HOW-TO GUIDE
Requesting Funding in the Annual Federal Appropriations Process

Designed for the University of Hawai‘i

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University of Hawai‘i System
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Relevance

• Federal funding requests are more likely to be successful when they are drafted strategically.

• Knowing how the federal budget and appropriations process works can enable UH leadership and faculty to more strategically and appropriately target their federal funding requests – to certain agencies and using certain types of language.
1. **Basics**: The Federal Budget & Appropriations Process (slides 4-25)
   - Types of federal spending
   - Steps of the annual federal budget process

2. **Specific How-To Guide**: Tips & Strategies for Effective Federal Funding Requests (slides 26-49)

3. **Practical Tips**: Finding What You Need
BASICS: FEDERAL BUDGET and APPROPRIATIONS PROCESS

Key references:

The Federal Budget

• For fiscal year (FY) 2015, the federal budget was $3.8 trillion.
  – Twenty-one percent of U.S. economy (measured by GDP)
• The federal fiscal year runs from October 1 to September 30
  – i.e., Fiscal Year (FY) 2020 runs from October 1, 2019 to September 30, 2020
Types of Federal Spending

FY2015 Mandatory and Discretionary Spending and Interest on Federal Debt
(In 2015 Dollars)

Source: OMB, National Priorities Project
Mandatory Spending

- Two-thirds of the federal budget.
- Spending that Congress legislates outside of the annual appropriations process.
- Primarily earned-benefit programs (i.e., Social Security, Medicare); also includes safety net programs (i.e., SNAP), federal funding on transportation, and more.
Total Mandatory Spending 2015: $2.45 Trillion

Source: OMB, National Priorities Project
Discretionary Spending

• Spending levels set annually by Congress through the annual appropriations process each year.
• Largest spending on military programs.
• Many other discretionary programs, including:
  – National Institutes of Health (NIH)
  – National Science Foundation (NSF)
  – U.S. Department of Education
Discretionary Spending 2015: $1.11 Trillion

Source: OMB, National Priorities Project
Putting all funding streams together...

Total Federal Spending 2015: $3.8 Trillion

Source: OMB, National Priorities Project
Steps of the Annual Budget and Appropriations Process

1. President submits a budget request (February)
2. The House and Senate pass budget resolutions
3. House and Senate subcommittees “markup” appropriations bills
4. House and Senate vote on appropriations bills and reconcile differences
5. The President signs each appropriations bill and the budget becomes law
Source: OMB, National Priorities Project
Step 1: The President’s Budget Request

- The president submits a budget request to Congress each February for the next fiscal year.
- To make the request, the president works with executive agencies to align administrative priorities with their budgets (including desired increases and cuts in federal programs).
- The president’s budget is mostly a statement of his aspirations; no legal requirement on Congress to follow it.
  - Congress has the power of the purse (not the president!).
Step 2: The House and Senate Pass Budget Resolutions

• The respective Budget Committees of the House and Senate each write and vote on their own budget resolutions (see next slide).

• After the House and Senate pass their budget resolutions, some members from each chamber come together to iron out the differences between the two versions (a “conference”), and the resulting reconciled bill is then voted on by each chamber.
What is a budget resolution?

• A budget resolution provides a structure for Congress to make budget decisions.

• It sets overall annual spending limits for federal agencies by including a “302(a) allocation” (top-level spending allowed; “budget authority”) for each Appropriations Committee.

• It is not a binding document and the president does not sign it.
Step 3: House and Senate Subcommittees “Markup” Appropriations Bills

• House and Senate Appropriations Committees determine the precise levels of funding for all discretionary programs.

• They set 302(b) allocations to divide among 12 appropriations subcommittees, each dealing with a different part of the budget.
12 Appropriations Subcommittees

1. Agriculture (Ag)
2. Commerce, Justice, Science (CJS)
3. Defense (DoD)
4. Energy and Water
5. Financial Services and General Government (FSGG)
6. Homeland Security
7. Interior and Environment
8. Labor, Health & Human Services, Education (LHHS)
9. Legislative Branch
10. Military Construction and VA (MilCon/VA)
11. State, Foreign Operations (SFOPs)
12. Transportation, Housing & Urban Development (THUD)
Step 3: House and Senate Subcommittees “Markup” Appropriation Bills, cont.

