

DEPARTMENT OF TRANSPORTATION

Plans for Operations During a Lapse in Annual Appropriations And/or Federal Aviation Administration Authorization Plans by Operating Administration



August 3, 2023

Office of the Chief Financial Officer and Assistant Secretary for Budget and Programs

Department of Transportation
FY 2024 Shutdown Plan Summary Overview

	<u>FAA</u>	<u>FHWA</u>	<u>FMCSA</u>	<u>NHTSA</u>	<u>FTA</u>	<u>FRA</u>	<u>PHMSA</u>	<u>MARAD</u>	<u>GLS</u>	<u>OIG</u>	<u>OST</u>	<u>Total</u>
Estimated Time (to nearest half day) Required to Complete Shutdown Activities:	0.5	N/A	N/A	N/A	N/A	0.5	0.5	0.5	-	0.5	0.5	-

Employees at Work:	27,997	2,832	1,121	765	700	656	402	634	130	100	1,339	36,676
Compensation is financed by a resource other than annual appropriations:	1,695	2,832	1,121	765	700	169	327	623	130	-	1,243	9,605
Necessary to perform activities expressly authorized by law:	-	-	-	-	-	1	-	1	-	1	16	19
Necessary to perform activities necessarily implied by law:	747	-	-	-	-	14	10	6	-	7	64	848
Necessary to the discharge of the President's constitutional duties and powers:	66	-	-	-	-	-	-	-	-	-	-	66
Necessary to protect life and property:	25,489	-	-	-	-	472	65	4	-	92	16	26,138

Furloughed Employees:	17,251	-	-	-	-	350	197	196	-	295	455	18,744
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Total Agency Employees On Board Before Implementation of the Plan:	45,248	2,832	1,121	765	700	1,006	599	830	130	395	1,794	55,420
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FEDERAL AVIATION ADMINISTRATION

Appropriation and Authorization¹ Lapse Plan Summary Overview

Estimated time (to nearest half day) required to complete shutdown activities:	0.5
Total number of agency employees expected to be on board before implementation of the plan:	45,248
Total number of agency employees expected to be furloughed under the plan (unduplicated count):	17,251
Total number of employees to be retained under the plan for each of the following categories (may include duplicated counts):	
Compensation is financed by a resource other than annual appropriations:	1,695
Necessary to perform activities expressly authorized by law:	0
Necessary to perform activities necessarily implied by law:	747
Necessary to the discharge of the President’s constitutional duties and powers:	66
Necessary to protect life and property:	25,489

Brief summary of significant agency activities that will continue during a lapse:

The following operations will continue as excepted activities during a lapse in annual appropriations and lapse in authorization:

- Air traffic control services;

¹ Certain FAA activities are limited by Authorizing statutes in duration to specified dates. For instance, the FAA’s ability to draw funds from the Airports and Airways Trust Fund, 26 U.S.C. § 9502 (d) and (e), for new obligations ceases on 30 Sep 2023, and the Remote Tower Pilot Program, 49 U.S.C. § 47104 expires on 30 Sep 2023. Because the underlying authority ends, the attendant activity may no longer occur. These are only two examples of expiring authorities that impact the FAA mission. In these two cases, the FAA either ceases to have the authority to access the money or the specific program ends in accordance with Congress’ direction.

- Maintenance and operation of navigational aids and other facilities, including support to reimbursable Department of Defense and Department of Homeland Security activities;
- Flight Standards field inspections;
- Airworthiness Directives
- Airmen medical certifications;
- Certain certification activities;
- Issuance of waivers for UAS and in support of other safety and security operations;
- Approval of exemptions for unmanned aerial systems operations;
- Hazardous materials safety inspections (safety inspectors will be recalled as necessary over time to maintain the safety of the system and/or respond to incidents);
- Air Traffic Control Specialist (ATCS) medical clearances;
- Air traffic safety oversight (limited);
- On-call accident investigations;
- Commercial space launch oversight, and licensing;
- Command, control, communications, and intelligence (i.e., Regions and HQ Operations Centers, Intelligence Threat Watch, and emergency communication support);
- Foreign relations on aviation safety-related matters;
- FAA's aircraft and airman registry;
- Congressional liaison services, to the extent that they are necessarily implied from the authorized continuation of legislative activity;
- Support functions necessary to provide timely payments to contractors and grantees.

