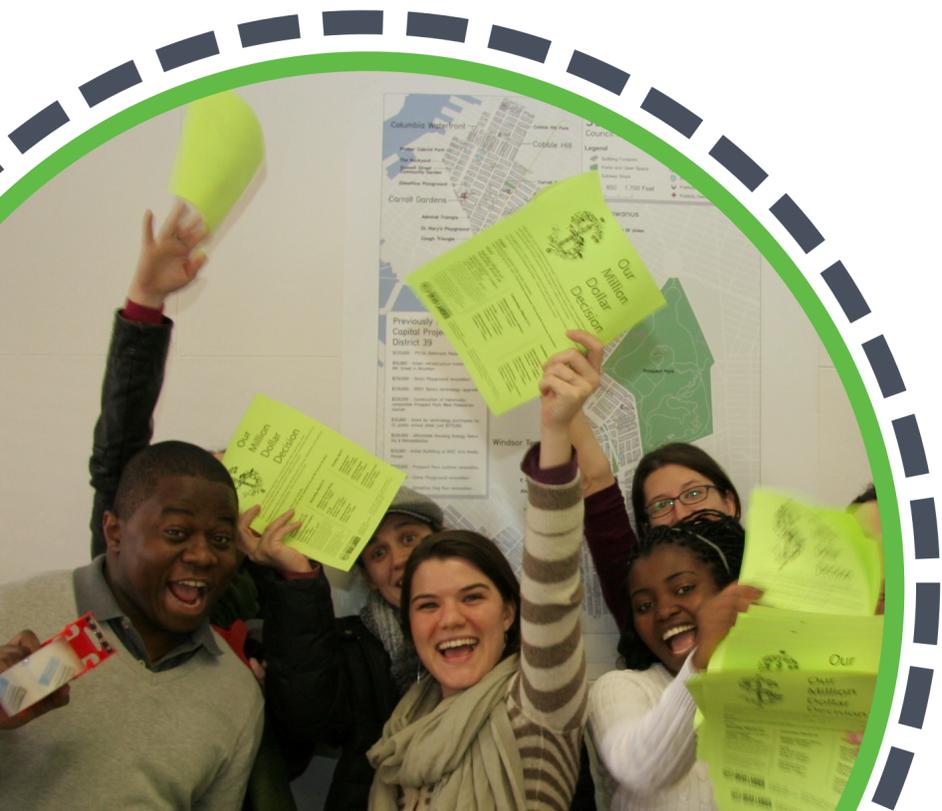




# PB SCOPING TOOLKIT

A Guide for Officials & Staff  
Interested in Starting PB



PARTICIPATORY  
BUDGETING PROJECT

# Table of Contents

<b>I. Introduction</b>	<b>2</b>	
	3	A. How Does PB Work?
	4	B. History Of PB
	5	C. What Are The Impacts Of PB?
<b>II. The PB Timeline</b>	<b>8</b>	
<b>III. The Pot of Money</b>	<b>10</b>	A. What Budgets Work Best?
	11	B. How Much Money Is Enough?
<b>IV. Resources Needed</b>	<b>13</b>	A. Who Does The Work?
	19	B. Funding For Implementation
	20	C. Legislation
	21	D. Rulebook
<b>V. How to Start</b>	<b>22</b>	
<b>VI. Appendix</b>	<b>24</b>	
		A. Sample PB calendar
		B. PBP Service sheets
		C. Sample PB budget
		D. Sample PB ordinance
		E. PB Rulebook
		F. Key articles and media



