



# BUDGET ADVISORY COMMITTEE (BAC)

COMMITTEE  
**FINAL REPORT**

JUNE 24, 2021



## TOPICS TO BE COVERED

- **Introduction**
- **Executive Summary**
- **Committee Charge & Assumptions**
- **Committee Members**
- **Start-up Challenges**
- **Sub-Committees Focus & Formation**
- **Findings & Good News**
- **Key Observations & Recommendations & Benefits**
- **Budget/Finance Impacts**
- **Acknowledgements**
- **Discussion**
  - **Q&A**
  - **Move to Accept Report**
- **Appendix**

# EXECUTIVE SUMMARY

This report focuses on enhancing methods for public participation, improved transparency and accountability for City fiscal information and decision making led by purpose and backed by policy. Opportunities for positive and progressive outcomes can happen in the community if continual outreach efforts are made to disseminate fiscal information, establish fiscal policies based on community feedback, and institute measurements to monitor progress. The report highlights BAC observations, recommendations, benefits, and budgetary impacts recognized during the BAC's six-month delve into public participation, transparency, and public input into the fiscal decision-making process.

- **Key observations contained in the report include:**

- Budget process lacks transparency as it relates to voice of the citizen (VOC) and community involvement and input in the establishment of strategic priorities for the city.
- Need to evaluate the methods and processes for securing the VOC. Current process appears to be insufficient and requires improvement (low survey participation, not synchronized with establishment of strategic priorities, and not in sync with the budget cycle).
- Current performance measurement and management processes for City Departments are either inconsistent, insufficient or non-existent. For every dollar spent, there should be clarity on the return (i.e., improvements, reductions, capacity, throughput, etc.).

- **Key recommendations contained in the report include:**

- Improve transparency and clarity around how City Council Strategic Goals are Established. Reevaluate city-citizen communications channels to understand what is or is not effective in gathering VOC (surveys, television, radio, phone, website, mail drops, etc.)

# EXECUTIVE SUMMARY CONT.

- After debt payment is retired on golf courses and reserve amounts are determined, the additional revenue should be reallocated to youth and senior programs, art and athletics, after school and community focused information outreach.
- Utilize funds collected from the new Cannabis tax for the enforcement of new regulations, drug awareness and prevention, mental health services, homeless intervention, youth services and public outreach efforts to disseminate fiscal information.
- Maintain the current General Fund reserve policy rate of at least 20% but reallocate funds above the 20% to critical priorities and economic opportunities that can create future revenue.
- **Benefits Include:**
  - Community representation allows community members perspective and voice to be considered when decisions for funding are made.
  - More involved citizens.
  - Improved communication and transparency between citizen priorities and Council strategic goals and funding.
  - Improved citizen involvement and VOC feedback and input, and a process more synced with the budget process cycle.

Overall, the BAC observed that the City of Fairfield budget appears to be technically solid. However financial resources could be spread more equitably if a greater level of community input is obtained prior to making fiscal decisions.



# COMMITTEE CHARGE & ASSUMPTIONS

## Purpose:

- Advise the City Council regarding the expenditures, revenues, and financial policies in relation to the 2020-2021 Budget.
- The committee shall report to the City Council on topics deemed important to the fiscal health of the City, encouraging public participation and input into the fiscal decision making. The committee shall perform duties assigned to it by the City Council and review any fiscally related goals and objectives of the City Council. The Committee shall have such other functions as may be directed by the City Council.

## Mission Statement

- Provide fiscal decision-making advice to the Fairfield City Council in relation to the budgets and establish methods for public participation and improved transparency into fiscal decision making for the upcoming budgets.

## Assumptions

- Committee made assumptions regarding the resolution to clarify focus areas related to expenditures, revenues, and financial policies which will help the city improve citizens participation and further drive accountability and greater transparency:
  - Fiscal Budget Goals and Objectives were based on comments from the Council and their directive to review any fiscally related goals and of objectives.
  - Transparency and Accountability was based on the the purpose set by the Council to encourage participation of the public and improve the transparency and accountability of the City.
  - Enterprise Fund was based on the City Council not having adopted a plan for when the debt of the golf courses are paid off. There is also no plan yet on how the Cannabis tax funds will be allocated.
  - Comparison Budget Committee, was based on recognizing how the city compares to other comparable cities in in California to identify best practices to improve transparency, accountability, and decision making.

# COMMITTEE MEMBERS

- George Kennedy (Chairman)
- Edward Hawthorne (Vice Chairman)
- Mari Bowie
- Michael Brito
- Karl Dumas
- Tehraleigh Martin
- Dr. Frances McCullough
- Jose McNeill
- Muriel Clemente
- Sabine Goerke-Shrode
- Shawn Smith
- Andrew Obando (Resigned)

# START UP CHALLENGES

- Lack of clarity on the committee charge
- Lack of ability to have in person meetings
- Developing data and information on a timely basis – in order to affect the current budget cycle
- Out of sequence review of the budget

# SUB-COMMITTEE FOCUS

- Advise the City Council on Expenditures, Revenues, and Financial policies
- Set forth Terms, Guidelines and Duties of the Committee
- Review any fiscally related goals, fiscal budget goals & objectives
- Improve Transparency of the City Fiscal information and decision making

# SUB-COMMITTEE FORMATION, MEMBERSHIP, AND CHARGES

BUDGET ADVISORY COMMITTEE (BAC)

- **Enterprise Sub-committee**
  - **Members** - Jose McNeil (C), Sabine Goerke-Shrode, Tehraleigh Martin
  - **Charge** - To examine the opportunity to re-allocate net revenue from existing sources and potential sources to fund community-based goals.
- **Transparency & Accountability Sub-committee**
  - **Members** - Karl Dumas (C), Mari Bowie, Michael Brito
  - **Charge** – To examine ways to improve public participation, collaboration, transparency, and accountability in the City of Fairfield’s fiscal decision-making process; and research the Participatory Budgeting Process used by some cities to enhance public participation, collaboration, and transparency in local government fiscal decision-making.
- **Fiscal Budget Goals & Objectives Sub-committee**
  - **Members** – Dr. Frances McCullough (C), Muriel Clemente, Sabine Goerke-Shrode, Shawn Smith
  - **Charge** – To examine the City Council goals and objectives and Work Plan that led to the adoption of the fiscal year 2020-2021 budget; identify opportunities to change the goals and objectives and Work Plans could guide fiscal health of City of Fairfield for the upcoming fiscal year 2021-2022 budget; recommend how Community Policing might be reflected in budget; review the City’s General Fund reserves and what the appropriate percentage of funding should be for fiscal health, in addition to areas such as General Fund for Seniors, Parks and Recreation, Administration, Community Development, Homelessness, and others that the sub committee sees fit.
- **Budget Comparison Sub-committee**
  - **Members** - Edward Hawthorne (C), Tehraleigh Martin, Michael Brito
  - **Charge** – To review and analyze other city budgets in California with comparable population to Fairfield to identify any major variances between in process, allocation, or major line item spends. The cities included are Alameda, Antioch, Benicia, Berkeley, Carlsbad, Concord, Davis, Dixon, Fairfield, Hayward, Livermore, Murrieta, Napa, Pittsburg, Pleasanton, Richmond, Rio Vista, Roseville, Sacramento, San Leandro, Santa Maria, Suisun, Thousand Oaks, Vacaville, Vallejo; and review the City of Fairfield’s Strategic Goals and associated workplans, status, and performance to expected outcomes in terms of results, timeliness, cost.

6/24/2021

# FINDINGS & GOOD NEWS

- Technically, we found no significant differences between city budget processes or content . The City of Fairfield Budget appears to be technically solid and well executed.
- City Manager's Office has demonstrated a willingness to support the committee's work and participate in improving transparency of the city's fiscal information and decision-making process.
- City Staff and Management were involved in the process – so much so that some of the recommendations are already being initiated by City Manager's Office.
- Police Department has begun implementing Community Policing Initiatives.

# OBSERVATIONS & OPPORTUNITIES

BUDGET ADVISORY COMMITTEE (BAC)

- **Enterprise Funds**
  - Amongst the several Enterprise categories only two allow for re-purposing funds. Golf Course operations and the upcoming Cannabis businesses
- **Transparency & Accountability**
  - Education/Outreach can improve the public participation and input and collaboration process.
  - Participatory Budgeting (PB) is an alternative way for local government to manage public money. It is an open process in which community members decide how to spend part of a public budget and gives community members decision-making power over budget allocation.
  - Community surveys are important to enhance the City's ability to represent citizen needs.
  - Budget process lacks transparency as it relates to voice of the citizen and community involvement and input in the establishment of strategic priorities for the city.
- **Fiscal Budget Goals and Objectives**
  - General Fund for Seniors, Park and Administration, Community Development and Recreation indicates that each are underfunded. Developers have stated that Fairfield has become harder to do business with.. Complaint is based on the length of time it takes to respond to a phone call, approve plans, and cost of permitting fees. Yet the department runs with a surplus.
  - Fairfield has too few parks built for a city the size of Fairfield. This park shortage has been attributable to lack of funds available in the budget for park maintenance. It appears that parks are a low priority for staff or City Council. Yet, in past surveys, parks rank high in priorities.
  - The lack of very-low and low-income housing poses a significant challenge to seniors, and to rehouse families and individuals that are ready to transition out of the shelter system.
  - The increasing number of retiring baby boomers over the next couple of decades will put additional pressure on an already stressed very low-income housing system. Homeless population is an increasing area of concern and expense to the City. Ongoing efforts strain the current City staff and structure.
  - Homelessness is a division within the City Manager's Office and not a department. Given the priority of the issue for the city and citizens, the lack of department "clout" could encumber progress.
- **Budget Comparison**
  - City needs to evaluate the methods and processes for securing VOC (Voice of Citizen). Current process appears to be insufficient and requires improvement (low survey participation, not synchronized with establishment of strategic priorities, and not in sync with the budget cycle).
  - Current performance measurement and management processes for City Departments are either inconsistent, insufficient or non-existent. For every dollar spent, there should be clarity on the return (i.e., improvements, reductions, capacity, throughput, etc.).
  - Strategic Goals and Workplans lack clear and identified outcomes and KPIs (key performance indicators) for their success.

6/24/2021

# RECOMMENDATIONS (1 OF 2)

- **Enterprise Funds**
  - Golf Courses – After debt payment is retired on golf courses and necessary reserve amounts are determined, the additional revenue should be reallocated to youth and senior programs, art and athletics, after school and community focused information outreach. Potentially \$1,000,000 in revenue will be created once the bonds are paid off.
  - Cannabis – As revenue is generated from the collection of the new operations, recommendation is to utilize these funds in the following manner: Enforcement of new regulations, Drug awareness and prevention, Mental Health Services, Homeless intervention, Youth Services and public outreach efforts to disseminate fiscal information.
- **Transparency & Accountability**
  - Community surveys are necessary for the City to help determine the needs of the community with respect to its fiscal decision-making process. Surveys provide the opportunity for residents to present their needs to the city. The City Council should adopt a resolution directing surveys to be performed to coincide with each two-year fiscal budget cycle. Fiscal budget changes warranted by the survey results should be measured (metrics) and shared with the community for continued improvement of transparency and accountability. Marketing and implementation of surveys should reflect practices and processes that recognize the need to ensure that underserved and underrepresented neighborhoods and communities participate.
  - Utilize future (and past) survey responses in current and future city planning.
  - Establish a Participatory Budgeting pilot program and authorize up to \$200,000 in the FY2021/22 proposed budget to be used for planning, development, and implementation of the PB pilot program.
  - Allocate at least \$1,000,000 (existing funds) towards Participatory Budgeting if the PB pilot program is successful, incorporate Participatory Budgeting into the City Charter and have resident voter determine Participatory Budgeting funding priorities binding.
  - Fairfield's funding process for the distribution of Community Development Block Grant (CDBG) funds currently includes a Citizen Participation Plan and a Steering Committee and is a participatory process. However, this Committee recommends that each City Council District should have a community member on the CDBG committee to have equal community representation during the funding process.
  - Authorize the Budget Advisory Committee to be engaged in the participatory budgeting pilot program as the primary advisory body over program governance, budget implementation, etc.
  - Allow the Budget Advisory Committee to be engaged in drafting and reviewing future survey questions and the monitoring of metrics for the surveys.
  - Change resolution for the Budget Advisory Committee to be an ongoing committee and redefine the committee charge with clarity and focus as it relates to budget transparency.



# RECOMMENDATIONS (2 OF 2)

## ■ Fiscal Budget Goals & Objectives

- Improve transparency and clarity around how City Council Strategic Goals are Established. Reevalue city-citizen communications channels to understand what is or is not effective in gathering VOC (surveys, television, radio, phone, website, mail drops, etc.).
- Police Department budget line items should be presented with more narrative to properly reflect stated goals and objectives and the Community Policing that they are currently implementing.
- The Police Department should develop a Fairfield Community Policing Partnership. (FCPP) The cost for this project would be allocated in fiscal budget year 2021-2022. About \$200,000 could be taken from the excesses of the budget reserves for the addition of a Community Relations Liaison (FTE) plus limited consulting services.
- Maintain the current General Fund reserve policy rate of at least 20% but reallocate funds above the 20% to critical priorities and economic opportunities that can create future revenue.
- Consider establishing a Landlord Partnership Program (LLP) and allocate a dedicated staff person to administer the program, with an emphasis on senior housing. The benefit of increased access to Section 8 housing units will assist in serving the very-low- income population.
- Perform a study to determine if the creation of a Homeless Services Department would be advantageous in addressing homelessness.

## ■ Budget Comparison

- Launch a body of work to research, establish and implement performance measures, KPIs, and management processes and system for all strategic goals, workplans, and city department.
- Charter a Police and Fire deep dive review of performance and functions to better understand comparative performance to other similar sized forces, identify social and mental health services performed by both departments, and develop a strategy to handle the demand and establish clear ownership and accountability.
- Based on the missions of both Community Development and Parks & Rec Departments, a deep dive evaluation should be conducted to see how both departments are performing against their stated mission and impact to the community and budget allocation.
- Increase the frequency of outreach of notifying the community of the services the city offers to drive more participation for programs and services that may also drive revenue for the city.

# BENEFITS

- New resolution for the Budget Advisory Committee as an ongoing committee with clarity and focus as it relates to budget transparency, will establish community engagement as a foundation for the fiscal budget process in determining how the city prioritizes activities and allocates funds.
- Increased funding to community-based outreach and interaction programs will improve the quality of and options for all citizens of Fairfield.
- Improved representation will ensure community members perspective and voice are considered when funding decisions are made
- Enhanced survey process and synchronization with the budget process cycle will enable a larger percentage of the community to participate in the city affairs, more VOC input and feedback, and will create a more knowledgeable citizenry.
- Implementation of a Participatory Budgeting Process will help engage the community by granting representation to underrepresented groups to determine how a portion of the city's budget could encourage enhanced government transparency and accountability.
- Improved measurement and accountability will drive more efficient city operations and work plan delivery against strategic goals.
- Improved communication and transparency between citizen priorities and council strategic goals and funding.

# BUDGET/FINANCE IMPACTS

- After golf course debt is paid, allocate additional funds to youth and senior programs, art and athletics, after school programs, and community focused information outreach. Potentially \$1,000,000 available after debt is paid.
- Authorize up to \$200,000 to be used for the planning, development, and initial implementation activities of the Participatory Budgeting pilot program.
- Authorize funding necessary to perform community surveys concurrent with each two-year budget cycle.
- Allocate at least \$1,000,000 of existing fiscal commitments towards Participatory Budgeting.
- Develop a Fairfield Community Policing Partnership (FCPP). The cost for this project is anticipated to be approximately \$200,000.
- Cost to establish and administer recommended a Landlord Partnership Program (LPP) to increase Section 8 Housing and Senior Housing availability has not been determined.
- Cost for a study to determine if a Homeless Services Department should be created has not been determined.

Potential Funding sources: Cannabis Tax, Golf Course Enterprise Fund (after debt is paid off); and Funds in excess of 20% General Fund Reserve Policy. Note: The \$1,000,000 Participatory Budgeting allocation is a shift of existing budgetary line items, not new funding.

# ACKNOWLEDGEMENTS

## Thank You

- City Council Members
- BAC Committee Members
- City Manager and Executive Team
- Emily Combs
- Bryan Chua
- Dawn LaBar
- Chief Deanna Cantrell
- Amber Alexander

# DISCUSSION

- Q&A
- City Adoption of Budget Advisory Committee Report
- Next Steps
  - Adoption of Resolution for Budget Advisory Committee Continuance for Fiscal Year 2021-2022 and Annually Thereafter
  - New Budget Advisory Committee will support the City Manager's Office in the development of an Implementation Plan to deliver on the recommendations Adopted by City Council

# APPENDIX CONTENT

- I. City Resolution - Budget Advisory Committee
- II. Transparency & Accountability
- III. Fiscal Budget Goals & Objectives
- IV. Enterprise
- V. Budget Comparison
- VI. Supplemental Data

# APPENDIX I

## CITY RESOLUTION FORMING THE BUDGET ADVISORY COMMITTEE

### CITY OF FAIRFIELD RESOLUTION NO. 2020-151

**RESOLUTION OF THE CITY COUNCIL OF THE CITY OF FAIRFIELD ESTABLISHING THE BUDGET ADVISORY COMMITTEE TO ADVISE THE CITY COUNCIL ON EXPENDITURES, REVENUES, AND FINANCIAL POLICIES, AND SETTING FORTH TERMS, GUIDELINES, AND DUTIES OF THE COMMITTEE**

**WHEREAS**, the City Council encourages public participation and input into fiscal decision making, and improving the transparency and accountability of City fiscal information and decision making; and

**WHEREAS**, the City Council desires to form the Budget Advisory Committee, and establish terms, guidelines and duties for the Budget Advisory Committee.

**NOW, THEREFORE, THE COUNCIL OF THE CITY OF FAIRFIELD HEREBY RESOLVES:**

Section 1. The committee shall perform duties assigned to it by the City Council and review any fiscally related goals and objectives of the City Council, along with other functions as may be directed by the City Council, and will advise the City Council regarding expenditures, revenues, and financial policies in relation to the 2020-2021 budget.

Section 4. The City Council hereby approves the Budget Advisory Committee Terms, Guidelines, and Duties, set forth in Exhibit A, attached hereto.

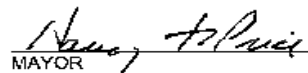
**PASSED AND ADOPTED** this 4<sup>th</sup> day of August, 2020, by the following vote:

AYES: COUNCILMEMBERS: PRICE / BERTANI / MOY / TIMM / VACCARO


NOES: COUNCILMEMBERS: NONE

ABSENT: COUNCILMEMBERS: NONE

ABSTAIN: COUNCILMEMBERS: NONE

  
MAYOR

ATTEST:

  
CITY CLERK

# APPENDIX II (1 OF 4)

## SUB-COMMITTEE REPORT:

### TRANSPARENCY & ACCOUNTABILITY

MR. KARL DUMAS

#### ■ Focus Areas

- Examine how the process for public participation and input and collaboration and transparency in the City of Fairfield's fiscal decision-making can be improved.
- Research the Participatory Budgeting process and how it is used in different cities.
- Review how the City of Fairfield determines the needs of the community with respect to its fiscal decision-making process.
- Research community survey information and any associated metrics used to measure the results of fiscal commitments, and how any metrics are reported to the community.

#### ■ Observations

- Education/Outreach can improve the public participation and input and collaboration process.
  - The fiscal decision-making process can be improved through a combination of educating the public on revenues and expenditures for the General Fund (and other funds) and its correlation with services; and by providing ongoing efforts to perform public outreach to gather input on the wants and needs of citizens. The City has various communication vehicles available such as My Fairfield App, Cable Channel 26, informational inserts in water bills, city website, etc., that could be used to provide fiscal information education/outreach to the public.
- Participatory Budgeting (PB) is an alternative way for local government to manage public money. It is an open process in which community members decide how to spend part of a public budget and gives community members decision-making power over budget allocation.