In addition, certain activities that will not be affected by a lapse in annual appropriations and lapse in authorization include:

- Activities funded by the Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSA)
- Activities and personnel funded through Division J of the Infrastructure and Investment Jobs Act (IIJA)

Further, certain personnel are required to provide support services to safety personnel and to provide for the orderly shutdown of FAA activities. In general, it will take approximately four hours to shut down most of the agency's non-expected activities, with the possible exception of activities necessary to issue stop work orders on contracts and employee furlough notices. FAA expects that the

orderly shutdown work of contracting officers will be done within one day. Other activities may take two to three days to complete and will involve 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.

Brief summary of significant agency activities that will cease during a lapse:

- All Airport Improvement Program (AIP) activities would cease during a lapse in authorization because AIP activities are funded with contract authority via a time-limited authorization
- Passenger facility charge approvals;
- Airport planning and environmental services funded by Airport Improvement Program (AIP) contract authority
- Development of new air traffic control specialists not certified to work a position;
- Aviation rulemaking;
- Random drug testing of the non-safety workforce;
- Facility security inspections;
- Routine personnel security background investigations and PIV card services;
- Continuity of Operations Planning;
- Development, operational testing, and evaluation of NextGen technologies;
- Development of NextGen safety standards;
- Air traffic performance analysis;
- Capital planning for FAA facilities and equipment;
- Research, Engineering, and Development programs;
- Investment planning and financial analysis;
- Dispute resolution;
- Audit and evaluation;
- Financial operations, controls, reporting (except those necessary to provide necessary services to support excepted functions);
- Most budgeting functions (except those necessary to provide necessary services to support excepted functions);
- Law enforcement assistance support;
- Most administrative support functions not required for support of excepted positions; and
- Delivery of routine public affairs services, website updates, and social media activities.

Additional information:

Assessment of Liquidating Cash

- FAA has sufficient liquidating cash to continue operations during a lapse in appropriations but does not have expenditure authority to make payments on obligations incurred after September 30, 2023 if there is a lapse in authorization. The Airport Improvement Program, managed by Office of the Associate Administrator for Airports, is the only FAA program that is funded through Contract Authority.

Shutdown Checklist

- Shutdown plans are up-to-date and will be approved by the Administrator and senior staff prior to implementation.
- The Lines of Businesses/Staff Offices have identified each position subject to a furlough, and preparations are in place for the Office of Human Resource Management to notify affected staff.
- Logistics are in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored and/or the authorization is extended
- FAA employees will be advised to listen to public broadcasts for information that 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.

CFO/Budget Officer will take measures to ensure that all funding that is subject to current-year appropriation actions is made unavailable for obligation and outlay in the financial system.

FEDERAL HIGHWAY ADMINISTRATION (FHWA)

Appropriations Lapse Plan Summary Overview

Estimated time (to nearest half day) required to complete shutdown activities:	N/A
Total number of agency employees expected to be on board before implementation of the plan:	2,832
Total number of agency employees expected to be furloughed under the plan (unduplicated count):	0
Total number of employees to be retained under the plan for each of the following categories (may include duplicated counts):	
Compensation is financed by a resource other than annual appropriations:	2,832
Necessary to perform activities expressly authorized by law:	0
Necessary to perform activities necessarily implied by law:	0
Necessary to the discharge of the President’s constitutional duties and powers:	0
Necessary to protect life and property:	0

Brief summary of significant agency activities that will continue during a lapse:

All operations continue as normal during a lapse in annual appropriations. This includes activities and personnel funded from the supplemental appropriations portion of the Infrastructure Investment and Jobs Act (IIJA, Division J).

Brief summary of significant agency activities that will cease during a lapse:

- N/A

Additional information:

Assessment of Liquidating Cash

- FHWA has sufficient liquidating cash to make payments after September 30, 2023.

Shutdown Checklist

- Plans are up-to-date and approved by the Administrator or designee.
- CFO/Budget Officer will take measures to ensure that any funding that is affected by a lapse in appropriation is made unavailable for obligation and outlay in the financial system.
- Payroll records will be updated to ensure timely and accurate payroll be performed for staff being shifted to alternate available sources of salary funds (e.g., Federal Lands employees funded through IAAs if there are not sufficient advance payment balances).

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

Appropriation Lapse Plan Summary Overview

Estimated time (to nearest half day) required to complete shutdown activities:	0
Total number of agency employees expected to be on board before implementation of the plan:	1,121
Total number of agency employees expected to be furloughed under the plan (unduplicated count):	0
Total number of employees to be retained under the plan for each of the following categories (may include duplicated counts):	
Compensation is financed by a resource other than annual appropriations:	1,121
Necessary to perform activities expressly authorized by law:	0
Necessary to perform activities necessarily implied by law:	0
Necessary to the discharge of the President’s constitutional duties and powers:	0
Necessary to protect life and property:	0

Brief summary of significant agency activities that will continue during an appropriation lapse:

All operations continue as normal with a lapse in annual appropriations, subject to the amount of liquidating cash the Agency has available.

