



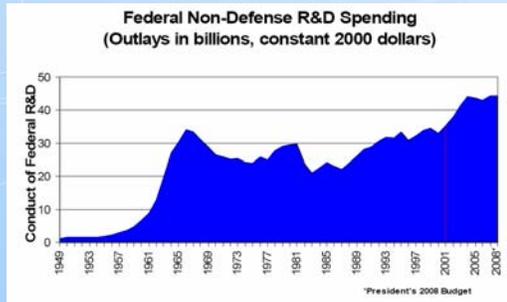
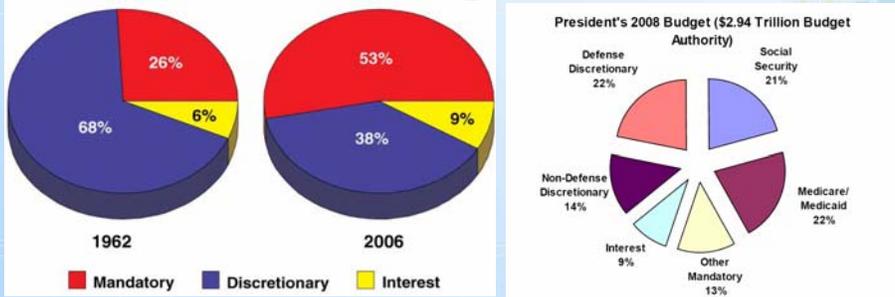
# The Federal S&T Budget Process

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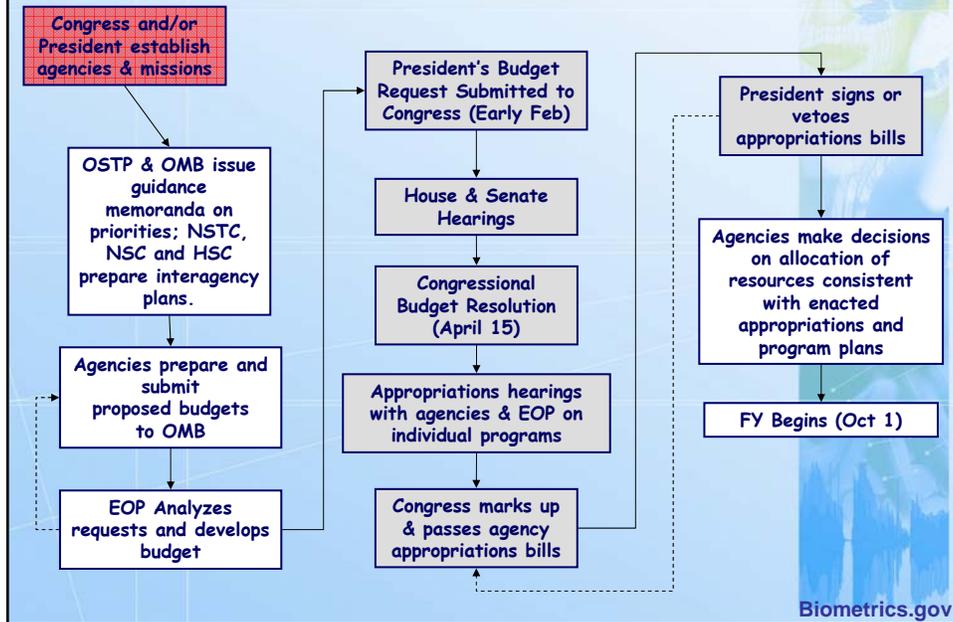


## Federal Budget Overview



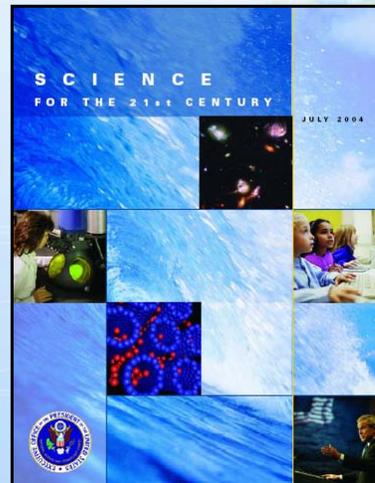
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## Budget Development