• The subcommittees must then decide how to distribute funds within their 302(b) allocations.
  – Members of Congress submit letters with specific requests for funding.
  – Subcommittee may conduct hearings with executive agency leaders about their requested budgets.

• The subcommittee chair writes a draft of the bill; all subcommittee members can then consider, amend, and finally vote on the bill.

• The bill needs to pass the subcommittee, then the full Appropriations committee, before being voted on the floor.
Content of Appropriations Bills

• Appropriations bills have specific program funding levels (i.e., $42 billion for NIH), but they also come with subcommittee reports that direct how the funds should be used (“report language”).
  – Report language directs a federal agency to do something, without necessarily allocating funds for that activity. Example:
    – “The Committee is concerned that the Division of Viral Hepatitis [DVH] has not been adequately prioritizing Hepatitis B virus [HBV], so the Committee encourages DVH to focus on strategies that focus on the elimination of HBV for all populations.”
• Both funding levels and report language are very important in directing federal funding!
Step 4: House and Senate vote on appropriations bills and reconcile differences

• Full House and Senate each then debate and vote on 12 appropriations bills →

• A conference committee resolves differences →

• Both House and Senate now vote on identical (reconciled) bills.
Step 5: The President signs each appropriations bill and the budget becomes law

- To become law, the president must sign each appropriations bill after it passes through Congress.
- The budget process is done once the president has signed all 12 appropriations bills.
- However, this full process is rarely done by October 1 (the new fiscal year)…
Continuing Resolutions

• If the budget process is not completed by October 1, Congress may pass a “continuing resolution” (CR).
• A CR extends funding for federal agencies, typically at the same rate that they had been previously funded, into a new fiscal year until new appropriations bills become law.
• If there is no CR, a federal government shutdown may occur.
Omnibus Bills

• If Congress can’t agree on 12 separate appropriations bills, it may pursue an “omnibus” or “minibus” bill.
  – Omnibus bill: one funding bill that includes all 12 subcommittee bills.
  – Minibus bill: one funding bill that includes two or more subcommittee bills.
• For example, the FY19 Labor-HHS-Ed and Defense appropriations bills were combined into a minibus bill.
End Result?

• Hopefully, the federal government is funded every year in a timely fashion!
• Ideally, the new funding levels and plans would reflect the input of the American people’s priorities year to year.
SPECIFIC HOW-TO GUIDE:
Tips and Strategies for Effective Federal Funding Requests
Recall: How Content in Appropriations Bills is Determined

- Senators and Representatives send letters to each of the 12 Appropriations Subcommittees with their requests for what should be included in each bill and/or report.
  - Letters usually sent by spring of each year.
  - Requests from Members of Congress on the Appropriations Committee or subcommittee of interest generally carry the most weight.
What should Members of Congress prioritize in their request letters?

• It depends what they hear from you!
• Your Members of Congress are there to represent you.
  – They want to know what you’re working on, how you’re leading the way, what federal programs would be helpful to Hawai‘i, and how they can help to bring federal $$ home.
  – However, some important details to consider...
Things to Consider
When Submitting Federal $ Requests

• Earmark ban
• Appropriateness of federal agency request choice
• Reasonableness of request
• Strategy
Earmarks
Earmarks

• “Earmarks” are specific funding allocations added to moving legislation for special projects in a certain lawmaker’s district – usually included in exchange for a vote on that piece of legislation.

• 2011-present: Earmarks banned.
  – So...Members of Congress cannot legally request specific earmarks for their home districts.
Earmarks Quiz #1: QUESTION

• **Report language: Which is an earmark?**
  a) The Committee directs that $10 million be used for the establishment of a new Opioid Center of Excellence. This center should be located in a state that has a high prevalence of opioid use disorder and that is largely rural.
  
  b) The Committee directs $10 million to the establishment of a new Opioid Center of Excellence, to be housed at the University of New Hampshire. The center should focus on finding solutions to the opioid crisis in rural areas.
Earmarks Quiz #1: ANSWER

• (b) is an earmark ($10M for the University of New Hampshire).
  – It specifies that a certain amount of funding should go to a specific entity in a Member’s district.