- FMCSA positions are primarily funded by authorized contract authority and paid out of the Highway Trust Fund and liquidated with cash appropriated by annual appropriations.
- Although FMCSA positions are mostly funded from the Highway Trust Fund, FMCSA collects fees under its Licensing and Insurance (L&I) function and Drug and Alcohol Clearinghouse (DACH), which are made available to support the programs, including its L&I and DACH positions.

- During a lapse in annual appropriations, the overall limitation on obligations for FMCSA is determined per the IJA. Once an Appropriations Act or Continuing Resolution (CR) is enacted, FMCSA is subject to the terms and conditions of that legislation. The obligation limitation levels will be adjusted so they are consistent with the enacted appropriations act or CR.

Brief summary of significant agency activities that will cease during an appropriation lapse:

None. Activities are funded with contract authority, offsetting collections, and advanced appropriations.

Additional information:

Assessment of Liquidating Cash

FMCSA has sufficient balances of liquidating cash to operate during a short-term lapse of annual appropriations.

Shutdown Checklist

Shutdown plans are up-to-date and approved by the Deputy Administrator

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

Appropriation Lapse Plan Summary Overview

Estimated time (to nearest half day) required to complete shutdown activities:	N/A
Total number of agency employees expected to be on board before implementation of the plan:	765
Total number of agency employees expected to be furloughed under the plan (unduplicated count):	0
Total number of employees to be retained under the plan for each of the following categories (may include duplicated counts):	
Compensation is financed by a resource other than annual appropriations:	765
Necessary to perform activities expressly authorized by law:	0
Necessary to perform activities necessarily implied by law:	0
Necessary to the discharge of the President's constitutional duties and powers:	0
Necessary to protect life and property:	0

Brief summary of significant agency activities that will continue during a lapse:

- General Fund appropriated activities would continue with available multi-year funding from prior-year appropriations and supplemental appropriations. Additionally, all activities and personnel funded through the Highway Trust Fund or the supplemental appropriations portion of the Infrastructure Investment and Jobs Act (IIJA, Division J) would continue during a lapse in annual appropriations.

Brief summary of significant agency activities that will cease during a lapse:

- N/A

Additional information:

Assessment of Liquidating Cash

- NHTSA has sufficient balances of liquidating cash on hand to liquidate obligations.

Shutdown Checklist

While all NHTSA employees can be compensated with resources other than annual appropriations, the agency will take the following actions during the period of a lapse in annual appropriation:

- Payroll records will be updated to ensure timely and accurate payroll be performed for staff being shifted to alternate available sources of salary funds (e.g., carryover, supplemental).
- The CFO will take measures to ensure that all funding that is subject to current year appropriation actions is made unavailable for obligation and outlay in the financial system.

FEDERAL TRANSIT ADMINISTRATION

Appropriation Lapse Plan Summary Overview

Estimated time (to nearest half day) required to complete shutdown activities:	N/A
Total number of agency employees expected to be on board before implementation of the plan:	700
Total number of agency employees expected to be furloughed under the plan (unduplicated count):	0
Total number of employees to be retained under the plan for each of the following categories (may include duplicated counts):	
Compensation is financed by a resource other than annual appropriations:	700
Necessary to perform activities expressly authorized by law:	0
Necessary to perform activities necessarily implied by law:	0
Necessary to the discharge of the President's constitutional duties and powers:	0
Necessary to protect life and property:	0

Summary of significant agency activities that will continue during a lapse:

- All operations continue as normal during a lapse in appropriations.
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- Additionally, activities and personnel funded through Division J of the IIJA would remain available during a lapse in annual appropriations.

Brief summary of significant agency activities that will cease during a lapse:

None. Activities are funded by sources not impacted by a lapse in annual appropriations.

Additional information

Assessment of Liquidating Cash

- FTA has sufficient liquidating cash to support several months of reimbursements.

Shutdown Checklist

- Shutdown plans are up-to-date and will be approved by the Administrator and senior staff prior to implementation.

- The CFO will take measures to ensure that all funding that is affected by a lapse in appropriation is made unavailable for obligation and outlay in the financial system.

