

SECTION 110 -- SUPPLEMENTALS AND AMENDMENTS

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110.1 How does the President inform Congress of changes in budget policy in between his annual transmittals of the budget?

After the President's budget has been transmitted to the Congress, the President informs the Congress of changes in his policy by transmitting appropriations requests to revise the original budget request for the current year (supplemental) or budget year (amendment), including proposed appropriations language for legislative initiatives (e.g., items included in the budget as proposed for later transmittal).

All proposed revisions must conform to the policies of the President. The requests may be for additional amounts or proposed changes in appropriations language that do not affect amounts previously requested, such as technical corrections or changes in a limitation on the use of trust funds. These requests may be either supplementals or amendments, depending upon when they are transmitted (see section 110.2).

You should make every effort to postpone actions that require supplemental appropriations. However, submit proposals that decrease or eliminate amounts whenever such changes are warranted. When requesting supplementals and amendments that increase the amounts contained in the budget, provide proposals for reductions elsewhere in the agency (e.g., rescission proposals).

OMB will only consider requests for supplementals and amendments, including proposed changes in administrative expense limitations or authorizations of government corporations and trust funds, when:

- Existing law requires payments within the fiscal year (e.g., pensions and entitlements);
- An unforeseen emergency situation occurs (e.g., natural disaster requiring expenditures for the preservation of life or property);
- New legislation enacted after the submission of the annual budget requires additional funds within the fiscal year;
- Increased workload is uncontrollable except by statutory change; or

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- Liability accrues under the law and it is in the Government's interest to liquidate the liability as soon as possible (e.g., claims on which interest is payable).

It generally takes a minimum of three weeks in OMB and the White House to consider agency proposals for supplementals or amendments that are not transmitted in the annual budget. Allow for this timing when making requests.

110.2 What are supplementals and amendments?

Supplementals are appropriations requests that are transmitted after completion of action on an annual appropriations bill by the Appropriations Committees of both Houses. They may be transmitted prior to or subsequent to transmittal of the succeeding annual budget document. These supplementals may be:

- *New supplementals*, requesting additional amounts not previously anticipated.
- *Language only supplementals*, requesting changes in appropriations language that do not affect amounts previously appropriated.

Amendments are proposed actions that revise the President's budget request and are transmitted prior to completion of action on the budget request by the Appropriations Committees of both Houses of Congress. This includes appropriations language for activities authorized since transmittal of the President's budget that were included in the budget as a legislative proposal.

110.3 What do I need to send to OMB?

You need to submit the following materials in both hard copy and electronic versions. Also, you should be prepared to revise the material, as appropriate, to reflect Presidential decisions.

(a) *Appropriations language.*

(1) *Supplementals.* Prepare language for supplemental requests, including emergency requests as defined in the Balanced Budget and Emergency Deficit Control Act of 1985, as amended, in the format of exhibit 110A.

(2) *Amendments.* Prepare language for budget amendments in the format of exhibit 110B. Use the language proposed for the budget year in the President's budget, not the current year appropriation as the base (i.e., make changes to the budget year proposed language).

(b) *Justification.*

Prepare a justification in accordance with applicable requirements of section 51. It should also include:

- The reason why additional funds are required in the fiscal year requested, identifying specifically which of the circumstances described in section 110.1 applies;
- An explanation of proposed language provisions, if necessary; and
- Pertinent data concerning the effect on Federal civilian employment.

For *supplemental requests* only, include the following:

- The date when requested funds are needed for obligation,
- A statement of actual and estimated obligations for the year, prepared on a quarterly basis, and
- A statement of actual obligations by month, for the previous three months.

(c) *Explanation of request.*

Provide a short explanation, including the effect of the request on outlays. This explanation should be suitable for transmittal to Congress as part of the President's proposal. If appropriate, the explanation may be a synopsis of the major points that appear in the justification.

(d) *Budget schedules and receipts data.*

Prepare and submit the following information, where the proposal affects the distribution of budget authority, obligations, or outlays. This information will not be entered into MAX, but should be prepared consistent with the instructions for the corresponding MAX schedules.

- Program and financing schedule (see section 82). If only a few items in a lengthy obligations by program activity section are affected, the activity items not changed may be grouped in a single line. However, show the rest of the program and financing schedule in full;
- Object classification schedule (see section 83);
- Personnel summary (see section 86.1);
- Receipts estimates (see section 81), when a supplemental or amendment will affect payments to a receipt account.
- Schedules on status of direct loans or status of guaranteed loans (see section 85), when a supplemental or amendment affects the level of direct loan obligations or loan guarantee commitments.