• (a) has similar goals ($10M for an Opioid Center of Excellence to address rural opioid use), but the eligibility criteria are more broad (state with high prevalence of opioid use disorder and rural).
  – This still limits eligibility (to what Congress thinks is a priority), but is not specific to one Member’s district.
• **Which funding request is an earmark?**

  a) Of the amount provided for the NIH, the Committee provides $6.5 million for research conducted at the University of Hawai‘i at Mānoa on the impact of stomach cancer on multi-ethnic populations.

  b) Of the amount provided for the NIH, the Committee directs the NIH Director to prioritize $6.5 million for research on stomach cancer that addresses the disproportionate burden borne by Japanese-Americans.
(a) is an earmark ($6.5M for UH Mānoa research on stomach cancer in multi-ethnic populations).

(b) has similar goals ($6.5M for stomach cancer research in Japanese-Americans), but it is more broad.

- It would be great if this language were included in the bill, because UH Mānoa—with its expertise—would be a great contender for funding when the notice comes out.
- However, UH Mānoa would not be the only eligible entity for funding when framed this way.
- Competition/fairness key!
Appropriateness of Federal Agency Request Choice
Reminder: 12 Appropriations Subcommittees

1. Agriculture (Ag)
2. Commerce, Justice, Science (CJS)
3. Defense (DoD)
4. Energy and Water
5. Financial Services and General Government (FSGG)
6. Homeland Security
7. Interior and Environment
8. Labor, Health & Human Services, Education (LHHS)
9. Legislative Branch
10. Military Construction and VA (MilCon/VA)
11. State, Foreign Operations (SFOPs)
12. Transportation, Housing & Urban Development (THUD)
• Not every appropriations subcommittee bill is made equal. In general terms:
  – Some bills tend to be more bipartisan, less controversial, and have more money to work with (i.e., MilCon/VA, DoD).
  – Some bills are more contentious and may have tighter budgets (i.e., LHHS-Ed).
• Some bills have specific accounts that may fit your request best. For example:
  – A program about childhood nutrition generally fits in the Agriculture or LHHS-Ed bill.
Tips to Consider, cont.

• What subcommittee does your senator or representative sit on (increased influence)?
• From which agency/agencies) have you/your Department received funding from previously?
• What’s going on in the news?
Reasonableness of Request
**Tips to Consider**

- In today’s funding environment, getting new dollars for a program is tough.
  - Not always impossible, but not the easiest.
  - Be cautious about how much you request...often easier if $0-5 million (versus tens or hundreds of millions).

- Often easiest to request a “plus-up” (increase) of an existing program or account, versus creating a new program.
  - i.e., “$2M more for HRSA’s Native Hawaiian health program” better than “$2M for a new program on X.”

- Partnering with national groups (i.e., the American Academy for the Advancement of Science [AAAS] or Friends of HRSA) can help you align your requests with those of others and make sure you’re not off-base.
Tips to Consider, cont.

• Report language often helps to direct federal funding without putting new dollars in the bill.
  – Powerful mechanism, and often easier to get included in final bills.

• Being specific can be helpful.
  – i.e., “The Committee directs that $2 million of the funding provided to the National Center for Emerging and Zoonotic Infectious Diseases (NCEZID) at the Centers for Disease Control and Prevention (CDC) be dedicated to rat lungworm disease.”
Reasonableness Quiz: QUESTION

- Please rank these requests in order of reasonableness.
  
a) $300 million for a new program in the U.S. Department of Health and Human Services to address health inequalities among Pacific Islanders.

b) $3 million for a novel account at the CDC.

c) Report language to request that of funds provided to the CDC for viral hepatitis coordinators, special priority be given to entities committed to addressing disparities among Pacific Islanders.
Reasonableness Quiz: ANSWER

• **Most reasonable:** (c) *Report language to request that of funds provided to the CDC for viral hepatitis coordinators, special priority be given to entities committed to addressing disparities among Pacific Islanders.*
  • Doesn’t request specific funding level; specific.

• **Less reasonable:** (b) *$3 million for a novel account at the CDC.*
  • Vague; new program; may be hard to get $3 million.

• **Least reasonable:** (a) *$300 million for a new program in the U.S. Department of Health and Human Services to address health inequalities among Pacific Islanders.*
  • Very high funding level; at level of HHS instead of smaller agency (i.e., CDC).
Strategy
Tips to Consider

• Think about your Member of Congress:
  – What issues does she care most about?
  – What area will she get excited to champion for you?