FEDERAL RAILROAD ADMINISTRATION (FRA)

Appropriation Lapse Plan Summary Overview

Estimated time (to nearest half day) required to complete shutdown activities:	0.5
Total number of agency employees expected to be on board before implementation of the plan:	1,006
Total number of agency employees expected to be furloughed under the plan (unduplicated count):	350
Total number of employees to be retained under the plan for each of the following categories (may include duplicated counts):	
Compensation is financed by a resource other than annual appropriations:	169
Necessary to perform activities expressly authorized by law:	1
Necessary to perform activities necessarily implied by law:	14
Necessary to the discharge of the President's constitutional duties and powers:	0
Necessary to protect life and property:	472

Brief summary of significant agency activities that will continue during a lapse:

Office of Railroad Safety:

- FRA staff from the Office of Railroad Safety that manage rail accident/incident investigations across the country would continue working. These investigations become the basis for the agency issuing Emergency Orders, Safety Advisories, railroad safety regulations, and other measures to promote and regulate safety throughout the rail industry.
- 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 laws and regulations. Data shows that when inspectors are not visible, compliance with railroad safety laws and regulations is less likely

to occur, which may lead to higher accident/incident rates. When safety hazards are identified, FRA railroad safety personnel ensure uniform and consistent feedback is provided to railroads on noncompliance violations of Federal safety laws and regulations. These activities would continue during a lapse in appropriation, thereby providing continuous and uninterrupted safety oversight to the nation's rail system.

Office of Railroad Development:

- All employees from the Office of Railroad Development are split-funded from FRA's general Safety & Operations account and Financial Assistance Oversight and Technical Assistance account (Oversight account, which would not currently be affected by a lapse in appropriations). All such employees would continue working during a lapse on eligible activities funded under FRA's Oversight account related to the award, administration, oversight, and technical assistance of FRA's financial assistance programs. As described below, a limited number of staff from other FRA offices are also partially funded from FRA's Oversight account and would continue working solely on eligible activities funded under the Oversight account.

Other Key Offices: Certain predetermined individuals from the following offices will be kept onboard to support FRA's critical safety mission or activities funded under FRA's Oversight account, including:

- Administrator – The Administrator and Deputy Administrator provide executive direction over FRA's headquarters and field operations. The Administrator is directly accountable to the DOT Secretary and Deputy Secretary to ensure FRA's excepted safety activities and other functions funded under FRA's Oversight account continue without interruption. FRA will coordinate legislative efforts with congressional staff to the extent it is necessarily implied by the authorized continuation of legislative activity. FRA's Executive Director and Executive Support Specialist are excepted for the same reasons to assist the Administrator and Deputy Administrator in carrying out excepted activities. Certain Civil Rights staff funded from the Oversight account would remain to support eligible activities associated with FRA's financial assistance programs.
- Chief Counsel – The Chief Counsel and Deputy Chief Counsel are critical to the continuation of FRA's safety mission by providing legal advice regarding FRA's safety laws and regulations. Additionally, attorney-advisors from the Office of Development Law that are funded from the Oversight account would remain to support eligible activities associated with FRA's financial assistance programs.
- Administration - The Associate Administrator for Administration, Director of Acquisition, Director of Human Resources (HR) and a HR specialist, and Director of Information Technology (IT) and an IT specialist would support the orderly shutdown, including maintenance of selected contracts and information technology services in supporting FRA's critical safety activities.

- Chief Financial Officer – The Chief Financial Officer, Budget Officer, and a travel analyst would provide oversight of the financial systems, policies, and support programs to affect an orderly agency shutdown, while maintaining critical safety activities. Additionally, accountants, budget analysts, fund administrators, and grants management specialists that are funded from the Oversight account would remain to support eligible activities associated with FRA’s financial assistance programs.
- Research, Data, and Innovation – A general engineer that is funded from the Oversight account would remain to support eligible activities associated with FRA’s financial assistance programs. A program analyst that helps to administer the Railroad Safety Information System (RSIS)—FRA’s collection of data management systems that receive, organize, process, visualize, and publish information on railroad accidents and incidents, safety inspections and violations, and attributes from the U.S. DOT Highway-Rail Crossing Inventory—may be recalled as necessary to support the Office of Railroad Safety’s accident/incident investigations and inspections.

Brief summary of significant agency activities that will cease during a lapse:

- FRA would not continue any of its unfunded core agency functions. No contracts, purchase orders, travel authorizations², or other documents obligating funds would be executed.
- FRA would not obligate funds for research and development projects. However, outlays may occur for prior year obligations if they do not require FRA staff oversight.
- FRA would not advance any rulemakings, including those related to railroad safety, unless such regulatory activity was related to the award, administration, oversight, and technical assistance of FRA’s financial assistance programs and funded from FRA’s Oversight account.
- FRA would suspend responding to routine media inquiries but would respond to media inquiries related to emergency matters addressing imminent hazards to safety of human life and the protection of property. Furloughed staff would be recalled to address emergency media inquiries on a case-by-case basis.