## APPENDIX II (CONT. 2 OF 4)

### SUB-COMMITTEE REPORT:

### TRANSPARENCY & ACCOUNTABILITY

MR. KARL DUMAS

- Participatory Budgeting Project.org released a Scoping Tool Kit for Participatory Budgeting titled A Guide for Officials & Staff Interested in Starting PB. The guide provides information on understanding what it takes for cities to start a PB process and how to lay a foundation for success.
- Participatory Budgeting Project.org suggests that cities should allocate about \$15 to \$25 per resident to PB for the process to have the most impact and to motivate community members to participate in the process. For Fairfield's population of 117,000 this would equate to allocating \$1,755,000 - \$2,925,000 for the PB process. However, the average amount allocated per resident in 11 cities that currently have a participatory budgeting process is approximately \$7.41. In Fairfield, this would equate to an PB allotment of \$866,970.
- Participatory Budgeting process in most cities that use it only encompasses a minor portion of the overall city budget. Participatory Budgeting in Vallejo California allocates approximately \$1,000,000 in funding from Measure B (sales tax). The PB process has created a stronger dialogue between citizens and local government. The City of Sacramento is considering allocating \$1,000,000 (approximately \$2 per resident) in PB funding in their FY2021/22 proposed budget. In February 2021, Sacramento authorized \$225,000 in Measure U funds (sales tax) for Participatory Budgeting initial planning and implementation activities. The City of Oakland uses the Participatory Budgeting process for CDBG funding allocation in two City Council Districts for approximately \$400,000 in CDBG funds.
- Once a Participatory Budget process has been approved, PB can take 3-6 months to design and an additional 5-8 months to implement.
- The Community Development Block Grant (CDBG) allocation process in Fairfield could be considered a form of the PB process since there is a Steering Committee and a Citizen Participation Plan, however the major difference in the PB process is that community members have an open voting process to decide how to spend the funds. Fairfield's CDBG funding allocation process is not currently structured with a resident voting process. Fairfield's CDBG Steering Committee is comprised of community members who are given decision-making input over budget allocation of the CDBG funds. Fairfield is a CDBG entitlement city and is provided an annually allocation of funds from HUD.
- Fairfield revenue generated through the tax from Cannabis could be allocated to the Participatory Budget process to allow residents to decide how to utilize the revenue for the city.
- **Community surveys are important to enhance the City's ability to represent citizen needs.**
  - In November 2018, the City authorized Godbe Research to develop, implement, and analyze a Resident Satisfaction Survey of up to 500 residents at an expense of \$30,125. The survey results were released in April 2019 (Resident Satisfaction Survey" and Summary of Key Findings). Survey tabulations showed 886 residents were surveyed through phone and email. The survey was based on an approximate 18 to 20-minute participation time for respondents.
  - The City Work Plan for fiscal year 2019/20 did not outline any suggested changes from the previous year based on the 2019 Resident Satisfaction Survey. The Budget Advisory Committee was unable to determine if Department Heads requested specific funding in their budget based on the Survey.
  - The City of Fairfield does not appear to utilize community survey results in determining fiscal comments. Additionally, there appears to be no metrics in place to measure the impacts resulting from increased or decreased fiscal allocations.

## APPENDIX II (CONT. 3 OF 4)

### SUB-COMMITTEE REPORT:

### TRANSPARENCY & ACCOUNTABILITY

MR. KARL DUMAS

#### ■ Sub-Committee Recommendations:

- Community surveys are necessary for the City to help determine the needs of the community with respect to its fiscal decision-making process. Surveys provide the opportunity for residents to present their needs to the city. The City Council should adopt a resolution directing surveys to be performed to coincide with each two-year fiscal budget cycle. Fiscal budget changes warranted by the survey results should be measured (metrics) and shared with the community for continued improvement of transparency and accountability. Marketing and implementation of surveys should reflect practices and processes that recognize the need to ensure that underserved and underrepresented neighborhoods and communities participate.
- Fairfield's funding process for the distribution of Community Development Block Grant (CDBG) funds currently includes a Citizen Participation Plan and a Steering Committee and is a participatory process. However, this Committee recommends that each City Council District should have a community member on the CDBG committee to have equal community representation during the funding process.
- Utilize future (and past) surveys in current and future city planning.
- Establish a Participatory Budgeting pilot program and authorize up to \$200,000 in the FY2021/22 proposed budget to be used for planning, development, and implementation of the PB pilot program.
- Allocate at least \$1,000,000 towards Participatory Budgeting. Use funding from the Cannabis tax toward Participatory Budgeting. If the PB pilot program is successful, incorporate Participatory Budgeting into the City Charter and have resident voter determined Participatory Budgeting funding priorities binding.
- Authorize the Budget Advisory Committee to be engaged in the participatory budgeting pilot program as the primary advisory body over program governance, budget implementation, etc.
- Allow the Budget Advisory Committee to be engaged in drafting and reviewing future survey questions and the monitoring of metrics for the surveys.

## APPENDIX II (CONT. 4 OF 4)

### SUB-COMMITTEE REPORT:

#### TRANSPARENCY & ACCOUNTABILITY

MR. KARL DUMAS

- **Benefits:**

- Community representation allows community members perspective and voice to be considered when decisions for funding are made.
- Surveys allow inputs for a larger percentage of the community to participate in the city affairs and create a more knowledgeable citizen.
- Participatory Budgeting can help engage the community by granting representation to underrepresented groups to determine how a portion of the city's budget is spent.
- Participatory Budgeting encourages enhanced government transparency and accountability.
- Community engagement as a foundation for the fiscal budget process in determining how Fairfield should allocate funds and create priority activities.

- **Financial/ Budgetary Impact:**

- Authorize up to \$200,000 to be used for planning, development, and initial implementation activities of the Participatory Budgeting pilot program.
- Authorize the use of the Cannabis tax revenue to be allocated toward Participatory Budgeting.
- Authorize funding necessary to perform community surveys concurrent with each two-year budget cycle.

# APPENDIX III (CONT. 1 OF 2)

## SUB-COMMITTEE REPORT:

## FISCAL BUDGET GOALS & OBJECTIVES

DR. FRANCES  
MCCULLOUGH

### ■ Focus Areas

- Review the *Goals and Objectives for (Budget) Work Plan 2020 – 2021* to study how those plans could guide fiscal health of the City of Fairfield's budget year 2021 – 2022. Did this work plan include specifics to address the overarching issues of social justice? Is social justice a relevant budget line (specific programs/activities) to be considered for the new budget? If yes, what year?
- This committee is tasked with studying Community Policing and how community policing was reflected in fiscal year 2020 – 2021 and subsequently fiscal year 2021-22? Identify some best practices of community policing and infuse those positive concepts into overall policing service budget for 2021 - 2022.
- The General Fund reserves will be analyzed to determine the appropriate percentage of fund needed for fiscal health in 2021-2022? In addition, focus special attention on apportionments for seniors, parks, community development, recreation, and other service programs.

### ■ Observations

- Inadequate financial narratives to measure actual cost for various services and activities.
- A six-month review of Community Policing conducted under the label of Budget Advisory Committee without complete clarity of purpose is not sufficient to advise Fairfield appropriately on this current national passionate anguish.
- The absence of sufficient opportunities for community/police department collaborate engagements that includes the diversity of residents.
- Lack of public meetings and forums whereby the community can participate in some decision-making and build trust in the Fairfield Police Department as community policing is reimaged.

# APPENDIX III (CONT. 2 OF 2)

## SUB-COMMITTEE REPORT:

## FISCAL BUDGET GOALS & OBJECTIVES

DR. FRANCES  
MCCULLOUGH

### ■ Recommendations

- The first recommendation is for the Police Department budget line items to be presented with more narrative.
- Secondly, it is recommended that the City of Fairfield Police Department develop a Fairfield Community Policing Partnership. (FCPP) The cost for this project would be allocated in fiscal budget year 2021-2022. About \$200,000 could be taken from the excesses of the budget reserves for the addition of a Community Relations Liaison (FTE) plus limited consulting services.
- A third recommendation from the Community Policing focus is related to the second recommendation with the emphasis being placed on the establishment of a Fairfield Community Policing Partnership advisement project that includes suggestions for staffing responsibilities and process for the FCPP formation.

### ■ Benefit

- Short, as well and long-term benefits of suggested recommendations will provide the community and the police department with the opportunity to build trust and reimagine the police department as a positive community service for all residents using a small financial investment.
- Long-term overall financial and psychological benefits are immeasurable because all-encompassing costs are based on potential incidences or lack there-of. For example, the City of Minneapolis recently experienced an expense of about thirty millions dollars due to murder-by-police of an un-armed resident, over-time pay, and building damages. In this example, financial results are currently still being calculated while the long-term comprehensive psychological results are immeasurable.

# APPENDIX IV (1 OF 2)

## SUB-COMMITTEE REPORT:

### ENTERPRISE

### MR. JOSE MCNEILL

#### ■ Focus Areas

- The enterprise fund sub committee is tasked with reviewing the Enterprise fund elements within the City of Fairfield and to determine if there are funds that can be allocated to other City Services and Ventures. Determine which - if any could provide funds.
- Suggest to the City a blueprint for allocation of excess funds (Revenue less expenses less Capital Expenditures) For example:
  - Golf Courses ( after Debt repayment FY 2023) Set aside significant reserve replacement funds to the golf courses and operations to maintain and expand the first-class operations. The remaining funds (if any) on an annual basis be allocated to Community services to support Athletic, Art and Music programs.
  - Cannabis Funds - First to provide funds for the operation and enforcement of Codes and Regulation for the program. Secondly to outreach for Drug awareness, homeless outreach/interaction and remaining funds for mental health services.

#### ■ Observations

- Amongst the several Enterprise categories only two allow for re-purposing funds. Golf Course operations and the upcoming Cannabis businesses

## APPENDIX IV (2 OF 2)

### SUB-COMMITTEE REPORT:

### ENTERPRISE

### MR. JOSE MCNEILL

#### ■ Recommendations

- Golf Courses – In the near term, the debt on the golf courses will retire the existing debt. This will free up a potential of \$1 million in revenue that was previously going to debt service. Allowing for additional reserves and capital projects for the golf courses the committee recommends that after the reserve amount is determined, the additional funds be reallocated to youth and senior programs, art and athletics, after school and community focused information outreach.
- Cannabis – As revenue is generated from the collection of the new operations the recommendation is to utilize these funds in the following manner:
- Enforcement of new regulations
- Drug awareness and prevention
- Mental Health Services
- Homeless intervention
- Youth Services

#### ■ Benefits

- Utilizing funds to provide and improve community-based outreach and interaction, the City of Fairfield will be able to improve the quality of and options for the citizens of Fairfield.

#### ■ Financial/Budgetary Impact

- Because the funding will be coming from existing – Golf Course increased net revenue – and - New net revenue – Cannabis – the budget impact will be minimal.

# APPENDIX V (1 OF 2)

## SUB-COMMITTEE REPORT: BUDGET COMPARISON

MR. EDWARD  
HAWTHORNE

- **Focus Areas**
  - Review 24 City Budgets-Each committee member reviewed 8 of the 24 city budgets (Alameda, Antioch, Benicia, Berkeley, Carlsbad, Concord, Davis, Dixon, Fairfield, Hayward, Livermore, Murrieta, Napa, Pittsburg, Pleasanton, Richmond, Rio Vista, Roseville, Sacramento, San Leandro, Santa Maria, Suisun, Thousand Oaks, Vacaville, Vallejo) to identify any major variances between cities around process, allocation, major line item spends.
  - Review Strategic Goals (6) and workplans (12) performance against budget, committed completion and expected outcomes and how status is communicated back to the citizens.
- **Observations**
  - 24 cities were reviewed for budget comparison purposes. Some specific to personnel, fire, police, county, etc. Not all city budget used for comparison have the same budget lines items. Sub-committee was reviewing the budgets for any “Ah Ha’s”
  - Technically, we found no significance differences between city budget processes or content and the City of Fairfield Budget appears to be technically solid. However, we did identify some opportunities for further review:
    - Largest line item spends across all city budgets remained police and fire. Range for budgets reviewed: Police 24%-66%, Fairfield 44%. Fire 18%-37%. Fairfield 21% - **Opportunity:** Deep dive analysis into KPI, performance, functions, and services, especially Mental and Social services
    - Lowest funded departments across all budgets reviewed: Community Development 4%-13%. Fairfield lowest at 4%. Parks & Rec 2.4%-17%. Fairfield 7%. - **Opportunity:** Given the mission statements of both departments and Fairfield’s size and Strategic Priorities, and General Fund Reserve position, a deeper dive into functions, performance, and gaps should be conducted to reevaluate funding levels.
    - Fund Reserves range between 20%-44% for budgets reviewed. Highest being Vacaville, Lowest Hayward. Fairfield is at ~28% against goal 20%.
    - Budget process lacks transparency as it relates to voice of the citizen and community involvement and input in the establishment of strategic priorities for the city.
      - Need more transparency and clarity around how City Council Strategic Goals Established.
      - Need to evaluate the methods and processes for securing VOC (Voice of Citizen). Current process appears to be insufficient and requires improvement (low survey participation, not synchronized with establishment of strategic priorities, and not in sync with the budget cycle)
    - Current performance measurement and management processes for City Departments are either inconsistent, insufficient or non-existent. For every dollar spent, there should be clarity on the return (i.e., improvements, reductions, capacity, throughput, etc.)
    - Strategic Goals and Workplans lack clear and identified outcomes and KPIs (key performance indicators) for their success.
    - Synchronization and inclusion of VOC in the strategic planning and budget process cycles, and subsequently to open bi-directional communications back to the citizens on strategic priorities, outcomes, and overall city performance.



# APPENDIX V (2 OF 2)

## SUB-COMMITTEE REPORT:

## BUDGET COMPARISON

MR. EDWARD  
HAWTHORNE

### ■ **Recommendations:**

- Launch a body of work to research, establish and implement performance measures, KPIs, and management processes and system for all strategic goals, workplans, and city department.
- Charter a Police and Fire deep dive review of performance and functions to better understand comparative performance to other similar sized forces, identify social and mental health services performed by both departments, and develop a strategy to handle the demand and establish clear ownership and accountability.
- Change resolution for the Budget Advisory Committee to be an ongoing committee and redefine the committee charge with clarity and focus as it relates to budget transparency.
- Based on the missions of both Community Development and Parks & Rec Departments, a deep dive evaluation should be conducted to see how both departments are performing against their stated mission and impact to the community and budget allocation.
- Reevaluate the current General Fund Reserve position and potential opportunity for reallocation of funds to critical priorities.
- Improve transparency and clarity around how City Council Strategic Goals Established. Reevaluate city-citizen communications channels to understand what is or is not effective in gathering VOC (surveys, television, radio, phone, website, mail drops, etc.)
- Increase the frequency of outreach of notifying the community of the services the city offers to drive more participation for programs and services that may also drive revenue for the city.

### ■ **Benefits:**

- Improved measurement and accountability to drive more efficient city operations
- More involved citizens
- Improved communication and transparency between citizen priorities and council strategic goals and funding.
- Improved citizen involvement and VOC feedback and input, and a process more synced with the budget process cycle.

### ■ **Financial/ Budgetary Impact:**

- Reallocation of Fund Reserves in excess of 20% General Fund Reserve Policy
- Productivity Improvements and savings

# APPENDIX-VI: SUPPLEMENTAL DATA PARTICIPATORY BUDGETING COMMUNITY POLICING HOMELESSNESS COMPENSATION BENEFIT

BUDGET ADVISORY COMMITTEE (BAC)

## Participatory Budgeting

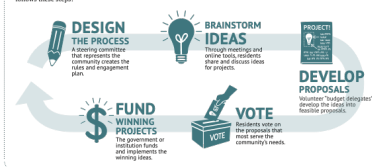
### pbp PARTICIPATORY BUDGETING PROJECT

#### What Is Participatory Budgeting?

Participatory Budgeting (PB) is a democratic process in which community members decide how to spend part of a public budget. It gives people real power over real money.

#### How PB Works

PB is an annual cycle of engagement that is integrated into a regular budgeting process. A typical PB process follows these steps:



#### PB's Impacts

- Increased civic engagement
- Stronger and more collaborative relationships between residents, government, and community organizations
- More inclusive political participation, especially by historically marginalized communities
- New community leaders
- More equitable and effective public spending

#### Where PB is Happening

- New York City, where over 100,000 people decide how to spend \$40 million.
- Oakland, CA, for federal community development funds
- Phoenix, AZ, in public high schools
- Vallejo, CA, for proceeds from a city sales tax
- Boston, MA, where young people decide how to spend \$1 million each year
- Over 3,000 cities around the world.

[participatorybudgeting.org](http://participatorybudgeting.org)

### Participatory Budgeting in Vallejo Rulebook



### PB SCOPING TOOLKIT

A Guide for Officials & Staff  
Interested in Starting PB



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PARTICIPATORY  
BUDGETING PROJECT

## Compensation Benefit Report

#### City of Fairfield Compensation and Benefits Report:

A comprehensive compensation and benefits survey would require research for the Cities of Alameda, Antioch, Concord, Hayward, Livermore, Napa, Pittsburg, Richmond, Sacramento, San Leandro, Vacaville and Vallejo. These are the cities negotiated between employee associations and the City Council. Eight of the 10 cities are on the other side of the bridge. Traditionally cities within the Bay Area have higher compensation rates. The Council may want to look at adding other comparable cities. The last resolution I could find was from 2000.

Currently the Fairfield General Managers Association shows an annual productive hours rate of approximately 1538. That is 76% of the total paid hours of 2080. The Fairfield Employees Association has an annual productive hours rate of approximately 1688. This is 81% of the 2080 hours. More comprehensive analysis will need to be completed to see if these percentages fall within the industry norm.

A total compensation plan will require consultants or hiring temporary staff to complete the project. The effort of the expenses can be realized in negotiations for future development of Memorandum of Understanding with the employee groups. When looking at compensation it is important to conduct a comprehensive salary and benefits package analysis.

Attached is the schedule of benefits for the two employee groups listed above. The unrepresented employees mirror the FOMA and FFA depending on classification. While I didn't complete the chart for all cities, it seems the chart below identifies some benefits not available to other employees in the other jurisdictions.

**OVERALL RECOMMENDATION:** Create a strategic off plan to conduct a study of overall comprehensive salary and benefits packages. To better enhance transparency, include graphs or charts that express the salary and benefit costs for each department.

Type of Benefit	FF General Association	FF Employee Association
Personal	\$44.86	\$2
Vac 0-3 yrs	10	10
Vac 4-10	15	15
Vac 11-15	20	21
Vac 16-19	20	22
Vac 20	25	22
Vac 21 up	25	23
Holidays	12	12
Sick Days	12	12
Health Opt out	518	518
Short Term Dis	City PD	City PD

## Homelessness Report

City of Fairfield Budget Advisory Committee

Subcommittee Focus: Fiscal Budget Goals and Objective

**Theme: How should lack of very-low income housing be addressed in the budget?**

With the implementation of a Homeless Services Division in the City Manager's Office, the City of Fairfield has created a strong focus on homelessness in Fairfield. The collaboration among the 7 cities, Solano County, the non-profit partners and neighboring counties is an important step to a regional approach in the continuing effort to identify strategies to serve very-low and low-income residents successfully.

The subcommittee would like to propose two areas of consideration:

- 1) The lack of very-low and low income housing poses a significant challenge to reduce families and individuals that are ready to transition out of the shelter system. One approach to encourage access to more section 8 housing is to work directly with landlords. Major concerns to overcome for landlords and tenants are the lack of funds for security deposits and the perception that voucher holders will damage units. A Landlord Partnership Program (LPP) such as Marin County operates offers security deposits, damage protection, and vacancy loss coverage as well as a customer service hotline and workshops. (Marin Housing Authority: <https://www.huduser.gov/portal/periodicals/en/center/19/highlights.html>) Santa Clara Housing Authority <https://www.schousingauthority.org/section-8-landlord-resources/>). A LPP offers both reassurance to landlords and tenants while helping to increase the number of available Section 8 housing supply.
- 2) Very low-income housing for seniors poses a specific concern. The 2019 ACS census reported that 16.2% or 72,614 residents aged 65 or older. The Fairfield Population Pyramid 2021 (<https://worldpopulationreview.com/us-cities/fairfield-ca-population/>) lists approximately 5,554 male residents and 6,546 female residents aged 65 and above. Of these seniors, approximately 7.4% live in poverty, defined as below the Federal Poverty Level (FPL). The FPL for 2021 is \$12,880 for a single person, and \$17,420 for a couple. With increasing age, females greatly outnumber men. In addition, senior females tend to have less financial security and make up a disproportionate number of those living below the FPL.

