Federal Government Update: BUILDING BUDGETS
Timeline of Budget Preparation

• OMB sends guidance letter in Spring
• OSTP/OMB sends priority memo for R&D in Spring
• Agencies prepare budget submissions-Aug/Sept
  » EMBARGOED DISCUSSIONS
• Agencies submit budgets to OMB/EOP (OSTP) in Sept
• Thanksgiving OMB letter to agencies
• Rebuttal
• Christmas final numbers are locked
• Preparation of budget justifications, et al.
• President’s budget submitted in February
  – Agency required to support in public
• Congress holds hearings and passes authorization bill by Sept 30!
• Agencies began new budget process gathering ideas in March and April
Agency Primary Process

Top Down
(OSTP, OMB, Agency Management, Congress)

Bottom Up
(Academia, Industry, Agency S&E Personnel)

- NSF
- NIH
- NASA

- DOC
- DOD
- DOE
- Interior
- USDA
Targeting New Frontiers: “Top Down” and “Bottom”’s ”Up”

• Alignment with mission vision, goals & objectives
• Budget
• Integration of research with education
• Leveraging collaborations
• Potential for impact and transformation
• Urgency and readiness

Administration, Agency, OMB, Congress
PRIORITIES, STRATEGY & BUDGET

ACADEMIA & INDUSTRY

IDEAS

CONCEPTS

WORKSHOPS

MEETINGS
Emerging Frontiers in Research and Innovation (EFRI)

- Dr. Sohi Rastegar

- Established in FY2006 to support transformative opportunities, potentially leading to:
  - New areas for fundamental or applied research;
  - New industries or capabilities that result in a leadership position for the country;
  - Significant progress on a recognized national need or grand challenge

- Ideas for Research Area come from “continual” input from Engineering Community
  - Workshops,
  - Advisory committees,
  - Technical meetings,
  - Professional societies,
  - Proposals and awards,
  - NSF committees of visitors,

PERIODIC CALLS FOR EFRI TOPIC IDEAS
Engineering Directorate identifies, evaluates, and prioritizes those frontier topics that best match the EFRI criteria:

• holds potential for transformative outcomes,
• addresses a national need or grand challenge,
• involves multi- or interdisciplinary research,
• includes a community who is poised to respond,

and
• offers a clear leadership role for Engineering
• and/or significant progress on a recognized national need or grand challenge.
How Can Engineers/Scientists Help Shape Budgets & Policy

- Review of Grant Proposals
  - What gets funded
- Advice for Federal Agencies
  - Service on Advisory Committees or Councils
  - Leading Workshops
- Advice to the President
  - National Science Board
  - President’s Council of Advisors for Science & Technology (PCAST)
  - Presidential Commission for the Study of Bioethical Research
- National Academies: Science, Engineering, Institute of Medicine
  - Reports
- Professional Societies and Organizations
  - Policy papers
  - Reports: e.g. Grand Challenges, etc
- Global Arena
How To Read the Tea Leaves?

Predicting the Future of...

Federal Funding

Image: Gunnar Creutz, Falbygdens museum
The President Proposes

Agencies shall stand by the proposed budget
Agencies shall not ask you to lobby

Congress Disposes

Congress listens to their constituents
Critical to Understand That, in the Federal Government...

What Goes Around Comes Around