# 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.

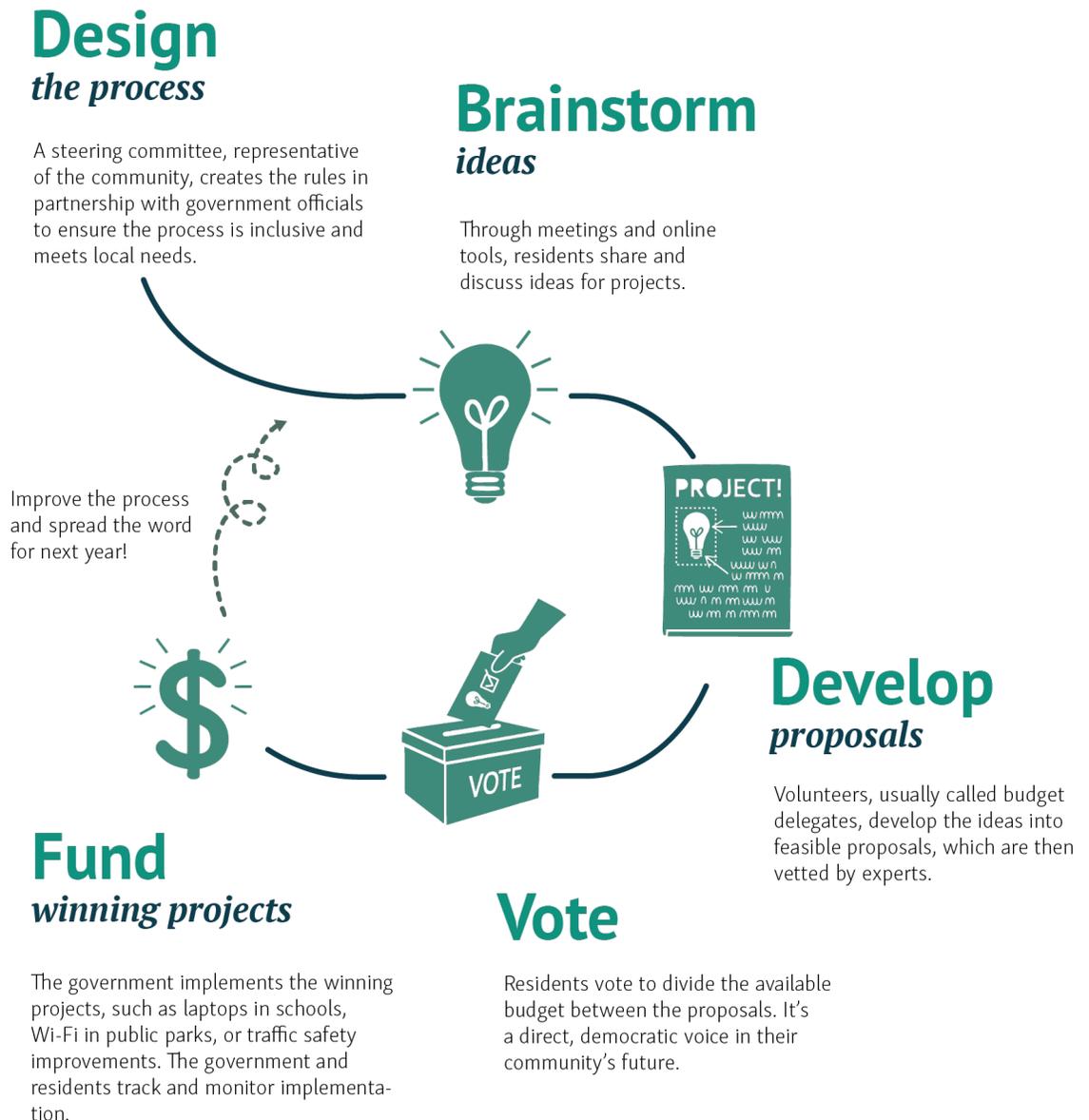
In the sections that follow, we answer the following questions:

- 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, PB NYC

### 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
<b>New York City</b>	\$1-2.5 million per Council District	Council member discretionary funds, capital projects	~ 150-180,000 per district
<b>Boston, <i>youth process</i></b>	\$1 million citywide	Mayor's capital budget	667,000
<b>Vallejo, CA</b>	\$3.2 million citywide	City sales tax from General Fund	117,000
<b>Toronto Community Housing</b>	\$5-9 million	Capital improvements to buildings	164,000 residents in buildings
<b>Overfelt High School, San Jose, CA</b>	\$50,000	Principal's discretionary funds	2,800 students
<b>Paris</b>	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>	<b>PB Coordinator (100% 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>	<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>	<b>PB Assistant (75% 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>	<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>	<b>Department Director (10% 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>	<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

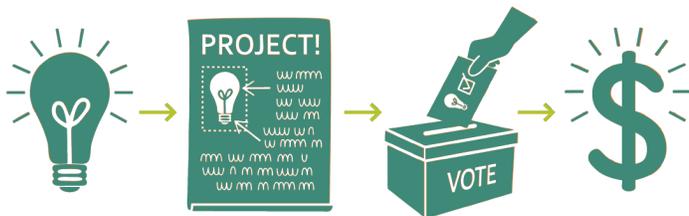


**The Participatory Budgeting Project (PBP) is a non-profit organization that empowers communities to decide together how to spend public money.**

## 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

<p>\$190 million in public money on 679 local projects</p>	<p>84 elected officials brought closer to their constituents</p>	<p>500 organizations linked together to build community</p>	<p>227,000 people engaged in democracy</p>
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## 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.*

