payment of Concur vouchers, contract payments, and payment of credit cards under Fleet and Smartpay2

Day One

All employees will be directed to report to work on the first day. Employees will then receive instructions to shut down their activities and secure property in their offices.

Thereafter

The hiatus will halt all payment processing outside of payroll and program systems, including payment of Concur vouchers, contract payments, and payment of credit cards under Fleet and Smartpay2. In order to process payments from funds not subject to the funding hiatus or other payments under the approved exclusions, if the hiatus is projected to continue more than 12 days, the Associate Chief Financial Officer will recall sixteen employees and eight contractors to restart the central financial system for payment processing.

After the three days of operations required for a payment cycle with Treasury, the financial systems will be returned to a shutdown state and the recalled employees will be released. This cycle of 12 days down followed by four days of minimum operations will be continued for the duration of the hiatus period.

In addition to the recalled employees, only the following employees will report to support the protection of Federal equipment and other property owned by the United States.

- Director, Customer Service Division (Contracting Officer's Technical Representative for essential contracts)
- Chief, Financial Systems Support Branch
- Lead, Information Technology Security
- Lead, Financial System Technical Support

If the numbers of calls, etc., associated with financial operations of USDA are significant, additional employees may be instructed to report to support for the protection of Federal equipment and other property owned by the United States.

In consultation with the appropriate contracting officer, service contracts will be suspended or reduced during the hiatus. Only contractor staff needed to protect/secure the financial systems will be maintained during the hiatus.

National Finance Center

The National Finance Center (NFC) performs automated payroll, personnel, financial, applications hosting and a myriad of administrative functions for the Department and many cross-serviced agencies. NFC is a non-appropriated agency, and the functions performed by NFC are financed on a cost-reimbursement basis through the Departmental Working Capital Fund, and through cost-reimbursable agreements. NFC is comprised of several organizations including the Government Employees' Services Division (GESD), Information Technology Services Division (ITSD, also referred to as Data Center), Administrative Management Staff (AMS), and the Human Resources Management Staff (HRMS) that work conjunctively to perform NFC's mission.

Overall Planning Assumptions

1. The Office of the Chief Financial Officer (OCFO) will alert the NFC Director when the time is appropriate to commence the NFC Plan for Reduction and Hiatus of Operations.
2. NFC's level of activities during a reduction or hiatus will be dictated by the actions of the clients who are serviced by NFC. The needs of the clients will be closely monitored throughout the period of reduction or hiatus.
3. Some clients may continue operating because their appropriations are passed; they receive continuing resolutions; they operate on non-appropriated funds; they are essential to protect life and property; or their employees are engaged in military, law enforcement, or direct health care activities (Secret Service, Drug Enforcement Administration; Bureau of Alcohol, Tobacco and Firearms, etc.).
4. Any ordered hiatus of the Government will be of an undetermined or indefinite period of time.
5. NFC's workload will increase in the short term (e.g., increase in the number of telephone inquiries, work associated with the processing of additional personnel actions related to the furlough, etc.).
6. All contractor support will cease with the exception of Iron Mountain off-site tape storage and all hardware and software maintenance contracts supporting the NFC data center. These contracts are essential activities for the protection of property owned by the United States.
7. Earnings and Leave Statements will not be printed.
8. Data center has the ability to furlough key personnel, but the agency will have the ability to place those key employees in an "on-call" status.
9. NFC will assume that approximately 40% of the employees we service will not be affected as they are funded with multi-year appropriations.

10. Government Insurances Consumer Division (GICD) – Preexisting Condition Insurance Program (PCIP) is currently funded by Health and Human Services (HHS) through Centers for Medical and Medicaid Services (CMS). Other programs Tribal Insurance Program (TIPS) and Direct Premium Remittance System (DPRS) are considered protection of human life and two employees are excepted.
11. Human Resources Management Staff (HRMS) will assume that all services provided to OCFO Headquarters, COD, ACFO-FS and the USDA National Appeals Division (NAD) will be suspended as they will be affected by the government hiatus.
12. Labor Relations and Employee Relations Office (LERO) assumptions include the probability that third party reviewing agencies (Merit Systems Protection Board, Equal Employment Opportunity Commission, and Federal Labor Relations Authority) will suspend the processing of all pending cases during the government hiatus.

All NFC employees will be directed to report to work on the first scheduled workday. Employees will then receive instructions to shutdown their activities and secure property in their offices. The Administrative Management Staff will cancel any OCFO approved travel beginning after the first day of the hiatus.

