

# 米国予算編成プロセスの紹介

2002年6月14日、午後12時30分 BBL



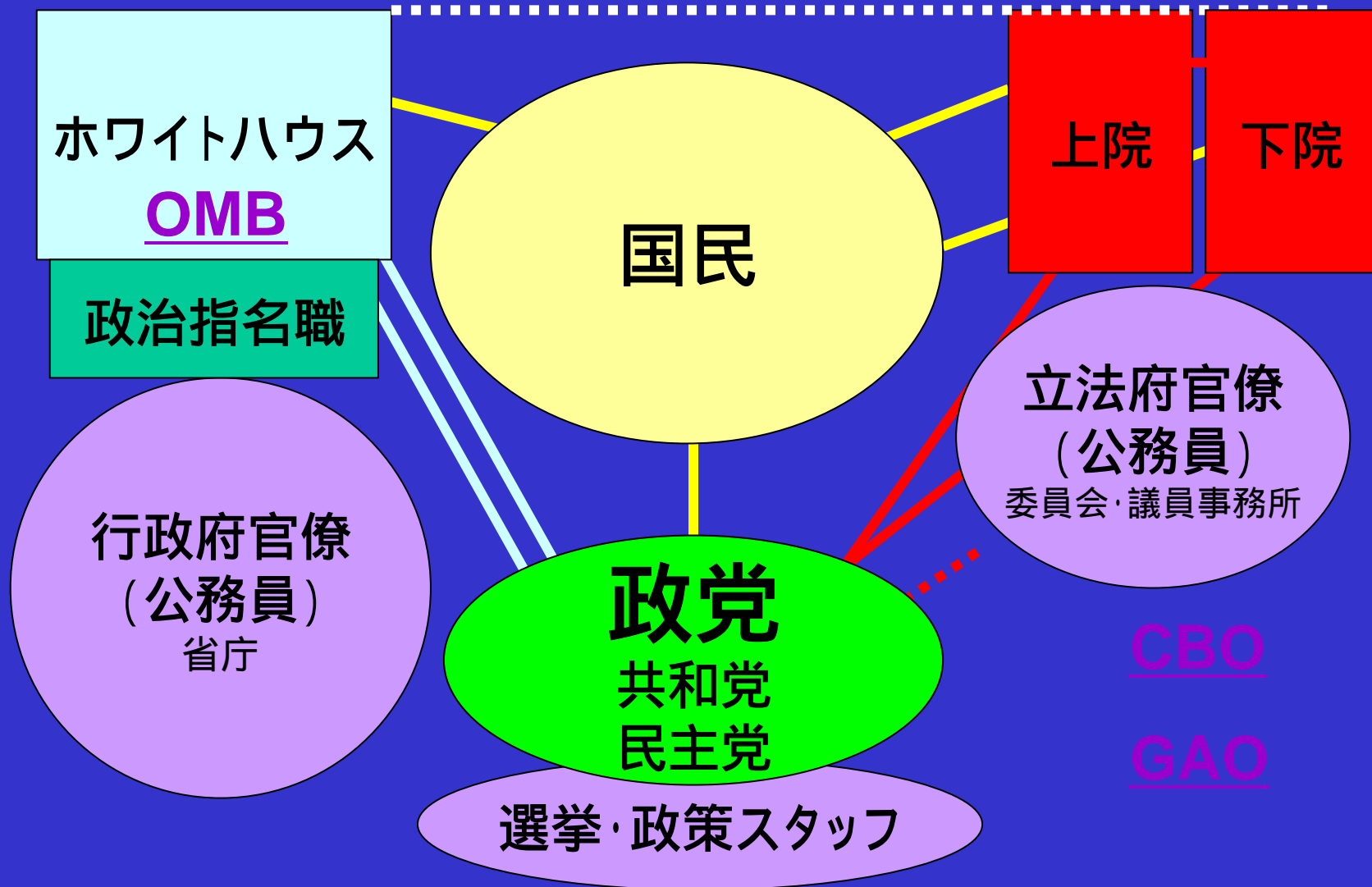
経済産業研究所研究員

中林美恵子

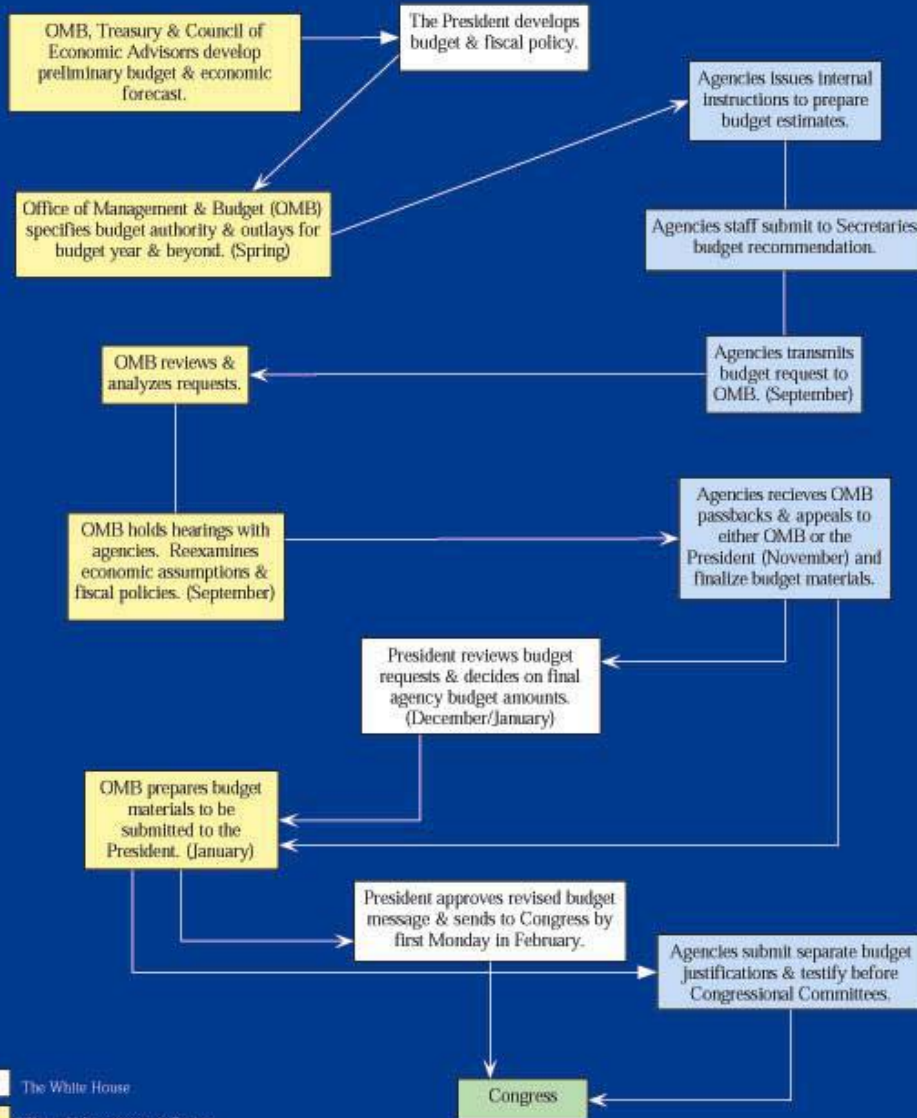
# 行政府

と

# 立法府



# Formulation of the President's Budget



- The White House
- Office of Management & Budget
- Agencies
- Congress

Source: Senate Budget Committee  
December, 1998

# 議会の立法権限

Under the United States Constitution, in Article I, section 1, the power to legislate is vested in the United States Congress.