² Exceptions will be made for travel related to critical railroad safety inspections and rail incidents, or activities funded from FRA’s Financial Assistance Oversight and Technical Assistance account.

Additional information:

Lapse Checklist

- Lapse plans are up-to-date and will be approved by the Administrator and senior staff prior to implementation.
- The Office of Human Resources has identified each position subject to a furlough, and preparations are in place to notify affected staff.
- Logistics are in place to provide for an orderly recall of employees and a return to normal operations once annual appropriations are restored.
- CFO/Budget Officer will take measures to ensure that all funding that is subject to an appropriations lapse is made unavailable for obligation and outlay in the financial system.

PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION (PHMSA)

Appropriation Lapse Plan Summary Overview	
Estimated time (to nearest half day) required to complete shutdown activities:	0.5
Total number of agency employees expected to be on board before implementation of the plan:	599
Total number of agency employees expected to be furloughed under the plan (unduplicated count):	197
Total number of employees to be retained under the plan for each of the following categories (may include duplicated counts):	
Compensation is financed by a resource other than annual appropriations:	327
Necessary to perform activities expressly authorized by law:	0
Necessary to perform activities necessarily implied by law:	10
Necessary to the discharge of the President’s constitutional duties and powers:	0
Necessary to protect life and property:	65

Brief summary of significant agency activities that will continue during a lapse:

- Pipeline Safety activities funded by other than annual appropriations.
- 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 detect and remediate safety concerns and determine compliance with the hazardous materials safety regulations.
- Enforcement of the hazardous materials safety regulations through the issuance of enforcement actions or development of evidence for civil and criminal penalty actions and other authorized enforcement activities, to the extent necessary to address imminent hazards to the safety of human life and the protection of property.

- Hazardous Materials approvals and permits only for emergencies that imminently threaten the safety of human life and the protection of property.
- 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.
- Support for public affairs to respond to media inquiries regarding emergency matters addressing imminent hazards to the safety of human life and the protection or property.
- Support for congressional affairs as necessarily implied from the authorized continuation of legislative activity.
- Support for information technology systems necessary for continuation of excepted safety functions and for cybersecurity purposes to protect property.
- Intermittent support for financial operations to make timely payments to contractors and grantees and support for travel needs for life and safety excepted staff.
- Intermittent Acquisition Services and program office administration support to make timely payments to contractors and grantees.
- Payments of Emergency Preparedness Grants.
- Activities and personnel funded from the supplemental appropriations portion of the Infrastructure Investment and Jobs Act (IIJA, Division J). This includes an added position from the Operational Expenses Account (Grants Administrator)

Brief summary of significant agency activities that will cease during a lapse:

- 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 (except for intermittent support to make timely payments to grantees)
- Hazardous Materials Special Investigations
- Hazardous Materials Training and Qualifications
- Except where funded by other than annual appropriations:
 - Emergency Response Planning and Drills
 - Strategic Planning and Program Evaluation
 - Public Affairs, except for response to media inquiries regarding the safety of human life and the protection of property

- Civil Rights
- Legal Services and Representation
- Regulatory Analysis and Planning
- Freedom of Information Act and Privacy Act Processing
- Budget and Finance (except for intermittent support to make timely payments to contractors and grantees and travel support activities and life and safety excepted staff)
- Acquisition Services (except for intermittent support to make timely payments to contractors and grantees)
- Human Resources (except for those related to executing the orderly shutdown and restart of agency operations)
- Information Resources Management (except for support for information technology systems necessary for continuation of excepted safety functions and for cybersecurity purposes to protect property)
- Administrative Services
- Hazardous materials grants benefitting emergency first responders and localities that would be funded from new registration fee collections.
- Hazardous Materials registration program and registration fee collections.
- Hazardous materials grants benefitting emergency first responders and localities that would be funded from new registration fee collections.
- Hazardous Materials registration program and registration fee collections.