Column headings on the schedules will be modified as follows:

For *supplementals*, use transmittal code "1" in the account identification code. Retitle amount columns as illustrated in exhibit 110C and indicated below:

- *Presently available* (column 1). Enter the amount available under previous appropriations enacted for the current fiscal year.
- *Proposed supplemental* (column 2). Enter the additional amount requested.
- *Revised estimate* (column 3). Enter the revised estimate of the total amount requested for the year (column 1 plus column 2).

For *amendments*, use transmittal code "0" in the account identification code. Retitle amount columns as illustrated in exhibit 110C and indicated below:

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- *Pending request* (column 1). Enter the amount of the estimate currently pending before the Congress. Amounts included in the budget as items proposed for later transmittal should not be included.
- *Proposed amendment* (column 2). Enter the proposed change to the amount of the request currently pending before Congress.
- *Revised request* (column 3). Enter the total amount to be considered by Congress (column 1 plus column 2).

(e) *Letter from agency head.*

Provide a letter from the head of the agency that includes a statement concerning the validity of obligations, as required by 31 U.S.C. 1108 (see section 51.1 (b)).

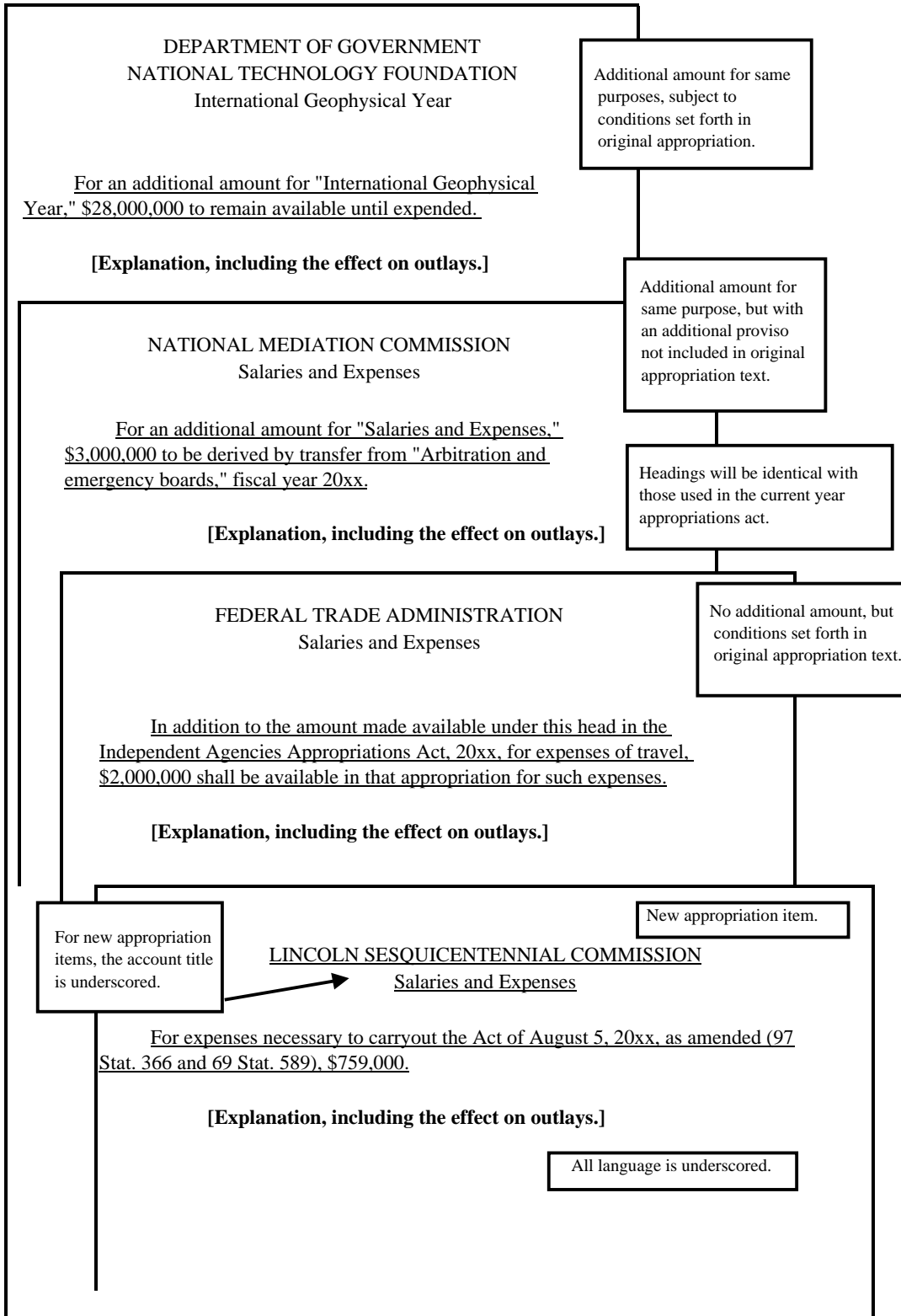
110.4 What do I need to send to Congress?