The Congress of the United States is the legislative branch of the federal government. Comprised of the House of Representative and the Senate, the Congress brings together 435 representatives of the people, 100 Senators from 50 states, and 5 delegates from the territories of the United States -- an assembly of 540 to make the laws that govern the nation.

# RESUME OF CONGRESSIONAL ACTIVITY

## 105th Congress: 1997 and 1998

Bills and Joint Resolutions Introduced in House/Senate:	7732
Public Laws Enacted:	394
<b>ENACTMENT RATE:</b>	<b>5.0%</b>

## 104th Congress: 1996 and 1995

Bills and Joint Resolutions Introduced in House/Senate:	6806
Public Laws Enacted:	333
<b>ENACTMENT RATE:</b>	<b>4.8%</b>

## 103rd Congress: 1994 and 1993

Bills and Joint Resolutions Introduced in House/Senate:	8540
Public Laws Enacted:	465
<b>ENACTMENT RATE:</b>	<b>5.4%</b>

## 102nd Congress: 1992 and 1991

Bills and Joint Resolutions Introduced in House/Senate:	10,511
Public Laws Enacted:	590
<b>ENACTMENT RATE:</b>	<b>5.6%</b>

# 法案が法律になるまで

- 法案の提出
- 権限を有する委員会(複数の場合あり)へ登録
- 委員会による公聴会の開催
- 委員会によるマークアップ
- 委員会による本会議への送付
- 本会議で法案を取り上げるスケジュールを、院内総務などが中心に検討
- 本会議での議論
- 本会議での法案修正
- 最終法案に投票
- 上院と下院の違いを、両院協議会で調整する
- 両院協議会を通った最終法案を本会議で議論
- 最終法案に投票
- 最終法案を大統領に送付
- 大統領はサインをするか拒否権を発動する(または議会休会中に法案を自然死させる - Pocket Veto)
- 大統領の拒否権を覆すには上院と下院の両方で2 / 3以上の賛成多数票が必要



# 議会リーダーと委員会

## LEADERSHIP:

Hastert | Armey | DeLay | Watts | Gephardt | Pelosi |  
Frost | Daschle | Reid | Lott | Nickles |

## SENATE COMMITTEES:

Aging | Agriculture | Appropriations | Armed Services | Banking  
| Budget | Commerce | Energy and Natural Resources  
| Environment and Public Works | Ethics | Finance  
| Foreign Relations | Governmental Affairs  
| Health, Education, Labor and Pensions | Indian Affairs  
| Intelligence | Judiciary | Rules | Small Business  
| Veterans Affairs

## HOUSE COMMITTEES:

Agriculture | Appropriations | Armed Services | Budget  
| Education and the Workforce | Energy and Commerce | Ethics  
| Financial Services | Government Reform | House Administration  
| International Relations | Intelligence | Judiciary | Resources  
| Rules | Science | Small Business  
| Transportation and Infrastructure | Veterans Affairs  
| Ways and Means

# 議会委員会と財政

予算委員会

歳出委員会 (13の小委員会)

歳入委員会 (税制)

予算権限を与える委員会



# 議会予算編成プロセス

## 主な改革

- |            |   |
|------------|---|
| 1974       | Congressional Budget and<br>Impoundment Control Act |
| 1980       | Omnibus Reconciliation Process                      |
| 1985, 1987 | Gramm-Rudman-Hollings Acts                          |
| 1990       | Budget Enforcement Act                              |

# 現在の議会政党勢力バランス

**House:** 435 TOTAL

222 Republicans

211 Democrats

2 Independents (Bernard Sanders, Vermont)  
and (Virgil Goode, Virginia)

**Senate:** 100 TOTAL

50 Democrats

49 Republicans

1 Independent (James Jeffords, Vermont)

# Divided Government

	大統領	下院	上院
1969-76	共和党	民主党	民主党
1977-80	民主党	民主党	民主党
1981-86	共和党	民主党	民主党
1987-92	共和党	民主党	民主党
1993-94	民主党	民主党	民主党
1995-2000	民主党	共和党	共和党
2001-02	共和党	共和党	民主党*