## Community Policing

City of Fairfield Budget Advisory Committee  
Subcommittee Focus: Fiscal Budget Goals and Objective

**Theme: How should Community Policing be reflected in the budget?**

To understand the importance of Community Policing and its budgetary significance, one must first understand the meaning and overarching consequences of Community Policing. Plainly stated, all components of police services should be community focused because the police department works to protect and serve all residents of its jurisdiction. COPS Office presents a clear ethical ways of infusing Community Policing into a community. "The Office of Community Oriented Policing Services (COPS Office) is the component of the U.S. Department of Justice responsible for advancing the practice of community policing by the nation's state, local, territorial, and tribal law enforcement agencies through information and grant resources."

"Community policing begins with a commitment to building trust and mutual respect between police and communities. It is critical to public safety, ensuring that all stakeholders work together to address our nation's crime challenges. When police and communities collaborate, they more effectively address underlying issues, change negative behavioral patterns, and allocate resources." (Office of Community Oriented Policing Services, Google Search, 4/2/21)

Budgetary consideration in the City of Fairfield as related to community policing begins with a review of the overall Police Department budget. The budget represents 44% of the entire city's budget. Based on data received from Chief Cantrell, approximately 13% of the budget goes to hard costs to supports staff. (Response to questions from FBAC Subcommittee, Chief Cantrell - 10-16-2021). Thus, approximately 31% goes to recruitment, training and staff compensation. Taking an all-inclusive review of staff budgetary items does not provide specifics for community policing as currently being re-defined since the onset of numerous civil protests across America. After the public killing of George Floyd by a police officer during an arrest, millions of Americans are calling for police services that eradicate racial disparities and social injustices, as well as seeking engagements with all community stakeholders in the decision-making. Therefore, budget advisory recommendations are focused on: How should Community Policing be reflected in the City of Fairfield Fiscal Budget?

A brief research of the Fairfield's Police Department reveals a long list of police involved community activities, projects and programs. Unfortunately, it did not identify any recognized specific partnership relationships across Fairfield Police Department balanced with representation from the entire community. In part, the omission of community engagement services may be directly related to the lack of overall transparency of the actual expenditures on specific programs and services. The budget reviewed by this writer presents all-inclusive numeric data without adequate explanatory narratives. Therefore, the first recommendation is that the Police Department budget line items be presented with more narrative.

6/24/2021

31



# THANK YOU

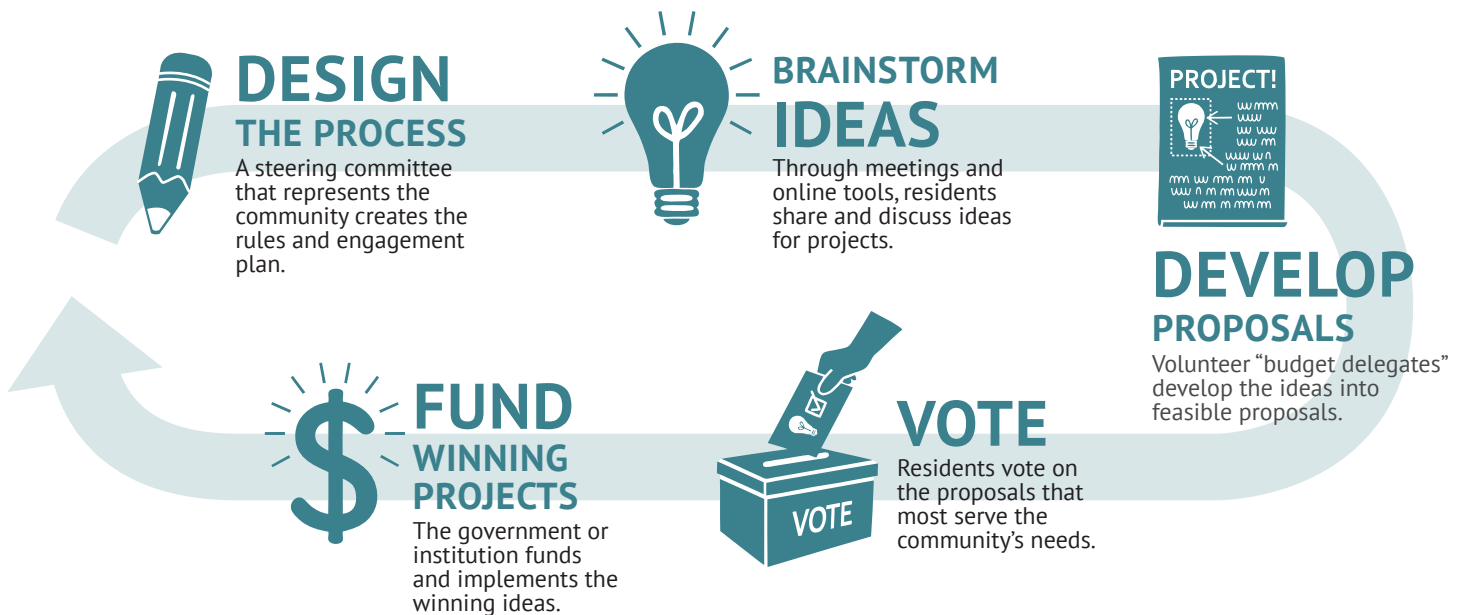


## What Is Participatory Budgeting?

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PB is an annual cycle of engagement that is integrated into a regular budgeting process. A typical PB process follows these steps:



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- Over 3,000 cities around the world.



# PARTICIPATORY BUDGETING PROJECT

The **Participatory Budgeting Project (PBP)** empowers people to decide together how to spend public money. We create and support participatory budgeting (PB) processes that deepen democracy, build stronger communities, and make public budgets more equitable and effective.

PBP is the lead organization advancing participatory budgeting across the United States and Canada. We have empowered more than 400,000 people to directly decide how to spend \$300 million in public funds in 29 cities.

## Our Work

### Technical Assistance



We provide direct support to PB processes in order to grow and improve the practice of PB. This includes providing trainings, materials, coaching, and other expertise to governments, organizations, and residents, so that they can implement high-impact civic engagement processes that advance equity and democracy.

### Participation Lab



We develop and test innovative strategies and design solutions that make PB easier and more effective, and that deepen, measure, and communicate its impacts. This work includes developing civic engagement tools such as trainings, guides, videos, and technology to address common challenges.

### Network Building



We build relationships with government officials and staff, organizers and researchers to increase demand and support for PB. This work includes managing a PB Network of practitioners, holding international conferences, and introducing PB to new types of budgets.

## Clients

### Our clients include:

- New York City Council
- City of Oakland
- City of Seattle
- City of Boston
- City of Greensboro
- City of Cambridge
- City of Minneapolis
- City of Vallejo
- City of Toronto, ON
- City of Dieppe, NB
- City of Victoria, BC
- Phoenix Union High School District
- New York State Department of Education
- And many others

## Endorsements

### Our work has been recognized as a best practice in civic engagement by:

- The US Conference of Mayors
- National League of Cities
- US Department of Housing and Urban Development
- The Obama White House
- Harvard University- Ash Center for Democratic Governance & Innovation
- 100 Resilient Cities
- The Movement for Black Lives
- The Aspen Institute
- PolicyLink
- Local Progress

## Contact

PBP has offices in NYC & Oakland. Contact us to learn more about starting PB in your community.



info@participatorybudgeting.org



@PBProject



ParticipatoryBudgetingProject





# PB SCOPING TOOLKIT

A Guide for Officials & Staff  
Interested in Starting PB



PARTICIPATORY  
BUDGETING PROJECT



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# I. Introduction

**Participatory Budgeting (PB)** is a better way to manage public money. It is a democratic process in which community members decide how to spend part of a public budget. PB gives ordinary people real decision-making power over real money.

**The Participatory Budgeting Project (PBP)** is a nonprofit organization that empowers people to decide together how to spend public money, primarily in the US and Canada. We create and support participatory budgeting processes that deepen democracy, build stronger communities, and make public budgets more equitable and effective. We have worked with partners to engage **200,000 people** in over **17 cities** to decide how to spend over **\$210,000,000** on more than **500 community projects**.

**This toolkit is for officials and staff at governments and institutions that are interested in launching a PB process.** Its purpose is to help you understand what it takes to start a PB process and how to lay a foundation for success.

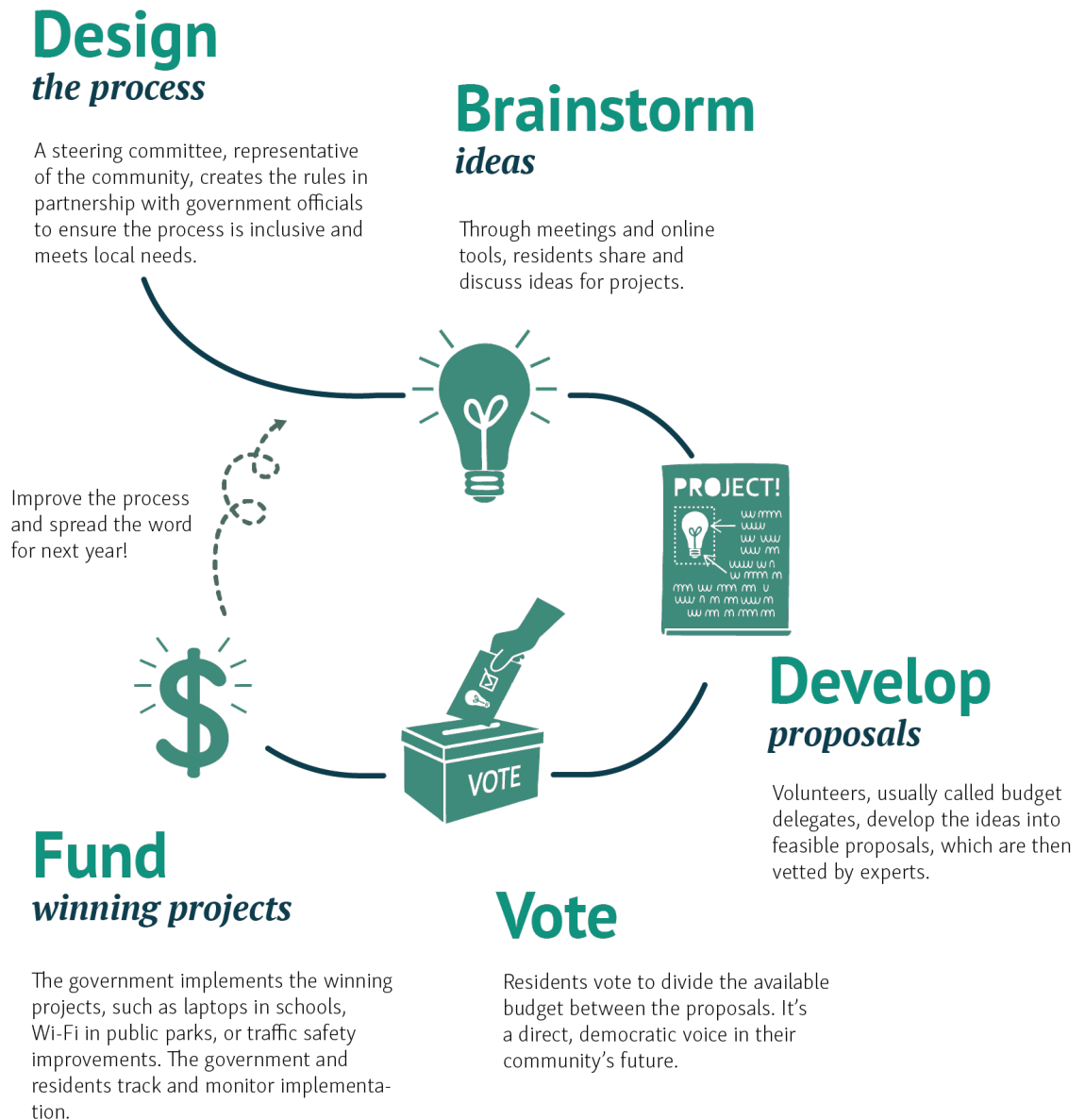
In the sections that follow, we answer the following questions:

- ☐ How does a typical PB process work?
- ☐ What are the impacts of PB?
- ☐ What budgets can be used for PB?
- ☐ What staffing and other resources are needed to implement PB?
- ☐ How do I get started?



## A. HOW DOES PB WORK?

In PB, communities make budget decisions through an annual cycle of meetings and voting. Most experiences follow a similar basic approach:



After funding, the planning process starts again, and PB becomes part of the way government works.

## B. HISTORY OF PB

The Brazilian city of Porto Alegre started the first full participatory budgeting process in 1989 as a key strategy for rooting out corruption and addressing economic inequality. Since then, PB has spread to over 3,000 cities around the world, and been used for districts, cities, counties, states, nations, housing authorities, schools, universities, and other institutions.

PB first came to the U.S. in 2009, when PBP worked with Alderman Joe Moore in Chicago to use PB to allocate his \$1.3 million in capital discretionary funds, in his ward of 58,000 people. Since then, PB has spread to dozens of other cities, institutions, and funding streams across North America.

- **Council discretionary funds:**  
In cities like Chicago, New York, and Long Beach, PB is used at the council district level. In New York City, over half of city council districts, representing 4.5 million people, are allocating \$40 million annually through PB.
- **City budgets:**  
PB takes place citywide in cities like Vallejo, CA, Cambridge, MA, Hartford, CT, and Greensboro, NC, with pots of up to \$3.2 million.
- **Youth PB:**  
Cities such as Boston and Seattle have run citywide PB processes exclusively for youth and young adults ages 11-25.
- **K-12 Schools:**  
Elementary, middle, and high schools in cities such as Phoenix, Chicago, Sacramento, New York, and San Jose, have used PB to allocated principals' discretionary funds, PTA funds, and school district-level funds.
- **Colleges & Universities:**  
At colleges and universities in New York City and San Antonio, TX, students, teachers, and staff have started PB processes with school-wide funds.
- **Federal funds:**  
In 2014, the Obama White House included PB as a best practice in its "Second National Action Plan for Open Government", prompting the U.S. Department of Housing & Urban Development (HUD) to endorse PB for public participation in its programs and funding streams. The City of Oakland, CA, has used PB to allocate HUD's Community Development Block Grant (CDBG) funds.

## C. WHAT ARE THE IMPACTS OF PB?

### 1. Effective leadership

PB engages residents in working with government to solve community needs. It makes government more effective and delivers real results.

- **Community members provide more useful input.**  
Thousands of volunteers contribute their local knowledge and energy through PB, far beyond the “usual suspects.”
- **Community members learn and find solutions together.**  
Residents develop empathy - for each other and for the challenges that people in government face - and come together to find new ways to meet community needs.
- **Officials and staff deliver better results.**  
City employees are motivated and held accountable by direct engagement with the people they serve.

“ PB brought the people together to engage and make group decisions. PB encourages people to drop their biases and say, if we want to have a voice and make a change, we have to come together for a common good. This has impacted me tremendously because I never thought that this was possible for neighborhoods like mine.”

Damilola Iroko, Facilitator, PBNYC

### 2. Fair leadership

At a time when most people feel that government is not listening to them, PB is a tangible way to lift up all voices fairly. More people get inspired and active, especially those who often don't participate.

- **Historically disenfranchised populations can participate and vote.**  
PB opens up participation and voting to people who are typically disenfranchised, such as youth under 18, non-citizen residents, and formerly incarcerated individuals.
- **Marginalized communities tend to participate more.**  
Evaluations consistently show that PB processes more closely reflect the demographic makeup of their communities than traditional elections, with low-income residents, people of color, and young people participating at higher rates.
- **Government hears from new voices.**  
Leadership in a democracy requires engaging and responding to all sides of your community. As cities struggle with deepening divisions along lines of race, income, partisanship, and more, leaders need new ways to hear from everyone.

“ *Actually, I came in for the free pizza... (I was attracted by a sign that said ‘FREE PIZZA!’), but I stayed because I saw an opportunity to make a change. Before this, I had little to no experience in working with my community, but I had always been interested. When I saw the video about what a district in New York had done and what they had accomplished I thought, ‘I wanna do something like that.’”*

Jenny Aguiar, who got involved with PB in Vallejo, CA, as a high school junior

### 3. Visionary leadership

By supporting their communities to become more resilient and connected, officials and staff who launch PB build a legacy as bold and innovative leaders.

- **Broad and empowered participation is the future of democracy.**  
True leadership is about lifting people up. PB creates an opportunity for residents to contribute their energy and excitement to government.
- **PB inspires new innovations.**  
When diverse residents engage with technical experts, they come up with new ideas. In New York, for example, public housing residents developed a winning proposal for a solar-powered greenhouse, to create job opportunities for youth and bring healthy food and nutrition education into the community.

➤ **PB leaves a legacy.**

The disconnect between communities and government is creating challenges for many officials. Through PB, visionary leaders are building healthier communities and more effective democracies, creating a lasting legacy.

“ Usually, in an alderman’s office, people contact us to fix an isolated problem. Through the PB process, we discussed not just what needed to be fixed but what we wanted our community to be.”

Owen Brugh, 45th Ward Staff, PB Chicago

For more information on the the impacts of PB and evaluation reports from local PB processes, visit the “[Research](#)” page on PBP’s website.

## Key Questions to Consider

What problems in your city could PB help solve?

What impacts would you want PB to have for individuals, the community, and government?

## II. The PB Timeline

Once a process has been approved, PB can take 3-6 months to design. A typical cycle then lasts 5-8 months, from idea collection through the public vote. Below are the major phases that happen annually, with common time frames.

PHASE	GOALS   BENCHMARKS	TIME FRAME
<b>Planning</b>	<ul style="list-style-type: none"> <li>• Educate decision makers</li> <li>• Engage community partners</li> <li>• Identify pot of money to allocate</li> <li>• Secure funding and staffing for implementation</li> <li>• Announce approval of PB process</li> </ul>	Variable
<b>Design</b>	<ul style="list-style-type: none"> <li>• Form Steering Committee</li> <li>• Develop PB Rulebook</li> <li>• Schedule idea collection events</li> <li>• Recruit and train facilitators and outreach workers</li> </ul>	3-6 months
<b>Idea Collection</b>	<ul style="list-style-type: none"> <li>• At public meetings, residents and other community stakeholders learn about PB, discuss community needs, and brainstorm project ideas</li> <li>• Residents also submit ideas online or via other digital tools</li> <li>• Residents volunteer to serve as budget delegates to turn the ideas into full project proposals for the PB ballot</li> </ul>	1-2 months
<b>Proposal Development</b>	<ul style="list-style-type: none"> <li>• Budget delegates go through an orientation, then meet in committees to transform the community's initial project ideas into full proposals, with support from agency staff and technical experts</li> </ul>	3-5 months
<b>Vote</b>	<ul style="list-style-type: none"> <li>• Delegates present final projects at science-fair style expos</li> <li>• Residents vote on which projects to fund, at sites throughout the community over a week or two.</li> </ul>	1 month
<b>Evaluation</b>	<ul style="list-style-type: none"> <li>• Participants and researchers evaluate the process and identify improvements to make the following year</li> </ul>	1-2 months
<b>Implementation and Monitoring</b>	<ul style="list-style-type: none"> <li>• Government implements winning projects and participants help monitor and troubleshoot problems as they arise</li> </ul>	ongoing

*For a sample PB process timeline, see **Appendix A**.*

## Key Questions to Consider

When is your annual budget cycle, and when would final projects need to be incorporated into the budget?

Are there existing public engagement processes that should connect with PB?

# III. The Pot of Money

## A. WHAT BUDGETS WORK BEST?

PB allocates funds that are not already committed to fixed expenses - like pensions or debt service - and that are instead allocated at the discretion of decision-makers. While this is often a small part of the overall budget, it is a big part of the funds that are available and up for debate each year. PB can save money down the road, as participants discover new ways to make limited budget dollars go farther.

PB does not require a new pot of money, just a change to how existing budget funds are decided. For example, a city may have \$5 million earmarked for capital improvements or economic development programs, but exactly what improvements or programs will be funded remains to be decided. PB is a different way of deciding how these funds will be used.