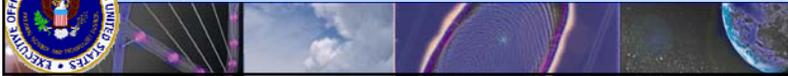
## Role of Government in Advancing Science

- ▶ The four major responsibilities of the federal science enterprise are to:
  - ▶ Promote discovery and sustain the excellence of the Nation's scientific research enterprise;
  - ▶ Respond to the Nation's challenges with timely, innovative approaches;
  - ▶ Invest in and accelerate the transformation of science into national benefits;
  - ▶ Achieve excellence in science and technology education and in workforce development.



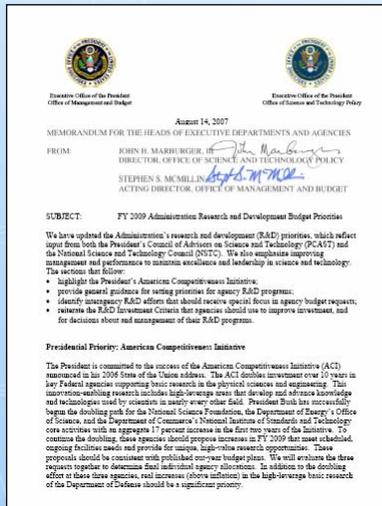
# National Science & Technology Council

- ▶ Established by Executive Order 12881
  - ▶ (a) The principal functions of the Council are, to the extent permitted by law:
    - 1. to coordinate the science and technology policy-making process;
    - 2. to ensure science and technology policy decisions and programs are consistent with the President's stated goals;
    - 3. to help integrate the President's science and technology policy agenda across the Federal Government;
    - 4. to ensure science and technology are considered in development and implementation of Federal policies and programs; and
    - 5. to further international cooperation in science and technology.
  - ▶ (b) All executive department and agencies, whether or not represented on the Council, shall coordinate science and technology policy through the council and shall share information on research and development budget requests with the council.
  - ▶ (c) The Council shall develop for submission to the Director of the Office of Management and Budget recommendations on research and development budgets that reflect national goals. In addition, the Council shall provide advice to the Director of the Office of Management and Budget concerning the agencies' research and development budget submissions.
- ▶ Additional information at [www.ostp.gov/nstc](http://www.ostp.gov/nstc)