\* 2001年6月のジェフォーズ議員離党により

# 立法府の予算編成タイムテーブル

**2月の第一月曜日** / 大統領が予算教書を議会に提出。

**2月14日** / 議会予算局が 財政と経済見通しのレポートを提出。

**大統領の予算教書から6週間以内** / 裁量権限を持つ各委員会が予算についての要望を、予算委員会に提出する。

**4月15日** / 予算委員会の主導により「予算決議」を成立させる。

**5月15日** / 予算決議が間に合わない場合、下院はこの日より歳出委員会での歳出法作成作業を始めても良い。

**7月15日** / OMBがMidsession Review (財政と経済の中間報告ならびに見通しのレポート)を議会に提出

**8月15日** / CBO が一律歳出カットの必要性があるかの予測ををレポートする

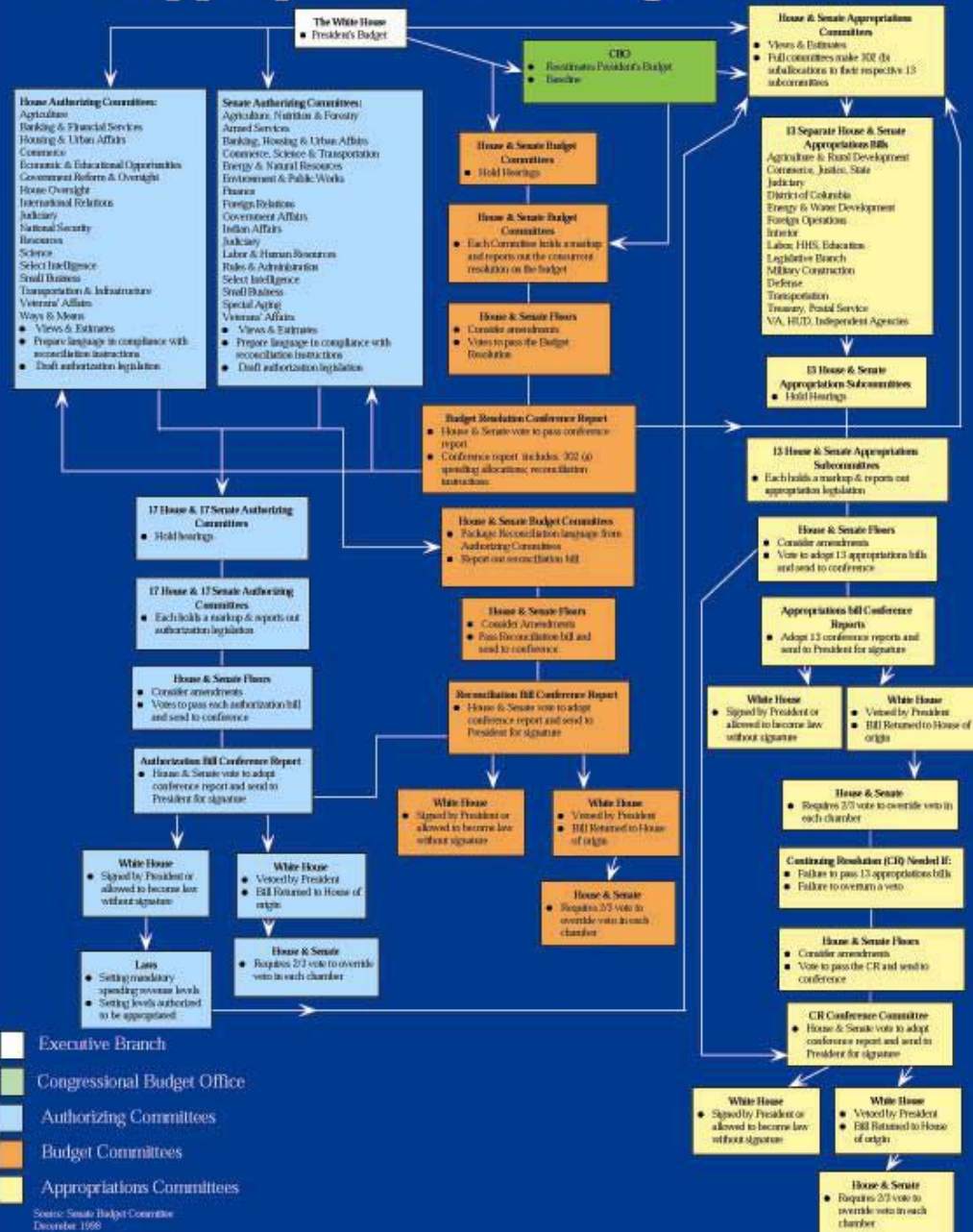
**August 20** / OMB がキャップの微調節とともに一律歳出カットの予測をレポートする

**10月1日** / 新会計年度の始まり

**会期終了の10日以内** / CBO が最終的一律カットの有無をレポートする

**会期終了の15日以内** / OMB が最終的一律カットの有無をレポートする

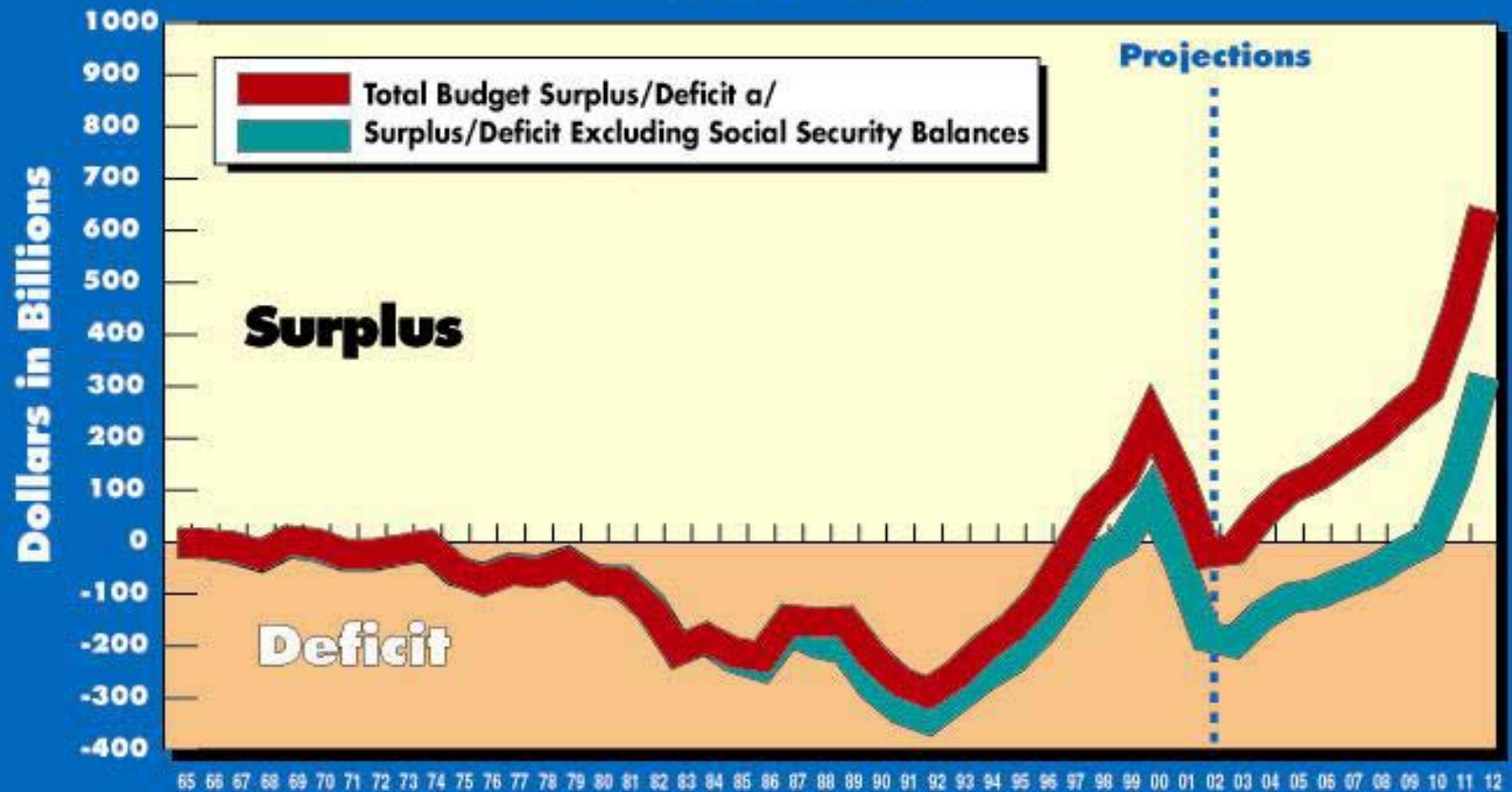
# The Appropriations & Budget Process



- Executive Branch
- Congressional Budget Office
- Authorizing Committees
- Budget Committees
- Appropriations Committees

