



## Policy and Procedure

### **Title: Budgeting and Work Planning**

#### Purpose

The purpose of this policy and procedure is to define:

- the types of projects to which CASQA will generally commit resources,
- the process and schedule for developing and approving project scopes,
- the process for developing and approving the Annual Budget,
- the process for developing and approving the Annual Work Plan, and
- budget control responsibilities.

This policy and procedure covers three types of CASQA products:

- Annual Work Plan
- Project Scopes
- Annual Budget

The Annual Work Plan summarizes CASQA's mission and goals, as well as the objectives, tasks, and products of the Committees and Subcommittees for the coming year. The portions of the Annual Work Plan addressed by this policy and procedure are the Committee and Subcommittee:

- objectives
- tasks or projects:
  - conducted with in-kind services
  - funded by CASQA revenues

#### Project criteria

Projects should:

- support CASQA's mission and goals
- address a statewide priority
- be best done statewide rather than regionally or locally
- maximize benefit by avoiding duplication and benefit as many of the 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 in-kind support (e.g., resources, staff, and will) to be completed

#### Procedure

CASQA conducts its budgeting and work planning processes in accordance with the procedure and schedule shown in the accompanying schedule and listed below. The following are attachments to this policy and procedure:

- Proposed Project Scope of Work outline template – Lists basic information needed for project concept to be considered. Attached to Budget Request form.
- Budget Request form
- Budgeting and Work Planning schedule

Effective Date: January 2009

Supersedes: Mary 2007

Performance Review:

Board, Committees, EPC, and Subcommittee Chairs conduct a review of current and recent CASQA tasks or projects to evaluate their status against their intended purposes and scopes.	July
Based on the results of the review, the Board and EPC may make adjustments, including 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.	July – September

Budgeting and Work Planning:

Through its Executive Program Committee and Subcommittees, CASQA issues a Call for Subcommittee Work Plans, including a Call for Projects and budget requests for the coming calendar year.	September
Board, Committees, EPC, and Subcommittees compile Work Plan objectives and tasks, and project proposals, including budget requests using the Project Scope of Work outline template and Budget Request form (See attached).	September – October
Board, Committees, EPC, and Subcommittees: <ul style="list-style-type: none"> <li>• review and revise, as needed, their objectives for adherence to CASQA's mission and goals, and</li> <li>• review and revise, as needed, their Work Plan tasks for adherence to objectives.</li> </ul>	October – November
Committees and Subcommittees review project proposals for completeness and adherence to project criteria.	October – November
Committees and Subcommittees follow an agreed-to procedure (See procedure suggestions below) for ranking project proposals.	October – November
Committees and Subcommittees recommend candidate projects and budget requests for funding to the Finance Committee and Treasurer.	November
Finance Committee and Treasurer develop a proposed Annual Budget.	November – December
Board and EPC review and revise, as needed, Committee and Subcommittee Work Plan tasks, candidate projects, and Annual Budget.	December
If Board or Executive Program Committee remands a project proposal back to a Committee or Subcommittee for revision or clarification, Committee or Subcommittee works with the project proposer to address the issues raised by the Board or Executive Program Committee.	December – January
Executive Program Committee approves Annual Work Plan.	January
Board and Executive Program Committee consider the candidate projects (See criteria suggestions below) and approve a final list of projects for funding.	January
Board approves Annual Budget.	January
Board or Executive Program Committee vote to authorize Treasurer to release funds to a project.	Upon approval of a scope of work and identification of a CASQA project officer

Procedure suggestions for ranking project proposals:

After reviewing project proposals for completeness and adherence to project criteria, the following are suggested steps for ranking project proposals and developing a recommended list of candidate projects.

1. Subcommittees accept the proposed project as is, or ask for revision or clarifications
2. Subcommittees may use the following procedure for ranking project proposals:
  - a. Subcommittee members rank the project proposals (1 = highest)
  - b. The ranks are summed for each project proposal
  - c. Projects are ranked based on their sums (lowest number = highest ranking)
  - d. Subcommittee members decide whether to recommend all of the proposed projects as candidate projects to the Executive Program Committee

Suggested criteria for making funding allocations:

The following criteria are suggested as a basis for the EPC to make funding allocations:

- Ability to spend the funds in the fiscal year
  - Demonstrated ability to spend funds
  - Identified CASQA project officer
  - Identified project oversight group
- Opportunity to split or phase the funding across fiscal years
- Desire to disperse funds across all interested Subcommittees
- Relevance of project to CASQA mission, goals, products, and services
- Ability to produce tangible result

#### Budget control responsibilities

The following defines responsibilities regarding budget control:

Board of Directors <sup>1</sup>	Adopt annual budget (operating and capital)
	Borrow money and incur indebtedness on behalf of CASQA
	Cause to be executed and delivered for CASQA's purposes, in the corporate name, promissory notes, bonds, debentures, deeds of trust, mortgages, pledges, hypothecations, and other evidences of debt and securities
Contract officer	Ensure that contract provisions are adhered to, including the language requiring consultant notification of CASQA when contract budgets are significantly expended, and review invoices against contract budget
Officers / Executive Director / Committee Chairs / Subcommittee Chairs	Review non-contractual invoices (e.g., vendors, event venues/catering, CASQA business reimbursements) against annual budget line item(s)

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<sup>1</sup> CASQA Bylaws Section 4.01



## Proposed Project Scope of Work Outline Template

**Title:**

**Purpose:** [Provide 1-3 sentences]

**Background:** [Provide brief description of context for project]

**Scope:** [Provide potential tasks in brief bullet form]

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**Products:** [List, including proposed availability and distribution standing for each deliverable using schedule in the Product Availability and Distribution policy and procedure]

**Schedule:** [Estimate total time to conduct project]

**Budget (estimate):** [Estimate total budget, both expenses and any expected revenue]

**Project Officer:** [List if known]

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

**Implementer(s):** Committee(s) \_\_\_\_\_ Consultant \_\_\_\_\_

[Check/list as appropriate] Member \_\_\_\_\_ Other \_\_\_\_\_

**Proposer:** \_\_\_\_\_ **Date:** \_\_\_\_\_