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# R&D Budget Guidance Memo

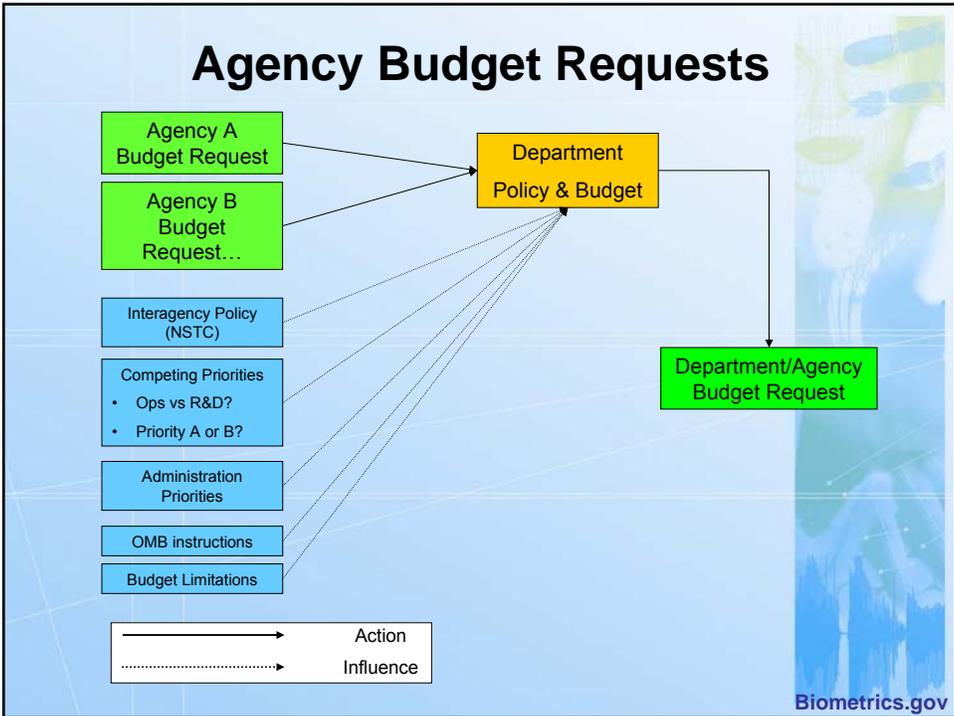
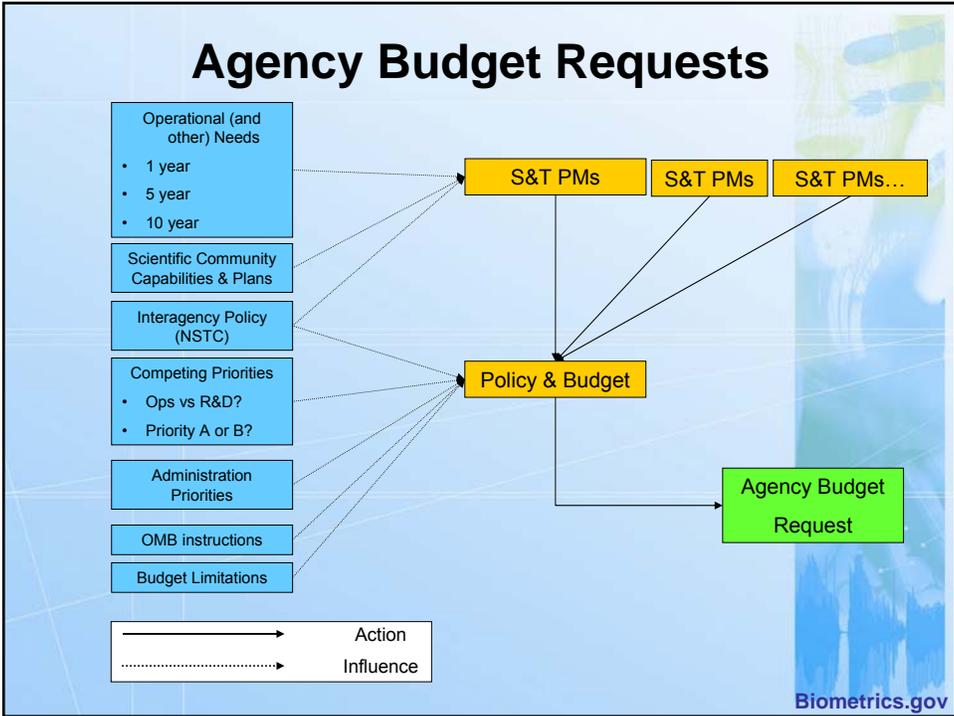