MARITIME ADMINISTRATION (MARAD)

Appropriation Lapse Plan Summary Overview	
Estimated time (to nearest half day) required to complete shutdown activities:	0.5
Total number of agency employees expected to be on board before implementation of the plan:	830
Total number of agency employees expected to be furloughed under the plan (unduplicated count):	196
Total number of employees to be retained under the plan for each of the following categories (may include duplicated counts):	
Compensation is financed by a resource other than annual appropriations: ¹	623
Necessary to perform activities expressly authorized by law:	1
Necessary to perform activities necessarily implied by law: ¹	6
Necessary to the discharge of the President's constitutional duties and powers: ¹	0
Necessary to protect life and property: ¹	4

¹ Includes 286 staff at the US Merchant Marine Academy (USMMA) funded by multi-year or no-year carry-forward funds. Once funding is exhausted, 16 USMMA staff would be retained as necessary to perform activities necessarily implied by law, 191 USMMA staff would be retained as necessary to the discharge of the President's constitutional duties and powers, and 29 USMMA staff would be retained as necessary to protect life and property. One USMMA staff continues working as compensation is financed by a source with sufficient resources for the entire fiscal year. The remaining 50 USMMA staff would be furloughed.

Brief summary of significant agency activities that will continue during a lapse:

- MARAD functions that would continue during a lapse in appropriations address imminent hazards to the safety of human life and protection of vessels of the U.S. Government.

The United States Merchant Marine Academy (Academy) would continue to operate on funding other than annual appropriations. If that funding were exhausted, it would continue to operate in support of the President's constitutional duties and powers for national defense and national security. It is statutory policy that it is necessary for the national defense that the United States have a merchant marine capable of serving as a naval and military auxiliary in time of war or national emergency operated by citizens of the United States. Consistent with this policy, the Academy was established to train United States citizens to serve as officers in the United States merchant marine and in the Armed Forces of the United States. Shutdown of the Academy would disrupt the academic calendar and significantly impact cadets' ability to complete the mariner licensing required courses in time to take the United States Coast Guard mariner licensing exam. Any disruption of the licensing and commissioning progression potentially threatens the flow of merchant mariners critically needed for national defense and national security, as well as the approximately 25% of Academy midshipmen that enter active duty in the U.S. Armed Forces upon graduation.

- Academy will prioritize any carry-over balances to support personnel and contracts required to ensure continuation of academic instructional requirements, physical safety of the midshipmen, and protection of Academy assets. These requirements include academic coursework, regimental activities, athletics, Sea-Year training, campus security, and maintenance of Academy vessels, buildings, and midshipmen use facilities (e.g., athletic fields, pools, other training spaces).
- If carry-forward balances were exhausted, excepted positions including academic and athletic instructors, Commandant and training staff to supervise the midshipmen on campus and at Sea-Year, personnel required for dining, health, simulators training, other instructional and athletic support, admissions office and campus security will continue to work. Additionally, a limited number of personnel for mailroom, procurement, information technology, and financial management functions to support the instructional requirements will continue to work.
- Extracurricular midshipmen club activities funded with USMMA no-year gift funds will continue.
- If any carry-forward balances were exhausted and classes were not in session during an academic break, the Academy will remain open, but only a minimal cadre of personnel will be retained to cover necessary Academy functions during the break. These include positions necessary to protect life and property, those necessary to perform activities necessarily implied by law, and a limited number of personnel still required to discharge the President's constitutional duties and powers. All other personnel will be furloughed until classes resume.

- If any carry-forward balances were exhausted, ongoing no-year funded Capital Improvement Projects (CIP) where funding has been fully obligated will continue, with limited excepted Academy personnel for the protection of government property and provide on-site federal supervision and approve and process timely payments to contractors.
- Emergency and disaster assistance involving the safety of human life or protection of property would continue including MARAD employees who are necessary to execute active Mission Assignments from the Department of Homeland Security's (DHS) Federal Emergency Management Agency (FEMA).
- The no-year funded Ship Disposal Program would continue operations utilizing carry-over balances as long as sufficient funding is available. This includes the ongoing work to decommission the Nuclear Ship Savannah, which is fully-funded under this program.
- The no-year funded National Security Multi-Mission Vessel (NSMV) Program would continue operations utilizing carry-forward balances.
- MARAD would continue to operate the reimbursable (no-year funded from Department of Defense) National Defense Reserve Fleet, including the Ready Reserve Fleet (RRF), using carry-over balances as long as sufficient funding is available. Note that some MARAD employees are normally split-funded from RRF and annual appropriated MARAD funds. During a lapse in appropriations, these individuals will work only on the RRF program and will be paid only from RRF funds.
- The Maritime Security Program (MSP) would continue operations utilizing carry-forward balances. A limited number of excepted personnel are needed to maintain the program and to support the continued payment of the MSP stipend with carry-over funds.
- The Cable Security Fleet Program (CSF) would continue operations utilizing carry-forward balances. A limited number of excepted personnel are needed to maintain the program and to support the continued payment of the CSF stipend with carry-over funds.
- The Tanker Security Program (TSP) would continue operations utilizing carry-forward balances. A limited number of excepted personnel are needed to maintain the program and to support the continued payment of the TSP stipend with carry-over funds.