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*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 <i>[Includes PBP fees only, not other project costs]</i>	\$125,000- \$180,000	\$50,000- \$100,000	\$20,000- \$30,000

## CONTACT US

[www.participatorybudgeting.org](http://www.participatorybudgeting.org) | [info@participatorybudgeting.org](mailto:info@participatorybudgeting.org) | 347-652-1478  
540 President Street | 3rd Floor | Brooklyn | New York | 11215 | USA

# OUR SERVICES FOR CITY DISTRICTS AND SMALL TOWNS

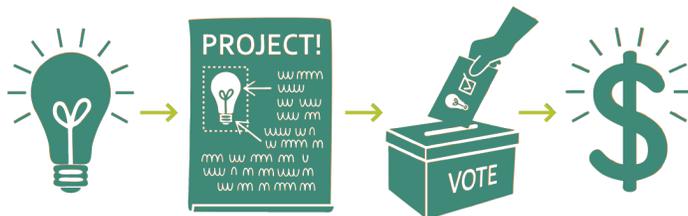
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Services Provided	DESIGN	ADVISE
<i>Face-to-face project meetings (1-5)</i>	✓	✓
<i>Conference call project meetings (6-12)</i>	✓	✓
<i>Training workshops (1-4)</i>	✓	✓
<i>Full set of sample project management, info, facilitation, outreach, and publicity 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>

## CONTACT US

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## Appendix B:

# OUR SERVICES FOR SCHOOLS AND UNIVERSITIES

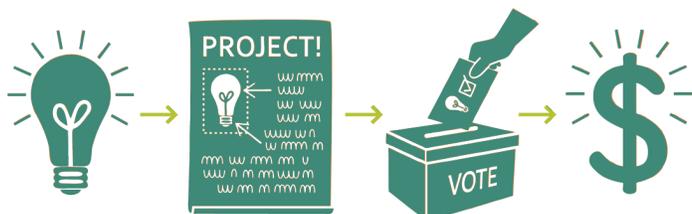
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**Kioka Jackson**  
Community participant, New York

*"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

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

**Chicago Alderman Joe Moore**

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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>

## CONTACT US

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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.

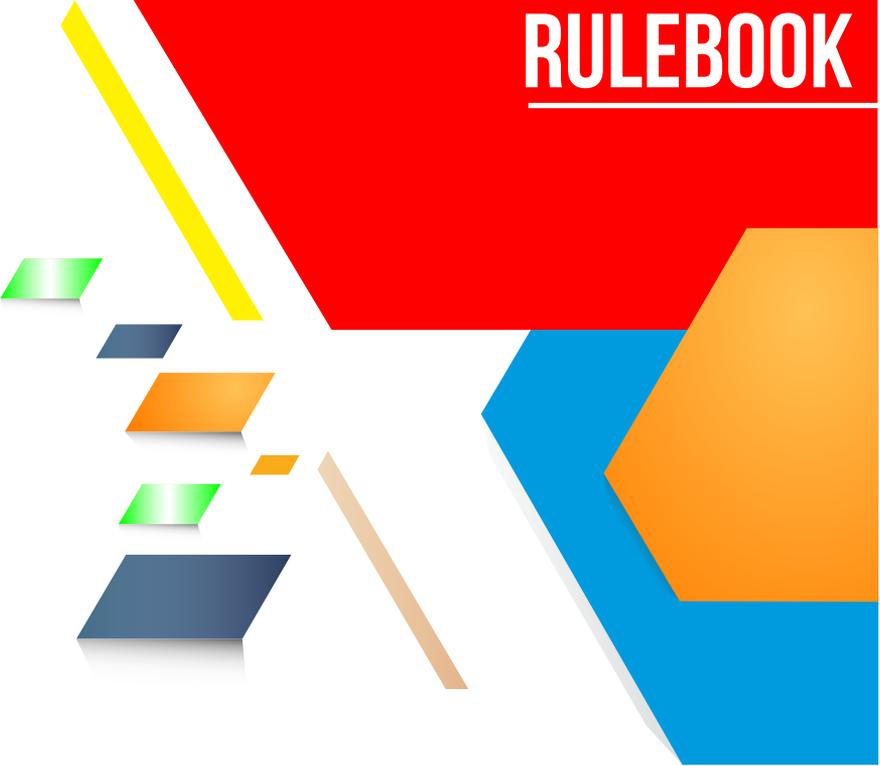
- Establish a Community Steering Committee of at least 15 and no more than 24 individuals to assist in the design of the PB process with the following parameters:
  - Each City Council Member selects three civic organizations that will then recommend individuals from those organizations to serve on the 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