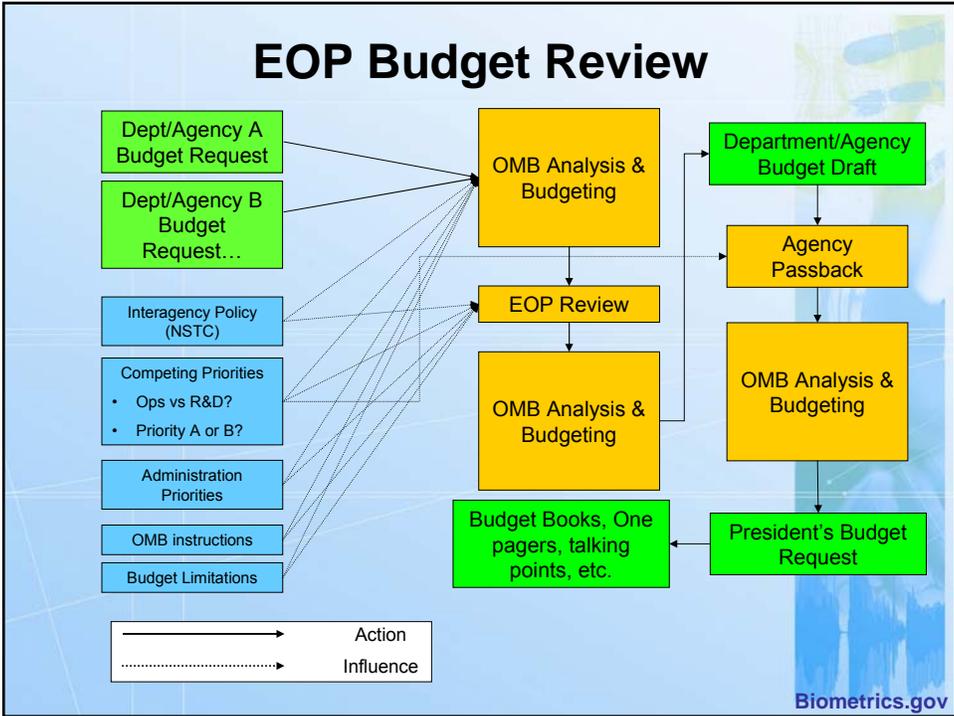
- ▶ Issued each year by the Directors of OMB and OSTP
  - ▶ Memo issued this spring is for FY09 Budget
- ▶ Discusses key administration priorities
- ▶ Names technology areas for agencies to emphasize in their budget planning
- ▶ <http://www.ostp.gov/html/FY2009FINALOMB-OSTPRDPriorityMemo.pdf>

## 2007 memo (FY09)

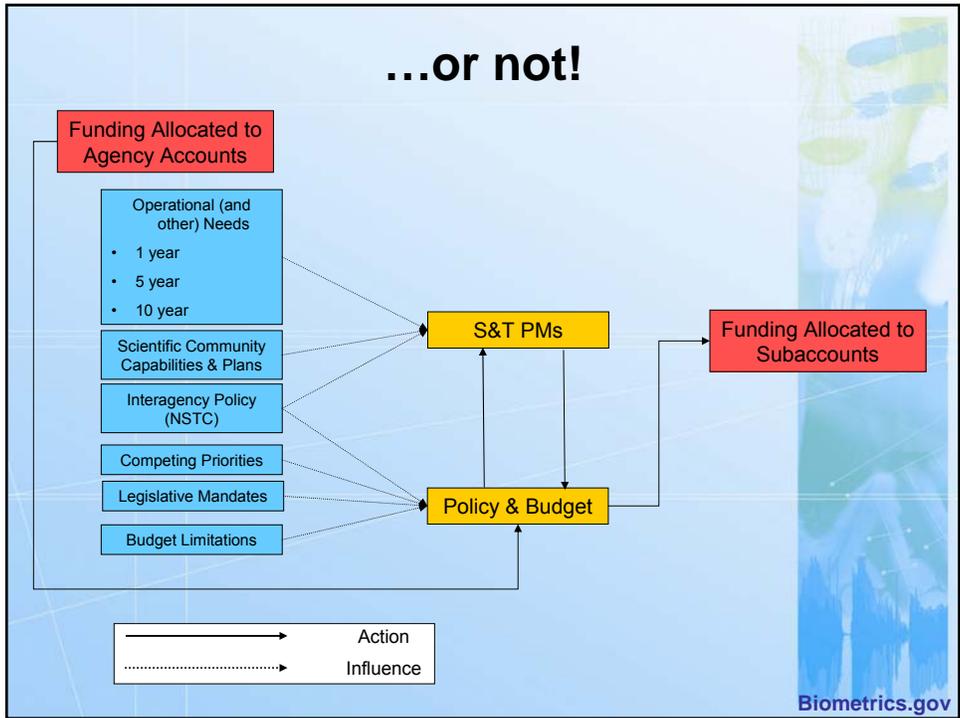
"Rapid, reliable and accurate biometric-based recognition of individuals is necessary for successful homeland security, counterterrorism, border control, law enforcement, e-commerce and e-government, and identity theft prevention. As directed by the National Security Council's Deputies Committee, agencies are to place emphasis on the priorities outlined in *The National Biometrics Challenge* and the resulting agenda developed by the NSTC Subcommittee on Biometrics and Identity Management. This will advance systems, methods and tools to achieve real-time, verifiable, interoperable, and privacy-protecting root identification. Each agency's plans to fulfill their portion of the agenda, and planned coordination with other agencies, should be highlighted in their budget requests."