- The Port Infrastructure Development Program (PIDP) would continue operations utilizing carry-forward balances. Staff required for the award and oversight of the PIDP grants will continue to work and are funded from no-year carry-forward funds available for administrative expenses.
- The United States Marine Highway (USMH) Grant Program would continue operations utilizing carry-forward balances. Staff required for the award and oversight of the AMH grants will continue to work and are funded from no-year carry-forward funds available for administrative expenses.
- 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 would cause an imminent hazard to the protection of U.S. Government property.
- Government personnel and contractor support required to maintain the agency's data center and cybersecurity functions will continue.
- The use of existing government excepted and exempted employees capable of approving and processing the timely payments of valid obligations to contractors, grantees and other service providers will be utilized to the maximum extent possible. If not feasible, then it may be necessary for furloughed employees to be recalled on at least an intermittent basis to approve and process these timely payments.
- Staff required for the award and oversight of the National Infrastructure Investments (NII) grants will continue to work and are funded from the multi-year funds available for administrative expenses.
- Activities and personnel funded from the supplemental appropriations portion of the Infrastructure Investment and Jobs Act (IIJA, Division J).

Brief summary of significant agency activities that will cease during a lapse:

- Program support from Office of Chief Counsel, Environment and Compliance, Ports and Waterways, and Business and Finance Development would cease, other than those related to the Academy or other excepted or exempted/funded activities.

- Administrative support functions (Information Technology, Human Resources, Finance and Budget, etc.) would cease, other than those related to the Academy or other excepted or exempted/funded activities.
- Academy will suspend all non-essential procurements (e.g., employee training, faculty and staff travel not in direct support of essential midshipman travel, Library acquisitions not in direct support of on-going academic instruction, etc.) to preserve any carryover balances.
- Approval of vessel transfers out of the U.S.-flag registry will cease, as well as the merchant marine awards program.
- All activities within the Committee on Marine Transportation Systems.
- All activities within the Office of Civil Rights.
- All activities within the Office of Congressional and Public Affairs.
- All activities within the Office of International Activities.
- All activities within the Office of Policy and Plans.
- All activities within the Office of Maritime Education and Training.
- All activities within the Office of Cargo and Commercial Sealift, with the exception of staff excepted to monitor Jones Act waiver requests and if necessary to support emergency crisis management and to identify domestic shipping options that can be utilized in an emergency.

Additional Information

Shutdown Checklist

- Shutdown plans are up-to-date and will be approved by the Administrator and senior staff prior to implementation.

- The Office of Human Resources has identified each position subject to a furlough, and preparations are in place to notify affected staff.
- Logistics are in place to provide for an orderly recall of employees and a return to normal operations once annual appropriations are restored.
- CFO/Budget officer will take measures to ensure that all funding that is subject to an appropriations lapse is made unavailable for obligation and outlay in the financial system.
- Payroll records will be updated to ensure timely and accurate payroll be performed for staff being shifted from lapsed funding into alternate sources (i.e., carryover).

GREAT LAKES ST. LAWRENCE SEAWAY DEVELOPMENT CORPORATION

Appropriation Lapse Plan Summary Overview

Estimated time (to nearest half day) required to complete shutdown activities:	0
Total number of agency employees expected to be on board before implementation of the plan:	130
Total number of agency employees expected to be furloughed under the plan (unduplicated count):	0
Total number of employees to be retained under the plan for each of the following categories (may include duplicated counts):	
Compensation is financed by a resource other than annual appropriations:	130
Necessary to perform activities expressly authorized by law:	0
Necessary to perform activities necessarily implied by law:	0
Necessary to the discharge of the President's constitutional duties and powers:	0
Necessary to protect life and property:	0

Brief summary of significant agency activities that will continue during a lapse:

- The GLS will utilize its statutory authority (33 U.S.C. 981, et seq.) 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.
- GLS Congressional Affairs and Public Affairs activities will continue to function as normal.
- The GLS will make timely payments to contractors, as necessary.

- CFO will take measures to ensure that all funding that is subject to current year appropriation actions is made unavailable for obligation and outlay in the financial system.
- Payroll records will be updated to ensure timely and accurate payroll be performed for staff being shifted from lapsed funding into alternate sources (i.e., carryover).
- As was the case during past lapses in appropriations, Seaway operations, including compensation and benefits for personnel, is funded through the GLS's no-year revolving account unobligated balance (10/1/22 balance of \$19.1 million).

