



B A S M A A

Policy and Procedure #1

Title: Budgeting and Work Planning

This policy and procedure is related to the following BASMAA policies and procedures:

- *#4 Consultant Selection and Contracting* – establishes guidelines for implementing a selection process to hire consultants to conduct BASMAA projects, including implementation of grant and loan funded projects.
- *#7 Financial* – establishes BASMAA’s accounting policies and procedures.
- *#8 Funding and Accounting for BASMAA Efforts* – defines and specifies financial elements of regional efforts conducted by BASMAA.
- *#9 Grant Administration* – establishes BASMAA’s policy and procedure for meeting the administrative requirements of federal or state grants received by BASMAA, which include administrative requirements above-and-beyond those already addressed by BASMAA’s other policies and procedures and/or that are specific to a particular grant.
- *#10 Grant Proposal Development* – defines how BASMAA addresses grant proposal development, including the use and standing of consultants involved in proposal development.
- *#11 Project Management and Project Deliverable Approval* – establishes authorities, and roles and duties of BASMAA project officers and standing or ad hoc committee members overseeing projects.

Purpose

The purpose of this policy and procedure is to define:

- the types of projects to which BASMAA will generally commit resources,
- the process and schedule for developing and approving Projects,
- the process for developing and approving the Annual Budget, and
- the process for developing and approving the Annual Work Plan.

This policy and procedure covers three types of BASMAA products:

- Project Concepts – list basic information needed for project concepts to be considered
- Annual Budget – lists expected revenue and planned expenditures, both general and restricted
- Annual Work Plan – summarizes BASMAA’s mission and goals, as well as the projects and products for the coming year

Project criteria

Most importantly and specifically, projects should address the Board of Directors annual priorities (see Budgeting and Work Planning steps below).

Generally, projects should:

- support BASMAA’s mission and goals
- address a Bay Area priority
- be best done regionally rather than locally

Effective Date: July 2017

Supersedes: January 2017

- maximize benefit by avoiding duplication and benefiting as many members as possible
- be of the right timing and phasing (e.g., pilot study, then phase 1, ...)
- take advantage of a partnership opportunity to leverage resources
- have an identified Project Officer
- enjoy sufficient additional support (e.g., member programs’ resources, staff, and will) to be completed

Procedure

BASMAA conducts its budgeting and work planning processes in accordance with the procedure and schedule shown below.

Performance Review:

Board and Committee Chairs conduct a mid-year review of current and recent BASMAA tasks or projects to evaluate their status against their intended purposes and scopes.	January
Based on the results of the review, the Board may make adjustments, including revising Committee scope, structure, and meeting frequency, revising task/project scopes of work and schedules, revising budget allocations, canceling tasks/projects and budget allocations, or initiating new tasks/projects and budget allocations.	January – March

Annual Budgeting and Work Planning:

1. Board sets overall scope and annual priorities for the fiscal year after the coming fiscal year (i.e., 13-14 months out). Board consults grant opportunities list (<i>Grant Proposal Development Policy and Procedure</i>).	May – June
2. Board develops Project Concepts for the following fiscal year using the Project Concept template (see attached). Committees may develop and submit Project Concepts. (See Use of Consultants below) If a grant opportunity is to be pursued, the Board follows the <i>Grant Proposal Development Policy and Procedure</i> .	July – August
3. Board compiles and reviews Project Concepts for completeness and adherence to priorities, and follows an agreed-to procedure (see procedure suggestions below) for ranking Project Concepts. Board may consult with Committees for its review / ranking.	August
4. Board provides candidate Project Concepts to the Finance Committee and Executive Director.	August
5. Finance Committee and Executive Director incorporate Project Concepts into a proposed Annual Budget.	September

6. Board reviews and tentatively approves final Annual Budget, including projects and expenditures, based on confirmation of outcomes of member programs' budget approvals later in current fiscal year.	December
7. Executive Director compiles Annual Work Plan.	December – January
8. Board approves final Annual Budget, after confirming outcomes of member programs' budget approvals.	March – April
9. Working from approved Project Concepts and following the approved selection processes ¹ , proposers (e.g., pre-qualified consultants) develop proposals, including scopes of work (i.e., tasks, budgets, schedules, deliverables) in detail suitable for establishing agreements for work.	April – May
10. Board receives any actual or possible conflict of interest disclosures ² , vets proposals, and selects consultants.	May – June
11. Committees and Board follow other BASMAA policies and procedures, including <i>Funding and Accounting for BASMAA Efforts</i> ; <i>Consultant Selection and Contracting</i> ; and <i>Project Management and Project Deliverable Approval</i> , to plan for initiation of projects in the coming fiscal year.	May – June

Mid-year project ideas or needs

For project ideas or needs that emerge outside of the regular, annual process and schedule above, the same general process should be followed (see below) whether the idea or need emerges at the Board of Directors (start with step 1A) or a Committee or the Executive Director (start with 1B).