Potential pots of money include (but are not limited to):

- Discretionary funds of elected officials
- City, county, or state budgets
- Housing authority or other public agency budgets
- School, school district, or university budgets
- Federal funds such as Community Development Block Grants or transportation funds
- Community Benefit Agreements
- Tax Increment Financing (TIF) money
- Non-governmental sources like foundations, nonprofit organizations, or grassroots fundraising, if this money is oriented towards public or community projects.

When choosing possible budgets to use for PB, prioritize funding streams that matter to communities that are traditionally least represented in government. These often include funds for schools, housing, and community programs and services. The pot of money on the table will drive who shows up to participate.



## B. HOW MUCH MONEY IS ENOUGH?

The amount of money you need to do PB depends on what it will be used for and the size of your total budget. Typically, PB allocates 1-15% of the total budget of an institution.

For a process in a city or district, we suggest starting with at least \$1 million per ~100,000 residents, so that invitations to participate are compelling, the process has a visible impact on communities, and participants feel like it's worth their time.

While PB can be done with any pot of money, the larger the pot, the greater the likelihood that participants will leave feeling that the process could address their most pressing concerns.



Change Agents from “Youth Lead the Change: Participatory Budgeting Boston.”

## Examples of PB Budgets

CITY / INSTITUTION	POT OF FUNDS	SOURCE FUNDS AND PURPOSE	POPULATION
New York City	\$1-2.5 million per Council District	Council member discretionary funds, capital projects	~ 150-180,000 per district
Boston, <i>youth process</i>	\$1 million citywide	Mayor's capital budget	667,000
Vallejo, CA	\$3.2 million citywide	City sales tax from General Fund	117,000
Toronto Community Housing	\$5-9 million	Capital improvements to buildings	164,000 residents in buildings
Overfelt High School, San Jose, CA	\$50,000	Principal's discretionary funds	2,800 students
Paris	500 million Euros	5% of the City budget over 5 years	2.2 million

### Key Questions to Consider

What budgets - or departments or institutions that have budgets - are connected to the problems or issues you want to address through PB?

What budgets currently have public engagement processes?

What budgets have faced the greatest demands for more transparency?

# IV. The Resources Needed

## A. WHO DOES THE WORK?

Effectively engaging thousands of community members in a months-long decision-making process requires the following work and staffing:

- Community Outreach & Partnerships
- Group Facilitation & Training
- Volunteer Recruitment & Coordination
- Administrative & Logistical Support
- Budgeting & Technical Support
- Communications & Promotion
- Digital Technology Coordination
- Research & Evaluation

Dedicated PB staff are typically responsible for coordinating the process overall, but other partners also play key roles in supporting participants in developing projects, conducting outreach, and evaluation.



Group facilitation and training at a Budget Delegate Orientation Meeting in PB Vallejo.

## PB Staff

To manage the areas of work outlined above, PB processes at the citywide level require the equivalent of at least two full-time staff, plus support from community partners and resource organizations. The following two arrangements are common:

<b>PB Manager (75% FTE)</b> <ul style="list-style-type: none"> <li>Responsible for oversight and implementation of process</li> <li>Represents PB process to local electeds and city department heads</li> <li>Interfaces between participants and city departments</li> <li>Supports PB Steering Committee</li> </ul>	<b>PB Coordinator (100% FTE)</b> <ul style="list-style-type: none"> <li>Responsible for oversight and implementation of process</li> <li>Supports PB Steering Committee</li> <li>Leads trainings for PB participants</li> <li>Develops partnerships with community groups to engage their members in PB</li> <li>Manages outreach volunteers and canvassers</li> </ul>
<b>Community Engagement Coordinator (100% FTE)</b> <ul style="list-style-type: none"> <li>Directly conducts community outreach and recruits, trains, and manages outreach volunteers, canvassers, and partners</li> <li>Leads trainings for PB participants and volunteers</li> <li>Maintains public communications and social media channels</li> <li>Prepares materials for meetings and events</li> </ul>	<b>PB Assistant (75% FTE)</b> <ul style="list-style-type: none"> <li>Provides overall administrative and logistical support for the process</li> <li>Coordinates volunteers during each stage of the process</li> <li>Prepares materials for meetings and events</li> <li>Supports PB Coordinator at meetings and trainings</li> </ul>
<b>Budget Director (5% FTE)</b> <ul style="list-style-type: none"> <li>Interfaces between PB staff and city departments</li> <li>Ensures smooth and timely vetting of project proposals by staff in other city departments</li> </ul>	<b>Department Director (10% FTE)</b> <ul style="list-style-type: none"> <li>Oversees PB staff</li> <li>Interfaces between PB staff and city departments</li> <li>Ensures open and timely communication with staff in other city departments, especially during proposal vetting</li> </ul>
<b>[BOTH ARRANGEMENTS] Additional Support Staff (10% FTE)</b> <ul style="list-style-type: none"> <li>Point people in city departments to oversee project vetting</li> <li>Communications &amp; web support to oversee public communications and integration with city digital platforms</li> <li>Translators for PB materials and interpreters at PB events</li> <li>Child care providers at PB events</li> <li>2-4 outreach canvassers during idea collection and the PB vote</li> </ul>	

## Examples of PB Staffing

CITY / INSTITUTION	POPULATION	STAFFING
Vallejo, CA	117,000	<ul style="list-style-type: none"> <li>2 full-time staff in the Office of the City Manager</li> <li>Outreach intern</li> </ul>
New York City	8.4 million	<ul style="list-style-type: none"> <li>Central Council Staff: 40% FTE Director; 40% FTE each for three liaisons, 5% public tech.</li> <li>District offices: 50% FTE per office</li> <li>Outreach coordinator: 30% FTE</li> <li>Tech vendor - 10% FTE</li> <li>Outreach orgs: 2 weeks full time/year/district</li> <li>PBP staff (TA) 90% FTE</li> </ul>
Dieppe, New Brunswick	25,400	<ul style="list-style-type: none"> <li>PBP Staff 35% FTE</li> <li>Director 35% FTE</li> <li>Support staff 35% FTE</li> </ul>
Boston	667,000	<ul style="list-style-type: none"> <li>10% FTE Department supervisor</li> <li>75% FTE project lead</li> <li>10% communications</li> <li>5 PTE youth employment positions (10 hours per week)</li> <li>PBP staff 60% FTE</li> </ul>

## Non-PB Staff

Departments and agencies play an integral role in the development and implementation of PB projects. In addition to dedicated PB staff, PB processes require staff in other departments to provide timely information to participants on project costs and feasibility and to vet final project proposals.

## Steering Committee

In PB, unlike in many other forms of public participation in government, **community members don't just participate in the process - they help design it.** A key first step in launching PB is to assemble a diverse and representative Steering Committee of local residents to oversee the process and make important decisions about how it will work, such as who is eligible to participate and what kinds of projects are eligible for funding.



An inclusive Steering Committee should include key community partners that can facilitate buy-in and encourage broad participation by diverse groups—especially those least likely to participate, such as youth, immigrants, low-income communities, and communities of color.

The Steering Committee is a vital resource not only in promoting PB, but in adding capacity to carry out work. Individual Steering Committee members serve as facilitators, conduct outreach, and provide logistical support at events, while Steering Committee organizations mobilize their networks to participate.



PBNYC Steering Committee meeting.

## Outreach Partnerships

Grassroots groups with long-standing ties in underrepresented communities - such as low-income communities, communities of color, immigrants, and youth - are essential partners in making PB inclusive. To engage groups that are least likely to participate, set up outreach contracts with organizations in those communities that are already trusted and have a track record of effective engagement.

## Research & Evaluation

Every PB process needs a research partner to help you assess and communicate impacts. This data enables you to make the case for support to other officials, staff, and funders, and to show constituents why their participation matters. It also highlights what is working and what parts of the PB process need to be improved.

Local universities or nonprofit research groups focused on civic issues are good places to turn for evaluation partners. The North American PB Research Board has developed key evaluation metrics and standard research instruments to aid local researchers in evaluating PB processes.

## Technical Assistance & Training

PBP provides technical assistance to cities and other institutions to help plan and implement PB processes. We have supported most PB processes in the US and Canada, and can provide flexible support to help you plan, design, and implement a successful and innovative PB process.

*See **Appendix B** for more information on our services.*



PBP staff members train high school students, teachers, and principals in Phoenix.

## Key Questions to Consider

What department or office should “house” PB? Are there staff in those departments currently responsible for community engagement, and will they play a lead role in the process?

How many other staff need to be hired or assigned to PB, and what new skills are needed to carry out the work most effectively?

Which staffing needs can be most effectively addressed by government staff, and which by contracting out?

Which communities have historically been most marginalized from government decision-making, and which organizations have deep roots in those communities?



## B. FUNDING FOR IMPLEMENTATION

Building a new democratic process requires significant resources. You need staff to run the process, funds for operating costs like design, printing, and publicity, and amenities to make the process accessible for diverse communities, including translation, interpretation, childcare, refreshments, trained facilitators, and outreach canvassers.

The costs vary depending on how large and complex the process is. For a city of under 200,000 residents, \$200,000 is a good starting point for an implementation budget. In other words, one dollar per resident. For larger cities, there are more economies of scale - such as cheaper mass printing and publicity, or fixed costs like translation and digital tools - so the process may cost less per resident.

*For a sample PB budget, see Appendix C.*

Funding for PB implementation should start with an investment by the city or institution administering the process. For PB to be sustainable, it needs to become institutionalized and integrated into the way government does business. Many processes, however, have been aided by seed funding from private foundations in their early years. Foundations focused on democracy, civic engagement, community organizing, racial and economic disparities, or local community issues are often good prospects for support. In Greensboro, NC, for example, City Council allocated \$100,000 for implementation, which was matched by a consortium of local funders, including Z Smith Reynolds Foundation, Fund for Democratic Communities, Community Foundation of Greater Greensboro, and the University of North Carolina at Greensboro.

To make the process more affordable to implement, work with partners in other city departments or institutions in the community who can provide in-kind support, such as event space, refreshment donations, printing or meeting supplies, translation, or graphic design for flyers.

## Key Questions to Consider

What local foundations might have an interest in PB?

What departments or agencies might use their administrative budgets to launch and sustain PB implementation?

Which departments already have public engagement staff?

## C. LEGISLATION

PB is often codified in basic legislation that establishes the process and calls for the formation of a Steering Committee to design and oversee it, as in Vallejo, Greensboro, and Cambridge. PB generally does not require a legal change in budgetary authority and, therefore, legislation is not necessary to begin a process. Still, it can be valuable for building buy-in of city leaders, creating public transparency, and signaling the city's commitment to the process.

Legislation can set requirements for:

- The pot of money to be allocated for the process and its implementation. This may include an equity index or distribution formula, to outline how PB funds are initially divided among districts or neighborhoods.
- Steering Committee composition and rules, to ensure that key stakeholders are represented in the governance of PB. This may initially be determined by elected officials and later revised by the Steering Committee.
- Eligibility criteria for project funding, which may also be revised later by a Steering Committee.
- City staffing and department responsibilities, to identify the role of different city departments in the process, including who will vet and approve projects before they are placed on the PB ballot.

*For sample PB ordinances, see **Appendix D**.*

## D. PB RULEBOOK

Once a city establishes the basic parameters for PB, the Steering Committee further defines the goals, rules, and procedures in a Rulebook that governs the process. Rulebooks define issues such as the timeline of the process, the roles and responsibilities of stakeholders, and participant requirements such as the minimum voting age. They are revisited each year to address challenges that arise and improve the process. For sample PB Rulebooks, see pg. X in the “Resources” section.

### Key Questions to Consider

Who currently has decision-making power over the funds being considered for PB?

Is legislation needed to start a PB process?

# V. How to Start

*So, what are the next steps?*

## **Create an exploratory committee**

Laying the groundwork for a successful PB process requires bringing together champions from government and the community early on. Form an exploratory committee with a diverse group of organizations and staff, who can identify the pot of money, an initial timeline for the process, potential staffing and resources for implementation, key officials and partners to engage, and key questions to answer.

## **Educate decision-makers and the community**

Work with the exploratory committee or initial champions to educate decision-makers and community leaders about PB.

- **Host briefings with local elected officials**  
Bring PB practitioners from other cities - including elected officials who've done PB, PB participants and Steering Committee members, researchers, and/or Participatory Budgeting Project staff - to share their knowledge and experience with local elected officials and staff.
- **Host a community info session**  
Invite those PB practitioners to speak at a community info session. These work best when co-hosted by several community organizations who can bring their members - and their questions - to the event.
- **Observe PB in action**  
Are you near a community where PB is taking place? The best way to learn about PB is to see it in action. Visiting events like assemblies, budget delegate committee meetings, or voting are perfect opportunities to better understand the process and collect stories to bring back home. Visit PBP's website to see where PB is happening in your area, and contact PBP or local PB representatives ahead of time to set up meetings with staff and/or participants while you're there.
- **Attend PBP events**  
PBP hosts regular trainings, webinars, and an international conference that brings together hundreds of PB practitioners, participants, advocates, and researchers from around the world. Visit our website for upcoming events!

**Identify Potential Pots of Money and Implementation Funds**

Survey potential funds that could be allocated via PB, using the guidance in this toolkit. Contact key staff and officials responsible for allocating these funds, to scope out questions and concerns, and identify the best candidates for PB.

Research local foundations that might be able to support a pilot process.

**Build Political and Community Support**

Meet directly with key officials and organizations to share your excitement and knowledge, address their concerns, and get their buy-in.

**Contact PBP for More Resources and Assistance**

PBP can help with all of the next steps above, and provide more resources for planning and implementing a successful PB process.

[info@participatorybudgeting.org](mailto:info@participatorybudgeting.org)

347-652-1478

<https://www.participatorybudgeting.org>

<https://www.facebook.com/ParticipatoryBudgetingProject/>

<https://twitter.com/pbproject>

# VI. Appendix

- A. Sample PB calendar
- B. PBP Service sheets
- C. Sample PB budget
- D. Sample PB ordinance
- E. PB Rulebook
- F. Key articles and media



## Appendix A: Sample PB calendar

MEETINGS	GOALS   BENCHMARKS	DATE
<b>Writing the Rules</b>	<ul style="list-style-type: none"> <li>• Make initial decisions about the PB process</li> <li>• After this meeting, write up decisions in a draft rulebook for feedback from the committee</li> <li>• Finalize PB Rulebook</li> </ul>	Early/Mid Sep.
<b>Idea Collection Assemblies</b>	<ul style="list-style-type: none"> <li>• Community members come together to brainstorm and prioritize community needs and project ideas</li> </ul>	Oct. & Nov.
<b>Orientation</b>	<ul style="list-style-type: none"> <li>• Learn about the delegate process and project development</li> <li>• Choose the committee you want to work on</li> </ul>	Dec. 14th
<b>Committee Meeting 1</b>	<ul style="list-style-type: none"> <li>• Review community data and discuss needs</li> <li>• Discuss project idea list and eligibility criteria</li> <li>• Identify important research questions and site visits needed</li> </ul>	Week of Jan. 4th
<b>Department Briefing</b>	<ul style="list-style-type: none"> <li>• Learn about project development from city staff in your committee's issue area</li> </ul>	Week of Jan. 18th
<b>Committee Meeting 2</b>	<ul style="list-style-type: none"> <li>• Select priority projects and assign delegates to work on priority projects</li> <li>• Identify next steps for site visits and other research</li> </ul>	Week of Feb. 1st
<b>Committee Meeting 3</b>	<ul style="list-style-type: none"> <li>• Report back from field research</li> <li>• Decide on short list of projects to develop into proposals</li> <li>• Identify key questions for city staff meetings</li> </ul>	Week of Feb. 22nd
<b>Meetings with City Staff</b>	<ul style="list-style-type: none"> <li>• Delegates meet with city staff from different departments to ask questions about their project proposals</li> </ul>	Week of Feb. 29th
<b>Committee Meeting 4</b>	<ul style="list-style-type: none"> <li>• Report back from department meetings</li> <li>• Finalize list of projects to submit to city for vetting</li> <li>• Identify any outstanding research needed</li> </ul>	Week of Mar. 7th
<b>IMPORTANT DEADLINE 1!</b>	<ul style="list-style-type: none"> <li>• EACH COMMITTEE SUBMITS 5-10 PROJECT PROPOSALS TO COUNCILMEMBER STAFF, WHO RELAY PROPOSALS TO AGENCIES FOR FINAL REVIEW AND PRICE ESTIMATES.</li> </ul>	MAR. 20TH
<b>Committee Meeting 5</b>	<ul style="list-style-type: none"> <li>• Review city feedback on proposals</li> <li>• Identify any necessary proposal adjustments</li> </ul>	Week of April 4th
<b>IMPORTANT DEADLINE 2!</b>	<ul style="list-style-type: none"> <li>• SUBMIT FINAL TEXT FOR THE BALLOT AND VOTE SITE PROJECT POSTERS</li> </ul>	APRIL 21ST
<b>EXPO PREP WORKSHOP</b>	<ul style="list-style-type: none"> <li>• CREATE DISPLAYS FOR PROJECT EXPOS</li> </ul>	LATE APRIL
<b>Get out the VOTE!</b>	<ul style="list-style-type: none"> <li>• Spread the word about the final PB vote!</li> </ul>	Early/Mid May
<b>Evaluation Workshop</b>	<ul style="list-style-type: none"> <li>• All community members involved in PB come together to review what they thought worked well and what could be improved for future PB processes</li> </ul>	Late May

# OUR SERVICES FOR CITIES

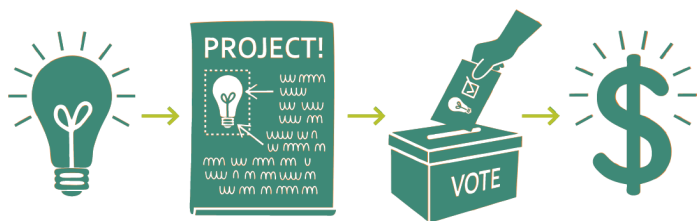
**The Participatory Budgeting Project (PBP) is a non-profit organization that empowers communities to decide together how to spend public money.**



PARTICIPATORY  
BUDGETING PROJECT

## WHAT IS PARTICIPATORY BUDGETING?

Participatory budgeting (PB) is a democratic process in which community members decide how to spend part of a public budget. **PB gives ordinary people real power over real money.** Residents identify spending priorities, develop project proposals, and decide which projects to fund.



Since the Brazilian city of Porto Alegre first launched PB in 1989, over 3,000 cities, counties, states, schools, universities, housing authorities, and other institutions have used PB to engage diverse communities in making budget decisions.

## WHAT WE DO

Our team of experts works with governments and organizations to promote, develop, and evaluate PB processes. We provide staff, officials, and community members with the support necessary to make budget decisions fair, informed, and democratic.