All employees not necessary for protection of life and property, or those defined in the following sections, would be released on furlough by mid-day of their work day.

Government Employee Services Division (GESD)

In preparation for a potential government hiatus, NFC has designated personnel necessary in preparation for the hiatus. GESD must provide Help Desk Operations in support of the payroll scheduled to run that aligns with a hiatus. In addition, if a prolonged hiatus (in excess of 3 or more days) occurs, GESD will be responsible for ensuring that all payroll processing is completed.

Personnel Requirements

Day one of the shutdown week

Director, National Finance Center (NFC)
Deputy Director, National Finance Center (NFC)
Director, Information Technology Services Division (ITSD)
Acting Director, Government Employees Services Division (GESD)

POD – 9 employees
PAD – 6 employees
GICD – 2 employees
PCIP – 21 employees

Day two of the shutdown week

Director, National Finance Center (NFC) [furloughed at the end of Day 2]
Deputy Director, National Finance Center [furloughed at the end of Day 2]

POD – 9 employees
PAD – 6 employees
GICD – 2 employees
PCIP – 21 employees

Day five of the shutdown week

POD – 7 employees
PAD – 1 employee
GICD – 2 employees
PCIP – 21 employees
MAD – 2 employees

After day five of the shutdown week

POD – 17 employees
PAD – 2 employees
GICD – 2 employees
PCIP – 21 employees
MAD – 2 employees

On-Call

MAD – 13 employees
POD - 12 employees
CSD – 2 employees
WAD – 5 employees
PAD – 7 employees
GICD – 1 employee

Information Technology Services Division (also referred to as Data Center)

In response to a government-wide shut down, NFC's Data Center will execute this concept of operations (CONOPS). This CONOPS covers ITSD.

Hosted Systems

1. GESD will support payroll during the first week of the pay period. This will require support for all payroll systems – PPS; Payroll Accounting System; WebTA; Employee Personal Page; Reporting Center, etc.). This will require the following data center support:
 - a. Operations and Security Center (OSC): On-site systems monitoring and help desk support for the systems (not customer technical help desk support).
 - b. Scheduling Section: On-site support for batch processing beginning on the night shift on the Sunday of week one of the pay period and continuing every day through Saturday day shift.
 - c. Output Management: GESD will require print jobs from the IO room during payroll week.
 - d. Tape Operations: Support for physical tape processing will be required in Denver.
 - e. Systems Support: On-call systems support will be required to ensure that any problems with systems supporting payroll production are addressed and corrected. On-call support will be needed in the following areas:
 - Systems administration - Server Engineering Branch (SEB)/Mainframe Engineering Branch (MEB)
 - Network administration - Network Services Branch (NSB)
 - Database administration - Data Base Management Branch (DBMB)
 - Access management – Access Management Branch (AMB)
 - Application software quality assurance – Operations Branch (OB)/Production Management Section (PMS)
 - Office automation for on-site personnel - Office Services Branch (OSB)
 - Telephone support for on-site personnel - NSB
 - Security incident handling – Information Systems Security Branch (ISSB)
 - Security systems administration – Systems Security Administration Branch (SSAB)

For personnel on-call, if they are called to respond, they will work to resolve the system's issue either remotely or at Building 350. Once resolved, they will return to furloughed status, but remain on-call.

Once the entire payroll cycle is completed, all personnel except for the OSC will be furloughed until needed for the next payroll cycle.

2. ACFO-FS (Foundation Financial Information System [FFIS] and FMMI) and the Office of Procurement and Property Management (Integrated Acquisition System [IAS]) will shut down their systems (applications) at the beginning of the government shut down. The systems will stay down for 12 days then be brought back up for 4 days. This 12/4 cycle will continue for FFIS, FMMI, and IAS throughout the government hiatus. This will require the following data center support:
 - a. Operations and Security Center (OSC): On-site systems monitoring and help desk support for the systems (not customer technical help desk support).

- b. Scheduling Section: On-site support to bring down and bring up the FFIS regions. Once all regions are brought up or brought down successfully, the scheduling support will be returned to furlough status.
- c. Systems Support: On-call systems support will be required to ensure that any problems with systems supporting payroll production are addressed and corrected. On-call support will be needed in the following areas:
 - Systems administration - SEB/MEB
 - Network administration - NSB
 - Access management - AMB
 - Security incident handling - ISSB
 - Security systems administration - SSAB

Employees on-call, if they are called to respond, will work to resolve the system's issue either remotely or at Building 350. Once resolved, they will return to furlough status, but remain on-call.