1A. If idea or need emerges from Board: Board directs Committee or Executive Director to develop a Project Concept based on as detailed a description of the idea or need, budget, and schedule (i.e., project criteria) as can be provided. Board also directs which consultant selection process is to be used.	Month 0
1B. If idea or need emerges from a Committee or Executive Director: Committee or Executive Director proposes idea or need to the Board of Directors with as detailed a description of the idea or need, budget, and schedule (i.e., project criteria) as can be provided. Board reviews and revises, as needed the project criteria, and considers directing Committee or Executive Director to develop a Project Concept. Board also directs which consultant selection process is to be used.	Month 0
2. Committee or Executive Director develops a Project Concept and reviews it for completeness and adherence to project criteria.	Month 1

¹ See Policy and Procedure: 4 - *Consultant Selection and Contracting*

² See Policy and Procedure: 3 - *Conflict of Interest*

3. Board reviews the Project Concept against its project criteria. If Board remands a Project Concept back for revision or clarification, Committee or Executive Director works to address the issues raised by the Board.	Month 1 Remand – Month 2
4. Once the Project Concept meets the project criteria, the Board of Directors considers approving it.	Month 2 Remand – Month 3
5. Committees and Board follow other BASMAA policies and procedures, including <i>Funding and Accounting for BASMAA Efforts</i> ; <i>Consultant Selection and Contracting</i> ; and <i>Project Management and Project Deliverable Approval</i> , in conducting project.	Month 2 or 3 –

Ranking

Procedure suggestions for ranking Project Concepts:

After reviewing Project Concepts for completeness and adherence to Board of Directors priorities, the following are suggested steps for ranking Project Concepts and developing a list of projects.

1. Accept the Project Concept as is, or ask for revision or clarifications
2. Use the following procedure for ranking Project Concepts:
 - a. Directors rank the Project Concepts (1 = highest)
 - b. The ranks are summed for each Project Concept
 - c. Projects are ranked based on their sums (lowest number = highest ranking)
 - d. Decide which Project Concepts to select and fund

Use of Consultants

To the extent that consultants offer or are invited to help develop Project Concepts, BASMAA follows these key principles:

Writing / Compensation

- BASMAA develops Project Concepts using member agency staff, BASMAA contract staff, or consultants.
- BASMAA may consult one or more consultants to provide information to help agency or BASMAA contract staff to develop proposals. Consultants so engaged are compensated.

Consultant identification process

- If the topic of a Project Concept is within the categories of topics for which BASMAA has pre-qualified consultants, BASMAA draws consultant help for Project Concept development from the appropriate category’s list of pre-qualified consultants following its Policy and Procedure: *Consultant Selection and Contracting*. In identifying such help, BASMAA uses a competitive process to elicit more ideas (e.g., Call for Ideas) and only uses the sole source option when necessary.

- If the topic of a Project Concept is not within the categories of topics for which BASMAA has pre-qualified consultants, BASMAA follows its Policy and Procedure: *Consultant Selection and Contracting* to identify consultant help for Project Concept development. In identifying such help, BASMAA uses a competitive process to elicit more ideas and only uses the sole source option when necessary.

Consultant eligibility

- Consultants selected by BASMAA to provide information for Project Concept development are eligible to be selected to conduct work on the project should the Project Concept be successful and BASMAA funding awarded. Such consultants are not guaranteed work on the project.

BASMAA follows these same principles for opportunities for which BASMAA does not solicit for Project Concept development.



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Project Concept

20?? Board of Directors Priorities addressed: [see 20?? Board of Director Priorities list]

Title:

Purpose: [Provide 1-3 sentences]

Background: [Provide brief description of context for project]

Scope: [Provide potential tasks in brief bullet form]

Products: [List all, including identification of significant deliverables requiring BASMAA Board of Directors review and approval]

Schedule: [Estimate total time to conduct project]

Cost (estimate): [Estimate total and tasks costs]

Project partners, if any: [e.g., other organizations]

Implementer(s): Committee(s) _____ Consultant _____

[Check/list as appropriate] Member _____ Other _____

Selection Process(es): [¹ If proposed implementer would be a consultant(s) to BASMAA, check method(s) for identifying best candidate(s) to recommend to the Board of Directors. See Policy and Procedure: *Consultant Selection and Contracting* for more information]

____ Executive Director Discretion ____ Sole Source ____ Request for Qualifications

____ Request for Proposal ____ Interview

Proposer: _____ **Date:** _____