## TESTIMONIALS

*"This is the process that made me say 'I am going to be the voice of this community.'"*

**Kioka Jackson**  
Community participant, New York

*"I love the PB process. We haven't seen this brightness, this synergy in years. This process is amazing, that citizens can come here and ask these questions and we can have this exchange.... This is what makes me want to get up and come to work in the morning."*

**Nimat Shakoor-Grantham**  
Code Enforcement Manager,  
City of Vallejo

*"PBP's advice and counsel proved indispensable, and contributed enormously to the success of our 'experiment in democracy.'"*

**Chicago Alderman Joe Moore**

## OUR IMPACT

**\$190 million in  
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679 local  
projects**

**84 elected  
officials brought  
closer to their  
constituents**

**500  
organizations  
linked together to  
build community**

**227,000 people  
engaged in  
democracy**



## OUR EXPERIENCE

### CHICAGO

*After working with 49th Ward Alderman Joe Moore to launch the first PB process in the US, we serve as a lead partner for the multi-ward process PB Chicago, in which residents of eight wards are allocating over \$8 million.*

### NEW YORK CITY

*Since 2011, we have served as Technical Assistance Lead for PBNYC, a joint PB process across several City Council Districts. In the 2015-16 cycle, residents in 28 districts are deciding how to spend at least \$35*

### VALLEJO, CALIFORNIA

*In the City of Vallejo, California, PBP coordinated the first city-wide PB process in the US, for \$3.2 million in sales tax revenues. PB Vallejo has since completed two additional cycles.*

### BOSTON

*We serve as the technical assistance partner for Youth Lead the Change, the first youth participatory budgeting process in the US. The process is in its third cycle, with young people directly deciding how to spend \$1 million*

## PBP SERVICE PACKAGES

Services Provided	IMPLEMENT	DESIGN	ADVISE
Face-to-face project meetings (2-5)	✓	✓	✓
Conference call project meetings (6-12)	✓	✓	✓
Training workshops (1-4)	✓	✓	✓
Full set of sample project management, info, outreach, and publicity materials	✓	✓	✓
Email and phone support for questions	✓	✓	✓
Assistance with publicity and media outreach	✓	✓	✓
Participatory workshops to design PB process (2)	✓	✓	
Development of community-based PB rulebook	✓	✓	
Customized project management & info materials	✓	✓	
Customized outreach & publicity materials	✓		
Coordination of publicity, social media & outreach	✓		
Development and management of website and digital participation tools	✓		
Coordination of public meetings & engagement	✓		
Development of evaluation plan and tools, with local research partners	✓	✓	
Coordination of evaluation research and report	✓		
Cost [Includes PBP fees only, not other project costs]	\$125,000- \$180,000	\$50,000- \$100,000	\$20,000- \$30,000

## CONTACT US

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540 President Street | 3rd Floor | Brooklyn | New York | 11215 | USA

# OUR SERVICES

## FOR CITY DISTRICTS AND SMALL TOWNS

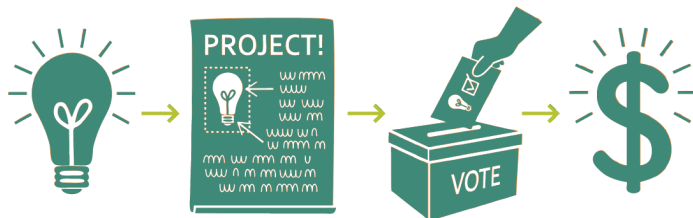
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<i>Full set of sample project management, info, facilitation, outreach, and publicity materials</i>	✓	✓
<i>Email and phone support for questions</i>	✓	✓
<i>Assistance with publicity and media outreach</i>	✓	✓
<i>Participatory workshops to design PB process (2)</i>	✓	
<i>Development of community-based PB rulebook and plan</i>	✓	
<i>Customized project management, facilitation &amp; info materials</i>	✓	
<i>Development of evaluation plan and tools, with local research partners</i>	✓	
<b>Cost</b> <i>[Includes PBP fees only, not other project costs]</i>	<b>\$30,000-\$50,000</b>	<b>\$10,000-\$20,000</b>

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# OUR SERVICES

## FOR SCHOOLS

## AND UNIVERSITIES

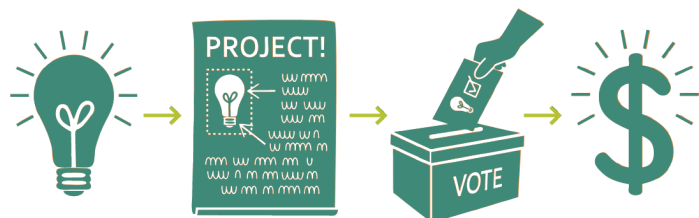
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Community participant, New York

*"Participatory Budgeting at Brooklyn College was a huge success--one that empowered students to take a more active role in their government, gave us a better relationship with our constituents, and set us on a path towards an even more transparent and inclusive budgeting system."*

**David Rosenberg**  
Brooklyn College Student Government

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### BROOKLYN COLLEGE

*In 2012, we launched the first university PB process in the US, in which students at the City University of New York decided how to spend \$25,000 of student government funds*

## PBP SERVICE PACKAGES

Services Provided	DESIGN	ADVISE
<i>Face-to-face project meetings (1-5)</i>	✓	✓
<i>Conference call project meetings (6-12)</i>	✓	✓
<i>Training workshops (1-4)</i>	✓	✓
<i>Email and phone support for questions</i>	✓	✓
<i>Assistance with publicity and media outreach</i>	✓	✓
<i>Templates for outreach and publicity materials (outreach plan, rap sheets, posters, postcards, press releases, etc.)</i>	✓	✓
<i>Participatory workshops to design PB process (1-2)</i>	✓	
<i>Development of community-based PB rulebook and plan</i>	✓	
<i>Development of project management tools &amp; info materials (guides, handouts, powerpoints, etc.)</i>	✓	
<i>Development of evaluation plan and tools, with local research partners</i>	✓	
<b>Cost</b> <i>Includes PBP fees only, not other project costs</i>	<b>\$20,000-\$50,000</b>	<b>\$10,000-\$20,000</b>

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## Appendix C: Sample PB budget

Sample PB Budget	Expenses
<b>Personnel (salaries will vary locally)</b>	
Director (3-5% FTE)	\$4,000
Project Manager (20-35% FTE)	\$20,000
Community Engagement Coordinator (100% FTE)	\$45,000
Assistant/Intern (20-50% FTE)	\$10,000
Benefits (30%)	\$23,700
<b>Total Personnel</b>	<b>\$102,700</b>
<b>OTPS</b>	
Staff transportation	\$500
Transportation for participants	\$600
Refreshments	\$5,000
Child care	\$600
Interpretation & Translation	\$2,000
Website and IT	\$1,000
Printing	\$3,000
Meeting supplies	\$700
Postage	\$500
Graphic Design	\$1,000
Publicity	\$2,000
Targeted outreach contracts	\$20,000
Facilitators	\$6,000
Consultant - Technical assistance	\$40,000
Consultant - Research & evaluation	\$10,000
Civic technology and data tools	\$8,000
Video documentation/production	\$6,000
<b>Total OTPS</b>	<b>\$106,900</b>
<b>TOTAL</b>	<b>\$209,600</b>

## Appendix D: Sample PB ordinance

### PARTICIPATORY BUDGETING (PB) MODEL ORDINANCE

ESTABLISH A PARTICIPATORY BUDGETING (PB) PROCESS WITH THE GOAL OF ALLOCATING [A PERCENTAGE/FIXED AMOUNT] OF [DESCRIBE THE FUNDING SOURCE] FUNDS

WHEREAS, by re-engaging citizens in the democratic process and giving them real power to make decisions about how to spend their taxpayer dollars, Participatory Budgeting (PB):

- Improves the effectiveness of the distribution of municipal funds by putting resources behind the public's most valued projects.
- Is an antidote to the public's lack of trust in government.
- Assures the citizenry that their views about the operations and administration of their City are heard and matter.

WHEREAS, PB is a democratic process in which members of the public directly decide how to spend part of a public budget through an annual series of local assemblies, meetings, project proposals and research that result in a final vote by the public to allocate discretionary funds to specific projects; and

WHEREAS, PB would directly empower and engage citizens in a deliberative democratic process enabling them to propose, research, analyze, decide and vote on projects that they want in their community, thereby helping to enhance civic trust and a sense of community in the [CITY NAME].

NOW, THEREFORE BE IT RESOLVED that the City Council of the [CITY NAME] hereby declares its intent to establish a PB process as set forth in this Resolution with the goal of allocating [A PERCENTAGE/FIXED AMOUNT] of the [DESCRIBE THE FUNDING SOURCE] funds collected over [MONTH PERIOD/FISCAL YEAR]

BE IT FURTHER RESOLVED that the City Council will:

- Upon approval of the Fiscal Year \_\_\_\_\_ budget and as the [DESCRIBE THE FUNDING SOURCE] revenues are collected, deposit [A PERCENTAGE/FIXED AMOUNT] of those revenues as set by the City Council as part of the approved budget in a reserve account until the PB process is complete in \_\_\_\_\_ and the City Council is able to consider the approval of the public's voter approved projects.
- Consider qualified and proposed PB projects to be those that satisfy the criteria of a one-time expenditure to complete the project.
- Contract with a recognized expert in the field of PB to consult on the design of the PB process and its facilitation, and allocate [A FIXED AMOUNT] toward this consultation.

- Establish a Community Steering Committee of at least 15 and no more than 24 individuals to assist in the design of the PB process with the following parameters:
  - Each City Council Member selects three civic organizations that will then recommend individuals from those organizations to serve on the Committee. The recommendations of these organizations will be passed to the Mayor for consideration and approval.
  - The Community Steering Committee will be tasked with developing a structure and rules for the PB process, in the form of a Rulebook.
  - The Community Steering Committee's proposed PB Rulebook will return to City Council for consideration and approval before implementation of the process.
  - Appoint two Councilmembers to act in a liaison capacity to the Steering Committee.

**BE IT FURTHER RESOLVED** that after [CITY NAME] citizens vote for PB projects, the City Council will consider approval of the expenditure of [DESCRIBE SOURCE OF FUNDS] funds on the public's approved and voted on projects.





NEW YORK CITY COUNCIL

# RULEBOOK

# NEW YORK CITY COUNCIL PARTICIPATORY BUDGETING



# ABOUT THIS RULEBOOK

This booklet was originally developed by the Citywide Steering Committee for Participatory Budgeting\*<sup>1</sup> in New York City (PBNYC) in July 2011 and is revised annually. While Participatory Budgeting is inspired by experiences elsewhere, the PBNYC Steering Committee created these guidelines and rules to reflect the unique needs, issues, and interests of New York City's communities and the structure of the NYC process.

This rulebook remains a work in progress; together with the community, we will continue to develop and improve the process as it unfolds in future years.

# INTRODUCTION BY THE COUNCIL MEMBERS

As members of the New York City Council who represent diverse districts, we are pleased to embark on the sixth cycle of a new form of democracy: Participatory Budgeting in New York City. Through this exciting initiative, **we are putting budget decisions directly in the hands of people those decisions impact the most: the residents of our districts.**

Cycle 3 of PBNYC was **transparency, grassroots democracy, local empowerment and inclusion\*** at its best. Between September 2013 and April 2014, over 17,000 people across 10 City Council districts decided how to spend around \$14 million in public money, funding over 50 community projects.

<sup>1</sup> \* Denotes terms that can be found in the Glossary at the end of the Rulebook

In Cycle 4 of PBNYC, 14 additional districts joined the process. Residents came together to exchange and debate ideas, teamed up to turn ideas into proposals, and then decided at the ballot box which projects would receive funding. **This process makes budgeting more transparent and accessible, and it opens up participation to people who have never been involved before.**

Participatory Budgeting requires elected officials to collaborate with constituents, and the Participatory Budgeting in New York City 2016-2017 Rulebook was developed through a similar democratic process. The work of a Citywide Steering Committee, representing a wide spectrum of New Yorkers with different backgrounds and ideologies, **this rulebook was put together through compromise and consensus.** We want to thank everyone who participated, especially Community Voices Heard and The Participatory Budgeting Project, for their thoughtful work, bringing us all together and structuring the decision-making process.

We are proud to present this rulebook to you and are excited to launch Cycle 6 of this innovative new democratic practice for NYC.

**Let the participating begin!**

# WHAT IS PARTICIPATORY BUDGETING?

Participatory Budgeting (PB) is a democratic process in which community members directly decide how to spend part of a public budget. **PB gives people real power to make real decisions over real money.** The process was first developed in Brazil in 1989, and there are now over 1,500 participatory budgets around the world, most at the municipal level.

# WHAT IS PARTICIPATORY BUDGETING?

PBNYC enables New York City residents to propose and vote on projects to fund with Council Member discretionary funds. Discretionary funds are resources that the Council Members typically allocate\* as they desire.

Residents in each participating district will decide how to spend at least \$1 million dollars of Council Member discretionary funds. Discretionary funds fall into two categories:

- **Capital\* Funds:** These funds can be used for physical infrastructure\* projects that benefit the public, cost at least \$35,000 and have a lifespan of at least 5 years. For example, local improvements to schools, parks, libraries, housing, and other public spaces.
- **Expense\* Funds:** In some districts, residents may also decide how to allocate expense funds. Allocation of expense funds may go toward programs or services, or one-time expenditures on small infrastructure projects, provided by non-profit organizations or City agencies.

The Council Members submit the projects receiving the most votes to the City to be allocated in the budget at adoption in June and are then implemented\* by City agencies.

# Our Goals: Why PB?

We aim for PB to have the following impacts:

## 1. Open up Government

Allow residents a greater role in spending decisions, and inspire increased transparency in New York City government.

## 2. Expand Civic Engagement

Engage more people in politics and the community, especially young people, people of color, immigrants, low-income people, the formerly incarcerated, and other marginalized groups\*.

## 3. Develop New Community Leaders

Build the skills, knowledge, and capacity of community members.

## 4. Build Community

Inspire people to more deeply engage in their communities, and to create new networks, organizations and community economic opportunity.

## 5. Make Public Spending More Equitable\*

Generate spending decisions that are fairer, so resources go where they are needed most.

# Our Principles: How We Work

We strive to implement PB according to the following principles:

## 1. Empowerment\*

Enable local people to decide how PB works in their communities and across the city.

## 2. Transparency\*

Share information and make decisions as openly as possible.

## 3. Inclusion\*

Make special efforts to engage people who face obstacles to participating, are often excluded, or are disillusioned with politics.

## 4. Equality\*

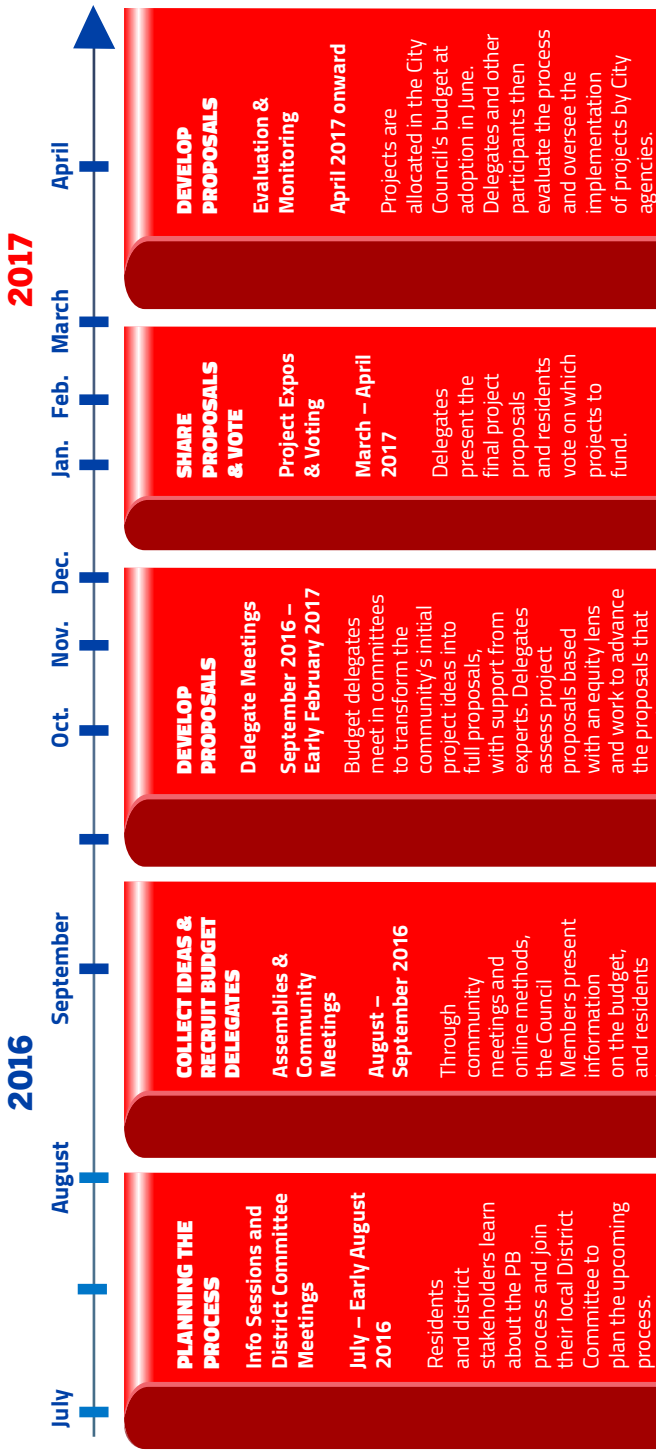
Ensure that every person can have equal power over public spending.

## 5. Community

Bring people together across traditional lines of division, to work together for the good of the whole community.

# TIMELINE: WHAT HAPPENS WHEN?

The PB process involves a series of meetings that feed into the City's annual budget cycle. The 2016-2017 cycle has five main steps, starting in July 2016 and continuing into 2017.



# **RULES: HOW DOES IT WORK?**

## **Collect Ideas & Recruit Budget Delegates\*: Neighborhood Assemblies, Informal Idea Collection and Online**

- Each district will collect project ideas and recruit budget delegates through all of the following methods:
  - At least three public assemblies
  - At least four special meetings for underrepresented community members (e.g. youth, non-English speakers, seniors, public housing residents, etc.). Informal idea collection at public events and spaces where there is a high concentration of underrepresented community members. At these events, volunteers and district staff should explain the PB process to attendees and collect ideas and recruit delegates via paper forms or tablets.
- Anyone is welcome to propose project ideas.
- People can volunteer to serve as budget delegates if they:
  1. Live in the district, work in the district, own a business in the district, attend school in the district, or are parents of children who attend school in the district, and
  2. Are at least 14 years old. District Committees may decide to lower the minimum age of budget delegates.
- Districts should aspire to have a minimum of 60 delegates who should represent the district's demographics and geography.
- District offices must provide the following information at idea collection and events
  1. PB Process including project eligibility
  2. Previously funded projects (if applicable)
  3. Status of previously funded projects (if applicable)

## **Develop Proposals: Budget Delegate Meetings**

- All delegates must attend an orientation session and sign a delegate agreement.
- Each delegate committee will have one or two trained facilitators.
- At the delegate orientation sessions, each budget delegate will join a committee to discuss and develop project proposals for a certain issue area or demographic group.

- Potential issue committees may include but are not limited to:
  1. Transportation
  2. Public Health
  3. Public Safety
  4. Education
  5. Parks, Recreation & Environment
  6. Art & Culture
  7. Housing
- If some delegates feel that they face major obstacles to participating fully in issue committees, they may discuss with the Council Member's office whether to form a demographic committee. Demographic committees are meant to ensure maximum participation from people who might not otherwise participate, not to divide or separate sectors of the community. These committees will develop projects that specifically address the needs of their demographic group. Potential demographic committees may include but are not limited to:
  - Youth
  - Seniors
  - Committees for non-English speaking communities in the district
- In cases where there is a significant geographic divide in the district (such as a body of water), delegates may chose to form geography-based committees.
- Districts may establish a limit for how many project proposals each committee will submit for the public vote.
- When prioritizing projects, delegates will consider criteria that include need, impact and feasibility.
- Delegates will use an equity matrix to assess various projects and work to ensure that projects that meet the most need and advance equity get prioritized to be on the ballot.
- Each committee will send its final project proposals to the district's Council Member at least one month before the public vote.
- Agencies will return feedback through a form procedure to allow City Council Central Staff to oversee process.
- Delegates will adhere to guidelines for fair campaigning as outlined by the Steering Committee.

## **Project Expos**

- At the Project Expos, budget delegates will present their project proposals to the community through a science fair format.
- Each district will hold at least one Project Expo and post project proposals online.
- Project Expos may be combined with the launch of the voting period.



## Voting for Projects

- People can vote for projects if they live in the district and are at least 14 years old.
- Anyone who serves as a budget delegate will be eligible to vote if they live in a participating Council district, regardless of age.
- Districts may decide to lower the voting age to allow people under the age of 14 to vote.
- At the time of voting, voters must present proof that they satisfy the eligibility requirements. Acceptable IDs are listed on the next page.
- Each voter may cast five votes, one vote per project.
- Voting Locations:
  - o Each district will have at least six advertised voting locations, including:
    - At least two large voting events;
    - At least four mobile voting events in places with a high concentration of underrepresented community members, (eg. at senior centers, during lunch at schools in the district, etc.).
    - “Pop-Up” voting can also be held at subway stations and in high traffic areas to target hard to reach populations.
  - o Each district will also offer weekday voting in the Council Member office.
  - o Each district will offer absentee ballots to handicapped, out of town or limited mobility voters. Ballots can be mailed to district residents who request an absentee ballot. These ballots must be numbered and voter information must be tracked by the Council office to avoid duplicate voting. Ballots can be returned to the district office in person or by mail, and must be received by the end of vote week.
- “The aspiration is to provide full translation in as many languages as are represented in the district. At a minimum, the three languages most represented in the district will be translated. The Steering Committee will pursue additional resources for translation to support further translation. Each voter can only cast one ballot per cycle. To ensure the integrity of the vote, all voting sites will be administered by poll workers that have completed a PBNYC vote training, and all Council Member offices will use a standardized system of voter and ballot tracking.
- Budget delegates can manage vote sites, but they must be trained on the campaigning guidelines. A copy of the campaigning guidelines must also be available at each of the poll sites.
- If there is a tie for the last bit of funding, the Council Member will decide how to resolve the tie. Options may include attempting to draw on additional funds to implement both proposals or funding the cheaper of the tied projects.
- If the last bit of available funds does not cover the cost of the next highest vote-getting project, the Council Member will try to find additional funds to implement the project. If this is not possible, funds will be allocated to the unfunded project with the next most votes.