# Total Budget Surplus/Deficit and Surplus/Deficit Excluding Social Security Balances

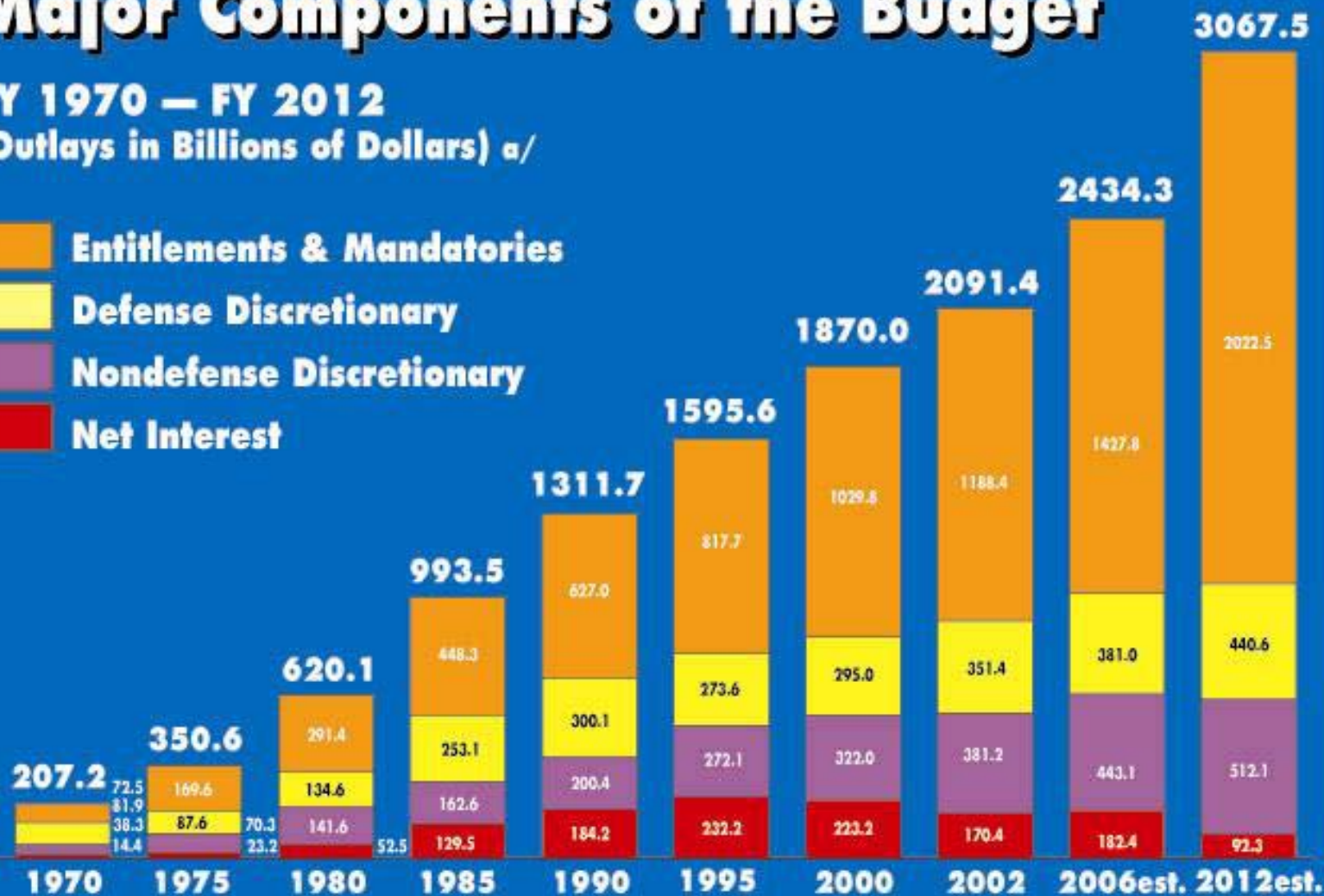
FY 1965—FY 2012



Source: CBO, Budget and Economic Outlook: FY 2003 - 2012, January, 2002.  
 a/ Total unified Federal Budget Deficit assuming CBO's inflated baseline.

# Major Components of the Budget

FY 1970 — FY 2012  
(Outlays in Billions of Dollars) a/



Source: The Budget & Economic Outlook: Fiscal Years 2003-2012, January, 2002.

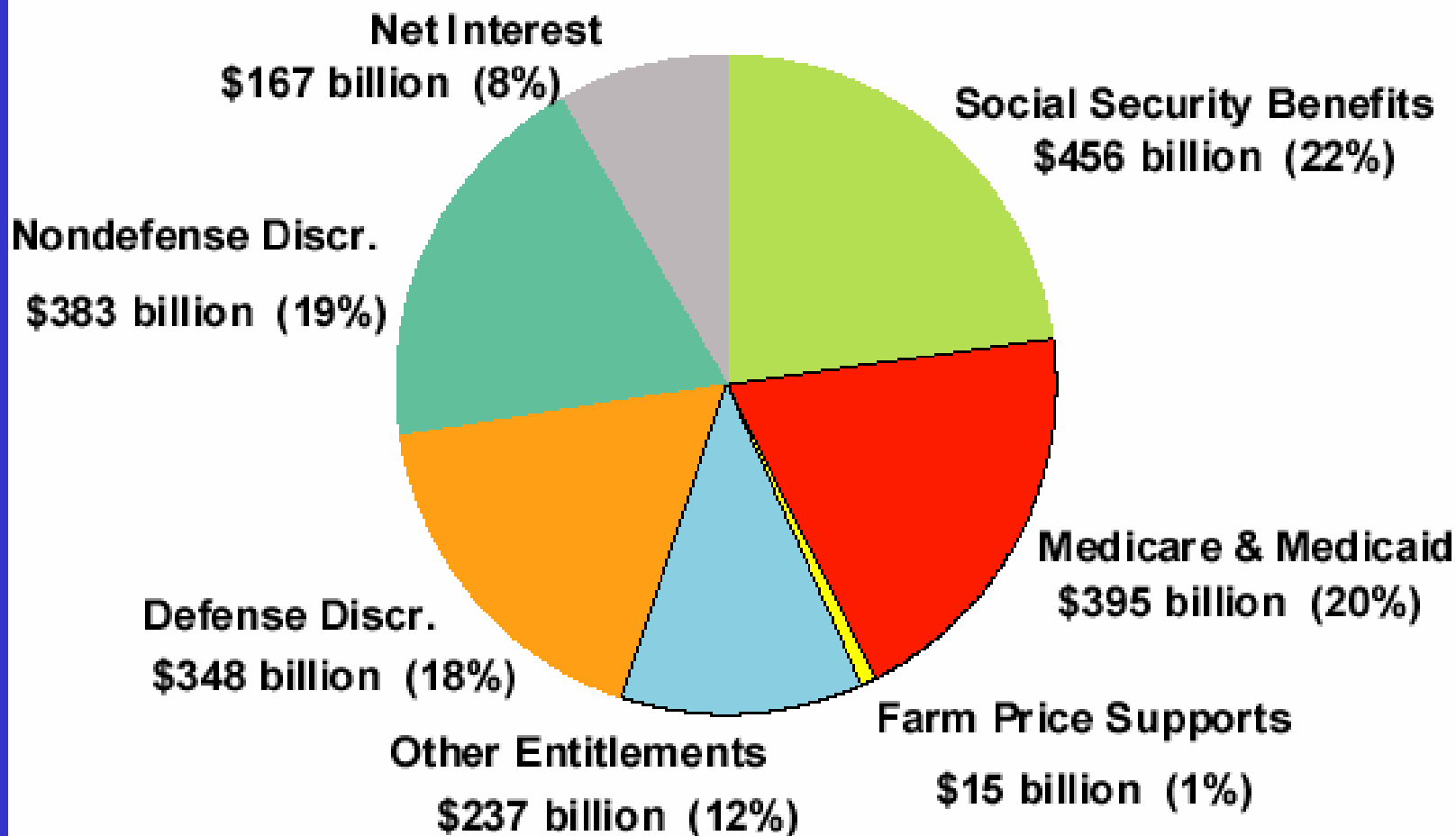
a/ Total on- plus off- budget expenditures for the four major categories, excluding offsetting receipts.