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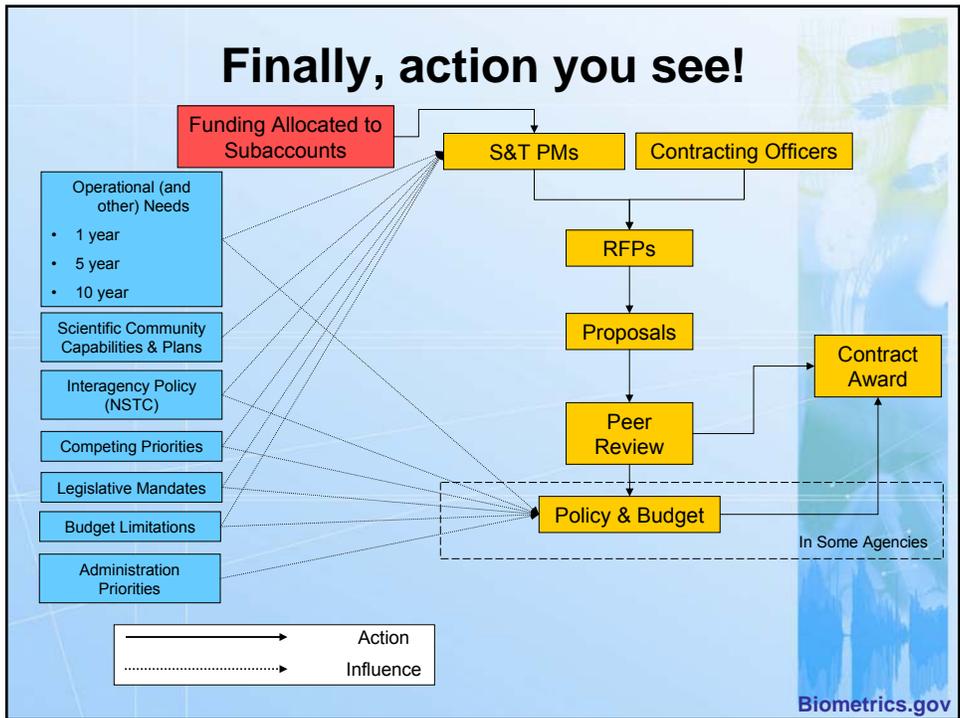




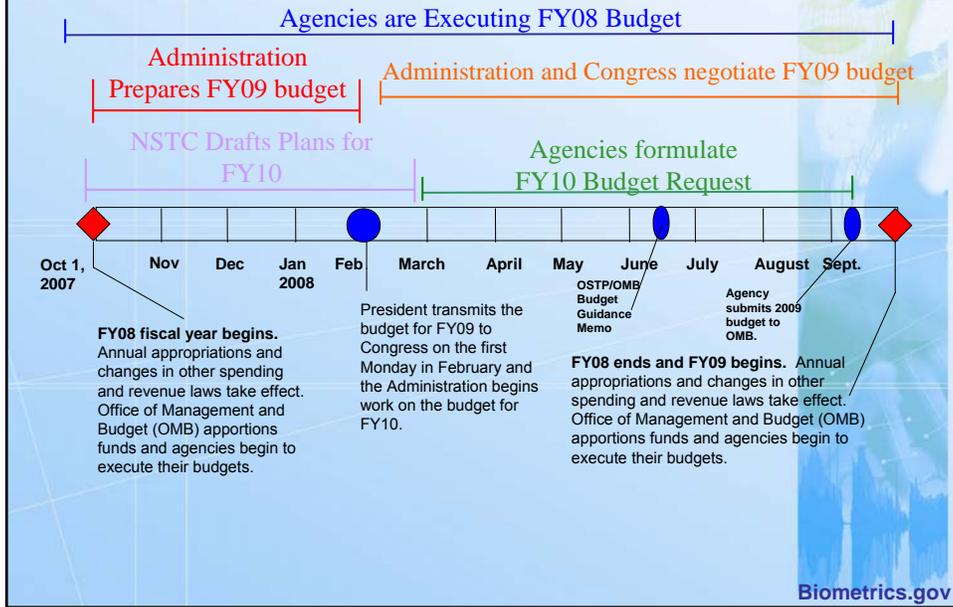
# ...or not!



