# Guidance On Operations During A Lapse In Appropriations

#lapse in appropriations #government shutdown operations #federal agency guidance #contingency planning #essential services continuity

This critical guidance provides comprehensive instructions for maintaining essential operations and ensuring continuity of government functions during a lapse in appropriations. It outlines procedures for federal agencies to manage resources, personnel, and critical activities effectively throughout a government shutdown, minimizing disruption to public services and ensuring compliance with federal mandates.

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Government Shutdown: Operations of the Department of Defense During a Lapse in Appropriations

Funding for the Department of Defense, as for most other federal agencies, is being provided through a Continuing Resolution that may expire after April 8, 2011. If additional funding is not provided after then, DOD, like other agencies, may be subject to a lapse in appropriations during which agencies are generally required to shut down. In the past, however, the Office of Management and Budget (OMB) has identified a number of exceptions to the requirement that agencies cease operations, including a blanket exception for activities that "provide for the national security." If the Administration approves of such exceptions in the current circumstances, many Department of Defense activities would continue, though other activities would halt. As a result, during a lapse in appropriations, some DOD personnel would be "excepted" from furloughs, including most or all uniformed military personnel, while others would not be permitted to work. Even "excepted" military and civilian personnel who would continue to work and whose pay is normally provided through annual appropriations would not be paid, however, until after appropriations are subsequently provided for that purpose. The authority to continue some activities during a lapse in appropriations is governed by the Anti-Deficiency Act, now codified at 31 U.S.C. 1341 and 1342, as interpreted by Department of Justice (DOJ) legal opinions and reflected in Office of Management and Budget (OMB) guidance to Executive agencies. Subject to review by OMB, each agency is responsible for making specific determinations on which activities may continue during a shutdown and which may not. Legally, according to DOJ and OMB guidance, activities that may continue during a lapse in appropriations include (1) activities "necessary to bring about the orderly termination of an agency's functions;" (2) administration of benefit payments provided through funds that remain available in the absence of new appropriations, including, in the case of DOD, military retirement benefits; (3) activities and purchases financed with prior year funds and ongoing activities for which funding has already been obligated; (4) activities undertaken on the basis

of constitutional authorities of the President; and (5) activities related to "emergencies involving the safety of human life or the protection of property." The Defense Department attributes its authority to carry on national security-related operations mainly to Section 1342 of the Anti-Deficiency Act that permits the continuation of activities to protect human life and property.

### Government Shutdown

During a federal funding hiatus, or lapse in appropriations, the Department of Homeland Security (DHS) must be able to cease its government operations in an orderly fashion. Only those functions and activities that are exempt from the work restrictions specified in the Anti-Deficiency Act (ADA) may continue during a lapse in appropriations. The ADA codifies the Constitutional requirement that "No Money shall be drawn from the Treasury, but in consequence of appropriations made by Law." Federal officials are prohibited from entering into contracts, incurring obligations, or performing activities without having a current appropriation, unless authorized by law. The Act further restricts acceptance of voluntary services or personal services beyond authorized levels "except for emergencies involving the safety of human life or the protection of property." As a result, only activities that qualify as exempt may continue to operate during a lapse in appropriations. In accordance with Section 124 of Office of Management and Budget (OMB)'s 2014 Circular A- 11, "Agency Operations in the Absence of Appropriations," the Department has developed the procedures outlined in this document as its contingency plan. Included, and as also specified by the A-11 guidance, is the identification of the following information: An estimate, to the nearest half-day, of the time necessary to accomplish an orderly closure. The total number of DHS employees on-board before implementation of the plan. The total number of employees expected to be exempt from a lapse in appropriations. Upon notification from OMB and subsequent direction from the DHS Under Secretary for Management (USM), DHS Components must adhere to the guidelines as set forth in the following pages. This includes the preparation of employee notices of furlough, the processing of personnel and pay records in connection with furlough actions, and the release of employees subject to a furlough in accordance with applicable law and regulations of the Office of Personnel Management (OPM). Failure to maintain and adhere to these procedures may result in a violation of the ADA.