## Outreach & Engagement

- Outreach plans should be developed for the Neighborhood Assemblies, the Project Expo(s), and the Vote. They should include both broad-based outreach to reach all parts of the district, and targeted outreach to ensure to make special efforts to engage populations traditionally disenfranchised.
- Fliers should be translated into the various primary languages in the district.
- Leading up to the Assemblies and the Vote, districts should host at least three group outreach days (street/subway/door) and at least two group phone banks.
- All public events should be publicized at least two weeks in advance, online and through publicly displayed posters and fliers.
- District offices will recruit community organizations and coordinate with them for outreach for events.
- Outreach should include social media and traditional press, including local ethnic media outlets.
- District offices should utilize their newsletter and/or send a mailer to constituents.
- Data (contact information) should be tracked and managed for continued follow up communications and announcements.

## Evaluation, Implementation & Monitoring

- After the vote, each district will hold at least one evaluation meeting.
- In each district, the District Committee will monitor the implementation of projects and address any problems that arise.
- The City Council will designate a Monitoring Committee to oversee the progress of winning projects, provide regular updates to the districts, and address issues that arise during implementation.

## Acceptable IDs for Voter Eligibility

Voters must prove that they live in the district and are 14 years or older.

In order to facilitate broad participation, voters may present a wide array of proofs of ID, including but not limited to one or more of those below:

- A document with name and current address from a local, state, or U.S. government agency such as a state driver's license or non-driver ID, consular ID, passport, EBT card, military ID card;
- Voter registration card;
- Municipal ID;
- Utility, medical, credit card bill with name and current address;
- Current lease;
- Paycheck or paycheck stub from an employer or a W-2 statement;
- Bank statement or bank-issued credit card statement;

- Student ID;
- Employee ID;
- Permanent Resident Card (Green Card) or other Immigration Documentation;
- Residency Letter or Identification issued by a homeless shelter, halfway house, etc;
- Passport or other ID issued by a foreign government;
- Social Security Card or Social Security benefit statements or check;
- Employment Authorization Document;
- Medicare or other insurance document with address;
- Tax forms;
- School records (or naming the parents of children attending school and the parents' address;
- Title to any property (automobiles, house, etc.) with address;
- Birth or marriage certificate;
- Union Membership Card.

Eligible voters may sign an affidavit confirming their age and residency in the district if they are unable to present the required forms of ID.

## ROLES & RESPONSIBILITIES: WHO DOES WHAT?



There is a role for everyone in Participatory Budgeting, but different people have different responsibilities, based on their stake in the community and their time commitment to the process. We encourage everyone to both participate and encourage others to participate.

### Community Members

Anyone can participate, even if they only come to one meeting or only vote.

- Identify local problems and needs
- Propose project ideas
- Provide input and feedback on project proposals
- Monitor and provide input on the implementation of projects
- Provide feedback for the PB evaluation
- Volunteer to be budget delegates, if they are at least 14 years old and live in the district, work in the district, own a business in the district, attend school in the district, or are parents of children who attend school in the district

- Vote on project proposals, if they are at least 14 years old and live in the district

## **Budget Delegates\***

Budget delegates do the extra work necessary to turn ideas into real projects.

- Research local problems, needs, and projects
- Agree to put the needs of the community above their personal interests
- Learn about the budget funds and the budget process
- Discuss and prioritize project ideas based the criteria of need, impact and feasibility
- Develop full project proposals and posters, with assistance from experts
- Update residents on project proposals and solicit feedback
- Serve as spokespeople for city-wide and local media, when called upon
- Monitor and provide input on the implementation of projects
- Evaluate the PB process
- Communicate delegate concerns and ideas to the District Committee and Steering Committee

## **Facilitators\***

Facilitators help residents participate effectively in neighborhood assemblies and budget delegate meetings. They are neutral parties that do not advocate for particular projects.

- Attend at least one facilitator training
- Facilitate group discussions and meetings, and ensure that all participants are able to contribute
- Serve as the main point of contact between Council Member staff and delegates, helping to coordinate communication and resolve conflicts
- Remain neutral throughout the process, but work to ensure that the principles of PBNYC are adhered to and make efforts to ensure that the delegate committees advance equity.
- Connect delegates with information and resources
- Strive to keep delegates engaged throughout the entire process
- Ensure that notes are taken at meetings and distributed afterward
- Support delegates with the tools they need to research, assess and develop proposals, based on criteria that include feasibility, need and impact

## **District Committees**

Each participating Council Member convenes a District Committee that meets regularly to provide oversight and assist with planning throughout the process. The district committee is composed of local organizations, institutions, community leaders, and former budget delegates, to manage PB locally. The make-up of the District Committee should be representative of the entire district, both geographically and demographically.

- Determine the number of neighborhood assemblies, and help plan and carry out the assemblies
- Arrange food, childcare, and interpretation for assemblies and meetings
- Recruit volunteers for outreach, assemblies, and the vote
- Distribute educational and promotional materials about the PB process
- Develop and execute outreach plans to mobilize broad, inclusive, and proportional community participation
- Facilitate budget assemblies and meetings
- Provide guidance and background information to delegates
- Serve as spokespeople for city-wide and local media, when called upon
- With the Council Member staff, coordinate voting events
- Monitor project implementation
- Oversee any necessary changes to approved projects, with the Council Member offices
- Communicate with delegates and residents about progress on projects
- Evaluate and revise the rules of the PB process
- Provide orientation to new District Committee members
- Provide the following information at events:
  1. PB Process including project eligibility
  2. Previously funded projects (if applicable)
  3. Status of previously funded projects (if applicable)

## **Council Member Offices**

- Allow residents of each district to decide how to spend at least \$1 million of City FY 2016 discretionary funds, and deliver final budget priorities to the City
- Designate a staff person who commits at least 50 percent of their time per year to PB, to attend regular coordinating meetings convened by the Central Staff and to coordinate PB in the district, in collaboration with the District Committee
- Keep website up-to-date with meetings and information about the PB process
- Participate in the Steering Committee and the local District Committee, and assist with their responsibilities
- Work with the City Council Central Office and District Committee to recruit and train volunteers and interns
- Work with the District Committee to coordinate and facilitate outreach to organizations, individuals, and special constituencies
- Provide information on the budget funds and past spending
- Secure spaces – in collaboration with the District Committee and Delegate Committee Facilitators – for assemblies, meetings and voting events, in accessible and ADA-compliant locations whenever possible
- Provide cost estimates for project proposals

- Offer feedback and technical assistance on project proposals, presentations, and ballot text
- Serve as a liaison between budget delegates and city agencies
- Determine eligibility of projects in collaboration with the city agencies
- Facilitate and oversee online participation by residents
- Coordinate outreach to city-wide and local media
- Serve as spokespeople for city-wide and local media
- Coordinate the public vote, in collaboration with the District Committee
- Oversee any changes to approved projects, with the District Committee
- Deliver regular updates to budget delegates and the public during all stages of the PB process
- Work with the Central Office to ensure that winning projects are moving forward and provide regular updates to district residents.

### **New York City Council Central Staff**

- Coordinate central staff involvement and support district staff on as-needed basis
- Work with agencies to plan and hold presentations for budget delegates
- Supervise PB Fellows placed in participating districts
- Facilitate Council Coordinating Committee meetings of district staff
- Track district processes status
- Identify, recruit and deploy volunteers citywide for the vote
- Work with the Participatory Budgeting Project to develop operating manual and training curricula
- Create template work plan for district offices
- Convene Steering & Governmental Coordinating Committees
- Assist with vote count
- Conduct “train the trainer” sessions on budget eligibility, including capital and expense budgets.
- Connect staff to relevant capital budget staff at agencies
- Help cost out complex projects
- Create & implement strategic press plan
- Create and maintain PB page on official Council website
- Promote various events
- Contact for citywide & local media
- Design and printing of materials
- Provide limited technology & translation assistance
- Provide information on the state of previously funded projects annually on the PB website, to be updated as changes occur
- Assist with the agency feedback process by providing oversight into agency’s submissions when needed

Work with Council Member Offices to get updates from City Agencies about the status of project implementation

## **Research & Evaluation Team**

Researchers document and evaluate the PB process.

- Coordinate and monitor research and evaluation of PBNYC
- When possible, observe Assemblies, Expos, Voting Sites, and other meetings to collect data and conduct interviews
- Develop reports and materials to summarize the evaluation of PB and assess achievement of the goals of PBNYC

## **City Agencies\***

- Provide budget delegates with relevant background information about their agency and about the types of projects that are feasible
- Assess feasibility of project proposals
- Provide cost estimates for project proposals
- Offer feedback on project proposals
- Work with budget delegates to make desired projects feasible within City guidelines
- Implement winning projects
- Provide updates on project implementation status

## **Community Voices Heard**

- Participate in the Steering Committee
- Provide technical assistance on best practices for outreach and engagement of traditionally underrepresented groups through coaching and citywide trainings
- Lead efforts to expand and deepen PBNYC
- As funds permit & grants prioritize, recruit, train, and deploy “boost organizers” & canvassers for targeted outreach for neighborhood assemblies, project expo and vote
- Pilot delegate engagement & retention program
- Leverage foundation funding to support the PB process

## **The Participatory Budgeting Project**

- Participate in the Steering Committee
- Available for central/district staff questions
- Conduct facilitation trainings for committee facilitators
- Conduct process preparation workshops for district staff
- Develop operating manual and training curricula for district staff in conjunction with Central Staff
- Lead efforts to expand and deepen PBNYC
- Leverage foundation funding to support the PB process

## Outreach Service Providers

- Conduct limited amount of outreach targeted at hard-to-reach populations in participating districts for vote and neighborhood assembly turnout, as coordinated by Central Staff, in consultation with the City Council districts.

## Steering Committee

The Steering Committee guides and supports the PB process across the participating districts. *See the end of the rulebook for more information about the Steering Committee and a list of members.*

- Design and guide PB process
- Attend PB events and meetings in participating districts during each stage of PB
- Provide specialized support for the PB process, including with research, organizing, media, online engagement, social media, policy & budgeting, data visualization, and design
- Promote the PB process through the press, social media, and other networks, using protocol agreed-upon by the Steering Committee
- Help raise support funding
- Create and distribute educational and promotional materials about PB
- Mobilize broad, inclusive, and proportional community participation
- Provide assistance at budget assemblies, delegate meetings, and/or budget delegate orientations
- Evaluate and revise the rules of the PB process
- Encourage PB for other districts and budgets
- Identify and recruit groups to support PB at the city & district level
- Ensure that the district-level PB processes are inclusive and consistent with the core goals of PBNYC
- District Committee representatives on the Steering Committee will also serve as the voice of the local processes



# ABOUT THE STEERING COMMITTEE

## Steering Committee Governance

- The Steering Committee is convened and coordinated by the New York City Council Central Staff and co-chaired by two individuals who are a part of the Steering Committee member organizations
- Whenever possible, decisions are made by consensus at meetings
- For changes to or issues where there is no consensus, decisions are made by vote. Fifty percent quorum\* is necessary for a vote to be valid, and a 66 percent majority of participating members is necessary for a vote to pass. For example, if there are 30 Steering Committee members, 16 need to be present in order to have a vote and 11 votes are needed in order for an item to pass. Voting may take place at Steering Committee meetings or online
- Each member organization, district committee member, budget delegate, facilitator, and Council Member office has one vote
- Working-groups are formed at various moments throughout the process to ensure that certain critical aspects of PBNYC are carried out efficient and effectively
- At the end of the PB cycle, candidates for the Steering Committee are recruited through an open call and are vetted by the Office of the General Counsel of the New York City Council.

## Steering Committee Co-Chairs - 2016-2017

Catherine McBride, Red Hook Initiative

Aaron Jones, Community Voices Heard



## **\*GLOSSARY OF TERMS**

### **\*Allocate**

To distribute funds for a specific reason.

### **\*Capital Budget**

Funds used in the City of New York to build or improve physical spaces like schools, streets, parks, libraries, community centers and other public spaces. Capital funds can only be used for physical infrastructure projects that will last at least five years, cost at least \$35,000 and benefit the public. For example, repairing a basketball court in a public park would be a capital project. However, repairing a basketball court in your backyard would not be a capital project because it would not benefit the public. Similarly, paying for staff and referees to run a basketball league would not be a capital project because it would not be an improvement to physical infrastructure.

### **\*Budget Delegates**

Volunteers who turn ideas into project proposals for the vote.

### **\*City Agencies**

A city regulated organization that implements city projects and upholds the standards and ordinances of their respective fields.

### **\*Empowerment**

Giving power or authority to a person or group.

### **\*Expense Budget**

The Expense Budget pays for the day-to-day operating costs of the city, such as the salaries of teachers and police officers, supplies, contracted services with non-profits and debt service. This is like a household's annual budget that includes food, clothing, and childcare.

**\*Equality**

Being equal in rights, status, and opportunity.

**\*Equitable**

The quality of being fair and impartial.

**\*Facilitator**

Someone who helps a group of people understand their common objectives and achieve them, without taking a particular position in the discussion.

**\*Grassroots Democracy**

Political processes where as much decision-making authority as practical is shifted to the organization's lowest geographic level of organization.

**\*Implementation**

The process of putting a decision or plan into effect.

**\*Inclusion**

The act of including something, someone, or a group of people; making sure that everyone's voice is heard.

**\*Infrastructure**

The basic equipment and structures (such as roads, school buildings, parks) that are needed for a city to function.

**\*Marginalized Groups**

A group that is treated as insignificant or peripheral.

**\*Participatory Budgeting (PB)**

A democratic process in which community members directly decide how to spend part of a public budget.

**\*Quorum**

The number of members required to be present in order to make official decisions.

**\*Transparency**

Openness and honesty about the way decisions are made.

**NOTES:**

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**NOTES:**

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.



NEW YORK CITY COUNCIL  
**PARTICIPATORY**  
BUDGETING



THE NEW YORK CITY COUNCIL  
**SPEAKER MELISSA MARK-VIVERITO**

**GET INVOLVED:**

- Visit [council.nyc.gov/PB](http://council.nyc.gov/PB) • Follow @PB\_NYC  
• Suggest your project ideas at [ideas.pbnyc.org](http://ideas.pbnyc.org)



## Appendix F: Key articles and media

- [Real Money, Real Power: Participatory Budgeting](#), Introductory video produced by Participatory Budgeting Project, 2016.
- [Participatory Budgeting: Next Generation Democracy](#), White Paper produced by Participatory Budgeting Project, 2016.
- [Participatory Budgeting's Promise for Democracy](#), Carolin Hagelskamp & Matt Leighninger, Governing, 2016.
- [Public Spending, by the People: Participatory Budgeting in the United States and Canada in 2014 – 15](#), Public Agenda, 2016.
- [Budgeting for Equity: How Can Participatory Budgeting Advance Equity in the United States?](#) Madeleine Pape & Josh Lerner, Journal of Public Deliberation, 2016.
- [Participatory Budgeting: Core principles and Key Impacts](#), Brian Wampler, Journal of Public Deliberation, 2012.
- [By the People, For the People: Participatory Budgeting from the Bottom Up in North America](#), Josh Lerner & Donata Secondo, Journal of Public Deliberation, 2012.

Check out more articles and media on PBP's Articles page:

<https://www.participatorybudgeting.org/>

## City of Fairfield Budget Advisory Committee Subcommittee Focus: Fiscal Budget Goals and Objective

### **Theme: How should Community Policing be reflected in the budget?**

To understand the importance of Community Policing and its budgetary significance, one must first understand the meaning and overarching consequences of Community Policing. Plainly stated, all components of police services should be community focused because the police department works to protect and serve all residents of its jurisdiction. COPS Office presents a clear ethical ways of infusing Community Policing into a community: “The Office of Community Oriented Policing Services (COPS Office) is the component of the U.S. Department of Justice responsible for advancing the practice of community policing by the nation's state, local, territorial, and tribal law enforcement agencies through information and grant resources.”

“Community policing begins with a commitment to building trust and mutual respect between police and communities. It is critical to public safety, ensuring that all stakeholders work together to address our nation's crime challenges. When police and communities collaborate, they more effectively address underlying issues, change negative behavioral patterns, and allocate resources.” (Office of Community Oriented Policing Services, Google Search, 4/21)

Budgetary consideration in the City of Fairfield as related to community policing begins with a review of the overall Police Department budget that represents 44% of the entire city's budget. Based on data received from Chief Cantrell, approximately 13% of the budget goes to hard costs to supports staff. (Response to questions from FBAC Subcommittee, Chief Cantrell – 02-10-2021.) Thus, approximately 31% goes to recruitment, training and staff compensation. Taking an all-inclusive review of staff budgetary items does not provide specifics for community policing as currently being re-defined since the offset of numerous civil protests across America. After the public killing of George Floyd by a police officer during an arrest, millions of Americans are calling for police services that eradicate racial disparities and social injustices, as well as seeking engagements with all community stakeholders in the decision-making. Therefore, budget advisory recommendations are focused on: How should Community Policing be reflected in the City of Fairfield Fiscal Budget?

A brief research of the Fairfield's Police Department reveals a long list of police involved community activities, projects and programs. Unfortunately, it did not identify any recognized specific partnership relationships across Fairfield Police Department balanced with representation from the entire community. In part, the omission of community engagement services may be directly related to the lack of overall transparency of the actual expenditures on specific programs and services. The budget reviewed by this writer presents all-inclusive numeric data without adequate explanatory narratives. Therefore, the first recommendation is that the Police Department budget line items be presented with more narrative.



## Page (2) City of Fairfield Community Policing Recommendations

Community leaders, elected officials, law enforcement, local civil rights groups and many minorities are calling for more community engagement. Again, the public murder of George Floyd by a police officer viewed by millions suggests collaborative changes are needed. (The city of Minneapolis will pay \$27 millions to Floyd's family plus millions more for building damages and police overtime. Google Search, April 2021)

An undated study conducted by the Policing Project, NYU School of Law, the Police Foundation and the National Urban League included responses from a diverse 128 law enforcement agencies and 239 community members provided several key findings relative to police-community engagements. Two are:

“Community members overwhelmingly said that they want more opportunities to weigh in on department policies and practices. This finding suggests that agencies that do not currently involve the public in these sorts of decisions are missing a critical opportunity to build legitimacy and trust.”

“Virtually all participating police departments are taking steps to connect with members of the public, including by hosting meetings, attending forums, and using social media.” (Beyond the Conversation: Ensuring Meaningful Police-Community Engagement - pdf)

Another recommendation for the Community Policing focus is to develop a Fairfield Community Policing Partnership. The cost for this project would be allocated in fiscal budget year 2021-2022. About \$200,000 could be taken from the excesses of the budget reserves for the addition of a Community Relations Liaison (FTE) plus limited consulting services. The primary responsibility of this position would be to promote a mutually supportive relationship between the Fairfield Police Department and the Fairfield community. Just as important, this unit would include community-policing training whereby members of the community could learn about the structure and the activities of the Police Department. A more informed community would have a voice in decision-making that impacts their daily lives and subsequently have an increased trust level of the Fairfield Police Dept.

Encouragingly, based on information sought and shared by Chief Cantrell along with her comprehensive presentation to the Fairfield Budget Advisory Committee in March 2021, it appears that the City of Fairfield Police Department is under exceptional leadership and has some excellent overarching organizational policies in place that embraces some community policing.