• What sets UH/Hawai‘i apart?
  – Island state
  – Diverse, multi-ethnic population
  – World-class research
  – Integral part of Asia-Pacific Rim
Example Strategic Report Language

- **Microfluidics and Nanofluidics for Health, Wellness, and Civil Infrastructure Security.**—The Committee recognizes the importance of microfluidics and nanofluidics in developing state-of-the-art technology in adaptable communication systems, drug-delivery systems, cancer diagnostics, and microanalytic laboratories, all of which serve to strengthen the U.S. military and increase the competitive edge of the United States internationally. Technology based on microfluidics and nanofluidics can positively impact many areas, including national security, infrastructure monitoring, and health care. **The committee provides $2,500,000 for the NIBIB to support the development and production of microfluidics and nanofluidics in locations that contain vital military assets but are geographically isolated from other nanofabrication facilities; contain diverse environments to facilitate testing of resilient communications systems and sensor networks; and have an ethnically diverse population for effective testing of healthcare-related technologies.**
Tips to Consider, cont.

• Which states are the Senate Republicans on the Appropriations Committees (particularly the subcommittees you’re interested in) from?
  • Do you have any contacts in those states that could ask their legislators to support this request?
    • Doing so greatly increases the chances of the request being accepted.
References

• https://www.nationalpriorities.org/budget-basics/federal-budget-101/spending/
• http://crfb.org/document/updated-appropriations-101
Practical Tips: Finding What You Need

Prepare for appropriations “scavenger hunt”!
Finding Appropriations Bills/Reports

Go to congress.gov on your internet browser
Finding Appropriations Bills/Reports

Click on the “Appropriations” link, under Bill Search and List
Finding Appropriations Bills/Reports

Scroll down for the list of Appropriation Bills and their status.
### Finding Appropriations Bills/Reports

#### APPROPRIATIONS STATUS TABLE

<table>
<thead>
<tr>
<th>Appropriation Bills</th>
<th>Subcommittee Approval</th>
<th>Committee Approval</th>
<th>Initial Passage</th>
<th>Resolution of House-Senate Differences</th>
<th>Presidential Approval</th>
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<td>Notes</td>
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<td>2nd FY2020 Consolidated Appropriations (CJS, Agriculture, Interior, MCOA, THUD) H.R. 3055</td>
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<tr>
<td>Notes</td>
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<tr>
<td>Agriculture H.R. 3164</td>
<td>(voice vote) 05/23/2019</td>
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<td>29-21 06/04/2019 H. Rept. 116-107</td>
<td>See 2nd FY2020 Consolidated entry above</td>
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Click here to be re-directed to the Bill Overview page
Finding Appropriations Bills/Reports

Click here for the Committee Report, which accompanies the bill.
Finding Appropriations Bills/Reports

**OR** you can also click here (on the status table) for the **Committee Report**
DEPARTMENTS OF LABOR, HEALTH AND HUMAN SERVICES, AND EDUCATION, AND RELATED AGENCIES Appropriations Bill, 2020

May 15, 2019.—Committed to the Committee of the Whole House on the State of the Union and ordered to be printed.

Ms. DeLauro, from the Committee on Appropriations, submitted the following:

REPORT
together with
MINORITY VIEWS
[To accompany H.R. 2746]

The Committee on Appropriations submits the following report in explanation of the accompanying bill making appropriations for the Departments of Labor, Health and Human Services (except the Food and Drug Administration, the Agency for Toxic Substances and Disease Registry and the Indian Health Service), and Education, and the Committee for Purchase from People Who Are Blind or Severely Disabled, Corporation for National and Community Service, Corporation for Public Broadcasting, Federal Mediation and Conciliation Service, Federal Mine Safety and Health Review Commission, Institute of Museum and Library Services, Medicaid and CHIP Payment and Access Commission, Medicare Payment Advisory Commission, National Council on Disability, National Labor Relations Board, National Mediation Board, Occupational Safety and Health Review Commission, Railroad Retirement Board, and Social Security Administration for the fiscal year ending September 30, 2020, and for other purposes.
Reading a Committee Report

DEPARTMENTS OF LABOR, HEALTH AND HUMAN SERVICES, AND EDUCATION, AND RELATED AGENCIES APPROPRIATIONS BILL, 2020

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Read through for Funding Levels & Report Language!