b/ Total spending, excluding offsetting receipts, assumes the CBO inflated baseline.

# Where do we spend \$2.0 trillion?

## FY 2002 Outlays

(\$ in Billions)



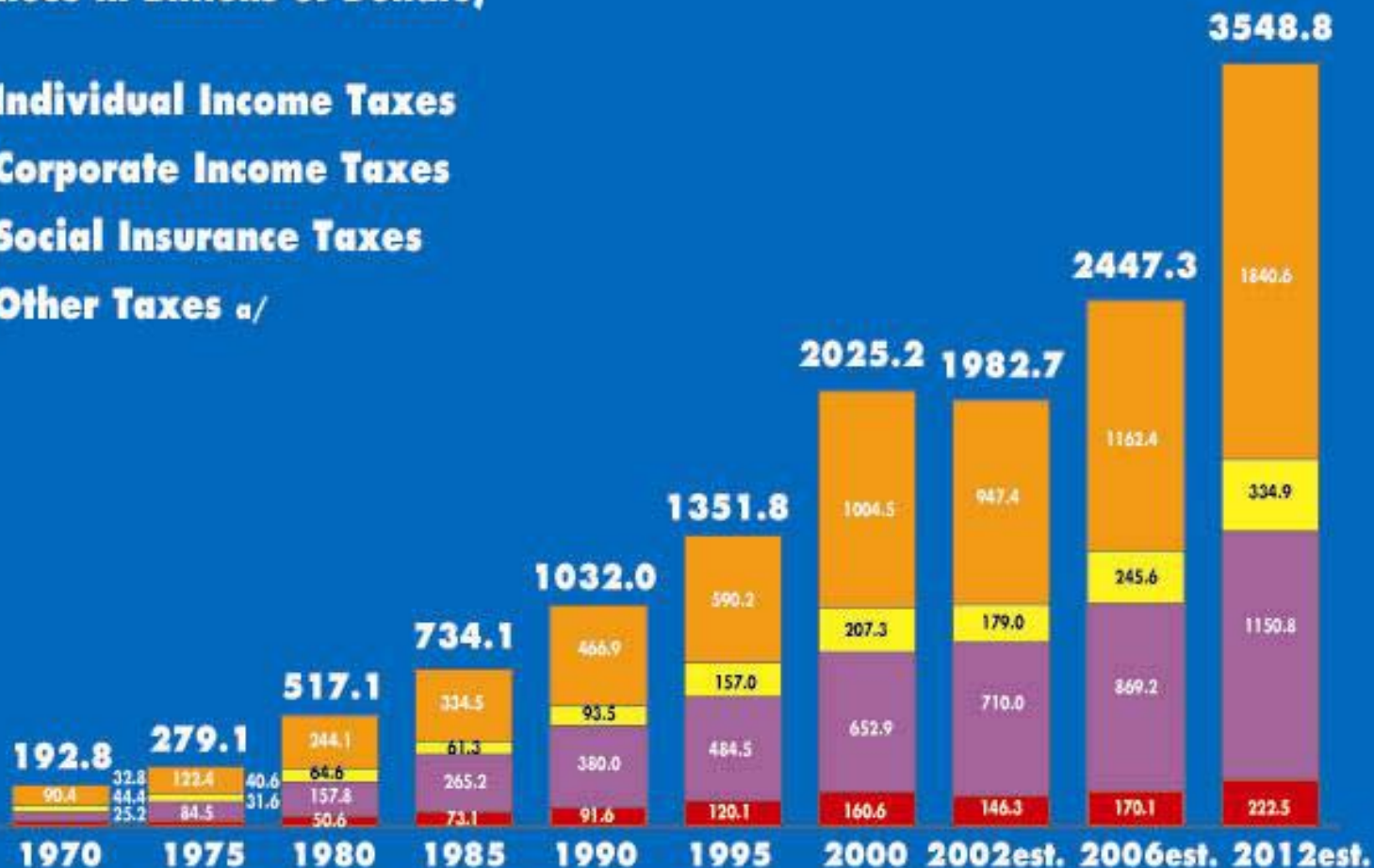
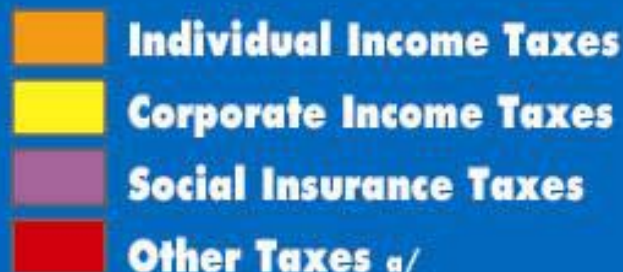
Source: CBO, March 2002.



# Major Components of Federal Revenues

FY 1970 — FY 2012

(Revenues in Billions of Dollars)