Yet, some focused departmental community engagement changes would benefit the community as a whole. Thirdly, a proposal is recommended to bring representation of the whole community together to help organize a Fairfield Community Policing Partnership (FCPP) under the leadership of the Community Engagement Division. Reviewed literature indicates community engagement, although touted, does not regularly occur due to the lack of staff time and funds allocated. Therefore, a timely third recommended is made to establish a FCPP under the leadership of the Community Relations Liaison FTE position. Specific duties and responsibilities of the position would be as noted earlier and to fulfill the quantifiable duties and responsibilities and processed as enumerated below:

1. Initially, An invited representative steering committee would meet and discuss a practical outcome of the whole project from beginning to written action outcomes. One goal would be to reimagine the Police Department as organized peace officers that are committed to the highest degree of ethical and professional conduct toward all residents. Include homeless and mental health limitations.
2. Invite & involve a comprehensive diverse group of residents to gather for a defined purpose. Identify the purpose from the city's point of view, as well as from the community points of view.
3. Utilize selective recruitment of participants that include all areas of the City of Fairfield. Involve Community leaders in the beginning process.
4. Hold Listening Conversations and, or Focus Groups in different areas of the city such as the seven City Council districts, or similar inclusive and geographically diverse areas
5. Employ a professional facilitator (consultant) and identify volunteer assistants who are capable of helping with the overall facilitation, including gatherings and collecting data.
6. Provide some thought questions and allow limited open-ended discussion based on selected topics.
7. Collect outcomes content in quantitative and qualitative methods to identify common themes and numeric data from participants.
8. Include: The League of Women Voters, Tri-City NAACP, The Black Chamber of Commerce, Solano County Commission for Women and Girls, Hispanic Chamber of Commerce, Asian Americans Chamber of commerce, etc.

#### Benefits of Collaborative Community Policing:

Ultimately, this recommended proposal would provide the outcome of what the people of Fairfield prefer their Police Dept. to look like, and how they prefer to be helped. A brief observation of limited literature and public forums on policing indicates that people in general seeks community police services that includes: Appropriate recruitment; Updated

training, including Cultural Competencies; Knowledge of Mental Health and Homeless issues; Fair Promotions; Eradication of Systemic Racism and External Accountability.  
Page (4) City of Fairfield Community Policing Recommendations

City of Fairfield Budget Advisory Committee  
Subcommittee Focus: Fiscal Budget Goals and Objective

**Theme: How should Community Policing be reflected in the budget?**

Recommendations:

1. The first recommendation is for the Police Department budget line items to be presented with more narrative.
2. Secondly, it is recommendation that the City of Fairfield Police Department develop a Fairfield Community Policing Partnership. (FCPP) The cost for this project would<sup>[[[]]]</sup><sub>SEP</sub> be allocated in fiscal budget year 2021-2022. About \$200.000 could be taken from the excesses of the budget reserves for the addition of a Community Relations Liaison (FTE) plus limited consulting services.
3. A third recommendation from the Community Policing focus is related to the second recommendation with the emphasis being placed on the Fairfield Community Policing Partnership advisement for staffing responsibilities and process for the FCPP formation.

**Participatory Budgeting  
in Vallejo  
Rulebook**

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## Participatory Budgeting in Vallejo

In 2012, the Vallejo City Council established the first city-wide Participatory Budgeting (PB) process in the United States. Through PB, Vallejo residents and stakeholders develop project proposals in collaboration with City staff, residents vote on projects, and the list of the projects that receive the most votes are submitted to City Council for consideration as part of the annual City budget.

Applying Community Development Block Grant (CDBG) rules and guidelines that target low- to moderate-income residents, a minimum of twenty percent (20%) of the allocated Measure B funding for PB projects shall be designated for program and service proposals receiving the most votes. A maximum of eighty percent (80%) of the allocated Measure B funding for PB projects shall be designated for capital infrastructure and durable projects.

## Goals

### **1. Improve our city**

- Improve the infrastructure of the City, assist in enhancing the public safety of citizens, and to improve the quality of life for residents through the creation of and payment for projects without the expenditure of Measure B funds for salary expenses.
- Build a new spirit of civic pride and raise the profile of Vallejo on the regional, state, and national levels.

### **2. Engage our community**

- Ensure that all members of our community have a voice.
- Engage those who are traditionally underrepresented in politics, who face obstacles to participating, or who feel disillusioned with the political process.
- Increase public involvement in civic life in Vallejo.

### **3. Transform our democracy**

- Empower Vallejoans with the skills and knowledge they need to shape our city's future.
- Build leadership from the bottom up and forge deeper ties between residents, neighborhoods, and communities.

### **4. Open up government**

- Increase transparency and accountability of local government to community stakeholders.
- Improve communication and collaboration between local government and the community.
- Support a framework within government for decision-making that promotes a more just and equitable city.

## Project Eligibility

Projects are eligible for placement on the ballot if they meet the following criteria:

- **Provide primary benefit for the public-at-large (or a subset group that is not delineated by exclusive or paid membership in a group, organization, or by participation in a specific activity).** Projects that only benefit private individuals are not eligible. Projects may not result in a 'gift of public funds' to individuals (See Cal. Const. Art. XVI § 6) and must serve a public use or purpose. Generally this means that the project results in a direct/primary concrete or quantifiable service or benefit to the public.
- **Provide a tangible, permanent benefit that allows for broad public access.** This includes a long-term plan to maximize benefit for the full utility of acquired assets (typically sustainable beyond the 12-16 month implementation timeline). This criterion may not always

apply to program and service project proposals that otherwise meet existing CDBG guidelines.

- **Are designed to accomplish their goals and fulfill their purpose using funds from this year's PB process.** Projects may not obligate the City to ongoing funding beyond the PB allocation. If other funding sources are needed to accomplish the project goals, those funds must be secured prior to submission for City review and vetting.

- **Are capital infrastructure, capital improvement, durable acquisition, or program and service projects.**

- Capital Infrastructure/improvement and/or durable acquisition projects for public purposes, on public property owned by the City of Vallejo within incorporated City limits, and implemented by the City of Vallejo and/or a public agency that manages City-owned property are eligible for funding.
- Program and service projects implemented by a public agency and/or pre-qualified 501(c)3 non-profit organization are eligible for a maximum of (20%) of Measure B funding allocated through Vallejo's PB process. All program and service project proposals must meet the existing City-implemented CDBG guidelines and qualifications; the City must be able to document that all program recipients reside within incorporated City limits, and that at least 51% of program recipients are low- or moderate-income. Funding cannot cover administrative, overhead, or routine maintenance costs.
- Individual proposals may propose either capital infrastructure/durables or programs and services, but not a combination.
- A minimum of 20% of available project funding is allocated for program & service projects; if/when the 20% minimum has been reached, remaining funding will fall to the next highest vote-getting project(s).
- A maximum of 80% of Measure B funding may be allocated to capital infrastructure/durable projects.

- Regardless of the total amount of allocated funding, no more than a maximum of 30% may be allocated per capital infrastructure/durable project.

<b>PB ALLOCATION &amp; ELIGIBILITY</b>		
<b>Projects</b>	<b>Programs &amp; Services</b>	<b>Capital Infrastructure &amp; Durables</b>
<b>How Much</b>	Minimum 20% of PB Project Allocation (Estimated \$200,000*)	Maximum 80% of PB Project Allocation (Estimated \$800,000*)
<b>Funding Source</b>	Minimum 20% of Measure B	Maximum 80% of Measure B
<b>Where</b>	Public and/or Private Property within incorporated City limits	Public Property owned by City within incorporated City limits
<b>Implemented by:</b>	Public Agency and/or 501(c)3 nonprofit	City of Vallejo and/or Public Agency managing City-owned property
<b>Who Benefits:</b>	Incorporated City residents, at least 51% low- to moderate-income	All Vallejoans
<b>Min/Max per project</b>	3% min 7.5% max	3% min 30% max
<b>When</b>	Beginning in July 2019	Beginning in July 2019
* Measure B funding amount determined by Vallejo City Council as part of the Annual Budget +The eligibility allocation amounts are proposed by the Participatory Budgeting Steering Committee and are left to the discretion of the City Council		

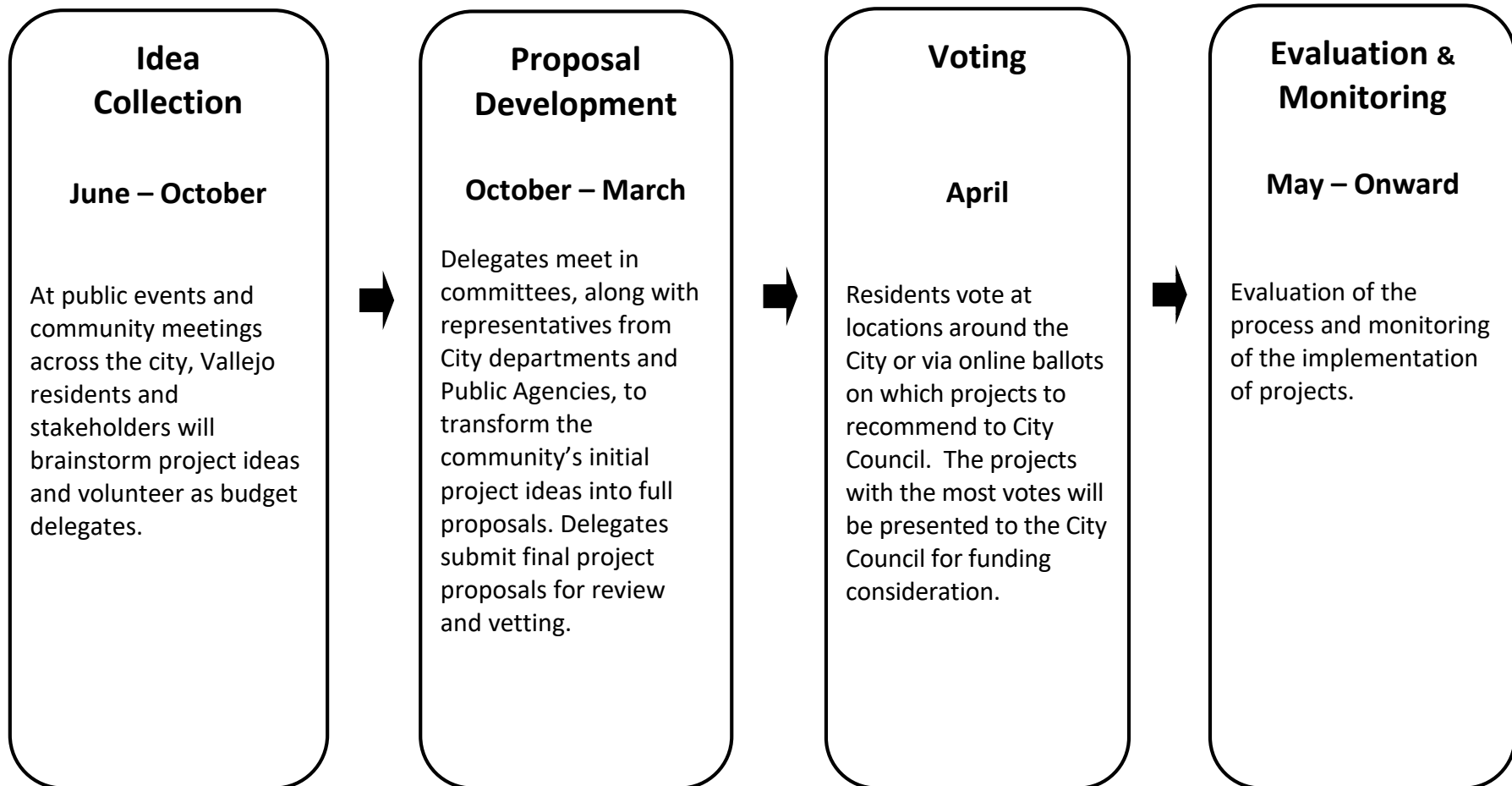
**In addition to these criteria, the following rules apply to projects:**

- Projects may not result in the private benefit of individuals or confer value to a non-public entity. Examples of these types of ineligible projects could include purchasing assets for a non-public entity that generate net revenue for a private entity, non-profit organization, or individual(s) that exceeds the costs of the program in which that revenue was generated.

- Future sustainability of a project must not be contingent on market- or demand-driven revenue streams. Examples of these types of ineligible projects could include start-ups or enterprise-driven non-profits.
- Projects must not require a change in City or public agency policy in order to be implemented and achieve the goals outlined in the proposal. Examples of these types of ineligible projects could include studies, ordinance development, or campaigns.
- Projects implemented by non-City public agencies must also include financial or value in-kind contributions from the agency, in addition to “PB funding.”
- To comply with California Government Code § 1090, Budget Delegates who develop projects may not receive any financial benefit from funds disbursed.
  - City or agency staff may not initiate, be the main representative of or participate in projects where they will receive a personal benefit.
- For non-City implementing partners, funding may be used for skilled and/or limited-term labor, but cannot be used to cover administration, overhead, or to fund an ongoing position.
- In most cases, funds will not be distributed up front and will be distributed as payment for service, on a reimbursement basis, and/or progress payment to a local certified contractor.
- Projects may not promote religious views or beliefs.
- Projects must be fully eligible and approved by the City Manager, or designee, in consultation with the City Attorney, before being placed on the ballot. A fully eligible project must contain the following:
  - Sufficient details to understand the purpose and intent of the project.
  - Identification of Public Benefit(s)
  - Proposed Beneficiary(ies)
  - Total estimated budget, including the cost to fully implement the project to completion (i.e. bidding, staff, in-kind contribution, etc.), documented by a contractor bid, vendor quote, or other full-cost estimate
- Timeframe for project completion
- Proposals with a non-public agency as implementing partner, or with potential non-profit subcontractors, must be identified and pre-qualified on or before the First Stage Review.
  - Qualification guidelines for 501(c)3 nonprofit organizations seeking funding for a program and/or service will be developed and released by the City prior to the Idea Collection Phase.
  - Non-City public agencies must submit a letter of interest regarding specific proposals on or before the First Stage Review in order to be considered during review and vetting.
- Final project determination for ballot placement will be made by the City Manager, or designee, in consultation with the City Attorney.

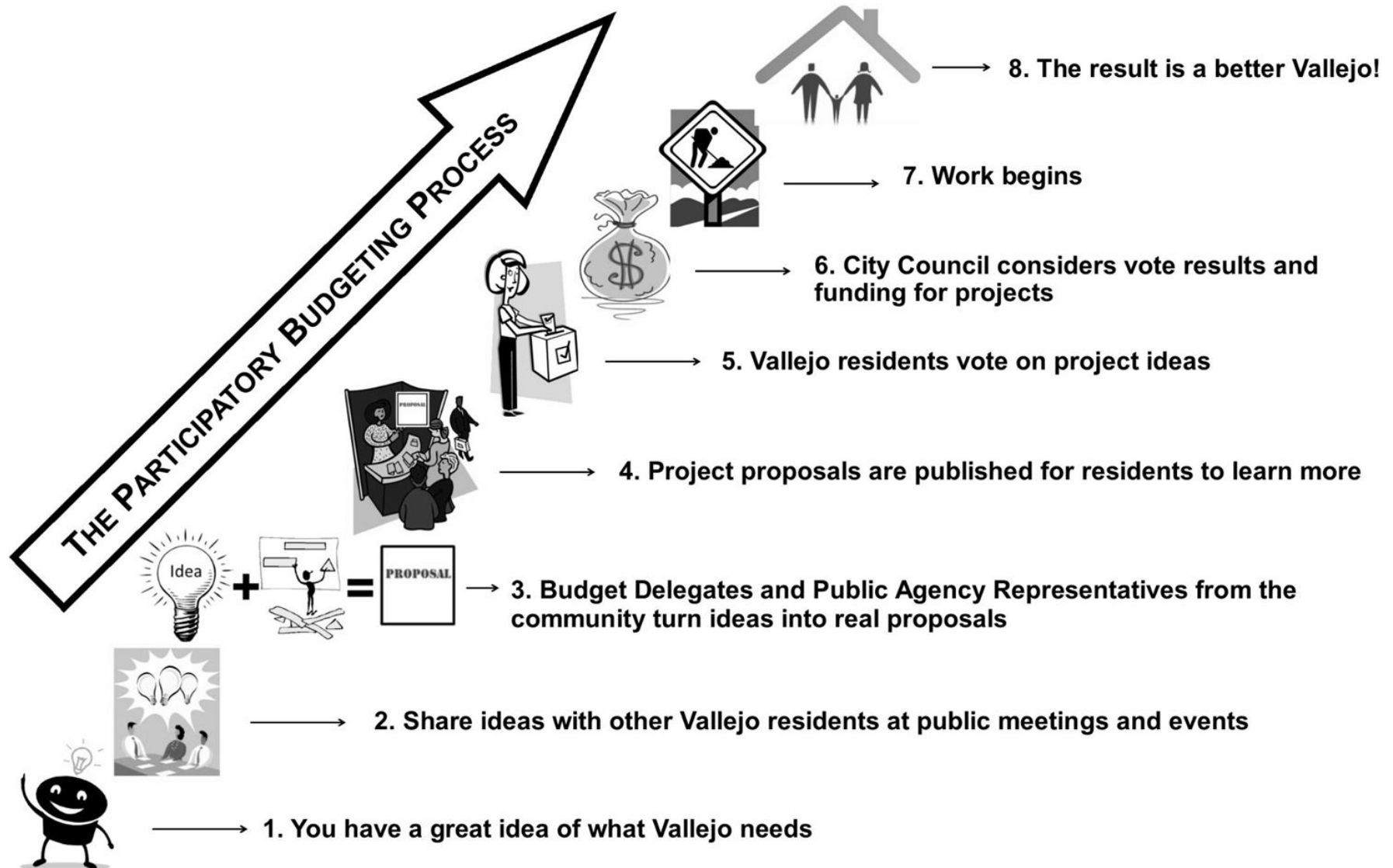
## Timeline: What happens when?

PB has four main stages:





## Rules: How does it work?



## Idea Collection

- Budget Assemblies are public events where project ideas are collected and will seek to reflect Vallejo's diversity and include all segments of the community. Assemblies can occur at existing public events, festivals, schools, places of worship, or online, and are facilitated by City staff, Steering Committee members, and volunteers.
- Where possible and appropriate, City staff and the PB Steering Committee will provide Spanish translation of materials, which may include interpretation at public events.
- Project proposals from the previous PB Cycle ballot will be automatically added as ideas for the current cycle for consideration.

## Proposal Development

- All budget delegates and public agencies representatives must attend an orientation session and project proposal workshop.
- At the orientation sessions, volunteer delegates may join a committee to discuss and develop project proposals for a certain issue area. Delegates may not join more than one committee.
  - Committees may consist of volunteer delegates and representatives from relevant City and public agency staff.
  - Issue committees may include but are not limited to:
    - Parks, Recreation & Art
    - Public Infrastructure, Safety & Transportation
    - Education, Training & Social Services
  - Demographic subcommittees may be formed to ensure maximum participation from people who might not otherwise participate, including: Youth, Seniors, Spanish-Speakers, and members of the Filipino and African American communities. At least four delegates must sign up before a demographic subcommittee can be formed. Subcommittees will work

between issue committees to address the needs, concerns and unique circumstances of specific demographic groups.

- Any resident of Vallejo, its unincorporated areas, or stakeholders in Vallejo - people who physically work in Vallejo, own a business in Vallejo, attend school in Vallejo, or are parents of children who attend school in Vallejo - may participate.
- Project proposals from the previous PB Cycle ballot will be provided to Delegates for consideration of placement on the current ballot, upon confirmation with the project partner, subject to evaluation by Delegates and vetting through the 3-stage Review process.
- The Steering Committee, Budget Delegates and Public Agency Representatives will strive to minimize the total number of projects by combining projects that address a similar public need, vetting projects that do not meet the eligibility criteria and rules, and/or prioritizing projects based on greatest need and benefit. A fully eligible project must also undergo a three-stage review and vetting process, with exact dates to be determined by the City Manager's designee(s) and the Steering Committee prior to the start of the Delegate phase.
  - **First Stage Review:** Budget Delegates shall submit to the City a summary (approximately 500 words) for each project proposal, not to exceed 40 total project proposals. City staff and a subcommittee of the Steering Committee will provide general feedback on eligibility issues and concerns, but will make no binding determinations.

In order to be eligible for possible funding at the conclusion of the cycle, implementing partners and/or any 501(c)3 non-profit organizations (including potential non-profit subcontractors) who may seek to implement project proposals must submit a prequalification application and letter of interest to the City on or before the First Stage Review. All public agencies who may be implementing partners must submit a letter of interest for each proposed project on or before the First Stage Review.