## Procedures Relating to a Lapse in Appropriations

The Rationale for Federal Involvement -- Program Scoring, Justification, and Other Issues -- Questions for Chapter 10 -- Discussion Items for Chapter 10 -- Appendix: Federal Credit and Insurance Program Summary -- 11. The Budget and the Economy: Each Affects the Other -- The Economy's Effect on the Budget -- The Budget's Effect on the Economy -- Standardized vs. Cyclical Budget -- Issues-Did the Stimulus Measures do their Job? -- The Business Cycle vs. the Political Cycle -- Conclusions -- Questions for Chapter 11 -- Discussion Item for Chapter 11 -- 12. The Budget and Government Performance: Will Making the Government more Efficient Save Lots of Money? -- "The Budget and Government Performance" Comprises several Discrete Issues -- Some Historical Background -- The Challenges Facing Congress and the Executive Branch -- The Bottom Line -- Question for Chapter 12 -- Discussion Items for Chapter 12 -- 13. Federalism and the Budget: Washington and the States: the 1 Trillion Puzzle -- Federal Assistance-some Historical Context -- Federal Assistance Today -- The Federal Budget's Impact outside Washington Extends beyond Intergovernmental Assistance -- Using Intergovernmental Assistance to Help Achieve Federal Goals -- Unfunded Mandates -- Preemption-What's that All About? -- The Bottom Line -- Questions for Chapter 13 -- Discussion Items for Chapter 13 -- 14. Controlling the Budget in a Partisan Environment -- What is the Problem with the Budget? -- The Short-term Budget Dilemma -- The Long-term Budget Dilemma -- Efforts to Balance the Budget-a Review -- The Budget Control Act of 2011 and the Breakdown of the Budget Process -- The Bottom Line -- Discussion Items for Chapter 14 -- Appendix: Medicaid, Medicare and Social Security: What are They? -- Notes --Appendix 1 -- Appendix 2 -- Bibliography -- Index.

Annual Report on the Activities of the Committee on House Administration of the House of Representatives During the ... Congress, Together with Minority Views

The June 2019 OMB Circular No. A-11 provides guidance on preparing the FY 2021 Budget and instructions on budget execution. Released in June 2019, it's printed in two volumes. This is Volume I. Your budget submission to OMB should build on the President's commitment to advance the vision of a Federal Government that spends taxpayer dollars more efficiently and effectively and to provide necessary services in support of key National priorities while reducing deficits. OMB looks forward

to working closely with you in the coming months to develop a budget request that supports the President's vision. Most of the changes in this update are technical revisions and clarifications, and the policy requirements are largely unchanged. The summary of changes to the Circular highlights the changes made since last year. This Circular supersedes all previous versions. VOLUME I Part 1-General Information Part 2-Preparation and Submission of Budget Estimates Part 3-Selected Actions Following Transmittal of The Budget Part 4-Instructions on Budget Execution VOLUME II Part 5-Federal Credit Part 6-The Federal Performance Framework for Improving Program and Service Delivery Part7-Appendices Why buy a book you can download for free? We print the paperback book so you don't have to. First you gotta find a good clean (legible) copy and make sure it's the latest version (not always easy). Some documents found on the web are missing some pages or the image quality is so poor, they are difficult to read. If you find a good copy, you could print it using a network printer you share with 100 other people (typically its either out of paper or toner). If it's just a 10-page document, no problem, but if it's 250-pages, you will need to punch 3 holes in all those pages and put it in a 3-ring binder. Takes at least an hour. It's much more cost-effective to just order the bound paperback from Amazon.com This book includes original commentary which is copyright material. Note that government documents are in the public domain. We print these paperbacks as a service so you don't have to. The books are compact, tightly-bound paperback, full-size (8 1/2 by 11 inches), with large text and glossy covers. 4th Watch Publishing Co. is a HUBZONE SDVOSB. https://usgovpub.com

## The Army Lawyer

Dated October 2007. The publication is effective from October 2007, when it replaces "Government accounting". Annexes to this document may be viewed at www.hm-treasury.gov.uk

# Working the Federal Budget

When federal agencies and programs lack funding after the expiration of full-year or interim appropriations, the agencies and programs experience a funding gap. If funding does not resume in time to continue government operations, then, under the Antideficiency Act, an agency must cease operations, except in certain situations when law authorizes continued activity. The criteria that flow from the Antideficiency Act for determining which activities are affected are complex.