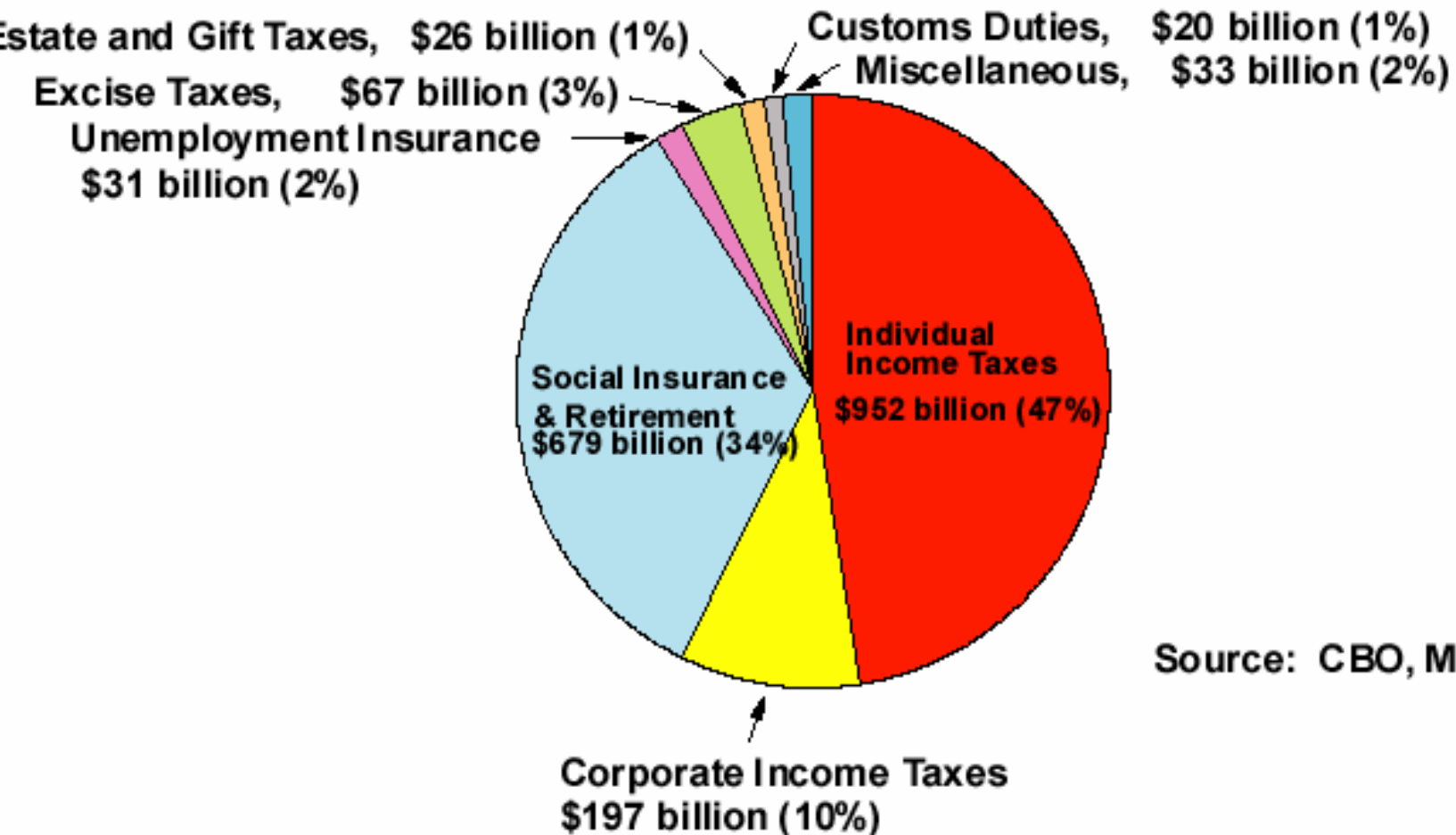


Source: The Budget & Economic Outlook: Fiscal Years 2003- 2012, January, 2002.

<sup>a/</sup> Includes excise taxes, estate and gift taxes, customs duties, and miscellaneous receipts.

# Where do we collect \$2.0 Trillion taxes?

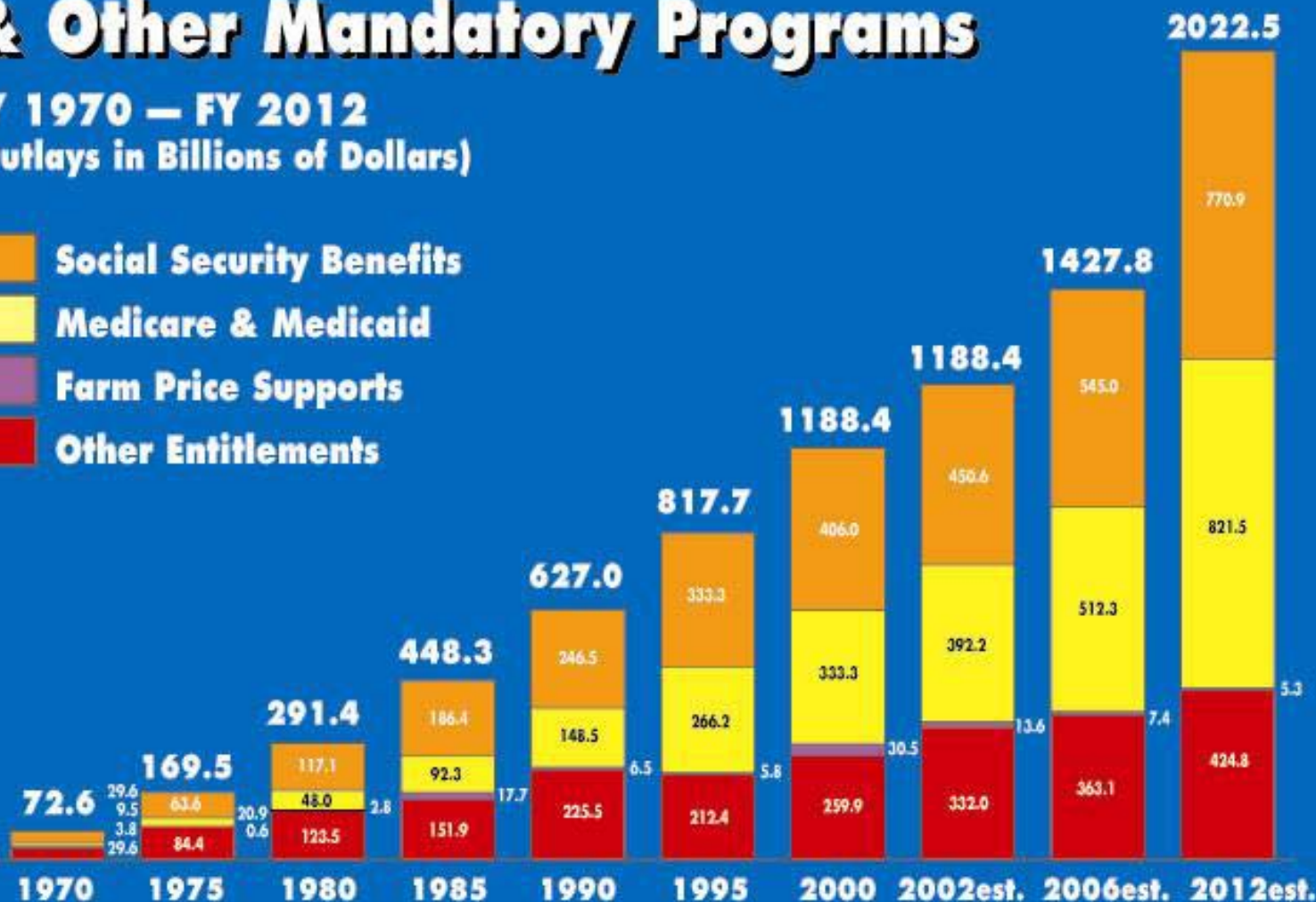
## FY 2002 Budget Receipts



Source: CBO, March 2002

# Major Components of Entitlements & Other Mandatory Programs

FY 1970 — FY 2012  
(Outlays in Billions of Dollars)



Source: CBO, The Budget & Economic Outlook: Fiscal Years 2003 - 2012, January, 2002.

