Federal Budget & Appropriations Process

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Outline

• Federal Budget Timeline
• Key R&D Departments and Agencies
• Authorization vs. Appropriations
Federal Agency Budgeting

Coordination and Top-Down Guidance

OMB Budget Directives

White House S&T Priorities (Annual OSTP/OMB Memo)

Congressional Agreements and Authorizing Legislation

Agency’s R&D Budget

Agency Leadership

Decentralized planning and scientific input

Strategic Planning

Advisory Panels and Review Committees

External Committees (e.g. NAS) and broader S&T community

Prior Years’ Budgets

Source: Adapted from AAAS R&D Program
# The Federal Budget Cycle

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<th>Year 1</th>
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<td><strong>Phase 1:</strong> Agency Budget Planning with OMB and OSTP oversight</td>
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<td><strong>Phase 2:</strong> OMB Review</td>
<td>OMB Budget Request Released</td>
<td><strong>Phase 3:</strong> Congressional Budgeting and Appropriations</td>
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- Government Fiscal Year begins in October *(FY2019 started on October 1, 2018)*
- President’s Annual Budget Request that is “released” in February or March is for the Fiscal Year beginning that calendar year *(OMB is preparing the FY2020 budget request right now)*
- The Federal Government is usually working on 3 budgets at any given time
  - Spending FY 2019 appropriations
  - Preparing FY 2020 budget
  - Likely already thinking about FY 2021 budget priorities

Source: Adapted from AAAS R&D Program
Agencies

- U.S. Geological Survey (USGS)
- Bureau of Land Management (BLM)
- Fish and Wildlife Service
- Bureau of Ocean Energy Management, Regulation and Enforcement
- National Institute of Standards and Technology (NIST)
- National Oceanic and Atmospheric Administration (NOAA)
- U.S. Patent and Trademark Office (USPTO)
- Census Bureau
- Federal Aviation Administration
- Federal Highway Administration

The President of the United States

Cabinet

- Department of State
- Department of the Treasury
- Department of Defense
- Department of Justice

- Department of the Interior
- Department of Agriculture
- Department of Commerce
- Department of Labor
- Department of Transportation

- Department of Housing and Urban Development
- Department of Health and Human Services
- Department of Energy
- Department of Education
- Department of Veterans Affairs
- Department of Homeland Security

- National Institutes of Health (NIH)
- Center for Disease Control and Prevention (CDC)
- Food and Drug Administration (FDA)
Authorizations vs. Appropriations

• Authorization
  – Creates, extends or makes changes to statutes and specific programs
  – Sets funding ceilings for what appropriators may spend
  – Under the jurisdiction of the topical legislative committees

• Appropriations
  – Under jurisdiction of Appropriation Committees
  – Permits funding (power to incur obligations)
  – Can be multiyear or advance appropriations (i.e. Veterans)
  – Can pass a continuing resolution as a “temporary spending bill” usually based on prior year’s spending
From Budget to Appropriations to 12 subcommittees (9 subcommittees appropriate agencies that support R&D)

House and Senate Budget Committees -> Set top-line spending targets -> House and Senate Appropriations Committees

Subcommittee allocations

- Commerce, Justice, Science, and Related Agencies (CJS)
  - NSF
  - NASA
- Energy & Water Development, and Related Agencies (E&W)
  - DOE
  - Army Corps of Engineers
- Labor, Health and Human Services, Education, and Related Agencies (Labor-H)
  - NIH
  - FDA
  - Labor
- Defense
  - DOD
- Interior and Environment
  - DOI
  - EPA
- Homeland Security
  - DHS

Departments and Agencies:
- Department of Agriculture (USDA)
  - Forest Service
  - Dept. of Education (Ed)