- 3. Farm Service Agency (FSA) will shutdown the MIDAS system. No development activity will be taking place.

Site Security

Personnel will be required 24 X 7 at the OSC in Denver to provide data center on-site security. Since these personnel will be required, they will also perform the OSC duties described above. The OSC in New Orleans will not be manned. The 800 number for the New Orleans OSC will be transferred to the OSC Denver for the duration of the government shutdown.

OSC Denver personnel will also perform tape operations. The OSC Denver Site Chief will be the data center manager and will coordinate and direct all data center activities during the hiatus.

Command and Control

The OSC will maintain contact information for all on-call personnel. They will direct personnel needed to correct system problems, track status, and release personnel when systems are returned to normal operation. They will follow established escalation procedures.

Personnel Requirements

On-site

OSC, Denver - 6 employees (to provide at least one person per shift per day. (One of the people will be the site chief, a supervisory position.)

Scheduling - 6 employees (2 per shift) (Sunday night week of payroll thru following Sunday evening Shift)

Print Support - 2 employees (1 – Day Shift, 1 – Evening Shift) (Monday through Friday of payroll week)

On-Call

Systems administration - 32 employees

Network administration - 5 employees

Database administration - 8 employees

Access management - 5 employees

Application software configuration management - 2 employees

Office automation support for on-site personnel - 3 employees

Telephone support for on-site personnel - 2 employees

Security incident handling - 2 employees

Security system administration - 2 employees

Scheduler - 2 employees (needed to be called in to bring FFIS regions up and down)

Administrative Management Staff (AMS)

In response to a government-wide shut down, AMS will work to secure the OCFO's physical and personnel assets in Building 350, New Orleans, LA, and at the Primary Computing Facility in Denver, Colorado, and ensure that the excepted personnel have access to a secure and safe work environment during a hiatus.

Day One

1. In consultation with the contracting officer, advise all vendors/contractors of the hiatus.
2. Instruct the United States Postal Service and other package delivery and mail entities (FedEx, UPS) of the hiatus, and our requirements to handle the delivery of mail and packages during the hiatus.
3. Inform NASA/Jacobs (Building 350 facilities contractor), and the General Services Administration (GSA), that NFC is reducing its operations, and may need increased security for excepted personnel, and for the preservation of health and safety and the protection of property.
4. Monitor procurements to ensure that acquisition activity is consistent with reductions in operations. Effective on the first day after the hiatus, all requests for supplies or goods will require prior approval of the Division Directors/Staff Chiefs.
5. Ensure that all NFC property (equipment, furniture, records and files) are properly accounted for and appropriately secured.
6. Assist the Human Resources Management Staff with the distribution of pertinent information related to the hiatus via the agency's emergency notification system.

7. Provide both NASA (and its security contractor Coastal, Inc.) with an approved listing of personnel who are authorized to enter Building 350 or the Primary Computing Facility (Denver). When appropriate, all updates to that listing will be provided to NASA and GSA.
8. For Building 350, ensure that there is an on-site presence to address any facility-related matters that may arise during the hiatus.
9. For Building 350, ensure that there is an on-site physical security presence to guard against any unauthorized access individuals.

Personnel Requirements

Day One and thereafter

On-site support necessary for the protection of Federal buildings, equipment and other property owned by the government.

Building 350 Facility Support - 2 employees (to provide at least a basic presence to address any facility matters that arise; one position will be a supervisory position).

Physical Security - 1 employee (to provide physical security presence in Building 350, review and grant access to the facility).

Administrative/Communication - 2 employee ((1) to provide support for the HR notifications and overall administrative support, (1) to coordinate the support needed from entities such as NASA, the City of New Orleans, and other emergency response officials).

On-Call

Contracting/Purchasing Support - 2 employees

Budgetary Support - 2 employees

Facility Support - 2 employees

Security Support -1 employee

Human Resources Management Staff (HRMS)

HRMS will maintain excepted personnel to process all personnel actions related to the furlough and return to duty as a result of the Government hiatus. This includes the initial furlough action and the intervening actions resulting from the need to recall employees to perform time and attendance other special functions during the furlough period.

Personnel Requirements

Day one

One employee to review and update pay impacting personnel actions that went to suspense.

Day one and thereafter

Two employees to process payroll actions for an external customer (US Coast Guard).