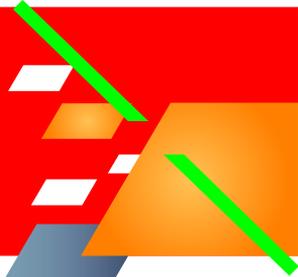
# RULEBOOK



# NEW YORK CITY COUNCIL PARTICIPATORY BUDGETING



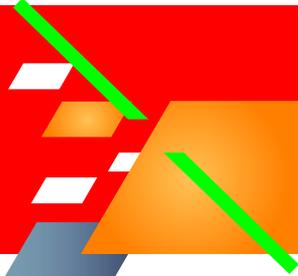
# ABOUT THIS RULEBOOK



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.

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<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.

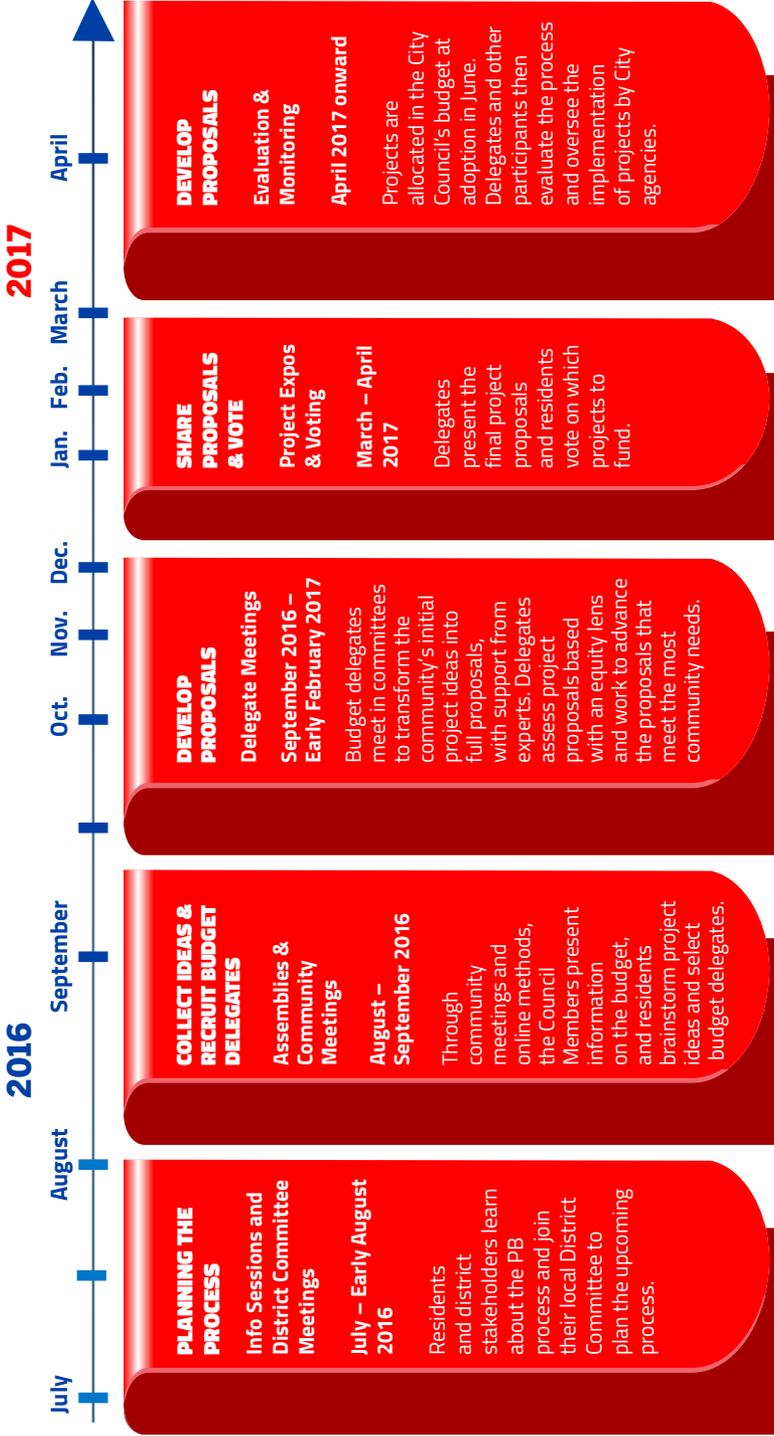
## 5. Community

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:
  - 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.
  - Each district will also offer weekday voting in the Council Member office.
  - 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.



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.







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.pbny.org](http://ideas.pbny.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/>