Summary of Suspended Activities

- No activities will be suspended.

OFFICE OF INSPECTOR GENERAL

Appropriation Lapse Plan Summary Overview

Estimated time (to nearest half day) required to complete shutdown activities:	0.5
Total number of agency employees expected to be on board before implementation of the plan:	395
Total number of agency employees expected to be furloughed under the plan (unduplicated count):	295
Total number of employees to be retained under the plan for each of the following categories (may include duplicated counts):	
Compensation is financed by a resource other than annual appropriations:	0
Necessary to perform activities expressly authorized by law:	1
Necessary to perform activities necessarily implied by law:	7
Necessary to the discharge of the President's constitutional duties and powers:	0
Necessary to protect life and property:	92

Brief summary of significant agency activities that will continue during a lapse:

- Law Enforcement Activities
- Hotline and Crisis Management Center point of contact
- Support for HR and IT systems that are necessary for continuation of excepted law enforcement activities

Brief summary of significant agency activities that will cease during a lapse:

- Audits
- Legal functions
- Administrative functions (e.g., Procurement & Administrative Services, Human Resources, and Information Technology)
- Strategic Communications and Programs functions (e.g., Government and Public Affairs; and Budget and Financial Management)

Additional information:

Shutdown Checklist

- Shutdown plans are up-to-date and will be approved by the Inspector General prior to implementation.
- The Office of Human Resources has identified each position subject to a furlough, and preparations are in place to notify affected staff.
- Logistics are in place to provide for an orderly recall of employees and a return to normal operations, once annual appropriations are restored.
- CFO/Budget Officer will take measures to ensure that all funding that is subject to current year appropriation actions is made unavailable for obligation and outlay in the financial system.

OFFICE OF THE SECRETARY

Lapse Plan Summary Overview

Estimated time (to nearest half day) required to complete shutdown activities:	0.5
Total number of agency employees expected to be on board before implementation of the plan:	1,794
Total number of agency employees expected to be furloughed under the plan (unduplicated count):	455
Total number of employees to be retained under the plan for each of the following categories:	
Compensation is financed by a resource other than annual appropriations: ¹	1,243
Necessary to perform activities expressly authorized by law:	16
Necessary to perform activities necessarily implied by law:	64
Necessary to the discharge of the President’s constitutional duties and powers:	0
Necessary to protect life and property:	16

¹ This includes employees funded under the Working Capital Fund (WCF) and Volpe WCF.

Brief summary of significant agency activities that will continue during a lapse:

- Functions necessary to address imminent hazards to the safety of human life and the protection of property, including IT systems and functions related to cybersecurity;
- Activities funded through the Working Capital Fund for which resources remain available, including the security of the Headquarters building;
- Staff functions necessarily implied from the authorized continuation of other activities across the Department;
- Congressional affairs as necessarily implied from the authorized continuation of legislative activity;

- Certain public affairs activities, including responding to media inquiries related to emergency matters addressing imminent hazards to the safety of human life and the protection of property and activities necessarily implied from the authorized continuation of other activities across the Department; and
- Activities funded by multi-year or no-year appropriations including the following:
 - Transportation Planning, Research and Development
 - Essential Air Service
 - Small Communities Air Service Development Program
 - Operational Support Account
 - National Surface Transportation and Innovative Finance Bureau
 - Small and Disadvantaged Business Utilization and Outreach
 - Working Capital Fund
 - Volpe
 - Transportation Safety Institute
- Activities and personnel funded from the supplemental appropriations portion of the Infrastructure Investment and Jobs Act (IIJA, Division J)

Brief summary of significant agency activities that will cease during a lapse:

- Suspended activities during a lapse in annual appropriations will mainly be support from staff offices that are not associated with authorized continuation of other activities across the Department, including the following:
 - Routine public affairs activities, including responding to routine inquiries from news media and preparing routine news releases and related material;
 - Undertaking non-excepted budget and finance related activities;
 - Undertaking Information Technology policy oversight and related activities;
 - Undertaking non-excepted legal functions, including routine activities related to acquisitions, aviation licensing, regulatory policies, and FOIA; and
 - Operation of the Administrative Law Judges program, human resources policy, administrative policy, and audit relations.

Additional information:

Shutdown Checklist

- Shutdown plans are up-to-date and will be approved by the Deputy Secretary prior to implementation.
- The Office of Human Resources has identified each position subject to a furlough, and preparations are in place to notify affected staff.
- Logistics are in place to provide for an orderly recall of employees and a return to normal operations once annual appropriations are restored.