#### Circular No. A-11

The federal budget impacts American policies both at home and abroad, and recent concern over the exploding budgetary deficit has experts calling our nation's policies "unsustainable" and "system-dooming." As the deficit continues to grow, will America be fully able to fund its priorities, such as an effective military and looking after its aging population? In this third edition of his classic book The Federal Budget, Allen Schick examines how surpluses projected during the final years of the Clinton presidency turned into oversized deficits under George W. Bush. In his detailed analysis of the politics and practices surrounding the federal budget, Schick addresses issues such as the collapse of the congressional budgetary process and the threat posed by the termination of discretionary spending caps. This edition updates and expands his assessment of the long-term budgetary outlook, and it concludes with a look at how the nation's deficit will affect America now and in the future. "A clear explanation of the federal budget... [Allen Schick] has captured the politics of federal budgeting from the original lofty goals to the stark realities of today."—Pete V. Domenici, U.S. Senate

## State Magazine

Traditionally, economics training in public finances has focused more on tax than public expenditure issues, and within expenditure, more on policy considerations than the more mundane matters of public expenditure management. For many years, the IMF's Public Expenditure Management Division has answered specific questions raised by fiscal economists on such missions. Based on this experience, these guidelines arose from the need to provide a general overview of the principles and practices observed in three key aspects of public expenditure management: budget preparation, budget execution, and cash planning. For each aspect of public expenditure management, the guidelines identify separately the differing practices in four groups of countries - the francophone systems, the Commonwealth systems, Latin America, and those in the transition economies. Edited by Barry H. Potter and Jack Diamond, this publication is intended for a general fiscal, or a general budget, advisor interested in the macroeconomic dimension of public expenditure management.

## Government Shutdown I

A. The Appropriations Process. 1. U.S. Constitution, Art. I, ? 8, grants Congress the ?... power to lay and collect Taxes, Duties, Imposts, and Excises, to pay the Debts and provide for the common Defence and general Welfare of the United States . . . . ? 2. U.S. Constitution, Art. I, ? 9, provides that ?[N]o Money shall be drawn from the Treasury but in Consequence of Appropriations made by Law.? B. The Supreme Court's Fiscal Philosophy: ?The established rule is that the expenditure of public funds is proper only when authorized by Congress, not that public funds may be expended unless prohibited by Congress.? United States v. MacCollom, 426 U.S. 317 (1976).

# Managing Public Money

Scores of talented and dedicated people serve the forensic science community, performing vitally important work. However, they are often constrained by lack of adequate resources, sound policies, and national support. It is clear that change and advancements, both systematic and scientific, are needed in a number of forensic science disciplines to ensure the reliability of work, establish enforceable standards, and promote best practices with consistent application. Strengthening Forensic Science in the United States: A Path Forward provides a detailed plan for addressing these needs and suggests the creation of a new government entity, the National Institute of Forensic Science, to establish and enforce standards within the forensic science community. The benefits of improving and regulating the forensic science disciplines are clear: assisting law enforcement officials, enhancing homeland security, and reducing the risk of wrongful conviction and exoneration. Strengthening Forensic Science in the United States gives a full account of what is needed to advance the forensic science disciplines, including upgrading of systems and organizational structures, better training, widespread adoption of uniform and enforceable best practices, and mandatory certification and accreditation programs. While this book provides an essential call-to-action for congress and policy makers, it also serves as a vital tool for law enforcement agencies, criminal prosecutors and attorneys, and forensic science educators.

## A History of the Committee on House Administration, 1947-2012

The Congressional Record is the official record of the proceedings and debates of the United States Congress. It is published daily when Congress is in session. The Congressional Record began publication in 1873. Debates for sessions prior to 1873 are recorded in The Debates and Proceedings in the Congress of the United States (1789-1824), the Register of Debates in Congress (1824-1837), and the Congressional Globe (1833-1873)

## Shutdown of the Federal Government

A basic reference document for persons interested in the federal budget-making process. Emphasizes budget terms in addition to relevant economic and accounting terms to help the user appreciate the dynamics of the budget process. Also distinguishes between any differences in budgetary and non-budgetary meanings of terms. Over 300 terms defined. Index. Appendices: overview of the federal budget process, budget functional classification, and more.