Unless otherwise directed by the respective Committees, furnish 15 copies of the following information to each Appropriations Committee and five copies to the Congressional Budget Office as part of the agency's justification to the Congress of budget amendments and supplemental requests transmitted by the President:

- Program and financing schedule;
- Object classification schedule; and
- Personnel summary.

Column headings will be modified as described in section 110.3.

**Supplemental Requests
Appropriations Language**



Supplemental Requests
Appropriations Language -- Continued

DEPARTMENT OF GOVERNMENT
OCEANIC AND ATMOSPHERIC BUREAU
Construction

Emergency request.

For an additional amount for "Construction" for emergency expenses resulting from flooding in the Pacific Northwest and other natural disasters, \$10,000,000 to remain available until expended: Provided that the entire amount is designated by the Congress as an emergency requirement pursuant to section 251(b)(2)(A) of the Balanced Budget and Emergency Deficit Control Act of 1985, as amended.

[Explanation. The last paragraph of the explanation should read as follows:

The entire amount requested has been designated by the President as an emergency requirement pursuant to the Balanced Budget and Emergency Deficit Control Act of 1985, as amended.]

DEPARTMENT OF GOVERNMENT
FEDERAL FOREST ADMINISTRATION
Construction

Emergency request,
including contingency.

For an additional amount for "Construction" for emergency expenses resulting from flooding in the Pacific Northwest and other natural disasters, \$60,000,000, to remain available until expended: Provided that the entire amount is designated by the Congress as an emergency requirement pursuant to section 251(b)(2)(A) of the Balanced Budget and Emergency Deficit Control Act of 1985, as amended: Provided further, that of such amount, \$20,000,000 shall be available only to the extent an official budget request for a specific dollar amount that includes designation of the entire amount of the request as an emergency requirement as defined in such Act is transmitted by the President to Congress.

[Explanation. The last paragraph of the explanation should read as follows:

Of the request, \$40,000,000 has been designated by the President as an emergency requirement pursuant to the Balanced Budget and Emergency Deficit Control Act of 1985, as amended.]

Headings will be identical with those used in the current year appropriations act.

All language is underscored.

**Budget Amendments
Appropriations Language--Continued**

Agency:	DEPARTMENT OF GOVERNMENT	
Bureau:	AGRICULTURE UTILIZATION SERVICE	
Heading:	Salaries and Expenses	
FY BY Budget Appendix Page:	23 [See Note 1]	Only total request amended.
FY BY Pending Request:	\$42,915,000 [See Note 2]	
Proposed Amendment:	\$7,057,000 [See Note 3]	
Revised Request:	\$49,972,000 [See Note 4]	
[Explanation, including the effect on outlays]		

Agency:	DEPARTMENT OF GOVERNMENT	
Bureau:	FARM SERVICE	
Heading:	Salaries and Expenses	
FY BY Budget Appendix Page:	142 [See Note 1]	Change to total amount requested and other conditions.
FY BY Pending Request:	\$795,098,000 [See Note 2]	
Proposed Amendment:	\$91,292,000 [See Note 3]	
Revised Request:	\$886,390,000 [See Note 4]	
<p>(In the appropriations language under the above heading, delete "\$796, 752,000" and substitute <u>\$888,044,000</u>; delete "\$795,098,000 and substitute <u>\$886,390,000</u>; and, delete the entire second proviso beginning with ": Provided further, That beginning the fiscal year 20xx".)</p> <p>[See Note 5]</p>		
[Explanation, including the effect on outlays]		

Agency:	DEPARTMENT OF GOVERNMENT	
Bureau:	OFFICE OF THE SECRETARY	
Heading:	Salaries and Expenses	
FY BY Budget Appendix Page:	708 [See Note 1]	Appropriations language change only; no change to amount requested.
FY BY Pending Request:	\$25,600,000 [See Note 2]	
Proposed Amendment:	Language	
Revised Request:	\$25,600,000 [See Note 4]	
<p>(In the appropriations language under the above heading, insert <u>and Hawaii</u> immediately following "forty-eight contiguous States".)</p> <p>[See Note 5]</p>		
[Explanation, including the effect on outlays]		