- Use CTRL+F (cmd+F on Mac) to search for key terms
Reading a Committee Report

Summary pg.3

2020 LABOR, HHS, EDUCATION BILL
[Discretionary funding in thousands of dollars]

<table>
<thead>
<tr>
<th>Budget Activity</th>
<th>Fiscal Year— (2019 Enacted, 2020 Budget, 2020 Committee)</th>
<th>2020 Committee compared to— (2019 Enacted, 2020 Budget)</th>
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<td>Department of Labor</td>
<td>$12,123,251, $10,905,405, $13,321,641</td>
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<td>Department of Health and Human Services</td>
<td>90,490,781, 78,085,971, 99,375,512</td>
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<td>Department of Education</td>
<td>71,448,416, 64,005,915, 75,923,812</td>
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<td>Related Agencies</td>
<td>15,316,511, 13,543,842, 15,678,035</td>
<td>+361,524, +2,134,193</td>
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</tbody>
</table>

Can also scroll to tables throughout and at end for funding levels
- Use CTRL+F to search for key terms (may not work for tables)

Pg. 36

TITLE II—DEPARTMENT OF HEALTH AND HUMAN SERVICES

HEALTH RESOURCES AND SERVICES ADMINISTRATION

Appropriation, fiscal year 2019 ................................................................. $6,843,503,000
Budget request, fiscal year 2020 ............................................................... 5,841,352,000
Committee Recommendation .......................................................... 7,326,109,000
Change from enacted level ............................................................ +482,606,000
Change from budget request .......................................................... +1,484,757,000
### COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2019 AND BUDGET REQUESTS AND AMOUNTS RECOMMENDED IN THE BILL FOR 2020

(Amounts in Thousands)

<table>
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<tr>
<th></th>
<th>FY 2019 Enacted</th>
<th>FY 2020 Request</th>
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<tr>
<td><strong>Health Resources and Services Administration (HRSA)</strong></td>
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<td>Primary Health Care</td>
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<td>Community Health Centers</td>
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<td>Mandatory budget authority (Public Law 115-123)(NA)</td>
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<td>Health Center Tort Claims</td>
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<td><strong>Total, Community Health Centers</strong></td>
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<td><strong>Total, Primary Health Care (excluding mandatory funds)</strong></td>
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<td>Health Workforce</td>
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<td>National Health Service Corps</td>
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<td>Centers of Excellence</td>
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<td>99,660</td>
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<td>+99,660</td>
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Can also scroll to tables throughout and at end for funding levels
- Use CTRL+F to search for key terms (may not work for tables)
**Reading a Committee Report**

**Health Workforce**

<table>
<thead>
<tr>
<th>Appropriation, fiscal year 2019</th>
<th>$1,096,695,000</th>
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<tbody>
<tr>
<td>Budget request, fiscal year 2020</td>
<td>304,714,000</td>
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<tr>
<td>Committee Recommendation</td>
<td>1,244,942,000</td>
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<td>Change from budget request</td>
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**National Health Service Corps**

The Committee includes $120,000,000 for the National Health Service Corps (NHSC), $15,000,000 above the fiscal year 2019 enacted level and the fiscal year 2020 budget request. NHSC supports qualified health care providers dedicated to working in underserved communities in urban, rural, and tribal areas through scholarships and loan repayment assistance.

The Committee directs HRSA to examine the application processes and eligibility requirements for both NHSC recruits and provider locations, including the HPSA qualification and scoring. The Committee requests a report within 120 days of enactment of this Act with recommendations on how the NHSC program, including the HPSA application and scoring process, may be modified to increase recruitment and field strength as well as diversify provider sites.

- **Funding level pg. 38**
- **Report Language pg. 39**
- **Read through for Report Language!**
- **- Use CTRL+F to search for key terms**

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**University of Hawai‘i**

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61
Guide to UH System Appropriations Request Process
Call for Federal Priorities and Initiatives

- Sent out by VP Syrmos ~October of each year
- Invites recommendations from UH campuses for priority federal appropriations requests
  - Four-year campuses may submit up to three (3) proposed priorities or initiatives from each of their colleges/schools with a ranking for each
  - UH Community Colleges may submit up to three (3) collectively
Submission of priorities and initiatives