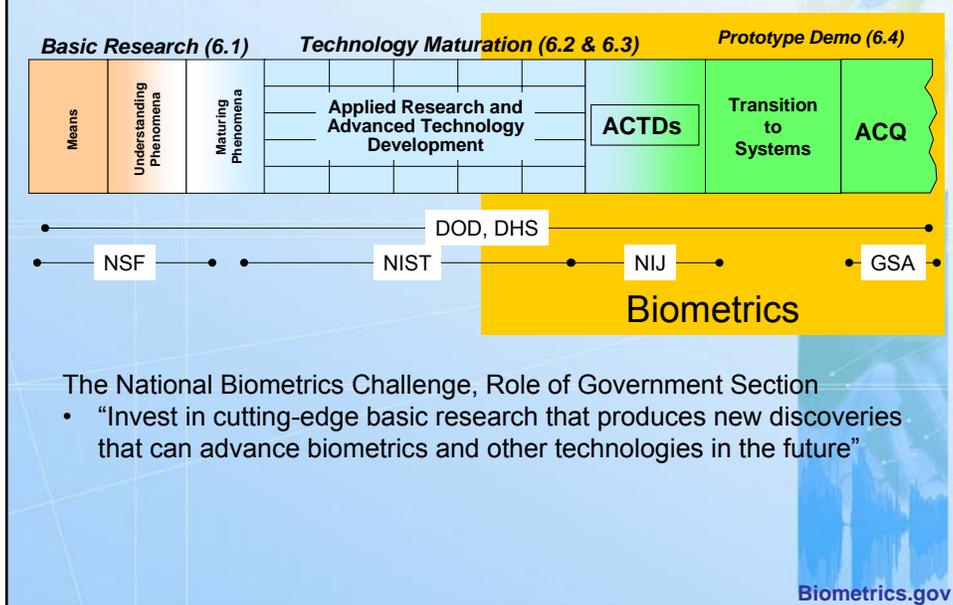
# Finally, action you see!