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

| | Current On-Board Staff | Estimated Employment for Category One | | | | | | Total After Day 20 | Total as % of Staff |
|---|---------------------------------------|--|------------------|------------------|-------------------|-------------------|-------------------|-----------------------------------|------------------------------------|
| | | 2nd Half Day One | Day 2 | Day 5 | Day 10 | Day 15 | Day 20 | | |
| Agency Name: Description of activities to be continued | | | | | | | | 0 | |

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

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

| <u>Agency</u> | Current On-Board Staff | Estimated Employment for Category Two | | | | | Total After Day 20 | Total as % of Staff |
|---|---------------------------------------|--|------------------|------------------|-------------------|-------------------|-----------------------------------|------------------------------------|
| | | 2nd Half Day One | Day 2 | Day 5 | Day 10 | Day 15 | | |
| Agency Name: Office of the Chief Financial Officer <u>a/</u> | 42 | 5 | 4 | 3 | 0 | 0 | 0 | 0.00% |

KEY:

Category II: Financed from Available Funds

a/ - Day 1: Chief Financial Officer, Deputy Chief Financial Officer, Associate Chief Financial Officer, Financial Policy and Planning (ACFO-FPP), Director, Fiscal Policy Division (ACFO-FPP) and Director, Administrative Management Division (ACFO-FPP). Day 2: Chief Financial Officer, Deputy Chief Financial Officer, Associate Chief Financial Officer for Financial Policy and Planning (ACFO-FPP), and Director, Fiscal Policy Division (ACFO-FPP). Day 3-5: Chief Financial Officer, Deputy Chief Financial Officer, Director, Fiscal Policy Division (ACFO-FPP). Day 6+: None.

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

| <u>Agency</u> | Current On-Board Staff | Estimated Employment for Category Three | | | | | | Total After Day 20 | Total as % of Staff |
|--------------------------------|---------------------------------------|--|------------------|------------------|-------------------|-------------------|-------------------|-----------------------------------|------------------------------------|
| | | 2nd Half Day One | Day 2 | Day 5 | Day 10 | Day 15 | Day 20 | | |
| Agency Name: NFC Operations | 1519 | 68 | 75 | 57 | 68 | 94 | 68 | 68 | 4% |

KEY:

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

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

| <u>Program/Activity</u> | <u>Is the Program/ Activity Exempt</u> | <u>Funding Source</u> | <u>Amount Available</u> | <u>Number of Days Funds Support</u> | <u>Total Number of Staff Supported</u> | <u>Total Number of Excepted Employees</u> | <u>Program Impacts</u> | | | |
|---------------------------------------|--|---------------------------|-----------------------------|---|--|---|--|--|--|--|
| | | | | | | | <u>1</u> | <u>2</u> | <u>3</u> | <u>4</u> |
| Office of the Chief Financial Officer | No | N/A | N/A | 0 | 0 | 0 | All activities other than basic top-level leadership and essential procurement operations will cease. Only emergency activities regarding health, and protection of life and property will be continued. | All activities other than basic top-level leadership and essential procurement operations will cease. Only emergency activities regarding health, and protection of life and property will be continued. | All activities other than basic top-level leadership and essential procurement operations will cease. Only emergency activities regarding health, and protection of life and property will be continued. | All activities other than basic top-level leadership and essential procurement operations will cease. Only emergency activities regarding health, and protection of life and property will be continued. |

2nd Half of

| | <u>Day One</u> | <u>Day 2</u> | <u>Day 5</u> | <u>Day 10</u> | <u>Day 15</u> | <u>Day 20</u> |
|---------------|----------------|--------------|--------------|---------------|---------------|---------------|
| HQ | 8 | 7 | 3 | 0 | 0 | 0 |
| FO, COD | 0 | 0 | 0 | 0 | 10 | 0 |
| FO, FS | 3 | 11 | 3 | 3 | 19 | 3 |
| GESD | 42 | 40 | 33 | 44 | 44 | 44 |
| ITSD | 14 | 14 | 14 | 14 | 14 | 14 |
| AMS | 5 | 5 | 5 | 5 | 5 | 5 |
| HRMS | 1 | 2 | 2 | 2 | 2 | 2 |
| | <hr/> | <hr/> | <hr/> | <hr/> | <hr/> | <hr/> |
| | 73 | 79 | 60 | 68 | 94 | 68 |
| CAT II | -5 | -4 | -3 | | | |
| Total CAT III | 68 | 75 | 57 | 68 | 94 | 68 |