Project proposals or non-City implementing partners that do not undergo this First Stage Review are ineligible for continued development or funding in the current cycle.

- **Second Stage Vetting:** Budget Delegates shall submit to the Steering Committee (or a subcommittee) a maximum of 20 fully-eligible project proposals. The Steering Committee will conduct an initial eligibility screening and forward the proposals, along with the Steering Committee's recommendations, to the City for full vetting. City staff will provide extensive feedback and revision requests to both the Budget Delegates and the Steering Committee.

Where needed, City staff, designated Steering Committee members and the Budget Delegates shall meet and discuss the eligibility determination in an attempt to gain mutual understanding and seek avenues to alter the project proposal for a more favorable outcome. Ultimately, the City Manager, in consultation with the City Attorney, shall make final determinations on whether project proposals are eligible for the Third Stage Review of the PB ballot.

Project proposals deemed ineligible in the Second Stage Vetting may no longer be developed in the current cycle's process and cannot be submitted for Third Stage Review.

- **Third Stage Review:** Budget Delegates, in collaboration with supporting Public Agency Representatives, shall submit a maximum of 12 eligible and/or revised project proposals that include final ballot language, poster photos, etc. to City staff for consideration on the ballot. City staff will concurrently notify the Steering Committee and the Budget Delegates of final ballot determinations.

The City Manager, in consultation with the City Attorney, shall determine final project proposal eligibility.

- The Steering Committee shall determine the number of available slots per committee for each of the three stages of review/vetting, as well as the ballot. The Steering Committee shall not make determinations about individual projects advancing to the ballot.

- After the City has reviewed the final project proposals, they may not be altered or combined, except under extraordinary circumstances as determined by the City Manager, or designee.

## Voting

- Budget delegates will present final project proposals to the community at public events and meetings, including a single Voting Expo. The Steering Committee will determine the location and timing of a Voting Expo.
- Participants will abide by Campaign Guidelines as determined by the Steering Committee and the City Manager, or designee.
- The PB ballot shall not contain more than 12 project proposals.
- Each voter may cast one vote per project proposal. Voters may cast votes for up to 20% of the total number of proposals on the ballot (rounded up to the nearest whole number). For example, on a ballot with 12 proposals, each voter may vote for up to 3 projects.
- People are eligible to vote for projects if they:
  1. are at least 14 years old, *and*
    - Budget delegates who have committed their time to the process but are under the minimum voting age are also eligible
  2. are residents of Vallejo or its unincorporated areas.
- The Steering Committee and City staff will research the logistics of implementing alternative voting methods, including, but not limited to:
  - An online voting platform that allows Vallejo residents to be authenticated and vote remotely
  - Voting by mail
  - Voting in person at the City Manager's Office
  - Voting at non-PB community events
- At the time of voting, voters must verify they satisfy the eligibility requirements, which will be publicized prior to the vote. A comprehensive verification process that protects the public's privacy and choice will occur before final vote results are announced. Ballots that do not satisfy the eligibility requirements will be eliminated.

- Voting opportunities will take place on multiple days and in multiple locations. Each voter can vote on one occasion.
- No campaigning will be allowed at polling locations.
- The Steering Committee will determine the structure of the ballot with input from the City Manager, or designee.
- City staff, the PB Steering Committee, and appropriate partners will conduct ballot “readability” tests of different ballot designs prior to the vote to minimize confusion among voters.

### **Consideration of Project Funding by the City Council**

- Upon completion of the public voting process, the results of the balloting will be brought before the City Council for consideration. The City Council will have the discretion to approve which projects are funded, the amount of funding, and conditions (if any) placed upon the use of approved funds.
- If there is a tie, or if the available funds do not cover the cost of the next highest vote-getting project, subject to available resources and the discretion of the City or other agencies, the City Council may attempt to secure additional money to complete the project(s), partially fund the next highest vote-getting project, or split the remaining funding between any tied projects. If the project(s) cannot be completed with partial funds, the remaining funds will go to the project with the next most votes that can be fully funded, or into a reserve fund.
- A minimum of 20% of available project funding is allocated for Program & Service projects; if/when the minimum 20% has been reached, remaining funding will fall to the next highest vote-getting project(s).

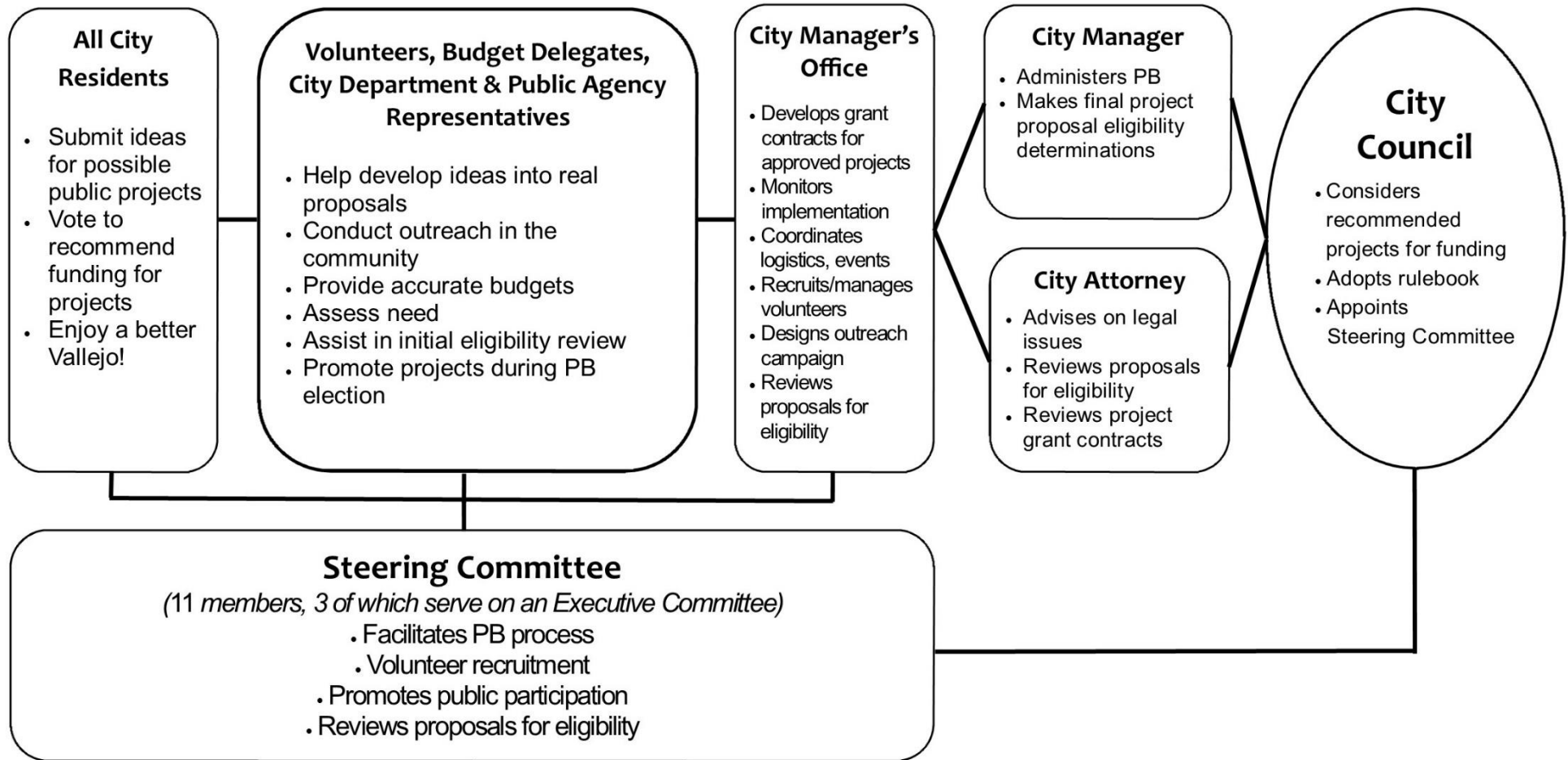
### **Monitoring of Funded Projects**

- After the vote, a monitoring subcommittee of Steering Committee members will be established to monitor the implementation of funded projects.

### **Amendments**

- The Steering Committee may propose changes to the Rulebook with approval from a quorum of the Committee, and final approval by the City Council. The City Council may make changes to the Rulebook via a majority vote.

## Roles & Responsibilities: Who does what?



There is a role for everyone in participatory budgeting, but different people have different roles and responsibilities, based partly on their stake in the community and their time commitment to the process. We encourage every community stakeholder to both participate and encourage others in the community to participate.

## **Vallejo Residents and Stakeholders**

Anyone can participate in the process to:

- Identify local problems and needs
- Propose project ideas
- Volunteer to serve as budget delegates
- Mobilize Vallejo residents and stakeholders to participate
- Vote on project proposals, *if a Vallejo resident*

## **Budget Delegates and Public Agency Representatives**

Budget delegates do the work necessary to turn community ideas into real projects.

- Attend a Budget Delegate Orientation and a Project Proposal Workshop.
- Collaboratively discuss, categorize, and prioritize initial project ideas.
- With their issue committee, collaboratively make initial determination on project proposal eligibility prior to development, with assistance from the Steering Committee and staff.
- Assess need and benefit when determining which eligible project proposals will/will not be resubmitted at different stages of review.
- Consult with Vallejo residents and stakeholders on project proposals.
- Help develop full project proposals that address needs and have a broad impact on the community.
- Responsible for developing all proposals within the issue committee.
- Prepare project posters and presentations.
- Mobilize Vallejo residents and stakeholders, conduct outreach.
- Monitor project implementation and evaluate the PB process

- Develop accurate and precise implementation budgets during development process

## **Facilitators**

Facilitators help residents participate effectively in committee meetings. They are neutral parties that do not advocate for particular projects.

- Facilitate group discussions and meetings, and ensure that all participants are able to contribute
- Serve as the main point of contact between the City Manager (or designee), the PB Steering Committee, and delegates, helping to coordinate communication and resolve conflicts
- Connect delegates with information and resources, as well as liaise with City staff
- Ensure that notes are taken at meetings and distributed afterward
- Support delegates in researching, assessing and developing proposals, based on criteria that include feasibility, need and benefit

## **City Manager Designee**

The City Manager Designee will be the main person(s) responsible for coordinating the PB process with input and assistance from the Steering Committee.

- Serve as a point of contact between the City and the PB Process
- Coordinate PB outreach efforts
- Serve as staff liaison to the PB Steering Committee and enforce Brown Act rules.
- Recruit and coordinate volunteers
- Create qualifications check-list based on this Rule Book
- Create implementing partner eligibility check-list
- Create a pre-qualification application for non-public implementing entities that reflects Vallejo-specific CDBG eligibility and requirements.
- Reserve space for assemblies and meetings

- Arrange food, childcare, and interpretation for assemblies and meetings
- Present information on the City's budget and past spending, including monthly updates on the operating budget and PB expenses.
- Distribute promotional materials
- Serve as liaison between PB participants and City
- Present implementation analysis and plan for voter-recommended project proposals to the City Council for consideration
- Present updates to the City Council

### **City and Agency Staff**

- Assess feasibility and legality of project proposals
- Provide cost estimates for project proposals
- Offer feedback on project proposals
- Provide a liaison to attend delegate meetings

### **Vallejo City Council**

- Establish the PB process
- Appoint the Steering Committee
- Appoint three (3) alternates to the Steering Committee (one organization and one at-large) who will automatically fill vacant positions should they become available during the current PB cycle.
- Take action on the Rulebook
- Consider funding for the projects prioritized by voters

### **City Council Liaisons**

City Council will select two liaisons to the Steering Committee.

- Provide support to the Steering Committee
- Facilitate communication between the Steering Committee and City Council
- Report back to City Council on PB updates

### **Steering Committee**

A Steering Committee coordinates PB Vallejo. The committee is composed of up to 11 members, which could include a combination of civic organizational seats and at-large seats.

The City Council appoints all seats (primary, secondary, and alternates) to the Steering Committee. The City Council shall appoint three (3) alternate members to the PBSC who will not have member privileges unless they fill a vacancy that has become available. SC members will serve two (2) PB cycles. A cycle is defined as beginning before budget assemblies and ending after the vote.

PBSC members shall annually elect a Chairperson and two (2) executive committee members to serve on a 3-member Executive Committee. The Executive Committee's duties, roles and responsibilities include:

- Facilitate clear communication with staff and PBSC to achieve the four goals of PB
- Improve the agility and functionality of the PBSC
- Lead PBSC Subcommittees (either standing or ad-hoc, as defined by the PBSC)
- Conduct quarterly attendance and participation reviews of PBSC members and recommend steps to enforce the roles and responsibilities of all PBSC members

Steering Committee meetings will be held in compliance with the open meeting requirements of the Ralph M. Brown Act. Roles and responsibilities of the PBSC include:

- Design and oversee the PB process
- Distribute promotional materials
- Promote PB in their organizations and at community events
- Volunteer for assistance at 1/3 of public meetings, events, outreach efforts, voting sites, committee facilitation, and other PB-related events
- PBSC members with three unexcused absences of regular PBSC meetings in a 12-month period shall be disqualified from the PBSC and replaced by an alternate. (For organizational members, attendance of a secondary representative shall not be considered

an absence). PBSC members may have one excused absence in a 12-month period. A City Manager designee shall contact member civic organizations or at-large members with two unexcused regular meetings absences. Enforcing attendance rules shall be a responsibility of the Steering Committee leadership.

- Steering Committee members may be assigned as liaisons or facilitators to Budget Delegate committees, but may not participate as budget delegates. Liaisons provide technical support to Budget Delegates during proposal development, provide informational updates on Delegate Committees' progress to the Steering Committee, and connect Budget Delegates with resources. Steering Committee members may not advocate for specific projects.
- Recruit volunteers, organizations and community stakeholders to assist with the PB process
- Mobilize Vallejo residents and stakeholders to actively participate in the process
- Assist City Manager Designee in arranging food, childcare, and interpretation for assemblies and meetings
- Categorize project ideas and conduct preliminary review of ideas for eligibility
- Make initial eligibility recommendations of 20 project proposals during Second Stage Vetting and submit proposals and recommendations to City staff
- Meet with City Manager, staff, and Budget Delegates if concerns arise over project proposal vetting determinations
- Assist City Manager Designee in preparing voter-recommended project priorities for City Council consideration
- Evaluate the PB process
- Recommend rulebook revisions to the City Council
- Monitor project implementation
- Set meeting agendas through individual or group requests via the Steering Committee leadership at least seven days prior to meetings.

Steering Committee meetings are held in compliance with the open meeting requirements of the Ralph M. Brown Act. Whenever possible, the Steering Committee will make decisions by consensus. If consensus is not reached, decisions will be made by a formal vote and approved only by a quorum.

SC civic organization members must provide name(s) and contact information of their representative(s) to the City Manager, or designee, via a letter pledging their interests. Organizational members have the option to nominate a secondary representative. If the civic organization's primary representative cannot attend, the named secondary representative must.

All members (primary or secondary) must submit the City of Vallejo's Conflict of Interest of Form 700. PBSC members who do not submit a Form 700 shall be disqualified from the PBSC and replaced by an alternate, as designated by City Council.

An updated list of individuals and organizations who serve on the Steering Committee can be reviewed on the City's [website](http://pbvallejo.org). (pbvallejo.org)



## City of Fairfield Budget Advisory Committee

### Subcommittee Focus: Fiscal Budget Goals and Objective

#### **Theme: How should lack of very-low income housing be addressed in the budget?**

With the implementation of a Homeless Services Division in the City Manager's Office, the City of Fairfield has created a strong focus on homelessness in Fairfield. The collaboration among the 7 cities, Solano County, the non-profit partners and neighboring counties is an important step to a regional approach in the continuing effort to identify strategies to serve very-low and low-income residents successfully.

The subcommittee would like to propose two areas of consideration:

- 1) The lack of very-low and low income housing poses a significant challenge to rehouse families and individuals that are ready to transition out of the shelter system. One approach to encourage access to more section 8 housing is to work directly with landlords.

Major concerns to overcome for landlords and tenants are the lack of funds for security deposits and the perception that voucher holders will damage units. A Landlord Partnership Program (LPP) such as Marin County operates offers security deposits, damage protection, and vacancy loss coverage as well as a customer service hotline and workshops.

(Marin Housing Authority: <https://www.huduser.gov/portal/periodicals/em/winter19/highlight3.html>

Santa Clara Housing Authority <https://www.scchousingauthority.org/section-8-landlord-resources/>).

A LPP offers both reassurance to landlords and tenants while helping to increase the number of available Section 8 housing supply.

- 2) Very low-income housing for seniors poses a specific concern. The 2019 ACS census reported that 16.2% or 72,614 residents aged 65 or older. The Fairfield Population Pyramid 2021 (<https://worldpopulationreview.com/us-cities/fairfield-ca-population>) lists approximately 5,554 male residents and 6,546 female residents aged 65 and above.

Of these seniors, approximately 7.4% live in poverty, defined as below the Federal Poverty Level (FPL). The FPL for 2021 is \$12,880 for a single person, and \$17,420 for a couple.

With increasing age, females greatly outnumber men. In addition, senior females tend to have less financial security and make up a disproportionate number of those living below the FLP.

The increasing number of retiring baby boomers over the next couple of decades will put additional pressure on an already stressed very low-income housing system. This specific segment of the population is at extreme risk of homelessness.

**Recommendation:**

The subcommittee recommends that the City of Fairfield consider establishing a LPP and allocate a dedicated staff person to administer the program, with an emphasis on senior housing. The benefit of increased access to Section 8 housing units will assist in serving the very-low-income population.

### City of Fairfield Compensation and Benefit Report:

A comprehensive compensation and benefits survey would require research for the Cities of Alameda, Antioch, Concord, Hayward, Livermore, Napa, Pittsburgh, Richmond, Sacramento, San Leandro, Vacaville and Vallejo. These are the cities negotiated between employee associations and the City Counsel. Eight of the thirteen cities are on the other side of the bridge. Traditionally cities within the Bay Area have higher compensation rates. The Council may want to look at adding other comparable cities. The last resolution I could find was from 2000.

Currently the Fairfield General Managers Association shows an annual productive hours rate of approximately 1538. That is 76% of the total paid hours of 2080. The Fairfield Employees Association has an annual productive hours rate of approximately 1688. This is 81% of the 2080 hours. More comprehensive analysis will need to be completed to see if these percentages fall within the industry norm.

A total compensation plan will require consultants or hiring temporary staff to complete the project. The offset of the expenses can be realized in negotiations for future development of Memorandum of Understandings with the employee groups. When looking at compensation it is important to conduct a comprehensive salary and benefit package analysis.

Attached is the schedule of benefits for the two employee groups listed above. The unrepresented employees mirror the FGMA and FEA depending on classification. While I didn't complete the chart for all cities, it seems the chart below identifies some benefits not available to other employees in the other jurisdictions.

**OVERALL RECOMMENDATION:** Create a strategic HR plan to conduct a study of overall comprehensive salary and benefit packages. To better enhance transparency, include graphs or charts that express the salary and benefit costs for each department.

Type of <u>Benefit</u>	FF General <u>Management</u>	FF Employee <u>Association</u>
Personal	144.86	32
Vac 0-3 Yrs	10	10
Vac 4-10	15	15
Vac 11-15	20	21
Vac 16-19	20	22
Vac 20	25	22
Vac 21 up	25	23
Holidays	12	12
Sick Days	12	12
Health Opt out	518	518
Short Term Dis	City Pd	City Pd

Long Term Dis	City Pd	City Pd
	up to 1.5x salary or	
Life Ins.	\$150K	50K pd by City
Tuition Reim	4000 pd	4000 Pd
Bilingual	\$75	\$100
EAP	Pd by City	Pd by City
Bereavement	up to 5 days	up to 5 days
PERS Retire	Various Tiers	Various Tiers
	EPMC PD by city	
	2.5%	
401(a)	8.24% pd by City	
		\$64 + 1% of
457	0 City Pd	salary
Retire Medical	\$50 pd by City	\$50 pd by City
Sick Leave Conversion	Available	Available
Financial Cons.	Pd by Employee	
Productive Hours	1583.14	1688