# President's Budget

2002 2003 2003-07 2003-12

Administration Baseline Surplus (+)/Deficit (-)	\$	-9	51	764	2,932
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## Budget Proposals (without Economic Security Package):

SPENDING:				
Defense and Homeland Security	0	-31	-224	-627
Medicare Reform	0	-2	-50	-190
Health Care Outlays/Tax Credits	0	-1	-25	-80
Farm Bill	-4	-7	-34	-68
<b>SUBTOTAL, Spending</b>	<b>-4</b>	<b>-41</b>	<b>-333</b>	<b>-945</b>
TAX CUTS:				
Extension of Some Expiring Provision	-1	-3	26	-308
Health Tax Provisions	0	-1	22	-68
Charitable Giving Tax Credits	-1	-2	-15	-40
Energy/Environment/Farm Tax Credits	-*	-1	-8	-14
Housing Tax Credits	0	-*	-2	-15
Unemployment Insurance	0	-1	-13	-7
Other	-*	-*	-3	-5
<b>SUBTOTAL, Tax Cuts</b>	<b>-3</b>	<b>-8</b>	<b>80</b>	<b>-547</b>
<b>DEBT SERVICE</b>	<b>0</b>	<b>-1</b>	<b>-43</b>	<b>-263</b>
<b>SUBTOTAL, Budget Proposals</b>	<b>-7</b>	<b>-54</b>	<b>-496</b>	<b>-1,781</b>

Budget Outlook, without economic security package & including Social Security surplus	-16	-3	298	1,151
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## H.R.3090, Job Creation and Worker Assistance Act:

SPENDING	-8	-4	-4	-4
TAX CUTS	-43	-39	-39	13
DEBT SERVICE	-1	-3	-30	-58
<b>SUBTOTAL, H.R.3090</b>	<b>-52</b>	<b>-46</b>	<b>-73</b>	<b>-49</b>

Budget Outlook, with H.R.3090 & including Social Security surplus	-68	-49	225	1102
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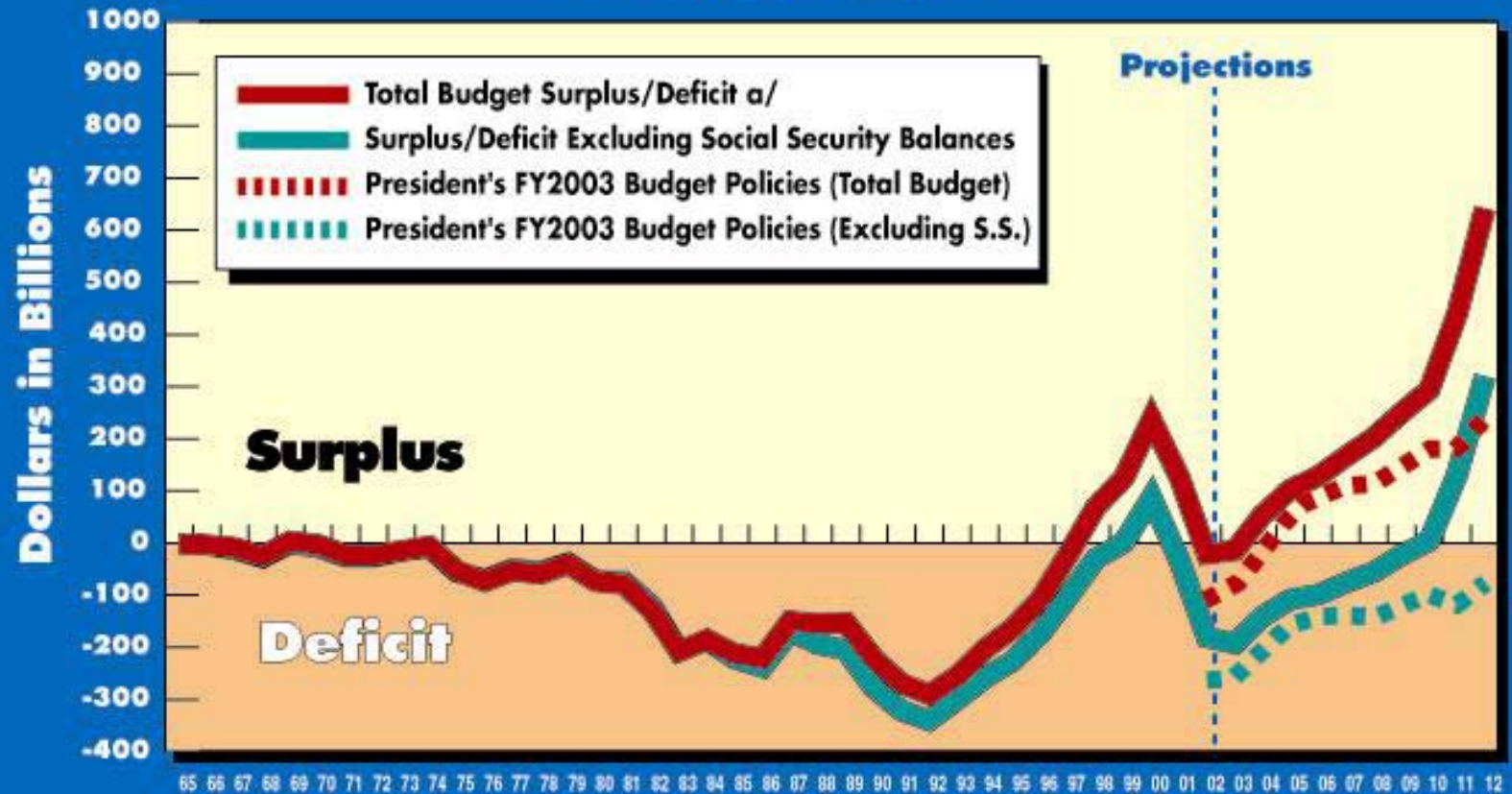
a. President's policies as presented to Congress and estimated by the OMB.

b. This estimate of the OMB baseline differs from normal baseline concepts because it does not include the outlay and debt service effects of inflating this \$20 billion emergency response fund appropriated in 2002, but does include an adjustment for retirement accounts that is contingent upon adoption of a proposed policy.

Source: Office of Management and Budget, JCT, CBO.

# Total Budget Surplus/Deficit and Surplus/Deficit Excluding Social Security Balances

## FY 1965—FY 2012



Source: CBO, Budget and Economic Outlook: FY 2003 - 2012, January, 2002.  
 a/ Total unified Federal Budget Deficit assuming CBO's inflated baseline.