## The Federal Labor-management and Employee Relations Consultant

Virements are useful instruments of budget flexibility. If carried out transparently and within accepted limits, virements can promote expenditure efficiency. Large, unregulated virements can undermine budget credibility and the budget's relevance as principal policy and financial planning instrument. This note defines virements, clarifies their purpose, and specifies what general and country-specific considerations should guide the design of a virement framework. The note argues that countries should design virement policies maintaining balance between their budget flexibility and accountability needs, and keeping in view the legal-cultural environment and the state of development of their public financial management.

#### Howard F. Buck McKeon National Defense Authorization Act for Fiscal Year 2015

As more people live longer, the need for quality long-term care for the elderly will increase dramatically. This volume examines the current system of nursing home regulations, and proposes an overhaul to better provide for those confined to such facilities. It determines the need for regulations, and concludes that the present regulatory system is inadequate, stating that what is needed is not more regulation, but better regulation. This long-anticipated study provides a wealth of useful background information,

in-depth study, and discussion for nursing home administrators, students, and teachers in the health care field; professionals involved in caring for the elderly; and geriatric specialists.

# The Interpretation of H.R. 3210, Pay Our Military Act

Legal reasoning, pronouncements of judgment, the design and implementation of statutes, and even constitution-making and discourse all depend on timing. This compelling study examines the diverse interactions between law and time, and provides important perspectives on how law's architecture can be understood through time. The book revisits older work on legal transitions and breaks new ground on timing rules, especially with respect to how judges, legislators and regulators use time as a tool when devising new rules. At its core, The Timing of Lawmaking goes directly to the heart of the most basic of legal debates: when should we respect the past, and when should we make a clean break for the future?

## Status of Open Recommendations

Budgeting for the federal government is an enormously complex process. It entails dozens of subprocesses, countless rules and procedures, the efforts of tens of thousands of staff persons in the executive and legislative branches, millions of work hours each year, and the active participation of the President and congressional leaders, as well as other members of Congress and executive officials. The enforcement of budgetary decisions involves a complex web of procedures that encompasses both congressional and executive actions. In the last four decades or so, these procedures have been rooted principally in two statutes—the Congressional Budget Act of 1974 and the Balanced Budget and Emergency Deficit Control Act of 1985. The 1974 act established a congressional budget process in which budget policies are enforced by Congress during the consideration of individual measures. The 1985 act embodies additional statutory enforcement procedures, substantially modified in 1990 and 1997, that have been used by the executive to enforce budget policies after the end of a congressional session. The 1997 iteration of these enforcement procedures were set aside in the latter years of their existence and effectively expired toward the end of the 107th Congress. Efforts to renew them in the 108th through 110th Congresses were not successful. In the 111th Congress, the pay-as-you-go procedures affecting direct spending and revenue legislation were restored in a modified version by the Statutory Pay-As-You-Go Act of 2010. More recently, in the 112th Congress, statutory limits on discretionary spending and a new automatic process to reduce spending were established by the Budget Control Act of 2011. The President's budget is required by law to be submitted to Congress early in the legislative session. While the budget is only a request to Congress, the power to formulate and submit the budget is a vital tool in the President's direction of the executive branch and of national policy. The President's proposals often influence congressional revenue and spending decisions, though the extent of the influence varies from year to year and depends more on political and fiscal conditions than on the legal status of the budget. The Congressional Budget Act of 1974 establishes the congressional budget process as the means by which Congress coordinates the various budget-related actions (such as the consideration of appropriations and revenue measures) taken by it during the course of the year. The process is centered on an annual concurrent resolution on the budget that sets aggregate budget policies and functional spending priorities for at least the next five fiscal years. Because a concurrent resolution is not a law—it cannot be signed or vetoed by the President—the budget resolution does not have statutory effect; no money can be raised or spent pursuant to it. Revenue and spending amounts set in the budget resolution establish the basis for the enforcement of congressional budget policies through points of order. Congress implements budget resolution policies through action on individual revenue and debt limit measures, annual appropriations acts, and direct spending legislation. In some years, Congress considers reconciliation legislation pursuant to reconciliation instructions in the budget resolution. Reconciliation legislation is used mainly to bring existing revenue and direct spending laws into conformity with budget resolution policies. Initially, reconciliation was a major tool for deficit reduction; in later years, reconciliation was used mainly to reduce revenues.

Desk Book for Chief Judges of United States District Courts

**Budget Process Law Annotated**