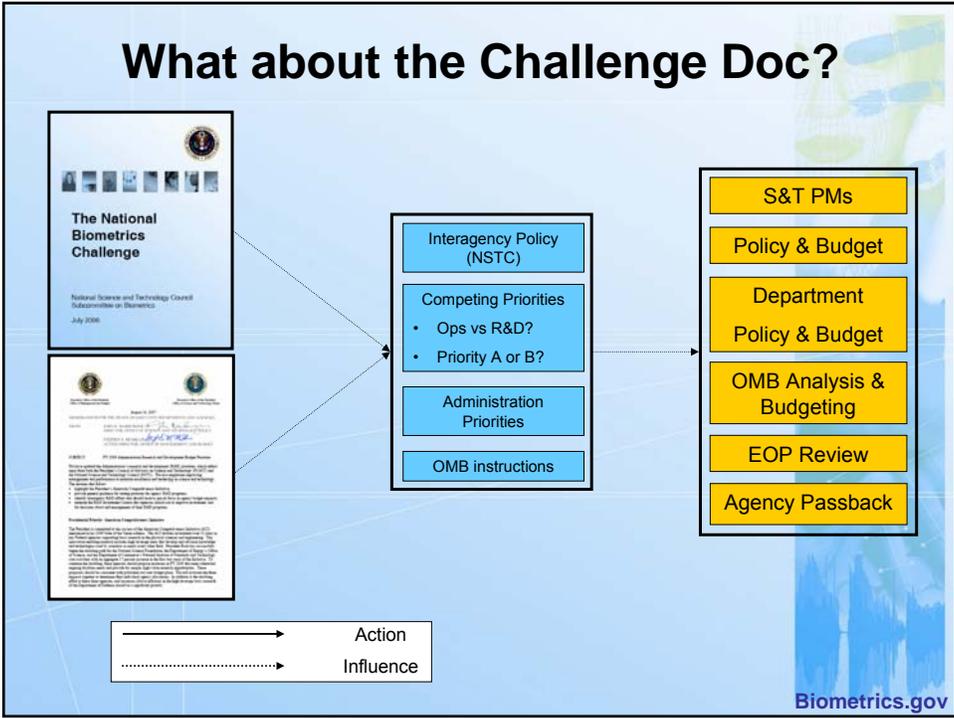
# Budget Timelines



# “Color” of Money is Important



# What about the Challenge Doc?



# Goal for Today



## Next Steps

- ▶ Community-wide discussion on how to meet the challenges
- ▶ Action!

*The community met its initial post-9/11 challenge. Now let's work together to meet tomorrow's needs.*

BCC 2006 Slide

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## S&T Budget Fast Facts

- ▶ The federal budgeting process is very complex and detailed
  - ▶ Plans go through rigorous review & approval processes
    - Except for very small amount efforts, which are planned at the very end of the process
    - Process prohibits PMs from making definitive statements about future plans
  - ▶ Realignment of funds from between focus areas is difficult
  - ▶ The "Color of Money" is important
  - ▶ Multi-year programs are difficult to establish
    - Interagency multi-year programs even more so
- ▶ Federal FY runs October through September
  - ▶ Money expires
    - In most agencies, funds must be "let" by the end of the FY or it is lost
    - Some agencies have funding that doesn't expire for 2 or more years
  - ▶ Congressional timeliness is important
    - Beginning of FY remains in October, even if appropriations laws are late
    - Continuing Resolutions throw S&T plans into (temporary) disarray
  - ▶ Federal agencies are working on three fiscal years at any given time.
- ▶ Peer review is critical
  - ▶ Determining budget allocations & actual contracts
  - ▶ Challenges scientists, which produces better results
  - ▶ Earmarks are harmful
    - Typically fund non-critical initiatives, taking money away from true needs
    - Minimal positive impact as it isn't a component of overall plans
    - Often performed by parties that wouldn't have been selected via competitive review
    - Are difficult to manage

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## Random hints for obtaining federal funding

- ▶ Read and respond to solicitation requirements
  - ▶ Do you understand the operational requirements?
  - ▶ Both written text and underlying intent of RFP
  - ▶ If there are procedures in the RFP, are you following them?
- ▶ Is it for a grant, contract, joint effort?
- ▶ Understand the impact the “color of money” has
  - ▶ Describe eventual impact appropriately
- ▶ Write for the anticipated review board members
- ▶ Government doesn't like proprietary solutions
- ▶ Technical evidence trumps having your buddy say “it works great”  
**EVERY TIME**
  - ▶ *Independent* evaluations/assessments are good
    - Both in your RFP, and after your R&D effort is complete
  - ▶ Integrate social, legal, privacy and outreach plans
  - ▶ Graphics & editing helps – to a point
  - ▶ How do you measure the ROI?
  - ▶ If possible, treat the disease and not just the symptom
    - ▶ But also understand your limitations
  - ▶ Good:
    - ▶ Cost-sharing
    - ▶ Risk management plan
    - ▶ Options

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## Heilmeier Catechism

- What are we trying to do? What is the problem we are trying to solve?
- How is it done today, and what are the limitations of current practice?
- What is new in our approach, and why do we think it will be successful? What gives evidence that it will work?
- Assuming we are successful, what difference does it make?
- How long will it take, how much will it cost, and what are the mid-term and final exams?

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