# Surplus Numbers: OMB vs. CBO Pre-policy

## FY2003 - FY2012 (\$ in Billions)

	<u>FY2003</u>		<u>FY2003 - FY2012</u>	
	OMB <sup>a/</sup>	CBO <sup>b/</sup>	OMB <sup>a/</sup>	CBO <sup>b/</sup>
Total Surplus	41	6	2,686	2,380
Social Security	177	177	2,461	2,483
Rest of Gov't	-136	-171	225	-103

a/ President's FY2003 Budget, February 2002.

b/ CBO March Update.

# 經濟指標

2002    2003    2003-2012

Real GDP (% Change):

OMB	0.7	3.8	3.3
CBO	1.7	3.4	3.2
Blue Chip (Feb.)	1.5	3.5	3.3

CPI (% Change):

OMB	1.8	2.2	2.3
CBO	1.8	2.5	2.5
Blue Chip (Feb.)	1.5	2.4	2.7

Civilian Unemployment Rate (%):

OMB	5.9	5.5	5.0
CBO	6.1	5.9	5.3
Blue Chip (Feb.)	6.0	5.6	4.9

10 Year Treasury Rate (%):

OMB	5.1	5.1	5.2
CBO	5.0	5.5	5.8
Blue Chip (Feb.)	5.1	5.6	5.8

# 国土安全確保のための資金が、2年で約160億ドル

## TERRORIST SUPPLEMENTAL FUNDING BY PURPOSE

(in millions of dollars)

	2001 Emergency Response Funding	2002 Emergency Response Funding	2002 President's Supplemental Request	TOTAL
War on Terrorism	12,893	2,909	15,632	31,434
Defense	11,576	2,840	14,023	28,439
State/International Assistance Program	1,317	69	1,609	2,995
Homeland Security	2,549	8,086	5,284	15,919
Recovery/Other	4,558	9,005	6,206	19,769
TOTAL	20,000	20,000	27,122	67,122

} 国内

360B

Source: Senate Budget Committee Republican Staff; Office of Management and Budget



# 2002年度：赤字に・・・

Federal Budget Outlook – FY 2002 (\$ in Billions)	
	2002
Surplus – CBO Baseline (March 2002)	5
Minus	
Changes enacted to date	
Job Creation and Worker Assistance Act of 2002	51
Farm Security and Rural Investment Act of 2002	2
Interest on legislative changes	1
Subtotal, changes enacted to date	53
Other likely changes	
FY 2002 Supplemental	10
Revenue shortfall	78
Interest on other changes	1
Subtotal, other likely changes	89
Total Changes	142
Latest Deficit Estimate <sup>cd</sup>	-137

**President's Request Compared to Senate Reported  
FY 2002 Supplemental Appropriations  
(BA, \$ in Millions)**

	Pres.	Senate	Difference
Defense Emergencies	14,022	14,022	0
International Emergencies	1,609	1,602	193
State Department	519	462	-57
International Assistance	1,083	1,333	250
Broadcasting Board of Governors	7	7	0
Homeland Security Emergencies	5,294	8,383	3,089
Department of Transportation	4,678	5,606	928
FEMA - Grants to First Responders	327	745	418
U.S. Postal Service	87	87	0
Securities and Exchange Commission	0	9	9
GSA	54	54	0
Justice	51	471	421
Energy	26	350	324
NSF - Cybercorps/Scholarships	19	19	0
Commerce	13	132	119
EPA	13	113	100
Legislative	8	11	4
Executive Office of the President	5	5	0
Agriculture	0	191	191
Health and Human Services	0	388	388
Judiciary	14	20	6
Army Corps of Engineers	0	0	0
Interior	0	55	55
Smithsonian Institution	0	2	2
Treasury	0	76	76
District of Columbia	0	68	68
Assistance to New York Emergencies	5,467	5,467	0
FEMA - disaster relief	2,750	2,660	-90
HHS - Public Health & Social Services	0	90	90
Transportation	1,967	1,967	0
HUD - CDBG for Lower Manhattan	750	750	0
Economic Recovery Emergencies	750	400	-350
Disaster Assistance for Unmet Needs	0	80	80
Pell Grants*	1,276	1,000	-276
Nonemergencies and offsets	-14	-153	-139
Nonemergencies	240	1,290	1,050
Veterans Affairs - medical care	142	417	275
Army Corps of Engineers - O&M	0	10	10
Agriculture	75	198	123
SEC - Division of Enforcement	20	20	0
Migration and Refugee Assistance	0	50	50
Child Survival and Health programs	0	100	100
District of Columbia	0	45	45
Election Administration Reform	0	450	450
Other	3	0	-3
Offsets	-254	-1,443	-1,189
Transportation	0	-593	-593
Airline Loan Program Limitation	0	-393	-393
Highway Trust Fund	0	-200	-200
International Assistance Programs	-157	-159	-2
Export Import Bank	0	-50	-50
Economic Support Fund	0	-25	-25
HHS	-50	-30	20
HUD	-20	-350	-330
Agriculture	-9	-33	-24
Energy	0	-27	-27
Justice	0	-16	-16
District of Columbia	0	-45	-45
Departmental Management	0	-45	-45
Other	-18	-70	-121
<b>TOTAL</b>	<b>28,406</b>	<b>31,001</b>	<b>2,595</b>

Source: Senate Budget Committee Republican Staff  
 Note: The emergency bill included \$1.5 billion in mandatory spending for veterans benefits as requested by the President on May 21, 2002.  
 \*The President requested Pell grants appropriations but did not submit a request for offsetting spending. The Senate-reported bill designates \$1 billion for Pell Grants as a continuing emergency.

2001年9月末 (2001年度末)

# 国債の発行上限 \$5.95 trillion

国債総額 \$5.8 trillion

Debt Held by Public  
\$3.3 trillion

Debt Held by  
Govt. Accounts  
\$2.5 trillion

## 案

- S.2574 6月28日までに国債の上限を \$ 6.4 trillion にする (上院は6月11日に可決、下院は補正予算に付帯したい)
- Discretionary cap \$ 768 for FY2003
- Extend PAYGO

# 国債発行上限 および財政規律のゆくえ

- S.2574

6月28日までに国債の上限を \$ 6.4 trillion にする

-上院は6月11日に可決

-下院は補正予算に付帯したい

- Discretionary cap      \$ 768 for FY2003

- Extend PAYGO

# 補正予算

大統領の希望	\$ 28.4 billion
下院案	\$ 28.8 billion
上院案	\$31.5 billion

独立記念日の休会前(6月28日)が可決の目標

# 国土安全保障省案

- ブッシュ大統領が6月6日のテレビ演説で呼びかけ
- \$ 37 billion 規模の予算だが、大半は既存の省庁予算からシフト  
湾岸警備隊・移民帰化局・連邦緊急管理局の予算増大見込み
- 17万人の職員を8省庁の役20部局から集めて、省に統合
- 議会は両党とも前向き
- 歳出委員会再編の可能性も