**Budget Amendments
Appropriations Language--Continued**

Agency:	DEPARTMENT OF GOVERNMENT		
Bureau:	RURAL HOUSING ADMINISTRATION		
Heading:	<u>Community Grants</u>		
FY BY Budget Appendix Page:	211	[See Note 1]	New appropriation item. (If the account appears in the BY Budget Appendix but includes no language request, the heading will not be underscored.)
FY BY Pending Request:	---		
Proposed Amendment:	\$10,000,000		
Revised Request:	\$10,000,000	[See Note 4]	
(Insert the above heading and the appropriations language that follows immediately after the material under the heading "Rural Housing Grant":)			
<p align="center"><u>For grants for essential community facilities in rural areas pursuant to section 763 of the Federal Agriculture Improvement and Reform Act of 1996 (P.L. 104-127), \$10,000,000.</u></p>			
[Explanation, including the effect on outlays]			
Agency:	DEPARTMENT OF GOVERNMENT		
Bureau:	NATURAL RESOURCES CONSERVATION AGENCY		
Heading:	River Basin Salinity Control Program		
FY BY Budget Appendix Page:	187	[See Note 1]	Deletion of entire appropriations request.
FY BY Pending Request:	\$2,681,000	[See Note 2]	
Proposed Amendment:	-\$2,681,000		
Revised Request:	---		
(Delete the appropriations language under the above heading.)			
[Explanation, including the effect on outlays]			
<p>Note 1: For revisions to pending supplemental estimates or transmitted amendments, this line will be entitled "House Doc. 10x-xx Page" or "Senate Doc. 10x-xx Page" as applicable.</p> <p>Note 2: Amounts in this line should represent the estimates now pending congressional action. Do not include amounts that were included in the President's budget as legislative proposals.</p> <p>Note 3: Reductions in the estimates should be identified by a minus sign.</p> <p>Note 4: Amounts in all lines will be shown in exact dollars.</p> <p>Note 5: Language in the President's budget proposed for the budget year will be the basis for the appropriations language, not the current year appropriation.</p>			

**Supplemental Requests and Budget Amendments
Program and Financing Schedule**

Use transmittal code "0" for budget amendments and transmittal code "1" for supplementals (see section 100.3).

Column headings shown are used for supplemental estimates. For amendments, column headings will be: Pending Request; Proposed Amendment; and Revised Request.

DEPARTMENT OF GOVERNMENT
OFFICE OF THE SECRETARY
Salaries and Expenses

Program and Financing (in millions of dollars)

Identification code 16-1186-1-1-755	Presently Available	Proposed Supplemental	Revised Estimate
Obligations by program activity:			
Direct program:			
00.01 Policy and program development.....	39	39
00.02 Departmental management and administration.....	38	38
00.03 Facilities operations, maintenance, and repair.....	<u>12</u>	<u>3</u>	<u>15</u>
10.00 Total direct program.....	89	3	92
09.09 Reimbursable program.....	<u>44</u>	<u>44</u>
10.00 Total new obligations.....	133	3	136
Budgetary resources available for obligation:			
22.00 New budget authority (gross).....	133	3	136
23.95 Total new obligations.....	-133	-3	-136
New budget authority (gross), detail:			
Discretionary:			
40.00 Appropriation (definite).....	89	3	92
Mandatory spending authority from offsetting collections:			
69.00 Offsetting collections (cash).....	43	43
69.10 Change in uncollected customer payments from Federal sources.....	<u>1</u>	<u>1</u>
69.90 Total spending authority from offsetting collections.....	<u>44</u>	<u>44</u>
70.00 Total new budget authority (gross).....	133	3	136
Change in unpaid obligations:			
72.40 Unpaid obligations, start of year.....	5	5
72.95 Uncollected customer payments from Federal sources, start of year.....
72.99 Obligated balance, start of year.....	5	5
73.10 Total new obligations.....	<u>133</u>	<u>3</u>	<u>136</u>
73.20 Total outlays (gross).....	-135	-3	-138
74.00 Change in uncollected customer payments from Federal sources.....	1	1
74.40 Unpaid obligations, end of year.....	3	3
74.95 Uncollected customer payments from Federal sources.....	<u>-1</u>	<u>-1</u>
74.99 Obligated balance, end of year.....	2	2
Outlays (gross), detail:			
86.90 Outlays from new discretionary authority.....	87	3	90
86.93 Outlays from discretionary balances.....	4	4
86.97 Outlays from new mandatory authority.....	<u>44</u>	<u>44</u>
87.00 Total outlays (gross).....	135	3	138
Offsets:			
Against gross budget authority and outlays:			
88.00 Offsetting collections (cash) from Federal sources.....	43	43
Against gross budget authority only:			
88.95 From Federal sources: Change in uncollected customer payments from Federal sources.....	1	1
Net budget authority and outlays:			
89.00 Budget authority.....	89	3	92
90.00 Outlays.....	92	3	95