- Use the form-fillable MS Word template for non-defense and defense requests

<table>
<thead>
<tr>
<th>Principal Investigator</th>
<th>Program Request</th>
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<tbody>
<tr>
<td>First Name *</td>
<td>1. Name of military service (ex: defense-wide, Army, etc., limit 100 characters) *</td>
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<tr>
<td>Last Name *</td>
<td>2. Project/Application Name *</td>
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<td>Address *</td>
<td>3. Name of office or agency (ex: Office of Naval Research, limit 100 characters) *</td>
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<td>City *</td>
<td>4. Program or Project Name (limit 100 characters) *</td>
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<tr>
<td>State *</td>
<td>5. Line Item or Program Element Title (limit 100 characters)</td>
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<tr>
<td>Zip code *</td>
<td>6. Account (limit 100 characters)</td>
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<td>Campus *</td>
<td>7. Line Number (limit 100 characters)</td>
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<td>College *</td>
<td>8. Program Element Number (limit 100 characters)</td>
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<td>Department *</td>
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<th>Program Request</th>
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<td>1. Select the corresponding appropriations subcommittee *</td>
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<tr>
<td>2. Project/Application Name (limit 100 characters) *</td>
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<td>3. Name of specific federal department (e.g. US Dept. of Transportation) *</td>
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<td>4. Name of specific federal agency (e.g. Federal Aviation Administration, limit 100 characters) *</td>
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<td>5. Program or Activity requested (e.g. Essential Air Service - payments to carriers, limit 100 characters) *</td>
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<td>6. Requested Amount (limit 100 characters) *</td>
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<td>7. Amount included in the president's FY 2020 budget request (limit 100 characters)</td>
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<td>8. FY 2019 enacted funding level nationwide (limit 100 characters)</td>
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Key Details

• Program
• Funding level requested
• Department
• Agency/Account
• Description
• Report language
Example Final Summary Request

• **Program:** Pacific Islands Health Information Technology and Data Center of Excellence
• **Funding Level Requested:** $2,000,000
• **Department:** Department of the Interior
• **Agency/Account:** Insular Affairs/Technical Assistance
• **Description:** As noted by President Trump’s White House Initiative on Asian Americans and Pacific Islanders, the Asian American and Pacific Islander (AAPI) population is growing rapidly, and it is becoming of critical importance to increase access to disaggregated AAPI data to help promote the analysis and understanding of this population. Numerous states have increasing numbers of Pacific Islanders, but understanding of this population is limited. For example, in the Freely Associated States (including the Republic of the Marshall Islands, Palau, and the Federated States of Micronesia), electronic health record systems are severely lacking due to resource constraints. Across the insular areas, there are many siloed health data systems. Access to and support for health information technology and electronic health data in the U.S. insular areas is limited, which impacts quality of care and care coordination, thus impacting the health condition of these residents and straining the state’s health systems to which they move. A Pacific Islands Health Information Technology and Data Center is needed to assist these regions to improve health systems and care through the use of health information technology and health data analytics. The proposed center provides an opportunity to collect and analyze health data in the insular areas to better understand health care costs, conditions and disparities. Improvements will directly benefit and Department of Defense (DoD) and Department of Veterans Affairs (VA) beneficiaries in this region that are poorly served and provide data on this minority health population for all federal agencies.

• **Bill Language:** None
• **Report Language:** Pacific Islands Health Information Technology and Data Center of Excellence.—The Committee recognizes that poor infrastructure, limited resources, and insufficient technical assistance have limited the ability of the insular areas to have a robust health data collection system. The Committee provides $2,000,000 for the establishment of a Pacific Islands Health Information Technology and Data Center of Excellence to assist insular areas with planning and implementing health information technology, including electronic health records, health information exchange, and telehealth, as well as establishing a health data analytics warehouse and program to improve clinical care, population health, care coordination, and improve management of health care costs. The center should be located in an academic center or non-profit and in a state that has a high prevalence of Pacific islanders.
Timeline

• Deadline for campuses to submit requests to OVPRI is usually mid-November each year (stay tuned)
• OVPRI team vets requests, follows up with legislators’ offices regarding feasibility, and refines requests
• ~February-March of each year: OVPRI team submits requests to federal offices
Further Questions?

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- **Eric R. Matsunaga**, Manager, Research and Administrative Operations, OVPRI (ematsuna@hawaii.edu)